Dominant Datapoints and the Block Structure Phenomenon in Neural Network Hidden Representations

Abstract

Recent work (Nguyen et al., 2020) has uncovered a striking phenomenon in large-capacity neural networks: they contain blocks of contiguous hidden layers with highly similar representations. This *block structure* has two seemingly contradictory properties: on the one hand, its constituent layers have highly similar dominant first principal components (PCs), but on the other hand, their representations, and their common first PC, are highly dissimilar across different random seeds. Our work seeks to reconcile these discrepant properties by investigating the origin of the block structure in relation to the data and training methods. By analyzing properties of the dominant PCs, we find that the block structure arises from *dominant datapoints* — a small group of examples that share similar image statistics (e.g. background color). However, the set of dominant datapoints, and the precise shared image statistic, can vary across random seeds. Thus, the block structure reflects meaningful dataset statistics, but is simultaneously unique to each model. Through studying hidden layer activations and creating synthetic datapoints, we demonstrate that these simple image statistics dominate the representational geometry of the layers inside the block structure. We also explore how the phenomenon evolves through training, finding that the block structure takes shape early in training, but the underlying representations and the corresponding dominant datapoints continue to change substantially. Finally, we study the interplay between the block structure and different training mechanisms, introducing a targeted intervention to eliminate the block structure, as well as examining the effects of pretraining and Shake-Shake regularization.

1 Introduction

Many modern successes of deep neural networks have used simple rules to systematically increase model capacity, often through scaling architecture depth and width (Tan & Le, 2019). These large capacity models typically also maintain strong performance even in tasks with small amounts of training data. This has led to their widespread use across different many applications, including data-scarce, high-stakes settings such as medical imaging (Wang et al., 2016; Liu et al., 2017).

However, recent work has shown that the representational structures of these large capacity models exhibit distinctive properties that are not present in shallower/narrower networks. Specifically, Nguyen et al. (2020) find a large set of contiguous hidden layers with highly similar representations. This is visible as a clear *block structure* when computing a heatmap of pairwise layer representational similarities (see Figure 1a). Nguyen et al. (2020) show that this block structure appears across different natural image datasets; in Figure 1b we reproduce this finding and extend it to a medical histopathology task.

Nguyen et al. (2020) also uncover two seemingly contradictory properties of this block structure. On one hand, it corresponds to a dominant (according to the proportion of variance explained) first principal component (PC) of the hidden representations, which is preserved and propagated by the constituent layers (Figure 2a). This suggests that the block structure reflects signals representative of the data the model is trained on. But on the other hand, this dominant PC and the block structure representation are highly dissimilar across random seeds (Figure 2b). Such representational inconsistencies have been linked to overfitting and poor generalization (Morcos et al., 2018).

Figure 1: (a): Block structure arises in wide and deep networks. Heatmaps show similarity between layer representations, measured with linear CKA, for models of varying widths and depths trained on CIFAR-10. As models become wider or deeper, "blocks" of consecutive layers share similar representations. **(b): Block structure arises on many datasets.** Models trained on CIFAR-100 and the medical histopathology dataset Patch Camelyon show similar behavior to those in panel (a).

Figure 2: (a): The first principal component of representations inside the block structure explains the majority of the variance in representations. Top: CKA similarity heatmaps for networks that do and do not exhibit block structure. Bottom: Fraction of variance in representations explained by first principal component. See Appendix B for more networks. **(b): Representations inside the block structure are highly unique to each seed.** 2 leftmost panels show similarity of representations *within* networks trained with 2 different random seeds. Rightmost panel shows similarity *between* the 2 networks.

The prevalence of the block structure, and this discrepancy in its properties, motivate a pressing fundamental question — is the block structure a sign of overfitting to idiosyncrasies of the data and training process, or does it pick up meaningful signals? In this paper, we uncover answers to this question, investigating the origin of the block structure in relation to the data and training methods, and reconciling its contradictory behaviors. Specifically, our findings are as follows:

- The dominant first principal components of the layers that make up the block structure arise from a small number of *dominant datapoints* that share similar characteristics (e.g., background color).
- But the set of dominant datapoints and their common characteristics can vary across training runs, leading to the observed block structure dissimilarities across random seeds.
- Like the block structure phenomenon, dominant datapoints can only be found in large capacity neural networks. We show that if these dominant datapoints are excluded from the dataset used for representational analysis, the block structure effect disappears.
- We find that dominant datapoints strongly activate the hidden layers corresponding to the block structure. By constructing synthetic examples based off of their shared image characteristics, we show that these characteristics are indeed responsible for the high activation norms.
- The block structure emerges early in training, but early block structures have different representations and yield different dominant datapoints than the final block structure when the model converges.
- We study whether it is possible to eliminate the block structure without interfering with generalization, finding this to be the case through a novel principal component regularization method. We also show that alternative training mechanisms such as transfer learning and Shake-Shake regularization can reduce the block structure and yield more consistent representations across different training runs.

2 RELATED WORK

Previous work has studied certain propensities of deep neural networks in the standard training setting, such as their simplicity bias (Huh et al., 2021; Valle-Perez et al., 2018; Nakkiran et al., 2019), texture bias (Baker et al., 2018; Geirhos et al., 2018; Hermann et al., 2019) and reliance on spurious correlations (McCoy et al., 2019; Geirhos et al., 2020; Ribeiro et al., 2016; Jo & Bengio, 2017; Hosseini & Poovendran, 2018). Inspired by the finding in (Nguyen et al., 2020) that deep and wide networks learn many layers with very similar representations, we seek to characterize the kind of signals these layers may overfit to. Additionally, our work also explores how this signal varies over the course of training instead of focusing on a single, final model. To do so, we analyze the behavior of the *internal representations* of models of varied depths and widths, using methods for measuring similarity of neural network hidden representations (Kornblith et al., 2019; Raghu et al., 2017; Morcos et al., 2018). Besides shedding light on model training procedures (Gotmare et al., 2018; Neyshabur et al., 2020), features (Resnick et al., 2019; Thompson et al., 2019; Hermann & Lampinen, 2020), and dynamics (Maheswaranathan et al., 2019), representational analysis has also furthered understanding of network internals in applications of deep learning, such as medicine (Raghu et al., 2019) and machine translation (Bau et al., 2019).

