# Transfer Learning and DOMAIN ADAPTATION METHODS

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Assumptions - Data are independently and identically distributed

#### A Major Assumption till now...

Training and future (test) data come from a same task and a same domain.

Represented in same feature and label spaces.

≻ Follow a same distribution.



## **Transfer Learning**

In the machine learning community

• The ability of a system to recognize and apply knowledge and skills learned in previous tasks to novel tasks or new domains, which share some commonality.



## **Transfer Learning**

• The ability of a system to recognize and apply knowledge and skills learned in previous tasks to novel tasks or new domains, which share some commonality.

Labeled data from source domain present.







target domain

Transfer learning uses either small number of labeled data or unlabeled data from target domain.



[Saenko et al. ECCV 10]

#### Why Transfer Learning?

- ➢ In some domains, labeled data are in short supply.
- ➢ In some domains, the labeling cost is very expensive.
- ➢ In some domains, the learning process is time consuming.

 How to extract knowledge learnt from related domains to help learning in a target domain with a few labeled data?

 When to transfer knowledge learnt from the related domain to help the task in the target domain?

**Transfer learning techniques may help!** 

#### What is TL:

A major assumption in many machine learning and data mining algorithms is that the training and future data must be in the same feature space and have the same distribution.

However, in many real-world applications, this assumption may not hold. For example, we sometimes have a classification task in one domain of interest, but we only have sufficient training data in another domain of interest, where the latter data may be in a different feature space or follow a different data distribution.

In such cases, <u>knowledge transfer</u>, if done successfully, would greatly improve the performance of learning by avoiding much expensive data-labeling efforts.

**Definition 1 (Transfer Learning).** Given a source domain  $\mathcal{D}_S$ and learning task  $\mathcal{T}_S$ , a target domain  $\mathcal{D}_T$  and learning task  $\mathcal{T}_T$ , transfer learning aims to help improve the learning of the target predictive function  $f_T(\cdot)$  in  $\mathcal{D}_T$  using the knowledge in  $\mathcal{D}_S$  and  $\mathcal{T}_S$ , where  $\mathcal{D}_S \neq \mathcal{D}_T$ , or  $\mathcal{T}_S \neq \mathcal{T}_T$ .

#### Different Settings of Transfer Learning

Transfer Learning Settings	Related Areas	Source Domain Labels	Target Domain Labels	Tasks
Inductive Transfer Learning	Multi-task Learning	Available	Available	Regression, Classification
	Self-taught Learning	Unavailable	Available	Regression, Classification
Transductive Transfer Learning	Domain Adaptation, Sample Selection Bias, Co-variate Shift	Available	Unavailable	Regression, Classification
Unsupervised Transfer Learning		Unavailable	Unavailable	Clustering, Dimensionality Reduction
Transfer Learning No labeled data in both source and target domain	Labeled data are available only in a source domain Unsupervised Transfer Learning Unsupervised Transfer Learning Case 2 target tasks are learning Assumption: different domains but single task Unsupervised Transfer Learning Sample Selection Bias /Covariance Shift		omain aptation ion Bias	

## **Approaches to Transfer Learning**

#### Different Approaches Used in Different Settings

	Inductive Transfer Learning	Transductive Transfer Learning	Unsupervised Transfer Learning
Instance-transfer	$\checkmark$	$$	
Feature-representation-transfer	$\checkmark$	$\checkmark$	$\checkmark$
Parameter-transfer	$\checkmark$		
Relational-knowledge-transfer	$\checkmark$		

Model-transfer	Discover shared parameters or priors of models between a source domain and a target domain
Relational-knowledge- transfer	Build mapping of relational knowledge between a source domain and a target domain.

#### **Approaches to Transfer Learning**

	Inductive Transfer Learning	Transductive Transfer Learning	Unsupervised Transfer Learning
Instance-transfer	$\checkmark$	$\checkmark$	
Feature-representation- transfer	$\checkmark$	$\checkmark$	$\checkmark$
Model-transfer	$\checkmark$		
Relational-knowledge- transfer	$\checkmark$		

#### **TL applications:**

sensor-network-based localization, text classification, image classification, video classification, social network analysis, and logical inference.

**Definition 3 (Transductive Transfer Learning).** Given a source domain  $\mathcal{D}_S$  and a corresponding learning task  $\mathcal{T}_S$ , a target domain  $\mathcal{D}_T$  and a corresponding learning task  $\mathcal{T}_T$ , transductive transfer learning aims to improve the learning of the target predictive function  $f_T(\cdot)$  in  $\mathcal{D}_T$  using the knowledge in  $\mathcal{D}_S$  and  $\mathcal{T}_S$ , where  $\mathcal{D}_S \neq \mathcal{D}_T$  and  $\mathcal{T}_S = \mathcal{T}_T$ . In addition, some unlabeled target-domain data must be available at training time.

