# Star-Shapes and Convex Shape representation by DNNs.

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### Classic architectures for Semantic Image Segmentation



Figure 1: Architecture of FCN [Long J, Shelhamer E, Darrell T.]. Fully convolutional networks can efficiently learn to make dense predictions for per-pixel tasks like semantic segmentation.

#### Examples with and without convex shape priori



#### (a) Without convexity

#### Examples with and without convex shape priori





#### (c) Without convexity

(d) With convexity

#### Lack of geometry shape prior:



# General Neural Network for Semantic Image Segmentation

Let v ∈ R<sup>N1N2</sup> be a column vector by stacking the columns of an image with size N1 × N2. Taking v as an input of a pixel-wise segmentation neural network. Mathematically, this network can be written as a parameterized nonlinear operator N<sub>Θ</sub> defined by

$$\boldsymbol{v}^{K} = \mathcal{N}_{\boldsymbol{\Theta}}(\boldsymbol{v}).$$

The output  $v^{K}$  of the network is given by some recursive connections

$$\begin{cases} \boldsymbol{v}^{0} = \boldsymbol{v}, \\ \boldsymbol{v}^{k} = \mathcal{A}^{k} \circ \mathcal{T}_{\Theta^{k-1}}(\boldsymbol{v}^{k-1}), k = 1, \cdots, K. \end{cases}$$
(5)

Here  $\mathcal{A}^k$  is an activation function of the *k*-th layer,  $\mathcal{T}_{\Theta^{k-1}}$  is convolution operator defined as  $\mathcal{T}_{\Theta^{k-1}}(v) = \mathcal{W}^{k-1}v + b^{k-1}$ . The parameter set  $\Theta = \{\Theta^k = (\mathcal{W}^k, b^k) | k = 0, \dots, K-1\}.$ 

# General Neural Network for Semantic Image Segmentation

The training process is to learn the parameter set Θ by giving some images V = (v<sub>1</sub>, v<sub>2</sub>, ..., v<sub>N</sub>) ∈ ℝ<sup>N<sub>1</sub>N<sub>2</sub>×N and their C classes ground truth segmentation U = stack(U<sub>1</sub>, U<sub>2</sub>, ..., U<sub>N</sub>) ∈ {0, 1}<sup>N<sub>1</sub>N<sub>2</sub>×C×N</sup> with U<sub>n</sub> ∈ {0, 1}<sup>N<sub>1</sub>N<sub>2</sub>×C</sub> to minimize a loss functional L(N<sub>Θ</sub>(V), U), namely
</sup></sup>

$$\Theta^* = \underset{\Theta}{\operatorname{arg\,min}} \ \mathcal{L}(\mathcal{N}_{\Theta}(\mathcal{V}), \mathcal{U}).$$

In many references, the loss function are set as the cross entropy which is given by

$$\mathcal{L}(\mathcal{N}_{oldsymbol{\Theta}}(\mathcal{V}),\mathcal{U}) = -\sum_{n=1}^{N} < \mathcal{U}_n, \log \mathcal{N}_{oldsymbol{\Theta}}(oldsymbol{v}_n) > .$$

# General Neural Network for Semantic Image Segmentation

• The algorithm of learning is a gradient descent method:

$$(\mathbf{\Theta}^k)^{step} = (\mathbf{\Theta}^k)^{step-1} - \tau_{\mathbf{\Theta}} \frac{\delta \mathcal{L}}{\delta \mathbf{\Theta}^k} \Big|_{\mathbf{\Theta}^k = (\mathbf{\Theta}^k)^{step-1}}, \ k = 0, \cdots, K-1,$$

where  $step = 1, 2, \cdots$  is the iteration number and  $\tau_{\Theta}$  is a time step or so called learning rate.  $\frac{\delta \mathcal{L}}{\delta \Theta^k}$  can be calculated by backpropagation technique using chain rule.