Although empirical in nature, our work is also related to the generalization properties of overparameterized models (Zhang et al., 2016). Most theoretical work in this area has focused on linear models, models with random features, or kernel settings (Belkin et al., 2018; Hastie et al., 2019; Liang et al., 2020; Bartlett et al., 2020), all of which lack intermediate features, or studies networks without nonlinearities (Advani et al., 2020). Our results suggest that the behavior of intermediate features of practical neural networks changes dramatically with increasing overparameterization, in ways that are not obvious from previous analysis.

3 EXPERIMENTAL SETUP AND BACKGROUND

Measuring Representation Similarity with CKA: Centered kernel alignment (CKA) (Kornblith et al., 2019; Cortes et al., 2012) addresses several challenges in measuring similarity between neural network hidden representations including (i) their large size; (ii) neuronal alignment between different layers; and (iii) features being distributed across multiple neurons in a layer. Like Nguyen et al. (2020), we use the minibatch implementation of linear CKA with a batch size of 256 sampled without replacement from the test dataset, and accumulate statistics over 10 epochs to allow the minibatch estimator to converge.

More concretely, given k minibatches of n examples, and two layers having p_1 neurons and p_2 neurons each, minibatch CKA takes as inputs k pairs of activation matrices $(\mathbf{X}_1, \mathbf{Y}_1), \ldots, (\mathbf{X}_k, \mathbf{Y}_k)$ where $\mathbf{X}_i \in \mathbb{R}^{n \times p_1}$ and $\mathbf{Y}_i \in \mathbb{R}^{n \times p_2}$ reflect the activations of these layers to the same minibatches. It produces a scalar similarity score between 0 and 1 by averaging HSIC scores over minibatches:

$$\text{CKA}_{\text{minibatch}} = \frac{\frac{1}{k} \sum_{i=1}^{k} \text{HSIC}_1(\mathbf{X}_i \mathbf{X}_i^{\mathsf{T}}, \mathbf{Y}_i \mathbf{Y}_i^{\mathsf{T}})}{\sqrt{\frac{1}{k} \sum_{i=1}^{k} \text{HSIC}_1(\mathbf{X}_i \mathbf{X}_i^{\mathsf{T}}, \mathbf{X}_i \mathbf{X}_i^{\mathsf{T}})} \sqrt{\frac{1}{k} \sum_{i=1}^{k} \text{HSIC}_1(\mathbf{Y}_i \mathbf{Y}_i^{\mathsf{T}}, \mathbf{Y}_i \mathbf{Y}_i^{\mathsf{T}})}}, \quad (1)$$

where HSIC_1 is the unbiased estimator from Song et al. (2012). The result is an estimator of CKA that converges to the same value regardless of the batch size.

We compute CKA between *all* layer representations, including before and after batch normalization, activations, and residual connections. In experiments that involve tracking how a model's internal properties (principal components of activations, representation similarity, etc.) change across epochs, we set batch normalization layers to be in training mode, to reduce the difficulty of adapting to batch statistics of the test set when the model has not converged.

The Block Structure Phenomenon: Nguyen et al. (2020) use CKA to compute the representation similarity for all pairs of layers within the same model and visualizes the result as a heatmap (with x and y axes indexing the layers from input to output). They find a contiguous range of hidden layers with very high representation similarity (yellow squares on heatmaps in Figure 1a) in very deep or wide models, and call this phenomenon the block structure. The block structure arises in networks that are large *relative* to the size of the training set — although small networks do not exhibit block structure when trained on CIFAR-10, they do exhibit block structure on smaller datasets.

Representations of the layers that comprise the block structure exhibit different representational geometry than other layers. For layers inside the block structure, the first principal component explains a large fraction of the variance in representations; this is not the case for the rest of the layers or for networks without the block structure (Nguyen et al., 2020). We replicate this observation in Figure 2a. The substantial similarity between layers inside the block structure reflects a high degree of alignment of their first principal components, as can be seen from the following decomposition for centered matrices of activations $X \in \mathbb{R}^{n \times p_1}, Y \in \mathbb{R}^{n \times p_2}$:

$$\text{CKA}(XX^\top, YY^\top) = \frac{\sum_{i=1}^{p_1} \sum_{j=1}^{p_2} \lambda_X^i \lambda_Y^j \langle u_X^i, u_Y^j \rangle^2}{\sqrt{\sum_{i=1}^{p_1} (\lambda_X^i)^2} \sqrt{\sum_{j=1}^{p_2} (\lambda_Y^j)^2}} \quad (2)$$

where $u_X^i \in \mathbb{R}^n$ and $u_Y^i \in \mathbb{R}^n$ are the ith normalized principal components of X and Y, and λ_X^i and λ_Y^i are the amounts of variance that these principal components explain (Kornblith et al., 2019). As the fraction of variance explained by the first principal component of each representation approaches 1, CKA becomes a measure of the squared cosine similarity between first principal components $\langle u_X^1, u_Y^1 \rangle^2$. Nguyen et al. (2020) conclude that the block structure preserves and propagates a dominant first principal component across many hidden layers.

Datasets & Models: Our setup closely follows that of Nguyen et al. (2020) and analyzes ResNets of varying depths and widths, trained on common image classification datasets CIFAR-10 and CIFAR-100 (Krizhevsky et al., 2009), as well as the medical imaging dataset Patch Camelyon (Veeling et al., 2018). These datasets are chosen to reflect the image statistics found in different domains, and we observe that they all easily induce a block structure in reasonably sized ResNets.

The ResNet architecture design follows what is described in Zagoruyko & Komodakis (2016), with the layers distributed evenly between three stages — each marked by a different feature map size — and the number of channels is doubled after each stage. To scale the model depth and width, we increase the number of layers and channels respectively. In experiments involving Shake-Shake regularization (Gastaldi, 2017), the network is modified to have 3 branches that are combined in a stochastic fashion. More information on hyperparameters can be found in Appendix A.

4 DOMINANT DATAPOINTS AND HOW THEY SHAPE THE BLOCK STRUCTURE

4.1 DATAPOINTS THAT ACTIVATE THE FIRST PRINCIPAL COMPONENTS

Figure 3: Visualization of the distribution of projected values onto the first principal component by test inputs. There exist a small number of datapoints that yield significantly larger projected values than the rest and dominate the first principal component of the network. Here we show examples of those dominant images for two different seeds of ResNet-164 (1×) (columns). Each seed's dominant images share similar background colors, but these background colors differ between seeds. Further visualization of dominant datapoints across different layers — for instance, layers 250 and 500 in this case — show that they are consistent across layers making up the block structure. See Appendix C for analysis of other models and tasks.

