Large and Small Models Collaboration

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- **Age:** 26
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- **M.S.:** Shanghai Jiao Tong University
- **Collaborations:**
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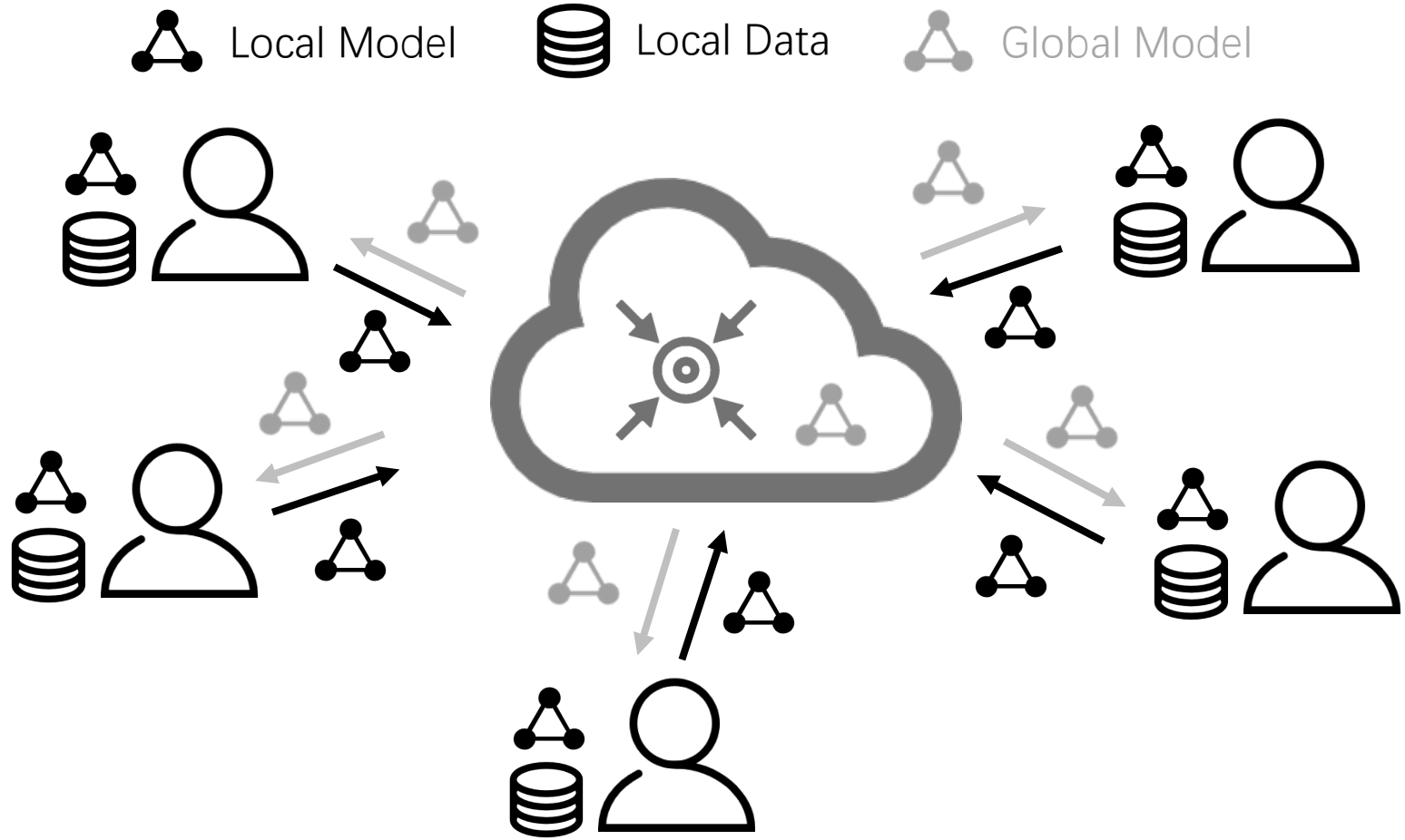
  - Yang Hua, Queen's University Belfast, UK
  - Hao Wang, Stevens Institute of Technology, USA

Overview

- **Research interests**
  - Federated Learning (Small Models)
  - Large and Small Models Collaboration (Large and Small Models)
  - Privacy-Preserving Synthetic Dataset Generation (Large Models)
- **Open-sourced projects (initiator, main contributor (99%))**
  - PFLlib (1300+ stars, 200+ forks), HtFLlib, FL-IoT, etc.
- **Featured publications (6 accepted papers, first author)**
  - Stage ① [Personalized Federated Learning]:
    - PFLlib, AAAI'23, KDD'23, ICCV'23, NeurIPS'23
  - Stage ② [Heterogeneous Federated Learning]:
    - HtFLlib, AAAI'24
  - Stage ③ [Large and Small Models Collaboration]:
    - CVPR'24
  - Stage ④ [Privacy-Preserving Synthetic Dataset Generation]:
    - Working

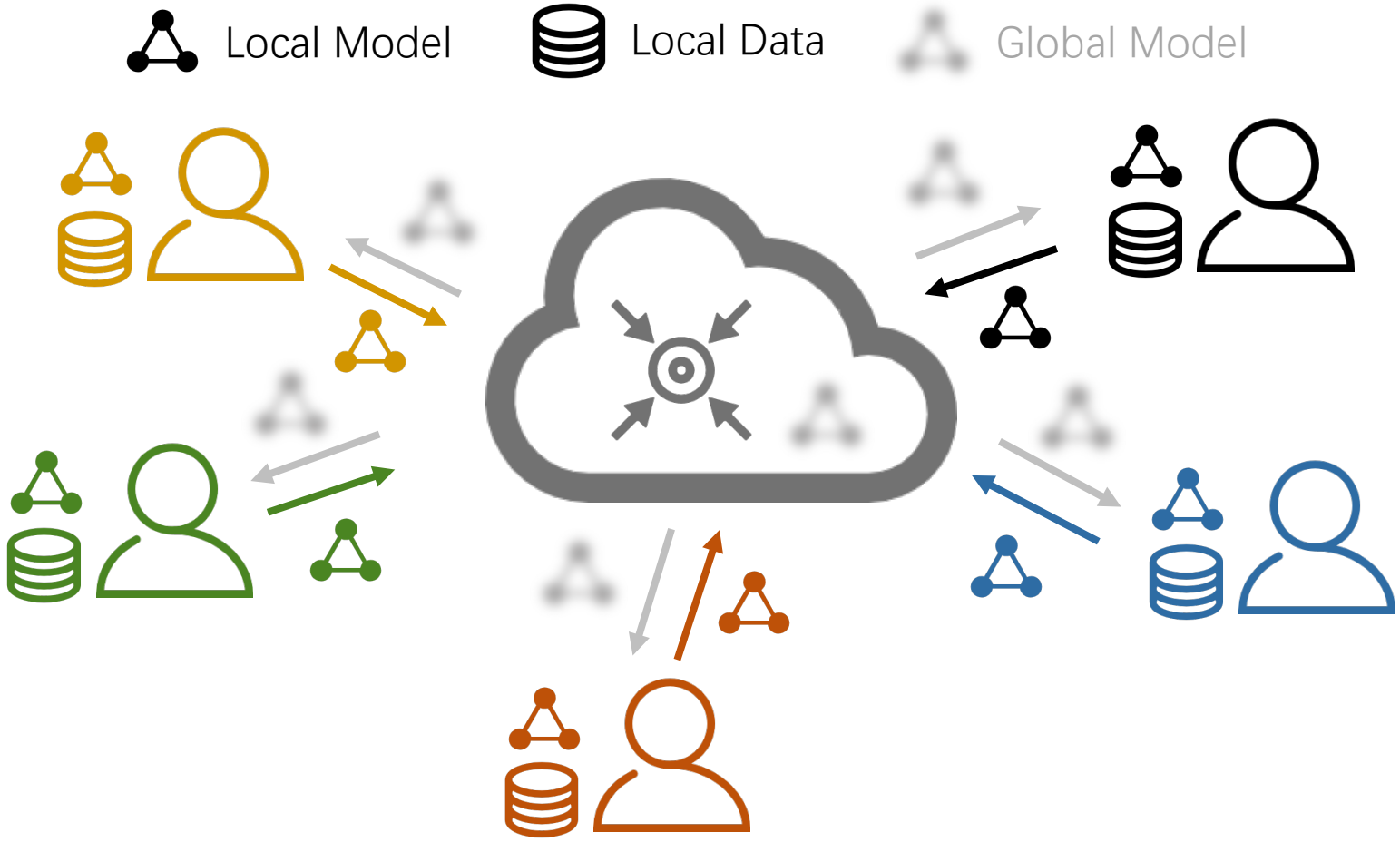
Federated Learning (FL)

- A **collaborative** and **privacy-preserving** technique for AI model training
- Finally output **one global model**



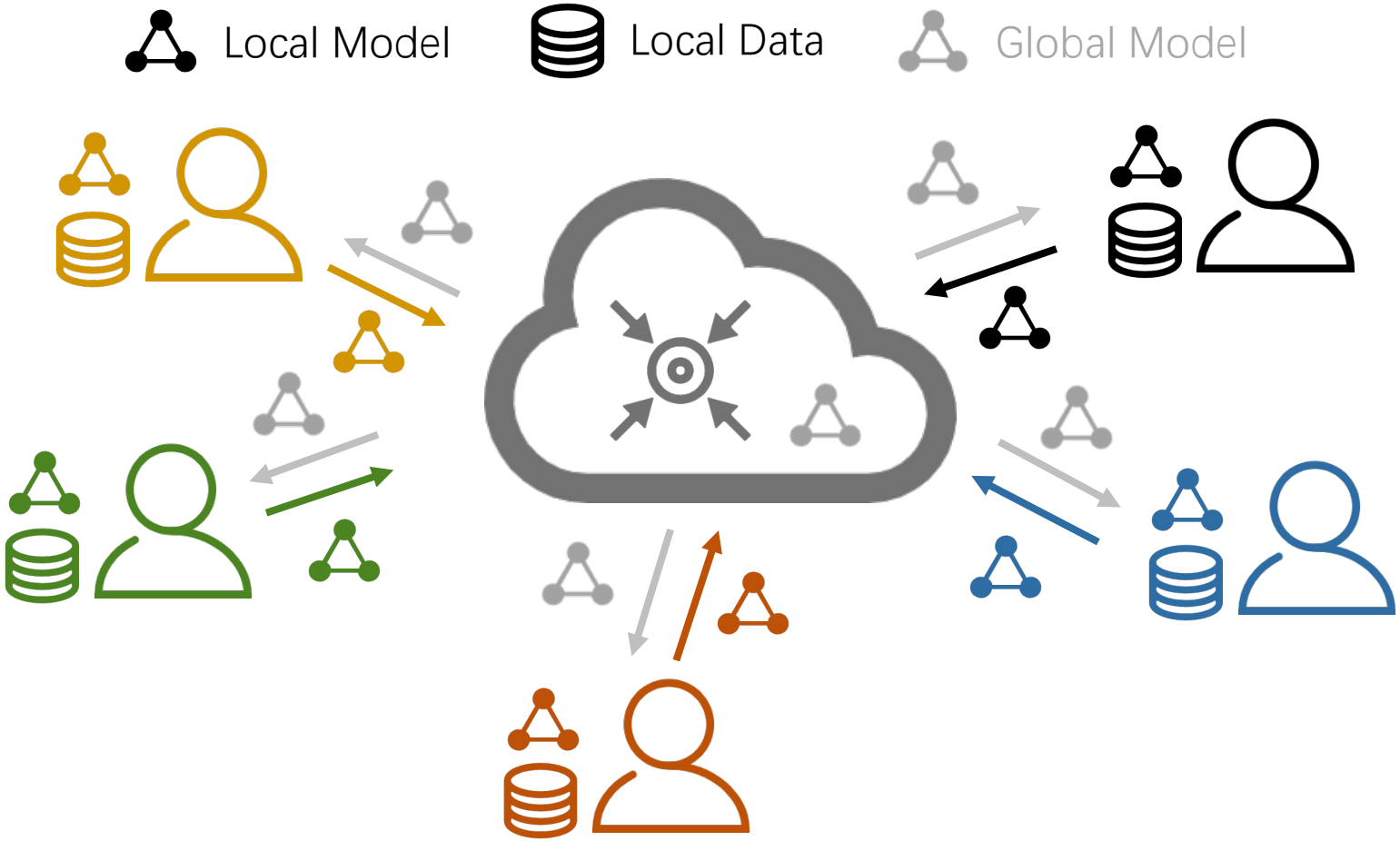
① Data Heterogeneity in FL

- Data is **generated in different ways on clients** and forbidden to be shared
- Each client also has **personalized preferences**



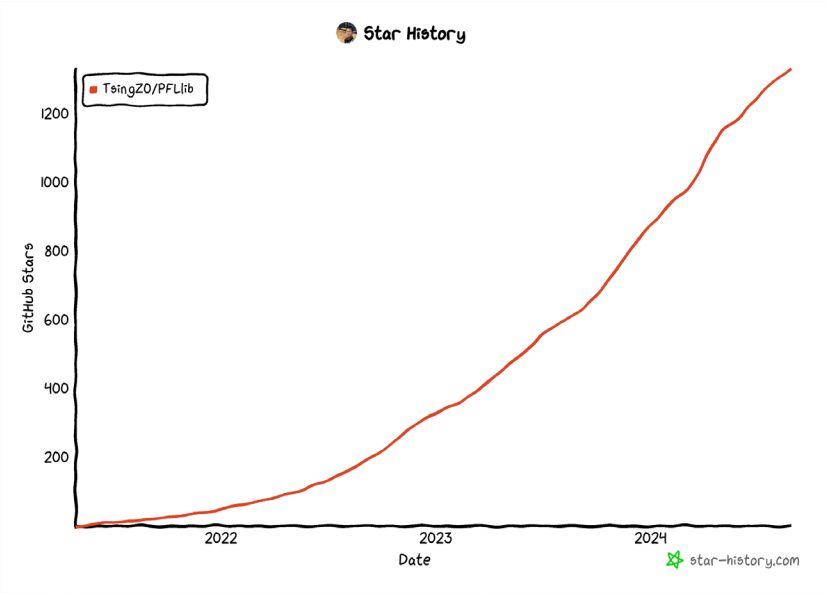
① [Personalized Federated Learning]

- Utilize the **intermediate** global model to **facilitate local training**
- Finally output **personalized models**



① PFLlib: personalized FL (pFL) algorithm library

- **Beginner-friendly**
- **Comprehensive (37 FLs&pFLs)**
- **Popular (1300+ stars)**
- **Main contributor (99%)**
- **…**



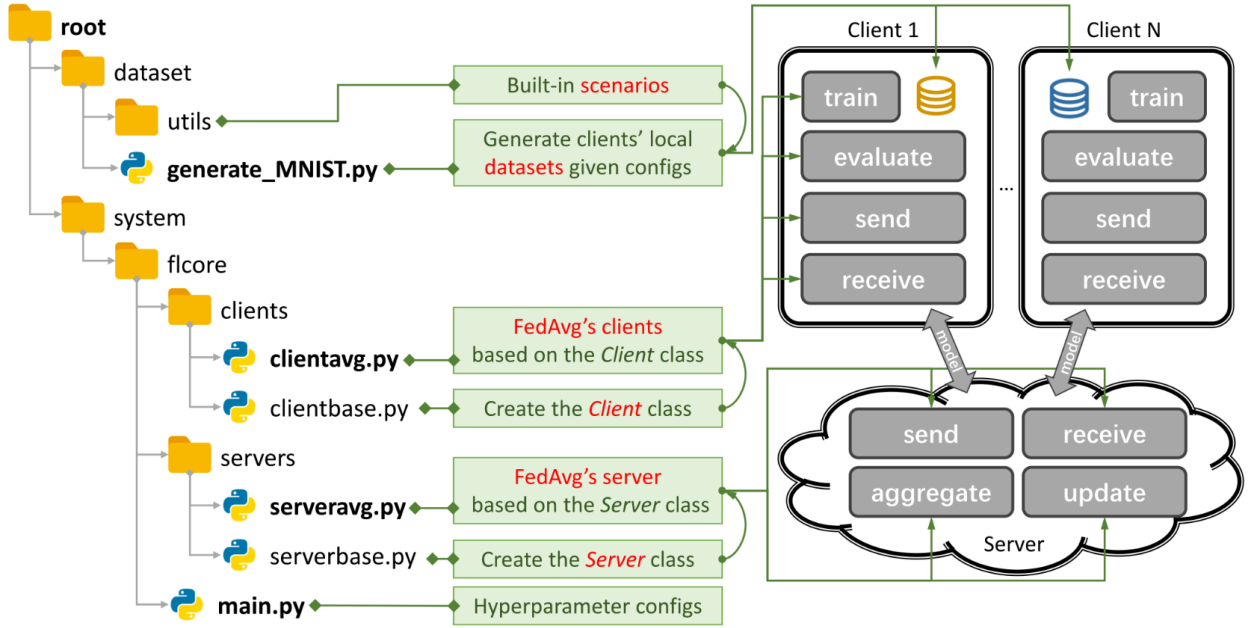


Figure 1: An Example for FedAvg. You can create a scenario using `generate_DATA.py` and run an algorithm using `main.py`, `clientNAME.py`, and `serverNAME.py`.