#### Networks



#### Variational explanation of softmax

• Given a vector  $\boldsymbol{o} = (o_1, o_2, \dots, o_I) \in \mathbb{R}^I$ , the standard (unit) softmax function  $\mathcal{S} : \mathbb{R}^I \to \mathbb{R}^I$  is defined by the formula:

$$S(o)_i = \frac{e^{o_i}}{\sum_{j=1}^n e^{o_j}}, i = 1, \dots, I.$$
 (8)

#### Variational explanation of softmax

In segmentation case, softmax could be derived from a minimization problem. When given *o* ∈ ℝ<sup>I×N1N2</sup> as the input, *I* is the number of classes, N1 × N2 is the image size, we want to find a corresponding output *u* ∈ ℝ<sup>I×N1N2</sup> such that *u* is the minimizer of the following problem:

$$\min - \langle u, o \rangle + \langle u, \log u \rangle,$$
  
s.t.  $u \in \mathcal{C}.$  (9)

$$C = \{ u | u_{ip} \in [0,1], \sum_{i=1}^{I} u_{ip} = 1, \forall p = 1, \dots, N_1 N_2 \}.$$

#### Variational explanation of softmax

• Let  $u = (u_1, ..., u_I)$ ,  $u_i \in \mathbb{R}^{N_1 N_2}$  for i = 1, 2, ... I. Some simple calculations can show that the minimizer of the above problem is:

$$\hat{\boldsymbol{u}}_{i}^{*} = \frac{\exp(\boldsymbol{o}_{i})}{\sum_{j=1}^{C} \exp(\boldsymbol{o}_{j})}, i = 1, \dots, I.$$
(10)

 $\hat{u}_i^*$  is the *i*-th class probability map of the input image. One can easily see that this is just the commonly used softmax activation function, i.e.

$$\hat{\boldsymbol{u}}^* = \mathcal{S}(\boldsymbol{o}) \tag{11}$$

However, this function doesn't have any spatial regularization. Prediction of each pixel is independent of other pixels.

#### Spatial regularization through activation function

## Our idea is to add spatial regularization through activation functions.

#### Proposed Regularization Neural Network

• Inspired by the soft-max variational problem, we proposed the following regularized softmax:

$$\tilde{u}(\boldsymbol{o}) = \underset{\boldsymbol{u}\in\mathcal{C}}{\arg\min}\{-<\boldsymbol{u}, \boldsymbol{o}>+<\boldsymbol{u}, \log \boldsymbol{u}>+\lambda \mathrm{TV}(\boldsymbol{u})\}, \quad (12)$$

where the item  $\lambda TV(\mathbf{u})$  is defined by

$$\mathrm{TV}(\boldsymbol{u}) = \sum_{i=1}^{I} \int_{\Omega} |\nabla \boldsymbol{u}_i(x)| dx = \sup_{(\xi_1, \dots, \xi_i) \in \mathbb{B}} \left\{ \sum_{i=1}^{I} \int_{\Omega} \boldsymbol{u}_i(x) div \boldsymbol{\xi}_i(x) dx \right\}$$

TV(u) is the total variation of the vector image u.

$$\mathbb{B} = \{ (\xi_1, \ldots, \xi_I) | \| (\xi_i) \|_{l^2} \le 1, \forall i = 1, \ldots, I \}.$$

#### Proposed Regularization Neural Network

• the first problem in (12) can be easily solved by primal-dual method:

$$(\tilde{u}, \eta) = \arg\min_{u \in \mathcal{C}} \max_{\xi \in \mathbb{B}} \{- \langle u, o \rangle + \langle u, \log u \rangle + \lambda \langle u, div\xi \rangle \}$$

#### Proposed Regularization Neural Network

• We can use the following primal-dual gradient algorithm to find the solution for

$$\min_{u \in \mathcal{C}} \max_{\xi \in \mathbb{B}} - \langle u, o \rangle + \langle u, \log u \rangle + \lambda \langle u, div\xi \rangle,$$
(14)

in an iterative way:

$$\begin{cases} \boldsymbol{\xi}^{t+1} = \boldsymbol{\xi}^{t} - \tau \lambda \nabla \boldsymbol{u}^{t}, \\ \boldsymbol{\eta}^{t+1} = \mathcal{P}_{\mathbb{B}}(\boldsymbol{\xi}^{t+1}), \\ \boldsymbol{u}^{t+1} = \mathcal{S}(\boldsymbol{o} - \lambda div(\boldsymbol{\eta}^{t+1})), \end{cases}$$
(15)

where S is the softmax operator, t is the iteration number and  $\tau$  is a time step,  $\mathcal{P}_{\mathbb{B}}$  is a projection operator onto the convex set  $\mathbb{B}$ .

