LaFTer: Label-Free Tuning of Zero-shot Classifier using Language and Unlabeled Image Collections Supplementary Material

1 Related work

Large-scale Vision&Language (VL) Models: Remarkable performance in many zero-shot downstream tasks has been attained with VL models pre-trained using contrastive losses on large-scale noisy image-text data (e.g., CLIP [1] and ALIGN [2]). Different ideas have been tried to improve the image-text representation alignment, such as leveraging off-the-shelf object detectors [3–5], or using cross-attention and additional objective functions such as image-text matching and masked language modeling [6–9], or filtering noisy captions (e.g., BLIP [9]). Some additional properties of language structure are utilized in [10–14]. DeCLIP [13] finds additional positives for the contrastive loss by seeking textual nearest-neighbors. Geometrically consistent representations (within and across the paired image-text modalities) are employed in CyClip [10]. Recently, few methods have attempted improving VL performance using additional supervision [15, 16], finer-grained interactions [17], modern Hopfield networks [18], optimal transport distillation [19], cycle consistency [20], and hierarchical feature alignment [21]. However, VL models performance still falls short of classifiers trained with supervision on the downstream target data. Most of the approaches to fine-tuning VL models [22, 23] leverage annotated data for this finetuning. In contrast, in our work we propose a completely label-free approach for adapting a VL model to the target task. Methods which are most related to our work, UPL [24] and CLIP-PR [25] also finetune VL models in an unsupervised manner. UPL finetunes learnable text prompts (similar to [22]) by relying on confidence sampled pseudo-labeling, whereas CLIP-PR relies both on offline pseudo-labeling and label distribution prior from the training data. In contrast, in our work, we first leverage textual knowledge from LLMs and design a self-supervised text-only pre-training task showing that it can be employed in an unsupervised parameter-efficient finetuning of the VL model on a set of unlabeled images. Extensive empirical evaluations show the benefits of our approach w.r.t. UPL and CLIP-PR.

Prompt Tuning. Prompt tuning belongs to a wider family of pararamter-efficient finetuning methods that can also be applied to VL models [26, 27]. Originating in NLP [28, 29], visual prompt tuning was recently shown to be effective also for vision backbones [26, 30, 31]. CoOp [26] learns prompt vectors by minimizing the prediction error using the cross-entropy loss. ProDA [31] learns diverse prompts from data to cope with variance of the visual representations. UPL [27] proposes an unsupervised prompt learning framework. TPT [32] proposes a test-time prompt tuning framework. CLIP-Adapter [33] and Tip-Adapter [34] employ an alternative parameter efficient finetuning strategy using additional adapter modules. Recently, CoCoOp [35] proposed a Meta-Net for generating image-adaptive prompts for improved generalization to distribution shifts. In this work, we employ parameter-efficient Visual Prompt Tuning (VPT) [30] as the means for adapting the visual encoder of the VL model, but in contrast with other works we do not use any supervised data. Instead, we use a classifier, trained in the text domain using texts automatically generated by an LLM from the set of target classes, to generate pseudo-labels for an unlabeled image collection as a form of self-supervision. Furthermore, we propose to combine VPT with tuning the scale and shift parameters of normalization layers, previously proposed for handling domain shifts [36–38], but to the best of our knowledge never before used to tune VL models.

Pseudo-labeling. Pseudo labeling, also known as self-training, is commonly used as a semi-supervised learning technique. Popularized in the seminal works of [39, 40], pseudo-labeling

	ImageNet	CIFAR-10	CIFAR-100	EuroSat	DTD	CALTECH-101
CLIP	61.9	88.8	64.2	45.1	42.9	90.5
CLIP-PR	60.4	89.3	63.2	44.2	40.1	84.8
UPL	61.2	89.2	65.8	62.2	**48.0**	90.6
LaFTer*	<u>63.4</u>	<u>95.1</u>	<u>73.1</u>	<u>69.7</u>	44.2	<u>92.2</u>
LaFTer	**64.2**	**95.8**	**74.6**	**73.9**	<u>46.1</u>	**93.3**
	UCF-101	**Flowers-102**	**SUN-397**	**ImageNet-A**	**ImageNet-S**	**ImageNet-R**
CLIP	61.0	66.6	60.8	<u>29.6</u>	40.6	65.8
CLIP-PR	57.9	57.7	54.7	11.6	38.6	54.1
UPL	63.9	**71.5**	**66.0**	26.9	<u>42.4</u>	65.6
LaFTer*	<u>67.7</u>	68.4	62.9	28.9	41.3	<u>70.2</u>
LaFTer	**68.2**	<u>71.0</u>	<u>64.5</u>	**31.5**	**42.7**	**72.6**