We've created a user-friendly algorithm library and evaluation platform for those new to federated learning. Join us in expanding the FL community by contributing your algorithms, datasets, and metrics to this project.

- ***37 traditional FL (tFL) or personalized FL (pFL) algorithms, 3 scenarios, and 20 datasets.***
- Some **experimental results** are avalible here.
- Refer to this guide to learn how to use it.
- *This library can simulate scenarios using the 4-layer CNN on Cifar100 for **500 clients** on **one NVIDIA GeForce RTX 3090 GPU card** with only **5.08GB GPU memory** cost.*

https://github.com/TsingZ0/PFLlib

① PFLlib: personalized FL (pFL) algorithm library

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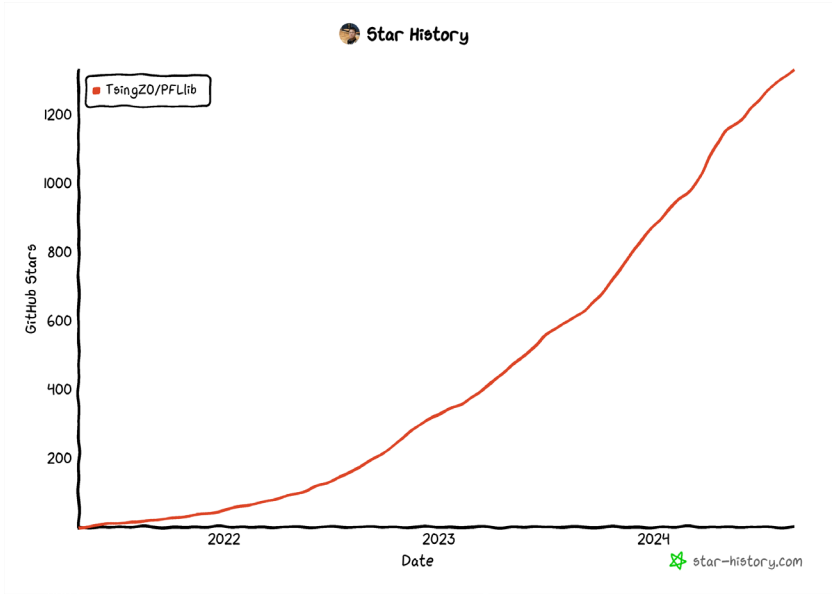

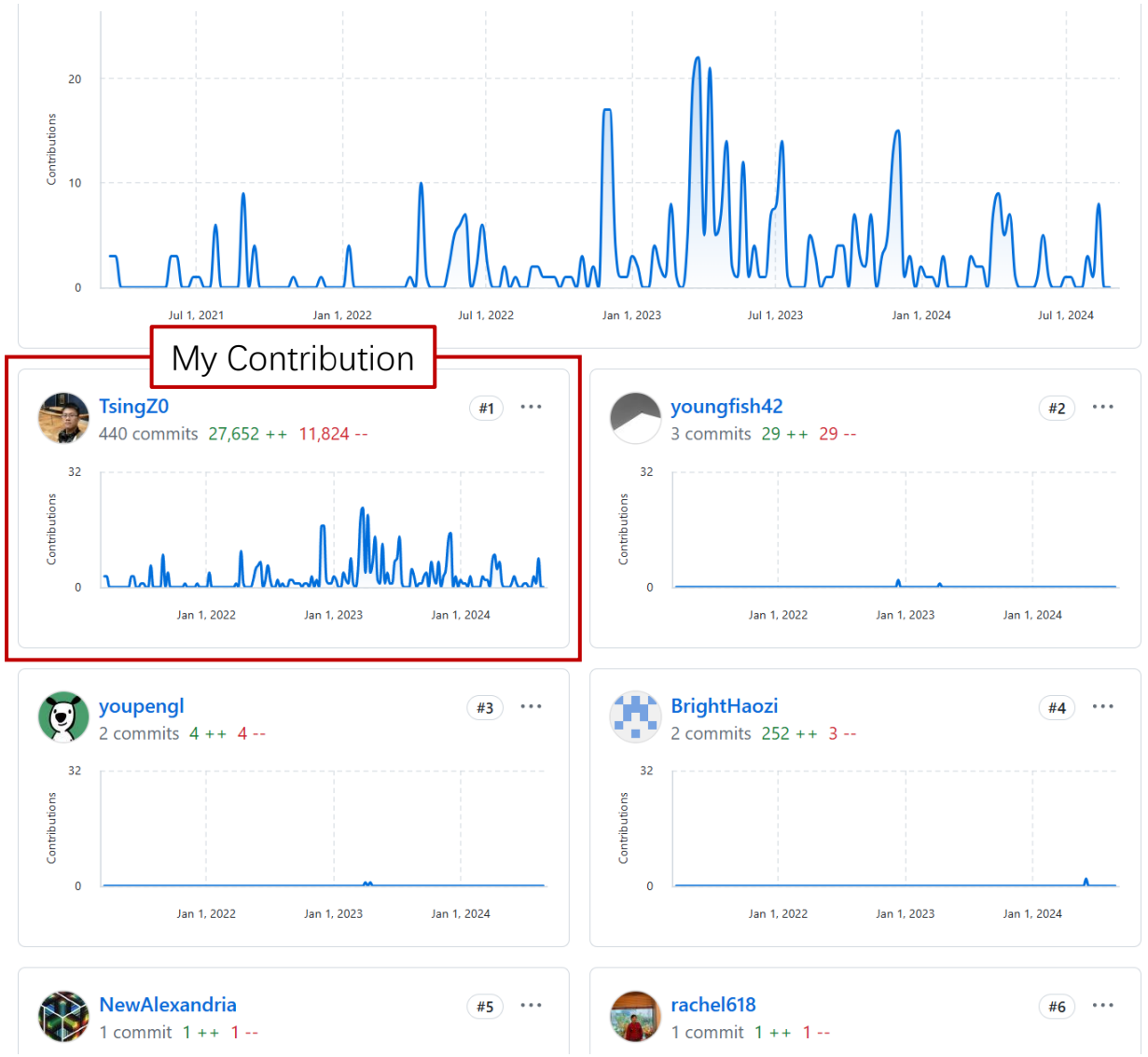

https://github.com/TsingZ0/PFLlib

① Publications

- **[AAAI'23]** FedALA: Adaptive Local Aggregation for Personalized Federated Learning.
- **[KDD'23]** FedCP: Separating Feature Information for Personalized Federated Learning via Conditional Policy.
- **[ICCV'23]** GPFL: Simultaneously Learning Generic and Personalized Feature Information for Personalized Federated Learning.
- **[NeurIPS'23]** Eliminating Domain Bias for Federated Learning in Representation Space.

- **How can we distinguish both generalization and personalization?**

① Publications

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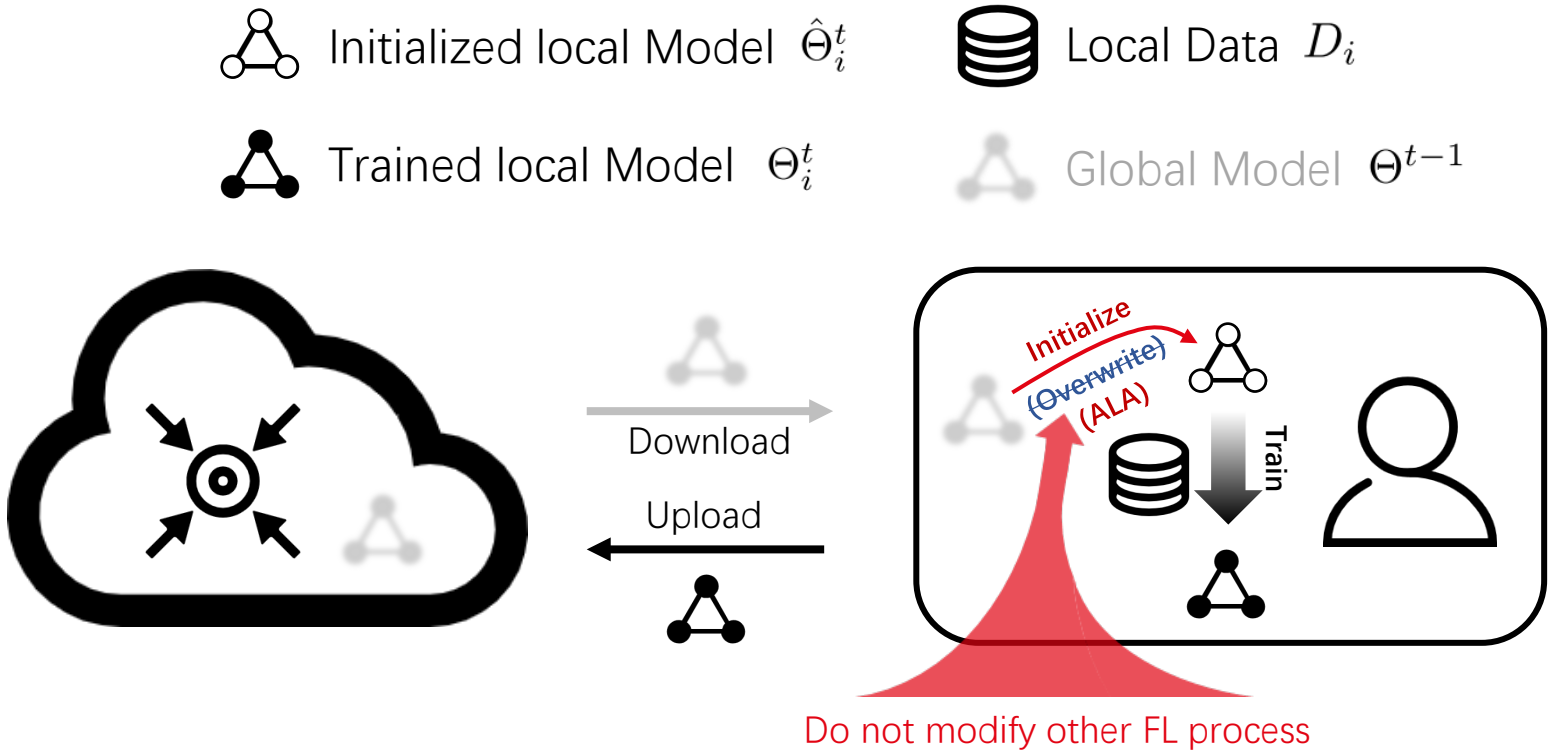
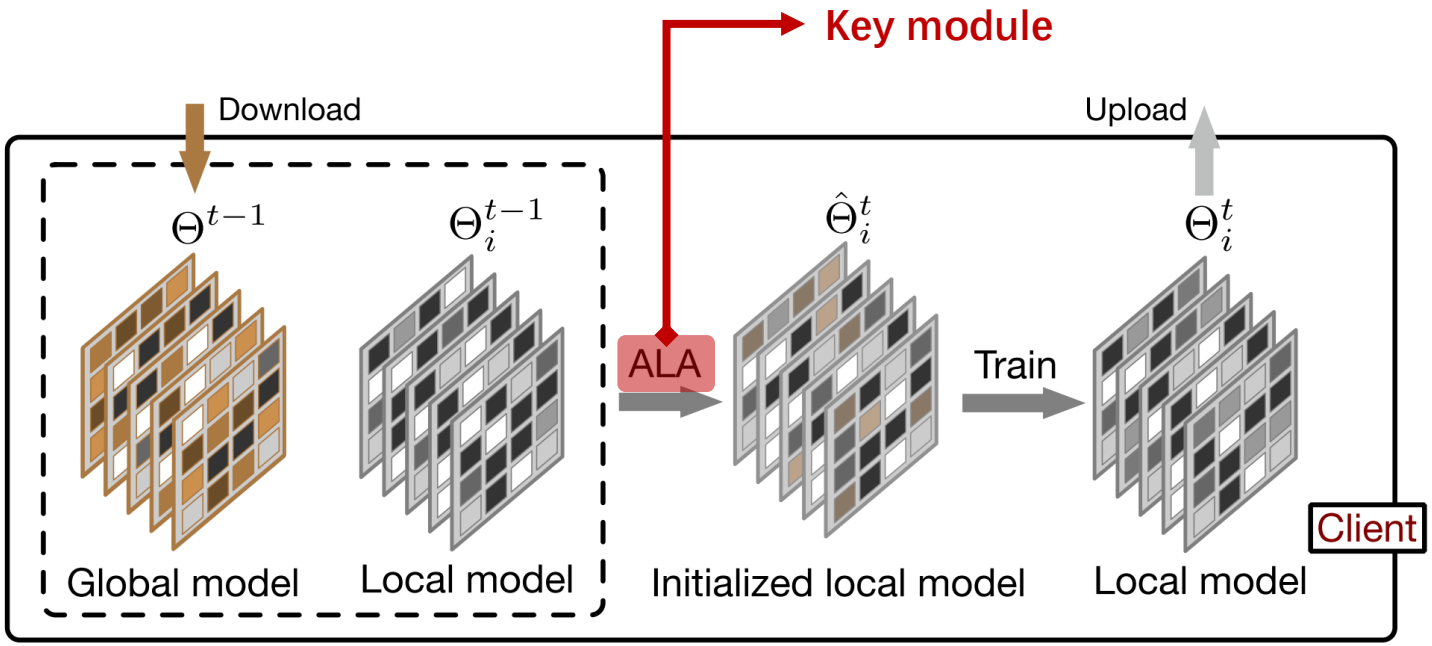
Motivation of FedALA

- Original workflow in FL
  - Both the **desired** and undesired information exist in the global model, resulting in poor generalization ability



