### UNIVERSITY OF TECHNOLOGY SYDNEY Faculty of Engineering and Information Technology

## Advanced Techniques of Cross Domain Translation Learning

by

Wanning Huang

A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE

Doctor of Philosophy

Sydney, Australia

2020

### **Certificate of Original Authorship**

I, Wanming Huang, declare that this thesis, is submitted in fulfilment of the requirements for the award of Doctor of Philosophy, in the Faculty of Engineering and IT at the University of Technology Sydney.

This thesis is wholly my own work unless otherwise referenced or acknowledged. In addition, I certify that all information sources and literature used are indicated in the thesis.

This document has not been submitted for qualifications at any other academic institution.

This research is supported by the Australian Government Research Training Program.

Production Note: Signature: Signature removed prior to publication.

Date: 17/09/2020

#### ABSTRACT

#### Advanced Techniques of Cross Domain Translation Learning

by

Wanming Huang

Cross domain translation, such as image captioning, fashion synthesis from text descriptions, music composition in a particular style, has attracted considerable interest in the deep learning community lately. Despite significant progress in this field, certain drawbacks in previous methods have been identified. First, although the attention mechanism has been widely applied to domain transfer and achieved remarkable outcomes, cross-domain translation remains an open research question on cross domain transfer learning because of the different data structures. Second, most domain translation algorithms address only a pair of domains, and there is a need for  $2 \times \binom{N}{2}$  transfer functions given N image domains. This makes training prohibitively unmanageable. We have proposed a set of solutions to solve these two problems, as described in detail in Chapter 3. Third, most generative model based domain-transfer algorithms uses single-mode distribution to model the latent space. This does not work well on datasets that contain diversified samples that form multiple clusters. Our study applies mixture models to cross-domain generation, of which the effects and properties are illustrated in Chapter 4. Finally, crossdomain translation models usually suffer from long training time and are difficult to converge. Indeed, this applies to most deep neural network training that involves complex network designs and large datasets. Our work in Chapter 5 accelerates deep neural network training with a specially designed mini-batch sampling strategy.

Dissertation directed by Associate Professor Richard Yi Da Xu School of Electrical and Data Engineering

#### Acknowledgements

First and foremost, I would like to express deep feelings of gratitude to my supervisor, Associate Professor Richard Yi Da Xu, who has guided me through my PhD journey. He has taught me how to conduct research, and how interesting and amazing machine learning can be. He has spent time with me and my colleagues from day one, taught us calculus, statistics and all other mathematical theories required to conduct machine learning research. He has also shared his insights and the latest breakthrough in many areas of machine learning, which enlightens our own research. Further, he has provided guidance to each one of my paper and my thesis, not only on research ideas, but also on the structuring and writing. He helped me overcome each obstacle I met in my research. I appreciate all his time, effort, and funding that supported my PhD research. I am also thankful for his dedication and hardworking towards research, which exemplified moral and ethical research.

I would also like to thank my external supervisor Dr. Ian Oppermann. Ian and I have arranged meetings regularly to discuss my research progress and exchange ideas on the application of machine-learning algorithms to industry projects. I am deeply grateful for these meetings because they provided insights into my research. Ian also shared his own experience in research and discussed with me possible applications of my work in the industry, which shed light upon my future career path. Discussions with Ian further allowed me to examine problems in a more systematic way and realised what could be improved and what was left to be addressed. He also provided me with valuable advice on PhD study and thesis structuring.

The members of the research group have also contributed immensely to my research and personal life. Discussions with my colleagues, Shuai Jiang, Xuan Liang, Chen Deng, Yi Huang, Ying Li, Wei Huang and all other group members have allowed me to conquer numerous challenges. We have collaborated in multiple projects, and I greatly appreciate the inspiration and suggestions they provided from multiple fields. Shuai Jiang helped me a great deal with optimisation and statistics; Xuan Liang has enlightened me with his experience in neural translation models. I would also like to thank Haodong Chang and Wei Huang for their help in finding a proofreader.

