



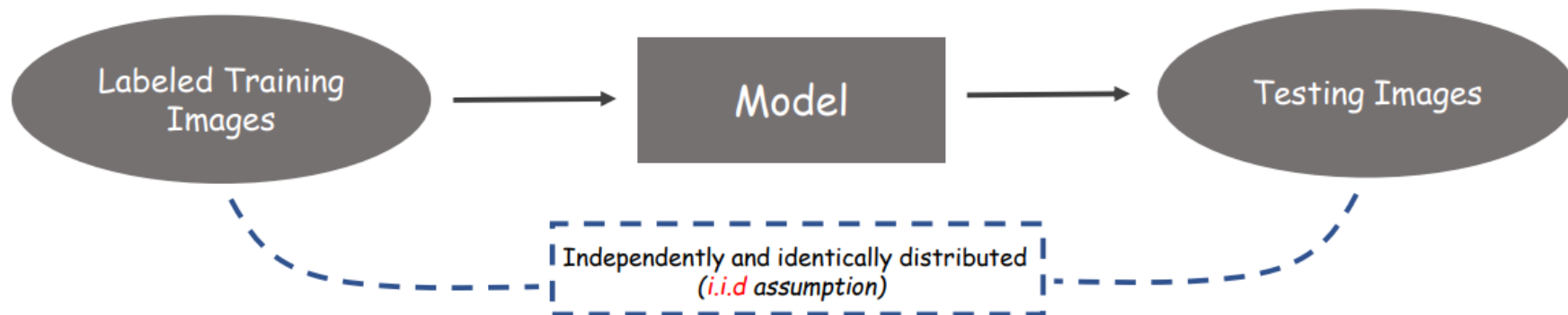
南京航空航天大学

Nanjing University of Aeronautics and Astronautics

DIRICHLET-BASED UNCERTAINTY CALIBRATION FOR ACTIVE DOMAIN ADAPTATION

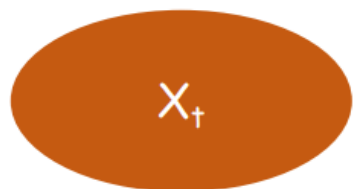
ICLR 2023

- Supervised Learning



- Unsupervised Domain Adaptation(UDA)

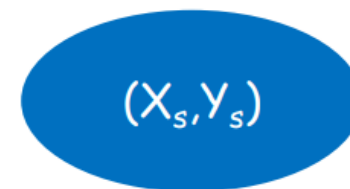
Target Domain(Unlabeled)



train



Source Domain (Labeled)



transfer

- Domain shift: $P_s(X, Y) \neq P_t(X, Y)$ or $P_s(x_s) \neq P_t(x_t)$
- Feature space and label space are consistent: $x_s, x_t \in \mathbb{R}^d$ $y_s, y_t \in L$

Unsupervised Domain Adaptation

- Unsupervised Domain Adaptation(UDA)

Bike:

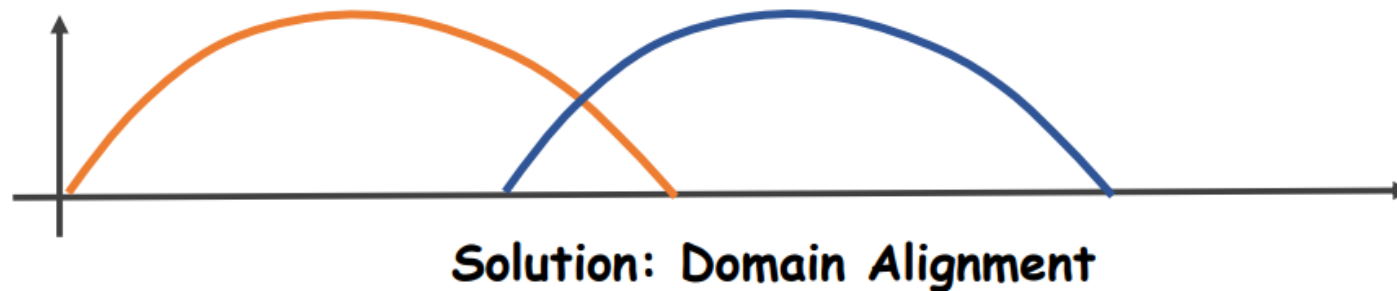


Keyboard:



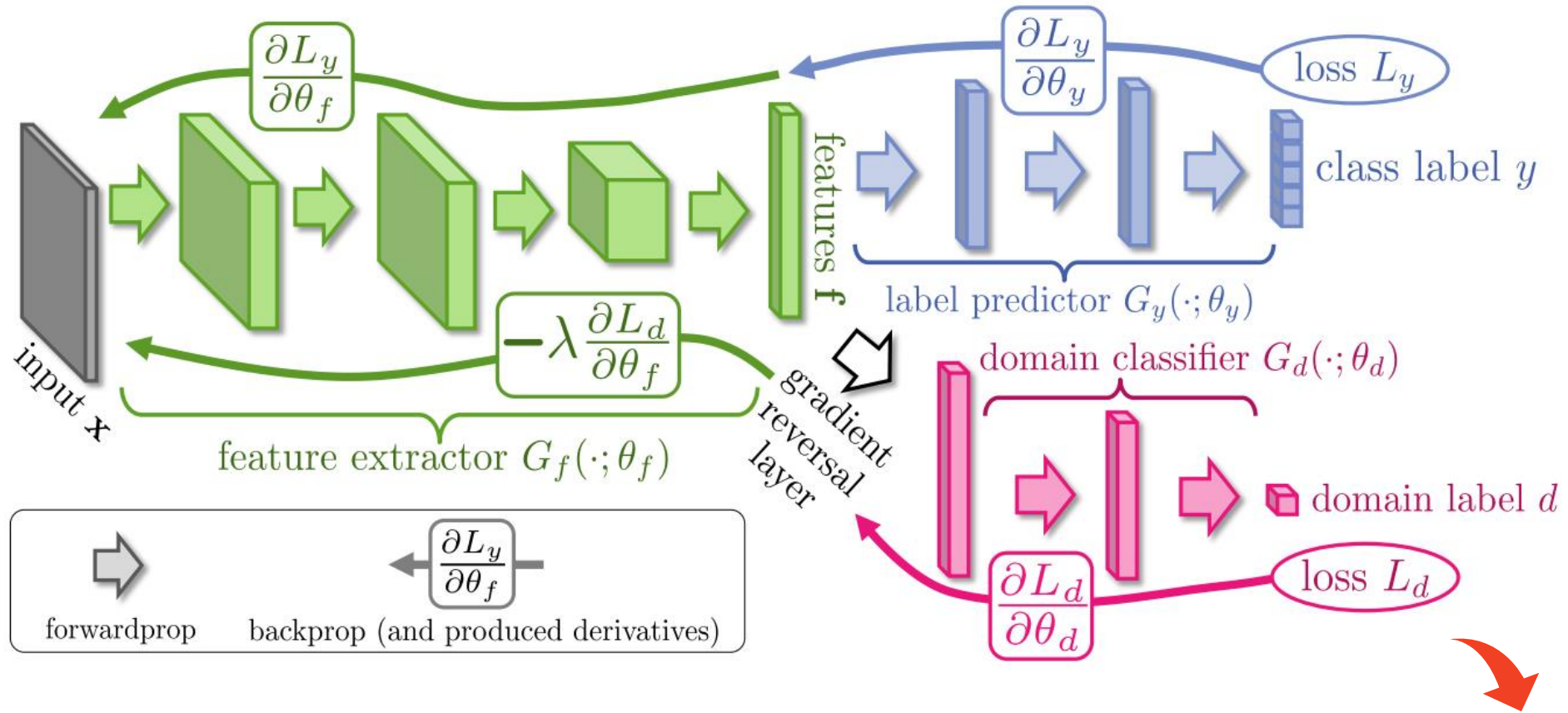
Source domain
with **annotations**

Target domain
without **annotations**



✓ **Goal:** Achieving good performance on the target domain.

Unsupervised Domain Adaptation



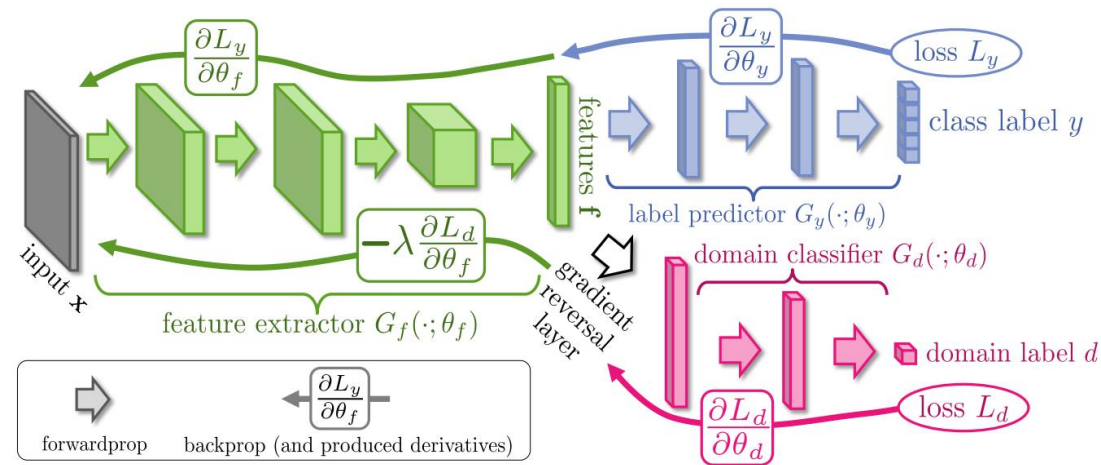
$$\min_{\theta_f, \theta_y} \max_{\theta_d} \mathcal{L}_c(G_y(G_f(x)), y) + \lambda \mathcal{L}_d$$

$$\mathcal{L}_d = \mathbb{E}_{x \sim p_S(x)} [\log G_d(G_f(x))] + \mathbb{E}_{x \sim p_T(x)} [\log(1 - G_d(G_f(x)))]$$

Active Domain Adaptation (ADA)



Goal: Identify more valuable target samples that, once labeled and used for training, improve the model's accuracy and generalization performance significantly.



Algorithm 1 AADA

Input: labeled source L_s ; unlabeled target U_t ;
labeled target $L_t = \emptyset$; budget per round b

Model: $\mathcal{M} = \{G_f, G_y, G_d\}$; feature extractor G_f ;
class predictor G_y ; discriminator G_d

Train \mathcal{M} with (L_s, U_t)

for round $\leftarrow 1$ to MaxRound **do**

 Compute $s(x) \forall x \in U_t$ via (5)