Table 1: Top-1 Classification Accuracy (%) while using the CLIP pre-trained ViT-B/32 backbone for 12 image classification benchmarks. We provide two versions of our method. LaFTer* represents all components of our methodology but without the *text-only* pre-training, whereas, LaFTer represents results obtained by first pre-training the visual classifier on text-only data and then performing unsupervised finetuning on the unlabeled image data. Highest accuracy is shown in bold, while second best is underlined.

was extended to utilize consistency regularization [41] and augmentation [42]. The pseudo-labeling pipeline of our method is inspired by FixMatch [43] that combined consistency regularization with confidence-based filtering, surpassing SOTA semi-supervised techniques at the time. It was later extended with a non-parametric classifier in PAWS [44]. These techniques are proposed for semi-supervised learning and require some amount of labeled instances. In contrast, we propose a label-free method for improving VL models performance on a set of target classes. To achieve this, our method finetunes VL models in a parameter-efficient manner by generating pseudo labels through a text-only classifier trained on a corpus of text data generated by prompting language models.

2 Experimental Evaluation

Here we first provide a description of the datasets and baselines we use in our evaluations, then explain our implementation details and later discuss our experimental results in detail.

2.1 Evaluation Setting

Datasets: We extensively evaluate our approach on 12 different datasets belonging to widely different domains. More specifically, we use four datasets containing common natural categories: ImageNet [45], CIFAR-10/100 [46] and Caltech-101 [47]. EuroSat [48] contains satellite images of 10 different locations. UCF-101 [49] is an action recognition dataset. SUN-397 [50] contains images from 397 naturally occuring scenes. Flowers-102 [51] is a fine-grained classification dataset for classifying different categories of flowers commonly occuring in the United Kingdom. Whereas, ImageNet-A (Adversarial) [52], ImageNet-S (Sketch) [53] and ImageNet-R (Rendition) [54] are different versions of the original ImageNet validation set. In our setting, we divide the ImageNet-A, ImageNet-S and ImageNet-R in to 75% train, 5% validation and 20% test set. For all other datasets we use the splits provided by [22].

Baselines: We compare LaFTer with baselines which are label-free (not requiring any additional labeled images):

- **CLIP** [1] denotes zero-shot classification scores by computing the cosine similarity between embeddings from frozen CLIP encoders.
- **UPL** [24] adds learnable text prompts to the CLIP text encoder and finetunes them in an unsupervised manner by employing confidence-sampled offline pseudo-labeling.

	ImageNet	CIFAR-10	CIFAR-100	EuroSat	DTD	CALTECH-101
LaFTer (no-shot)	64.2	95.8	74.6	73.9	46.1	93.3
CoOp (1-shot)	60.6	83.0	55.6	58.4	40.1	91.7
CoOp (5-shot)	61.3	86.6	63.2	71.8	41.1	93.2
CoOp (10-shot)	62.3	88.5	66.6	81.6	65.8	94.6
PEFT (1-shot)	50.7	62.7	50.2	37.5	42.6	90.6
PEFT (5-shot)	59.3	80.0	67.3	55.3	59.9	94.5
PEFT (10-shot)	62.8	87.9	74.1	67.9	67.3	96.1
	UCF-101	**Flowers-102**	**SUN-397**	**ImageNet-A**	**ImageNet-S**	**ImageNet-R**
LaFTer (no-shot)	68.2	71.0	64.5	31.5	42.7	72.6
CoOp (1-shot)	63.8	71.2	64.1	24.5	39.9	60.0
CoOp (5-shot)	74.3	85.8	67.3	30.0	46.5	61.6
CoOp (10-shot)	77.2	92.1	69.0	35.0	49.1	63.6
PEFT (1-shot)	60.5	66.9	58.3	20.9	38.5	57.2
PEFT (5-shot)	72.6	91.1	68.7	33.3	55.3	66.4
PEFT (10-shot)	79.8	95.2	72.3	40.2	61.1	71.0

Table 2: Top-1 Accuracy (%) for our LaFTer (no-shot) compared to few-shot methods. We compare to CoOp [22] in 1-, 5- and 10-shot supervised finetuning regimes. Parameter Efficient Finetuning (*PEFT*) represents tuning the same parameters as in LaFTer (prompts, classifier, affine) but in a few-shot manner. For each dataset/compared method, blue highlights the highest number of shots outperformed by *no-shot* LaFTer. Notably, LaFTer improves over 10-shot and all compared methods in 4 datasets, including ImageNet, where 10-shot = 10K labeled samples.