Regarding my research in latent space modelling of generative adversarial networks with applications in anomaly detection, I would like to thank Dr. Hongbo Xie from the University of Queensland. He not only provided me with his knowledge and experience from a statistical perspective, he has also provided me with valuable advice on paper writing.

Further, I would like to thank Elite Editing for their effort in proofreading this thesis, and editorial intervention was restricted to Standards D and E of the Australian Standards for Editing Practice.

Finally, I would like to thank my parents for always being supportive of my research and my life.

Wanming Huang Sydney, Australia, 2020.

### List of Publications

#### **Conference Papers**

- C-1. W. Huang, R. Y. D. Xu, and I. Oppermann, "Realistic image generation using region-phrase attention," in Proceedings of The Eleventh Asian Conference on Machine Learning, ser. Proceedings of Machine Learning Research, W. S. Lee and T. Suzuki, Eds., vol. 101. Nagoya, Japan: PMLR, 17–19 Nov 2019, pp. 284–299.
- C-2. W. Huang, R. Y. D. Xu, and I. Oppermann, "Efficient diversified mini-batch selection using variable high-layer features," in Proceedings of The Eleventh Asian Conference on Machine Learning, ser. Proceedings of Machine Learning Research, W. S. Lee and T. Suzuki, Eds., vol. 101. Nagoya, Japan: PMLR, 17–19 Nov 2019, pp. 300–315.
- C-3. "GAN-based Gaussian Mixture Model Responsibility Learning" accepted by ICPR 2020

# Contents

	Certificate				ii
	Abstract				iii
	Acknowledgments				iv
	List of Publications				vi
	List of Figures				xi
	Abbreviation				xvi
	Notation			x	viii
1	Introduction				1
	1.1 Background		 		1
	1.2 Problems	•	 •	•	3
	1.3 Contributions	•	 •	•	10
	1.4 Research Objectives		 •	•	14
	1.5 Thesis Organisation	•	 •	•	14
2	Literature Survey				16
	2.1 Introduction	•	 •		16
	2.2 Cross Domain Translation		 •	•	16
	2.3 GAN and its Variants	•	 •		18
	2.3.1 GAN	•	 		18
	2.3.2 GAN Variants		 	_	19

		2.3.3	GAN Based Text-to-Image Generation	20
		2.3.4	Attention Mechanism and its Applications in Text-to-Image	
			Generation	23
		2.3.5	Text-to-Image Alignment	25
		2.3.6	Image Domain Transfers With GANs	26
		2.3.7	Normalisation Methods and Applications in GANs	27
	2.4	Latent	Space Modelling of GANs	29
		2.4.1	GMM	29
		2.4.2	GMM in GANs	30
		2.4.3	Dirichlet Process	30
		2.4.4	DP Applications in Generative Models	32
		2.4.5	Other Latent Space Modelling	33
	2.5	Mini-B	atch and SGD	34
		2.5.1	DPP	35
		2.5.2	K-DPP	36
		2.5.3	Markov DPP	36
		2.5.4	DPP for Mini-Batch Sampling	36
3	Ar	oplicat	tions of Cross Domain Transfer	39
	3.1	r Realist	ic Image Generation using Region-Phrase Attention	40
	-	3.1.1	Text Encoder	42
		312	Overall Text Embedding Loss	48
		313	Attentional Text-to-Image Generation	48
		311	Bounding Box Prediction	52
		9.1. <del>4</del>	Functional Function	55
		0.1.0		94

