Structure-Aware Graph Neural Network Based Deep Transfer Learning Framework For Enhanced Predictive Analytics On Diverse Materials Datasets

Vishu Gupta¹, Kamal Choudhary^{2,3}, Brian DeCost², Francesca Tavazza², Carelyn Campbell², Wei-keng Liao¹, Alok Choudhary¹, Ankit Agrawal^{1,*}

¹Department of Electrical and Computer Engineering, Northwestern University ²Material Measurement Laboratory, National Institute of Standards and Technology, Gaithersburg, MD,20899, U.S.A.

³DeepMaterials LLC, Silver Spring, MD 20906, U.S.A.

*Correspondence and requests for materials should be addressed to Ankit Agrawal (email: ankitag@eecs.northwestern.edu).

Modern data mining methods have demonstrated effectiveness in comprehending and predicting materials properties. An essential component in the process of 2 materials discovery is to know which material(s) will possess desirable properties. 3 For many materials properties, performing experiments and density functional 4 theory computations are costly and time-consuming. Hence, it is challenging 5 to build accurate predictive models for such properties using conventional data 6 mining methods due to the small amount of available data. Here we present a 7 framework for materials property prediction tasks using structure information 8 ⁹ that leverages graph neural network-based architecture along with deep-transferlearning techniques to drastically improve the model's predictive ability on diverse materials (3D/2D, inorganic/organic, computational/experimental) data. We evaluated the proposed framework in cross property and cross materials class scenarios using 115 datasets to find that transfer learning models outperform the models trained from scratch in 104 cases, i.e., ≈ 90 %, with additional benefits in performance for extrapolation problems. We believe the proposed framework can be widely useful in accelerating materials discovery in materials science.

17 Introduction

Accurate materials property prediction using crystal structure occupies a primary and often 18 critical role in materials science, particularly when screening through a near-infinite space of 19 candidate materials for desirable materials performance. Upon identification of a candidate 20 material, one has to go through either a series of hands-on experiments or intensive density 21 functional theory (DFT) calculations which can take hours to days to even months depending 22 on the complexity of the system. Hence, the ability to accurately predict the properties of 23 interest of the material prior to synthesis can be extremely useful to prioritize available 24 resources for simulations and experiments, which can significantly accelerate the process of 25 materials exploration and discovery. Owing to significant advances in materials theory ¹⁻³ 26 and computational power, it has become possible to compute several materials properties 27 of a compound using DFT. This has led to the creation of large DFT databases ^{4,5} which 28 when combined with various advanced data mining techniques have extensively contributed 29

to enhanced property prediction models $^{6-13}$ and catalyzed the development of the field of materials informatics $^{14-20}$.

Since the size of data available for training the model has a significant impact on the 32 quality of the predictive models ^{21–23}, reliable and accurate models are still limited to a 33 few selected materials properties that are relatively easy to compute. Several works have 34 attempted to improve the performance of the model for small datasets $^{24-28}$. However, the 35 quality of the prediction for these studies rely on the materials property specific feature 36 engineering performed prior to training the model, making it less applicable for generalized 37 use across various properties. Alternatively, transfer learning (TL), an advanced data min-38 ing technique is often applied for scarce data problems which utilizes the knowledge learned 39 from a large collection of historical data ^{29–35}. For instance, it can use the knowledge of a 40 model for a given property trained on a large DFT dataset to build a model of the same 41 property but on a small experimental dataset. However, the absence of a large collection 42 of historical data for most of the materials properties prohibits the broad application of 43 this same-property transfer learning, i.e., where both source and target properties are the 44 same. Gupta et al. ^{36–38} attempt to address this by introducing cross-property transfer learn-45 ing, which allowed training models on target properties for which corresponding big source 46 datasets may not be readily available. However, the models were confined to only taking 47 composition as input. Although composition-only based predictive models can be helpful for 48 screening and identifying potential material candidates without the need for structure as an 49 input, they are by design not capable of distinguishing between structure polymorphs of a 50

given composition, which would end up being duplicates in the data, and thus would need 51 to be removed before ML modeling. This prevents us from applying transfer learning in 52 cases where the datasets contain large amounts of structure polymorphs, and the removal of 53 duplicate entries might result in significantly less data available for model training. It might 54 also prevent the implementation of cross materials class transfer learning, thereby limiting 55 the application of transfer learning to the same materials class only. Thus composition-based 56 models may have limited applicability in the materials discovery process, as structure in-57 formation is critical to define the material and to perform DFT computations and further 58 experiments for validation. Further, composition-only based models could potentially have 59 substantial errors in the predicted values as compared to ground truth, as different structure 60 polymorphs of a given composition can have drastically different properties. These short-61 comings of models trained on composition-based inputs can be mitigated by incorporating 62 structure-based inputs, and hence structure-based modeling presents bigger opportunities 63 than composition-based modeling to advance the discovery process in the field of materials 64 science. 65

In this work, we present a framework that combines advanced data mining techniques with a structure-aware graph neural network (GNN) to improve the predictive performance of the model for materials properties with sparse data. The overall workflow of the proposed framework is shown in Figure . Here, we first apply a structure-aware GNN-based deep learning architecture to capture the underlying chemistry associated with the existing large data containing crystal structure information. The resulting knowledge learned is then

transferred and used during training on the sparse dataset to develop reliable and accurate 72 target models. For simplicity, we call the large body of available data as the source dataset, 73 the model trained on the source dataset as the source model, the sparse data as the target 74 dataset, and the model trained on the target dataset as the target model. The transfer of 75 information can be performed by either fine-tuning or feature extraction methods. Fine-76 tuning uses the weights from the pre-trained model as the preliminary weight initialization 77 for the network, which are further refined using the target dataset. In the feature extraction 78 method, we treat the pre-trained model as a feature extractor to extract robust features for 79 the target dataset and use them to build the target model using representation learning. In 80 this work, we use structure-aware GNN-based model, ALIGNN³⁹ as the source model archi-81 tecture, as it has been shown to significantly outperform several other contemporary models 82 (SchNet ⁴⁰, CGCNN ⁴¹, MEGNet ³¹, DimeNet++ ⁴²) on materials property prediction task 83 across a wide variety of datasets (MP⁴, QM9⁴³, JARVIS⁵) with up to 52 solid-state and 84 molecular properties of different data sizes using crystal structure information as the model 85 input. Interested readers can refer to the publication ³⁹ for more details. We implement 86 fine-tuning based TL for ALIGNN and design a ALIGNN-based feature extractor for feature 87 extraction based TL using atom, bond, and angle based features. Therefore, all the models 88 developed in this work are structure-aware which facilitates better screening and identifi-89 cation of the potential material candidates, making it easier for the domain scientists to 90 perform follow-up DFT-computations and experiments, thereby saving time and resources 91 in the process of future materials discovery. We compare models obtained using the proposed 92

framework with models trained from scratch (SC). Note that the proposed framework can be easily adapted to the ever-increasing datasets and ever-advancing data mining techniques to improve the models further. The significant improvements gained by using the proposed framework are expected to be useful for materials science researchers to more gainfully utilize data mining techniques to help screen and identify potential material candidates more reliably and accurately for accelerating materials discovery.

