DO DEEP NETWORKS TRANSFER INVARIANCES ACROSS CLASSES?

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ABSTRACT

To generalize well, classifiers must learn to be invariant to nuisance transformations that do not alter an input's class. Many problems have "class-agnostic" nuisance transformations that apply similarly to all classes, such as lighting and background changes for image classification. Neural networks can learn these invariances given sufficient data, but many real-world datasets are heavily class imbalanced and contain only a few examples for most of the classes. We therefore pose the question: how well do neural networks transfer class-agnostic invariances learned from the large classes to the small ones? Through careful experimentation, we observe that invariance to class-agnostic transformations is still heavily dependent on class size, with the networks being much less invariant on smaller classes. This result holds even when using data balancing techniques, and suggests poor invariance transfer across classes. Our results provide one explanation for why classifiers generalize poorly on unbalanced and long-tailed distributions. Based on this analysis, we show how a generative model approach for learning the nuisance transformations can help transfer invariances across classes and improve performance on a set of imbalanced image classification benchmarks.

1 INTRODUCTION

Good generalization in machine learning models requires ignoring irrelevant details: a classifier should respond to whether the subject of an image is a cat or a dog but not to the background or lighting conditions. Put another way, generalization involves *invariance* to nuisance transformations that should not affect the predicted output. Deep neural networks can and do learn invariances given sufficiently many diverse examples. For example, we can expect our trained "cat vs dog" classifier to be invariant to changes in the background provided the training dataset contains images of cats and dogs with varied scenery. However, if all the training examples for the "dog" class are set in grassy fields, our classifier might be confused by an image of a dog in a house (Beery et al., 2018).

This situation is problematic for *imbalanced* datasets, in which the amount of training data varies from class to class. Class imbalance is common in practice, as many real-world datasets follow a long-tailed distribution where a few *head* classes have many examples, and each of the remaining *tail* classes have few examples. Hence even if the cumulative number of examples in a long-tailed dataset is large, classifiers may struggle to learn invariances for the smaller tail classes. And while augmentation can address this issue by increasing the amount and variety of data in the tail classes, this strategy is not feasible for every nuisance transformation (e.g., modifying an image's background scenery). On the other hand, many nuisance transformations such as lighting changes are "class agnostic:" they apply similarly to examples from any class, and should generalize well across classes (Hariharan & Girshick, 2016). Ideally a trained model should automatically transfer invariance to class agnostic transformations from larger classes to smaller ones. This observation raises the question: *how well do deep neural network classifiers transfer learned invariances across classes*?

In this work, we find empirical evidence that neural networks transfer learned invariances poorly across classes, even *after* applying balancing strategies like oversampling. For example, on a long-tailed dataset where every example is rotated uniformly at random, classifiers tend to be rotationally invariant for images from the head classes but not on images from the tail classes. To this end, we present a straightforward method for more effectively transferring invariances across classes. We first train an input conditioned but class-agnostic generative model which captures a dataset's nuisance transformations, where withholding explicit class information encourages transfer between

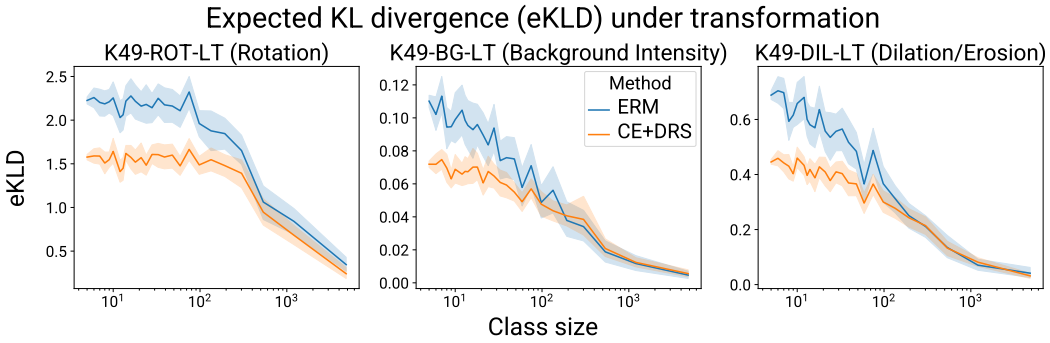

Figure 1: The expected KL divergence (eKLD, Eq. 2) measures how the classifier's estimated label probabilities $\hat{P}_w(\cdot|x)$ changes under a given transformation family, with **lower eKLD corresponding to more invariance**. Each plot shows per-class eKLD of classifiers trained on a long-tailed Kuzushiji-49 (K49) dataset variant, arranged by class size. Classifiers trained by either empirical risk minimization (ERM) or delayed resampling (CE+DRS) show the same trend: invariance depends heavily on class size, and are more invariant on images from the larger classes. Shaded regions show 95% CIs over 30 trained classifiers.

classes. We then we use this generative model to transform training inputs, akin to learned data augmentation training the classifier. We ultimately show that the resulting classifier is more invariant to the nuisance transformations due to better invariance on the tail classes, which in turn leads to better test accuracy on those classes.

Contributions. The primary contribution of this paper is an empirical study concerning whether deep neural networks learn invariances in long-tailed and class-imbalanced settings. We analyze the extent to which neural networks (fail to) transfer learned invariances across classes, and we argue that this lack of invariance explains poor performance on real-world class-imbalanced datasets. Our analysis suggests that one path to improving imbalanced classification is to develop approaches that better transfer invariances across classes. We experiment with one such approach, which we call Generative Invariance Transfer (GIT), in which we train a generative model of a task's nuisance transformations and then use this model to perform data augmentation for the classifier. We find that combining GIT with existing methods such as resampling improves balanced accuracy on imbalanced image classification benchmarks such as GTSRB and CIFAR-LT.

2 Related Work

Real-world datasets are often class imbalanced, and state-of-the-art classifiers often perform poorly under such conditions. One particular setting of interest is when the class distribution is *long-tailed*, where most of the classes have only a few examples (Liu et al., 2019; Guo et al., 2016; Thomee et al., 2016; Horn & Perona, 2017). Researchers have proposed many approaches for this setting, including correcting the imbalance when sampling data (Buda et al., 2018; Huang et al., 2016; Chawla et al., 2002; He & Garcia, 2009), using modified loss functions (Cao et al., 2019; Lin et al., 2017; Cui et al., 2019), and modifying the optimizer (Tang et al., 2020). These methods generally do not study the question of invariance transfer and are complementary to Generative Invariance Transfer. Yang & Xu (2020) study the mixed value of imbalanced labels and propose learning class-agnostic information using self-supervised training, while GIT learns class-agnostic transformations to use as data augmentation. Wang et al. (2017) propose implicit transfer learning from head to tail classes using a meta-network that generates the weights of the classifier's model. Here we quantitatively measure per-class invariances to more precisely explain why transfer learning may help on imbalanced problems, and *explicitly* transfer across classes with a generative model.