**Definition 1 (Transfer Learning).** Given a source domain  $\mathcal{D}_S$ and learning task  $T_S$ , a target domain  $\mathcal{D}_T$  and learning task  $T_T$ , transfer learning aims to help improve the learning of the target predictive function  $f_T(\cdot)$  in  $\mathcal{D}_T$  using the knowledge in  $\mathcal{D}_S$  and  $T_S$ , where  $\mathcal{D}_S \neq \mathcal{D}_T$ , or  $T_S \neq T_T$ .

SI N0	TTL - Method	References (not exhaustive)
1	Kernel-mean matching (KMM) in RKHS	J. Huang, A. Smola, A. Gretton, K.M. Borgwardt, and B. Scho"lkopf, "Correcting Sample Selection Bias by Unlabeled Data," Proc. 19th Ann. Conf. Neural Information Processing Systems (NIPS), 2007.
2	Kullback-Leibler Importance Estimation Procedure (KLIEP)	M. Sugiyama, S. Nakajima, H. Kashima, P.V. Buenau, and M. Kawanabe, "Direct Importance Estimation with Model Selection and its Application to Covariate Shift Adaptation," Proc. 20th Neural Information Processing Systems, (NIPS) Dec. 2008.
3	Importance sampling and reweighting methods for covariate shift or sample selection bias,	] J. Quionero-Candela, M. Sugiyama, A. Schwaighofer, and N.D. Lawrence, Dataset Shift in Machine Learning. MIT Press, 2009.
4	Structural correspondence learning (SCL)	R.K. Ando and T. Zhang, "A High-Performance Semi-Supervised Learning Method for Text Chunking," Proc. 43rd Ann Meeting on Assoc. for Computational Linguistics, pp. 1- 9, 2005.
5	Topic-bridged PLSA (probabilistic latent semantic analysis), or TPLSA	GR. Xue, W. Dai, Q. Yang, and Y. Yu, "Topic-Bridged PLSA for Cross-Domain Text Classification," Proc. 31st Ann. Int'l ACM SIGIR Conf. Research and Development in Information Retrieval, pp. 627-634, July 2008.
6	Maximum Mean Discrepancy Embedding (MMDE)	S.J. Pan, J.T. Kwok, and Q. Yang, "Transfer Learning via Dimensionality Reduction," Proc. 23rd Assoc. for the Advancement of Artificial Intelligence (AAAI) Conf. Artificial Intelligence, pp. 677-682, July 2008.
7	Transfer Component Analysis ( <b>TCA</b> )	S.J. Pan, I.W. Tsang, J.T. Kwok, and Q. Yang, "Domain Adaptation via Transfer Component Analysis," Proc. 21st Int'l Joint Conf. Artificial Intelligence, 2009.

## Notations

#### Domain:

- Feature space  $\mathcal{X}$ ;
- P(x), where  $x \in \mathcal{X}$ .

Two domains are different  $\Rightarrow$  $\mathcal{X}_S \neq \mathcal{X}_T$ , or  $P_S(x) \neq P_T(x)$ .

#### Task:

- Given  $\mathcal{X}$  and label space  $\mathcal{Y}$ ;
- To learn f : x → y, or estimate P(y|x), where x ∈ X and y ∈ Y.

Two tasks are different  $\Rightarrow$ 

 $\mathcal{Y}_S \neq \mathcal{Y}_T$ , or  $f_S \neq f_T (P_S(y|x) \neq P_T(y|x))$ .

#### **Transductive Transfer Learning**



#### Transductive Transfer Learning Instance-transfer Approaches Sample Selection Bias / Covariance Shift [Zadrozny ICML-04, Schwaighofer JSPI-00]

Input: A lot of labeled data in the source domain and no labeled data in the target domain.

Output: Models for use in the target domain data.

Assumption: The source domain and target domain are the same. In addition,  $P(Y_S | X_S)$  and  $P(Y_T | X_T)$  are the same while  $P(X_S)$  and  $P(X_T)$  may be different causing by different sampling process (training data and test data).

Main Idea: Re-weighting (important sampling) the source domain data.

 $P_{s}(y | x) = P_{t}(y | x)$  $P_{s}(x) \neq P_{T}(x)$  $P_{s}(x, y) \neq P_{T}(x, y)$ 

#### **Sample Selection Bias/Covariance Shift**

To correct sample selection bias:



## How to estimate $\frac{\mathcal{P}(x_{T_i})}{\mathcal{P}(x_{S_i})}$ ?

One straightforward solution is to estimate  $P(X_s)$  and  $P(X_T)$ ,

respectively. However, estimating density function is a hard problem.

