Activate and Adapt: A Two-Stage Framework for Open-Set Model Adaptation

Anonymous authors
Paper under double-blind review

Abstract

The ability of generalizing to new environments is critical for deep neural networks. Most existing works presume that the training and test data share an identical label set, overlooking the potential presence of new classes in test data. In this paper, we tackle a practical and challenging problem: Open-Set Model Adaptation (OSMA). OSMA aims to train a model on the source domain, which contains only known class data, and then adapt the trained model to the distribution-shifted target domain to classify known class data while identifying new class data. In this context, we face two challenges: (1) enabling the model to recognize new classes using only the known class data from the source domain during training, and (2) adapting the source-trained model to the target domain that contains new class data. To address these challenges, we propose a novel and universal two-stage framework named `Activate and Adapt (ADA)`. In the training stage, we extract potential new class information hidden within the rich semantics of the source domain data to enable the model to identify new class data. Additionally, to retain source domain information while preserving data privacy, we condense the source domain data into a small dataset, facilitating the subsequent adaptation phase. In the test stage, we adaptively adjust the source-trained model to the target domain with new classes by infusing the style of target data into the condensed dataset, and decoupling domain alignment for known and new classes. Experiments across three standard benchmarks demonstrate that `ADA` surpasses previous methods in both online and offline settings.

1 Introduction

Despite the remarkable success of machine learning in various fields, generalizing to new environments remains a significant challenge (Wang et al., 2022a). For instance, a model trained on urban environment data to identify cars may perform sub-optimally in the rural environment due to the distribution shift problem. Recently, considerable efforts have been dedicated to Domain Generalization (DG) (Zhou et al., 2022), which aims to enhance model performance on previously unseen domains.

Current approaches within the realm of DG include learning representations that are invariant to domain changes (Lv et al., 2022; Lu et al., 2022; Chen et al., 2023d; Wong et al., 2024), expanding data distributions through data augmentation and synthesis (Huang et al., 2021; Su et al., 2023; Bose et al., 2023; Zhu et al., 2023), and employing meta-learning to expose models to various shifts (Wang et al., 2023b; Chen et al., 2023c), among others. Despite these advances, most methods operate under the assumption that the source and target domains share an identical label space, which limits their applicability to the closed-set scenario. A more practical and realistic concern is the existence of a broader label space in the target domain. For instance, a model trained with previous DG methods may mitigate the effects of distribution shift between urban and rural environments. However, when the model encounters objects specific to rural areas, such as livestock, it may struggle to recognize them due to their absence in the training data. This shortcoming could potentially lead to significant safety risks, compromising the reliability and safety of machine learning systems in diverse environments.

To enhance the adaptability of deep neural networks in an open-world context, we investigate a more practical and challenging problem: Open-Set Model Adaptation (OSMA). The goal of OSMA is to train a model on source domain data containing only known class data, and then adapt this model to perform effectively in the target domain, which is characterized by distribution shift and open class challenges. Specifically, the model needs to classify known class data while also identifying new class data in the target domain. In particular, during the adaptation phase, while direct access to original source data is restricted, we are allowed to utilize information extracted from the source domain data in a controlled manner (in our work, we condense the source domain data into a small dataset). We provide a comparison of OSMA with different settings in Table 1.

The critical challenges of OSMA lie in two aspects. Firstly, we need to equip the model with the ability to identify new (unknown) class data during the training stage, using only known class data from the source domain. Secondly, we need to adapt the source-trained model to the target domain for safe model deployment, ensuring its capability of classifying known class data while also identifying unknown class data.

To this end, we propose a novel and universal two-stage framework named `Activate and Adapt (ADA)`, which facilitates model adaptation under the dual challenges of distribution shift and open class. Our approach comprises three key components. Firstly, to address the first challenge, we propose *Unknown Activation*, which extracts the unknown class information hidden within the rich semantics of the known class data from source domain. This module enables the model to identify unknown class data during the training stage. Secondly, to harness the source domain data information during the adaptation phase while safeguarding data privacy, we introduce the *Source Condensation* module to condense the source data into a small dataset. Thirdly, we propose the *Open Model Adaptation* stage, which adapts the source-trained model on the target domain at test time. This is achieved by injecting style information from the target domain data into the condensed data to provide supervisory guidance, and inducing a decoupled domain-aligned adjustment for the cross-domain recognition of both known and unknown classes.

The contributions of our work are summarized as follows:

- We explore the Open-Set Model Adaptation problem and propose a novel and universal two-stage framework, `Activate and Adapt (ADA)`, to simultaneously tackle the distribution shift and open class challenges in test environments.
- We leverage new class information hidden within the rich semantics of known class data to enable the model to identify new class data. Additionally, we introduce an innovative use of a condensed dataset to preserve source domain information, facilitating the adaptation phase.
- Extensive experiments on three widely used standard benchmarks demonstrate that `ADA` outperforms existing methods in both online and offline settings.

2 Related Work

Domain Generalization (DG). DG aims at enhancing model performance on unseen target domains. Existing DG methods can be categorized into different categories, such as data augmentation and generation (Zhou et al., 2020a;b; Huang et al., 2021; Su et al., 2023; Bose et al., 2023; Zhu et al., 2023), representation learning (Zhu et al., 2022; Wang et al., 2022c; Lv et al., 2022; Lu et al., 2022; Chen et al., 2023d; Wong et al., 2024), and meta-learning (Shu et al., 2021; Wang et al., 2023b; Chen et al., 2023c). Some works have considered the more realistic open-set DG (OSDG) scenario, where unknown classes appear in the target domain. For example, CODA (Chen et al., 2023a) generates virtual unknown samples via manifold mixup (Verma et al., 2019). OneRing (Yang et al., 2022b) argues that any category not matching the ground truth should be regarded as part of the unknown classes. However, the "adaptivity gap" (Dubey et al., 2021) persists when the source-trained model is directly deployed on the target domain without further adaptation.

Domain Adaptation (DA). The key difference between DG and DA is that DA has access to unlabeled target data during training while DG does not. Source free domain adaptation (SFDA) (Xia et al., 2021; Liang et al., 2020; Yang et al., 2022a; Wang et al., 2024) has been proposed to address the issue of source data

Table 1: Comparison of different problem settings. (x^s, y^s) is labeled source domain data and x^t is unlabeled target domain data. OSMA gets extracted source domain data information $(\tilde{x}, \tilde{y})$ during training and utilizes it in the test stage. "Fine-tune" means updating the source-trained model parameters in the test phase; "Online" means the model adapts and predicts after a single pass over each data while "Offline" means the model adapts on the full test set before making predictions.

Problem Settings	**Training**		**Test**				
	Training Data	Training Loss	Fine-tune	Adapt Loss	Open-set	Online	Offline
Open-Set DA	x^s, y^s, x^t	$\mathcal{L}(x^s, y^s) + \mathcal{L}(x^s, x^t)$	×	–	✓	×	×
Source-Free DA	x^t	$\mathcal{L}(x^t)$	×	–	×	×	✓
Open-Set DG	x^s, y^s	$\mathcal{L}(x^s, y^s)$	×	–	✓	×	×
Test-Time Adaptation	x^s, y^s	$\mathcal{L}(x^s, y^s)$	✓	$\mathcal{L}(x^t)$	×	✓	×
OSMA	x^s, y^s	$\mathcal{L}(x^s, y^s)$	✓	$\mathcal{L}(x^t, \tilde{x}, \tilde{y})$	✓	✓	✓

unavailability when deploying the source-trained model to the target domain. For instance, SHOT (Liang et al., 2020) aligns cross-domain features using self-supervised pseudo labeling, and AaD (Yang et al., 2022a) employs prediction consistency and inconsistency to refine feature representations. Additionally, open-set DA (OSDA) (Bucci et al., 2020; Liu et al., 2022; Yu et al., 2022; Li et al., 2023; Zhou et al., 2023) is also relevant to our work.

Test Time Adaptation (TTA). TTA is an emerging paradigm that enhances model generalizability on the target domain through unsupervised fine-tuning in an online manner, meaning each test data can be accessed only once. A plethora of methods (Wang et al., 2020; Sun et al., 2020; Chen et al., 2022; Gan et al., 2023; Wang et al., 2023a; Chakrabarty et al., 2023; Wu et al., 2024; Su et al., 2024; Janouskova et al., 2024) have been proposed to adapt the model at test time. Tent (Wang et al., 2020) proposes entropy minimization to improve model confidence. TTT (Sun et al., 2020) introduces auxiliary self-supervised tasks to enhance generalizability. A few works explore the open-set scenario in TTA. For instance, ART (Chen et al., 2023b) uses cross-domain nearest neighbor and class prototype information to detect open-class data, and OSTTA Lee et al. (2023) selects samples with higher confidence values to conduct entropy minimization.

Comparison of Different Settings. The comparison for OSMA with other settings is shown in Table 1. OSMA differs from OSDA and SFDA in that it does not access target domain data during training. Compared to OSDG, which does not adaptively adjust the source-trained model at test time, and TTA, which adapts the model to the target data only in an online manner, OSMA leverages extracted source domain information to adapt the source-trained model on target data, and it is applicable in both online and offline settings.