Toward understanding the failure modes of classifiers trained on real-world datasets, a rapidly growing body of work has sought to study the robustness of commonly-used machine learning models. Notably, researchers have shown that the performance state-of-the-art models is susceptible to a wide range of adversarial attacks (Biggio & Roli, 2018; Madry et al., 2017) and distributional shifts (Taori et al., 2020; Hendrycks et al., 2020; Koh et al., 2021). Ultimately, the fragility of these models is a significant barrier to deployment in safety-critical applications such as medical imaging (Bashyam et al., 2020) and autonomous driving (Chernikova et al., 2019). In response to these fragilities, recent methods have learned the distributional shifts present in the data using generative models

and then use these learned transformations for robust training (Robey et al., 2020; Wong & Kolter, 2020). These works assume pairs or groupings of transformed and untransformed examples, so that a generative model can learn the distribution shift. In our imbalanced setting, generative invariance transfer aims to learn transformations from the head classes that apply to the tail classes of the *same* dataset, and does not assume the data is paired or grouped.

There is a general interest in obtaining invariances for machine learning models (Benton et al., 2020; Zhou et al., 2021). Data augmentation (Beymer & Poggio, 1995; Niyogi et al., 1998) can be used to train classifiers to be invariant to certain hand-picked transformations, but requires the practitioner to know and implement those transformations in advance. In search of greater generality, Antoniou et al. (2017) use a trained GAN as data augmentations for training a downstream classifier. Similarly, Mariani et al. (2018) use a GAN to generate more examples for the minority classes in imbalanced classification. Learned augmentation can also be done in feature space, to avoid learning a generative model of the high dimensional input space (Yin et al., 2018; Chu et al., 2020). In the low-shot setting Hariharan & Girshick (2016) study the notion of transferring generalizable (or class-agnostic) variation to new classes, and Wang et al. (2018) learn to produce examples for new classes using meta-learning. Work in neural style transfer (Gatys et al., 2015b;a; Johnson et al., 2016) has long studied how to leverage trained neural networks to transfer variation between images or domains. In particular, GIT leverages advances in image-to-image translation (Isola et al., 2016; Zhu et al., 2017; Huang et al., 2018) as a convenient way to learn nuisance transformations and transfer them between classes. Our work carefully quantifies invariance learning under class imbalance, which can explain *why* leveraging generative models of transformations can improve performance. There is prior work analyzing how learned representations and invariances are affected by noise and regularization (Achille & Soatto, 2018), task diversity (Yang et al., 2019), and data diversity (Madan et al., 2021). The latter is most relevant to our analysis that studies how invariance is affected by the amount of data *per class*.

3 Invariance transfer in Class-Imbalanced Datasets

In this section we empirically analyze the invariance of trained classifiers to nuisance transformations, and the extent to which these classifiers transfer invariances across classes. In particular, we first introduce concepts related to invariance in the imbalanced setting, then define a metric for measuring invariance before describing our experimental setup. Finally, we present and analyze the observed relationship between invariance and class size.

3.1 Setup: Classification, Imbalance, and Invariances

In the classification setting, we have input-label pairs (x, y), with y taking values in $\{1, \cdots, C\}$ where C is the number of classes. We will consider a neural network model parameterized by weights w that is trained to estimate the conditional probabilities $\hat{P}_w(y = j|x)$. The classifier selects the class j with the highest estimated probability. Given a training dataset $\{(x^{(i)}, y^{(i)})\}_{i=1}^N \sim \mathbb{P}_{\text{train}}$, empirical risk minimization (ERM) minimizes average loss over training examples. But in the *class-imbalanced* setting, the distribution of $\{y^{(i)}\}$ in our training dataset is not uniform, and ERM tends to perform poorly on the minority classes. In real world scenarios we typically want to perform well on all classes, e.g. in order to classify rare diseases properly (Bajwa et al., 2020) or to ensure fairness in decision making (Hinnefeld et al., 2018). Hence we evaluate classifiers using *class-balanced* metrics, which is equivalent to evaluating on a test distribution $\mathbb{P}_{\text{test}}$ that *is* uniform over y.

To analyze invariance, we assume there is a $\theta \sim \mathbb{Q}$ parameterizing a family of nuisance transformations $T(\cdot; \theta)$ that do not affect labels, i.e. (x, y) and $(T(x; \theta), y)$ are the same in distribution. As a simple example, consider an image dataset where images in each class can be rotated in any way with equal likelihood. Then $T(\cdot; \theta)$ corresponds to 2D rotation by angle $\theta \sim \text{Unif}(0, 2\pi)$. Given that the nuisance transformations are assumed to not impact the labels, we expect a good classifier to be *invariant* to such transformations, i.e.,

$$\hat{P}_w(\cdot|x) = \hat{P}_w(\cdot|T(x; \theta)), \quad \forall x, \theta. \tag{1}$$

That is, the estimated conditional class probabilities should be unchanged by these transformations.

3.2 MEASURING LEARNED INVARIANCES

To quantify the extent to which classifiers learn invariances, we measure the expected KL divergence (eKLD) between its estimated distributions for untransformed and transformed inputs:

$$\text{eKLD}(\hat{P}_w) = \mathbb{E}_{x,\theta}\left[D_{\text{KL}}\left(\hat{P}_w(\cdot|x)||\hat{P}_w(\cdot|T(x;\theta)\right)\right] \tag{2}$$

This is a non-negative number, with **lower eKLD corresponding to more invariance**; a classifier totally invariant to T would have an eKLD of 0. We can compute this metric in practice if we have the nuisance transformation T on hand: By sampling transformation parameters $\{\theta^{(j)}\}$ and applying them to held out inputs, we can estimate the expectation in Eq. 2. To study how invariance depends on class size, we can also naturally compute the *class-conditional* eKLD by restricting the expectation over x to examples from a given class j.

Calculating eKLD and studying invariance requires access to a dataset's underlying nuisance transformation family T, but for most real world datasets we do not know T a-priori. Instead, we create synthetic datasets that contain a known nuisance transformation family. Like RotMNIST (Larochelle et al., 2007), a common benchmark for rotation invariance, we create these datasets by randomly transforming each example in a natural dataset. This is different from data augmentation, where multiple randomly sampled transformations would be applied to the same image throughout training. We want to test how classifiers learn invariances from a limited amount of data; providing the transformation as data augmentation would artificially boost the observed diversity of data during training.

Since MNIST only contains 10 classes, we use Kuzushiji-49 (Clanuwat et al., 2018) which has 49 classes allowing for a finer-grained study across different class sizes. We use three different transformation families to create three different synthetic datasets: image rotation (K49-ROT-LT), varying background intensity (K49-BG-LT), and image dilation or erosion (K49-DIL-LT). Appendix Figure 7 shows representative image samples from each of these datasets. To make the training datasets long-tailed (LT), we choose an arbitrary ordering of classes from largest to smallest. Then we selectively remove examples from classes until the frequency of classes in the training dataset follows Zipf's law with parameter 2.0, while enforcing a minimum class size of 5. We repeat this process with 30 randomly sampled orderings of the classes from largest to smallest, to construct 30 different long-tailed training datasets for each variant. Each long-tailed training set has 7864 training examples, with the largest class having 4828 and the smallest having 5. Since we are interested in either per-class or class-balanced test metrics, we do not modify the class distribution of the test set, which has 38547 examples.