99 Results

Datasets We use nine datasets of DFT-computed and experimental properties in this work: 100 Materials Project (MP)⁴, Joint Automated Repository for Various Integrated Simulations 101 (JARVIS) 3D with 46 properties and 2D with 32 properties ⁵, Flla ⁴⁴ with three properties, 102 Dielectric Constant (DC)⁴⁵ with five properties, Piezoelectric Tensor (PT)⁴⁶ with two prop-103 erties, Experimental Formation Energy (EFE)⁴⁷ with one property, Kingsbury Experimental 104 Formation Energy (KEFE)⁴⁸ with one property, Kingsbury Experimental Bandgap (KEB)⁴⁹ 105 with one property, and Harvard Organic Photovoltaic Dataset (HOPV)⁵⁰ with 24 properties. 106 MP dataset was downloaded from ³⁹, JARVIS-3D (https://figshare.com/collections/ 107 ALIGNN data/5429274). JARVIS-2D (https://ndownloader.figshare.com/files/26808917) 108 and HOPV (https://ndownloader.figshare.com/files/28814184) from their respective 109 figshare links and the rest of the datasets were obtained using Matminer⁵¹. 110

111

A model trained on the formation energy of the MP dataset ³⁹ is used as the source

model to perform fine-tuning and feature extraction based transfer learning as formation 112 energy has shown to lead to meaningful representations from large source datasets ³⁶ which 113 can then be applied during the model training on the smaller target datasets to improve 114 their predictive performance. The rest of the datasets are used to perform target model 115 training followed by materials property prediction and evaluation. The target datasets are 116 randomly split with a fixed random seed into training, validation, and holdout test sets in 117 the ratio of 80:10:10. The data size for every materials property in each of the datasets are 118 shown in Supplementary Table 1, 2 and 3, and modifications made to some of the target 119 dataset's materials properties to suit the model input are shown in Supplementary Table 4. 120 We use mean absolute error (MAE) as the primary evaluation metric for all models. We also 121 incorporate a 'Base' model, which always uses the average property value of all the training 122 data provided to it as the predicted property of a test compound as a naive baseline for 123 comparison with scratch (SC) and transfer learning (TL) methods. Note that due to the 124 large number of materials properties investigated in this work and the limited computational 125 resources, we do not investigate the aleatoric uncertainty caused by random initialization of 126 the models. 127

ALIGNN-based Feature Extractor We use a structure-aware GNN-based architecture, ALIGNN ³⁹ as our base architecture for training the source models, performing transfer learning using fine-tuning method, and extracting structure-based features, as it has shown to significantly outperform other known GNN models ^{31,40-42,52} for materials property prediction across a wide variety of datasets with different data sizes ³⁹ using crystal structure ¹³³ information as the model input. For the initial set of input features used to train ALIGNN, ¹³⁴ please refer to the publication ³⁹. To extract structure-based features from ALIGNN, we ¹³⁵ design a ALIGNN-based Feature Extractor, which is shown in Figure .

The structure file containing information on lattice geometry and the ionic positions 136 of a compound is divided into atom, bond, and angle based features before feeding into 137 ALIGNN-based Feature Extractor where we perform feature extraction. As the graph neu-138 ral network (ALIGNN) used for extracting features comprises of an intricate arrangement 139 of layers, simply extracting features from every layer would yield nearly 100 variations of 140 possible features without any definite meaning. If each of these sets of features is used as 141 model input to perform deep learning based model training, it will make the entire process 142 too costly and time-consuming. Hence, we define several analytical checkpoints, mainly af-143 ter the ALIGNN layer and GCN layer, each containing two edge-gated graph convolution 144 layers ⁵³ and one edge-gated graph convolution layer respectively to extract features instead 145 of extracting features from every layer in order to design a more generalized mechanism for 146 performing feature extraction based TL, which is both meaningful as well as helps save time 147 and resources to carry out the model training for the proposed framework. After performing 148 feature extraction from the pre-defined analytical checkpoints, we obtain 9 sets of atom-149 based features, 9 sets of bond-based features and 5 sets of angle-based features, each with a 150 different 256-vector representation of the compound. We also test the effect of features on 151 the performance of the model by combining atom-bond and atom-bond-angle features from 152 the same checkpoint. Moreover, as it is known that features extracted from the last layer 153

of a given architecture are also helpful when performing transfer learning (also known as 154 TL based on freezing method ⁵⁴), we also combine the last set of atom, bond, and angle-155 based features (called atom-bond-angle features(last)) to see its effect on the performance. 156 Note that we do not try all possible combinations of atom, bond and angle based features 157 extracted from different checkpoints in order to facilitate further generalizability of the work-158 flow. Due to the nature of the source model architecture, all the features extracted from the 159 feature extractor are structure aware. For a detailed explanation of the pre-processing of the 160 structure-based features associated with the feature extractor, please refer to the methods 161 section. Next, we perform model training using the above-defined set of features as input 162 for the deep neural network where we use a 17-layered neural network comprising of stacks 163 of fully connected layers and ReLU as the activation function inspired from 21,22,55 as the 164 base architecture and formation energy of JARVIS-3D dataset as the materials property for 165 property prediction task, the results of which are shown in Table 1. In this work, we use a 166 very basic deep neural network to perform model training on the extracted features to see 167 the potential of the extracted features to predict the materials properties. 168

Table 1 shows that, in general, feature representations containing structure-aware atombased features tend to perform better as compared to only bond or angle-based features. Moreover, the combination containing the last set of the atom, bond, and angle-based features, called atom-bond-angle features(last), performs the best among the 38 sets of features used for the analysis. Hence, for the rest of the analysis, we only atom-bond-angle features(last) as the feature set to perform feature extraction based TL for generalizability. ¹⁷⁵ Moreover, we use the model with the least validation error only (among fine-tuning and ¹⁷⁶ atom-bond-angle features(last) based TL models) to perform model testing on the holdout ¹⁷⁷ test set to have a fair comparison with the SC model, i.e., both the TL and SC models look ¹⁷⁸ at the holdout test set only once during testing.