 Notation: The item τλ in Equation (15) could be seen as a scaled step size, we set it to a fixed constant in all computation.

#### Spatial regularization with TD (Threshold Dynamics)

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### **TD** regularization



• MBO (Threshold Dynamics (TD). For a binary *u<sub>i</sub>*:

$$\sum |\partial \Omega_i| = \sum TV(u_i) \approx \sum \sqrt{\frac{\pi}{\sigma}} \sum_{\hat{i}=1, \hat{i} \neq i}^C \int_{\Omega} u_i(x) (k_\sigma * u_{\hat{i}})(x) dx := \mathcal{R}(u)$$

 $k_{\sigma}$  is the Gaussian kernel with width  $\sigma$  or an indicator function of the ball of radius  $\sigma$ .

### Entropic & spatial regularization

Regularized and geometry prior based softmax

$$\mathcal{A} = \arg\min_{u \in \mathcal{C} \cap \mathcal{P}} \left\{ \underbrace{<-o, u > +\varepsilon < u, \log u >}_{\mathcal{F}(u;o)} + \mathcal{R}(u). \right\}$$

- *C*—-segmentation condition.
- *P*—-geometry shape constraint or volume constraint.
- *F*—-dual formulation of smooth max function.
- *H*—- negative entropic regularization (for smooth backpropagation).
- *R*—-spatial regularization (for smoothness segmentation boundaries).

# Application 1 : STD-softmax (Soft Threshold Dynamics softmax)

• Taking  $\mathcal{R}$  to be the threshold dynamics (TD) regularization, we get soft threshold dynamics (STD)

$$\tilde{u} = \arg\min_{u \in \mathcal{C}} \left\{ \underbrace{<-o, u > +\varepsilon < u, \log u >}_{\mathcal{F}(u)} + \mathcal{R}(u). \right\}$$

*R*(*u*) = ⟨*eu*, *k*<sub>σ</sub> \* (1 − *u*)⟩, where *e* is an edge detector weighting function and *k* is a Gaussian kernel.

#### Stable and fast algorithm for unrolling

- $\mathcal{F}$  is convex,  $\mathcal{R}$  is concave.
- Efficient algorithm (DCA, difference of convex algorithm)

$$\boldsymbol{u}^{t_1+1} = \operatorname*{arg\,min}_{\boldsymbol{u}\in\mathcal{C}} \left\{ \mathcal{F}(\boldsymbol{u};\boldsymbol{o}) + \mathcal{R}(\boldsymbol{u}^{t_1}) + \langle \boldsymbol{p}^{t_1}, \boldsymbol{u} - \boldsymbol{u}^{t_1} \rangle \right\}.$$

• 
$$p^{t_1} = \lambda((k_\sigma * (1 - u^{t_1}))e - k_\sigma * (eu^{t_1})) \in \partial \mathcal{R}(u^{t_1}).$$

Regularized softmax solution

$$u_i^{t_1+1}(x) = \frac{e^{\frac{o_i(x)-p_i^{t_1}(x)}{\varepsilon}}}{\sum_{i=1}^{I} e^{\frac{o_i^{i}(x)-p_i^{t_1}(x)}{\varepsilon}}} = \operatorname{softmax}_{\varepsilon}(o-p^{t_1}).$$

#### STD-softmax

Algorithm 1: STD-softmax **Input:** The feature *o* **Output:** Soft segmentation function *u*. Initialization:  $\mathbf{u}^0 = \mathcal{S}(\boldsymbol{o})$ . for  $t_1 = 0, 1, 2, \cdots$  do 1. compute the solution of (7) by STD-softmax  $\boldsymbol{u}^{t_1+1} = \mathcal{S}\left(rac{\boldsymbol{o} - \boldsymbol{p}^{t_1}}{\varepsilon}
ight).$ 2. Convergence check. If it is converged, end the algorithm. end **return** Segmentation function *u*.