3 Method

Design Overview. Our proposed method `Activate and Adapt (ADA)` consists of two stages. In the first stage, *Unknown Activation and Source Condensation (UASC)*, we equip the model with the ability to identify unknown class data using only known class data from the source domain for training. We also condense the source domain data to a small dataset to preserve information. In the second stage, *Open Model Adaptation (OMA)*, we utilize the condensed dataset along with target domain data to jointly adapt the model and make final predictions for the target domain data. The illustration of `ADA` is presented in Figure 1.

Problem Setup. We define the OSMA problem formally. In the training stage, we have N_s labeled data from source domain $\mathcal{D}_s = \{(x_i^s, y_i^s)\}_{i=1}^{N_s}$. Our task is to classify N_t unlabeled data from target domain $\mathcal{D}_t = \{x_i^t\}_{i=1}^{N_t}$. We denote the label sets of $\mathcal{D}_s$ and $\mathcal{D}_t$ as $\mathcal{C}_s$ and $\mathcal{C}_t$ respectively. The target domain encompasses a wider class scope than the source domain, i.e., $\mathcal{C}_s \subset \mathcal{C}_t$, $\mathcal{C}_t \setminus \mathcal{C}_s = \mathcal{C}_t^u$. We refer to $\mathcal{C}_s$ as known classes and $\mathcal{C}_t^u$ as unknown classes. In our setting, we take the unknown classes as a whole. Our goal is to train a model on $\mathcal{D}_s$ and then adapt the model on $\mathcal{D}_t$ to classify the data in $\mathcal{D}_t$ to $|\mathcal{C}_s| + 1$ classes, where the $(|\mathcal{C}_s| + 1)$-th dimension means the unknown class. Note that the original source domain data $\mathcal{D}_s$ is no longer available in the adaptation phase, while a lightweight proxy of the source data is allowed to be used.

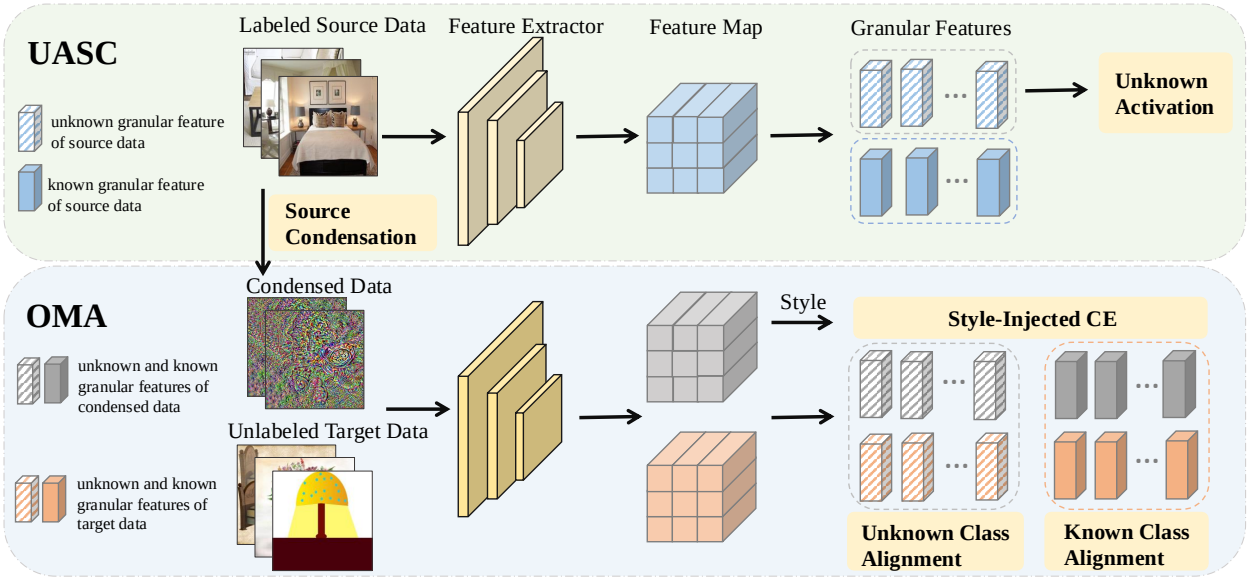


Figure 1: The illustration of `ADA`. `ADA` comprises two stages: *Unknown Activation Source Condensation (UASC)* and *Open Model Adaptation (OMA)*. In *UASC*, we decompose the feature maps of source domain data to granular features, and activate the classification logit for the unknown class dimension using the classified unknown class granular features. We additionally condense a small dataset to preserve source domain information. In *OMA*, we inject the target domain style information to the condensed data for supervisory guidance, and align cross-domain knowledge for both known and unknown classes.

3.1 Unknown Activation and Source Condensation

3.1.1 Unknown Activation

Unknown Extraction. Deep networks trained with standard cross-entropy loss on source data fail to identify unknown classes (Chen et al., 2023b). This limitation stems from the incomplete label space in the source domain data used for training. However, it is overlooked that images contain rich semantics (Zhou et al., 2016) that can be leveraged as potential unknown class information. For example, the foreground of an image showing a bedroom may align with its ground-truth label "bed". However, the background may contain additional objects, such as "curtain" and "lamp", which might not be part of the source domain's label set. This observation motivates us to extract unknown class information inherent in the rich semantics of the source domain data to activate the model's ability of identifying unknown class data.

Specifically, we decompose the penultimate-layer image features into fine-grained features and then identify blocks with intrinsic unknown class information. Formally, we denote the feature extractor as f and the classification head as g. For source domain data (x^s, y^s), $\mathbf{z}^s = f(x^s) \in \mathbb{R}^{C\times H\times W}$ is the feature map extracted by f without the last global average pooling layer. We further decompose feature map $\mathbf{z}^s$ into $H \times W$ fine-grained granular features $\{\mathbf{Z}^s_j\}_{j=1}^{N=H\times W}, \mathbf{Z}^s_j \in \mathbb{R}^C$, representing the features extracted from different regions of the image. Then, we forward these granular features to the classification head g independently to obtain their predictions $\text{argmax}_c\ g_c(\mathbf{Z}^s_j)$, where $g(\cdot) \in \mathbb{R}^{|\mathcal{C}_s|+1}$ denotes the output logit and $g_c(\cdot)$ is the c-th element of $g(\cdot)$. Based on whether their predictions align with the ground truth labels y^s, we categorize these granular features into known class feature group $\mathcal{Z}^s_k$ and unknown class feature group $\mathcal{Z}^s_u$. In formula,

$$\begin{aligned} \mathcal{Z}^s_k &= \{\mathbf{Z}^s_j |\ \text{argmax}_c\ g_c(\mathbf{Z}^s_j) = y^s\}, \\ \mathcal{Z}^s_u &= \{\mathbf{Z}^s_j |\ \text{argmax}_c\ g_c(\mathbf{Z}^s_j) \neq y^s\}. \end{aligned} \tag{1}$$

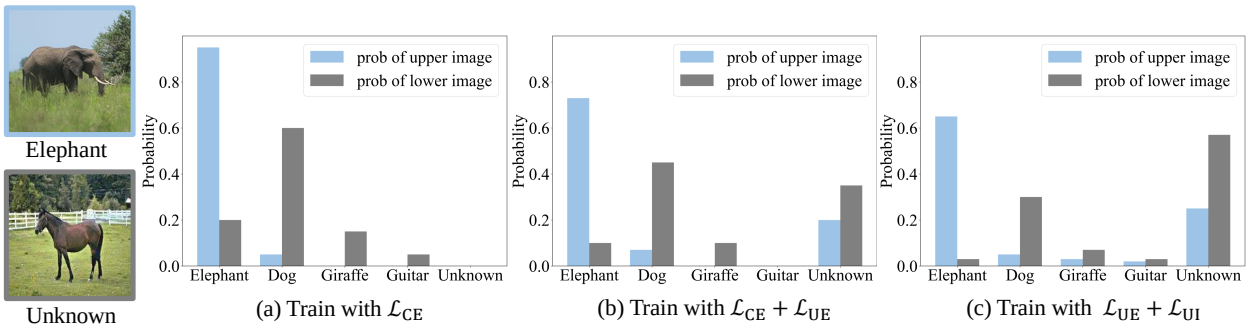


Figure 2: Output probability distributions for input images processed by models trained with different losses. The blue bars represent the classification probabilities for the upper image, an image from a known class "elephant". The grey bars indicate the probabilities of the lower image, belonging to a category not included in the training data, and thus should be classified as the "unknown" class.