JARVIS-3D Database Here, we demonstrate the performance of TL models on different target materials properties in the JARVIS-3D dataset. We compare the performance of TL models with the SC models, i.e., ALIGNN trained directly on the target dataset from scratch. Table 2 presents the prediction accuracy of the best SC and best TL model on the test set for each of the 48 target properties.

Table 2 indicates that TL models outperform the SC models in 42/46 cases, i.e., in \approx 184 91 % of the cases. We observe higher percent error improvement in the TL model for materials 185 properties with less number of data points (below ~ 19000 data points). Supplementary 186 Table 5 shows that among the TL models, fine-tuning based TL model performed the best 187 for 27/42 target properties, and feature extraction based TL model performed the best for 188 15/42. The results illustrate the benefit of using the proposed framework even when the 189 materials properties of the source datasets and target datasets are different using structure-190 based features as model input. We believe this is because the source model was able to learn 191 and extract useful and widely-applicable features during the model training on the source 192 data. 193

Other DFT-based Databases In the previous section, we only used a single DFT-computed dataset to perform the model training using the proposed framework to improve the performance of the target model. However, as various DFT-computed datasets are calculated using different computational settings and can show significant discrepancies across each other ⁵⁶, these differences may affect the performance of the target model when applying TL. Hence, here we investigate the effect of using the same source model trained on the formation energy of MP dataset on other small DFT-based databases.

Table 3 indicates that TL models outperform the SC models in 10/10 cases, i.e., in 201 100 % of the cases. Supplementary Table 6 shows that among the TL models, fine-tuning 202 based TL model performed the best for 2/10 target properties, and feature extraction based 203 TL model performed the best for 8/10. It is interesting to see that on smaller DFT databases. 204 not only the feature-extraction based TL gives the more accurate model for a large fraction 205 of evaluated properties, but the best TL model is also quantitatively much more accurate 206 than the best SC model, underscoring the power of structure-aware feature-extraction based 207 TL for small datasets. 208

JARVIS-2D Database In the previous sections, we used different DFT-computed datasets containing 3D materials to perform the model training using the proposed framework to improve the performance of the target model. However, there also exist a class of materials that exhibit plate-like 2D shapes whose physical and chemical properties may differ in nature from that of 3D materials. Hence, here we investigate the effect of using the same source model trained on 3D materials dataset with TL to build target models on datasets containing
2D materials. Table 4 presents the prediction accuracy of the best SC and best TL model
on the test set for each of the 34 target properties in JARVIS-2D database.

Table 4 indicates that TL models outperform the SC models in 27/32 cases, i.e., in 217 ≈ 84 % of the cases. As most of the materials properties have a small number of data points, 218 we observe even larger improvement in the performance of the TL model. Supplementary 219 Table 7 shows that among the TL models, fine-tuning based TL model performed the best for 220 5/27 target properties, and feature extraction based TL model performed the best for 22/27. 221 The results demonstrate that our proposed framework is able to improve the performance of 222 the predictive model even when the source model trained on 3D materials is applied to 2D 223 materials across different materials properties. 224

Other Materials Class Data So far, we have observed the advantages of using the proposed framework on a variety of materials properties from different DFT-computed datasets of crystalline solids where TL models typically outperform SC models. However, as there are different classes of materials available, it would be interesting to see if the knowledge learned from one class of materials can be helpful in building a more accurate model on another class of materials. Hence, in this section, we explore the effectiveness of our proposed framework by applying it on datasets comprised of molecular properties.

Table 5 indicates that TL models outperform the SC models in 22/24 cases, i.e., in ≈ 92 % of the cases. We also observe for some specific materials properties, improvement

in the performance is always very little such as scharber jsc, scharber pce, and scharber 234 voc. It would be interesting to see if it is possible to analyze and quantify possible relations 235 between materials properties from different materials classes which can lead to possible 236 improvement in the performance of the target model for cross-property transfer learning 237 scenarios in future work. Supplementary Table 8 shows that among the TL models, fine-238 tuning based TL model performed the best for 7/22 target properties, and feature extraction 239 based TL model performed the best for 15/22. It is quite encouraging to observe that the 240 proposed TL models outperform the SC models even when using properties from another 241 materials class as the target properties for most of the cases. This shows that the ALIGNN 242 model is able to successfully and automatically capture relevant atom, bond, and angle based 243 domain knowledge features from source data and effectively and appropriately apply that 244 information for building improved predictive models for a variety of target properties on 245 small target datasets across different materials classes using the proposed structure-aware 246 TL framework. 247

Experimental Data Here, we demonstrate the performance of our proposed framework on
experimental datasets with formation energy and band gap as materials properties.

Table 6 indicates that TL models outperform the SC models in 3/3 cases, i.e., in 100 % of the cases. Supplementary Table 9 shows that among the TL models, fine-tuning based TL model performed the best for 1/3 target properties, and feature extraction based TL model performed the best for 2/3. It is very encouraging to observe the improvement in ²⁵⁴ performance not only for computational datasets but also for experimental datasets. This
²⁵⁵ along with the other results demonstrates that the proposed framework can significantly and
²⁵⁶ consistently help improve the prediction of the materials properties across various domains
²⁵⁷ and classes, thereby potentially saving time and resources in the process of future materials
²⁵⁸ discovery.