Motivated by previous evidence that the block structure propagates a dominant principal component across its constituent layers, we attempt to interpret the signal carried by this PC by examining the

Figure 4: Removing a small number of dominant datapoints eliminates the block structure. Plots show the effect of removing examples with the largest projections on the first PC of layer 300 of ResNet-164 (1 ×) models. Columns reflect different numbers of examples removed; rows reflect models trained from different seeds. Within each group, the top left plot shows internal CKA heatmaps, the bottom left shows the fraction of variance explained by the first PC, and the images reflect the new examples with the largest projection on the first PC after data removal.

distribution of values after projecting all test examples onto the first PC of each layer's activations. We find that the distribution is bimodal: while most values are concentrated within a certain range (in terms of magnitude), there exist some that are orders of magnitude bigger (Figure 3).

We call these datapoints with large projections *dominant datapoints*, and find that they are consistent across the range of layers making up the block structure, as seen from each column of images in Figure 3 showing the dominant datapoints for two different layers in the same block structure. This explains why the first principal components of different layer activations inside the block structure are highly similar (Figure 2a), an observation made earlier in (Nguyen et al., 2020). Moreover, this dominant datapoint phenomenon is present only in networks that also exhibit a block structure. As shown in Appendix Figure C.1, in networks without block structure, projections on the first principal component are unimodally distributed and the corresponding datapoints differ between layers.

Dominant datapoints are visually similar. In the left column of Figure 3, we observe that all data-points have a blue background, although the precise shade of blue varies. However, the background colors that the first principal component picks up on depend on the random seed used to train the model. The right column of Figure 3 shows the corresponding properties of an architecturally identical model trained from a different seed, where the dominant datapoints share white backgrounds instead. Refer to Appendix C for visualizations of dominant images found in other tasks (CIFAR-100, Patch Camelyon) and model architectures (wide ResNet). We find that besides background color, the dominant datapoints can also reflect other simple image patterns that are prevalent in the dataset, such as the appearance of large dark spots in histopathologic scans (Appendix Figure C.3).

We proceed to removing dominant datapoints from the dataset and observe the resulting effect on representational heatmaps and the fraction of variance explained by the first PC. As seen in Figure 4, when 10% most dominant datapoints are excluded from evaluation, the block structure is completely eliminated in all 3 training runs of ResNet-164 (1 ×) that we examined, and the fraction of variance explained by the first PCs is substantially reduced. For one of the seeds, removing only the 1% most dominant datapoints is already enough to achieve this effect. This suggests that the block structure is completely determined by the dominant images and is sensitive to the frequency of the dataset statistics that they capture.

4.2 DOMINANT DATAPOINTS HAVE LARGE ACTIVATION NORMS

Having discovered dominant datapoints by projecting onto the first principal component of the un-derlying representations, we next explore their implications on other properties of the internal rep-

Figure 5: Datapoints that dominate the first principal components of the block structure also strongly activate the corresponding layers. We explore the relationship between dominant datapoints and activation norms for ResNet-164 (1×) trained on CIFAR-10 (top row) and ResNet-80 (1×) trained on Patch Camelyon data (bottom row). For layers inside the block structure (left column), dominant datapoints (inset) produce much larger activation norms than the median of a randomly selected minibatch (middle column). Moreover, within these layers, the norms of the activations of different datapoints are highly correlated with the magnitudes of their projections on the first principal component (right column).

resentations, such as through layer activations. We investigate what happens to the activations of a dominant example as it propagates through the network, and observe that it strongly activates the parts of the network with a visible block structure. Figure 5 shows two dominant datapoints, for a ResNet trained on CIFAR-10 that has a preference for white background images (top row), and for another ResNet trained on Patch Camelyon that responds to clear pink backgrounds (bottom row). Both models contain the block structure in their internal representations, and we find that in the corresponding layers, the activations of the dominant datapoints are substantially bigger than the median activations of the minibatches they are a part of.

4.3 Case Study: Image Backgrounds As a Dominant Dataset Property

As background colors appear to be a common dataset characteristic that is picked up by many large-capacity models, we provide further evidence, through data and training manipulations, to confirm that this is a real property of the hidden representations that emerges only with overparameterization.

First, we attempt to illustrate the connection between specific background colors, which vary across random seeds, and the layer activations. To approximate this data statistic, we repeat only the top left pixel in each image across the entire dimensions of the image, obtaining solid color images. These synthetic images indeed yield even larger activations compared to the dominant images they are taken from, and different initializations of architecturally identical networks respond to different synthetic images. For instance, given the ResNet-164 (1×) model that has dominant datapoints containing a blue background (Figure 3), its hidden layers are further activated when all image pixels are replaced with the same shade of blue, but a solid white image produces considerably smaller activations (Figure 6). In the same figure, we observe the opposite trend for another ResNet-164 (1×) seed, which has been shown to pick up on white backgrounds (see Figure 3). Refer to Appendix E for similar analysis on the Patch Camelyon dataset.

Intervention: Color Augmentation: Given earlier insights, a natural intervention to prevent the network from potentially picking up background color signal is adding color augmentation. This includes randomly dropping color channels and jittering brightness, contrast, saturation, and hue of training images (Howard, 2013; Szegedy et al., 2015). As shown in Figure 7, training with this data augmentation reduces the block structure effect in large capacity models as expected.

5 Evolution of the Block Structure during Training

In the previous section, we characterize the signals the block structure propagates across its layers, and explore their implications on other aspects of the network internals. Informed by these findings,

Figure 6: Solid color images strongly activate intermediate layers. Rows show models with the same architecture (ResNet-164 (1×)) that are trained from different random initializations. The first model's dominant datapoints consist of images with blue backgrounds (see inset images), whereas the second network prefers white background images. We then observe that layers of the first model are strongly activated by solid blue images, but not solid white images, whereas the second model shows the opposite pattern. Layers of both models are strongly activated by their respective dominant datapoints (red lines), but other solid colors (e.g., green) do not yield strong activations in either. To improve readability of the plot, we plot only the representations at the end of each ResNet block. See Appendix E for similar findings on Patch Camelyon models.