FedALA

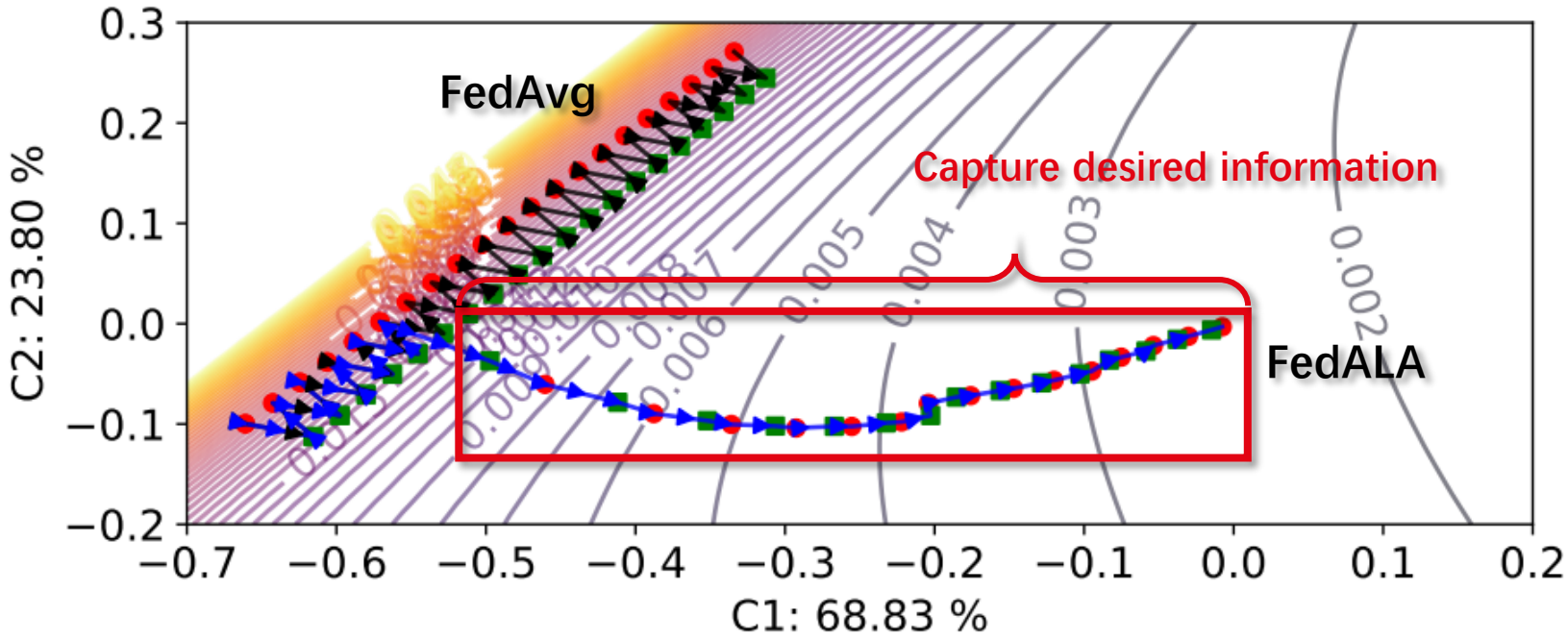
- **Extract each client's desired information from the global model** that facilitates local training
- **Adaptively aggregate** the information in the global and local model for initialization



Workflow on the client in one iteration

FedALA

- Learning trajectory on one client: **FedAvg** vs. **FedALA**
- Activate **ALA** in the subsequent iterations



2D visualization of local learning trajectory

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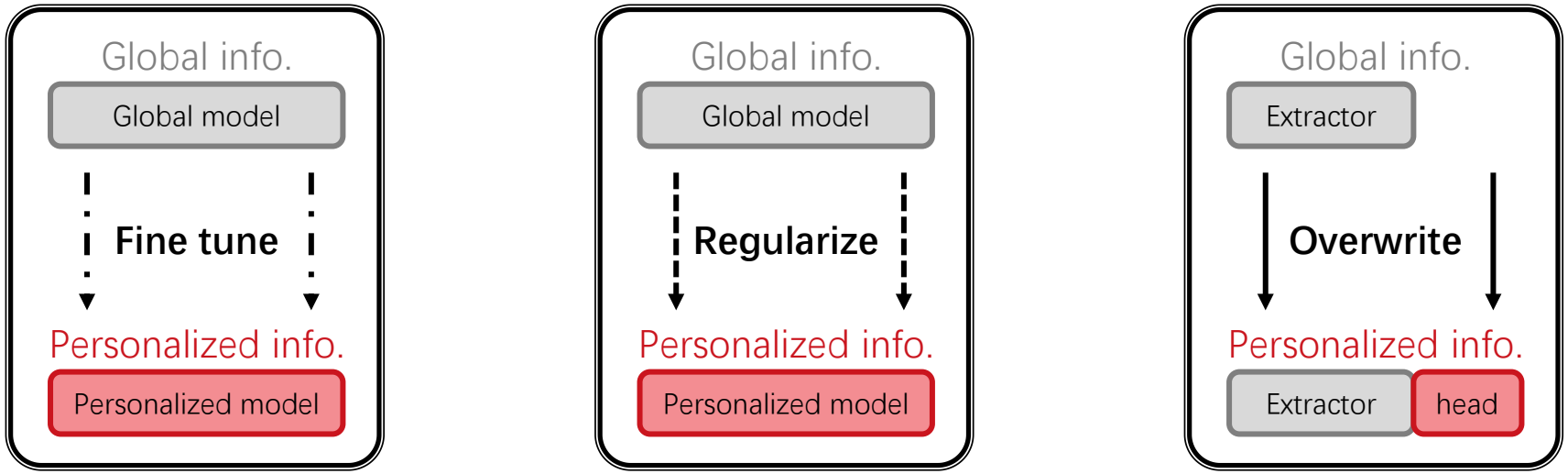
Existing pFL

- **Consensus:** reasonably utilizing global and personalized information is the key for pFL.
  - meta-learning-based (Per-FedAvg), regularization-based (Ditto), and personalized-head-based (FedRep) pFL.



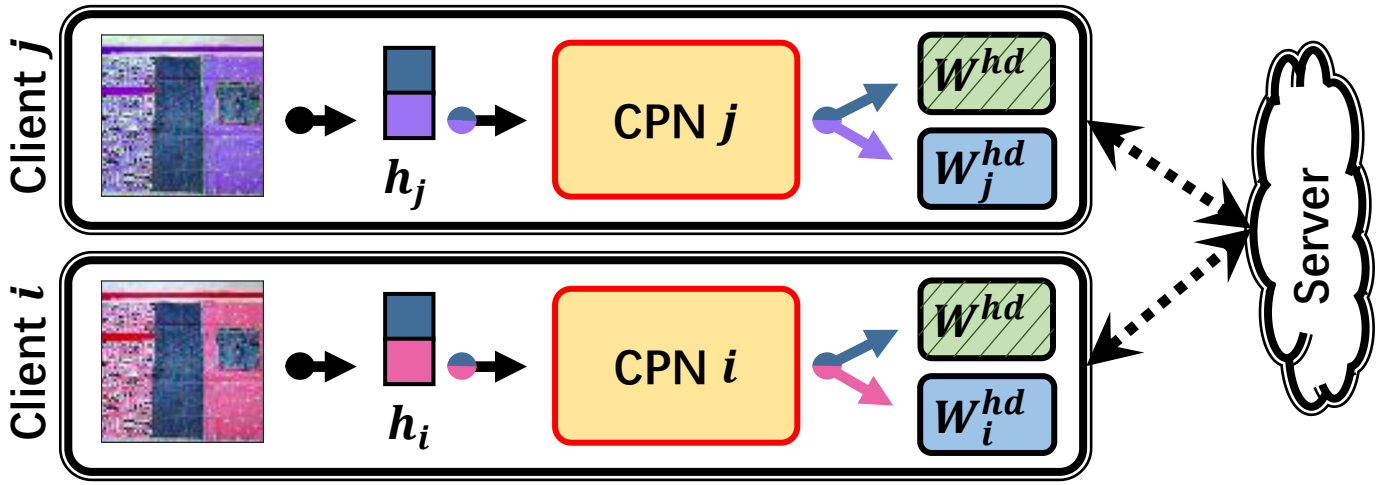
Per-FedAvg[1] Ditto[2] FedRep[3]

- They only focus on model parameters, but **ignore the source of information: data.**

[1] Fallah A, Mokhtari A, Ozdaglar A. Personalized federated learning with theoretical guarantees: A model-agnostic meta-learning approach. NeurIPS, 2020.
[2] Li T, Hu S, Beirami A, et al. Ditto: Fair and robust federated learning through personalization. ICML, 2021.
[3] Collins L, Hassani H, Mokhtari A, et al. utilizing shared representations for personalized federated learning. ICML, 2021.

FedCP

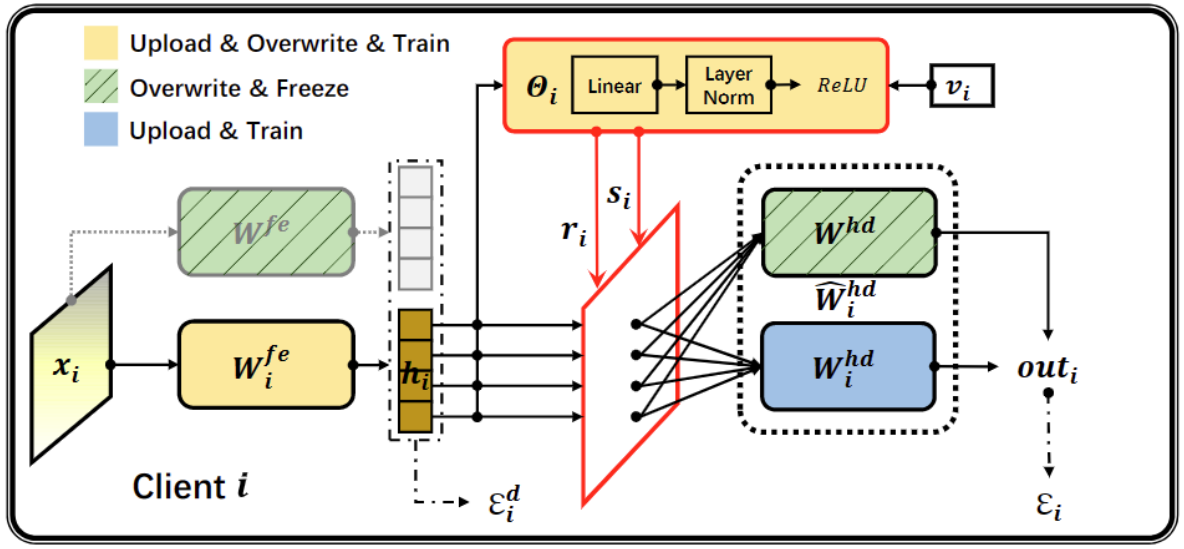
- We separate feature information via an *auxiliary* **Conditional Policy Network (CPN).**
  - Generate sample-specific policy
  - End-to-end training together with the client model
  - Lightweight (e.g., 4.67% parameters of ResNet-18)



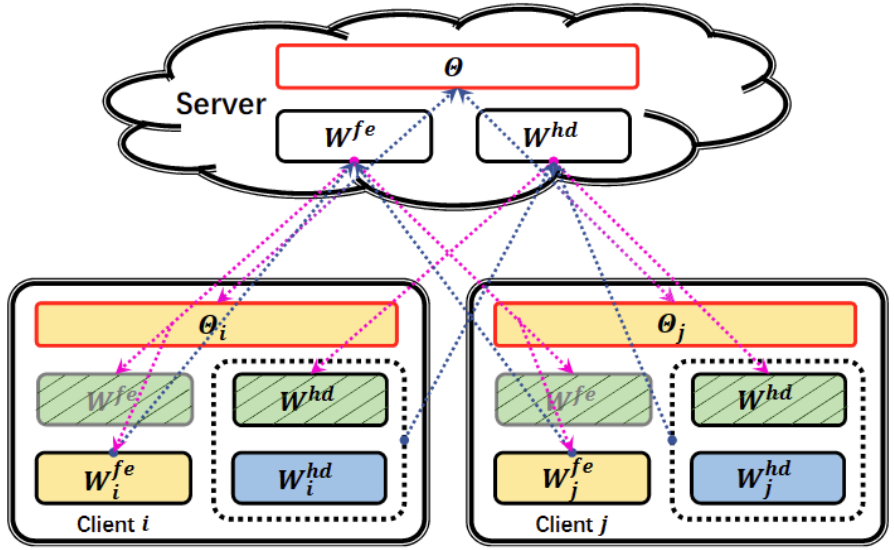
- We utilize global and personalized information via global and personalized heads.

FedCP

- Architecture



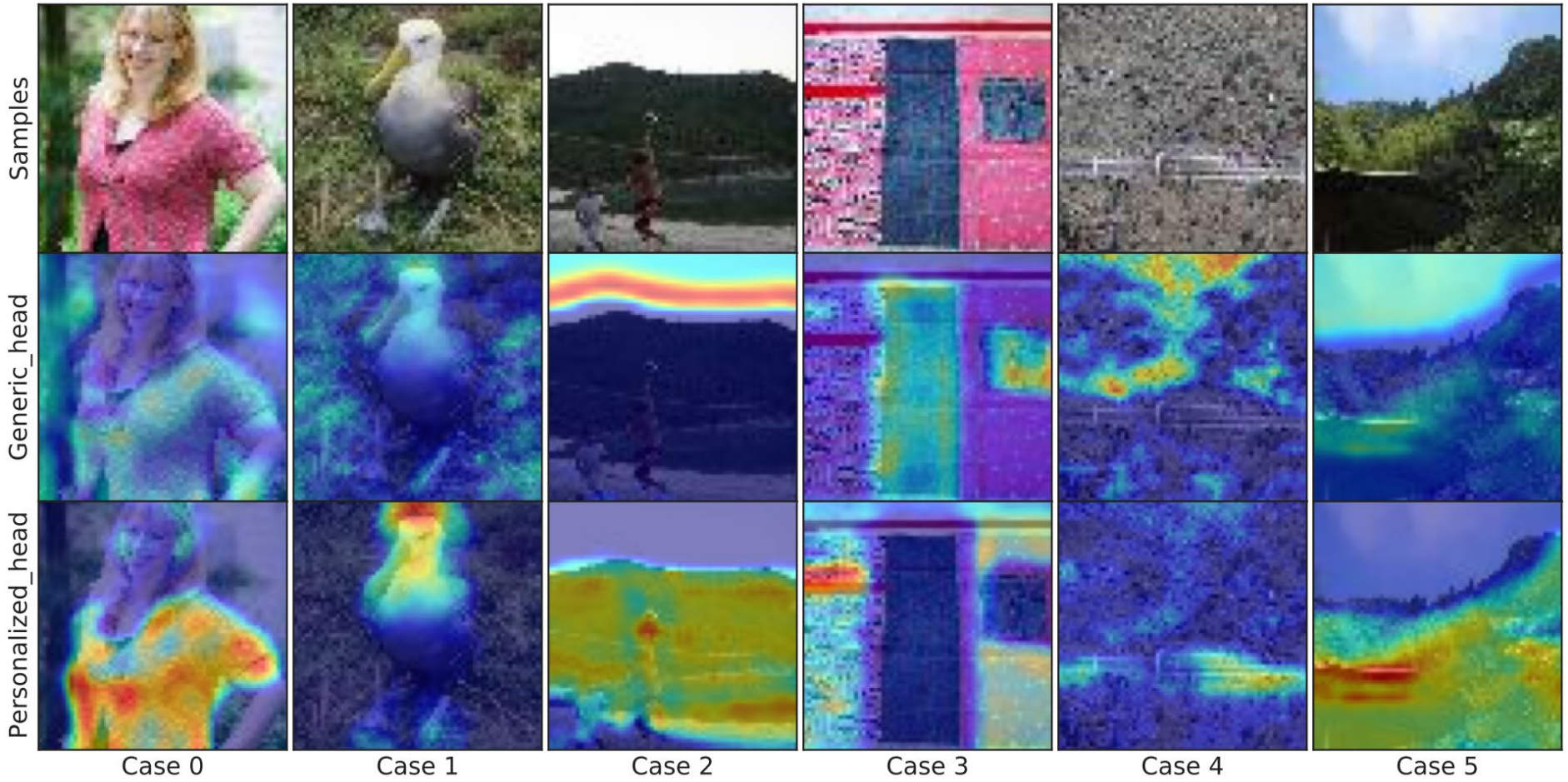
Data flow in the personalized model



Upload and download stream

FedCP

- **Separating Feature Information**



Six samples from the Tiny-ImageNet dataset

① Publications

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GPFL

- GPFL **introduces more global information** during local training using GCE
- CoV **eliminates the interaction between** global and personalized feature learning