The unknown class features $\mathcal{Z}_u^s$ are then used to activate the classification logit for the unknown class dimension $(|\mathcal{C}_s|+1)$-th as follows:

$$\mathcal{L}_{\text{UE}}(x_s, y_s) = -\frac{1}{|\mathcal{Z}_u^s|} \sum_{\mathbf{Z}_j^s \in \mathcal{Z}_u^s} \log \frac{\exp(g_{|\mathcal{C}_s|+1}(\mathbf{Z}_j^s))}{\sum_{c \in |\mathcal{C}_s|+1} \exp(g_c(\mathbf{Z}_j^s))}. \tag{2}$$

In other words, we assign a pseudo label $(|\mathcal{C}_s|+1)$ to these selected granular features, treating them as unknown class data to explicitly activate the logit for the unknown class dimension. As shown in Figure 2(b), when the model is trained with $\mathcal{L}_{\text{CE}}+\mathcal{L}_{\text{UE}}$, the probability for the unknown class is no longer zero. In contrast, when trained with $\mathcal{L}_{\text{CE}}$ (Figure 2(a)), the unknown class probability is always zero for arbitrary inputs.

Unknown Improvement. To further increase the probability of the unknown class *without impeding the known class classification performance*, we introduce an unknown improvement loss related to general image classification to enhance the model's response to the unknown class dimension. To differentiate from $\mathbf{z}^s$, we use $\mathbf{z}_{GAP}^s \in \mathbb{R}^C$ to represent the feature extracted by f with the last global average pooling layer. In formula, the unknown improvement loss is:

$$\mathcal{L}_{\text{UI}}(x_s, y_s) = \mathcal{L}_{\text{CE}}(x_s, y_s) - \log \frac{\exp(g_{|\mathcal{C}_s|+1}(\mathbf{z}_{GAP}^s))}{\sum_{c \in |\mathcal{C}_s|+1, c \neq y^s} \exp(g_c(\mathbf{z}_{GAP}^s))} + \lambda \|g(\mathbf{z}_{GAP}^s)\|. \tag{3}$$

In this loss, $\mathcal{L}_{\text{CE}} = -\log \frac{\exp(g_{y^s}(\mathbf{z}_{GAP}^s))}{\sum_{c \in |\mathcal{C}_s|+1} \exp(g_c(\mathbf{z}_{GAP}^s))}$ is the standard cross-entropy loss, which leads the training process and guarantees the known class performance. The second term is designed to enhance the model's classification logit for the unknown class dimension $(|\mathcal{C}_s|+1)$-th for any input x^s, irrespective of its ground-truth label. Note that in the denominator, we exclude the term of the ground truth label y^s, thereby preventing degradation of the classification performance for known classes. The last L^2 regularization term serves to increase the smoothness of the classifier's output.

Final Objective for Training. Hence, our final objective in the training stage is :

$$\mathcal{L}_{\text{UA}}(x_s, y_s) = \mathcal{L}_{\text{UE}}(x_s, y_s) + \mathcal{L}_{\text{UI}}(x_s, y_s). \tag{4}$$

As shown in Figure 2(c), when the model is trained with the full loss $\mathcal{L}_{\text{UE}} + \mathcal{L}_{\text{UI}}$, the real unknown class image is successfully identified (grey bars) since the classification logit of the unknown class dimension is activated by $\mathcal{L}_{\text{UE}}$ and further enhanced by $\mathcal{L}_{\text{UI}}$. Moreover, the known class sample is also classified correctly (blue bars) even though the probability for unknown class dimension is uplifted.

3.1.2 Source Condensation

Source domain data is often unavailable during adaptation due to safety and data privacy concerns. Most previous methods simply discard it during adaptation. However, it is the only supervisory information,

and ignoring it may lose information. This motivates us to utilize the source domain data while addressing privacy concerns. To achieve this, we condense the source domain data into a small dataset that removes sensitive style information while preserving class-wise content.

Building on recent studies (Wang et al., 2022b; Zhao & Bilen, 2023; Kang et al., 2023), we conduct dataset condensation by matching the feature distributions of the condensed data with that of the source domain data. Our *Source Condensation* has two designs. Firstly, we freeze the feature extractor f obtained in the previous source training stage and take it as the model backbone for synthesizing our condensed dataset $\mathcal{D}_{con} = \cup_{c\in\mathcal{C}_s}\{(\tilde{x}_i, c)\}_{i=1}^{N_{con}}$. Secondly, we obtain more generalizable condensed images by removing the style information of source domain images during the condensation process.

Specifically, for each known class $c \in \mathcal{C}_s$, we sample a batch of synthesized samples $\tilde{B}_c = \{(\tilde{x}_i, c)\}_{i=1}^{B}$ and real source domain samples $B_c^s = \{(x_i^s, c)\}_{i=1}^{B}$, and match their feature distributions after forwarding the fixed feature extractor f. Moreover, it is known that low-level features' statistics describe image styles, and instance normalization (IN) normalizes image styles (Ulyanov et al., 2017; Huang & Belongie, 2017; Nam & Kim, 2018). Therefore, to get a less domain-specific condensed dataset, we apply IN to the low-level features of the source domain data batch B_c^s. We denote $f = f_1 \circ f_2$, where f_1 and f_2 denote the upper and lower parts of f, respectively. The objective function for *Source Condensation* is formulated as follows:

$$\mathcal{L}_{\text{SC}}(\mathcal{D}_{con}, \mathcal{D}_s) = \sum_{c=1}^{|\mathcal{C}_s|} \| \frac{1}{|\tilde{B}_c|} \sum_{\tilde{x}\in\tilde{B}_c} f_1 \circ f_2(\tilde{x}) - \frac{1}{|B_c^s|} \sum_{x^s\in B_c^s} f_1 \circ \text{IN} \circ f_2(x^s) \|^2. \tag{5}$$

This process yields a small, condensed dataset $\mathcal{D}_{con}$ that retains the feature distribution information of source domain data while normalizing image styles. The condensed dataset serves as a guide for the subsequent model adaptation stage.

3.2 Open Model Adaptation

Although we tackle the open class problem in the *UASC* stage, deploying the source-trained model in open and new environments remains unsafe and unreliable. In particular, we identify two key challenges: (1) *semantic misalignment* arising from the differing distributions of source and target domains; and (2) *asymmetric transfer* caused by the mismatched label sets of source and target domains. To tackle these issues, we propose the *Open Model Adaptation (OMA)* stage, which includes two adjustment terms to facilitate reliable model adaptation in the open-set target domain.

3.2.1 Supervisory Guidance with Style Injection

In *Source Condensation*, we obtain a condensed dataset which normalizes image styles. However, the class-wise content information, which is transferrable across domains, is preserved. When combined with the style of target domain data, the condensed dataset can serve as synthetic target samples from known classes. This motivates us to inject the style information of target data into the condensed dataset to provide supervisory guidance for known class adaptation. Denote $\tilde{\mathbf{z}}_l = f_2(\tilde{x})$ and $\mathbf{z}_l = f_2(x^t)$ as the low-layer features of condensed data ($\tilde{x}$, $\tilde{y}$) and target data x^t respectively. We conduct style injection (SI) by injecting low-layer feature statistics of the target data into the condensed data:

$$\text{SI}(\tilde{\mathbf{z}}_l) = \mu(\mathbf{z}_l) + \sigma(\mathbf{z}_l) \cdot \frac{\tilde{\mathbf{z}}_l - \mu(\tilde{\mathbf{z}}_l)}{\sigma(\tilde{\mathbf{z}}_l)}, \tag{6}$$

where $\mu(\cdot)$ and $\sigma(\cdot)$ are the channel-wise mean and variance of the low-layer features, respectively. In formula, they are calculated in terms of a feature map $\mathbf{z} \in \mathbb{R}^{C'\times H'\times W'}$ as follows:

$$\begin{aligned} \mu(\mathbf{z}) &= \frac{1}{H'W'} \sum_{h=1}^{H'} \sum_{w=1}^{W'} \mathbf{z}_{:,h,w} \\ \sigma(\mathbf{z}) &= \sqrt{\frac{1}{H'W'} \sum_{h=1}^{H'} \sum_{w=1}^{W'} (\mathbf{z}_{:,h,w} - \mu(\mathbf{z}))^2} \end{aligned} \tag{7}$$

Then, we utilize the style-injected feature $\tilde{\mathbf{z}}_{\mathrm{SI}} = f_1(\mathrm{SI}(\tilde{\mathbf{z}}_l))$ of the condensed data to provide supervisory guidance for model adaptation:

$$\mathcal{L}_{\mathrm{SI}}(\tilde{x}, \tilde{y}) = -\log \frac{\exp(g_{\tilde{y}}(\tilde{\mathbf{z}}_{\mathrm{SI}}))}{\sum_{c \in |\mathcal{C}_s|+1} \exp(g_c(\tilde{\mathbf{z}}_{\mathrm{SI}}))} \tag{8}$$

where $\tilde{y}$ is the supervisory label of condensed data $\tilde{x}$. Intuitively, style-injected condensed data exhibit target domain style and known class content, making them suitable for providing supervisory guidance for known class adaptation. In other words, we treat the target-style injected condensed data as virtual known class data from the target domain, and we adapt the model to recognize them during the test phase.