- **CLIP-PR** [25] optimizes an adapter on top of the CLIP vision encoder by using label distribution priors from the training set of the downstream datasets and generating offline pseudo-labels.

For completeness, apart from these 3 baselines, we also provide a comparison with few-shot fine-tuning method CoOp [22], which learns *soft* text prompts using k labeled images per class (k-shot).

Implementation Details: For all our experiments, unless otherwise stated, we use a ViT/B-32 CLIP pre-trained model from OpenAI [1]. The Text-Only classifier (Method Section, main manuscript) is implemented as a single linear layer, with the output units equal to the number of classes in the dataset. For training this classifier, we load the complete text dataset as a single batch and optimize the network using AdamW as optimizer, with a learning rate of 0.001. For unsupervised fine-tuning using visual data (Section 3.2, main manuscript), we again use the AdamW optimizer with a learning rate of 0.0001, batch size of 50 and optimize the learnable parameters for a total of 50 epochs. Thanks to our Text-Only classifier pre-training, through empirical evaluations we find that 10 epochs are sufficient for fine-tuning on the large-scale ImageNet dataset. To produce an augmented view of the image, we employ the augmentations used in SimSiam [55]: Gaussian blur, random resized crop, random horizontal flip, color jitter and random gray scaling. For generating class descriptions we use different LLM's, e.g., GPT-3 [56] and Alpaca [57]. In total we generate 50 descriptions for each category in the dataset. We ablate the LLM choice in section 2.3. To construct the text dataset we combine the class descriptions from LLM's and dataset-specific prompt templates provided by [1].

2.2 Results

We test our LaFTer extensively on 12 image classification datasets. These results are provided in Table 1. Our LaFTer consistently improves the zero-shot CLIP model on all the 12 datasets. On some datasets, for example EuroSat, our LaFTer shows an absolute improvement of over 28% on the zero-shot CLIP classification results. Even on the large scale ImageNet dataset we show a considerable improvement of 2.3% over the zero-shot CLIP classification results.

We also see that we outperform CLIP-PR on all datasets. Since CLIP-PR relies on offline pseudo-labels, which are generated only once for the entire dataset and only proposes to finetune an adapter on top of frozen CLIP visual encoder. We conjecture that their approach might be less expressive.

	IN	CIFAR-10	CIFAR-100	IN-A	IN-S	IN-R	Mean
Class Name	58.4	87.1	59.0	30.7	37.7	65.5	56.4
Simple-Template	61.1	88.1	63.1	30.4	40.3	65.9	58.1
Dataset-Templates	60.1	89.3	64.7	31.1	41.2	67.5	59.0
Llama Descriptions	54.8	88.4	59.4	25.7	36.3	58.7	53.9
GPT Descriptions	60.5	87.8	63.0	30.2	39.6	63.6	57.4
GPT + Templates	61.9	89.3	65.4	31.5	40.9	67.8	59.5

Table 3: Top-1 Classification Accuracy (%) for a ViT-B/32 model while ablating different text generation strategies for training the text-only classifier in the first stage of LaFTer . To obtain these results, we evaluate the test set of the respective datasets by using the text-only pre-trained classifier on top of the frozen vision encoder from CLIP. IN = ImageNet.

Moreover, it requires label distribution prior from the dataset on which it is being finetuned on. Our LaFTer is free from these requirements and proposes a more general solution for unsupervised finetuning on downstream datasets.