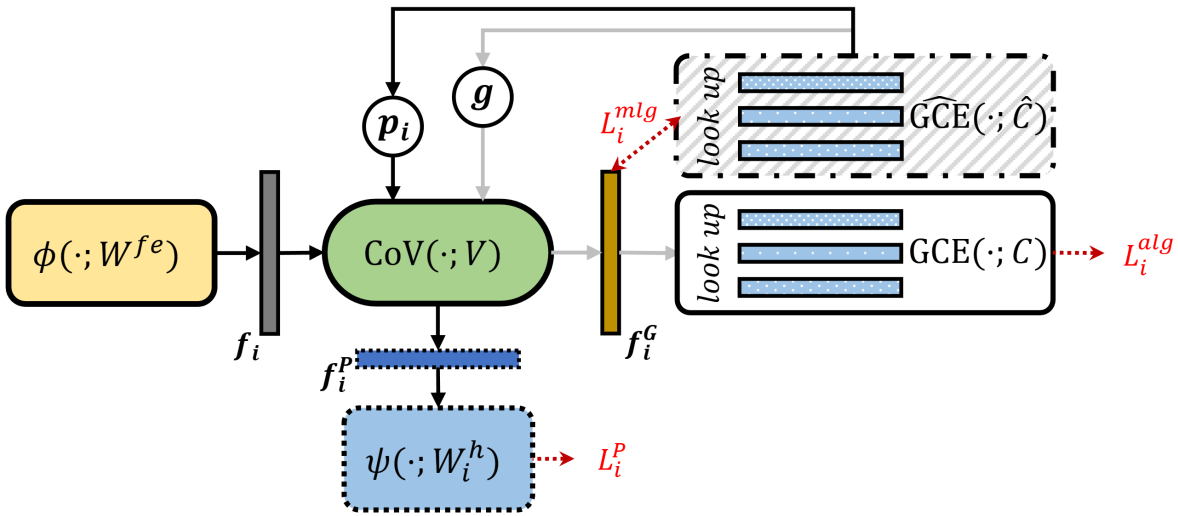
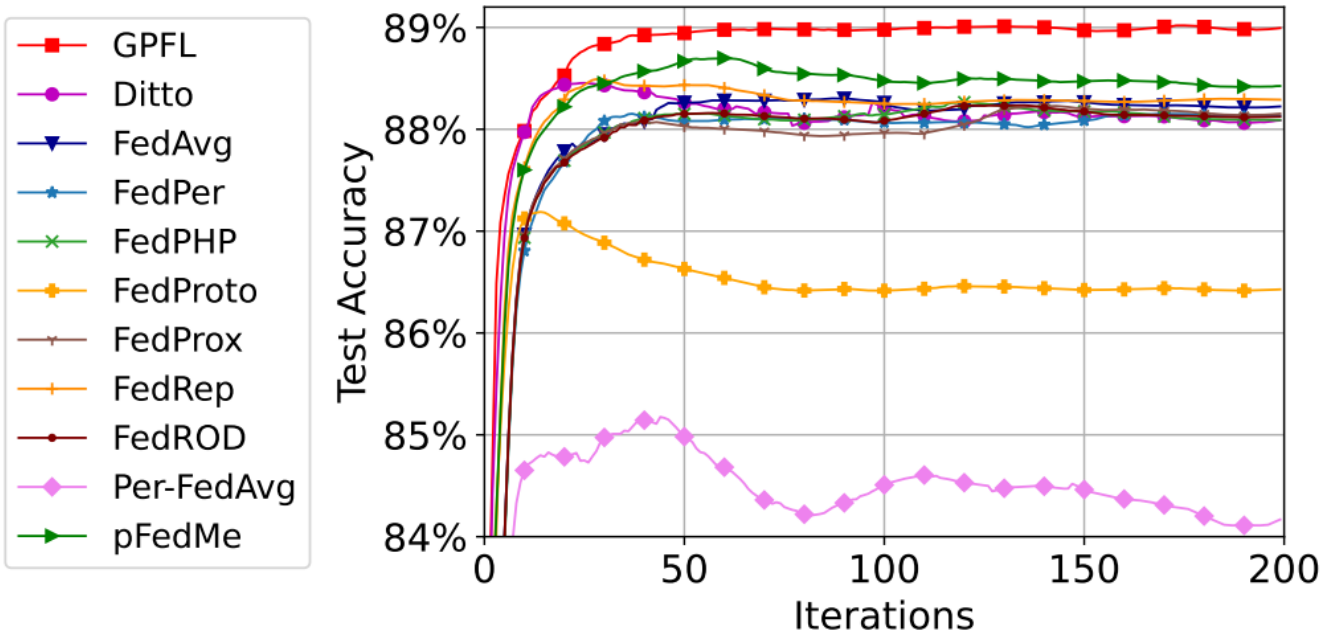


Illustration of client modules and data flow between them

GPFL

- Address the **overfitting** issue in pFL



Test accuracy curves in the feature shift setting

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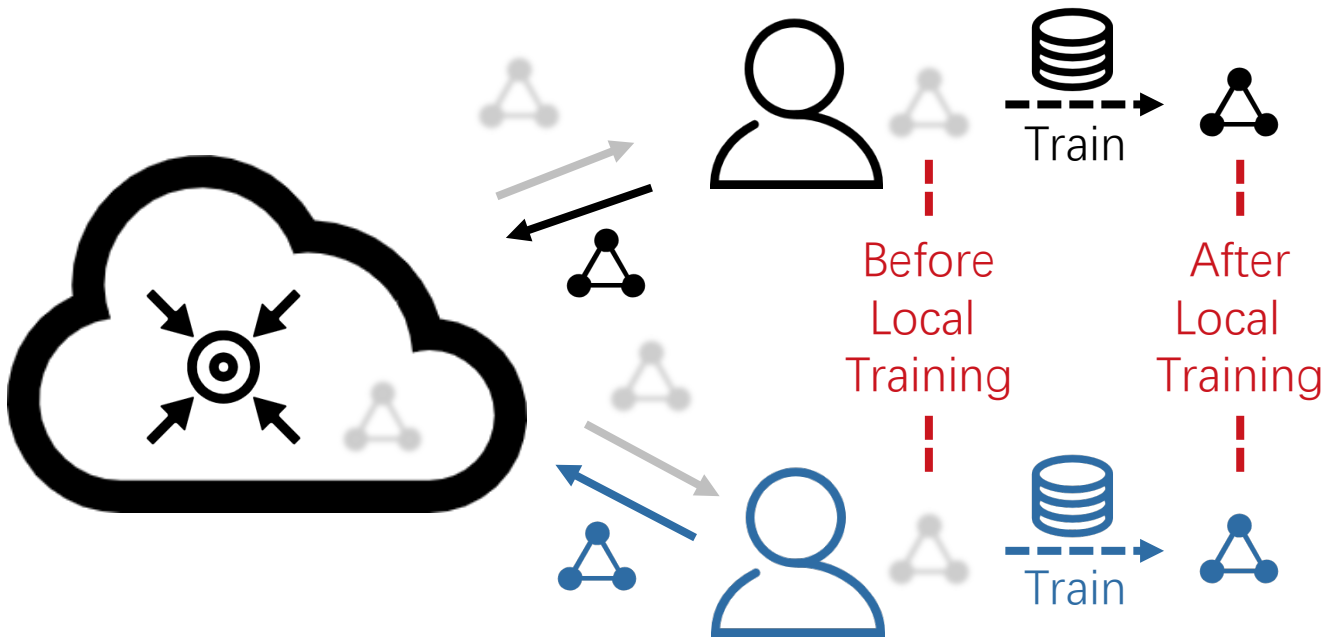
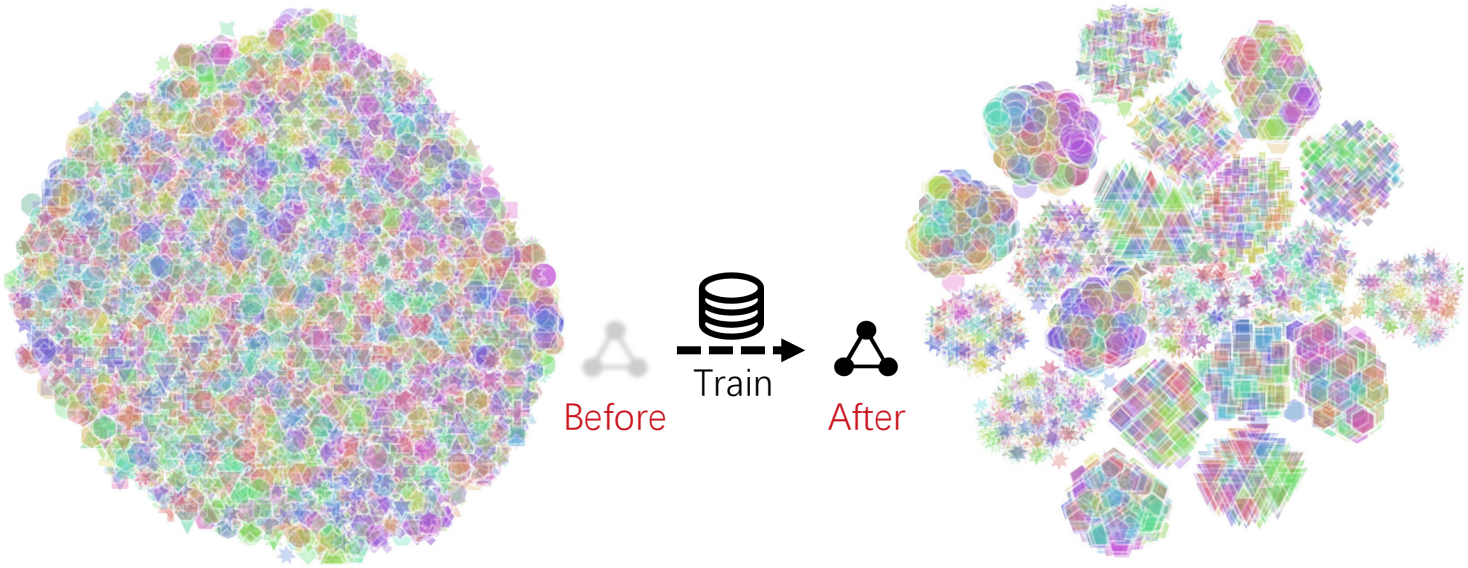
Local training

- Clients' local training turns the received global model to client-specific local models



Representation bias phenomenon

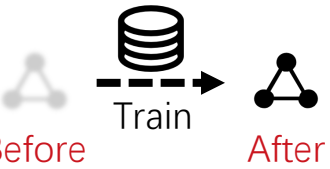
- After local training, the feature representations are **biased** to client-specific domains



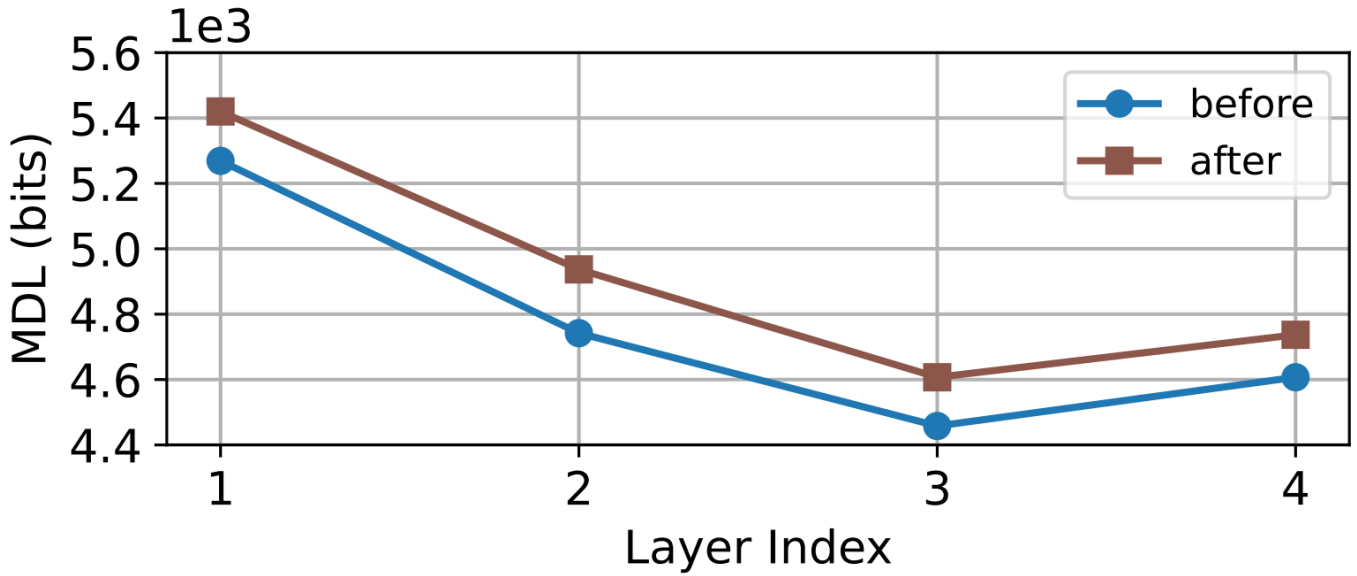
(a) Before local training (b) After local training

We use *color* and *shape* to distinguish *labels* and *clients*, respectively.

Representation degeneration phenomenon



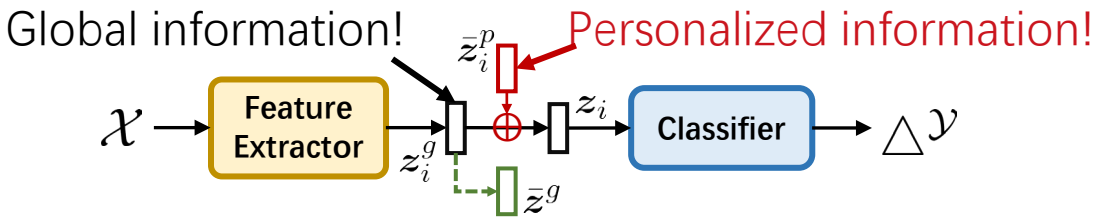
- At the same time, representations' quality is also **degenerated**



Per-layer MDL (bits) for representations before/after local training in FedAvg.
A large MDL value means low representation quality.

DBE

- **Eliminate domain bias** by **store personalized information in PRBM**
- Improve **bi-directional knowledge transfer**



Local model (with PRBM and MR)

DBE

- **Local-to-global** knowledge transfer

Corollary 1. *Consider a local data domain $\mathcal{D}_i$ and a virtual global data domain $\mathcal{D}$ for client i and the server, respectively. Let $\mathcal{D}_i = \langle \mathcal{U}_i, c^* \rangle$ and $\mathcal{D} = \langle \mathcal{U}, c^* \rangle$, where $c^* : \mathcal{X} \mapsto \mathcal{Y}$ is a ground-truth labeling function. Let $\mathcal{H}$ be a hypothesis space of VC dimension d and $h : \mathcal{Z} \mapsto \mathcal{Y}, \forall\, h \in \mathcal{H}$. When using DBE, given a feature extraction function $\mathcal{F}^g : \mathcal{X} \mapsto \mathcal{Z}$ that shared between $\mathcal{D}_i$ and $\mathcal{D}$, a random labeled sample of size m generated by applying $\mathcal{F}^g$ to a random sample from $\mathcal{U}_i$ labeled according to c^*, then for every $h^g \in \mathcal{H}$, with probability at least $1 - \delta$:*

$$\mathcal{L}_{\mathcal{D}}(h^g) \leq \mathcal{L}_{\hat{\mathcal{D}}_i}(h^g) + \sqrt{\frac{4}{m}(d \log \frac{2em}{d} + \log \frac{4}{\delta})} + d_{\mathcal{H}}(\tilde{\mathcal{U}}_i^g, \tilde{\mathcal{U}}^g) + \lambda_i,$$

where $\mathcal{L}_{\hat{\mathcal{D}}_i}$ is the empirical loss on $\mathcal{D}_i$, e is the base of the natural logarithm, and $d_{\mathcal{H}}(\cdot, \cdot)$ is the $\mathcal{H}$-divergence between two distributions. $\lambda_i := \min_{h^g} \mathcal{L}_{\mathcal{D}}(h^g) + \mathcal{L}_{\mathcal{D}_i}(h^g)$, $\tilde{\mathcal{U}}_i^g \subseteq \mathcal{Z}$, $\tilde{\mathcal{U}}^g \subseteq \mathcal{Z}$, and $d_{\mathcal{H}}(\tilde{\mathcal{U}}_i^g, \tilde{\mathcal{U}}^g) \leq d_{\mathcal{H}}(\tilde{\mathcal{U}}_i, \tilde{\mathcal{U}})$. $\tilde{\mathcal{U}}_i^g$ and $\tilde{\mathcal{U}}^g$ are the induced distributions of $\mathcal{U}_i$ and $\mathcal{U}$ under $\mathcal{F}^g$, respectively. $\tilde{\mathcal{U}}_i$ and $\tilde{\mathcal{U}}$ are the induced distributions of $\mathcal{U}_i$ and $\mathcal{U}$ under $\mathcal{F}$, respectively. $\mathcal{F}$ is the feature extraction function in the original FedAvg without DBE.