3.2	Transfe	er of One Thousand Styles	. 62
	3.2.1	Updating Chain Ordering	. 63
	3.2.2	Alternative Mechanic using Scheduled Sampling	. 66
	3.2.3	Experiments	. 67
3.3	Summa	ury	. 73
La	tent S	pace Modelling in Style Transfer	75
4.1	GAN-b	ased GMM Responsibility Modelling	. 76
	4.1.1	Posterior Consistency Module (PCM)	. 76
	4.1.2	The Generator	. 79
	4.1.3	The Discriminator	. 79
	4.1.4	Training Parameters for the Prior Distribution	. 80
	4.1.5	Experiments	. 80
4.2	Compre	essing GANs with Gaussian Mixture Prior	. 87
	4.2.1	Method	. 87
	4.2.2	Experiments	. 90
4.3	GMM i	in Text-to-image Generation	. 98
4.4	Dirichle	et Process GAN	. 101
	4.4.1	Generate $z$ via Particle Filter $\ldots \ldots \ldots \ldots \ldots \ldots$	. 102
	4.4.2	Updating DPGMM Parameters	. 106
	4.4.3	Updating Other Parameters	. 106
	4.4.4	Experiments	. 108
4.5	Summa	ury	. 111
$\mathbf{Tr}$	aining	Acceleration in Style Transfer	117
	<ul> <li>3.2</li> <li>3.3</li> <li>La</li> <li>4.1</li> <li>4.2</li> <li>4.3</li> <li>4.4</li> <li>4.5</li> <li>Tr</li> </ul>	<ul> <li>3.2 Transfer</li> <li>3.2.1</li> <li>3.2.2</li> <li>3.2.3</li> <li>3.3 Summa</li> <li>Latent S</li> <li>4.1</li> <li>4.1.2</li> <li>4.1.1</li> <li>4.1.2</li> <li>4.1.3</li> <li>4.1.4</li> <li>4.1.5</li> <li>4.2 Compression</li> <li>4.2.1</li> <li>4.4.1</li> <li>4.4.</li></ul>	3.2       Transfer of One Thousand Styles         3.2.1       Updating Chain Ordering         3.2.2       Alternative Mechanic using Scheduled Sampling         3.2.3       Experiments         3.3       Summary         Latent Space Modelling in Style Transfer         4.1       GAN-based GMM Responsibility Modelling         4.1.1       Posterior Consistency Module (PCM)         4.1.2       The Generator         4.1.3       The Discriminator         4.1.4       Training Parameters for the Prior Distribution         4.1.5       Experiments         4.2       Compressing GANs with Gaussian Mixture Prior         4.3       GMM in Text-to-image Generation         4.4       Dirichlet Process GAN         4.4.1       Generate z via Particle Filter         4.4.2       Updating DPGMM Parameters         4.4.3       Updating Other Parameters         4.4.4       Experiments         4.5       Summary

ix

	5.1	Efficien	t Diversified Mini-Batch Selection Using Variable High-Layer	
		Feature	es	. 118
		5.1.1	Gram-Matrix Construction from Variable Higher-Layer	
			Features	. 119
		5.1.2	Computation Complexity Analysis	. 126
		5.1.3	Experiments	. 128
	5.2	Diversi	fied Mini-Batch Selection in Text-to-Image Generation $\ . \ . \ .$	. 134
	5.3	Summa	ury	. 137
6	Co	onclusi	ion	138
7	Ap	opendi	ix	143
	7.1	Networ	k Details for the Text-to-Image Generation	. 143
		7.1.1	Hyperparameters	. 143
		7.1.2	Basic Network Blocks	. 143
		7.1.3	Network Architecture for the Generator	. 145
		7.1.4	Network Architecture for the Discriminators	. 146
	Bi	bliogra	aphy	148