Figure 7: Simply adding color augmentation helps reduce the block structure effect. Having established that the activations and representational components of some large-capacity models pick up on common background colors from the inputs, we experiment with color dropping and color jittering during training to counter this effect. Indeed, color augmentation minimizes the block structure appearance in the internal representations.

we next explore what happens to the block structure and the dominant images over time, from initialization until the model converges, and how this process varies across different training runs.

Figure 8 shows the evolution of the internal representations of a ResNet-110 (1×) model as it is trained for 300 epochs on CIFAR-10, and tracks how similar each checkpoint is to the final model. We observe that some structure in the CKA heatmap is already present by the first epoch, and the heatmap undergoes little qualitative change past epoch 20 (top set of plots). However, when we inspect the corresponding dominant datapoints and compare the hidden representations between intermediate checkpoints and the final model (bottom rows of plots), we find that the block structure does not always carry the same information. Instead, the representations, and corresponding groups of dominant datapoints, only stabilize much later in training. We observe similar behavior for other models in Appendix F, and note that the differences in block structure representations across random seeds already take shape near the start of training as well. Overall these findings suggest that the uniqueness of the block structure representations in large-capacity models can be attributed to both initialization parameters and the image minibatches the models receive throughout training.

To further explore the link between dominant datapoints and fluctuations in network representations, in Appendix Figure F.4, we track the magnitude of the projected value on the first PC of a single dominant datapoint found at the *end* of training, and find that the value plummets at epochs when the internal representation structure diverges from that of the fully trained model (i.e., epochs 0, 120 and 240). At these epochs, the dominant datapoint does not produce large activations either (bottom set of plots). This illustrates the significance of the observed variations in dominant datapoints through the training of large-capacity models.

Figure 8: Block structure phenomenon arises early during training, but the corresponding dominant datapoints continue to change substantially. We compute the CKA between all pairs of layers within a ResNet-110 (1×) model at different stages of training, and find that the shape of the block structure is defined early in training (top row). However, comparing these different model checkpoints to the fully-trained model reveals that the block structure representations at different epochs are considerably dissimilar to the final representations, especially during the first half of the training process (middle row). The dominant datapoints also vary significantly over the course of training, even after the block structure is clearly visible in the heatmaps (bottom row). See Appendix F for similar plots with greater granularity, different seeds and architectures.

6 BLOCK STRUCTURE AND TRAINING MECHANISMS

Having observed how the internal representation structures — more specifically the dominant PCs of the layer representations — could vary significantly over the course of training, we turn to examining the interplay between the block structure and the training mechanism. Even though the block structure arises naturally with standard training, previous work has suggested that the block structure may be an indication of redundant modules in the corresponding networks (Nguyen et al., 2020). Thus, it is natural to ask whether it is possible to train large-capacity models that do not have a block structure, and how such models perform compared to those with block structures.

Since the block structure reflects the similarity of a dominant first principal component, propagated across a wide range of hidden layers (see Section 3), we study whether regularizing the first principal components of layer activations would eliminate the block structure. More specifically, we estimate the fraction of variance explained by the first principal component of each layer using power iteration and penalize it in the loss when it exceeds 20%. We provide full implementation details in Appendix G. The resulting heatmap, in Figure 9 top right, shows that not only does this eliminate the block structure from the internal representations, but surprisingly there is also no detrimental effect on performance (Appendix Table G.1). We even observe small accuracy improvements on CIFAR-100 and in the low-data regime, as shown in Appendix Table G.1.

Other standard training practices that are commonly used to boost performance are also effective at reducing or eliminating the block structure effect. Shake-Shake regularization (Gastaldi, 2017) eliminates the block structure for all of the network sizes that we examine (Figure 9, bottom left), whereas transfer learning (Figure 9, bottom right) and training with smaller batch sizes (Appendix H) appear to reduce the appearance of the block structure, although blocks are still discernible in the largest models that we trained. In addition to regularizing the block structure, these training methods also produce more similar representations across different training runs of the same architecture configuration (Appendix Figure I.1).

Overall, our findings suggest that it is possible to obtain good generalization accuracy in networks with and without block structure. We observe that learning processes that reduce the dominance of the first PC of the representations provide slightly higher accuracies than standard training. However, some caution is warranted in interpreting these performance benefits: it may be difficult to causally determine the connection between the block structure and performance, as any training intervention targeting the block structure may have other distinct ramifications that also affect performance.

Figure 9: Training with principal component regularization, transfer learning and Shake-Shake regularization helps to eliminate the block structure. We directly regularize the first PC of each layer activations given that this component explains a large fraction of variance in block structure representations, and find that this eliminates the block structure. Full algorithm details can be found in Appendix G. Shake-Shake regularization (Gastaldi, 2017) has a similar effect. We also find that transfer learning reduces the appearance of the block structure, although it is still present in the largest network we trained. These results demonstrate that the block structure phenomenon is dependent on the training mechanism (see Appendix I for implications of these training methods on representations across random seeds).

7   DISCUSSION

Scope and Limitations: Our work primarily focuses on the behavior of large-capacity networks trained on relatively small datasets. This is motivated by domains such as medical imaging where data is expensive relative to the cost of training a large model, and the high-stakes nature makes it important to understand the model's behavior. Additional future exploration is necessary to study state-of-the-art settings in e.g. NLP, which use much bigger and heterogeneous datasets.

In this work, we have used representational similarity as an exploratory tool, rather than a primary metric, and we have characterized the dominant datapoint phenomenon in terms of concrete properties of individual layer representations. However, the qualitative appearance of the "block structure" that motivates our investigation is somewhat dependent on the choice of kernel used to measure representational similarity. All kernels we have tested are sensitive to the representational differences between dominant and non-dominant datapoints, but the linear kernel produces particularly strong "blocks" in representational similarity heatmaps compared to RBF or cosine kernels (Appendix J). These kernels yield qualitatively different heatmaps only in large-capacity networks, and these differences stem from the interaction between the properties of the kernels and the properties of the dominant datapoints that we have uncovered.