We also compare to the other unsupervised adaptation baseline UPL, which relies on finetuning learnable text prompts attached to the CLIP text encoder through knowledge distillation. In Table 1, we see that our method out performs UPL on most of the datasets (9 out of 12). On some datasets such as EuroSat, it shows a huge gain of 11.7 percentage-points over UPL. On datasets such as Describable Textures Dataset (DTD), Flowers-102 and SUN-397 our method is marginally behind UPL. We conjecture that since we use augmentations in one of our streams during our adaptation phase, it might result in noisy gradients during the learning process. Specially since datasets like DTD and Flowers-102 can depend on color cues for distinguishing the classes. For the large scale ImageNet dataset, we see that the performance of UPL is below the CLIP zero-shot performance. This can be because UPL generates offline pseudo-labels and in ImageNet, due to fine-grained classes the pseudo-labels might not be very confident from the zero-shot CLIP classifier. On the other hand, LaFTer benefits first from a classifier which has learned discriminative visual features through text-only training and later makes use of parameter efficient finetuning (PEFT). Furthermore, since our pseudo labels are generated in an online manner for each iteration during the optimization, they are also constantly refined as the training is progressing.

In Table 2 we provide a comparison of our LaFTer with the few-shot learning method CoOp [22] and also test Parameter Efficient Fine-Tuning (PEFT), which tunes the same learnable parameters as LaFTer (prompts, classifier, and affine parameters of the normalization layers), but in a few-shot manner. Interestingly, we see that our unsupervised representation learning method conveniently outperforms CoOp for 1- and 5-shots. For example, LaFTer (*no-shots)* is on average 7.1% better than CoOp (1-shot) and even 1.3% better in the 5-shot learning regime, while remaining competitive for 10-shots. It is also worth noting that for the large-scale ImageNet our LaFTer (requiring no labels) performs better than CoOp (10-shots), requiring 10000 labeled instances from the dataset. Results also follow a similar trend when compared with PEFT.

2.3 Ablation Studies

To understand the significance of all the components in our LaFTer we minutely study each design aspect. First we discuss the performance of our Text-Only pre-trained classifier, then we ablate each component in our unsupervised adaptation phase using unlabeled images and finally provide results by adapting other pre-trained backbones from CLIP [1]. Due to limited evaluation resources and space constraints, we perform these ablations on a subset of datasets with different complexity.

Text-Only Pre-trained Classifier. A main component of our LaFTer is the text-only pre-trained visual classifier, later used in our pseudo-labeling pipeline. The motivation behind it being, that since CLIP is trained in order to have a shared text and vision embedding space so a classifier trained to classify the embeddings from any one of the modalities should also be able to classify embeddings from the other modality. We show that it is possible to train a classifier to classify images by only training it to classify natural language. To design this self-supervised objective of classifying text (described in detail in Section 3.1, main manuscript) we test different ways of generating the text dataset. For example, simple-template such as *A photo of a* ..., dataset-specific templates from

	Clip	w/o Aug	w/o Prompts	w/o Affine	w/o Cls	w/o Stop Grad	LaFTer
CIFAR-10	88.8	93.5	92.5	94.6	94.1	94.7	95.8
CIFAR-100	64.2	72.6	71.7	72.9	67.4	73.2	74.6
UCF-101	61.0	65.3	66.1	63.6	63.4	67.5	68.2
EuroSat	45.1	63.2	61.2	64.2	60.9	69.2	73.9
ImageNet-A	29.6	29.9	29.8	30.8	30.1	31.1	31.5
ImageNet-S	40.6	40.3	40.7	41.1	40.9	42.1	42.7
ImageNet-R	65.8	68.0	67.7	66.8	66.1	71.8	72.6
Average	56.4	61.8	61.4	62.0	60.4	64.2	65.6

Table 4: Top-1 Accuracy (%) for our LaFTer while ablating the various critical design choices in our methodology. For each of these experiments, we disable one component from our framework and test the resulting method. Aug: Augmentations, Cls: Classifier.

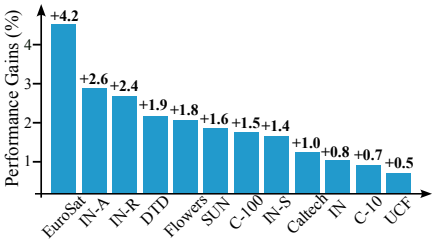

Figure 1: Performance gains of using the text-only pre-trained visual classifier vs not using it in LaFTer pseudo-labeling pipeline scheme.

	C-10	C-100	UCF	EuroSat	IN-R
CLIP (B/16)	89.2	68.1	64.7	48.4	73.8
LaFTer	96.5	76.3	67.2	72.1	81.4
CLIP (L/14)	95.3	75.8	72.0	60.3	84.9
LaFTer	99.0	87.2	77.2	77.2	91.5

Table 5: Top-1 Accuracy (%) for CLIP pre-trained ViT-B/16 and ViT-L/14 backbones. Results are provided for Base VL model (CLIP) and our LaFTer.