Good classifiers for K49-ROT-LT, K49-BG-LT, and K49-DIL-LT should clearly be rotation, background, and dilation/erosion invariant, respectively, for inputs from any class. We can train classifiers and measure their invariance for inputs of each class by estimating per-class eKLD. That is, we first sample more transformations and then measure how predictions change on held-out test inputs. For training we use both standard **ERM** and **CE+DRS** (Cao et al., 2019), which stands for delayed (class-balanced) resampling with standard cross-entropy loss. DRS samples training examples naively just as in ERM for the initial epochs of training, then switches to class-balanced sampling for the later epochs of training. We train a separate classifier using each method on each training dataset, then calculate each classifier's per-class eKLD on held out test examples.

Figure 1 shows how the resulting per-class eKLD varies with class size. The eKLD curves for both methods show a clear pattern on all three transformation families: invariance decreases as classes get smaller. This result, while intuitive, shows quantitatively that deep neural networks learn invariances non-uniformly on imbalanced datasets. It suggests that they fail to transfer learned invariances across classes despite the nuisance transformation families being fairly class-agnostic. Although these results use a ResNet architecture, Appendix C.2 shows similar results for non-ResNet CNNs. Note that in these synthetic datasets, smaller classes contain both fewer original K49 examples and less transformation diversity. Yet Appendix 8 shows the same trend for datasets where the number of original K49 examples is the same across all classes, with larger classes only containing more sampled transformations of the same images. This shows that for each class, invariance is a direct result of observed transformation diversity for that class, with limited transfer between classes.

Figure 1 also shows that training classifiers with resampling (CE+DRS) results in generally lower eKLD (more invariance) for the same class size. This effect may partly explain why resampling can

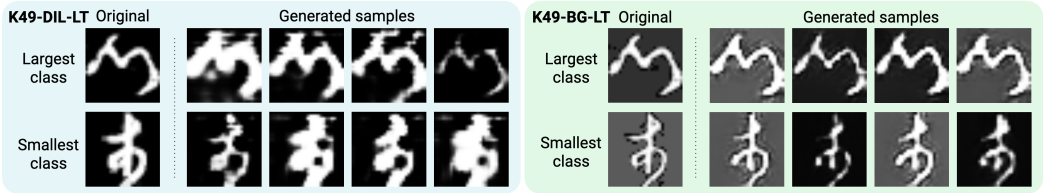

Figure 2: Samples from MIITNs trained on K49-BG-LT and K49-DIL-LT, showing the diversity of outputs it can produce. We show multiple *generated samples* produced from the same *original* image, with a different sampled transformation parameter $\tilde{\theta} \sim \tilde{\mathbb{Q}}$. The original image is from either the largest or smallest class. Even for the smallest classes, we see that varying $\tilde{\theta}$ captures the diversity of the nuisance transformations present in each dataset: we observe varied background intensity (BG) or eroded/dilated characters (DIL).

improve class balanced metrics such as balanced test accuracy. However, the eKLD curves show that there is clearly still room for improvement and even DRS does not achieve close to uniform invariance learning across classes. One explanation for this is that DRS can show the classifier the same minority class images more often, but cannot increase the transformation diversity of those images (e.g., DRS cannot by itself create more examples of rotated images from the minority classes). This suggests that learning the transformation family $T(\cdot; \theta)$, combined with resampling schemes, can help classifiers achieve uniform invariance across classes.

4 Transferring Invariances with Generative Models

In the previous section we saw that classifiers do a poor job learning invariance to nuisance transformations on the tail classes of long-tailed datasets. Here we explain how Generative Invariance Transfer (GIT) transfers invariance across classes by *explicitly* trying to learn the underlying nuisance transformation family $T(\cdot; \theta)$.

4.1 Learning Nuisance Transformations from Data

If we have the relevant nuisance transformations $T(\cdot; \theta)$, we can use them as data augmentation to enforce invariance across all classes. Since this is rarely the case in practice, GIT approximates T by training an *input-conditioned* generative model $\tilde{T}(\cdot; \tilde{\theta})$ to learn the nuisance transformations. Here $\tilde{\theta} \sim \tilde{\mathbb{Q}}$ parameterizes the generative model's transformation just as $\theta \sim \mathbb{Q}$ parameterizes the true transformation family. An input-conditioned generative model of the transformation is advantageous for class-agnostic nuisances. Since the class-specific features are already present in the input, the model can focus on learning the class-agnostic transformation, which by assumption should transfer well between classes.

To train the generative model in the image classification setting, we borrow architectures and training procedures from the literature concerning multimodal image-to-image translation networks (MIITNs). MIITNs can transform a given input image x according to different nuisances learned from the data, generating varied output samples. The *multimodality* is ideal for capturing the full diversity of nuisance transformations present in the training data. Our experiments build off of a particular MIITN framework called MUNIT (Huang et al., 2018), modified to learn transformations between examples in a single dataset rather than between two different domains (see Appendix A for details). Although we are not aware of any work training MUNIT-like models to learn rotation, we successfully train MUNIT models to learn background intensity variation (K49-BG-LT) and dilation/erosion (K49-DIL-LT). Figure 2 shows the diversity of transformations these models produce from a given input. We see qualitatively that these models properly transform even inputs from the smallest class, evidencing successful transfer between classes. While these and later results show MUNIT successfully learns certain natural and synthetic transformations in imbalanced datasets, we note that GIT makes MUNIT-exclusive assumptions, and other approaches for learning transformations can be considered depending on the setting.

Once we have the trained generative model, GIT uses the generative model as a proxy for the true nuisance transformations to perform data augmentation for the classifier, with the goal of improving invariance to these nuisance transformations for the small classes. Given a training minibatch $\{(x^{(i)}, y^{(i)})\}_{i=1}^{|B|}$, we sample transformation parameters $\{\tilde{\theta}^{(i)}\}_{i=1}^{|B|}$ and transform each input $x^{(i)} \leftarrow \tilde{T}(x^{(i)}; \tilde{\theta}^{(i)})$ while keeping the label fixed. This augments the batch and boosts the diversity

of examples that the classifier sees during training, particularly for the smaller classes. The pre-augmentation batches can be produced by an arbitrary sampling routine BATCHSAMPLER, such as a class-balanced sampler. We can also augment more selectively to mitigate the possibility of defects in the generative model hurting performance, especially on the large classes where we already observe good invariance and where the augmentation may be unnecessary. First, we introduce a cutoff K such that GIT only augments examples from classes with fewer than K examples. Second, we use GIT to augment only a proportion $p \in [0, 1]$ of each batch, so that the classifier sees a mix of augmented and "clean" data. Typically $p = 0.5$ in our experiments. Algorithm 1 details the GIT augmentation procedure explicitly.