3.2.2 Decoupled Domain Alignment

Asymmetric label sets of source and target domains cause mismatches for known and unknown classes. We propose to align the cross-domain knowledge for both known and unknown classes. The core idea is to adapt the model to be insensitive to domain variations when recognizing known and unknown classes.

In the *OMA* stage, we have access to the condensed dataset $\mathcal{D}_{con}$ and unlabeled target domain data $\mathcal{D}_t$. We decompose the feature maps (extracted by feature extractor f without the global average pooling layer) of condensed data $\tilde{\mathbf{z}} = f(\tilde{x}) \in \mathbb{R}^{C \times H \times W}$ and target data $\mathbf{z}^t = f(x^t) \in \mathbb{R}^{C \times H \times W}$ into granular features $\{\tilde{\mathbf{Z}}_i\}_{i=1}^{N=H \times W} \in \mathbb{R}^C$ and $\{\mathbf{Z}_j^t\}_{j=1}^{N=H \times W} \in \mathbb{R}^C$, respectively. For each granular feature $\mathbf{Z}$, we forward it to the classifier g to obtain its probabilities for being known and unknown classes as follows:

$$\begin{aligned} w_k(\mathbf{Z}) &= \frac{\sum_{c \in |\mathcal{C}_s|} \exp(g_c(\mathbf{Z}))}{\sum_{c' \in |\mathcal{C}_s|+1} \exp(g_{c'}(\mathbf{Z}))}, \\ w_u(\mathbf{Z}) &= \frac{\exp(g_{|\mathcal{C}_s|+1}(\mathbf{Z}))}{\sum_{c' \in |\mathcal{C}_s|+1} \exp(g_{c'}(\mathbf{Z}))}. \end{aligned} \tag{9}$$

Then, we introduce two lightweight binary domain classifiers g_k and g_u, which are designed to discern whether the granular features (classified as known and unknown classes) are from the condensed data or target data respectively. We achieve cross-domain knowledge alignment by raising the model's insensitivity of domain discrepancies. More specifically, we denote $\mathrm{D} = \{0, 1\}$ as the domain label, referring that granular feature $\mathbf{Z}$ is from the condensed data (label 0) or target data (label 1). Let $\mathrm{p}_{0,k}(\mathbf{Z})$ denote the probability that the known-class domain classifier g_k classifies the granular feature $\mathbf{Z}$ as belonging to the condensed dataset (domain label 0), and $\mathrm{p}_{1,k}(\mathbf{Z})$ denote the probability that $\mathbf{Z}$ belongs to the target domain (domain label 1). Similarly, $\mathrm{p}_{0,u}(\mathbf{Z})$ and $\mathrm{p}_{1,u}(\mathbf{Z})$ are the corresponding probabilities obtained after forwarding the unknown-class domain classifier g_u. The domain alignment loss is a weighted binary cross-entropy loss:

$$\begin{aligned} \mathcal{L}_{\mathrm{DA}}(\tilde{x}, x_t) = -\frac{1}{HW} \sum_{\mathbf{Z} \in \{\tilde{\mathbf{Z}}_i\} \cup \{\mathbf{Z}_j^t\}} & \{w_k(\mathbf{Z})[\mathrm{D} \log(p_{o,k}(\mathbf{Z})) + (1 - \mathrm{D}) \log(p_{1,k}(\mathbf{Z}))] + \\ & w_u(\mathbf{Z})[\mathrm{D} \log(p_{o,u}(\mathbf{Z})) + (1 - \mathrm{D}) \log(p_{1,u}(\mathbf{Z}))]\}. \end{aligned} \tag{10}$$

For granular features from the condensed data $\mathbf{Z} \in \{\tilde{\mathbf{Z}}_i\}_{i=1}^{N=H \times W}$ (domain label $D = 0$), $\mathcal{L}_{\mathrm{DA}}$ raises the probabilities (($p_{1,k}(\mathbf{Z})$ and $p_{1,u}(\mathbf{Z})$) for being classified as from the target data. Similarly, for granular features from the target data $\mathbf{Z} \in \{\mathbf{Z}_j^t\}_{j=1}^{N=H \times W}$ (domain label $D = 1$), $\mathcal{L}_{\mathrm{DA}}$ increases their probabilities (($p_{0,k}(\mathbf{Z})$ and $p_{0,u}(\mathbf{Z})$) for being classified as from the condensed data. In this way, we raise the model's insensitivity to the domain variances, enforcing the model to align cross-domain knowledge for both known and unknown classes.

Final Objective for Adaptation. Hence, the final adaptation loss for our *OMA* stage is:

$$\mathcal{L}_{\mathrm{MA}}(\tilde{x}, \tilde{y}, x_t) = \mathcal{L}_{\mathrm{DA}}(\tilde{x}, x_t) + \alpha \mathcal{L}_{\mathrm{SI}}(\tilde{x}, \tilde{y}), \tag{11}$$

where α is a balancing hyper-parameter. Intuitively, $\mathcal{L}_{\mathrm{SI}}$ enhances the performance for known class classification performance, while $\mathcal{L}_{\mathrm{DA}}$ facilitates the model to identify unknown class data in the open-set target domain. These two terms work collaboratively to update the feature extractor f, main classifier g, along with two lightweight binary domain classifiers g_k and g_u during the *OMA* stage.

4 Experiments

4.1 Experimental Setup

Benchmarks. We conduct extensive experiments on three standard DG benchmarks to validate the effectiveness of our proposed ADA: (1) Office-Home (Venkateswara et al., 2017) contains images from 65 classes across four domains (Artistic, Clipart, Product, and Real World). The first 15 alphabetically ordered classes are designated as known classes $\mathcal{C}_s$ and the subsequent 50 classes are treated as the unknown class $\mathcal{C}_t^u$. (2) Office-31 (Saenko et al., 2010) comprises 31 classes of images sourced from three domains (Amazon, DSLR, and Webcam). The ten classes shared by Office-31 and Caltech-256 (Gong et al., 2012) are adopted as $\mathcal{C}_s$ and the alphabetically last 11 classes are $\mathcal{C}_t^u$. (3) Pacs (Li et al., 2017) consists of images from four domains (Photo, Art Painting, Cartoon, and Sketch) with distinct styles. It has seven classes in total. Four classes (dog, elephant, giraffe, and guitar) constitute $\mathcal{C}_s$, and other classes are $\mathcal{C}_t^u$.

Evaluation Protocols. Following prior works (Bucci et al., 2020; Chen et al., 2023a), we adopt the h-score (hs) as the key evaluation criterion, which emphasizes importance for both known class accuracy acc_k and unknown class accuracy acc_u. More specifically, hs is calculated as $2 \times \frac{acc_k \times acc_u}{acc_k + acc_u}$, and a high hs requires that both acc_k and acc_u to be high and balanced.

Implementation Details. For all experiments, we use the ImageNet pre-trained ResNet-50 (He et al., 2016) as the feature extractor and two fully connected layers as the classification head, which is consistent with previous works (Yang et al., 2022a; Liang et al., 2020) for a fair comparison. The binary domain classification head in the *OMA* stage consists of two Linear-BN-LeakyReLU blocks and a linear layer. During training, we use SGD with a momentum of 0.9 as the optimizer, and the batch size is set as 64. The learning rate is set as 1e-3 for the backbone and 1e-2 for the classifier, and the training epoch is set to 30 for all datasets. In the *OMA* stage, the fine-tune learning rate is reduced to one-tenth of the learning rate adopted in the training stage. More details are provided in Appendix A.

4.2 Baselines

We conduct experiments in both online and offline settings. For the online setting, we mainly compare our method ADA with existing TTA methods, including Tent (Wang et al., 2020), OSTTA (Lee et al., 2023), UniEnt (Gao et al., 2024), and ART (Chen et al., 2023b). Note that except for Tent, other methods are specifically developed for the open-set setting. For the offline setting, we take SFDA and OSDG methods as our baselines, including SHOT (Liang et al., 2020), AaD (Yang et al., 2022a) and OneRing (Yang et al., 2022b). Some methods such as Tent are incapable of directly handling the open-set scenario, and we adapt these methods for the open-set scenario by calculating their predicted probabilities' entropy and then predefining an entropy threshold (Zhu & Li, 2022) for them. Specifically, we set the threshold as $0.5 * \log |\mathcal{C}_s|$, and a data is classified as the unknown class when the entropy of the probability distribution is higher than the predefined threshold. Details are provided in Appendix A.

4.3 Main Results

We compare our method with baselines in both offline and online settings. The detailed results are reported in Table 2 (Office-Home and Pacs) and Table 3 (Office-31). We elaborate on our findings as follows.