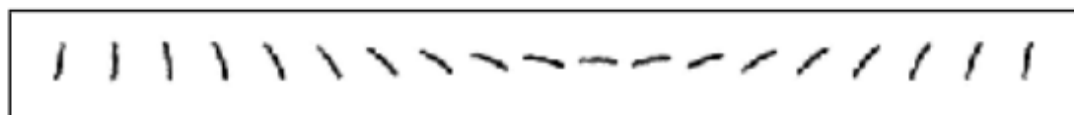
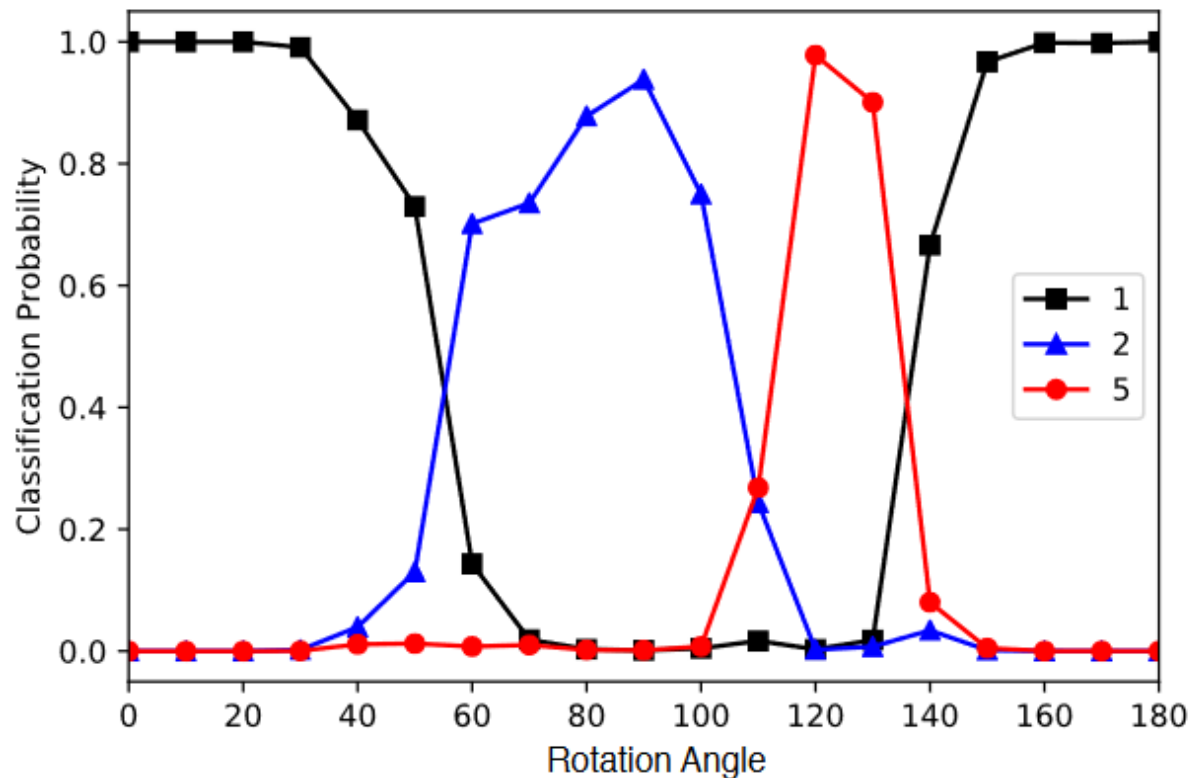
 Select a set of b images z from U_t according to $s(z)$

 Get labels y_z from oracle

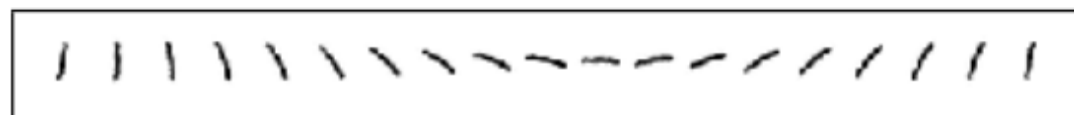
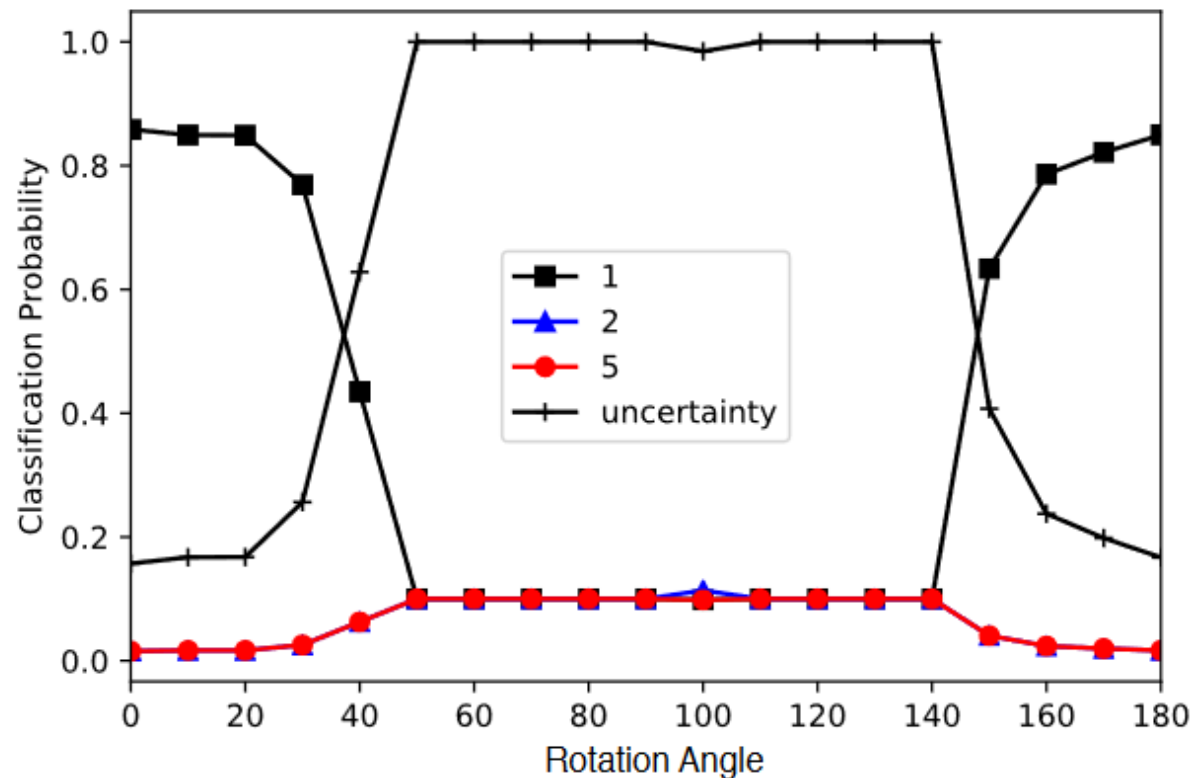
$L_t \leftarrow L_t \cup (z, y_z)$