259 Discussion

In this paper, we presented a framework that combines structure-aware GNN architecture 260 with advanced data-mining techniques to build a powerful source model whose information is 261 then used to build significantly and consistently accurate target models on various materials 262 properties from smaller datasets for enhanced materials property prediction across various 263 domains and materials classes. To show the benefit of the proposed approach, we built 264 source models using a structure-aware GNN-based architecture called ALIGNN on the MP 265 dataset by using only formation energy as the source materials property. This trained model 266 was then used to perform transfer learning on 115 different dataset-property combinations 267 to find that the proposed framework yields highly accurate and robust models even when the 268 source property and target property are different, which is expected to be especially useful 269 in building predictive models for properties for which big datasets are not available. We 270 compare the performance of the TL models with ALIGNN model trained from scratch. 271

272

To check the robustness of the proposed framework even further, we perform empirical

and statistical analysis to examine the performance difference between SC and TL models. 273 First we describe empirical analysis, where we perform training size based and extrapolation 274 based analysis using formation energy as materials property (as it is one of the most studied 275 property) from JARVIS dataset. For training size based analysis we perform model training 276 with different training data size using the same test set (10 % of the total data size) to 277 create a learning curve with prediction error as a function of the training set size. Figure 278 shows that TL model outperform SC model for all the training sizes for formation energy 279 prediction. 280

For extrapolation based analysis, we divide the whole dataset into different splits, where 281 data points corresponding to the bottom 10 % of formation energy values were set aside as 282 the 'Extrapolation test set', and the remaining data was divided into training, validation, 283 and test split (as 'Interpolation test split'). The lower values for formation energy indicate a 284 more stable compound, and it is desirable to have a model that can predict the lower values 285 accurately and even extrapolate. The scatter plot of the prediction error for 'Extrapolation 286 test set' and 'Interpolation test set' is shown in Figure . It shows that the best TL model (in 287 this case, fine-tuning based TL model) performs better as compared to the best SC model 288 for both the test splits. 289

Next, we perform statistical analysis where we perform uncertainty and statistical significance analysis using different materials properties. For uncertainty analysis, we perform 9-fold cross-validation (as the datasets were divided into 8:1:1 ratio) for SC and proposed

TL model with the best modeling configuration using formation energy and bandgap (as 293 they are widely studied materials properties) of JARVIS 3D, JARVIS 2D, and Experimen-294 tal datasets. Supplementary Table 10 shows the distribution of performance for the models 295 across different train/test splits, where we observe that TL outperforms SC in terms of MAE 296 for all six cases. Additionally, to see if the observed MAE is statistically distinguishable from 297 one another, we perform a corrected resampled t-test 57 and obtain p-value < 0.01 for all cases. 298 This shows the MAE obtained using the proposed TL model is statistically distinguishable 299 from the MAE obtained using the SC model at $\alpha = 0.01$. For statistical significance analysis, 300 we estimate a one-tailed p-value to compare the test MAEs obtained on 115 target datasets 301 (out of which TL models outperformed SC models on 104 target datasets) in order to see 302 if the observed improvement in the accuracy of TL models over SC models is significant 303 or not. Here, as we are dealing with different properties obtained from different datasets, 304 whose differences in MAE may not be directly comparable ⁵⁸, we use the Signed Test ⁵⁹ to 305 estimate the one-tailed p-value. Here, the null hypothesis is 'TL model is not better than 306 the SC model' and the alternate hypothesis is 'TL model is better than the SC model'. Af-307 ter performing the statistical testing using a sign test calculator 60 , we get the p-value < 308 0.00001, thus rejecting the null hypothesis at $\alpha = 0.01$. This suggests that the difference in 309 test MAE between SC and TL models is unlikely to have arisen by chance, and thus we can 310 infer that in general the proposed TL models perform significantly better than SC models. 311 Additionally, we train ALIGNN on multiple materials properties simultaneously for both the 312 source and target models to examine its performance as compared to training the source and 313

target models with just a single property, as performed in this study. We use the formation 314 energy and bandgap as the materials properties where the source model is trained on the 315 MP dataset, and the target model is trained on the JARVIS 3D dataset. Supplementary 316 Table 11 shows the test MAE of the SC model and proposed TL model when the source and 317 target models are trained on single and multiple materials properties. When training the 318 model on single materials property, we observe that using the corresponding source model 319 as well as formation energy as the source property helps improve the performance of the 320 model. When training the model on multiple materials properties, we observe a decrease in 321 model accuracy for formation energy and negligible difference in accuracy for bandgap. This 322 suggests that training models on multiple materials properties simultaneously for both the 323 source and target datasets is not beneficial for improving the accuracy of the model. 324

We also observe that out of 115 materials properties analyzed in our work, the SC 325 model performed the best for 11 properties, fine-tuning based TL model performed the best 326 for 42 properties, and feature extraction based TL model performed best for 62 properties 327 (Supplementary Figure 1). We observe that in general, fine-tuning based TL models perform 328 better for larger target datasets, and feature extraction based TL models perform better for 329 smaller target datasets, which is consistent with a previous study on composition-based 330 cross-property TL ³⁶. Additionally, we plot the percent error improvement of the TL model 331 against the SC model as a function of dataset size with a histogram in Supplementary Figures 332 2 and 3 and observe larger improvement in the model accuracy for smaller datasets as com-333 pared to larger datasets. The mean \pm standard deviation, 1st quartile, median, 3rd quartile, 334

minimum and maximum percent error improvements are -11.95 ± 20.23 , -15.16, -5.48, -2.54, 335 -96.09 and 34.97 respectively. Although we only used formation energy as the source material 336 property to train the feature extractor (source model) and a basic deep neural network to 337 build target models using the extracted features, feature extraction based TL was found to 338 perform better for more number of materials properties as compared to fine-tuning based TL 339 for small datasets. This shows the powerful ability of the feature extractor to learn relevant, 340 robust, and versatile sets of features that can be leveraged even with relatively simple data 341 mining techniques, thereby providing flexibility and interoperability. We also observe that 342 transfer learning works not only for classical quantities such as Deltae (5.25%) but also for 343 electronic properties such as bandgap (6.19 %) equally well. The TL-based improvements 344 are also mostly isotropic, e.g., improvements in Meps (x,y,z) components are similar. While 345 some properties like PMDiEl show substantial improvements, the underlying reasons for this 346 remain unclear. A potential future utility could involve a GNNExplainer-like tool ⁶¹ for 347 ALIGNN architecture. Hence, the proposed method can help improve the robustness and 348 accuracy of the target model on small datasets by incorporating the rich set of hierarchical 349 features that can be learned using the ever-increasing data and ever-improving data mining 350 techniques. The proposed framework is thus flexible and can leverage state-of-the-art data 351 mining techniques to improve upon the performance and can be applied to other materials 352 properties across various domains and materials classes for which enough source data may 353 not be available. Although transfer learning is not always effective for all kinds of mate-354 rials properties with varying data sizes, we observe that the benefit of transfer learning is 355