CLIP [1] and descriptions from LLMs. These results are presented in Table 3. Note that for these results, we first train the classifier on the generated text dataset and then evaluate on the (images) test set of the respective dataset by using the trained classifier to classify the visual embeddings from the CLIP visual encoder. The simplest text dataset generation strategy: classifying the *classname* is also able to show reasonably strong visual classification performance. Furthermore, different strategies have slight difference in performance. We also find that descriptions from GPT-3 work better than descriptions from Alpaca. Our choice of generating class descriptions by prompting GPT-3 and complementing them by adding handcrafted templates from [1] works best. While averaging over 6 datasets, we gain a performance improvement of 3.1% in comparison to the simplest text dataset generation strategy of classifying the classnames themselves.

Text Classifier Contribution to LaFTer. Pre-training a visual classifier on text-only data and then employing it in our pseudo-labeling pipeline helps LaFTer gain improvements on all the 12 datasets which we evaluate in our paper. In Figure 1 we analyze the performance gains for our LaFTer when using the text-only pre-training in conjunction with our pseudo-labeling pipeline. On some datasets, for example EuroSat [48], our text-only pre-training helps our LaFTer to gain an absolute performance improvement of 4.2%. On other datasets, the performance gains are also consistent.

Design Choices for Unsupervised Finetuning. In order to study the effect on performance of each individual component we ablate our LaFTer in Table 4. We see that removing the classifier and instead using the CLIP Cosine similarity scores in both branches results in the highest degradation of results. Similarly, all other design choices also have a certain effect. For example, removing the learnable visual prompts results in a decrease of 4.2 percentage-points as compared to our LaFTer.

Different CLIP Backbones. For our main experimental results described in Tables 1 and 2 and ablations in Tables 3 and 4, we use the ViT-B/32 CLIP backbone. In Table 5 we also provide results with different backbones for our LaFTer . We observe consistent improvements by LaFTer over CLIP also for larger backbones. For example, for ViT-B/16 our method shows 23.7% absolute improvement for EuroSat, while for ViT-L/14, our method improves CLIP zero-shot by 16.9% on the same dataset.

3 Implementation and Computation Details

We implement our LaFTer in the PyTorch framework. For running experiments for our LaFTer and all the baselines we used a single GPU cluster consisting of 4 NVIDIA Quadro Graphic Cards. To run all experiments for CLIPPR [25] and UPL [24] we use the official codebase released by the respective authors[1,2]. Please note, CLIPPR used the same CLIP ViT-B/32 backbone, while UPL used weaker backbones, so we evaluated their approach for the CLIP pre-trained ViT-B/32 backbone for a more fair comparison.

4 Unrelated Samples during Adaptation

In real-world applications, the unlabeled image collection, such as the one we use in LaFTer (in conjunction with the text-only training) can also contain unrelated images, e.g., images of other classes, not belonging to the target classes set. An unsupervised adaptation method should ideally be robust against such outliers in the adaptation phase. We test our LaFTer and other baselines in 2 such scenarios, described as follows:

Unrelated Samples from Other Datasets: To evaluate this scenario, we add unrelated class samples to the unlabeled CIFAR-10 training experiment from the main paper. Specifically, we add to the unlabeled set of all CIFAR-10 images additional (unlabeled) 'noise' images from N classes (N = 10, 20, ..., 90) of CIFAR-100 that do not overlap CIFAR-10 classes. We tune LaFTer and baselines on this noisy unlabeled set and evaluate the resulting models on the same CIFAR-10 test set (keeping the target classes to be only the CIFAR-10 classes). We plot the results obtained in this scenario for our LaFTer and other baselines in Figure 2. We see that our LaFTer is robust to adding unrelated classes during the adaptation phase. As we can see, there is less than 2% of a performance drop when adding all the 90 classes (as unrelated samples) from CIFAR-100 during adaptation on CIFAR-10 as compared to adding no noise classes from CIFAR-100. We also observe that the baselines mostly under-perform their source CLIP model (that has 88.8% zero-shot accuracy on CIFAR-10 without tuning) hence neither improving nor deteriorating the performance on the noisy unlabeled set.