Offline Setting. In the offline setting, the model makes predictions after being fine-tuned on the entire unlabeled target dataset. The results indicate that ADA exhibits a significant performance advantage over baseline methods across all three benchmarks. For instance, ADA outperforms the best baseline method in hs by 4.9% for Office-Home, 7.3% for Pacs, and 4.6% for Office-31. More specifically, we point out two key findings: (1) ADA consistently delivers high hs across individual tasks by effectively balancing both acc_k and acc_u. In contrast, other methods such as SHOT often yield imbalanced results on some adaptation tasks, thus leading to inferior hs. This is likely due to their reliance on the additional step of predefining a threshold for distinguishing the unknown class. The optimal threshold can vary significantly across individual tasks, making it difficult to set a consistently optimal value. ADA introduces the additional unknown class dimension ($|\mathcal{C}_s| + 1$)-th to the classifier, thereby avoiding this issue. (2) The performance of baseline methods varies

Table 2: Results of all experiments for OFFICE-HOME and PACS. We highlight the **best** and second results.

OFFICE-HOME

Setting	Methods	A2C			A2P			A2R			C2A			C2P			C2R		
		acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs
Online	Tent	61.7	50.3	55.4	77.5	48.1	59.4	88.5	45.3	59.9	67.9	52.8	59.4	75.7	42.2	54.2	82.5	43.4	56.8
	OSTTA	52.7	65.0	58.2	63.5	63.4	63.5	72.3	55.5	62.8	55.2	67.4	60.7	63.2	69.9	66.4	72.2	71.9	72.0
	UniEnt	63.1	48.6	54.9	78.6	52.5	62.9	89.0	45.2	59.9	68.4	51.1	58.5	76.5	40.8	53.2	78.9	45.3	57.6
	ART	57.0	54.8	55.9	78.8	52.1	62.8	87.5	61.6	72.3	63.4	65.6	64.5	76.4	50.4	60.8	81.1	63.0	70.9
	ADA	52.2	80.7	63.4	71.4	74.3	72.8	84.4	73.9	78.8	42.9	87.2	57.6	58.4	76.7	66.3	65.4	79.6	71.8
Offline	ERM	35.5	76.1	48.4	48.5	62.3	54.5	61.7	51.2	56.0	42.1	64.7	51.0	52.0	47.1	49.4	61.8	52.1	56.5
	SHOT	71.7	31.6	43.9	88.9	26.6	41.0	91.8	34.6	50.3	74.2	50.7	60.3	82.2	27.2	40.8	86.5	34.8	49.6
	AaD	51.2	61.3	55.8	66.8	56.7	61.3	82.6	63.8	72.0	60.0	77.1	67.5	67.8	60.7	64.0	76.4	65.9	70.8
	OneRing	50.7	76.4	61.0	75.3	64.8	69.7	86.9	64.8	74.2	55.0	77.0	64.2	64.8	67.7	66.2	72.3	60.8	66.1
	ADA	55.8	80.1	65.8	72.1	75.3	73.3	84.0	74.8	79.1	45.9	83.1	59.1	62.0	73.2	67.1	70.6	75.5	73.0

Methods	P2A			P2C			P2R			R2A			R2C			R2P			Average		
	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs
Tent	62.9	60.6	61.7	58.8	53.6	56.1	85.7	47.6	61.2	75.1	52.7	62.0	63.1	51.9	56.9	85.8	46.6	60.4	73.8	49.6	58.6
OSTTA	47.2	81.8	59.9	47.4	75.6	58.3	75.7	61.2	67.7	64.1	72.9	68.2	53.9	74.6	62.5	80.1	70.8	75.2	62.3	69.2	64.6
UniEnt	63.7	58.7	61.1	60.0	50.0	54.6	84.6	56.4	67.6	77.4	49.4	60.3	64.3	49.1	55.6	84.0	57.7	68.4	**74.1**	50.4	59.6
ART	63.5	48.4	54.9	55.5	54.3	54.9	87.5	52.2	65.4	59.2	52.8	55.8	87.7	54.2	67.0	74.6	57.0	64.6	63.2	57.2	62.5
ADA	42.9	83.5	56.7	43.1	79.9	56.0	76.5	77.8	77.1	59.5	79.0	67.9	49.0	78.5	60.3	79.5	75.2	77.3	60.4	**78.9**	**67.2**
ERM	39.3	68.6	50.0	32.2	44.3	37.3	62.1	65.0	63.5	45.1	44.9	45.0	44.6	36.2	40.0	76.2	37.0	49.8	50.0	54.1	50.1
SHOT	72.1	54.9	62.4	64.7	30.8	41.7	89.6	39.0	54.3	77.1	52.4	62.4	64.5	37.1	47.1	86.9	34.6	49.4	**79.2**	37.9	50.3
AaD	54.9	80.5	65.3	50.4	63.9	56.4	77.6	68.4	72.7	61.8	74.3	67.5	54.9	59.7	57.2	76.6	59.1	66.7	65.1	65.9	64.8
OneRing	54.0	75.2	62.8	43.9	61.2	51.1	69.5	68.9	69.2	70.8	65.8	68.2	49.0	70.8	57.9	85.0	61.7	71.5	64.8	67.9	65.2
ADA	44.6	79.5	57.1	49.5	75.4	59.7	76.5	77.7	77.1	63.1	77.3	69.5	53.1	73.7	61.7	79.5	75.2	77.3	63.1	**76.7**	**68.4**

PACS

Setting	Methods	A2C			A2P			A2S			C2A			C2P			C2S		
		acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs
Online	Tent	53.1	43.6	47.9	40.0	43.6	41.7	64.7	40.6	49.9	74.3	30.1	42.8	75.7	28.6	41.6	69.5	32.8	44.5
	OSTTA	54.2	55.5	54.8	44.2	43.6	43.9	43.1	52.4	47.3	62.2	46.1	52.9	72.6	39.0	50.7	60.0	55.5	57.7
	UniEnt	55.5	41.5	47.5	42.2	47.2	44.6	67.1	43.0	52.4	64.8	30.5	41.5	89.6	28.1	42.8	70.1	32.9	44.7
	ART	52.3	70.2	59.9	27.4	39.3	32.3	50.7	51.4	51.1	57.3	63.8	60.4	87.0	67.6	76.1	60.6	73.9	66.6
	ADA	64.1	60.0	62.0	29.9	53.0	38.3	28.9	73.3	41.5	95.7	69.5	80.5	59.2	50.6	54.6	55.0	51.6	53.3
Offline	ERM	38.4	80.0	51.9	95.3	90.0	92.6	42.3	54.0	47.5	36.6	75.9	49.4	64.5	86.3	73.8	33.0	92.9	48.7
	SHOT	82.7	32.7	46.9	99.0	32.6	49.1	76.4	32.8	45.9	80.8	34.2	48.1	96.7	45.8	62.1	61.6	31.3	41.5
	AaD	74.9	44.4	55.8	78.3	52.8	63.1	54.5	30.5	39.1	40.8	42.2	41.5	56.0	35.2	43.3	31.4	26.4	28.7
	OneRing	65.4	38.0	48.1	98.7	55.4	71.0	53.4	38.7	44.9	54.2	47.6	50.7	73.2	41.8	53.2	60.3	55.6	57.8
	ADA	58.8	55.3	57.0	40.6	75.3	52.8	19.2	82.7	31.2	95.4	88.0	91.6	64.0	61.9	62.9	62.4	57.6	59.9

Methods	P2A			P2C			P2S			S2A			S2C			S2P			Average		
	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs
Tent	77.1	58.1	66.3	50.3	66.3	57.2	42.0	64.5	50.9	67.8	49.5	57.2	69.9	38.6	49.8	55.0	55.0	55.0	61.6	45.9	50.4
OSTTA	68.3	69.5	68.9	47.0	34.4	39.7	33.7	72.8	46.1	68.3	71.5	69.9	53.1	65.3	58.6	65.0	33.9	44.5	56.0	53.3	52.9
UniEnt	77.7	57.8	66.3	57.1	64.5	60.6	44.6	61.2	51.6	78.3	49.4	60.6	72.4	38.8	50.6	91.4	55.4	69.0	**67.6**	45.9	52.7
ART	70.0	79.2	74.3	23.5	61.1	33.9	29.9	57.5	39.3	29.8	46.3	36.3	18.6	42.1	25.8	89.0	75.7	81.8	49.7	60.7	53.2
ADA	71.3	72.7	72.0	51.1	54.7	52.9	51.2	68.7	58.7	25.7	86.9	39.7	17.4	89.4	29.1	59.6	62.1	60.8	50.8	**66.0**	**53.6**
ERM	43.2	95.2	59.5	12.5	82.4	21.7	14.7	99.5	25.6	16.7	44.3	24.2	21.2	41.0	28.0	24.8	29.6	27.0	36.9	**72.6**	45.8
SHOT	80.1	37.5	51.1	74.7	31.6	44.4	73.5	20.3	31.8	47.8	32.9	39.0	71.9	39.3	50.8	95.2	41.0	57.3	**78.4**	34.3	47.3
AaD	60.0	48.1	53.4	63.0	47.7	54.3	66.6	54.9	60.2	73.1	70.6	71.8	71.0	58.9	64.4	85.5	70.2	77.1	62.9	48.5	54.4
OneRing	71.5	64.1	67.6	32.1	57.9	41.3	30.5	59.1	40.2	39.1	86.3	53.8	54.0	62.9	58.1	56.0	90.3	69.1	57.4	58.2	54.7
ADA	68.4	82.4	74.8	49.7	67.6	57.3	48.9	75.8	59.4	37.3	76.7	50.2	32.5	83.0	46.7	69.6	54.2	60.9	53.9	71.7	**58.7**

across different benchmarks. For instance, SHOT only brings marginal improvement compared to ERM on OFFICE-HOME and PACS. In contrast, ADA consistently delivers enhanced results on all three benchmarks, highlighting the significance of our designed two stages.