more for materials properties with smaller number of data points, transferring knowledge 356 from periodic (e.g., crystalline) to non-periodic (e.g., molecular) properties, i.e., performing 357 cross materials class transfer learning to increase the accuracy of the target model is possi-358 ble when using structure-based modeling (albeit with smaller benefits), and there is larger 359 improvement in performance for 'extrapolation' than 'interpolation' problems. Further, the 360 proposed framework is expected to be easily adaptable to other scientific domains beyond 361 materials science. The presented framework is conceptually easy to implement, understand, 362 use, and build upon. For future work, it would be interesting to explore the effect on the 363 performance of the target model when materials properties other than formation energy are 364 used as the source material property and GNN architecture other than ALIGNN is used 365 for training the source model. Although in the current study, we have used DFT-relaxed 366 structures, which hold origin one way or another in experimental crystal structures, we plan 367 to use such TL models for crystal generative models as well ⁶² where property predictions 368 and pre-screening with TL-performance boosted models will be useful. It would also be 369 interesting to explore the uncertainty associated with the materials property prediction by 370 incorporating neural network components that help perform uncertainty estimation, such as 371 dropout within the network architecture, or by creating an ensemble model using multiple 372 graph neural networks and/or input from multiple checkpoints. One can also explore dif-373 ferent sets of features to train the neural network or use more sophisticated neural network 374 architectures for the target model in a bid to boost the performance of the target model for 375 a specific materials property. 376

377 Methods

Scratch and Transfer Learning Models In this work, we implement a scratch (SC) 378 model and two types of transfer learning (TL) models. For SC models, the model training 379 is performed directly on the small target dataset without providing the model with any 380 form of knowledge from source data. We use the graph neural network model, ALIGNN, 381 as the model architecture for the SC model. For TL models, we use a model pre-trained 382 on the MP dataset with formation energy as the materials property using ALIGNN as the 383 model architecture. The TL techniques comprise of traditional fine-tuning and a feature 384 extraction method from a graph neural network. Fine-tuning uses the weights from the 385 pre-trained model as the preliminary weight initialization for the network (which is the same 386 architecture as used during source model training) and is further refined using a small dataset. 387 In the feature extraction method, we treat the pre-trained model as the feature extractor and 388 extract atom, bond, and angle based features from a given layer, each containing a variable 389 number of rows depending on the number of the atom, bond, and angle information present 390 in the input file and 256 columns as features for each row. For example, let us consider a 391 hypothetical compound $A_a B_b C_c$ where a + b + c = x, number of bonds = y and number of 392 angles = z (generally, number of angles > number of bonds > number of atoms) and we 393 extract the features from a checkpoint. Then, the dimensions of the extracted vectors will 394 be (x, 256) for atom-based features, (y, 256) for bond-based features, and (z, 256) for the 395 angle-based features. In order to pre-process them into a form that can be given to the deep 396 learning (DL) model, which takes a one-dimensional vector as input, we take the mean of 397

all features across each column. This creates a (1, 256) vector representation for each of the 398 structure-based features (atom, bond, and angle) for a given compound of the target dataset. 399 The extracted feature from a given layer can then be either concatenated or used separately 400 as an input for any DL model. For example, if we use atom based features from a given layer 401 as the materials representation, each compound will be represented as a 256-dimensional 402 feature vector. Similarly, for atom+bond based features it will be a 512-dimensional feature 403 vector, and for atom+bond+angle based features it will be a 768-dimensional feature vector 404 representation. For our analysis, we only use atom+bond+angle (last) as the set of features 405 for the feature extraction based TL. The 'Base' model used in this work always uses the 406 average property value of all the training data provided to it as the predicted property of a 407 test compound as a naive baseline for comparison with SC and TL methods. 408

Network Settings and Model Architecture ALIGNN was implemented using Pytorch 409 and a 17-layered neural network (NN-17) was implemented using TensorFlow 2 (with Keras). 410 Detailed configurations for the network architecture is [FC1024-Re x 4]-[FC512-Re x 3]-411 [FC256-Re x 3]-[FC128-Re x 3]-[FC64-Re x 2]-[FC32-Re]-FC1 where the notation [...] repre-412 sents a stack of model components comprising a sequence (where FC: fully connected layer, 413 Re: ReLU activation function). The number of layers for the neural network was decided 414 based on the analysis performed in ⁵⁵, where they investigate the performance of deep learn-415 ing models of different depths in model architecture and show that the error improves with 416 the number of layers up to 17 layers, after which the accuracy stagnated. The hyperparame-417 ters used in the ALIGNN comprise of the following: Sigmoid Linear Unit (SiLU) as the base 418

activation function, Adaptive Moment Estimation with decoupled weight decay (AdamW) 419 as the optimizer with normalized weight decay of 10^{-5} , mini-batch size of 64 (32 or 16 where 420 the holdout test set is small or the size of the input files is larger than the available GPU 421 memory), and learning rate as 0.001. We train all ALIGNN models for 300 epochs with a 422 fixed random seed as done in the original work ³⁹. The hyperparameters used in the NN-423 17 comprise of the following: rectified linear activation unit (ReLU) as the base activation 424 function after each layer (except for the last layer), Adaptive Moment Estimation (Adam) as 425 the optimizer, mini-batch size as 64 with a learning rate of 0.0001. We used early stopping 426 with a patience of 200 to stop the model training if the validation loss does not improve 427 for 200 epochs to prevent overfitting. All NN-17 model training used a fixed random seed. 428 Readers interested in in-depth hyperparameter settings for ALIGNN and NN-17 models are 429 referred to those publications ^{22,39,55} for details. We use mean absolute error (MAE) as the 430 loss function as well as the primary evaluation metric for all models. We use DFT-relaxed 431 or experimentally determined structures as input for all the models trained in this study. 432

Data availability The datasets used in this paper are publicly available from the corresponding websites- MP ⁴ from https://materialsproject.org/, JARVIS ⁵ from https://jarvis.
nist.gov, Flla ⁴⁴, Dielectric Constant ⁴⁵, Piezoelectric Tensor ⁴⁶, Experimental Formation Energy ⁴⁷, Kingsbury Experimental Formation Energy ⁴⁸, Kingsbury Experimental Bandgap ⁴⁹ from
AutoMatminer⁶³ (https://github.com/hackingmaterials/automatminer), and HOPV from https:
//ndownloader.figshare.com/files/28814184.