Sample Selection Bias / Covariate Shift [Quionero-Candela, *et al*, Data Shift in Machine Learning, MIT Press 2009]

#### Sample Selection Bias/Covariance Shift Kernel Mean Match (KMM) [Huang et al. NIPS 2006]

Main Idea: KMM tries to estimate  $\beta_i = \frac{\mathcal{P}(x_{S_i})}{\mathcal{P}(x_{T_i})}$  directly instead of estimating density function.

It can be proved that  $\beta_i$  can be estimated by solving the following quadratic programming (QP) optimization problem.



Theoretical Support: Maximum Mean Discrepancy (MMD) [Borgwardt et al. BIOINFOMATICS-06]. The distance of distributions can be measured by Euclid distance of their mean vectors in a RKHS.

#### **Transductive Transfer Learning** Feature-representation-transfer Approaches **Domain Adaptation**

[Blitzer et al. EMNL-06, Ben-David et al. NIPS-07, Daume III ACL-07]

Assumption: Single task across domains, which means  $P(Y_S | X_S)$  and  $P(Y_T | X_T)$  are the same while  $P(X_S)$  and  $P(X_T)$  may be different causing by feature representations across domains.

Main Idea: Find a "good" feature representation that reduce the "distance" between domains.

Input: A lot of labeled data in the source domain and only unlabeled data in the target domain.

Output: A common representation between source domain data and target domain data and a model on the new representation for use in the target domain.

#### **Domain Adaptation Structural Correspondence Learning (SCL)** [Blitzer et al. EMNL-06, Blitzer et al. ACL-07, Ando and Zhang JMLR-05]

Motivation: If two domains are related to each other, then there may exist some "pivot" features across both domain. Pivot features are features that behave in the same way for discriminative learning in both domains.

Main Idea: To identify correspondences among features from different domains by modeling their correlations with pivot features. Non-pivot features form different domains that are correlated with many of the same pivot features are assumed to correspond, and they are treated similarly in a discriminative learner.

#### SCL

#### [Blitzer et al. EMNL-06, Blitzer et al. ACL-07, Ando and Zhang JMLR-05]



## **Domain Adaptation** – A type of Transfer Learning

• Domain adaptation of statistical classifiers is the problem that arises when the data distribution in our test domain is different from that in our training domain [Jing Jiang, 2008].

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 When to transfer knowledge learnt from the related domain to help the task in the target domain?

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Training samples of two classes



Training samples of two classes



Testing samples of two classes

- Training Data is not uniformly sampled.
- Change in the sensor alters the distribution of data.



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Domain adaptation is the process where one can use the training samples available from source domain to aid a classification task.

- Training Data is not uniformly sampled.
- Change in the sensor alters the distribution of data.
- Training samples are drawn from source domain, and test samples are drawn from target domain.

#### An Example



#### Domain Adaptation (DA)



## Source Domain : Gallery Samples Target Domain : Probe Samples

- Reasons for domain adaptation
  Difference in resolution

  - Blur
  - Noise
  - Low-contrast
  - Different camera parameters

## **Common Approaches**



- Spatial topology of the instances in source domain is preserved – important parameter for many of the classifiers like KNN, clustering algorithms.
- This ensures a set of constraints for forming the transformation matrix.

Distribution of Target Domain

- Need to capture the distribution of Target Domain
- Problem: Small number of samples lead to erroneous parameterization of distribution
### **Domain Adaptation** [Saenko et al. ECCV 10]



source domain



target domain

 $\min_{W} r(W)$ s.t.  $c_i(X^T W Y) \ge 0, \quad 1 \le i \le c.$ 



Domain

$$X \in Souce Domain$$
  
 $Y \in Target Domain$ 

$$sim_W(x, y) = x^T W y.$$

 $\boldsymbol{W}$  is the transformation matrix

### METHOD 1: DA BY EIGEN DOMAIN TRANSFORMATION

### Nice Property of Gaussian Distribution



 $\lambda_i$ , i = 1, 2, ..., d are the set of eigen-values

 $\Phi_i$ , i = 1, 2, ..., d are the set of eigen-vectors.

**PROBLEM:** Real world dataset hardly follow a Gaussian Distribution. **SOLUTION:** Fit a Gaussian Mixture Model separately in both the domains.

**PROBLEM:** Small sample size in Target domain.

**SOLUTION:** Using centroid-based clustering technique to form clusters following Gaussian distribution simultaneously in both the domains.