Conclusion: The block structure phenomenon uncovered in previous work (Nguyen et al., 2020) reveals significant differences in the representational structures of overparameterized neural networks and shallower/narrower ones. However, it also exhibits some contradicting behaviors — being unique to each network while propagating a dominant PC across a wide range of layers — that suggest the underlying representations could either overfit to noise artifacts or capture relevant signals in the data. Our work seeks to provide an explanation for this discrepancy. We find that despite the inconsistency of the block structure across different training runs, it arises not from noise, but real and simple dataset statistics such as background color. We further discover a small set of dominant datapoints (with large activation norms) that are responsible for the block structure. These datapoints emerge early in training and vary across epochs, as well as across random seeds. We show how different training procedures, including color augmentation, transfer learning, Shake-Shake regularization, and a novel principal component regularizer, can reduce the influence of these dominant datapoints, eliminating the block structure and leading to more consistent representations across training runs. This work motivates interesting open questions such as exploring how dominant datapoints are manifested in other domains and applications of deep learning, and applying principal component regularization to distribution shift and self-supervision problems.

REPRODUCIBILITY STATEMENT

Our experiments are performed on standard datasets and architectures that are publicly available. We provide information regarding training hyperparameters in Appendix A and implementation details for the principal component regularizer in Appendix G. We plan to release source code for reproducing our results upon acceptance of the paper.

REFERENCES

Madhu S Advani, Andrew M Saxe, and Haim Sompolinsky. High-dimensional dynamics of generalization error in neural networks. *Neural Networks*, 132:428–446, 2020.

Nicholas Baker, Hongjing Lu, Gennady Erlikhman, and Philip J Kellman. Deep convolutional networks do not classify based on global object shape. *PLoS computational biology*, 14(12): e1006613, 2018.

Peter L Bartlett, Philip M Long, Gábor Lugosi, and Alexander Tsigler. Benign overfitting in linear regression. *Proceedings of the National Academy of Sciences*, 117(48):30063–30070, 2020.

Anthony Bau, Yonatan Belinkov, Hassan Sajjad, Nadir Durrani, Fahim Dalvi, and James Glass. Identifying and controlling important neurons in neural machine translation. In *International Conference on Learning Representations*, 2019. URL https://openreview.net/forum?id=H1z-PsR5KX.

Mikhail Belkin, Siyuan Ma, and Soumik Mandal. To understand deep learning we need to understand kernel learning. In *International Conference on Machine Learning*, pp. 541–549. PMLR, 2018.

Corinna Cortes, Mehryar Mohri, and Afshin Rostamizadeh. Algorithms for learning kernels based on centered alignment. *The Journal of Machine Learning Research*, 13(1):795–828, 2012.

Xavier Gastaldi. Shake-shake regularization. *arXiv preprint arXiv:1705.07485*, 2017.

Robert Geirhos, Patricia Rubisch, Claudio Michaelis, Matthias Bethge, Felix A Wichmann, and Wieland Brendel. Imagenet-trained cnns are biased towards texture; increasing shape bias improves accuracy and robustness. *arXiv preprint arXiv:1811.12231*, 2018.

Robert Geirhos, Jörn-Henrik Jacobsen, Claudio Michaelis, Richard Zemel, Wieland Brendel, Matthias Bethge, and Felix A Wichmann. Shortcut learning in deep neural networks. *Nature Machine Intelligence*, 2(11):665–673, 2020.

Akhilesh Gotmare, Nitish Shirish Keskar, Caiming Xiong, and Richard Socher. A closer look at deep learning heuristics: Learning rate restarts, warmup and distillation. *arXiv preprint arXiv:1810.13243*, 2018.

Trevor Hastie, Andrea Montanari, Saharon Rosset, and Ryan J Tibshirani. Surprises in high-dimensional ridgeless least squares interpolation. *arXiv preprint arXiv:1903.08560*, 2019.

Kaiming He, Xiangyu Zhang, Shaoqing Ren, and Jian Sun. Deep residual learning for image recognition. In *Proceedings of the IEEE conference on computer vision and pattern recognition*, pp. 770–778, 2016.

Katherine L Hermann and Andrew K Lampinen. What shapes feature representations? exploring datasets, architectures, and training. *arXiv preprint arXiv:2006.12433*, 2020.

Katherine L Hermann, Ting Chen, and Simon Kornblith. The origins and prevalence of texture bias in convolutional neural networks. *arXiv preprint arXiv:1911.09071*, 2019.

Hossein Hosseini and Radha Poovendran. Semantic adversarial examples. In *Proceedings of the IEEE Conference on Computer Vision and Pattern Recognition Workshops*, pp. 1614–1619, 2018.

Andrew G Howard. Some improvements on deep convolutional neural network based image classification. *arXiv preprint arXiv:1312.5402*, 2013.

Minyoung Huh, Hossein Mobahi, Richard Zhang, Brian Cheung, Pulkit Agrawal, and Phillip Isola. The low-rank simplicity bias in deep networks. *arXiv preprint arXiv:2103.10427*, 2021.

Jason Jo and Yoshua Bengio. Measuring the tendency of CNNs to learn surface statistical regularities. *arXiv preprint arXiv:1711.11561*, 2017.

Simon Kornblith, Mohammad Norouzi, Honglak Lee, and Geoffrey Hinton. Similarity of neural network representations revisited. In *ICML*, 2019.

Alex Krizhevsky, Geoffrey Hinton, et al. Learning multiple layers of features from tiny images. 2009.

Tengyuan Liang, Alexander Rakhlin, et al. Just interpolate: Kernel "ridgeless" regression can generalize. *Annals of Statistics*, 48(3):1329–1347, 2020.

Yun Liu, Krishna Gadepalli, Mohammad Norouzi, George E Dahl, Timo Kohlberger, Aleksey Boyko, Subhashini Venugopalan, Aleksei Timofeev, Philip Q Nelson, Greg S Corrado, et al. Detecting cancer metastases on gigapixel pathology images. *arXiv preprint arXiv:1703.02442*, 2017.

Niru Maheswaranathan, Alex Williams, Matthew Golub, Surya Ganguli, and David Sussillo. Universality and individuality in neural dynamics across large populations of recurrent networks. In *Advances in neural information processing systems*, pp. 15629–15641, 2019.

R Thomas McCoy, Ellie Pavlick, and Tal Linzen. Right for the wrong reasons: Diagnosing syntactic heuristics in natural language inference. *arXiv preprint arXiv:1902.01007*, 2019.

Takeru Miyato, Toshiki Kataoka, Masanori Koyama, and Yuichi Yoshida. Spectral normalization for generative adversarial networks. In *International Conference on Learning Representations*, 2018. URL https://openreview.net/forum?id=B1QRgziT-.

Ari S Morcos, Maithra Raghu, and Samy Bengio. Insights on representational similarity in neural networks with canonical correlation. *arXiv preprint arXiv:1806.05759*, 2018.