DBE

- **Global-to-local** knowledge transfer

Corollary 2. *Let $\mathcal{D}_i$, $\mathcal{D}$, $\mathcal{F}^g$, and λ_i defined as in Corollary 1. Given a translation transformation function $\texttt{PRBM} : \mathcal{Z} \mapsto \mathcal{Z}$ that shared between $\mathcal{D}_i$ and virtual $\mathcal{D}$, a random labeled sample of size m generated by applying $\mathcal{F}'$ to a random sample from $\mathcal{U}_i$ labeled according to c^*, $\mathcal{F}' = \texttt{PRBM} \circ \mathcal{F}^g : \mathcal{X} \mapsto \mathcal{Z}$, then for every $h' \in \mathcal{H}$, with probability at least $1 - \delta$:*

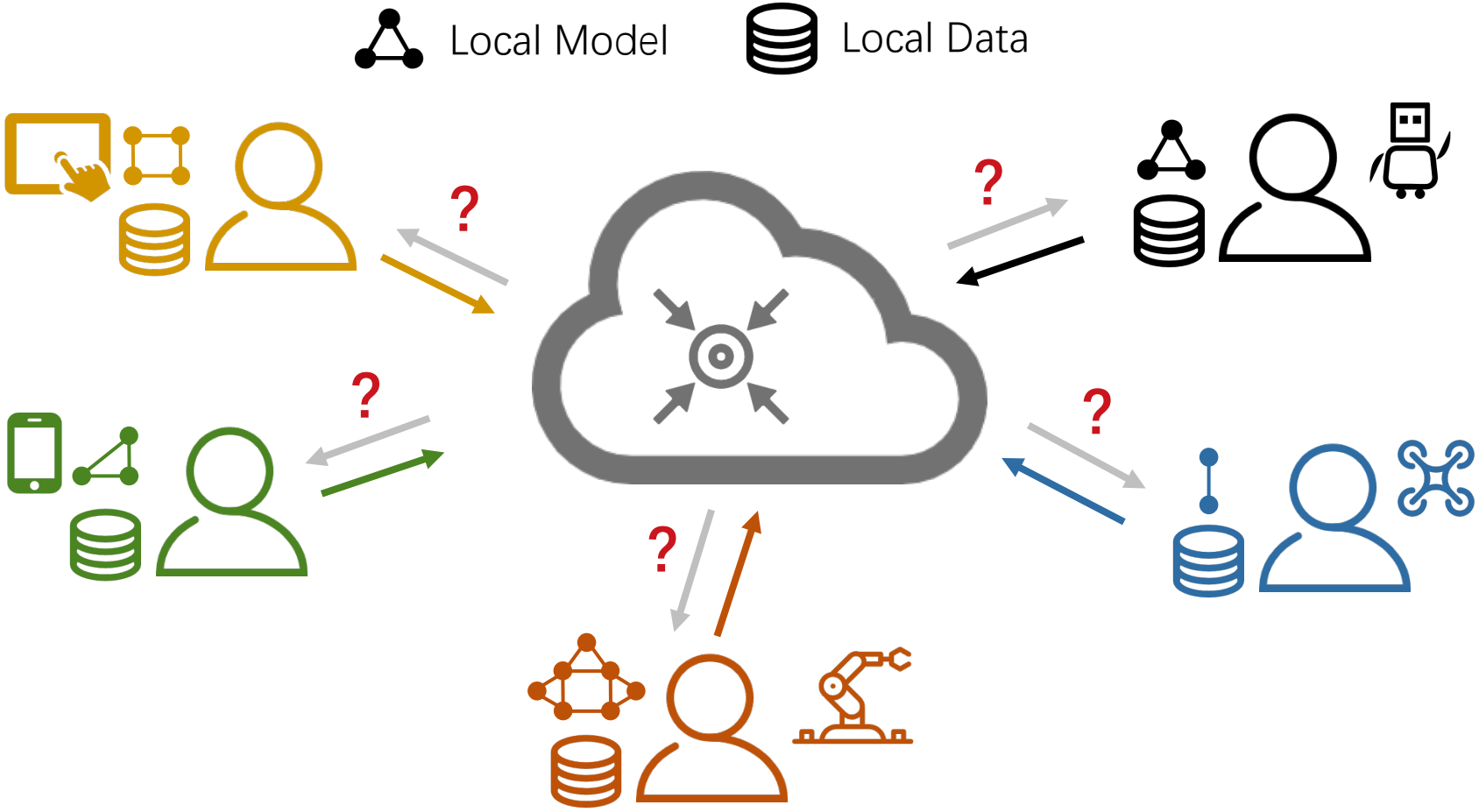
$$\mathcal{L}_{\mathcal{D}_i}(h') \leq \mathcal{L}_{\hat{\mathcal{D}}}(h') + \sqrt{\frac{4}{m}(d \log \frac{2em}{d} + \log \frac{4}{\delta})} + d_{\mathcal{H}}(\tilde{\mathcal{U}}', \tilde{\mathcal{U}}'_i) + \lambda_i,$$

where $d_{\mathcal{H}}(\tilde{\mathcal{U}}', \tilde{\mathcal{U}}'_i) = d_{\mathcal{H}}(\tilde{\mathcal{U}}^g, \tilde{\mathcal{U}}^g_i) \leq d_{\mathcal{H}}(\tilde{\mathcal{U}}, \tilde{\mathcal{U}}_i) = d_{\mathcal{H}}(\tilde{\mathcal{U}}_i, \tilde{\mathcal{U}})$. $\tilde{\mathcal{U}}'$ and $\tilde{\mathcal{U}}'_i$ are the induced distributions of $\mathcal{U}$ and $\mathcal{U}_i$ under $\mathcal{F}'$, respectively.

Please refer to our paper for proofs.

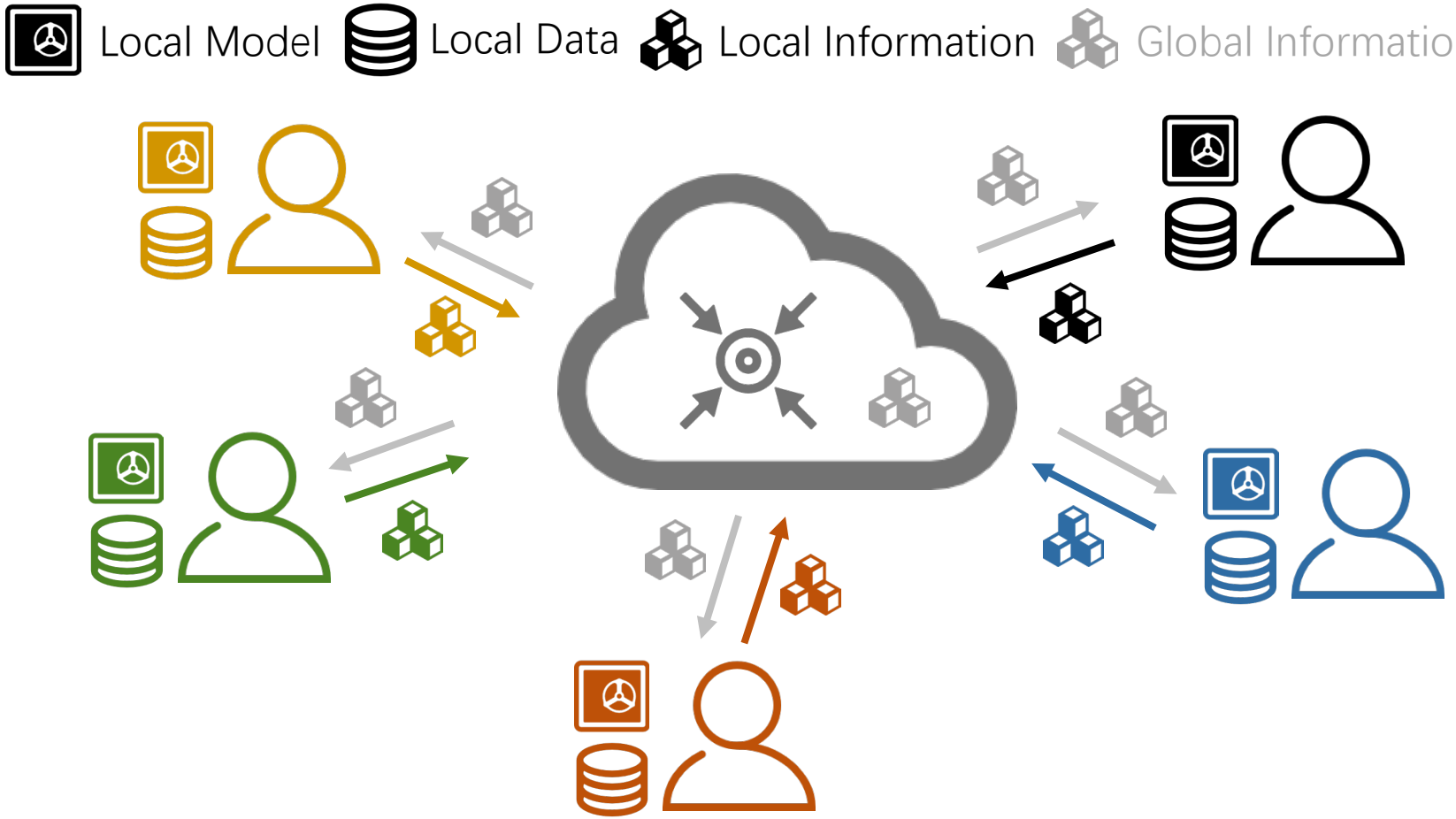
② Data and Model Heterogeneity in FL

- **Device** heterogeneity and **intellectual property**
- **Low bandwidth: What should be transmitted?**



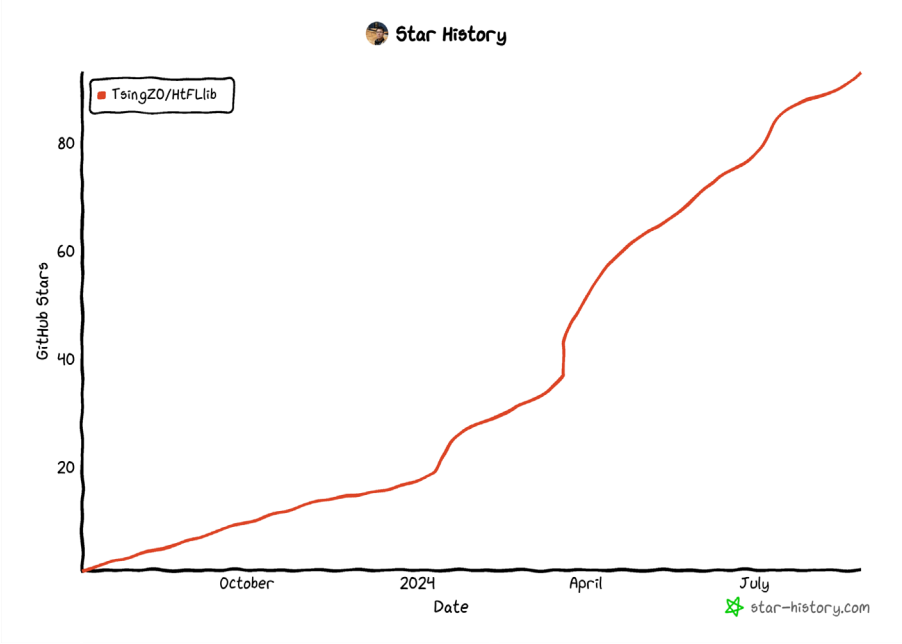
② [Heterogeneous Federated Learning]

- Transmits **lightweight information carriers** instead of exposing model parameters
- Typically uses **knowledge distillation**-based approaches



② HtFLlib: heterogeneous FL algorithm library

- **Beginner-friendly**
- **Data-free**
- **Knowledge distillation**
- **Main contributor (100%)**
- **…**



Scenarios and datasets

Here, we only show the MNIST dataset in the ***label skew*** scenario generated via Dirichlet distribution for example. Please refer to my other repository PFLlib for more help.

You can also modify codes in PFLlib to support model heterogeneity scenarios, but it requires much effort. In this repository, you only need to configure `system/main.py` *to support model heterogeneity scenarios.*

Note: you may need to manually clean checkpoint files in the `temp/` folder via `system/clean_temp_files.py` if your program crashes accidentally. You can also set a checkpoint folder by yourself to prevent automatic deletion using the `-sfn` argument in the command line.

Data-free algorithms with code (updating)

Here, "data-free" refers to the absence of any additional dataset beyond the clients' private data. We only consider data-free algorithms here, as they have fewer restrictions and assumptions, making them more valuable and easily extendable to other scenarios, such as the existence of public server data.

- **Local** — Each client trains its model locally without federation.
- **FedDistill (FD)** — Communication-Efficient On-Device Machine Learning: Federated Distillation and Augmentation under Non-IID Private Data *2018*
- **FML** — Federated Mutual Learning *2020*
- **LG-FedAvg** — Think Locally, Act Globally: Federated Learning with Local and Global Representations *2020*
- **FedGen** — Data-Free Knowledge Distillation for Heterogeneous Federated Learning *ICML 2021*
- **FedProto** — FedProto: Federated Prototype Learning across Heterogeneous Clients *AAAI 2022*
- **FedKD** — Communication-efficient federated learning via knowledge distillation *Nature Communications 2022*
- **FedGH** — FedGH: Heterogeneous Federated Learning with Generalized Global Header *ACM MM 2023*
- **FedTGP** — FedTGP: Trainable Global Prototypes with Adaptive-Margin-Enhanced Contrastive Learning for Data and Model Heterogeneity in Federated Learning *AAAI 2024*
- **FedKTL** — An Upload-Efficient Scheme for Transferring Knowledge From a Server-Side Pre-trained Generator to Clients in Heterogeneous Federated Learning *CVPR 2024 (Note: FedKTL requires pre-trained generators to run, please refer to its project page for download links.)*

https://github.com/TsingZ0/HtFLlib

② Publications

- **[AAAI'24]** FedTGP: Trainable Global Prototypes with Adaptive-Margin-Enhanced Contrastive Learning for Data and Model Heterogeneity in Federated Learning.
- ~~**[CVPR'24]** An Upload-Efficient Scheme for Transferring Knowledge From a Server-Side Pre-trained Generator to Clients in Heterogeneous Federated Learning~~.