SOURCE DOMAIN





**TARGET DOMAIN** 





• Finding the optimal number of dimension for estimating sub-space



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• Finding the optimal number of dimension for estimating sub-space



Distance between two sub-spaces  $\delta_{proj}^{2}(U_{p},V_{p}) = p - trace(V_{p}^{T}U_{p}U_{p}^{T}V_{p})$ 

• Finding the optimal number of dimension for estimating sub-space



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Transformation of source domain data

$$\tilde{X} = X U_{p*} \Lambda_{p*}^{-1/2} \Gamma_{p*}^{1/2} V_{p*}^{T}$$

Extension to RKHS has been proposed Non-linear Transformation

**IET-IP '15** 

Finding the optimal number of dimension for estimating sub-space



Distance between two sub-space  $\delta_{proj}^2(U_p, V_p) = p - trace(V_p^T U_p U_p^T V_p)$ 

Transformation of source domain data

$$\widetilde{X} = X U_{p*} \Lambda_{p*}^{-1/2} \Gamma_{p*}^{1/2} V_{p*}^{T}$$
  
Eigen-  
vector of  
source  
domain

Finding the optimal number of dimension for estimating sub-space



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Transformation of source domain data

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Finding the optimal number of dimension for estimating sub-space



Distance between two sub-spaces  $\delta_{proj}^{2}(U_{p}, V_{p}) = p - trace(V_{p}^{T}U_{p}U_{p}^{T}V_{p})$ 

Transformation of source domain data

$$\tilde{X} = X U_{p*} \Lambda_{p*}^{-1/2} \Gamma_{p*}^{1/2} V_{p*}^T$$

Eigenvalue of target domain

Finding the optimal number of dimension for estimating sub-space



Distance between two sub-space  $\delta_{proj}^{2}(U_{p}, V_{p}) = p - trace(V_{p}^{T}U_{p}U_{p}^{T}V_{p})$ 

Transformation of source domain data

$$\tilde{X} = X U_{p*} \Lambda_{p*}^{-1/2} \Gamma_{p*}^{1/2} V_{p*}^T$$

Eigenvector of target domain

### METHOD 2: DA USING DOMAIN INVARIANT FEATURES







### Introducing Manifold



- Manifold: A space which locally looks Euclidean
- AIM: Find a sub-space *W*, where the underlying distributions and manifolds of two domains are same.

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Minimize the disparity in distributions of two domains using the concept of MMD

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  - For an instance in source domain, the set of the instances that forms its neighborhood remains preserved after transformation



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# **Defining Landmark points**

• Manifold distance: distance between two points lying on a manifold can be approximated by the length of the path between the two points using an adjacency graph.

Jun Li and Pengwei Hao, "Finding representative landmarks of data on manifolds," Pattern Recognition, 2009

# **Defining Landmark points**

 Manifold distance: distance between two points lying on a manifold can be approximated by the length of the path between the two points using an adjacency graph.

• If x and y are two **landmark points**, then a third landmark point, lying in between them can be defined as:

 $z = \underset{w}{\operatorname{argmax}} \begin{pmatrix} Manifold \ dist. from \\ adjacent \ Landmark \ points \end{pmatrix} - \frac{Euclidean \ dist. from \\ adjacent \ Landmark \ points \end{pmatrix}$ 

Jun Li and Pengwei Hao, "Finding representative landmarks of data on manifolds," Pattern Recognition, 2009

**C.** Estimating disparity in the shape of the two domains



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### **D.** Inter-class distance in source domain:

Maximize the inter-class distance in source domain in the sub-space to be estimated.

## **Optimization framework**

Combined cost function:

$$f(W) = trace(W^{T}PW)$$
  
where  $P = [X^{T} \quad Y^{T}] \begin{bmatrix} I_{1} + I_{4} + 2(B_{X} - A_{X}) - M & -I_{2}^{T} - I_{6}^{T}I_{5} \\ -I_{2}^{T} - I_{6}^{T}I_{5} & I_{3} + 2(B_{Y} - A_{y}) + I_{7} \end{bmatrix} \begin{bmatrix} X \\ Y \end{bmatrix}$ 

- $I_1$ ,  $I_2$  and  $I_3$  Indicator matrices to calculate difference of means
- M used to estimate inter-class distance in source domain
- $A_X$  and  $B_X$  Indicator matrices to represent distance between edges in MST build on source domain
- $A_Y$  and  $B_Y$  Indicator matrices to represent distance between edges in MST build on target domain
- $I_4, I_5, I_6$  and  $I_7$  Indicator matrices to represent sum of distances between corresponding landmark points in two domains. ICIP' 14