439 Code availability The codes required to perform fine-tuning and feature extraction based TL

used in this study is available at https://github.com/GuptaVishu2002/ALIGNNTL.

Acknowledgements This work was performed under the following financial assistance award
70NANB19H005 from U.S. Department of Commerce, National Institute of Standards and Technology as part of the Center for Hierarchical Materials Design (CHiMaD). Partial support is also
acknowledged from NSF award CMMI-2053929, and DOE awards DE-SC0019358, DE-SC0021399,
and Northwestern Center for Nanocombinatorics.

446 **Competing Interests** The authors declare that they have no competing interests.

Author Contributions V.G. designed and carried out the implementation and experiments for
the ALIGNN-based deep transfer learning framework under the guidance of A.A., A.C., and W.L..
K.C., B.D., F.T., and C.C. provided the necessary domain expertise for this work. V.G., A.A.,
K.C., B.D. and F.T. wrote the manuscript. All authors discussed the results and reviewed the
manuscript.

452 References

- 1.Roemelt, M., Maganas, D., DeBeer, S. & Neese, F. A combined dft and restricted open-shell
 configuration interaction method including spin-orbit coupling: Application to transition metal
 l-edge x-ray absorption spectroscopy. <u>J. Chem. Phys.</u> 138, 204101 (2013).
- 2.Curtarolo, S., Morgan, D. & Ceder, G. Accuracy of ab initio methods in predicting the crystal
 structures of metals: A review of 80 binary alloys. Calphad 29, 163–211 (2005).
- 3.Asta, M., Ozolins, V. & Woodward, C. A first-principles approach to modeling alloy phase
 equilibria. JOM 53, 16–19 (2001).

- 4.Jain, A. <u>et al.</u> The Materials Project: A materials genome approach to accelerating materials
 innovation. APL Mater. 1, 011002 (2013).
- 5.Choudhary, K. <u>et al.</u> JARVIS: An integrated infrastructure for data-driven materials design
 (2020). 2007.01831.
- 6.Morgan, D. & Jacobs, R. Opportunities and challenges for machine learning in materials science.
 Annu. Rev. Mater. Res. 50, 71–103 (2020).
- ⁴⁶⁷ 7.Mannodi-Kanakkithodi, A. & Chan, M. K. Computational data-driven materials discovery.
 ⁴⁶⁸ Trends Chem. **3**, 79–82 (2021).
- 8.Friederich, P., Häse, F., Proppe, J. & Aspuru-Guzik, A. Machine-learned potentials for nextgeneration matter simulations. Nat. Mater. 20, 750–761 (2021).
- 9.Pollice, R. <u>et al.</u> Data-driven strategies for accelerated materials design. <u>Acc. Chem. Res.</u> 54,
 849–860 (2021).
- ⁴⁷³ 10.Westermayr, J., Gastegger, M., Schütt, K. T. & Maurer, R. J. Perspective on integrating machine

learning into computational chemistry and materials science. Chem. Phys. **154**, 230903 (2021).

- ⁴⁷⁵ 11.Jha, D., Gupta, V., Liao, W.-k., Choudhary, A. & Agrawal, A. Moving closer to experimental
 ⁴⁷⁶ level materials property prediction using ai. Sci. Rep. **12** (2022).
- ⁴⁷⁷ 12.Mao, Y. <u>et al.</u> An ai-driven microstructure optimization framework for elastic properties of
 ⁴⁷⁸ titanium beyond cubic crystal systems. Npj Comput. Mater. 9, 111 (2023).
- 479 13.Gupta, V. <u>et al.</u> Physics-based data-augmented deep learning for en-
- 480 hanced autogenous shrinkage prediction on experimental dataset. In
- ⁴⁸¹ Proceedings of the 2023 Fifteenth International Conference on Contemporary Computing,
- 482 188–197 (2023).

- ⁴⁸³ 14.Agrawal, A. & Choudhary, A. Perspective: Materials informatics and big data: Realization of
 ⁴⁸⁴ the "fourth paradigm" of science in materials science. APL Mater. 4, 053208 (2016).
- ⁴⁸⁵ 15.Hill, J. <u>et al.</u> Materials science with large-scale data and informatics: unlocking new opportuni⁴⁸⁶ ties. MRS Bull. **41**, 399–409 (2016).
- ⁴⁸⁷ 16.Ward, L. & Wolverton, C. Atomistic calculations and materials informatics: A review.
 ⁴⁸⁸ Curr. Opin. Solid State Mater. Sci. 21, 167–176 (2017).
- 489 17.Ramprasad, R., Batra, R., Pilania, G., Mannodi-Kanakkithodi, A. & Kim, C. Machine learning
- ⁴⁹⁰ in materials informatics: recent applications and prospects. <u>Npj Comput. Mater.</u> **3**, 54 (2017).
- ⁴⁹¹ 18.Agrawal, A. & Choudhary, A. Deep materials informatics: Applications of deep learning in
 ⁴⁹² materials science. MRS Commun. 9, 779–792 (2019).
- ⁴⁹³ 19.Choudhary, K. <u>et al.</u> Large scale benchmark of materials design methods.
 ⁴⁹⁴ Preprint at: https://arxiv.org/abs/2306.11688 (2023).
- ⁴⁹⁵ 20.Gupta, V., Liao, W.-k., Choudhary, A. & Agrawal, A. Evolution of artificial intelligence for
 ⁴⁹⁶ application in contemporary materials science. MRS Commun. 1–10 (2023).
- ⁴⁹⁷ 21.Jha, D. <u>et al.</u> Enabling deeper learning on big data for materials informatics applications.
 ⁴⁹⁸ Sci. Rep. **11**, 1–12 (2021).
- 22.Gupta, V., Liao, W.-k., Choudhary, A. & Agrawal, Α. Brnet: Branched 499 residual network for fast and accurate predictive modeling of materials properties. 500 Proceedings of the 2022 SIAM International Conference on Data Mining (SDM), In 343 - 351501 (SIAM, 2022). 502

⁵⁰³ 23.Gupta, V., Peltekian, A., Liao, W.-k., Choudhary, A. & Agrawal, A. Improving deep learning
⁵⁰⁴ model performance under parametric constraints for materials informatics applications. <u>Sci. Rep.</u>
⁵⁰⁵ 13, 9128 (2023).