# List of Figures

1.1	Illustrative example of the mapping between latent distribution and data distribution when the latent distribution is modelled with (a) a single-mode Gaussian distribution; and (b) a mixture of Gaussians	6
1.2	Illustrative example of the mismatch between latent distribution and data distribution.	7
1.3	Illustration of clustering (a) low-dimensional data and (b) high-dimensional data.	8
1.4	Illustrative example of the mapping between latent distribution and data distribution when the number of modes in the latent distribution is (a) smaller than; and (b) larger than the actual number of data modes.	9
2.1	In both figures, magenta points are drawn from k-DPP. Cyan points are its subsequent draw. Green points are samples selected in both steps, where (a) is using an independent k-DPP, and (b) is drawn from a Markov k-DPP, conditioning the first	37
3.1	Network structure for text embedding and GAN network	41
3.2	Text embedding with a two-layer LSTM networks	42
3.3	Text embedding with CNN layers. $n$ represents the number of words in the sentence. "heads = 4" means four scaled dot-product	
	attention run in parallel.	44

3.4	Examples of full image region, the regular-grid region and	
	object-grid region	45
3.5	Thumbnail generator	49
3.6	Thumbnail bounding box conditioned discriminator	49
3.7	Example of attention being paid to a phrase when generating each object-grid region. White rectangles on the left figure highlight the object-grid regions in the image. The matched pair of phrase and object-grid image region is highlighted in the right image	52
3.8	Validation losses of coordinates prediction and number prediction in terms of whether to use the sentences that include position related words for the training	62
3.9	Overall architecture of the proposed framework in two epochs. The graph shows the structure when in $t^{\text{th}}$ epoch, the order of styles is $3, 1, 2, \ldots, N$ , the order is updated to $1, 3, 2, \ldots, N$ in the next epoch. The style ordering shown in the graph is for illustration only; the actual ordering is decided during training. $\ldots$	63
3.10	NOD=1 and NOD=2. Numbers are the index of each style, the two nodes being swapped in each step are highlighted in yellow	65
3.11	Forward and backward generation results for the toy dataset. Real samples are in blue and the generated samples are in orange	68
3.12	Forward and backward generation results on MNIST. The first row of both graphs is the real images; the following three rows are synthetic samples by taking 1, 2, and 3 steps from the real samples	70
3.13	Forward and backward generation results on cars from multiple angles.	71
3.14	Forward and backward generation results on images with multiple brightness	73

4.1	The overall architecture. The feed-forward logic of the classifier $C$ ,	
	the generator $G$ and the discriminator $D$ are marked with different	
	colours.	76
4.2	Samples generated by the proposed models trained on the MNIST	
	(left column), Fashion-MNIST (middle column) and CIFAR-10	
	(right column) datasets. The top row contains images generated	
	using random vectors sampled from a different Gaussian. The	
	bottom row shows the linear interpolation result from one Gaussian	
	to another. The index of Gaussian does not necessarily correspond	
	to the actual digit, generated images are reordered for	
	demonstration purpose	83
4.3	Linear interpolation over three Gaussians on the MNIST,	
	Fashion-MNIST and Oxford-102 datasets.	84
4.4	Inception score and FID scores over training epochs on the Oxford	
	dataset	84
4.5	Inception and FID scores over epochs for the proposed GMM-based	
	GAN with various size of the network compared with the vanilla GAN.	86
4.6	Performance on highly imbalanced dataset	87
4.7	The complete architecture of our model. $K$ is the number of	
	Gaussians in the GMM; $z_i$ is the random vector sampled from the	
	GMM. $x_i$ and $\hat{x}_i$ are the real and fake sample. $G, C$ and $D$ are the	
	generator, discriminator and classifier.	88
4.8	Inception and FID scores over training epochs under different	
	compression rates of GM-GAN and vanilla GAN on the CIFAR-10 $$	
	and Oxford-102 dataset.	93
4.9	Performance of anomaly detection measured by area under curve.	
	(a) AUC over anomalous classes on the MNIST dataset; (b) AUC	
	over anomalous classes on the Fashion-MNIST dataset; (c) AUC	
	over anomalous classes on the CIFAR-10 dataset.	97