Table 3: Results of all experiments for OFFICE-31. We highlight the **best** and second results.

OFFICE-31																					
Methods	A2D			A2W			D2A			D2W			W2A			W2D			**Average**		
	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs	acc_k	acc_u	hs
Tent	82.6	54.6	65.8	86.9	57.7	69.3	61.4	89.0	72.6	88.3	81.7	84.9	79.4	75.7	77.5	95.0	77.7	85.5	82.2	72.7	75.9
OSTTA	81.2	83.0	82.1	75.1	80.2	77.5	34.8	98.4	51.4	83.8	96.2	89.6	63.2	92.5	75.1	97.2	93.6	95.4	72.6	**90.6**	78.5
UniEnt	90.3	60.6	72.5	86.9	57.3	69.1	64.3	87.0	73.9	98.3	81.7	89.2	80.6	74.9	77.7	98.2	77.1	86.4	**86.4**	73.1	78.1
ART	91.0	66.5	76.8	86.2	63.7	73.2	56.3	90.7	69.4	68.0	86.1	76.0	76.1	81.9	78.9	95.8	79.3	86.8	78.9	78.0	76.9
ADA (Online)	88.2	79.5	83.6	76.3	73.2	74.7	62.7	88.6	73.4	94.1	82.7	88.0	72.8	85.4	78.6	99.0	85.9	92.0	82.2	82.5	**81.7**
ERM	79.9	71.9	75.7	78.1	82.0	80.0	13.0	90.2	22.7	18.2	95.0	30.5	30.8	98.1	46.9	88.2	93.6	90.8	51.3	**88.5**	57.8
SHOT	90.5	38.7	54.2	91.4	51.2	65.6	83.7	33.3	47.7	96.3	78.6	86.6	77.0	44.6	56.5	93.0	82.8	87.6	**88.7**	54.8	66.3
AaD	75.0	75.3	75.2	78.5	74.6	76.5	72.6	67.9	70.2	90.2	86.4	88.3	70.8	72.4	71.6	94.3	91.3	92.8	80.2	78.0	79.1
OneRing	81.5	70.9	75.8	76.5	56.8	65.2	69.4	88.8	77.9	85.0	70.3	76.9	73.7	85.8	79.3	89.2	86.6	87.9	79.2	76.5	77.2
ADA (Offline)	88.2	80.3	84.0	75.4	73.6	74.5	75.5	82.0	78.7	95.6	80.8	87.6	74.5	83.4	78.7	97.9	87.8	92.6	84.5	81.3	**82.7**

Online Setting. In the online setting, the target data continuously arrives in a batch, and the model adapts on it and makes prediction for it presently. In other words, the model sees each target data only once. We compare **ADA** with TTA baselines, and it shows that **ADA** surpasses baselines on three benchmarks consistently. Compared to previous best methods, **ADA** improves the hs by 4.0% for OFFICE-HOME, 0.8% for PACS, and 4.1% for OFFICE-31. Furthermore, we observe a slight decrease in **ADA** in the online setting compared to the performance in the offline setting. This can be attributed to the "one-pass" nature of the online adaptation setting. Nevertheless, compared to existing open-set TTA methods such as OSTTA, UniEnt, and ART, **ADA** demonstrates improvements across all benchmarks. These results suggest that **ADA** is effective for both online and offline settings.

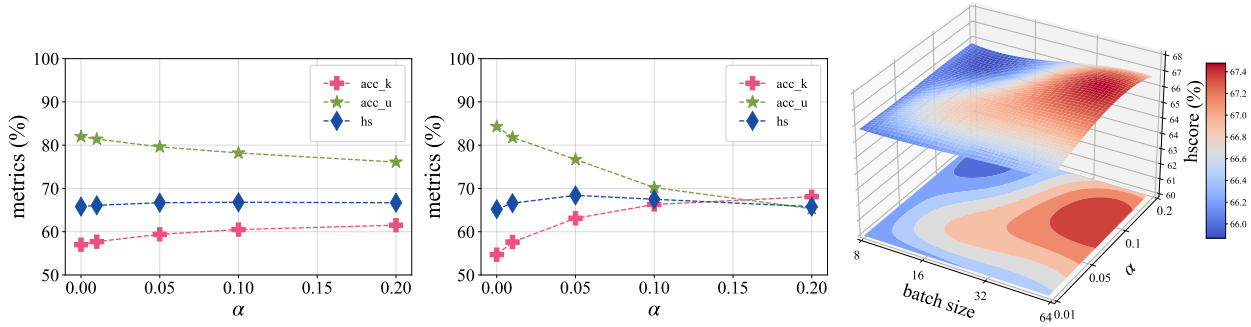
4.4 Ablation and More Studies

Ablation on Two Stages. Table 4 shows the ablation results of the proposed two stages *UASC* and *OMA*. It can be observed that the combination of the two stages outperforms all other variants. Moreover, we find that even with the *UASC* training stage alone, our method achieves competitive results. This suggests that *UASC* is effective in enabling the model to identify unknown class data. To further examine the efficacy of the *OMA* stage, we integrate *UASC* with existing SFDA and TTA methods that address the domain shift problem, including SHOT (Liang et al., 2020), Tent (Wang et al., 2020), TTT (Sun et al., 2020), and UniEnt (Gao et al., 2024). As shown in the table, *UASC* exhibits worse performance when combined with SHOT, TTT, and Tent, and a marginal improvement is observed when combined with UniEnt. These findings substantiate that collaboration of the *UASC* and *OMA* stages maximizes the effectiveness of our proposed **ADA** framework.

Table 4: Ablation results (hs, %) on three benchmarks.

Methods	OFFICE-HOME	OFFICE-31	PACS	**Average**
$\mathcal{L}_{\text{UE}}$	65.1	72.3	48.6	62.0
$\mathcal{L}_{\text{UI}}$	63.8	64.5	48.0	58.8
$\mathcal{L}_{\text{UE}} + \mathcal{L}_{\text{UI}}$ (*UASC*)	66.0	80.1	51.8	66.0
UASC+$\mathcal{L}_{\text{DA}}$	65.5	80.3	53.6	66.5
UASC+$\mathcal{L}_{\text{SI}}$	66.1	81.8	53.1	67.0
UASC+SHOT	61.4	74.5	46.4	60.8
UASC+Tent	63.1	77.8	53.6	64.8
UASC+TTT	62.8	80.4	47.9	63.7
UASC+UniEnt	66.2	80.3	53.4	66.6
UASC+$\mathcal{L}_{\text{DA}}$+$\mathcal{L}_{\text{SI}}$ (*UASC*+*OMA*)	68.4	82.7	58.7	**69.9**

Analysis on Unknown Activation. In the *UASC* stage, we design two losses $\mathcal{L}_{\text{UE}}$ and $\mathcal{L}_{\text{UI}}$ to activate and enhance the model's response for the unknown class dimension. The results of their individual effects



(a) α in online setting. (b) α in offline setting. (c) Batch size sensitivity.

Figure 3: (a)-(b) Sensitivity of α for online and offline settings respectively. (c) Sensitivity of test batch size for online setting. All results are on Office-Home.

are shown in Table 4. We can find that when these two losses are combined, the model exhibits better performance than their individuals. We also present an illustration in Figure 2, showing the probability distributions when inputs pass models trained with different losses. It shows that when the model is trained with the full loss $\mathcal{L}_{\text{UE}}+\mathcal{L}_{\text{UI}}$, it effectively distinguishes unknown class data while maintaining its performance for classifying known class data.

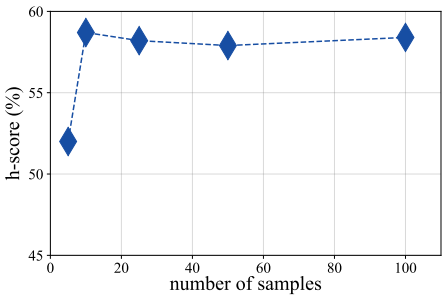
Analysis on Open Model Adaptation. The ablation results of two losses $\mathcal{L}_{\text{DA}}$ and $\mathcal{L}_{\text{SI}}$ proposed in *OMA* are provided in Table 4, and it shows that each loss contributes marginally, while the joint of them achieves better results. Moreover, we study the sensitivity of the hyper-parameter α in Equation 11, which balances two losses. As shown in Figure 3(a)(b), we can observe that as α increases, acc_k increases while acc_u decreases in both online and offline settings. This aligns with our intuition that $\mathcal{L}_{\text{SI}}$ enhances known class performance and $\mathcal{L}_{\text{DA}}$ strengthens unknown class identification. When α is around 0.05 to 0.1, a balance between acc_k and acc_u is achieved, resulting in the highest hs. Furthermore, our analysis reveals that the results are more stable to variations in α in the online setting compared to the offline setting. This can be explained by the fact that, in online adaptation, the model updates and forecasts incrementally as it continuously receives data from the target domain. As a result, the model's adjustments are more gradual and controlled in the online setting than in the offline scenario.