Preetum Nakkiran, Gal Kaplun, Dimitris Kalimeris, Tristan Yang, Benjamin L Edelman, Fred Zhang, and Boaz Barak. Sgd on neural networks learns functions of increasing complexity. *arXiv preprint arXiv:1905.11604*, 2019.

Behnam Neyshabur, Hanie Sedghi, and Chiyuan Zhang. What is being transferred in transfer learning? *arXiv preprint arXiv:2008.11687*, 2020.

Thao Nguyen, Maithra Raghu, and Simon Kornblith. Do wide and deep networks learn the same things? uncovering how neural network representations vary with width and depth. *arXiv preprint arXiv:2010.15327*, 2020.

Maithra Raghu, Justin Gilmer, Jason Yosinski, and Jascha Sohl-Dickstein. Svcca: Singular vector canonical correlation analysis for deep learning dynamics and interpretability. In *Advances in Neural Information Processing Systems*, pp. 6076–6085, 2017.

Maithra Raghu, Chiyuan Zhang, Jon Kleinberg, and Samy Bengio. Transfusion: Understanding transfer learning for medical imaging. In *Advances in neural information processing systems*, pp. 3347–3357, 2019.

Cinjon Resnick, Zeping Zhan, and Joan Bruna. Probing the state of the art: A critical look at visual representation evaluation. *arXiv preprint arXiv:1912.00215*, 2019.

Marco Tulio Ribeiro, Sameer Singh, and Carlos Guestrin. "Why should i trust you?" explaining the predictions of any classifier. In *Proceedings of the 22nd ACM SIGKDD international conference on knowledge discovery and data mining*, pp. 1135–1144, 2016.

Le Song, Alex Smola, Arthur Gretton, Justin Bedo, and Karsten Borgwardt. Feature selection via dependence maximization. *The Journal of Machine Learning Research*, 13(1):1393–1434, 2012.

Christian Szegedy, Wei Liu, Yangqing Jia, Pierre Sermanet, Scott Reed, Dragomir Anguelov, Dumitru Erhan, Vincent Vanhoucke, and Andrew Rabinovich. Going deeper with convolutions. In *Proceedings of the IEEE conference on computer vision and pattern recognition*, pp. 1–9, 2015.

Mingxing Tan and Quoc Le. Efficientnet: Rethinking model scaling for convolutional neural networks. In *International Conference on Machine Learning*, pp. 6105–6114, 2019.

Jessica AF Thompson, Yoshua Bengio, and Marc Schoenwiesner. The effect of task and training on intermediate representations in convolutional neural networks revealed with modified rv similarity analysis. *arXiv preprint arXiv:1912.02260*, 2019.

Guillermo Valle-Perez, Chico Q Camargo, and Ard A Louis. Deep learning generalizes because the parameter-function map is biased towards simple functions. *arXiv preprint arXiv:1805.08522*, 2018.

Bastiaan S. Veeling, Jasper Linmans, Jim Winkens, Taco Cohen, and Max Welling. Rotation equivariant cnns for digital pathology. In Alejandro F. Frangi, Julia A. Schnabel, Christos Davatzikos, Carlos Alberola-López, and Gabor Fichtinger (eds.), *Medical Image Computing and Computer Assisted Intervention – MICCAI 2018*, pp. 210–218, Cham, 2018. Springer International Publishing. ISBN 978-3-030-00934-2.

Dayong Wang, Aditya Khosla, Rishab Gargeya, Humayun Irshad, and Andrew H Beck. Deep learning for identifying metastatic breast cancer. *arXiv preprint arXiv:1606.05718*, 2016.

Sergey Zagoruyko and Nikos Komodakis. Wide residual networks. In *British Machine Vision Conference (BMVC)*, pp. 87.1–87.12, September 2016.

Chiyuan Zhang, Samy Bengio, Moritz Hardt, Benjamin Recht, and Oriol Vinyals. Understanding deep learning requires rethinking generalization. *arXiv preprint arXiv:1611.03530*, 2016.

Appendix

A   TRAINING DETAILS

For wide ResNets, we look at models with depths of 14, 20, 26, and 38, and width multipliers of 1, 2, 4, 8 and 10. For deep ResNets, we experiment with depths 32, 44, 56, 110 and 164. In CIFAR-100 experiments, the block structure only appears at a greater depth so we also include depths 218 and 224 in our investigation. For Patch Camelyon datasets, we find that depth 80 is enough to induce a block structure in the internal representations. All ResNets follow the architecture design in (He et al., 2016; Zagoruyko & Komodakis, 2016).

Unless otherwise specified, we train all the models using SGD with momentum of 0.9 for 300 epochs, together with a cosine decay learning rate schedule and batch size of 128. Learning rate is tuned with values [0.005, 0.01, 0.001] and L_2 regularization strength with values [0.001, 0.005]. For CIFAR-10 and CIFAR-100 experiments, we apply standard CIFAR-10 data augmentation consisting of random flips and translations of up to 4 pixels. With Patch Camelyon, we use random crops of size 32x32, together with random flips, to obtain the training data. At test time, the networks are evaluated on central crops of the original images. For CKA analysis, each architecture is trained with 10 different seeds and evaluated on the full test set of the corresponding domain.

B Block Structure and the First Principal Component

Figure B.1: The relationship between block structure and the first principal component. Each column represents a different architecture. In ResNet-110 (1×) and ResNet-38 (10×), we observe a block structure in the CKA plot (top row), and find that the first principal component explains a large fraction of the variance in the layers that comprise the block structure (second row). We also observe that the cosine similarity of the first PCs (third row) resembles the CKA plot, and removing the first PC before computing CKA substantially attenuates the block structure (bottom row). By contrast, in ResNet-44 (1×) and ResNet-38 (2×), which have no block structure, the first PC explains only a small fraction of the variance, and the CKA plot does not resemble the cosine similarity between the first PCs, but instead resembles CKA computed without the first PCs.

C   ADDITIONAL VISUALIZATIONS OF DOMINANT DATAPOINTS

Figure C.1: Dominant datapoints are not present in networks without block structure. The topmost row shows representational similarity heatmaps from two networks without block structure. The rows below show histograms of the projected values on the first PC, as well as images with the largest projections. Note that the distributions of projected values are unimodal, unlike the bimodal distributions observed in networks with a block structure (Figure 3). In addition, the datapoints with the highest projected values are highly dissimilar between layers.