Algorithm 1 Generative Invariance Transfer: Classifier Training

Input: $\mathcal{D}$, the imbalanced training dataset
Input: BATCHSAMPLER, a minibatch sampling subroutine
Input: $\tilde{T}(\cdot; \tilde{\theta})$, a generative model of transformations trained on $\mathcal{D}$
Input: UPDATEMODEL, a procedure that updates the model given a minibatch

```
while not done do
    B ← {(x^(i), y^(i))}_{i=1}^{|B|} = BATCHSAMPLER(D)          ▷ Sample raw batch
    for i = 1, ···, Round(p × |B|) do                           ▷ Augment proportion p of batch
        if CLASSSIZE(y^(i)) ≤ K then                            ▷ Optionally only augment the smaller classes.
            Sample θ̃^(i) ~ Q̃
            x^(i) ← T̃(x^(i); θ̃^(i))
        end if
    end for
    UPDATEMODEL(B)                                              ▷ Update model on batch
end while
```

4.2 GIT IMPROVES INVARIANCE ON SMALLER CLASSES

As we saw in Figure 2, MIITNs can be trained to learn the relevant nuisance transformations for K49-BG-LT and K49-DIL-LT. Thus, given a trained MIITN, we aim to evaluate whether GIT can actually improve invariance on the smaller classes by transfering invariances from large to small classes. To do so, we measure the per-class eKLD metric on GIT-trained classifiers, with lower eKLD suggesting greater invariance. In particular, we train the classifiers using Algorithm 1 where BATCHSAMPLER is the delayed resampler and where UPDATE-CLASSIFIER uses gradient updates with respect to the cross-entropy (CE) loss function; we refer to this combined method as **CE+DRS+GIT**. For these K49 experiments only, we disable the class size cutoff K, which means that GIT uses the MIITN to augment examples from all classes, even the largest ones. We do this to observe its effects on the eKLD curves at every class size.

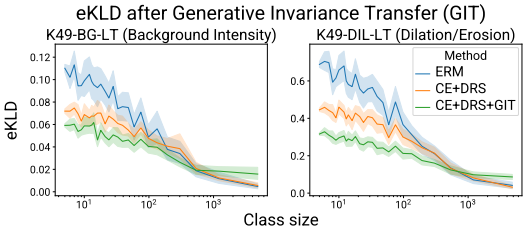

Figure 3: We observe that the expected KL divergence (eKLD) is lower for smaller classes when using generative invariance transfer (GIT). That is, GIT makes classifiers more uniformly invariant to the nuisance transform regardless of class size.

Figure 3 shows the average per-class eKLD of classifiers trained by CE+DRS+GIT, compared with ERM and plain CE+DRS. We clearly observe that classifiers trained with GIT are the most uniformly invariant across classes, with the biggest improvements for the smallest classes. We also observe that GIT can hurt invariance on the largest classes, where there is already sufficient ground truth data such that imperfections in the generative model end up degrading performance (see Section 6). This will justify using the class-size cutoff K for GIT augmentations in our later experiments.

5 EXPERIMENTS

We have seen in Section 3 that classifiers transfer invariances poorly and can struggle to learn invariances on the smallest classes, and in Sec 4 that Generative Invariance Transfer (GIT) can lead to more uniform invariances across all class sizes. In this section, we verify that more invariant classifiers do indeed perform better, as measured by metrics such as balanced test accuracy. We also aim

to understand whether GIT can be combined with other techniques for addressing class imbalance, and determine whether it is empirically important to only augment smaller classes.

5.1 Experimental Setup

Comparisons. In our main comparisons, we will evaluate the performance of Generative Invariance Transfer (GIT) and study how it interacts with other techniques for addressing class imbalance, which include resampling schemes and modified loss functions. We use **ERM** to denote the standard training procedure with cross entropy loss, where examples for training minibatches are sampled uniformly from the dataset. As in Section 3 we can alternatively train with delayed resampling, which we will refer to as **CE+DRS**. In addition to the typical cross entropy loss, we will compare to two recent loss functions that are representative of state-of-the-art techniques for learning from long-tailed data: the **LDAM** (Cao et al., 2019) and **Focal** (Lin et al., 2017) losses, which are designed to mitigate the imbalanced learning problem. Throughout the experiments, we will combine these loss functions with different sampling strategies (e.g. CE+DRS) and (optionally) GIT, e.g. "LDAM+DRS+GIT." In our GTSRB and CIFAR experiments we train ResNet32 (He et al., 2015) models for 200 epochs with batch size 128, optimized by SGD with momentum 0.9, weight decay 2×10^{-4}, and initial learning rate 0.1. The learning rate decays by a factor of 10 at epochs 160 and 180. The K49 training is similar, but we use a ResNet20 backbone trained for 50 epochs, with learning rate decays at 30 and 40 epochs. Appendix B has further classifier training details, and Appendix C.1 has further description of the baselines. For GIT we implement the MIITNs using MUNIT (Huang et al., 2018) trained for $140,000$ steps (GTSRB and CIFAR) or $10,000$ steps (K49) using the Adam(Kingma & Ba, 2014) optimizer with learning rate 0.0001 and batch size 1. In all experiments, we measure performance by balanced accuracy on the test set.

Datasets. We evaluate combinations of these methods on three long-tailed image classification benchmarks: K49-LT—the long-tailed Kuzushiji-49 variants of Section 3; GTSRB-LT—a long-tailed German Traffic Sign Recognition Benchmark (Stallkamp et al., 2012; 2011); and CIFAR-10-LT and CIFAR-100-LT—two long-tailed CIFAR (Krizhevsky, 2009) datasets. Following the standard in long-tailed classification literature, we construct long-tailed training datasets by removing examples from certain classes until the class frequencies follow a long-tailed distribution. Appendix Figure 7 shows random samples from each the head and tail classes of each of these datasets.

GTSRB contains images from 43 classes of German traffic signs in a large variety of lighting conditions and backgrounds, which provides us a natural source of nuisance transformations for testing various methods. We resize every image to have dimensions 32x32, randomly sample 25% of our training set as the validation set and use the rest to construct the long-tailed training dataset. We make the training dataset long-tailed by selectively removing examples so that the class frequencies follow a Zipf's law with parameter 1.8. We fix the minimum number of training samples for a particular class to be 5 — resulting in a training dataset where the most frequent class has 1907 examples, and the least frequent class has 5 examples. Since we are calculating class-balanced test metrics, we leave the test set unchanged.

CIFAR-10-LT and CIFAR-100-LT are standard benchmarks in imbalanced and long-tailed classification literature (Cao et al., 2019; Tang et al., 2020), with 32×32 images in 10 or 100 class, respectively. Our setup is identical to Cao et al. (2019), with class frequency in the training set following an exponential distribution with the imbalance ratio (ratio of number of training examples between most frequent and least frequent class) set to 100. Similar to GTSRB-LT, we keep the test sets unchanged as we are calculating class-balanced test metrics.

5.2 Results

K49-LT. In Section 4.2 we trained MIITNs on K49-BG-LT and K49-DIL-LT and saw that using GIT to augment training led to more uniform invariance against each dataset's nuisance transform, with the largest improvements on the smallest class sizes. We would then expect that the GIT-trained classifiers should achieve higher balanced test accuracy. We evaluate the balanced test accuracies of the same classifiers from Section 4.2, which are trained with either ERM, CE+DRS, or CE+DRS+GIT. We also train and evaluate classifiers using the LDAM loss instead of CE. Table 1 shows the resulting balanced test accuracies of all methods. We observe that CE+DRS+GIT outperforms CE+DRS and ERM by a wide margin, showing that the more invariant classifiers (as measured by eKLD) also achieve higher balanced accuracy. The results also show that both LDAM loss and GIT individually offer benefits, and LDAM+DRS+GIT performs best overall.