We also investigate the influence of varying test batch sizes in the online adaptation context. The result is shown in Figure 3(c). It can be observed that hs is not significantly affected by the variation of batch size and α. This insensitivity underscores the consistent performance of `ADA` across different conditions, highlighting its robustness in a variety of scenarios.

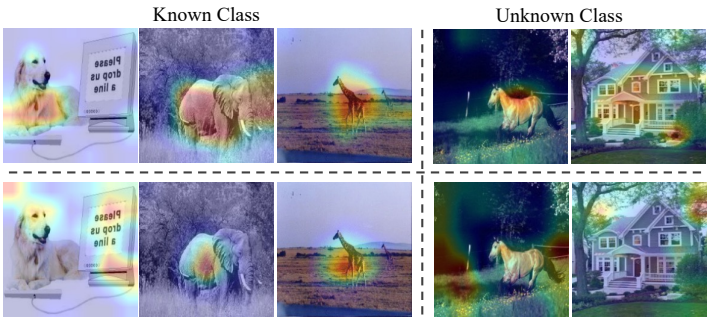
Analysis on Source Condensation. We empirically study the impact of the condensed dataset. Our analysis focuses on two aspects. First, we assess the benefits of employing a condensed dataset over the raw training data. We compare our employed dataset condensation with two alternative sampling strategies: randomly sampling a subset from the source training data, and selecting samples that are closest to the class prototype for each class. As shown in Table 5, the strategy of employing a condensed dataset outperforms the other two variants, indicating that the condensed dataset offers more comprehensive information than a selected subset of the source data. Notably, the performance of all three strategies exceeds that of the scenario where the *OMA* stage is ablated (51.8% as shown in Table 4), underscoring the importance of the *OMA* stage. Moreover, using the original source data carries a risk of data privacy leakage, whereas source condensation avoids this issue.

Table 5: Impacts of condensed dataset and different sampling strategies. hs for Pacs are reported.

Strategies	Random Selection	Class Prototype	Condensed Dataset
hs	56.9	56.7	58.7



(a) Varying number of condensed samples.



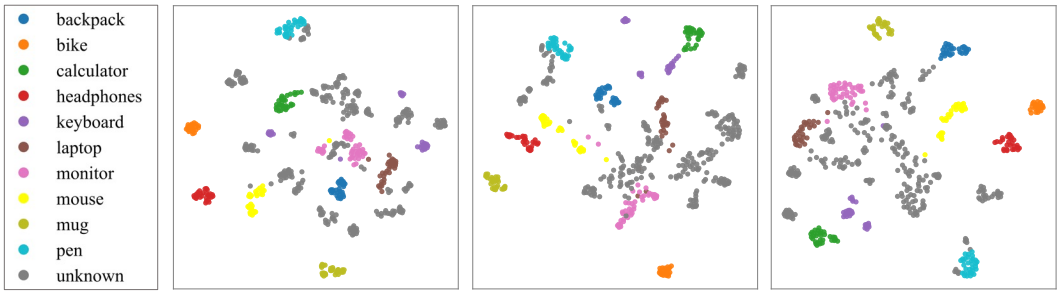
(b) GradCAM visualization.

Figure 4: (a) Impact of varying number of condensed images per class of PACS. (b) GradCAM visualization of ADA (top) and ERM (bottom) on PACS.

Second, we investigate the impact of the number of condensed data. As shown in Figure 4(a), ADA remains effective when the number of condensed data per class is at least 10. This indicates a small condensed dataset can preserve enough source domain information, reducing the computation burden of the *OMA* stage.

Feature Visualization. We present the GradCAM (Selvaraju et al., 2017) visualization of ADA and ERM in Figure 4(b). Notably, ADA demonstrates a tendency to concentrate on more reliably grounded regions for identifying both known and unknown classes. The activation maps generated by ADA are more comprehensive and precise, underscoring the effectiveness of the ADA in understanding objects within images.

Figure 5 presents the UMAP (McInnes et al., 2018) visualization of feature embeddings extracted by models trained with different methods: ERM, *UASC* (the first stage of ADA), and the complete ADA. It reveals that ERM is deficient in discerning known and unseen classes, resulting in overlapping of their boundaries. When only the *UASC* is applied, the boundary becomes less distinct, while the full ADA presents a more distinct separation for different classes.



(a) ERM (b) UASC (c) ADA

Figure 5: UMAP feature visualization of different methods. Distinct colors refer to different categories while grey dots represent the unknown class data in the target domain.

5 Conclusion

In this paper, we propose ADA to tackle the OSMA problem, where both domain shift and open class challenges arise in the target domain. In the training stage, we uncover unknown class information hidden within the rich semantics of source domain known class images to enable the model to identify unknown class data. We additionally condense a small dataset to retain source domain data information, facilitating the subsequent adaptation process. During the test phase, we leverage the condensed data and target data to adapt the source-trained model to accommodate the open-set target domain. Empirically, ADA achieves superior performance on standard benchmarks in both online and offline settings.

References

Shirsha Bose, Ankit Jha, Hitesh Kandala, and Biplab Banerjee. Beyond boundaries: A novel data-augmentation discourse for open domain generalization. *Transactions on Machine Learning Research*, 2023. ISSN 2835-8856.

Silvia Bucci, Mohammad Reza Loghmani, and Tatiana Tommasi. On the effectiveness of image rotation for open set domain adaptation. In *ECCV*, pp. 422–438, 2020.

Goirik Chakrabarty, Manogna Sreenivas, and Soma Biswas. SANTA: Source anchoring network and target alignment for continual test time adaptation. *Transactions on Machine Learning Research*, 2023. ISSN 2835-8856.

Chaoqi Chen, Luyao Tang, Yue Huang, Xiaoguang Han, and Yizhou Yu. Coda: generalizing to open and unseen domains with compaction and disambiguation. *NeurIPS*, 36, 2023a.

Chaoqi Chen, Luyao Tang, Leitian Tao, Hong-Yu Zhou, Yue Huang, Xiaoguang Han, and Yizhou Yu. Activate and reject: towards safe domain generalization under category shift. In *ICCV*, 2023b.

Dian Chen, Dequan Wang, Trevor Darrell, and Sayna Ebrahimi. Contrastive test-time adaptation. In *CVPR*, pp. 295–305, 2022.

Jin Chen, Zhi Gao, Xinxiao Wu, and Jiebo Luo. Meta-causal learning for single domain generalization. In *CVPR*, pp. 7683–7692, 2023c.

Liang Chen, Yong Zhang, Yibing Song, Anton Van Den Hengel, and Lingqiao Liu. Domain generalization via rationale invariance. In *ICCV*, pp. 1751–1760, 2023d.

Abhimanyu Dubey, Vignesh Ramanathan, Alex Pentland, and Dhruv Mahajan. Adaptive methods for real-world domain generalization. In *CVPR*, pp. 14340–14349, 2021.

Yulu Gan, Yan Bai, Yihang Lou, Xianzheng Ma, Renrui Zhang, Nian Shi, and Lin Luo. Decorate the newcomers: Visual domain prompt for continual test time adaptation. In *AAAI*, 2023.

Zhengqing Gao, Xu-Yao Zhang, and Cheng-Lin Liu. Unified entropy optimization for open-set test-time adaptation. In *CVPR*, pp. 23975–23984, 2024.

Boqing Gong, Yuan Shi, Fei Sha, and Kristen Grauman. Geodesic flow kernel for unsupervised domain adaptation. In *CVPR*, pp. 2066–2073. IEEE, 2012.

Kaiming He, Xiangyu Zhang, Shaoqing Ren, and Jian Sun. Deep residual learning for image recognition. In *CVPR*, pp. 770–778, 2016.

Jiaxing Huang, Dayan Guan, Aoran Xiao, and Shijian Lu. Fsdr: Frequency space domain randomization for domain generalization. In *CVPR*, pp. 6891–6902, 2021.

Xun Huang and Serge Belongie. Arbitrary style transfer in real-time with adaptive instance normalization. In *ICCV*, pp. 1501–1510, 2017.

Klara Janouskova, Tamir Shor, Chaim Baskin, and Jiri Matas. Single image test-time adaptation for segmentation. *Transactions on Machine Learning Research*, 2024. ISSN 2835-8856.

Juwon Kang, Nayeong Kim, Donghyeon Kwon, Jungseul Ok, and Suha Kwak. Leveraging proxy of training data for test-time adaptation. *ICML*, 2023.