#### Proposition

(Energy decay). Let  $u^{t_1}$  be the  $t_1$ -th iteration of STD-softmax algorithm, then we have  $\mathcal{F}(u^{t_1+1}) + \mathcal{R}(u^{t_1+1}) \leq \mathcal{F}(u^{t_1}) + \mathcal{R}(u^{t_1})$ . • Proposed STD softmax (Liu, Wang and Tai 2020))<sup>1</sup>:

$$\begin{cases} \boldsymbol{o}^{t} = \mathcal{T}_{\boldsymbol{\Theta}^{t-1}}(\boldsymbol{v}^{t-1}, \boldsymbol{v}^{t-2}, \cdots, \boldsymbol{v}^{0}), \\ \boldsymbol{v}^{t} = \arg\min_{\boldsymbol{u} \in \mathcal{C}} \left\{ \mathcal{F}(\boldsymbol{u}; \boldsymbol{o}^{t}) + \mathcal{R}(\boldsymbol{u}) \right\}, t = 1, \cdots, T. \end{cases}$$

• Superiority : spatial prior can be kept both in back and forward propagation.

#### Results on PASCAL VOC 2012 dataSet.



Figure 5: Visual effects of the DeepLabV3+ and proposed STD-DeeplabV3+ on PASCAL VOC 2012 test set.

### Star-shape prior (SS)

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### Application 3: SS (Star shape)-STD softmax



Figure 10: Star shape objects with given centers

If  $u : \Omega \to \{0, 1\}$  is the indicator function of a region, then this region is star-shape iff

$$abla u(x) \cdot (x-c) \ge 0, \quad \forall x \in \Omega.$$

Here *c* is center (red point). We will denote s(x) = x - c. References: Veksler et al (2008), Yuan et al (2012).

#### Proposed star-shape soft threshold dynamics

Star-shape softmax: if we want the *i*th class segmented object to be star-shape, then we need u<sub>i</sub> ∈ P and solve:

$$\widetilde{u} = \arg\min_{u \in \mathcal{C} \cap u_i \in \mathcal{P}} \left\{ \mathcal{F}(u; o) + \mathcal{R}(u) \right\},\$$
$$\mathcal{P} = \left\{ u: \langle \nabla u_i(x), s(x) \rangle \ge 0 \right\}.$$

• Dual problem in terms of KKT condition

$$(\widetilde{u},\widetilde{q}) = \arg\min_{u\in\mathcal{C}}\max_{q\geq 0}\left\{\mathcal{F}(u;o) + \mathcal{R}(u) - \langle q, s \cdot \nabla u_i \rangle\right\}.$$

• Algorithm

$$\begin{cases} q^{t_1+1} = \max\{q^t - \tau_q \mathbf{s} \cdot \nabla u_i^t, 0\}.\\ u^{t_1+1} = \arg\min_{\mathbf{u} \in \mathcal{C}} \{\mathcal{F}(\mathbf{u}; \mathbf{o}) + \hat{\mathcal{R}}(\mathbf{u}) + \langle div(q^{t_1+1}\mathbf{s}), u_i \rangle \}, \end{cases}$$

#### SS-STD softmax segmentation algorithm

Algorithm 3: SS-STD softmax

**Input:** The feature *o*, and a center *c* of star-shape. **Output:** Soft segmentation function *u*. **Initialization:**  $\mathbf{u}^0 = \mathcal{S}(\boldsymbol{o})$ . Calculating the star-shape vector field *s* according to *c*. for  $t_1 = 0, 1, 2, \cdots$  do 1.update dual variable for the *i*-th star-shape region  $q^{t_1+1} = \max\{q^{t_1} - \tau_q s \cdot \nabla u_i^{t_1}, 0\}.$ 2. compute the solution of (7) by SS-STD softmax  $\boldsymbol{u}_{\hat{i}}^{t_1+1} = \mathcal{S}\left(\frac{\boldsymbol{o}_{\hat{i}} - \boldsymbol{p}_{\hat{i}}^{t_1} - \delta_{\hat{i},i}div(q^{t_1+1}\boldsymbol{s})}{\varepsilon}\right), \, \hat{i} = 1, \cdots$ 3. Convergence check. If it is converged, end the algorithm. end return Segmentation function u.

#### The network architecture of STD -DeepLabV3+

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Figure 11: SS-STD block for DCNN. This architecture is constructed according to the SS-STD algorithm.

### Comparison

Testing of Algorithm 3 as a segmentation tool:



Figure 12: Segmentation results by softmax, proposed STD and SS-STD softmax.