Figure C.2: Visualization of the distribution of projected values onto the first principal component by test inputs, for ResNet-224 (1×) on CIFAR-100. Top row shows histograms of the projected value on the first PC. Bottom rows show images with the largest projections on the first PC. See Figure 3 for a similar plot for ResNet-164 (1×) on CIFAR-10.

Figure C.3: Visualization of the distribution of projected values onto the first principal component by test inputs, for ResNet-80 (1×) on Patch Camelyon. Top row shows histograms of the projected value on the first PC. Bottom rows show images with the largest projections on the first PC. See Figure 3 for a similar plot for ResNet-164 (1×) on CIFAR-10.

Figure C.4: Visualization of the distribution of projected values onto the first principal component by test inputs, for ResNet-26 (8×) on Patch Camelyon. Top row shows histograms of the projected value on the first PC. Bottom rows show images with the largest projections on the first PC. See Figure 3 for a similar plot for ResNet-164 (1×) on CIFAR-10.

D BLOCK STRUCTURE ON OUT-OF-DISTRIBUTION DATA

Figure D.1: Appearance of block structure depends on the data on which representations are computed. We plot CKA heatmaps for models of varying depths (top rows) and widths (bottom rows) trained on CIFAR-10, evaluated on different datasets ordered by the degree of out-of-distribution. We observe that the block structure representation are robust to small distribution shifts in the data, as evident from CKAs computed on CIFAR-10 corrupted dataset (which adds perturbations to the original CIFAR-10 data) and CIFAR-100 dataset (which contains mutually exclusive classes but undergoes the same data collection procedure as CIFAR-10). However, larger shifts, such as from CIFAR-10 to Patch Camelyon, produce significantly different representation structures.

E DOMINANT EXAMPLES AND LAYER ACTIVATIONS

Figure E.1: Solid color images strongly activate layers making up the block structure when trained on Patch Camelyon. Top row shows dominant examples for a ResNet-80 (1×) model trained on Patch Camelyon dataset. The CKA heatmap in the bottom left shows the location of the block structure in the internal representations of the model. We observe that the dominant images share a pink background. When we feed a synthetic image filled with this background color into the network, we observe that it yields even larger activations compared to the original image, for layers making up the block structure (i.e., after layer 200). See also Figure 6 for a similar plot for models trained on CIFAR-10 dataset.

F   EVOLUTION OF THE BLOCK STRUCTURE

Figure F.1: Fine-grained analysis of the evolution of the block structure in a ResNet-110 (1×) model. This plot shows the evolution of block structure for the same network as in Figure 8, but with greater temporal granularity. As in Figure 8, we find that the shape of the block structure is defined early in training (top row). However, comparing these different model checkpoints to the final, fully-trained model reveals that the block structure representations at different epochs are considerably dissimilar, especially during the first half of the training process (middle row). The corresponding dominant datapoints also vary over training, even after the block structure is clearly visible in the within-checkpoint similarity heatmaps (bottom row).

Figure F.2: Fine-grained analysis of the evolution of the block structure in a different ResNet-110 (1×) model. This plot shows the evolution of block structure for a network that is architecturally identical to the one in Figure 8, but trained with a different seed. For this training run, the final shape of the block structure is established slightly later in training (top row), and similarity between early checkpoints and the last checkpoint is very low (middle row). Analysis of the dominant data points shows that they change substantially over the course of training (bottom row), and continue to vary long after the shape of the block structure ceases to change in the within-checkpoint similarity heatmaps.

Figure F.3: Evolution of the block structure over the course of training for a ResNet-164 (1×) model. We compute the CKA between all pairs of layers within a ResNet-38 (10×) model at different stages of training, and find that the internal representations already contain a block structure at epoch 10. Comparing these different model checkpoints to the final, fully-trained model reveals that the block structure representations at different epochs are considerably dissimilar, especially during the first half of the training process.

Figure F.4: Example of how the magnitudes of layer activations and the projected values onto the first principal component for a dominant image vary across different epochs, for a ResNet-164 (1×). Given a dominant datapoint for a ResNet-164 (1×) model, we track the magnitude of its projected value onto the first principal component of the block structure representations (top left), as well as its activation norms at each layer in the network (bottom set of plots), over time. Notice the correspondence between these 2 metrics, especially when their values drop at epochs 0 (initialization), 120 and 240. This is also aligned with the measurement of CKAs across different epochs (see Figure F.3, where we find that the model checkpoints at these 3 epochs are highly dissimilar from the final model in terms of the hidden representations). See Appendix Figure F.6 for the corresponding visualization of a dominant example of a wide ResNet (ResNet-38 (10×)).

Figure F.5: Evolution of the block structure over the course of training for a ResNet-38 (10×) model. We compute the CKA between all pairs of layers within a ResNet-38 (10×) model at different stages of training, and find that the internal representations already contain a block structure at epoch 10. Comparing these different model checkpoints to the final, fully-trained model reveals that the block structure representations at different epochs are considerably dissimilar, especially during the first half of the training process. See also Figure F.3 for a similar plot for a deep ResNet (ResNet-164 (1×)).

Figure F.6: Example of how the activation magnitude and the projected values onto the first principal component for a dominant image vary across different epochs, for ResNet-38 (10×). Given a dominant datapoint for a ResNet-38 (10×) model, we track the magnitude of its projected value onto the first principal component of the block structure representations (top left), as well as its activation norms at each layer in the network (bottom set of plots), over time. We observe that before the block structure representations stabilize and show more similarity with those in the fully trained model (i.e., epoch 90, see Figure F.5 above), the dominant image yields a small value when projected onto the first principal component, and also doesn't strongly activate the layers inside the block structure. This is aligned with the observation made in Figure F.4 for ResNet-164 (1×).

Figure F.7: Evolution of the first principal components of layer representations over the first 100 steps of training. At every step of training, we measure the proportion of variance explained by the first principal component in each layer of a ResNet-110 (1×) network. At around step 30, the first principal component begins to explain the majority of the variance in the layer representations.