$U_t \leftarrow U_t \setminus (z, y_z)$

 Train \mathcal{M} with $(L_s \cup L_t, U_t)$



Softmax-based Model



Evidential Model

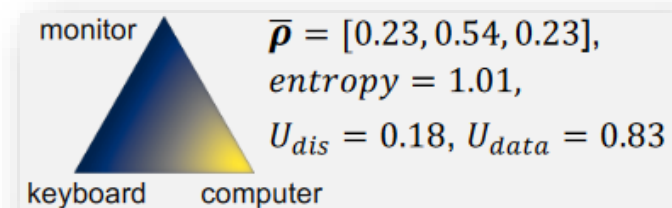
$$p(\boldsymbol{\rho}|\mathbf{x}_i, \boldsymbol{\theta}) = Dir(\boldsymbol{\rho}|\boldsymbol{\alpha}_i) = \begin{cases} \frac{\Gamma(\sum_{c=1}^C \alpha_{ic})}{\prod_{c=1}^C \Gamma(\alpha_{ic})} \prod_{c=1}^C \rho_c^{\alpha_{ic}-1}, & \text{if } \boldsymbol{\rho} \in \Delta^C \\ 0 & , \text{ otherwise} \end{cases}, \quad \alpha_{ic} > 0.$$

$\mathbf{1}^T \boldsymbol{\rho} = [\rho_1, \rho_2, \dots, \rho_C]^T = [P(y = 1), P(y = 2), \dots, P(y = C)]^T$ is a vector of class probabilities.

$$\boldsymbol{\alpha}_i = g(f(\mathbf{x}_i, \boldsymbol{\theta})) \quad \mathbf{e}_i = \boldsymbol{\alpha}_i - \mathbf{1} \quad \Delta^C = \{\boldsymbol{\rho} | \sum_{c=1}^C \rho_c = 1 \text{ and } \forall \rho_c, 0 \leq \rho_c \leq 1\}$$

Connection with softmax-based DNNs:

$$P(y = c|\mathbf{x}_i, \boldsymbol{\theta}) = \int p(y = c|\boldsymbol{\rho})p(\boldsymbol{\rho}|\mathbf{x}_i, \boldsymbol{\theta})d\boldsymbol{\rho} = \frac{\alpha_{ic}}{\sum_{k=1}^C \alpha_{ik}} = \frac{g(f_c(\mathbf{x}_i, \boldsymbol{\theta}))}{\sum_{k=1}^C g(f_k(\mathbf{x}_i, \boldsymbol{\theta}))} = \mathbb{E}[Dir(\rho_c|\boldsymbol{\alpha}_i)]$$



$$S = \sum_{i=1}^K (e_i + 1) \quad u = \frac{K}{S}$$

← Evidential Deep Learning to Quantify Classification Uncertainty

$$\underbrace{\mathcal{I}[y, \boldsymbol{\theta} | \mathbf{x}^*, \mathcal{D}]}_{\text{Model Uncertainty}} = \underbrace{\mathcal{H}[\mathbb{E}_{p(\boldsymbol{\theta} | \mathcal{D})} [P(y | \mathbf{x}^*, \boldsymbol{\theta})]]}_{\text{Total Uncertainty}} - \underbrace{\mathbb{E}_{p(\boldsymbol{\theta} | \mathcal{D})} [\mathcal{H}[P(y | \mathbf{x}^*, \boldsymbol{\theta})]]}_{\text{Expected Data Uncertainty}}$$

↑
Predictive Uncertainty Estimation via Prior Networks

Data uncertainty:

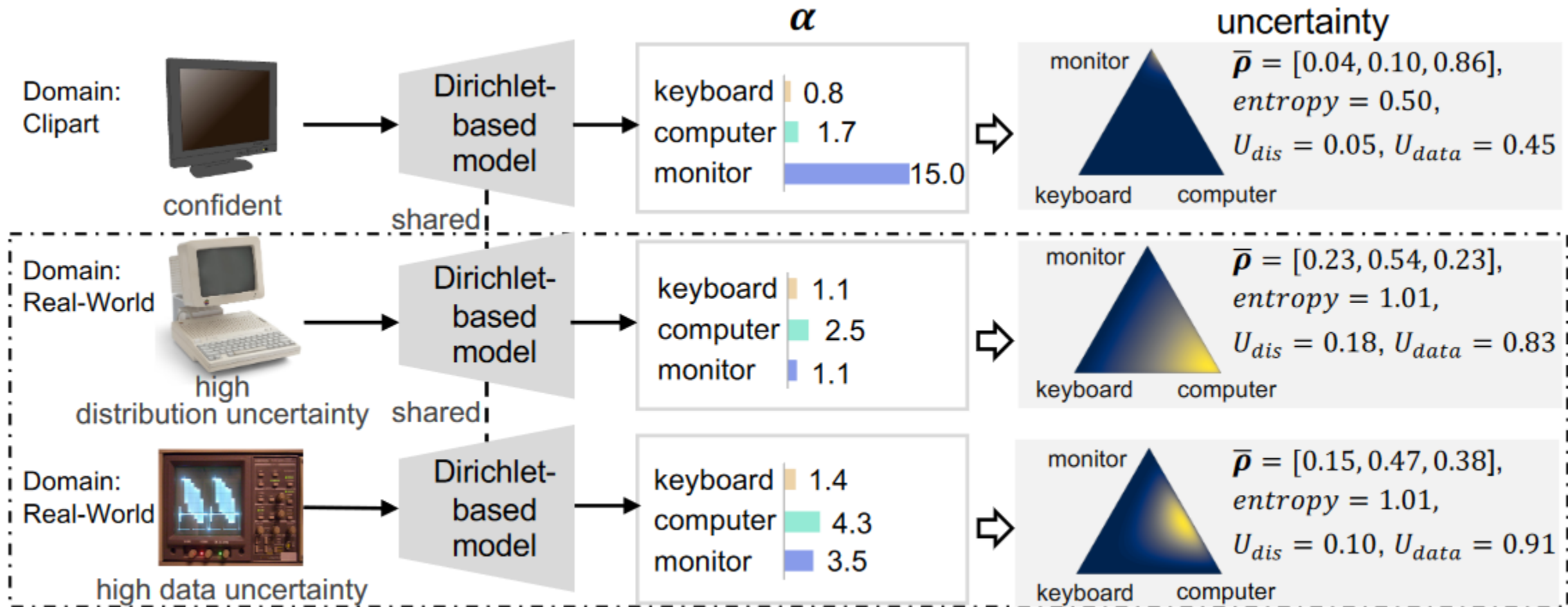
$$U_{data}(\mathbf{x}_j, \boldsymbol{\theta}) \triangleq \mathbb{E}_{p(\boldsymbol{\rho} | \mathbf{x}_j, \boldsymbol{\theta})} [H[P(y | \boldsymbol{\rho})]] = \sum_{c=1}^C \bar{\rho}_{jc} \left(\psi \left(\sum_{k=1}^C \alpha_{jk} + 1 \right) - \psi(\alpha_{jc} + 1) \right)$$