⁵⁰⁶ 24.Seko, A. <u>et al.</u> Prediction of low-thermal-conductivity compounds with first-principles anhar ⁵⁰⁷ monic lattice-dynamics calculations and bayesian optimization. <u>Phys. Rev. Lett.</u> **115**, 205901
 ⁵⁰⁸ (2015).

- ⁵⁰⁹ 25.Ghiringhelli, L. M., Vybiral, J., Levchenko, S. V., Draxl, C. & Scheffler, M. Big data of materials
 ⁵¹⁰ science: Critical role of the descriptor. Phys. Rev. Lett. **114**, 105503 (2015).
- ⁵¹¹ 26.Lee, J., Seko, A., Shitara, K., Nakayama, K. & Tanaka, I. Prediction model of band gap
 ⁵¹² for inorganic compounds by combination of density functional theory calculations and machine
 ⁵¹³ learning techniques. Phys. Rev. B 93, 115104 (2016).
- ⁵¹⁴ 27.Sendek, A. D. <u>et al.</u> Holistic computational structure screening of more than 12000 candidates
 ⁵¹⁵ for solid lithium-ion conductor materials. Energy Environ. Sci. **10**, 306–320 (2017).
- 28.Mao, Υ. al. Ai for learning deformation behavior of et a mate-516 rial: Predicting stress-strain curves 4000x faster than simulations. In 517 2023 International Joint Conference on Neural Networks (IJCNN), 1–8 (IEEE, 2023). 518
- ⁵¹⁹ 29.Kaya, M. & Hajimirza, S. Using a novel transfer learning method for designing thin film solar
 ⁵²⁰ cells with enhanced quantum efficiencies. <u>Sci. Rep.</u> 9, 5034 (2019).
- 30. Yamada, H. <u>et al.</u> Predicting materials properties with little data using shotgun transfer learning.
 ACS Cent. Sci. 5, 1717–1730 (2019).
- ⁵²³ 31.Chen, C., Ye, W., Zuo, Y., Zheng, C. & Ong, S. P. Graph networks as a universal machine
 ⁵²⁴ learning framework for molecules and crystals. Chem. Mater. **31**, 3564–3572 (2019).

- 32.Feng, S. et al. A general and transferable deep learning framework for predicting phase formation
 in materials. Npj Comput. Mater. 7, 1–10 (2021).
- ⁵²⁷ 33.Lee, J. & Asahi, R. Transfer learning for materials informatics using crystal graph convolutional
 ⁵²⁸ neural network. Comput. Mater. Sci. **190**, 110314 (2021).
- 34.McClure, Z. D. & Strachan, A. Expanding materials selection via transfer learning for high temperature oxide selection. JOM 73, 103–115 (2021).
- ⁵³¹ 35.Dong, R., Dan, Y., Li, X. & Hu, J. Inverse design of composite metal oxide optical materials
 ⁵³² based on deep transfer learning and global optimization. <u>Comput. Mater. Sci.</u> 188, 110166
 ⁵³³ (2021).
- 36.Gupta, V. <u>et al.</u> Cross-property deep transfer learning framework for enhanced predictive analytics on small materials data. Nat. Commun. 12, 1–10 (2021).
- ⁵³⁶ 37.Gupta, V. <u>et al.</u> Mppredictor: An artificial intelligence-driven web tool for composition-based ⁵³⁷ material property prediction. J. Chem. Inf. Model. **63**, 1865–1871 (2023).
- ⁵³⁸ 38.Gupta, V., Liao, W.-k., Choudhary, A. & Agrawal, A. Pre-activation based rep⁵³⁹ resentation learning to enhance predictive analytics on small materials data. In
 ⁵⁴⁰ <u>2023 International Joint Conference on Neural Networks (IJCNN)</u>, 1–8 (IEEE, 2023).
- ⁵⁴¹ 39.Choudhary, K. & DeCost, B. Atomistic line graph neural network for improved materials
 ⁵⁴² property predictions. Npj Comput. Mater. 7, 1–8 (2021).
- 40.Schütt, K. <u>et al.</u> Schnet: A continuous-filter convolutional neural network for modeling quantum
 interactions. Adv. Neural Inf. Process. Syst. **30** (2017).
- ⁵⁴⁵ 41.Xie, T. & Grossman, J. C. Crystal graph convolutional neural networks for an accurate and
- ⁵⁴⁶ interpretable prediction of material properties. <u>Phys. Rev. Lett.</u> **120**, 145301 (2018).

- 42.Klicpera, J., Giri, S., Margraf, J. T. & Günnemann, S. Fast and uncertainty-aware directional
 message passing for non-equilibrium molecules. <u>Preprint at: https://arxiv.org/abs/2011.14115</u>
 (2020).
- 43.Ramakrishnan, R., Dral, P. O., Rupp, M. & Von Lilienfeld, O. A. Quantum chemistry structures
 and properties of 134 kilo molecules. Sci. Data 1, 1–7 (2014).
- ⁵⁵² 44.Faber, F., Lindmaa, A., von Lilienfeld, O. A. & Armiento, R. Crystal structure representations
 ⁵⁵³ for machine learning models of formation energies. <u>Int. J. Quantum Chem.</u> **115**, 1094–1101
 ⁵⁵⁴ (2015).
- 45.Petousis, I. <u>et al.</u> High-throughput screening of inorganic compounds for the discovery of novel
 dielectric and optical materials. Sci. Data 4, 160134 (2017). Data Descriptor.
- 46.de Jong, M., Chen, W., Geerlings, H., Asta, M. & Persson, K. A. A database to enable discovery
 and design of piezoelectric materials. Sci. Data 2, 150053 (2015). Data Descriptor.
- 47.Kim, G., Meschel, S. V., Nash, P. & Chen, W. Experimental formation enthalpies for inter-
- metallic phases and other inorganic compounds. <u>Sci. Data</u> 4, 170162 (2017). Data Descriptor.
- 48.Wang, A. <u>et al.</u> A framework for quantifying uncertainty in dft energy corrections. <u>Sci. Rep.</u>
 11, 1–10 (2021).
- ⁵⁶³ 49.Zhuo, Y., Mansouri Tehrani, A. & Brgoch, J. Predicting the band gaps of inorganic solids by
 ⁵⁶⁴ machine learning. J. Phys. Chem. Lett. 9, 1668–1673 (2018).
- 505 50.Lopez, S. A. et al. The harvard organic photovoltaic dataset. Sci. Data 3, 1–7 (2016).
- ⁵⁶⁶ 51.Ward, L. T. <u>et al.</u> Matminer: An open source toolkit for materials data mining.
 ⁵⁶⁷ Comput. Mater. Sci. **152**, 60–69 (2018).