Baseline	Strategy	Dataset				
		GTSRB-LT	CIFAR-10 LT	CIFAR-100 LT	K49-BG-LT	K49-DIL-LT
ERM		68.88 ± 1.75	70.74 ± 0.13	38.69 ± 0.32	39.49 ± 1.47	39.49 ± 1.47
CE + DRS		64.45 ± 1.15	74.28 ± 0.56	40.97 ± 0.40	42.21 ± 1.36	39.48 ± 1.47
	+GIT	$\mathbf{75.19 \pm 0.50}$	$\mathbf{77.25 \pm 0.18}$	$\mathbf{42.73 \pm 0.27}$	$\mathbf{49.99 \pm 1.25}$	$\mathbf{49.18 \pm 1.23}$
Focal + DRS		65.68 ± 2.09	73.51 ± 0.50	40.77 ± 0.21	—	—
	+GIT	$\mathbf{71.29 \pm 0.73}$	$\mathbf{76.87 \pm 0.14}$	$\mathbf{41.25 \pm 0.26}$	—	—
LDAM + DRS		77.25 ± 1.29	76.73 ± 0.74	43.21 ± 0.31	54.08 ± 1.21	50.44 ± 1.24
	+GIT	$\mathbf{81.39 \pm 0.98}$	$\mathbf{78.76 \pm 0.19}$	$\mathbf{44.35 \pm 0.21}$	$\mathbf{58.86 \pm 1.11}$	$\mathbf{56.76 \pm 1.11}$

Table 1: Average balanced test accuracy of various methods on GTSRB-LT, two CIFAR-LT benchmarks and two variants of Kuzushiji-49. We observe that adding GIT improves balanced test accuracy for all resampling methods, with LDAM+DRS+GIT performing best overall. Uncertainty corresponds to 95% CI's across 30 trained classifiers for each condition for Kuzushiji-49, and the standard error of the mean of 3 training runs for GTSRB-LT and CIFAR-LT benchmarks.

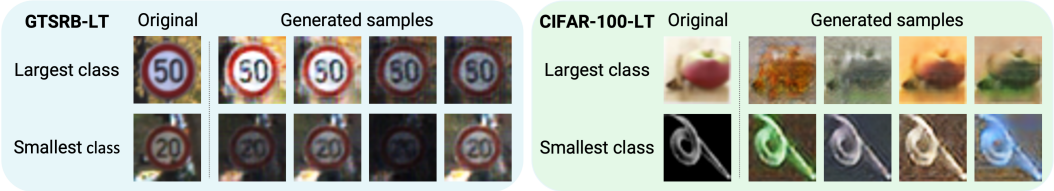

Figure 4: Samples from MIITNs trained on GTSRB-LT and CIFAR-100-LT, which we used for GIT classifier training. Samples are produced by transforming an *original* image with different transformation parameters $\tilde{\theta} \sim \tilde{\mathbb{Q}}$. Even for the smallest classes, we see that varying $\tilde{\theta}$ captures the diversity of the nuisance transformations of each dataset, including changing the lighting, object color/texture, and background.

GTSRB-LT. For GIT classifier training we set the class size cutoff parameter $K = 25$. Table 1 demonstrates that GIT can be combined with CE+DRS, Focal+DRS and LDAM+DRS and in each case give a significant boost over these methods. Appendix Table 3 shows further comparisons. Figure 4 shows how the trained MIITN varies the original image's lighting conditions.

CIFAR-LT. When training classifiers with GIT, we set the class size cutoff parameter $K = 500$ for CIFAR-10 and $K = 100$ for CIFAR-100. Table 1 shows the benefit of combining GIT with CE+DRS, Focal+DRS and LDAM+DRS, resulting in improvement for all three methods on both CIFAR-10-LT and CIFAR-100-LT. Figure 4 shows samples from the MIITN trained on CIFAR-100-LT: we see that it has learned to vary the input image's object color and background, even for inputs from the smallest classes. Appendix Table 4 contains results for further combinations of GIT with other imbalanced training methods, where we see that GIT gives the largest improvements when combined with resampling based methods. Intuitively, GIT primarily helps enforce invariance by augmenting the examples from smaller classes, but without resampling most of the observed data will be from the larger classes. Hence it makes the most sense to pair GIT with some resamping based method for best performance.

6 Ablation Studies

GIT class size cutoff: The samples generated by the trained MIITNs (shown in Figures 2 and 4) capture the diversity of nuisance transformations, but have poorer image quality than the original images. When introducing GIT in Algorithm 1, we hypothesized that poor generated sample quality could hurt performance for classes that already have a lot of examples, so we introduced a class size cutoff K to only augment the classes with fewer than K examples. By disabling this cutoff and applying GIT to all classes, we can inspect how GIT affects test accuracy for each individual class to validate this hypothesis.

Figure 5: Average test accuracy vs train class size for CIFAR-10 LT. When it is applied to all classes, GIT boosts performance on smaller classes and hurts performance on larger classes.

Figure 5 reports per-class performance for each of the ten classes in CIFAR-10-LT, arranged by class size. We see that using GIT

boosts accuracy for the smaller classes, but can lower accuracy for the larger classes. In contrast, when only using GIT for the smaller classes (i.e. classes with up to $K = 500$ datapoints), we see that the performance on the larger classes drops much less, while maintaining strong improvements on smaller classes. We further ablate this choice by evaluating the performance of GIT on all classes versus GIT on only small classes on three datasets: GTSRB-LT, CIFAR-10-LT, and CIFAR-100-LT. In Table 2, we see that using a class-size cutoff improves performance across the board. The differences are most pronounced for GTSRB followed by CIFAR-100 and CIFAR-10. We expect that this might be the case because CIFAR-10 has more coarse class definitions, such that the generative model is less likely to change the class when tranforming samples.

Automated data augmentation: We can interpret GIT as transferring invariances between classes by learning class agnostic data augmentation transformations. It is natural then to compare to existing automated data augmentation schemes such as RandAugment (Cubuk et al., 2019): [WIP].

		Dataset		
Baseline	GIT Strategy	GTSRB-LT	CIFAR-10 LT	CIFAR-100 LT
CE + DRS	all classes	66.22 ± 1.12	76.29 ± 0.20	39.77 ± 0.16
	only small classes	$\mathbf{75.19 \pm 0.50}$	$\mathbf{77.25 \pm 0.18}$	$\mathbf{42.73 \pm 0.27}$
Focal + DRS	all classes	68.92 ± 1.15	76.44 ± 0.34	39.90 ± 0.19
	only small classes	$\mathbf{71.29 \pm 0.73}$	$\mathbf{76.87 \pm 0.14}$	$\mathbf{41.25 \pm 0.26}$
LDAM + DRS	all classes	78.51 ± 1.29	78.00 ± 0.14	43.24 ± 0.22
	only small classes	$\mathbf{81.39 \pm 0.98}$	$\mathbf{78.76 \pm 0.19}$	$\mathbf{44.35 \pm 0.21}$

Table 2: Summary results for GIT class size cutoff ablation study. We report the average balanced test accuracy and the standard error of the mean for 3 runs. We consider classes that have number of training samples less than $K = 25$, 500, and 100 to be small classes for GTSRB-LT, CIFAR-10 LT and CIFAR-100 LT, respectively. Using GIT selectively for the small classes leads to greater performance on all three datasets.