↑
Evidential Deep Learning to Quantify Classification Uncertainty

Distribution uncertainty:

$$U_{dis}(\mathbf{x}_j, \boldsymbol{\theta}) \triangleq I[y, \boldsymbol{\rho} | \mathbf{x}_j, \boldsymbol{\theta}] = \sum_{c=1}^C \bar{\rho}_{jc} \left(\psi(\alpha_{jc} + 1) - \psi \left(\sum_{k=1}^C \alpha_{jk} + 1 \right) \right) - \sum_{c=1}^C \bar{\rho}_{jc} \log \bar{\rho}_{jc}$$

Evidential Model



α : parameters of Dirichlet distribution $\bar{\rho}$: expected prediction U_{dis} / U_{data} : distribution / data uncertainty

Negative logarithm of the marginal likelihood

$$\begin{aligned}\mathcal{L}_{nll} &= \frac{1}{n_s} \sum_{\mathbf{x}_i \in \mathcal{S}} -\log \left(\int p(y = y_i | \boldsymbol{\rho}) p(\boldsymbol{\rho} | \mathbf{x}_i, \boldsymbol{\theta}) d\boldsymbol{\rho} \right) + \frac{1}{|\mathcal{T}^l|} \sum_{\mathbf{x}_j \in \mathcal{T}^l} -\log \left(\int p(y = y_j | \boldsymbol{\rho}) p(\boldsymbol{\rho} | \mathbf{x}_j, \boldsymbol{\theta}) d\boldsymbol{\rho} \right) \\ &= \frac{1}{n_s} \sum_{\mathbf{x}_i \in \mathcal{S}} \sum_{c=1}^C \Upsilon_{ic} \left(\log \left(\sum_{c=1}^C \alpha_{ic} \right) - \log \alpha_{ic} \right) + \frac{1}{|\mathcal{T}^l|} \sum_{\mathbf{x}_j \in \mathcal{T}^l} \sum_{c=1}^C \Upsilon_{jc} \left(\log \left(\sum_{c=1}^C \alpha_{jc} \right) - \log \alpha_{jc} \right)\end{aligned}$$

where $\Upsilon_{ic}/\Upsilon_{jc}$ is the c -th element of the one-hot label vector $\boldsymbol{\Upsilon}_i/\boldsymbol{\Upsilon}_j$ of sample $\mathbf{x}_i/\mathbf{x}_j$.

KL divergence

$$\mathcal{L}_{kl} = \frac{1}{C \cdot n_s} \sum_{\mathbf{x}_i \in \mathcal{S}} KL[Dir(\boldsymbol{\rho} | \tilde{\boldsymbol{\alpha}}_i) || Dir(\boldsymbol{\rho} | \mathbf{1})] + \frac{1}{C \cdot |\mathcal{T}^l|} \sum_{\mathbf{x}_j \in \mathcal{T}^l} KL[Dir(\boldsymbol{\rho} | \tilde{\boldsymbol{\alpha}}_j) || Dir(\boldsymbol{\rho} | \mathbf{1})]$$

where $\tilde{\boldsymbol{\alpha}}_{i/j} = \boldsymbol{\Upsilon}_{i/j} + (\mathbf{1} - \boldsymbol{\Upsilon}_{i/j}) \odot \boldsymbol{\alpha}_{i/j}$ and \odot is the element-wise multiplication.

Evidential Model Learning

Uncertainty loss

$$\mathcal{L}_{un} = \beta \mathcal{L}_{U_{dis}} + \lambda \mathcal{L}_{U_{data}} = \frac{\beta}{|\mathcal{T}^u|} \sum_{\mathbf{x}_k \in \mathcal{T}^u} U_{dis}(\mathbf{x}_k, \boldsymbol{\theta}) + \frac{\lambda}{|\mathcal{T}^u|} \sum_{\mathbf{x}_k \in \mathcal{T}^u} U_{data}(\mathbf{x}_k, \boldsymbol{\theta})$$

$$\mathcal{L}_{total} = \mathcal{L}_{edl} + \mathcal{L}_{un} = (\mathcal{L}_{nll} + \mathcal{L}_{kl}) + (\beta \mathcal{L}_{U_{dis}} + \lambda \mathcal{L}_{U_{data}})$$