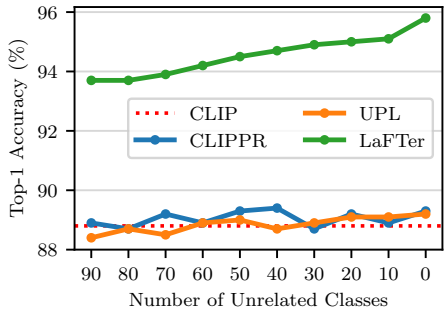

Figure 2: Top-1 Accuracy (%) for CIFAR-10 dataset (with ViT-B/32 backbone) while having **unlabeled** samples of *unrelated* classes from CIFAR-100 dataset added to the **unlabeled** CIFAR-10 set while keeping the target classes set to be CIFAR-10 classes only.

	EuroSat	**CIFAR-100**
CLIP	55.0	73.1
CLIPPR	56.1	73.2
UPL	<u>71.3</u>	<u>75.0</u>
LaFTer	**77.6**	**80.6**

Table 6: Top-1 Accuracy (%) for ViT-B/32 backbone when using only 50% of the classes as target classes for evaluation and having unlabeled samples from all other classes as unrelated (noise) data in the unlabeled image collection used for the adaptation.

Unrelated Samples from Same Dataset: In order to test our adaptation method in the presence of more fine-grained unlabeled noise samples in the unlabeled image collection used for the adaptation, we simulate a scenario where we treat samples from 50% of the classes from the same dataset as unrelated samples while using the remaining 50% of the classes as target classes for the adaptation and evaluation. These results are provided in Table 6. For EuroSat, in this scenario, our text-only

[1]CLIPPR: https://github.com/jonkahana/CLIPPR, Commit: 96c1f23
[2]UPL: https://github.com/tonyhuang2022/UPL, Commit: 97f671f

classifier is only trained to classify 5 classes from the dataset for a closed-set classification scenario (while the other 5 classes are not revealed). However, during the (second) unsupervised adaptation phase, we also add unlabeled samples from the remaining 5 classes in the unlabeled image collection to serve as unrelated (out-of-distribution noise samples). We see that our LaFTer shows strong performance gains also in such a challenging more fine-grained noise scenario and also performs better than other baselines. Results for CIFAR-100 in this scenario, also follow a similar trend.

5 Text Dataset

In the first step of our LaFTer we propose to train a visual classifier on a dataset consisting of natural language, showing successful cross-modal transfer. To build this dataset we try different methods, which are ablated in the main manuscript (Table 3). Due to the better performance obtained by mixing the descriptions from GPT-3 [56] and dataset-specific templates, we choose this method of designing the text dataset. In the following, we first provide the list of queries (prompts) we use to obtain descriptions from GPT-3, then provide some qualitative examples of descriptions and finally provide some examples of dataset-specific templates adopted from [1].

5.1 List of Prompts

We follow [58] and query GPT-3 with different prompts in order to obtain descriptions for each class. In total, we use 5 prompts and require the LLM to generate 10 responses for each prompt. The list of these prompts is as follows:

- Describe what a category looks like.
- How can you identify a category?
- What does a category look like?
- Describe an image from the internet of a category.
- A caption of an image of a category?

Here, category is replaced by the actual classname from the dataset and the response from the LLM is automatically matched with the true classname.

5.2 Qualitative Examples

By querying the LLM for descriptions, we can potentially generate a huge corpus of text samples representing each class. Some examples of the responses from the LLM, when we query it with the prompts mentioned above for the class quail from the ImageNet [45] dataset, include:

- A quail is a small game bird with a rounded body and a small head.
- A quail is a small, plump bird with a round body and a short tail.
- A quail can be identified by its plump body, short legs, and small head with a pointed beak.
- A quail can be identified by its small, rounded body and short tail.
- A quail looks like a small chicken.
- A quail is a small, crested game bird.
- This image is of a quail in a natural setting.
- In the image, there is a brown and white quail perched on a branch.
- A quail hiding in some foliage.
- A young quail pecks at the ground in search of food.

5.3 Dataset Specific Templates

We complement the descriptions from the LLM with the dataset specific templates provided by [1], to obtain our text dataset for training the visual classifier. For example, for the ImageNet dataset, we find that the following 7 templates work best for training the classifier (results obtained by using different types of templates and data generation strategies are listed in Table 3, main manuscript):

- a bad photo of the category.
- a category in a video game.
- a origami category.
- a photo of the small category.
- art of the category.
- a photo of the large category.
- itap of a category.

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