- **How can knowledge be shared and aggregated to benefit participants?**

② Publications

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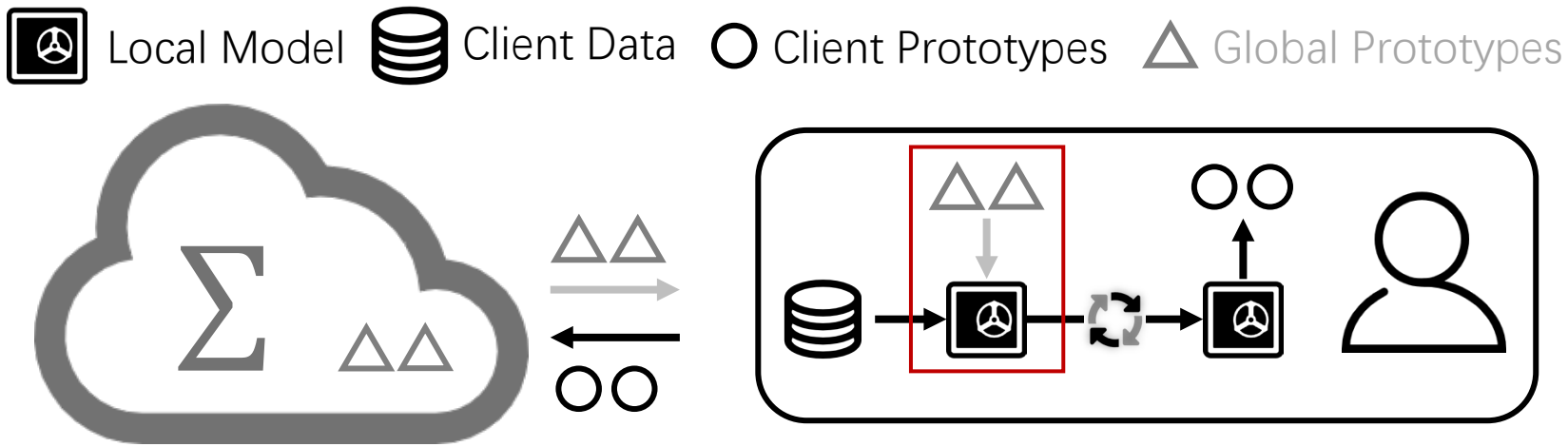
- **How can knowledge be shared and aggregated to benefit participants?**

FedProto: share prototypes (class representatives)

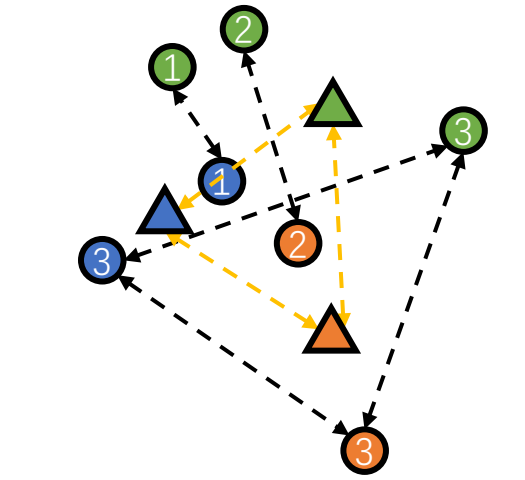
- Share **client prototypes** with the server
- Aggregate client prototypes to generate **global prototypes**
- Train client models in a **knowledge distillation** manner in feature space



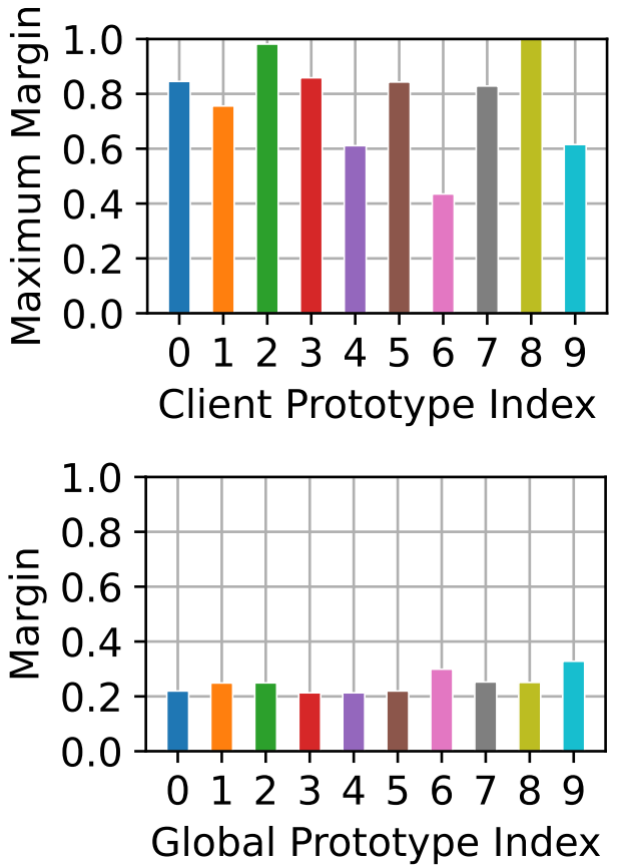
[1] Tan Y, Long G, Liu L, et al. Fedproto: Federated prototype learning across heterogeneous clients. AAAI 2022.

FedProto: shortcomings

- Global prototype (△) margin **shrinks** after weighted-averaging



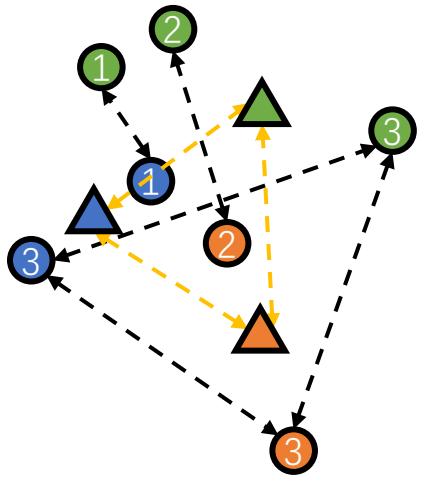
$$\triangle = 1 \cdot w_1 + 3 \cdot w_3$$

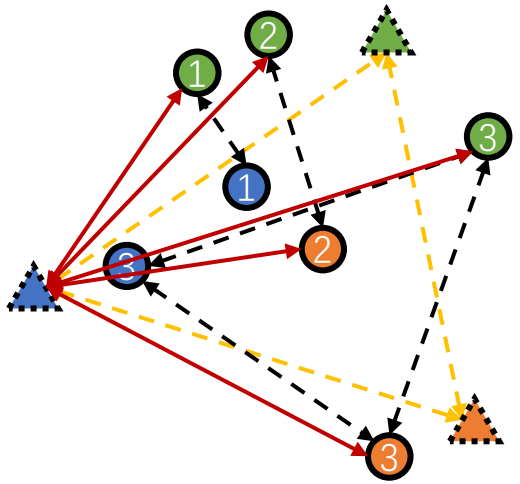


[1] Tan Y, Long G, Liu L, et al. Fedproto: Federated prototype learning across heterogeneous clients. AAAI 2022.

FedTGP

- Remove weighted-averaging
- Consider the uploaded client prototypes as data
- **Enlarge** the global prototype margin



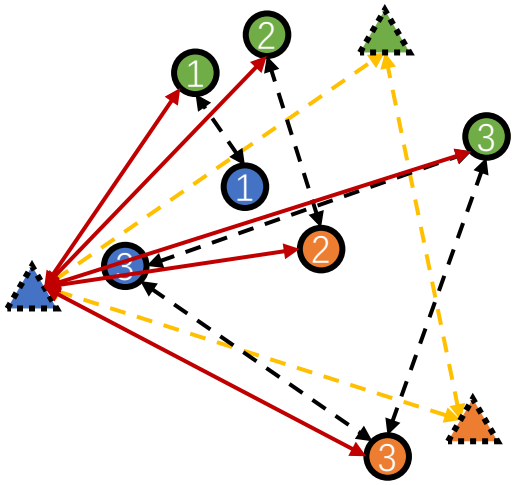


$$\triangle = \textcircled{1} \cdot w_1 + \textcircled{3} \cdot w_3$$

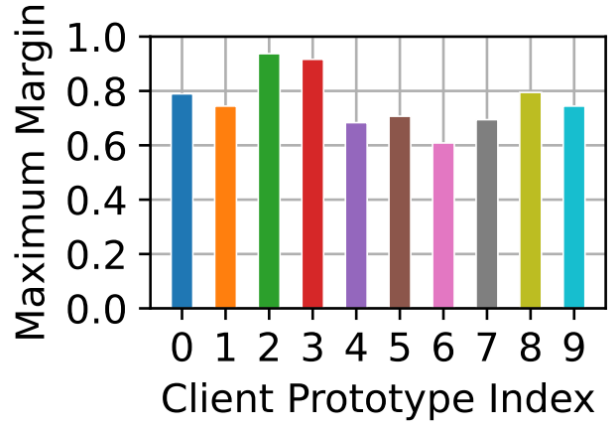
Trainable Global Prototype (TGP)

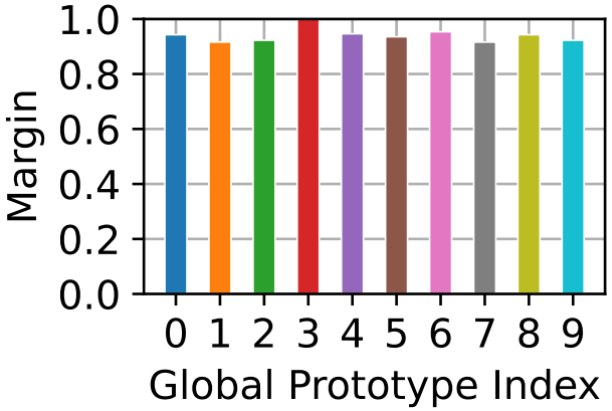
FedTGP

- Remove weighted-averaging
- Consider the uploaded client prototypes as data
- **Enlarge** the global prototype margin



Trainable Global Prototype (TGP)





Outperform baselines by up to 9.08%, and achieve up to an 18.96% improvement over FedProto

FedTGP

- Server objective: **Enlarge** the global prototype **margin** to improve discrimination
- **Train global prototypes** using **Adaptive-margin-enhanced Contrastive Learning (ACL)**

$$\min_{\hat{\mathcal{P}}} \sum_{c=1}^{C} \mathcal{L}_P^c,$$

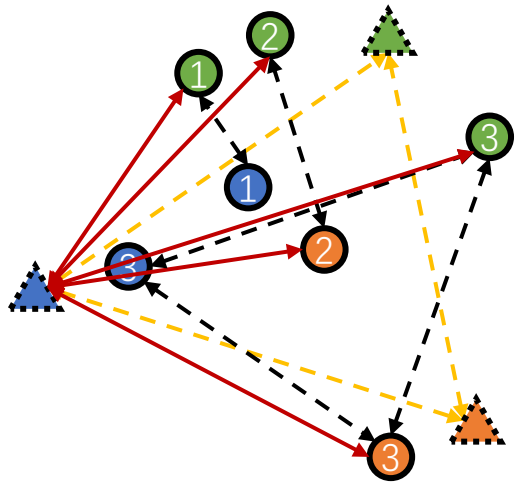
$$\mathcal{L}_P^c = \sum_{i \in \mathcal{I}^t} -\log \frac{e^{-(\phi(P_i^c, \hat{P}^c) + \delta(t))}}{e^{-(\phi(P_i^c, \hat{P}^c) + \delta(t))} + \sum_{c'} e^{-\phi(P_i^c, \hat{P}^{c'})}}$$

$$\delta(t) = \min(\max_{c \in [C], c' \in [C], c \neq c'} \phi(Q_t^c, Q_t^{c'}), \tau),$$

$$Q_t^c = \frac{1}{|\mathcal{P}_t^c|} \sum_{i \in \mathcal{I}^t} P_i^c, \forall c \in [C]$$

τ is a margin threshold

maximum cluster margin



$\hat{P}^c$: A TGP of class c

$\hat{\mathcal{P}}$: All TGP

P_i^c: A prototype of class c from client i

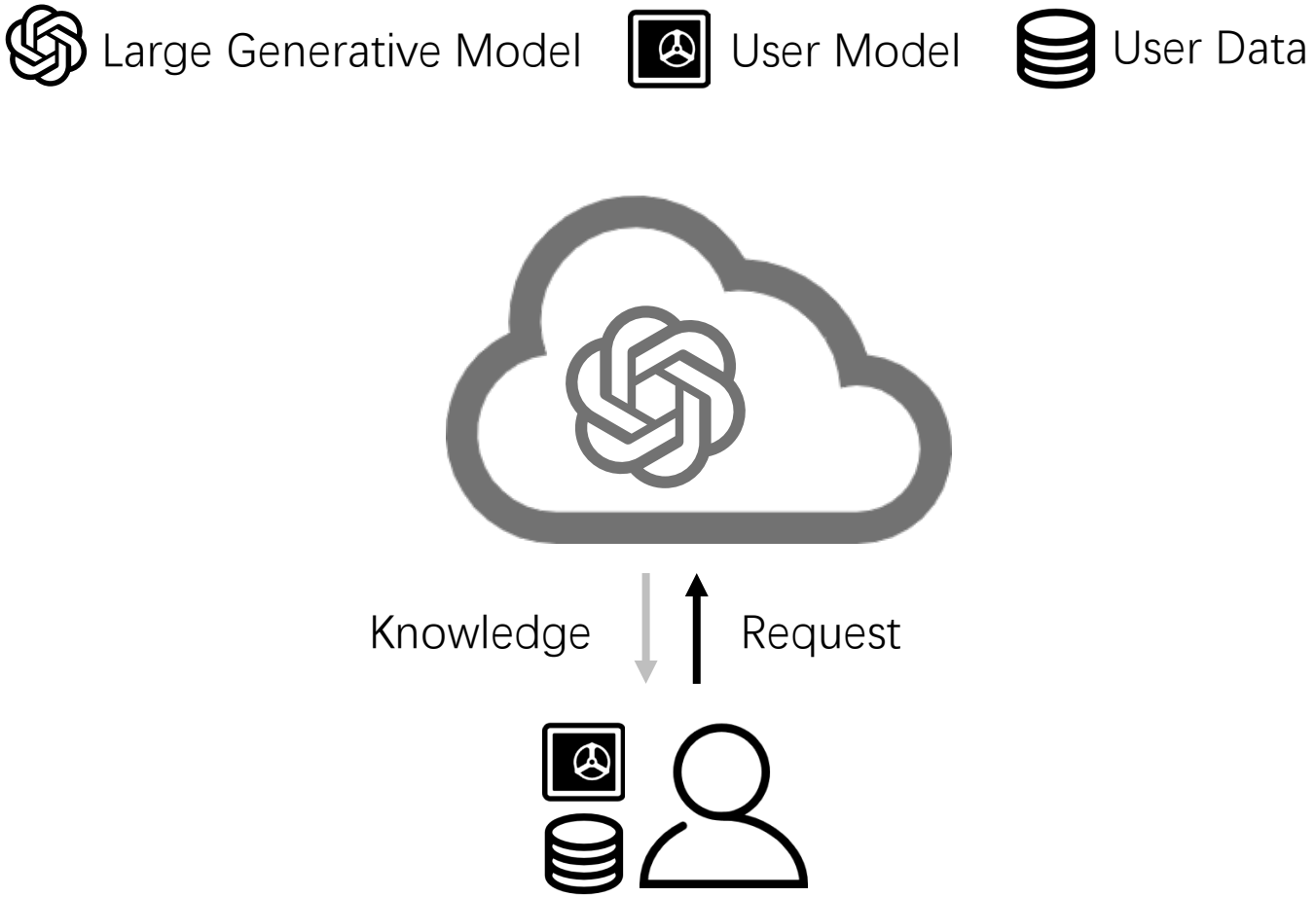
FedTGP

- **ACL** can also be applied to other tasks and scenarios

$$\mathcal{L}_P^c = \sum_{i \in \mathcal{I}^t} -\log \frac{e^{-(\phi(P_i^c, \hat{P}^c)+\delta(t))}}{e^{-(\phi(P_i^c, \hat{P}^c)+\delta(t))} + \sum_{c'} e^{-\phi(P_i^c, \hat{P}^{c'})}}$$