G TRAINING WITH PRINCIPAL COMPONENT REGULARIZATION

To regularize the first principal component, we first compute the amount of variance that it explains using power iteration (Miyato et al., 2018). At training step, t, we compute the batch of n convolutional feature maps with height h and width w containing c channels $M_t \in \mathbb{R}^{n \times h \times w \times c}$, flatten the spatial dimensions to the channels dimension to create a matrix of size $X_t \in \mathbb{R}^{n \times p}$ where $p = h \times w \times c$, and subtract its column means to obtain a centered matrix $\tilde{X}_t$. We randomly initialize the stored eigenvector $u_0 \in \mathbb{R}^p$ at the beginning of training. At each training step, we perform a single step of power iteration initialized from the previous eigenvector:

$$v_t = \tilde{X}_t^\mathsf{T} \tilde{X}_t u_{t-1} \tag{3}$$
$$\lambda_t = \|v_t\|_2 \tag{4}$$
$$u_t = v_t / \lambda_t. \tag{5}$$

λ_t approximates the top eigenvalue of $\tilde{X}_t^\mathsf{T} \tilde{X}_t$ and thus the amount of variance explained by the first principal component of the representation. The proportion of variance explained is given by $\lambda_t / \|\tilde{X}_t\|_\mathrm{F}^2$. We incorporate the regularizer as an additive term in the loss:

$$\mathcal{L}_{\mathrm{pc\_reg}}(\lambda_t, \tilde{X}; \alpha, \delta) = \alpha \max(\lambda_t / \|\tilde{X}_t\|_\mathrm{F}^2 - \delta, 0), \tag{6}$$

where α is the strength of the regularizer and δ is the threshold proportion of variance explained at which it is imposed. In our experiments, we tune α as a hyperparameter with values in [0.1, 1, 10], and set $\delta = 0.2$ based on our analysis of the first principal components of models without the block structure. To speed up the training process, we only apply the regularizer to ReLU layers starting from the second stage, where block structure is often found.

Depth	Width	Accuracy (%) (standard training)	Accuracy (%) (PC regularization)
CIFAR-10 subsampled (6% of the full dataset):			
56	1	77.8 ± 0.429	$\mathbf{79.2 \pm 0.188}$
26	8	80.1 ± 0.354	$\mathbf{81.1 \pm 0.185}$
26	10	80.3 ± 0.306	$\mathbf{81.2 \pm 0.194}$
38	8	80.2 ± 0.362	$\mathbf{80.9 \pm 0.264}$
38	10	80.3 ± 0.412	$\mathbf{81.4 \pm 0.350}$
CIFAR-10:			
110	1	94.3 ± 0.078	$\mathbf{94.4 \pm 0.063}$
164	1	94.4 ± 0.075	$\mathbf{94.5 \pm 0.063}$
26	10	95.8 ± 0.087	$\mathbf{96.0 \pm 0.051}$
38	8	95.7 ± 0.091	$\mathbf{95.8 \pm 0.080}$
38	10	95.7 ± 0.157	$\mathbf{95.9 \pm 0.067}$
CIFAR-100:			
218	1	74.1 ± 0.310	$\mathbf{75.1 \pm 0.132}$
224	1	74.0 ± 0.350	$\mathbf{75.2 \pm 0.131}$
38	8	79.8 ± 0.149	$\mathbf{80.6 \pm 0.306}$
38	10	80.5 ± 0.174	$\mathbf{81.1 \pm 0.241}$

Table G.1: Comparison of performance of large capacity models on CIFAR-10 and CIFAR-100, with and without principal component regularization. We observe that our proposed principal component regularizer consistently yields accuracy improvements for large capacity models that contain the block structure. The performance gains are particularly significant in the case of CIFAR-100 and subsampled CIFAR-10 datasets.

H   EFFECT OF BATCH SIZE ON THE BLOCK STRUCTURE

Figure H.1: Using very small batch sizes during training reduces the appearance of the block structure. The top row shows the block structure effect in a range of very deep and wide networks, trained with standard batch size = 128. We experiment with a drastically smaller batch size of 16 (bottom row) and find that the block structure is now highly reduced, especially in deep models.

I   IMPACT OF TRANSFER LEARNING AND SHAKE-SHAKE REGULARIZATION ON SIMILARITY OF LAYERS INSIDE THE BLOCK STRUCTURE

Figure I.1: Training with transfer learning and Shake-Shake regularization yields models that are more similar across different training runs. Each group of plots shows CKA between layers of models with the same architecture but different initializations (off the diagonal) or within a single model (on the diagonal). In the standard training case, representations across models are highly dissimilar, especially in the block structure region. In contrast, when we use transfer learning and Shake-Shake regularization, comparisons across seeds show more similarity in corresponding layers. The same observation can be made for models trained with principal component regularization (see Appendix Figure I.2).

Figure I.2: Training with principal component regularization yields models that are more similar across different training runs. Each group of plots shows CKA between layers of models with the same architecture but different initializations (off the diagonal) or within a single model (on the diagonal). Similar to the observation made in Figure I.1, while representations across models are highly dissimilar in the standard training case, models trained with principal component regularization from different random initializations show more representational similarity in corresponding layers.

J   BLOCK STRUCTURE UNDER DIFFERENT KERNELS

Figure J.1: Appearance of representation heatmaps in wide and deep networks, but not narrow/shallow networks, depends on the choice of kernel. Each row plots representation heatmaps from different models computed with different kernels (columns). For RBF kernels, the parameter indicates the fraction of the median distance between examples (computed separately for each layer) that is used as the standard deviation of the kernel. Although heatmaps computed for a small network (ResNet-38 1×) look qualitatively similar regardless of kernels, both wide (ResNet-38 10×) and deep (ResNet-164 1×) networks exhibit significant differences.

Figure J.2: Kernels based on dot products, cosine similarity, or Euclidean distance are sensitive to dominant datapoints. Plots show kernel matrices for a randomly sampled minibatch of 128 examples, computed from a layer inside the block structure for models that exhibit one. Examples are sorted in descending value of the first principal component of the raw activations; top rows and left columns reflect dominant datapoints. All kernels are sensitive to dominant datapoints, but in different ways and to different degrees. Linear kernel matrices are dominated by the similarity between dominant datapoints. The cosine kernel ignores activation norms, and finds high similarity within groups of dominant and non-dominant datapoints but low similarity between groups. The RBF kernel effectively considers all far away points to be equally dissimilar, and thus indicates that dominant datapoints are dissimilar to all other datapoints, including other dominant datapoints, which are typically far in Euclidean distance (because, while aligned in direction, they have different norms). Note that, for ResNet-164 1×, there are only two dominant datapoints in this minibatch.