7 Conclusion

We study how deep neural network classifiers learn invariances to nuisance transformations in the class imbalanced setting. Even for simple simple class agnostic transforms such as rotation, we find that learned invariance depends heavily on class size, with the trained classifier being much less invariant for inputs from the smaller classes. This suggests that classifiers do not inherently do a good job of transferring invariances learned from the larger classes to the smaller classes, and is one way of explaining why they tend to perform poorly on heavily imbalanced or long-tailed classification problems. Motivated by the transfer problem, we explore Generative Invariance Transfer (GIT) as a method for directly learning a generative model of a dataset's nuisance transformations. We use this generative model during classifier training as a form of data augmentation to enforce invariance and observe both more uniform invariance learning across class sizes and improved balanced test accuracy on long-tailed benchmarks. Despite the observed improvements, GIT relies on being able to train a generative model to learn the dataset's nuisance transformations. Imperfections in the generative model can harm downstream performance, and we speculate that future improvements in generative modeling would lead to even greater performance gains. Since this work is about transferring invariances between classes, the focus is largely on class-agnostic transformations. Handling class-specific transformations that are not amenable to transfer is more difficult, and will likely require a different approach.

Our analysis also raises the question: *why* do deep classifiers struggle to transfer class-agnostic invariances across classes? We believe that an explanation for this effect is an interesting problem to be resolved by progress in the theory of deep learning. Additionally, although our analysis focused on the interaction between class size and invariance, these techniques used here could be extended to measure invariance in other contexts. Additionally, a dataset can be class-balanced but imbalanced along other semantic dimensions not captured by the label, such groupings often studied in distributionally robust optimization (Sagawa et al., 2019). Further research on transferring invariances despite imbalance along more general dimensions could lead to more broadly generalizable and robust deep learning methods.

8 REPRODUCIBILITY STATEMENT

For our baseline experiments, we use publicly available implementations and their existing hyperparameter values, linked or cited in Appendix B. For Generative Invariance Transfer we use a publicly available MUNIT implementation, with our modifications described in Appendix A. Classifier training with GIT is described in Algorithm 1. Since GIT effectively acts as a learned data augmentation and doesn't require modifying the classifier itself, for ease of comparison and reproducibility we kept details such as classifier architecture and optimization hyperparameters unchanged relative to the baselines. Appendix C.2 describes how to construct the K49-LT datasets, while Section 5.1 describe the GTSRB-LT and CIFAR-LT datasets. All code and pre-trained MIITN and classifier weights will be released upon publication.

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A MUNIT TRAINING DETAILS

We implement our generative models using the MUNIT architecture and training algorithm (Huang et al., 2018), using the official source code at `https://github.com/NVlabs/MUNIT`. Although the architectures, optimizers, and most other training details are unchanged, MUNIT is designed to train on two datasets A and B and learns two generative models $G_{A\to B}$ and $G_{B\to A}$ to map between them. As we are only interested in learning transformations between images in the same (imbalanced) dataset, we set both A and B to be our one dataset and, after training, arbitrarily take $G_{A\to B}$ as the learned generative model $\tilde{T}$. Our transformation parameter $\tilde{\theta}$ corresponds to the latent "style" vector in MUNIT terminology, which we observed in Figure 2 and Figure 4 parameterizes a diverse set of nuisance transformations without changing the image's class.

For all MUNIT training we use identical optimization hyperparameters as in the official source code (Adam (Kingma & Ba, 2014) with learning rate 0.0001 and batch size 1). We sample training examples with class balanced sampling, and as per the original implementation we rescale the pixel values between $[-1, 1]$ and apply random horizontal flips as data augmentation. The image reconstruction loss has weight 10, while the adversarial loss, style reconstruction loss, and content reconstruction loss all have weight 1. We disable the domain-invariant perceptual loss. The generator architecture hyperparameters are identical to the "edges $\to$ handbags" experiment from Huang et al. (2018), and the discriminator is also the same except that we use a single scale discriminator instead of 3 scales. For K49-LT we train the MUNIT architectures on the 28×28 image inputs for $10,000$ steps. For GTSRB-LT and CIFAR-LT we train on 32×32 inputs for $140,000$ steps.

B CLASSIFIER TRAINING DETAILS

Optimization. For fair comparison, nearly all of our classifier training hyperparameters are identical to those used in the CIFAR experiments of Cao et al. (2019): 200 training epochs with a batch size of 128, optimized by SGD with momentum 0.9 and with weight decay 2×10^{-4}. The initial learning rate is 0.1 and is decayed by a factor of 10 at 160 epochs and further decayed by the same factor at 180 epochs. Only the K49-LT experiments use a slightly modified training schedule of 50 epochs with learning rate decays at 30 and 40 epochs. For Delayed Resampling (DRS) the resampling stage starts at 160 epochs for GTSRB-LT and CIFAR-LT and at 30 epochs for K49-LT.

Data augmentation. For the CIFAR-LT experiments we used random crop (with padding 4) and random horizontal flip (with probability 0.5) on all non-GIT methods. For methods that use GIT, random horizontal flip is first applied to the entire batch. Then we apply the GIT augmentation to half the batch, and the random crop augmentation to the other half.

Since MUNIT training uses random horizontal flip augmentation, we tried adding random horizontal flip augmentation for classifier training in K49-LT and GTSRB-LT experiments but found that it worsened performance on those datasets. This may be because handwritten characters and text on street signs are not actually flip invariant. Classifier training for K49-LT and GTSRB-LT does not use any additional data augmentation, except for the learned augmentations for the GIT methods.

Architecture. Like Cao et al. (2019), we use a family of ResNet (He et al., 2015) architecture implementations designed for CIFAR (Idelbayev, 2018) for all experiments. We use the ResNet20 architecture for the K49-LT experiments and the ResNet32 architecture for the GTSRB-LT and CIFAR-LT experiments.

C FULL EXPERIMENTAL DETAILS AND RESULTS

C.1 BASELINES

We use three loss functions for our experiments — the standard cross entropy loss (**CE**), **Focal** loss (Lin et al., 2017) and **LDAM** (Cao et al., 2019). The last two are specialized loss functions designed for imbalanced dataset learning. Following Cao et al. (2019), we choose $\gamma = 1$ as the hyper-parameter for Focal loss, and for LDAM loss, the largest enforced margin is chosen to be 0.5.