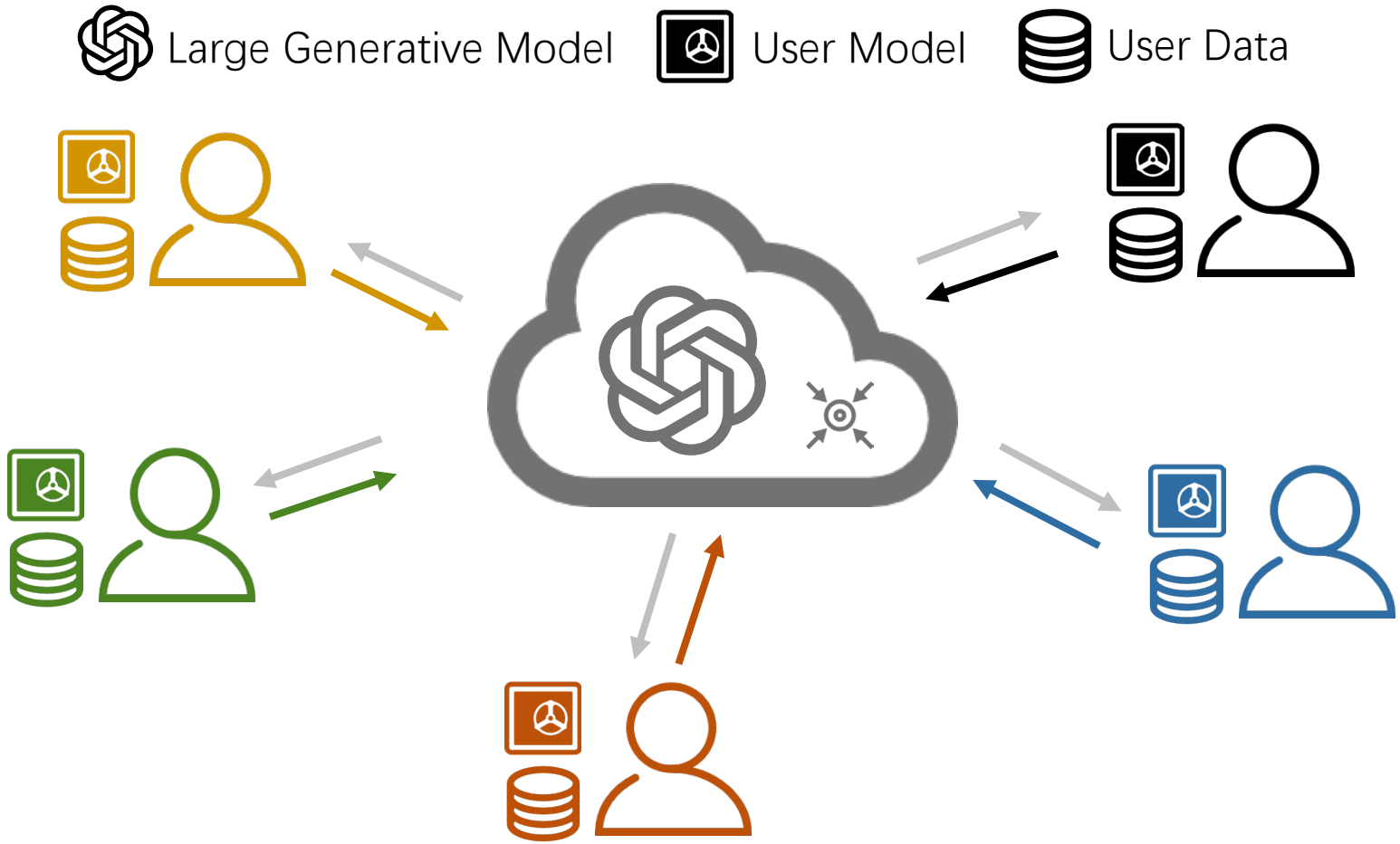
③④ Data scarcity

- Specific domains (e.g., **medical domain**) suffer from **data scarcity** and **privacy**
- Transfer **common knowledge** from large generative models to user models



③ Large and Small Models Collaboration

- Multiple users with **different personalized preferences**
- Transfer **common** and **task-specific knowledge** among users



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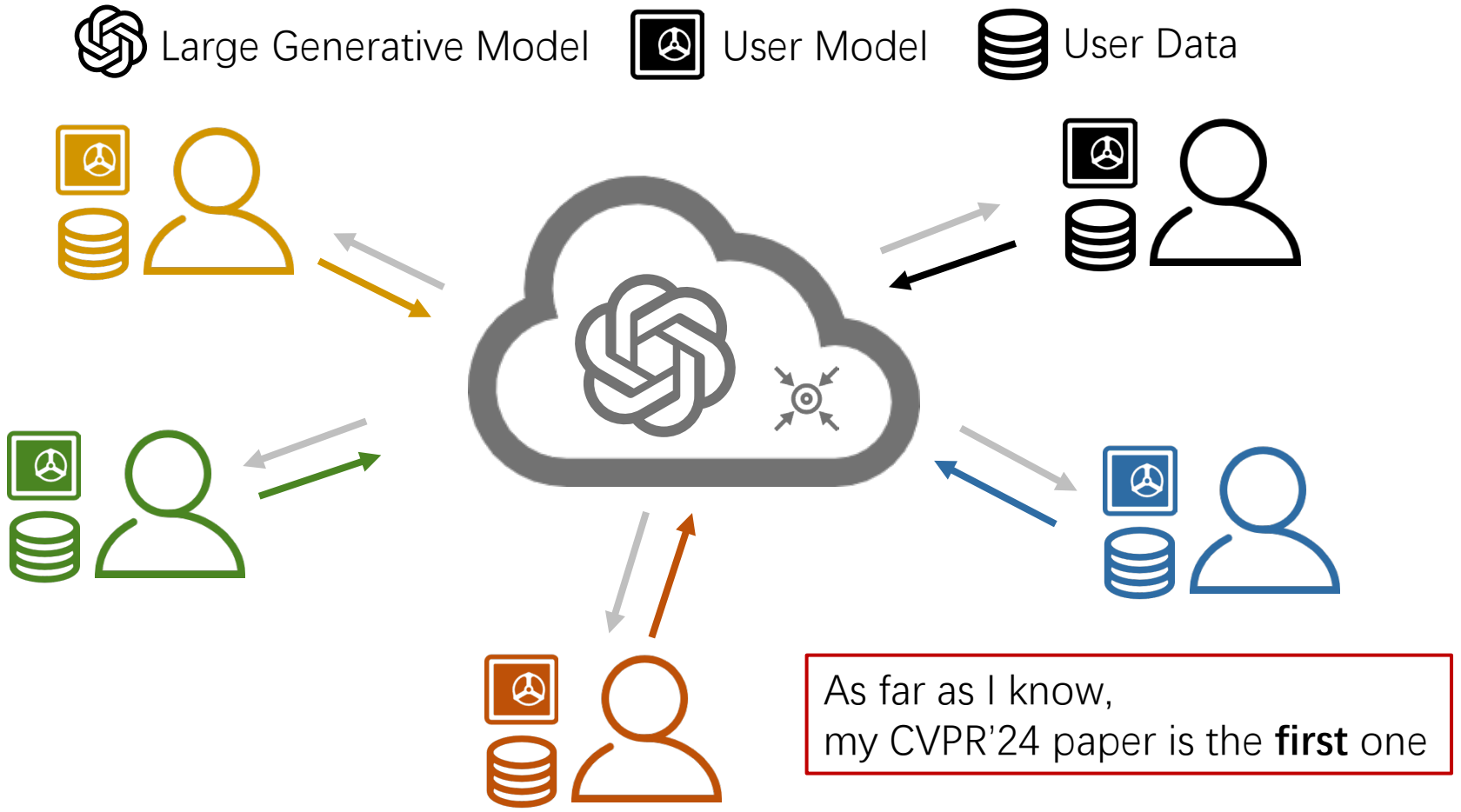


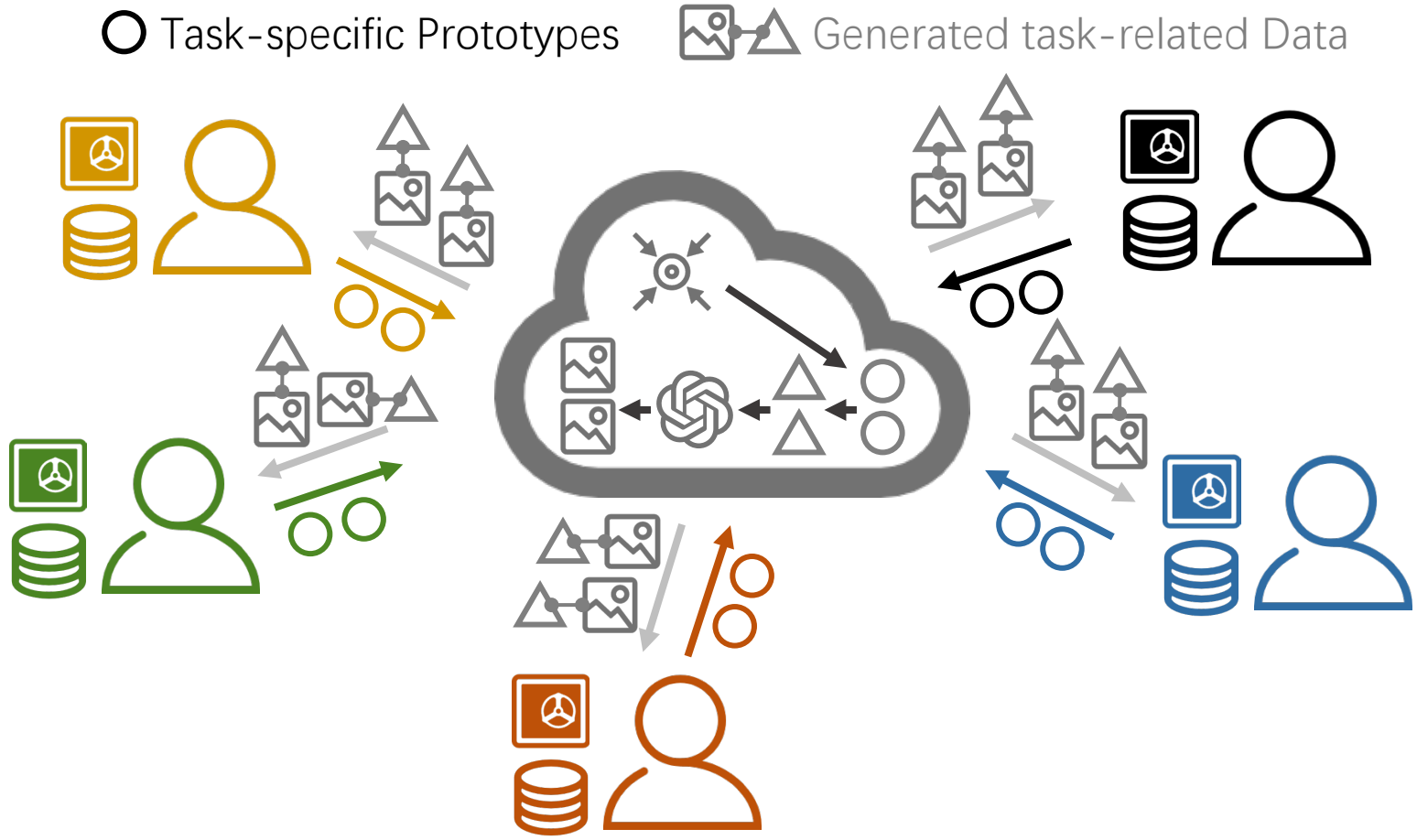
③ Publications

- **[CVPR'24]** An Upload-Efficient Scheme for Transferring Knowledge From a Server-Side Pre-trained Generator to Clients in Heterogeneous Federated Learning.

- **How to obtain and transfer common and task-specific knowledge?**

FedKTL

- Transfer **common knowledge** from the generator to clients
- Obtain **task-specific knowledge** from other clients

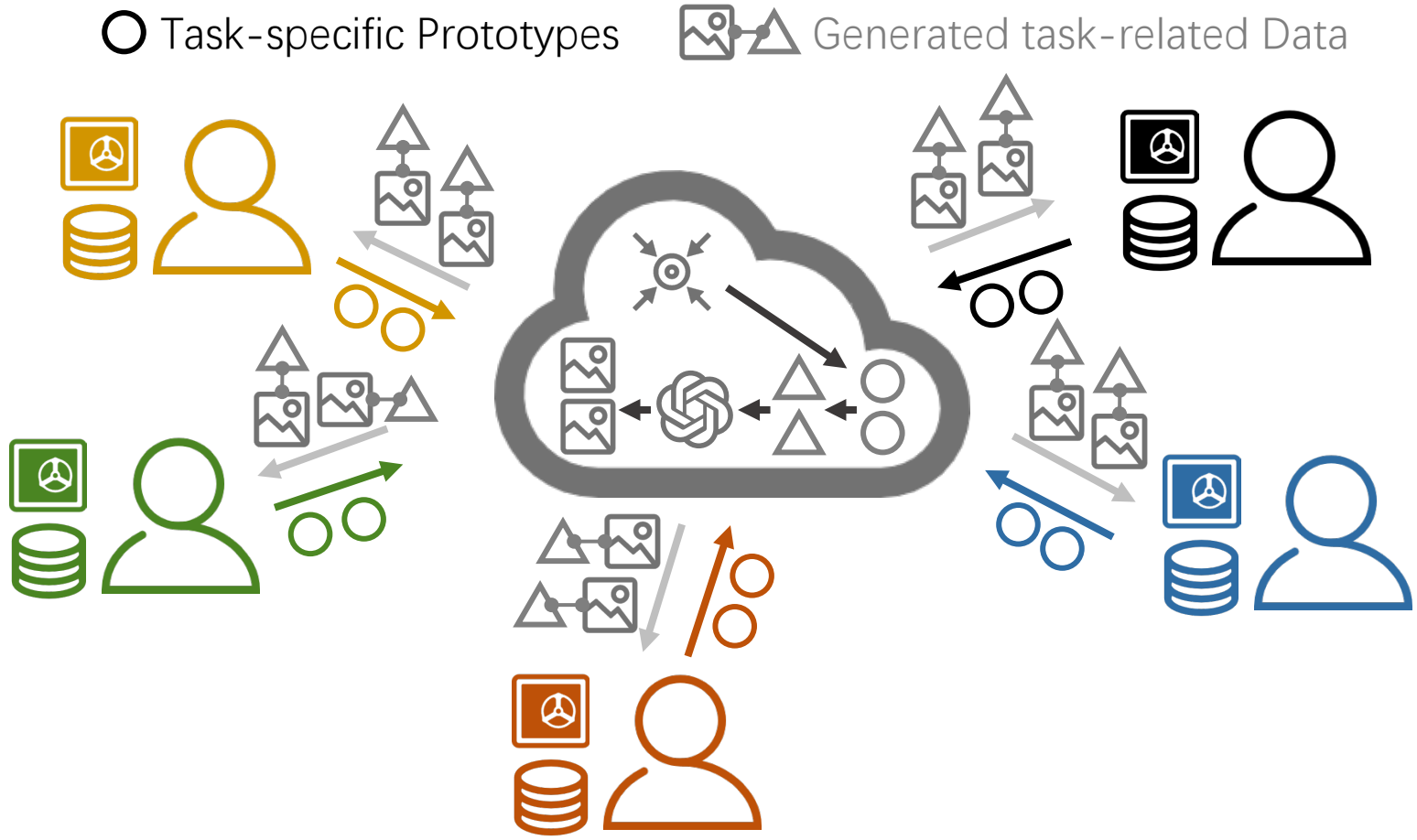


Accepted by CVPR 2024

Outperform baselines by up to 7.31%

FedKTL

- Common knowledge: **generated images**
- Task-specific knowledge: **prototype vectors**