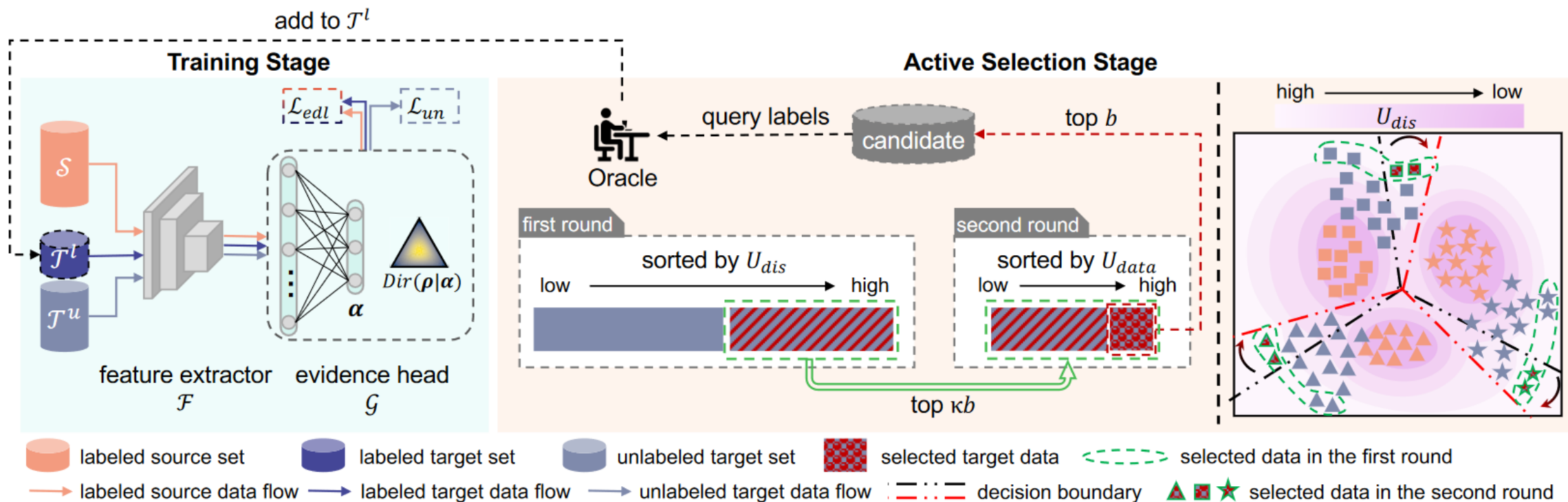


Table 1: Accuracy (%) on miniDomainNet with 5% target samples as the labeling budget (ResNet-50).

Method	clp→pnt	clp→rel	clp→skt	pnt→clp	pnt→rel	pnt→skt	rel→clp	rel→pnt	rel→skt	skt→clp	skt→pnt	skt→rel	Avg
Source-only	52.1	63.0	49.4	55.9	73.0	51.1	56.8	61.0	50.0	54.0	48.9	60.3	56.3
Random	61.6	78.7	61.6	64.0	78.7	63.7	60.5	64.3	61.1	64.8	58.7	75.2	66.1
BvSB (Joshi et al., 2009)	63.2	77.9	62.7	66.7	80.5	64.9	64.3	67.0	62.2	67.6	62.5	77.8	68.1
Entropy (Wang & Shang, 2014)	63.3	78.3	61.0	65.7	81.4	63.2	63.3	66.2	63.0	67.9	60.5	78.3	67.7
CoreSet (Sener & Savarese, 2018)	62.6	78.3	60.2	62.1	79.9	63.6	63.6	65.2	59.1	63.1	62.3	78.1	66.5
WAAL (Shui et al., 2020)	63.2	80.2	62.1	60.6	80.3	64.6	62.9	64.1	59.5	65.4	61.8	78.6	66.9
BADGE (Ash et al., 2020)	64.3	80.8	63.5	65.2	80.2	63.8	65.9	65.4	63.4	66.7	63.3	79.2	68.5
AADA (Su et al., 2019)	62.4	77.5	61.7	61.9	79.7	61.1	65.6	66.0	60.8	65.1	62.1	80.0	67.0
DBAL (Deheeger et al., 2021)	62.9	79.2	60.8	64.6	78.1	62.5	65.6	65.2	59.2	66.3	61.3	80.3	67.2
TQS (Fu et al., 2021)	67.8	82.0	65.4	67.5	84.8	66.1	63.8	67.2	62.5	71.1	64.4	81.6	70.4
CLUE (Prabhu et al., 2021)	57.6	77.5	58.6	58.9	76.8	65.9	66.3	60.2	60.5	66.2	58.7	76.0	65.3
EADA (Xie et al., 2021)	66.0	80.8	63.5	69.4	83.0	65.1	71.1	68.6	65.7	71.0	64.3	81.0	70.8
DUC	67.1±0.4	81.1±0.5	67.1±0.5	74.0±0.6	83.5±0.3	67.6±0.3	72.4±0.7	70.3±0.4	66.5±0.4	73.5±0.3	70.0±0.5	81.1±0.3	72.9±0.4
Fully-supervised	74.8	89.2	73.8	82.9	89.2	75.1	82.4	75.6	74.9	82.7	73.8	88.7	80.3

For miniDomainNet, since these compared baselines do not report the results on this dataset, we report our own runs based on their open source code.

Table 2: Accuracy (%) on Office-Home and VisDA-2017 with 5% target samples as the labeling budget (ResNet-50).

Method	VisDA-2017	Office-Home												Avg
	Synthetic→Real	Ar→Cl	Ar→Pr	Ar→Rw	Cl→Ar	Cl→Pr	Cl→Rw	Pr→Ar	Pr→Cl	Pr→Rw	Rw→Ar	Rw→Cl	Rw→Pr	
Source-only	44.7 ± 0.1	42.1	66.3	73.3	50.7	59.0	62.6	51.9	37.9	71.2	65.2	42.6	76.6	58.3
Random	78.1 ± 0.6	52.5	74.3	77.4	56.3	69.7	68.9	57.7	50.9	75.8	70.0	54.6	81.3	65.8
BvSB (Joshi et al., 2009)	81.3 ± 0.4	56.3	78.6	79.3	58.1	74.0	70.9	59.5	52.6	77.2	71.2	56.4	84.5	68.2
Entropy (Wang & Shand, 2014)	82.7 ± 0.3	58.0	78.4	79.1	60.5	73.0	72.6	60.4	54.2	77.9	71.3	58.0	83.6	68.9
CoreSet (Sener & Savarese, 2018)	81.9 ± 0.3	51.8	72.6	75.9	58.3	68.5	70.1	58.8	48.8	75.2	69.0	52.7	80.0	65.1
WAAL (Shui et al., 2020)	83.9 ± 0.4	55.7	77.1	79.3	61.1	74.7	72.6	60.1	52.1	78.1	70.1	56.6	82.5	68.3
BADGE (Ash et al., 2020)	84.3 ± 0.3	58.2	79.7	79.9	61.5	74.6	72.9	61.5	56.0	78.3	71.4	60.9	84.2	69.9
AADA (Su et al., 2019)	80.8 ± 0.4	56.6	78.1	79.0	58.5	73.7	71.0	60.1	53.1	77.0	70.6	57.0	84.5	68.3
DBAL (Deheeger et al., 2021)	82.6 ± 0.3	58.7	77.3	79.2	61.7	73.8	73.3	62.6	54.5	78.1	72.4	59.9	84.3	69.6
TQS (Fu et al., 2021)	83.1 ± 0.4	58.6	81.1	81.5	61.1	76.1	73.3	61.2	54.7	79.7	73.4	58.9	86.1	70.5
CLUE (Prabhu et al., 2021)	85.2 ± 0.4	58.0	79.3	80.9	68.8	77.5	76.7	66.3	57.9	81.4	75.6	60.8	86.3	72.5
EADA (Xie et al., 2021)	88.3 ± 0.1	63.6	84.4	83.5	70.7	83.7	80.5	73.0	63.5	85.2	78.4	65.4	88.6	76.7
DUC	88.9 ± 0.2	65.5 ± 0.3	84.9 ± 0.2	84.3 ± 0.4	73.0 ± 0.4	83.4 ± 0.2	81.1 ± 0.3	73.9 ± 0.3	66.6 ± 0.5	85.4 ± 0.2	80.1 ± 0.2	69.2 ± 0.3	88.8 ± 0.1	78.0 ± 0.3
Fully-supervised	93.3	95.6	99.5	99.5	99.3	99.6	99.5	99.3	95.8	99.5	99.5	95.6	99.5	98.5