We couple these loss functions with a variety of training schedules, described below:

- Class balanced reweighting (**CB RW**) (Cui et al., 2019): Instead of reweighting the loss for a particular training example proportional to the inverse of corresponding class size, we reweight according to the inverse of the effective number of training samples in the

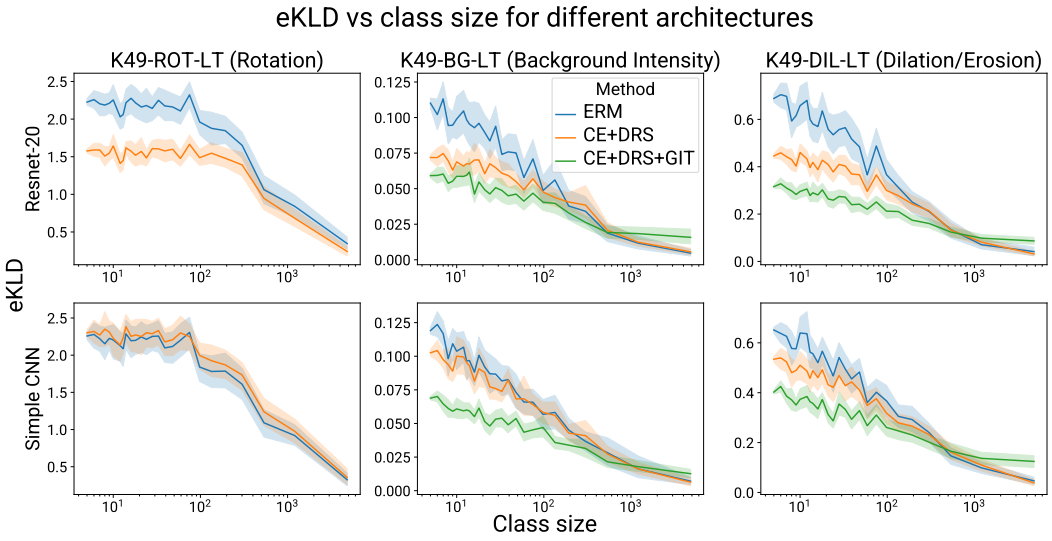

Figure 6: Per-class eKLD curves on three K49-LT variants for classifiers trained by different methods using two different architectures: ResNet20 (top) and a simple CNN (bottom). In each case wee see that classifiers learn invariance to the nuisance transform unevenly, with poor invariance for the tail classes. We also see that adding GIT helps reduce eKLD and improve invariance on the tail. Shaded regions indicate 95% CI's over 30 trained classifiers.

corresponding class:

$$N^i_{eff} = \frac{1-\beta^{N^i}}{1-\beta} \tag{3}$$

where N^i_{eff} is the effective number of training examples in class i, N^i is true number of training samples for class i, and β is a parameter, which we typically set to 0.9999 for all our experiments.

- Class balanced resampling (**CB RS**) (Cui et al., 2019): We resample the training examples in a particular class with probability proportional to the inverse of effective number of training samples (see Equation 3) in that class.
- Resampling (**RS**): This is the regular resampling strategy, where we resample the training examples in a particular class with probability proportional to the inverse of (true) number of training samples in that class.
- Delayed reweighting (**DRW**) (Cao et al., 2019): We train in a regular way for the initial part of the training, and reweight the loss according to the inverse of the effective number of samples (Equation 3) in a training class only at the last phase of the training. For GTSRB-LT and CIFAR-LT, we typically train for 200 epochs, and reweight the loss function starting at 160 epochs.
- Delayed resampling (**DRS**): Similar to DRW, but we resample examples from class i with a probability inverse to the **true** number of training examples in class i.

Among all the combinations of loss functions and training strategies, we discover that **LDAM + DRS** typically does the best, and combining GIT with it gives an additional boost in performance.

C.2 K49-LT

When constructing the synthetic datasets we used one of three transformation families and applied a randomly sampled transformation from the family to each image in the dataset. For rotation, we rotated the raw image by a randomly sampled angle $\theta \in [0, 2\pi)$. For background intensity, we replaced the original black background with a randomly sampled pixel value between 0 and 100, where 255 is the maximum intensity. For dilation and erosion, we randomly either applied

dilation with 60% probability or erosion with 40% probability, using OpenCV's dilate and erode functionality. For dilation we used an $n \times n$ kernel of 1's, where $n \sim \text{Unif}(\{2, 3, 4\})$, and for erosion we used an $m \times m$ kernel of 1's, where $m \sim \text{Unif}(\{1, 2\})$.

The per class eKLD curves on the K49-LT variants were calculated for a ResNet20 architecture, but to verify that the results are not specific to ResNet we repeated these experiments on a simple CNN, which consists of four blocks of 3×3 convolutions, batch normalization, ReLU, and max pooling with stride 2. A final linear layer produces the output logits. Figure 6 shows the resulting per class eKLD for both architectures. We see that classifiers struggle to transfer learned invariances to the tail classes regardless of architecture, and that GIT can help mitigate this problem in both cases.

C.3 GTSRB-LT and CIFAR-LT

Loss Type	Training Schedule	Without GIT	With GIT
CE	None	68.88 ± 1.75	65.90 ± 0.66
	CB RW	41.31 ± 6.45	49.46 ± 6.33
	CB RS	52.36 ± 4.55	61.67 ± 3.43
	RS	55.06 ± 1.28	59.66 ± 1.78
	DRW	69.57 ± 0.99	71.30 ± 1.17
	DRS	64.45 ± 1.15	66.22 ± 1.12
Focal	None	69.07 ± 1.14	66.93 ± 1.19
	CB RW	38.42 ± 9.61	43.22 ± 2.09
	CB RS	55.30 ± 0.04	60.60 ± 2.67
	RS	57.74 ± 4.60	56.09 ± 1.61
	DRW	66.73 ± 2.63	66.80 ± 0.99
	DRS	65.68 ± 2.09	68.92 ± 1.15
LDAM	None	76.68 ± 1.76	76.87 ± 0.61
	CB RW	53.81 ± 4.61	59.69 ± 2.92
	CB RS	63.10 ± 1.32	74.58 ± 0.44
	RS	66.05 ± 0.63	73.61 ± 1.22
	DRW	76.41 ± 1.26	77.53 ± 0.44
	DRS	77.25 ± 1.29	$\mathbf{78.51 \pm 1.29}$

Table 3: Full experimental results for the long-tailed GTSRB dataset. In this table, we report the average **balanced test accuracy** and the standard error of the mean of 3 runs for each entry. Note that we use GIT for all classes as opposed to only minority classes, in contrast to Table 1, but still we see improvements for most of the methods when combined with GIT. Section 6 shows that using GIT only for minority classes outperforms using GIT for all classes, but since that requires one more hyper-parameter to be tuned (class size threshold, K), we chose to use GIT for all classes in this table.

Table 3 and Table 4 present a more comprehensive set of experiments on GTSRB-LT and the two CIFAR-LT benchmarks, comparing how GIT performs with wider combinations of losses and training schedules. Overall we see that GIT works best when paired with a resampling method (such as DRS), and offers less benefit when applied to reweighting schemes or the standard training process. Intuitively, resampling boosts the probability of sampling examples from the small classes, which GIT can then augment, providing the classifier with more diversity for the small classes. Without resampling, the classifier is rarely sees examples from the small classes at all, minimizing the impact that GIT can have. In fact, without resampling, GIT will be applied primarily to images from the larger classes, and we saw in Section 6 that using GIT on larger classes can hurt the performance of the classifier. This is also confirmed on Table 3 and 4, where GIT often hurts the performance for non-resampling training schedules.