### Comparison

#### Testing when Algorithm 3 is integrated into the CNN network for:



Figure 13: An example of without and with the proposed spatial priori for DeepLabV3+ on ISIC2018 validation set.

#### Results on ISIC2018 validation set.



#### Performance on ISIC2018 validation set

	Methods	mIoU		
Baseline	DeepLabV3+ [38]	89.77		
	STD	91.02		
Ours	VP-STD	92.46		
	SS-STD	91.57		

#### Convex shape (CS) prior

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### Convex shape prior



Figure 14: The cup and disc areas in retinal images with sublevel set functions u1 and u2 representation can be both convex.

# Conditions for convex shapes with binary representation



• Convex shape condition(Luo,Tai,Wang,2019)<sup>4</sup>:

$$g_r(x) = \begin{cases} \frac{1}{|\mathbb{B}_r|}, & x \in \mathbb{B}_r \subset \Omega, \\ 0, & \text{else.} \end{cases}$$

- If  $u \in C_{CS}$  with  $C_{CS}$  being defined as
  - $\mathcal{C}_{CS} = \{u: \ (1-u(x))(g_r * (1-2u))(x) \ge 0, \forall \mathbb{B}_r \subset \Omega, \forall x \in \Omega\},\$

then the connected components of  $\ensuremath{\mathbb{D}}$  are all convex.

# CS-STD (Convex Shape Soft Threshold Dynamics) sigmoid

• Convex shape (CS) soft thresholding dynamics (STD):

$$\widetilde{u} = \arg\min_{u \in [0,1] \cap \mathcal{C}_{CS}} \{ \underbrace{\langle -o, u \rangle + \varepsilon(u \ln u + (1-u) \ln(1-u))}_{:=\mathcal{F}(u;o)} + \underbrace{\langle eu, k * (1-u) \rangle}_{:=\mathcal{R}(u)} \}.$$

•  $C_{CS}$  is a quadratic constraint for convex shape.

• Apply DCA

$$u^{t_1+1} = \arg\min_{u\in[0,1]\cap\mathcal{C}_{CS}}\left\{\mathcal{F}(u;o) + \mathcal{R}(u^{t_1}) + \langle p^{t_1}, u - u^{t_1}\rangle\right\}.$$

• 
$$p^{t_1} = (k * (1 - u^{t_1}))e - k * (eu^{t_1}) \in \partial \mathcal{R}(u^{t_1})$$

• No closed-form solution.

#### Our new algorithm

• Pseudo projection algorithm

$$\begin{cases} u^{t_1+\frac{1}{2}} = \arg\min_{u} \left\{ \mathcal{F}(u;o) + \lambda \langle p^{t_1}, u \rangle \right\}, \\ u^{t_1+1} = \operatorname{Proj}_{[0,1] \cap \mathcal{C}_{CS}}(u^{t_1+\frac{1}{2}}). \end{cases}$$

• The first subproblem

$$u^{t_1+\frac{1}{2}} = \frac{1}{1+e^{\frac{-o+\lambda p^{t_1}}{\varepsilon}}} = \mathcal{S}(\frac{o-\lambda p^{t_1}}{\varepsilon}).$$

• The second subproblem has sigmoid solution can be solved by a simple pseudo projection.

$$u^{t_1+1} = \arg\min_{u \in [0,1] \cap \mathcal{C}_{CS}} ||u - u^{t_1 + \frac{1}{2}}||^2.$$

## Algorithms

Algorithm 4: Proj<sub>[0,1] O C</sub> for convex shapes Input:  $u^{t_1+\frac{1}{2}}$ . Different sphere radius  $\mathbf{r} = (r_0, r_1, r_2, r_3, r_4).$ Initialization:  $u^0 = u^{t_1 + \frac{1}{2}}$ for  $t_2 = 0, 1, \cdots$  do 1. Set  $r = r_{mod(t_2,5)}$ . 2. Find the active set  $\mathbb{A} = \{x : (1 - u^{t_2}(x))(a_n * (1 - 2u^{t_2}))(x) < 0\}$ 2. Update  $u^{t_2+1}(x) = \begin{cases} 1, & x \in \mathbb{A}, \\ u^{t_2}(x), & x \notin \mathbb{A}. \end{cases}$ 3. Convergence check. If it is converged, end the algorithm. end **Output:** Segmentation function  $u^{t_1+1} = u^{t_2+1}$  with convex shape. Algorithm 5: CS-STD sigmoid activation function Input: The feature o. Initialization:  $u^0 = S(o)$ .