# **Optimization framework**

• Combined cost function in RKHS:

$$f(Z) = trace(Z^{T}P_{K}Z)$$
  
where  $P_{K} = K \begin{bmatrix} I_{1} + I_{4} + 2(B_{X} - A_{X}) - M & -I_{2}^{T} - I_{6}^{T}I_{5} \\ -I_{2}^{T} - I_{6}^{T}I_{5} & I_{3} + 2(B_{Y} - A_{y}) + I_{7} \end{bmatrix} K$   
Where,  $W = [\Phi(X)^{T} \quad \Phi(Y)^{T}]Z$  and  $K = \begin{bmatrix} \Phi(X) \\ \Phi(Y) \end{bmatrix} [\Phi(X)^{T} \quad \Phi(Y)^{T}]$ 

## **Optimization framework**

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Where,  $W = [\Phi(X)^{T} \quad \Phi(Y)^{T}]Z$  and  $K = \begin{bmatrix} \Phi(X) \\ \Phi(Y) \end{bmatrix} [\Phi(X)^{T} \quad \Phi(Y)^{T}]$ 

• Optimization function:

minimize	$tr(Z^T P_K Z)$				
subject to	$Z^T K Z = I$				

- Solution: Z is formed by the Eigenvectors of  $P_K^{-1}K$
- If  $Z_1$  and  $Z_2$  are the matrices containing first  $n_X$  rows and last  $n_Y$  rows of Z, then:
- Transformed Source Domain data:  $\tilde{X} = K_{XX}Z_1 + K_{XY}Z_2$
- Transformed Target Domain data:  $\tilde{Y} = K_{XY}^T Z_1 + K_{YY} Z_2$

**ICIP' 14** 

### Results: Synthetic (toy) data



# DATASET: Office+Caltech

- Proposed by Saenko et al. (ECCV 2010)
- Extended by Gong et al. (CVPR 2012)



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#### Number of training samples per class

	Source D		Target Domain					
Amazon	Caltech	DSLR	Webcam	Amazon	Caltech	DSLR	Webcam	
20	20	8	8	3	3	3	3	

# **Experimental results**

- Object categorization on Office+Caltech dataset
  - KNN (K=1) classifier has been used

NA – No adaptation

Method	C->A	D->A	W->A	A->C	D->C	W->C	A->D	C->D	W->D	A->W	C->W	D->W	Avg.
NA	21.5	26.9	20.8	22.8	24.8	16.4	22.4	21.7	40.5	23.3	20.0	53.0	26.2
TCA	21.9	16.8	13.4	16.2	17.7	11.1	16.7	22.8	32.3	23.6	22.0	44.7	21.6
GFS	36.9	32.0	27.5	35.3	29.4	21.7	30.7	32.6	54.3	31.0	30.6	66.0	35.7
GFK	36.9	32.5	31.1	35.6	29.8	27.2	35.2	35.2	70.6	34.4	33.7	74.9	39.8
SA	39.0	38.0	37.4	35.3	32.4	32.3	37.6	38.6	80.3	38.6	36.8	83.6	44.2
DA-CIET	35.6	36.2	37.5	34.6	32.7	30.3	33.2	38.7	72.8	35.7	33.6	72.8	41.1
DA-GMCV	34.2	37.3	37.9	36.8	32.2	30.6	34.5	38.9	76.9	36.4	37.1	75.9	42.4
DA-PSA	40.2	39.2	39.4	36.3	33.3	32.7	36.8	40.8	81.2	38.4	36.6	81.4	44.7
DA-EDT	40.7	44.4	48.8	36.6	37.0	36.2	43.3	44.1	85.8	40.0	38.5	85.3	48.2
DA-DIF	56.4	39.8	42.9	48.4	43.8	36.7	39.2	46.6	85.6	39.3	38.4	83.8	50.0

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• SA - B Fernando, A Habrard, M Sebban, and T Tuytelaars, "Unsupervised visual domain adaptation using subspace alignment," ICCV, 2013.

## **Negative Transfer**

- Most approaches to transfer learning assume transferring knowledge across domains be always positive.
- However, in some cases, when two tasks are too dissimilar, brute-force transfer may even hurt the performance of the target task, which is called negative transfer [Rosenstein et al NIPS-05 Workshop].
- Some researchers have studied how to measure relatedness among tasks [Ben-David and Schuller NIPS-03, Bakker and Heskes JMLR-03].
- ▶ How to design a mechanism to avoid negative transfer needs to be studied theoretically.

### **Publications**

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