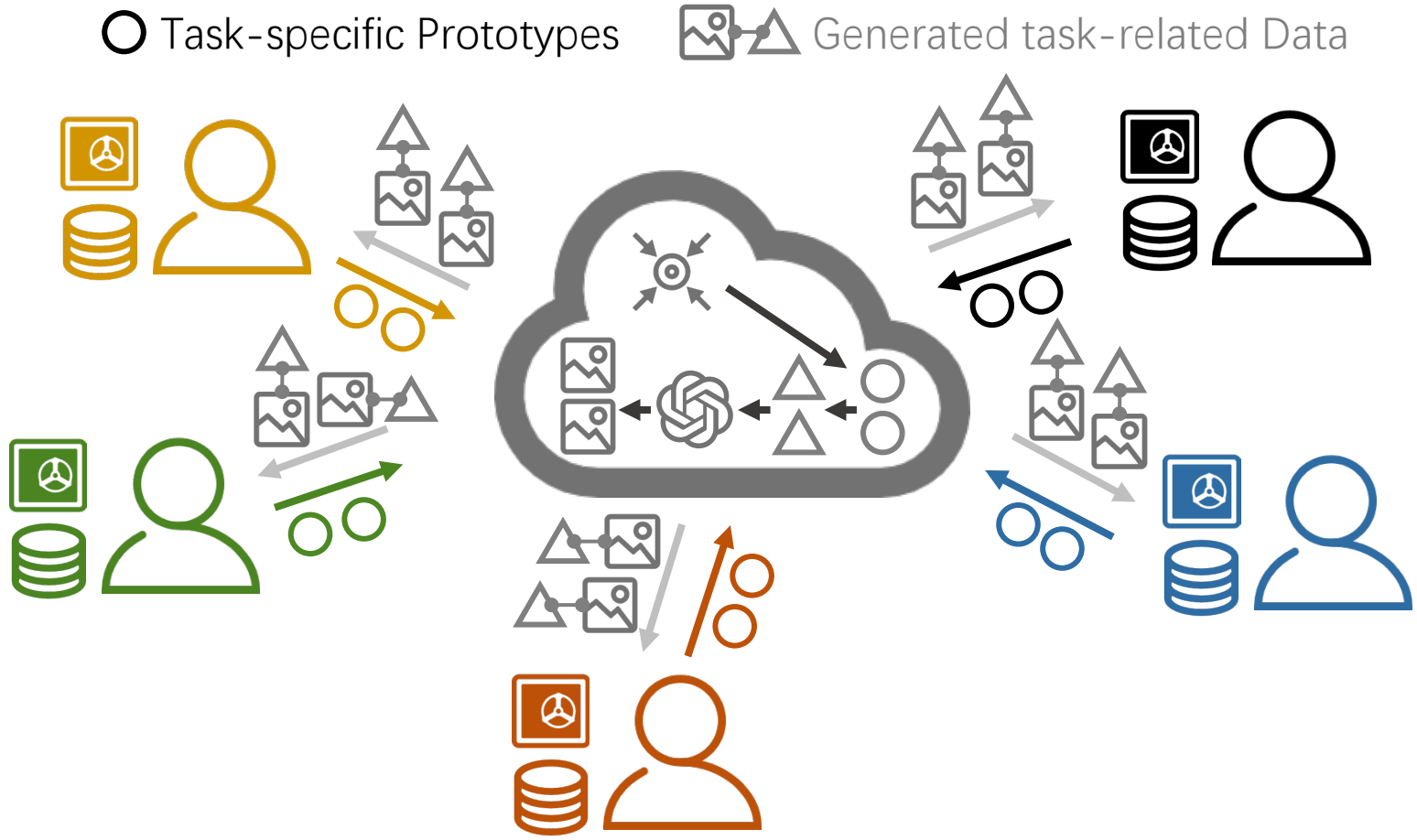


Accepted by CVPR 2024

Outperform baselines by up to 7.31%

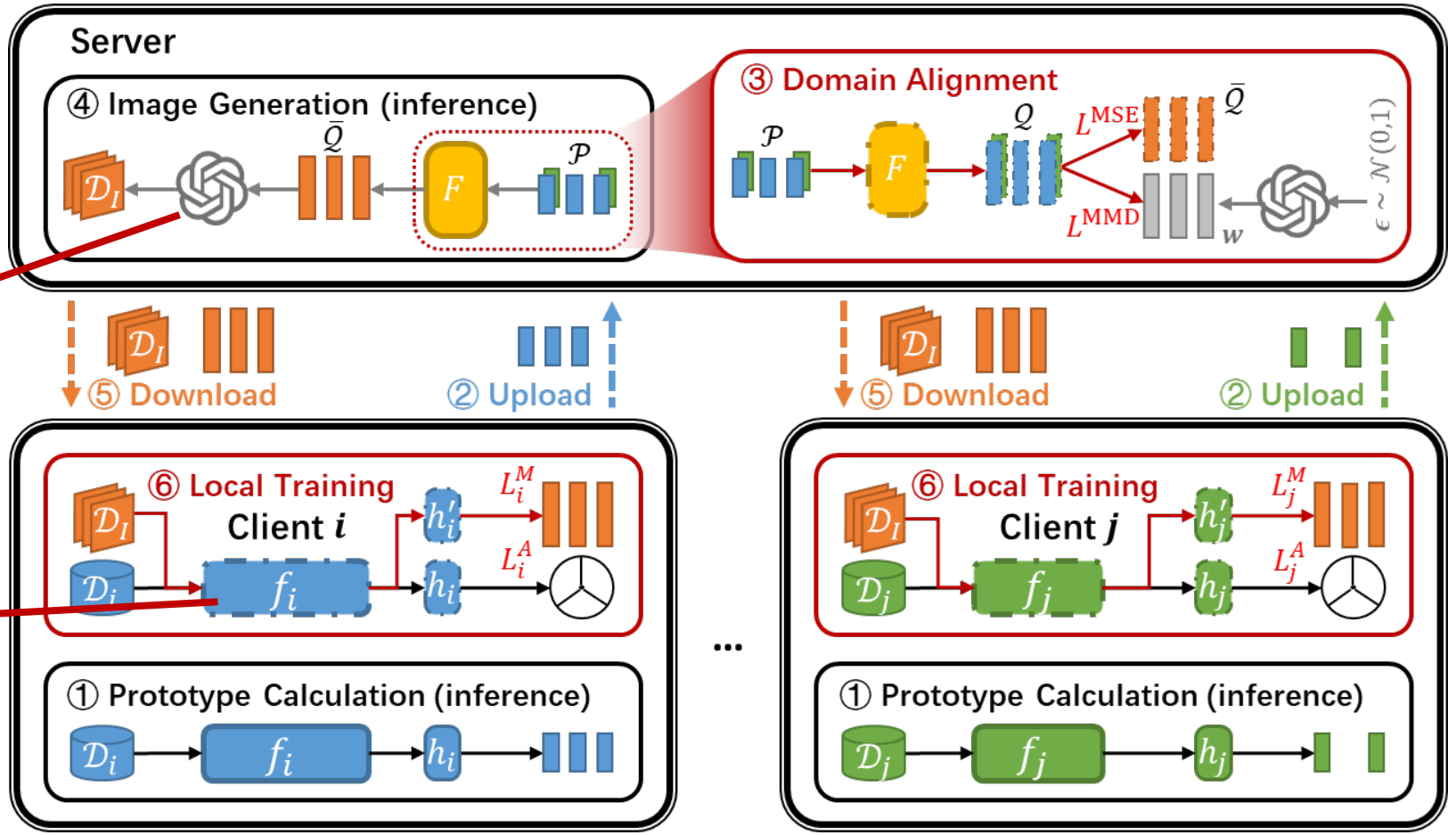
FedKTL

- Generated Images are **induced by** prototype vectors
- **Image-vector pairs** are **task-related** data that **contain common knowledge**



FedKTL

- Transfer knowledge using an **additional supervised local task**
- **Details:**



StyleGAN series, Stable Diffusions, etc.

CNNs, ResNets, ViTs, etc.

FedKTL

- **One image per class** is sufficient for FedKTL
- FedKTL can **surpass** baselines (only using task-specific knowledge) **by a large margin**

Settings	Pathological Setting				Practical Setting			
Datasets	Cifar10	Cifar100	Flowers102	Tiny-ImageNet	Cifar10	Cifar100	Flowers102	Tiny-ImageNet
LG-FedAvg	86.82±0.26	57.01±0.66	58.88±0.28	32.04±0.17	84.55±0.51	40.65±0.07	45.93±0.48	24.06±0.10
FedGen	82.83±0.65	58.26±0.36	59.90±0.15	29.80±1.11	82.55±0.49	38.73±0.14	45.30±0.17	19.60±0.08
FedGH	86.59±0.23	57.19±0.20	59.27±0.33	32.55±0.37	84.43±0.31	40.99±0.51	46.13±0.17	24.01±0.11
FML	87.06±0.24	55.15±0.14	57.79±0.31	31.38±0.15	85.88±0.08	39.86±0.25	46.08±0.53	24.25±0.14
FedKD	87.32±0.31	56.56±0.27	54.82±0.35	32.64±0.36	86.45±0.10	40.56±0.31	48.52±0.28	25.51±0.35
FedDistill	87.24±0.06	56.99±0.27	58.51±0.34	31.49±0.38	86.01±0.31	41.54±0.08	49.13±0.85	24.87±0.31
FedProto	83.39±0.15	53.59±0.29	55.13±0.17	29.28±0.36	82.07±1.64	36.34±0.28	41.21±0.22	19.01±0.10
FedKTL	**88.43±0.13**	**62.01±0.28**	**64.72±0.62**	**34.74±0.17**	**87.63±0.07**	**46.94±0.23**	**53.16±0.08**	**28.17±0.18**

Table 1. The test accuracy (%) on four datasets in the pathological and practical settings using HtFE_8.

FedKTL

- FedKTL can **adapt to various generators** that were pre-trained using various datasets
- The **semantics of the generated images** can be different from clients' data

FedKTL

- FedKTL can **adapt to various generators** that were pre-trained using various datasets
- The **semantics of the generated images** can be different from clients' data

	$\lambda = 0.05$	$\lambda = 0.1$	$\lambda = 0.5$
AFHQv2	26.82±0.32	**27.05±0.26**	26.32±0.52
Bench	27.71±0.25	**28.36±0.42**	27.56±0.50
FFHQ-U	**27.28±0.23**	27.21±0.35	26.59±0.47
WikiArt	27.37±0.51	**27.48±0.33**	27.30±0.15

Table 6. The test accuracy (%) on Tiny-ImageNet in the practical setting using HtFE_8 with different pre-trained StyleGAN3s, which are represented by the names of the pre-training datasets.

FedKTL

- **Knowledge transfer scheme (KTL)** is also applicable in scenarios with **only one edge client**.
- The **cloud-edge** scenario

Settings	100-way 23-shot	100-way 9-shot	100-way 2-shot
Client Data	12.53±0.39	7.55±0.41	4.44±1.66
Our KTL	13.02±0.43	8.88±0.62	8.76±2.25
Improvement	0.49	1.33	4.32
Improvement Ratio	3.91%	17.61%	97.29%

Table 9. The test accuracy (%) with Cifar100's subsets on a single client using a small model *i.e.*, the 4-layer CNN.

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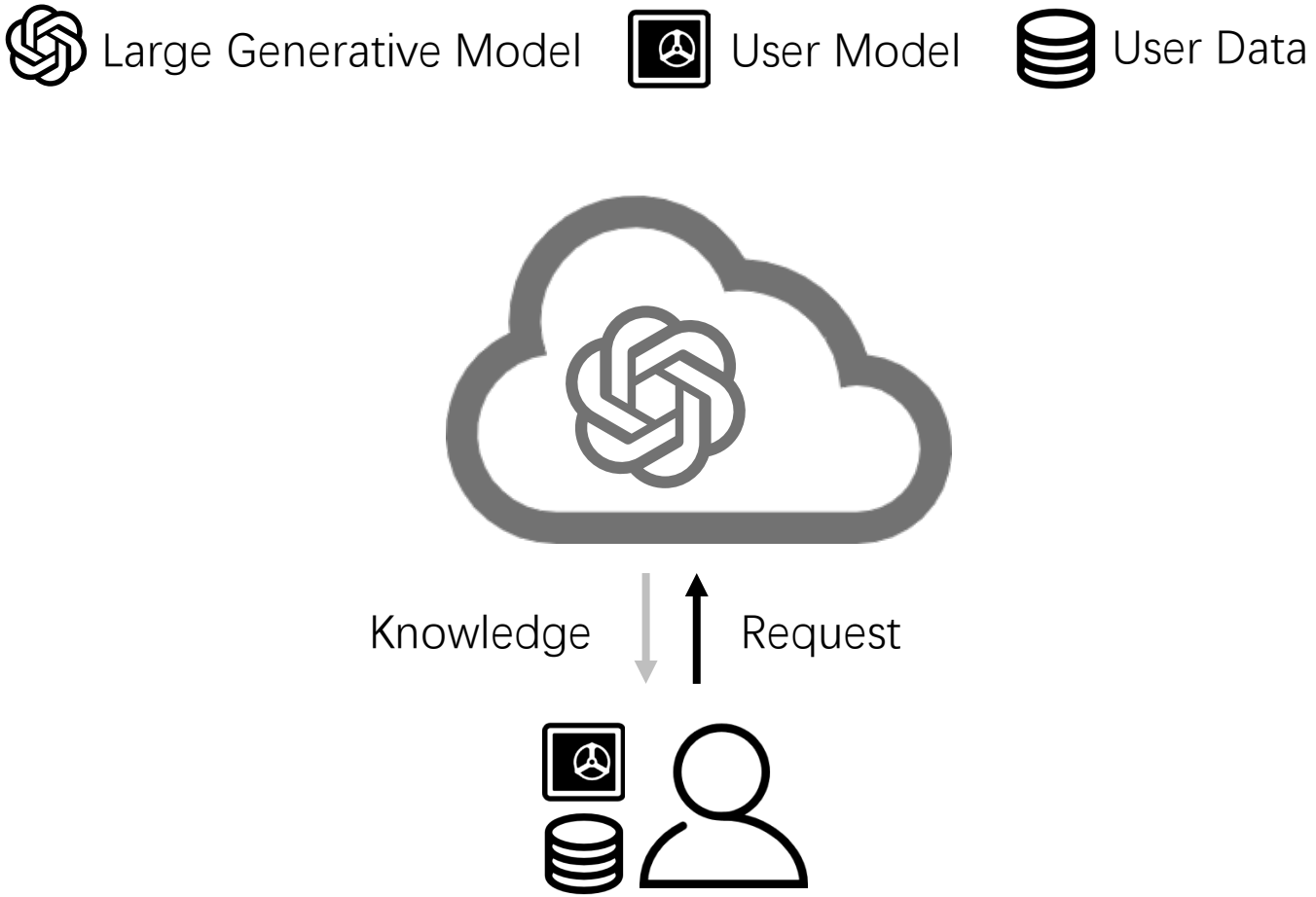
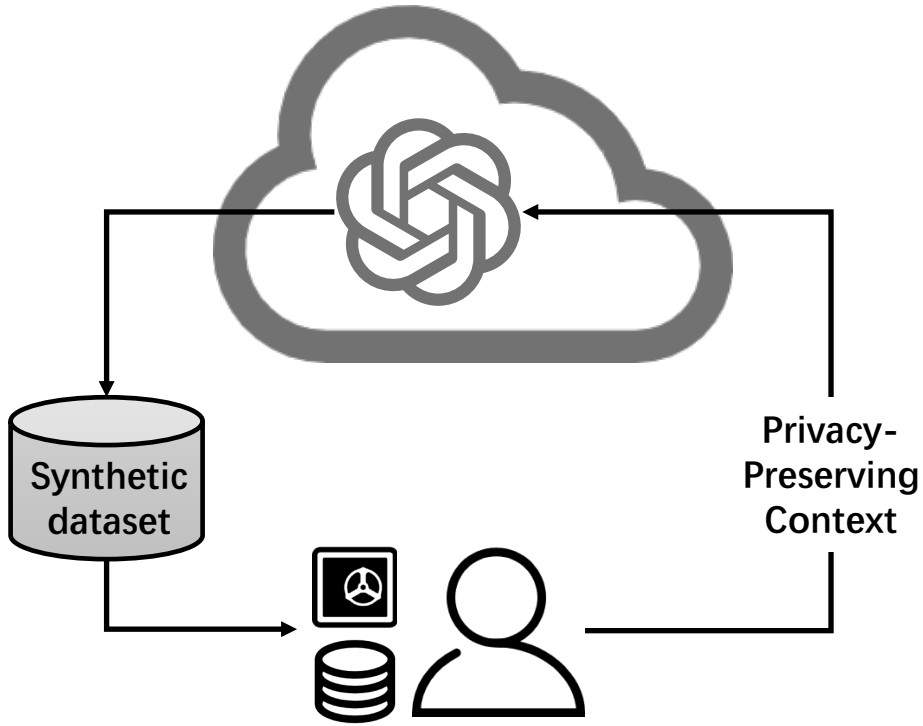
- Transfer **common knowledge** from large generative models to user models



④ [Privacy-Preserving Synthetic Dataset Generation]

- Users send **privacy-preserving contexts** to large generative models
- A **task-related synthetic dataset** is returned for user model training

Large Generative Model User Model User Data



Feel free to contact me!

Home page: https://github.com/TsingZ0

Thanks!