- ⁵⁶⁸ 52.Qiao, Z., Welborn, M., Anandkumar, A., Manby, F. R. & Miller III, T. F. Orbnet: Deep learning
 ⁵⁶⁹ for quantum chemistry using symmetry-adapted atomic-orbital features. <u>J. Chem. Phys.</u> 153,
 ⁵⁷⁰ 124111 (2020).
- ⁵⁷¹ 53.Dwivedi, V. P., Joshi, C. K., Laurent, T., Bengio, Y. & Bresson, X. Benchmarking graph neural
 ⁵⁷² networks. Preprint at: https://arxiv.org/abs/2003.00982 (2020).
- I. Sivic, J. 54.Oquab, М., Bottou, L., Laptev, & Learning and transfer-573 convolutional ring mid-level image representations using neural networks. In 574 Proceedings of the IEEE conference on computer vision and pattern recognition, 1717 - 1724575 (2014).576
- 577 55.Jha, D. <u>et al.</u> ElemNet: Deep learning the chemistry of materials from only elemental composi-578 tion. Sci. Rep. **8**, 17593 (2018).
- ⁵⁷⁹ 56.Hegde, V. I. <u>et al.</u> Quantifying uncertainty in high-throughput density functional theory: A
 ⁵⁸⁰ comparison of AFLOW, Materials Project, and OQMD. Phys. Rev. Mater. 7, 053805 (2023).
- 581 57.Nadeau, C. & Bengio, Y. Inference for the generalization error. <u>Mach. Learn.</u> **52**, 239–281 (2003).
- 58. Demšar, J. Statistical comparisons of classifiers over multiple data sets. J. Mach. Learn. Res.
 7, 1–30 (2006).
- 585 59.Sheskin, D. J. <u>Handbook of parametric and nonparametric statistical procedures</u> (Chapman and Hall/CRC, 2003).
- 60.Statistics, S. S. Sign test calculator. https://www.socscistatistics.com/tests/signtest/
 default.aspx (2018). Accessed = 2021-08-21.

- ⁵⁸⁹ 61.Ying, Z., Bourgeois, D., You, J., Zitnik, M. & Leskovec, J. Gnnexplainer: Generating explanations for graph neural networks. Adv. Neural Inf. Process. Syst. **32** (2019).
- ⁵⁹¹ 62.Wines, D., Xie, T. & Choudhary, K. Inverse design of next-generation superconductors using
- ⁵⁹² data-driven deep generative models. <u>Preprint at: https://arxiv.org/abs/2304.08446</u> (2023).
- ⁵⁹³ 63.Dunn, A., Wang, Q., Ganose, A., Dopp, D. & Jain, A. Benchmarking materials prop⁵⁹⁴ erty prediction methods: the matbench test set and automatminer reference algorithm.
 ⁵⁹⁵ Npj Comput. Mater. 6, 1–10 (2020).

Table 1: Prediction performance benchmarking for the prediction task of 'Atomistic Line Graph Neural Network (ALIGNN) based Feature Extractor' on formation energy of JARVIS-3D dataset. The table shows the test mean absolute error (MAE) of the best model for each feature type (selected based on validation MAE) when run on features extracted from different layers.

Table 2: The table shows the test MAE of the SC model, proposed TL model, and % error change for each of the target materials properties for the prediction task of 'JARVIS-3D Database'. The lowest MAE values in each row are highlighted in bold.

Table 3: The table shows the test MAE of the SC model, proposed TL model, and % error change for each of the target materials properties for prediction task of 'Other DFT-based Databases'. The lowest MAE values in each row are highlighted in bold.

Table 4: The table shows the test MAE of the SC model, proposed TL model and % error change for each of the target materials properties for prediction task of 'JARVIS-2D Database'. The lowest MAE values in each row are highlighted in bold.

Table 5: The table shows the test MAE of the SC model, proposed TL model and % error change for each of the target materials properties for prediction task of 'Other Materials Class Data'. The lowest MAE values in each row are highlighted in bold.

Table 6: The table shows the test MAE of the SC model, proposed TL model and % error change for each of the target materials properties for prediction task of 'Experimental Data'. The lowest MAE values in each row are highlighted in bold. **Figure 1** Outline of the proposed framework. First, a data mining model (e.g., Atomistic Line Graph Neural Network (ALIGNN) ³⁹ comprised of ALIGNN layers and Graph Convolutional Network (GCN) layers is trained from scratch on a big source data set (e.g., Materials Project (MP) ⁴) using structure files (e.g., atomic positions for the Vienna Ab initio Simulation Package (POSCAR)) to produce knowledge model. Next, the data mining model is trained on smaller target datasets (e.g., Joint Automated Repository for Various Integrated Simulations ⁵ (JARVIS)) with different properties by using available information contained within the knowledge model to improve the predictive ability of the model further.

Figure 2 Outline of the ALIGNN-based feature extraction method. Blue color indicates atombased features, orange color indicates bond-based features and green color indicates angle-based features.

Figure 3 Training curve for predicting formation energy in JARVIS dataset for different training data sizes on a fixed test set.

Figure 4 Prediction error analysis with mean absolute error (MAE) as error metric for predicting formation energy in JARVIS dataset using best scratch (SC) and best transfer learning (TL) model.