4.10	Overall architecture of GMM based text-to-image generation 99
4.11	Comparison between the Gaussian and GMM based GANs in terms of the inception and FID scores over epochs on the CUB and MSCOCO dataset
	MSCOCO dataset
4.12	The complete architecture of DP-GAN
4.13	The overall flow of how the latent DPGMM distribution is updated. Notations on the left are the traditional flow of particles; notations on the right are how it is applied in the proposed architecture 105
4.14	Samples from the toy dataset and generated from (a) GAN and (b) DP-GAN. Samples from the training set and its PDF are plotted in blue and synthetic samples and the PDF of their distribution are plotted in red. (c) Stick weights for the DPGMM when the model is fully trained
4.15	<ul> <li>(a) Samples generated by DP-GAN after trained on the MNIST</li> <li>dataset. Each row contains images sampled from a different</li> <li>Gaussian. Rows are sorted using the components' weights in the</li> <li>descending order. (b) Stick weights for the DPGMM when the</li> <li>model is fully trained</li></ul>
4.16	<ul> <li>(a) Samples generated by DP-GAN after training on the MNIST dataset. Each row contains images sampled from a different Gaussian. Rows are sorted using the components' weights in the descending order.</li> <li>(b) Stick weights for the DPGMM when the model is fully trained.</li> </ul>
5.1	A visualization of three feature vectors being used to construct Gram-matrices. From left to right, each figure represents <i>raw</i> , <i>fixed</i> <i>higher-layer</i> and <i>variable higher-layer</i> features respectively. Each category is represented in a unique colour. Features are dimension

5.2	Duration over $T$ on the Oxford 102 Flower dataset
5.3	Calinski-Harabasz scores over iterations and the validation accuracy over the training duration on the Oxford 102 Flower dataset 130
5.4	Validation accuracy over the training duration by the proposed sampling methods and the uniform sampling on the Stanford Dogs dataset
5.5	Validation accuracy over the training duration by the proposed sampling methods and the uniform sampling on the Caltech 101 dataset
5.6	Validation accuracy over training duration by the proposed sampling methods and the uniform sampling on the MNIST dataset. 135
5.7	Inception, FID and R-precision over epochs on the CUB dataset. "SGD" denotes the experiment performed using the conventional SG; "FULL-SINGLE" denotes the one performed using the FULL-SINGLE DPP sampling.

### Abbreviation

- 3D three-dimensional
- AUC area under the receiver operating characteristic curve
- bi-LSTM bidirectional long short-term memory
- CUB Caltech-USCD Bird
- CNN convolutional neural network
- DCGAN deep convolutional generative adversarial network

DM-SGD - Diversified Mini-Batch SGD

- DNN deep neural network
- DP Dirichlet process
- DPGMM Dirichlet process Gaussian mixture model
- DPP determinantal point process
- FC fully connected
- FID Fréchet Inception Distance
- GAN generative adversarial network
- GAWWN generative adversarial what-where network
- GLU: gated linear unit
- GM-GAN: Gaussian mixture generative adversarial network
- GMM: Gaussian Mixture Model
- GRU: gated recurrent unit
- IS: inception score
- LSTM long short-term memory
- MSCOCO Microsoft COCO dataset
- NF normalizing flow

- NMT neural machine translation
- NLP natural language processing
- PCM posterior consistency module
- RCM responsibility consistency module
- RCNN region-based convolutional neural network
- ReLU: rectified linear unit
- RNN recurrent neural network
- ROC receiver operating characteristic
- RoI region of interest
- SGD stochastic gradient descent
- SMC sequential Monte Carlo
- SVRG stochastic variance reduced gradient
- VAE variational autoencoder

### Nomenclature and Notation

Capital letters denote matrices.

Lower-case alphabets denote column vectors.

 $(.)^T$  denotes the transpose operation.

 $I_n$  is the identity matrix of dimension  $n \times n$ .

- $0_n$  is the zero matrix of dimension  $n \times n$ .
- $\mathbb{R}$ ,  $\mathbb{R}^+$  denote the field of real numbers, and the set of positive reals, respectively.