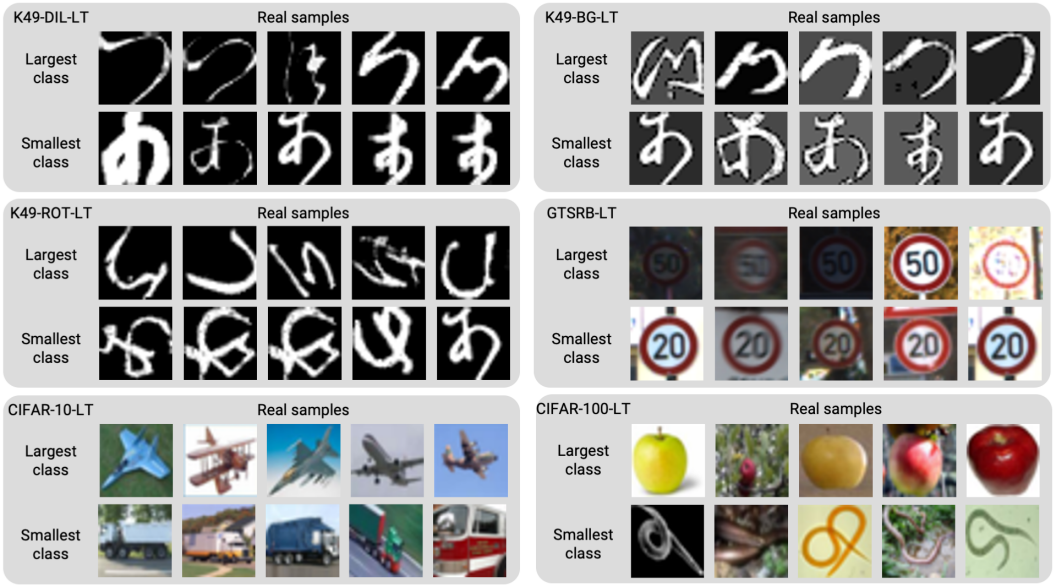

Figure 7: Random training examples from each of the 6 datasets considered in this work, with examples from both the largest and smallest classes in each dataset.

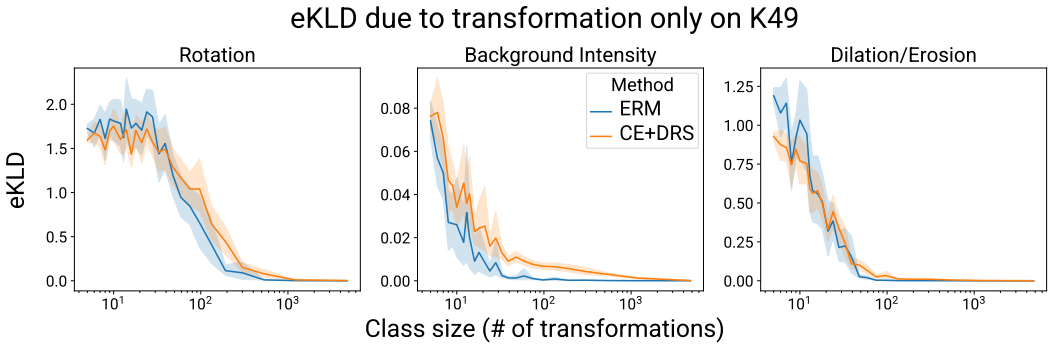

Figure 8: The expected KL divergence (eKLD) on synthetic K49 datasets that contain the **same number of original K49 examples across all classes**. These datasetes are long-tailed only in the amount of transformations observed, and are designed to isolate the effect of the transformation. Each class starts with 5 examples from the *original* Kuzushiji-49 dataset. Larger classes are created by repeatedly sampling more transformations of the same 5 originals. This design ensures that the only difference between large and small classes is the amount of transformation diversity. These new datasets are easier to learn, but show the same qualitative trend as Fig. 1. Shaded regions show 95% CIs over 30 trained classifiers.

		Dataset			
		CIFAR-10 LT		CIFAR-100 LT	
Loss type	Training Schedule	Without GIT	With GIT	Without GIT	With GIT
CE	None	70.74 ± 0.13	67.05 ± 0.37	38.69 ± 0.32	40.09 ± 0.27
	CB RW	71.90 ± 0.14	73.73 ± 0.92	30.06 ± 0.61	31.70 ± 0.59
	CB RS	69.85 ± 0.08	74.20 ± 0.25	32.13 ± 0.79	35.46 ± 1.32
	RS	69.15 ± 0.62	74.10 ± 0.22	33.08 ± 0.21	34.48 ± 0.40
	DRW	75.22 ± 0.50	75.77 ± 0.09	41.05 ± 0.10	41.90 ± 0.32
	DRS	74.28 ± 0.56	76.29 ± 0.20	40.97 ± 0.40	42.73 ± 0.22
Focal	None	70.22 ± 0.56	67.31 ± 0.17	38.41 ± 0.27	40.60 ± 0.32
	CB RW	69.22 ± 0.70	66.73 ± 0.54	26.80 ± 0.85	25.16 ± 1.43
	CB RS	68.64 ± 0.62	72.99 ± 0.38	33.04 ± 0.36	34.72 ± 0.60
	RS	69.30 ± 0.20	73.35 ± 0.11	32.73 ± 1.13	34.03 ± 0.05
	DRW	75.41 ± 0.87	74.94 ± 0.41	39.65 ± 0.36	40.14 ± 0.16
	DRS	73.51 ± 0.50	76.44 ± 0.34	40.77 ± 0.21	40.87 ± 0.46
LDAM	None	73.06 ± 0.28	69.00 ± 0.38	40.45 ± 0.26	40.88 ± 0.73
	CB RW	73.06 ± 0.28	69.00 ± 0.38	40.45 ± 0.26	40.88 ± 0.73
	CB RS	70.38 ± 0.41	75.46 ± 0.07	30.68 ± 0.43	32.37 ± 0.39
	RS	70.45 ± 0.43	75.02 ± 0.04	30.84 ± 0.41	33.50 ± 1.01
	DRW	77.13 ± 0.27	77.98 ± 0.50	43.11 ± 0.33	43.33 ± 0.36
	DRS	76.73 ± 0.74	$\mathbf{78.00 \pm 0.14}$	43.21 ± 0.31	$\mathbf{44.35 \pm 0.21}$

Table 4: Full experimental results for long-tailed CIFAR-10 and CIFAR-100 datasets. In this table, we report the average **balanced test accuracy** and the standard error of the mean of 3 runs for each entry. Bold numbers represent superior results for each dataset. Note that we augment all classes instead of only the minority classes for CIFAR-10 LT, and show that even without the hyper-parameter class size threshold, K, we see major improvements over most (Loss type, training schedule). For CIFAR-100 LT, using GIT to augment all classes often hurts the performance compared to not using GIT, so we only use GIT for classes with number of training samples ≤ 100.