Initialization: u = 0(b). for  $t_1 = 0, 1, 2, \cdots$  do 1. Compute the solution of the first subproblem in by regularized STD sigmoid. 2. Calculate the pseudo projection  $u^{t_1+1} = \operatorname{Proj}_{[0,1] \cap \mathbb{C}}(u^{t_1+\frac{1}{2}})$  by Algorithm 4. 3. Convergence check. If it is converged, end the algorithm. end Output: Segmentation function u with convex shape prior.

#### New CS-STD sigmoid block for DCNN

$$\begin{cases} \mathbf{o}^{t} = \mathcal{T}_{\Theta^{t-1}}(\mathbf{v}^{t-1}, \mathbf{v}^{t-2}, \cdots, \mathbf{v}^{0}), t = 1, \cdots, T, \\ \mathbf{v}^{t} = \mathcal{A}^{t}(\mathbf{o}^{t}), t = 1, \cdots, T-1, \\ \\ \mathbf{v}^{T} = \operatorname*{arg\,min}_{\mathbf{u} \in [0,1] \cap \mathcal{C}_{CS}} \{\mathcal{F}(\mathbf{u}; \mathbf{o}^{T}) + \lambda \mathcal{R}(\mathbf{u})\}. \end{cases}$$

Here  $\mathcal{F}$  is the dual representation with sublevel set functions.



Figure 15: CS-STD block for DCNN. This architecture is constructed according to the CS-STD algorithm.

## Visual quality



Figure 16: Visual quality of the sigmoid, STD-sigmoid, CS-STD-sigmoid on Refuge test set.

## Visual quality



Figure 17: Visual quality of the sigmoid, STD-sigmoid, CS-STD-sigmoid on Refuge validation set.

#### Generalization ability



Figure 18: Visual quality of training on Refuge train set and predicting on RIM-ONE-r3 test set.

## Comparison

	methods	val. disc	set cup	test disc	set cup
Existing	STD [29] pOSAL-seg [27]	95.1 93.2	86.7 86.9	95.2 -	85.0 -
Baseline	DeeplabV3+ [20]	95.0	86.4	95.1	84.3
Proposed	CS-STD	95.1	88.3	95.2	87.7

Figure 19: DM (dice measure) values of different methods for Refuge validation and test sets.

	methods	disc	cup
Existing	TD-GAN [35] Hoffman <i>et al.</i> [36] Javanmardi <i>et al.</i> [37] pOSAL [27]	85.3 85.2 85.3 86.5	72.8 75.5 77.9 78.9
Baseline	DeeplabV3+ [20]	85.4	70.9
Proposed	CS-STD	92.2	80.7

Figure 20: DM values of different methods for training on Refuge train set and predicting on RIM-ONE-r3 test set.

#### Numerical Results of CS-STD

Noise levels					σ					6 F
	0	1	2	3	4	5	6	7	8	•
DeepLabV3+ [20]	84.3	84.2	84.1	83.8	83.6	83.1	82.6	82.4	81.7	5.5-
CS-STD	87.7	87.6	87.5	87.3	86.9	86.6	86.2	85.9	85.5	8
Noise levels					σ					
	9	10	11	12	13	14	15	16	17	° □ 45- 8 / 8
DeepLabV3+ [20]	81.2	80.5	80.1	79.5	79.1	78.7	77.8	77.4	76.6	
CS-SCT	85.1	84.6	84.0	83.5	83.2	82.7	82.3	81.3	81.2	
Noise levels					$\sigma$					
	18	19	20	21	22	23	24	25		· · · · ·
DeepLabV3+ [20]	76.1	75.3	74.6	73.9	72.8	71.6	70.5	69.0		3 0 5 10 15 20 25
CS-STD	81.2	79.9	79.8	78.9	77.7	76.9	75.5	74.7		σ

Figure 21: The improved DM values for cup regions in the Refuge test sets (400 images) between DeeplabV3+ and the proposed CS-STD under different levels of noise with standard deviation.

Thank you!

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Phd Students and postdocs are welcome !!