Table 3: mIoU (%) comparisons on the task GTAV \rightarrow Cityscapes.

Method	budget	road	side.	buil.	wall	fence	pole	light	sign	veg.	terr.	sky	pers.	rider	car	truck	bus	train	motor	bike	mIoU
Source-only	-	75.8	16.8	77.2	12.5	21.0	25.5	30.1	20.1	81.3	24.6	70.3	53.8	26.4	49.9	17.2	25.9	6.5	25.3	36.0	36.6
MRKLD (Zou et al., 2019)	-	91.0	55.4	80.0	33.7	21.4	37.3	32.9	24.5	85.0	34.1	80.8	57.7	24.6	84.1	27.8	30.1	26.9	26.0	42.3	47.1
Seg-Uncertainty (Zheng & Yang, 2021)	-	90.4	31.2	85.1	36.9	25.6	37.5	48.8	48.5	85.3	34.8	81.1	64.4	36.8	86.3	34.9	52.2	1.7	29.0	44.6	50.3
TPLD (Shin et al., 2020)	-	94.2	60.5	82.8	36.6	16.6	39.3	29.0	25.5	85.6	44.9	84.4	60.6	27.4	84.1	37.0	47.0	31.2	36.1	50.3	51.2
ProDA (Zhang et al., 2021)	-	87.8	56.0	79.7	46.3	44.8	45.6	53.5	53.5	88.6	45.2	82.1	70.7	39.2	88.8	45.5	59.4	1.0	48.9	56.4	57.5
EADA (Xie et al., 2021)	5%	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	65.2
EADA* (Xie et al., 2021)	5%	96.5	73.8	88.6	51.3	44.8	40.9	47.4	56.5	89.1	55.0	91.3	69.2	47.6	90.7	66.4	64.9	53.1	52.4	66.6	65.6
DUC	5%	96.8	76.2	89.2	53.2	46.0	42.5	48.5	57.6	89.6	58.5	92.1	72.9	51.3	92.0	62.8	72.2	48.5	52.8	70.3	67.0
Fully-supervised	100%	97.2	78.1	90.6	54.5	52.7	43.2	54.2	65.1	90.5	59.9	92.4	72.8	50.7	91.8	74.0	77.2	67.6	56.3	70.9	70.5
AADA# (Su et al., 2019)	5%	92.2	59.9	87.3	36.4	45.7	46.1	50.6	59.5	88.3	44.0	90.2	69.7	38.2	90.0	55.3	45.1	32.0	32.6	62.9	59.3
MADA# (Ning et al., 2021)	5%	95.1	69.8	88.5	43.3	48.7	45.7	53.3	59.2	89.1	46.7	91.5	73.9	50.1	91.2	60.6	56.9	48.4	51.6	68.7	64.9
DUC#	5%	95.9	70.6	89.8	50.7	48.3	47.8	53.7	59.7	90.3	56.8	93.1	74.7	55.1	92.8	74.8	77.9	63.4	59.5	71.6	69.8
Fully-supervised#	100%	96.8	80.4	90.2	48.6	56.8	52.3	58.6	68.3	90.2	59.4	93.3	75.8	54.2	92.5	74.9	79.1	71.6	56.8	71.8	72.2

Methods with # are based on DeepLab-v3+ (Chen et al., 2018) and others are based on DeepLab-v2 (Chen et al., 2015). Method with budget “-” are the source-only or UDA methods. EADA* denotes the results are based on our own runs according to the corresponding open source code.

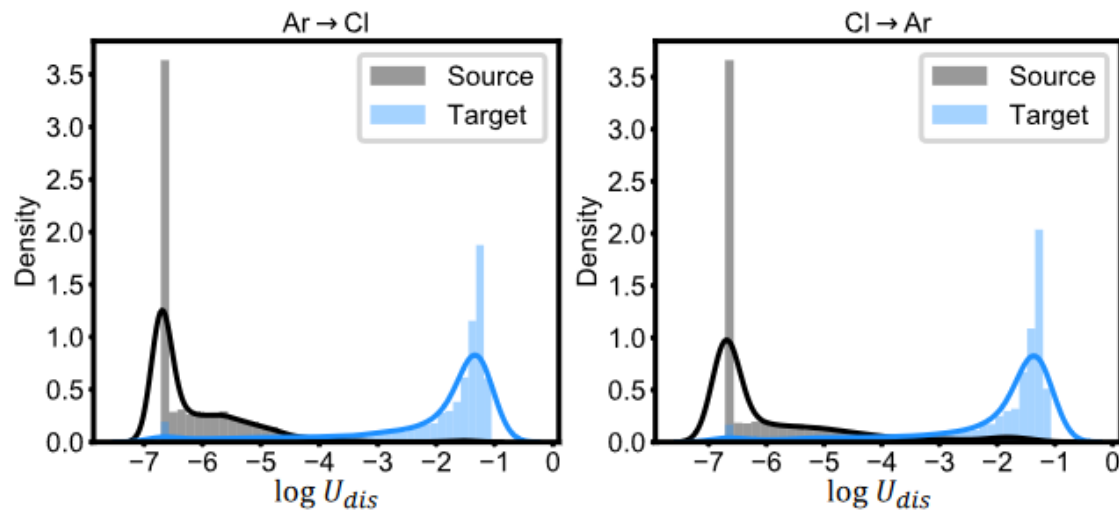
Table 4: mIoU (%) comparisons on the task SYNTHIA \rightarrow Cityscapes. mIoU* is reported according to the average of 13 classes, excluding the “wall”, “fence” and “pole”.

Method	budget	road	side.	buil.	wall*	fence*	pole*	light	sign	veg.	sky	pers.	rider	car	bus	motor	bike	mIoU	mIoU*
Source-only	-	64.3	21.3	73.1	2.4	1.1	31.4	7.0	27.7	63.1	67.6	42.2	19.9	73.1	15.3	10.5	38.9	34.9	40.3
MRKLD (Zou et al., 2019)	-	67.7	32.2	73.9	10.7	1.6	37.4	22.2	31.2	80.8	80.5	60.8	29.1	82.8	25.0	19.4	45.3	43.8	50.1
TPLD (Shin et al., 2020)	-	80.9	44.3	82.2	19.9	0.3	40.6	20.5	30.1	77.2	80.9	60.6	25.5	84.8	41.1	24.7	43.7	47.3	53.5
Seg-Uncertainty (Zheng & Yang, 2021)	-	87.6	41.9	83.1	14.7	1.7	36.2	31.3	19.9	81.6	80.6	63.0	21.8	86.2	40.7	23.6	53.1	47.9	54.9
ProDA (Zhang et al., 2021)	-	87.8	45.7	84.6	37.1	0.6	44.0	54.6	37.0	88.1	84.4	74.2	24.3	88.2	51.1	40.5	45.6	55.5	62.0
DUC	5%	96.1	73.1	88.7	43.3	39.0	42.2	49.9	55.5	90.7	92.8	73.7	49.2	91.9	67.9	45.9	71.1	66.9	72.8
Fully-supervised	100%	97.3	79.4	89.6	52.8	54.0	46.7	53.4	62.6	90.5	92.9	71.3	50.8	92.1	77.9	55.4	68.7	71.0	75.5
AADA# (Su et al., 2019)	5%	91.3	57.6	86.9	37.6	48.3	45.0	50.4	58.5	88.2	90.3	69.4	37.9	89.9	44.5	32.8	62.5	61.9	66.2
MADA# (Ning et al., 2021)	5%	96.5	74.6	88.8	45.9	43.8	46.7	52.4	60.5	89.7	92.2	74.1	51.2	90.9	60.3	52.4	69.4	68.1	73.3
DUC#	5%	96.3	74.6	89.4	46.8	47.6	46.8	49.7	63.1	90.3	91.3	74.7	53.8	93.1	78.9	57.0	71.0	70.3	75.6
Fully-supervised#	100%	97.0	80.4	90.9	48.6	56.2	52.1	58.5	67.4	91.3	93.4	75.5	54.2	92.3	78.5	56.1	71.3	72.7	77.4

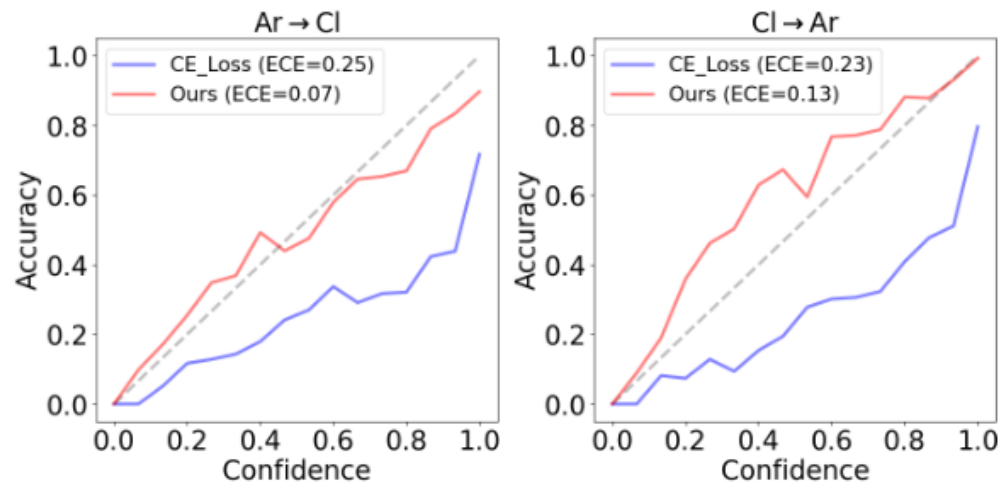
Methods with # are based on DeepLab-v3+ (Chen et al., 2018) and others are based on DeepLab-v2 (Chen et al., 2015). Method with budget “-” are the source-only or UDA methods.

Table 5: Ablation study of DUC on Office-Home.

Method	Loss		Active Selection Criterion				Avg
	$\mathcal{L}_{U_{dis}}$	$\mathcal{L}_{U_{data}}$	random	entropy	U_{dis}	U_{data}	
EDL	-	-	-	-	-	-	61.5
EDL	-	-	✓	-	-	-	71.1
EDL	-	-	-	✓	-	-	73.3
Variant A	-	-	-	-	✓	✓	74.1
Variant B	✓	-	-	-	✓	✓	76.6
Variant C	-	✓	-	-	✓	✓	74.2
Variant D	✓	✓	-	-	-	-	68.6
Variant E	✓	✓	✓	-	-	-	75.0
Variant F	✓	✓	-	✓	-	-	76.7
Variant G	✓	✓	-	-	✓	-	77.1
Variant H	✓	✓	-	-	-	✓	76.9
DUC	✓	✓	-	-	✓	✓	78.0



(a) Distribution of $\log U_{dis}$



(b) Expected calibration error (ECE) of target data

THANKS