Jungsoo Lee, Debasmit Das, Jaegul Choo, and Sungha Choi. Towards open-set test-time adaptation utilizing the wisdom of crowds in entropy minimization. In *ICCV*, pp. 16380–16389, 2023.

Da Li, Yongxin Yang, Yi-Zhe Song, and Timothy M Hospedales. Deeper, broader and artier domain generalization. In *ICCV*, pp. 5542–5550, 2017.

Wuyang Li, Jie Liu, Bo Han, and Yixuan Yuan. Adjustment and alignment for unbiased open set domain adaptation. In *CVPR*, pp. 24110–24119, 2023.

Jian Liang, Dapeng Hu, and Jiashi Feng. Do we really need to access the source data? source hypothesis transfer for unsupervised domain adaptation. In *ICML*, pp. 6028–6039. PMLR, 2020.

Jie Liu, Xiaoqing Guo, and Yixuan Yuan. Unknown-oriented learning for open set domain adaptation. In *ECCV*, pp. 334–350. Springer, 2022.

Wang Lu, Jindong Wang, Haoliang Li, Yiqiang Chen, and Xing Xie. Domain-invariant feature exploration for domain generalization. *Transactions on Machine Learning Research*, 2022. ISSN 2835-8856.

Fangrui Lv, Jian Liang, Shuang Li, Bin Zang, Chi Harold Liu, Ziteng Wang, and Di Liu. Causality inspired representation learning for domain generalization. In *CVPR*, pp. 8046–8056, 2022.

Leland McInnes, John Healy, and James Melville. Umap: Uniform manifold approximation and projection for dimension reduction. *arXiv preprint arXiv:1802.03426*, 2018.

Hyeonseob Nam and Hyo-Eun Kim. Batch-instance normalization for adaptively style-invariant neural networks. *NeurIPS*, 31, 2018.

Kate Saenko, Brian Kulis, Mario Fritz, and Trevor Darrell. Adapting visual category models to new domains. In *ECCV*, pp. 213–226. Springer, 2010.

Ramprasaath R Selvaraju, Michael Cogswell, Abhishek Das, Ramakrishna Vedantam, Devi Parikh, and Dhruv Batra. Grad-cam: Visual explanations from deep networks via gradient-based localization. In *ICCV*, pp. 618–626, 2017.

Yang Shu, Zhangjie Cao, Chenyu Wang, Jianmin Wang, and Mingsheng Long. Open domain generalization with domain-augmented meta-learning. In *CVPR*, pp. 9624–9633, 2021.

Yongyi Su, Xun Xu, and Kui Jia. Towards real-world test-time adaptation: Tri-net self-training with balanced normalization. In *AAAI*, 2024.

Zixian Su, Kai Yao, Xi Yang, Kaizhu Huang, Qiufeng Wang, and Jie Sun. Rethinking data augmentation for single-source domain generalization in medical image segmentation. In *AAAI*, 2023.

Yu Sun, Xiaolong Wang, Zhuang Liu, John Miller, Alexei Efros, and Moritz Hardt. Test-time training with self-supervision for generalization under distribution shifts. In *ICML*, pp. 9229–9248. PMLR, 2020.

Dmitry Ulyanov, Andrea Vedaldi, and Victor Lempitsky. Improved texture networks: Maximizing quality and diversity in feed-forward stylization and texture synthesis. In *CVPR*, pp. 6924–6932, 2017.

Vladimir N Vapnik. An overview of statistical learning theory. *IEEE transactions on neural networks*, 10 (5):988–999, 1999.

Hemanth Venkateswara, Jose Eusebio, Shayok Chakraborty, and Sethuraman Panchanathan. Deep hashing network for unsupervised domain adaptation. In *CVPR*, pp. 5018–5027, 2017.

Vikas Verma, Alex Lamb, Christopher Beckham, Amir Najafi, Ioannis Mitliagkas, David Lopez-Paz, and Yoshua Bengio. Manifold mixup: Better representations by interpolating hidden states. In *ICML*, 2019.

Dequan Wang, Evan Shelhamer, Shaoteng Liu, Bruno Olshausen, and Trevor Darrell. Tent: Fully test-time adaptation by entropy minimization. *arXiv preprint arXiv:2006.10726*, 2020.

Jindong Wang, Cuiling Lan, Chang Liu, Yidong Ouyang, Tao Qin, Wang Lu, Yiqiang Chen, Wenjun Zeng, and S Yu Philip. Generalizing to unseen domains: A survey on domain generalization. *TKDE*, 2022a.

Jing Wang, Wonho Bae, Jiahong Chen, Kuangen Zhang, Leonid Sigal, and Clarence W. de Silva. What has been overlooked in contrastive source-free domain adaptation: Leveraging source-informed latent augmentation within neighborhood context. *Transactions on Machine Learning Research*, 2024. ISSN 2835-8856.

Kai Wang, Bo Zhao, Xiangyu Peng, Zheng Zhu, Shuo Yang, Shuo Wang, Guan Huang, Hakan Bilen, Xinchao Wang, and Yang You. Cafe: Learning to condense dataset by aligning features. In *CVPR*, 2022b.

Shuai Wang, Daoan Zhang, Zipei Yan, Jianguo Zhang, and Rui Li. Feature alignment and uniformity for test time adaptation. In *CVPR*, pp. 20050–20060, 2023a.

Xiran Wang, Jian Zhang, Lei Qi, and Yinghuan Shi. Generalizable decision boundaries: Dualistic meta-learning for open set domain generalization. In *ICCV*, pp. 11564–11573, 2023b.

Yufei Wang, Haoliang Li, Hao Cheng, Bihan Wen, Lap-Pui Chau, and Alex Kot. Variational disentanglement for domain generalization. *Transactions on Machine Learning Research*, 2022c. ISSN 2835-8856.

Gina Wong, Joshua Gleason, Rama Chellappa, Yoav Wald, and Anqi Liu. Weighted risk invariance: Domain generalization under invariant feature shift. *Transactions on Machine Learning Research*, 2024. ISSN 2835-8856.

Yanan Wu, Zhixiang Chi, Yang Wang, Konstantinos N Plataniotis, and Songhe Feng. Test-time domain adaptation by learning domain-aware batch normalization. In *AAAI*, 2024.

Haifeng Xia, Handong Zhao, and Zhengming Ding. Adaptive adversarial network for source-free domain adaptation. In *ICCV*, pp. 9010–9019, 2021.

Shiqi Yang, Shangling Jui, Joost van de Weijer, et al. Attracting and dispersing: A simple approach for source-free domain adaptation. *NeurIPS*, 35:5802–5815, 2022a.

Shiqi Yang, Yaxing Wang, Kai Wang, Shangling Jui, and Joost van de Weijer. One ring to bring them all: Towards open-set recognition under domain shift. *arXiv preprint arXiv:2206.03600*, 2022b.

Qing Yu, Daiki Ikami, Go Irie, and Kiyoharu Aizawa. Self-labeling framework for novel category discovery over domains. In *AAAI*, 2022.

Bo Zhao and Hakan Bilen. Dataset condensation with distribution matching. In *WACV*, 2023.

Bolei Zhou, Aditya Khosla, Agata Lapedriza, Aude Oliva, and Antonio Torralba. Learning deep features for discriminative localization. In *CVPR*, pp. 2921–2929, 2016.

Chenhong Zhou, Feng Liu, Chen Gong, Rongfei Zeng, Tongliang Liu, William Cheung, and Bo Han. KRADA: Known-region-aware domain alignment for open-set domain adaptation in semantic segmentation. *Transactions on Machine Learning Research*, 2023. ISSN 2835-8856.

Kaiyang Zhou, Yongxin Yang, Timothy Hospedales, and Tao Xiang. Deep domain-adversarial image generation for domain generalisation. In *AAAI*, 2020a.

Kaiyang Zhou, Yongxin Yang, Timothy Hospedales, and Tao Xiang. Learning to generate novel domains for domain generalization. In *ECCV*, pp. 561–578. Springer, 2020b.

Kaiyang Zhou, Ziwei Liu, Yu Qiao, Tao Xiang, and Chen Change Loy. Domain generalization: A survey. *IEEE TPAMI*, 45(4):4396–4415, 2022.

Ronghang Zhu and Sheng Li. Crossmatch: Cross-classifier consistency regularization for open-set single domain generalization. In *ICLR*, 2022.

Ronghang Zhu, Xiang Yu, and Sheng Li. Semi-supervised single domain generalization with label-free adversarial data augmentation. *Transactions on Machine Learning Research*, 2023. ISSN 2835-8856.

Wei Zhu, Le Lu, Jing Xiao, Mei Han, Jiebo Luo, and Adam P Harrison. Localized adversarial domain generalization. In *CVPR*, pp. 7108–7118, 2022.

A Method Details

In this section, we provide more details about our approach.

A.1 Algorithm

Our proposed framework `Activate and Adapt (ADA)` consists of two stages: *Unknown Activation and Source Condensation (UASC)* and *Open Model Adaptation (OMA)*. We summarize the two stages in Algorithm 1.

Algorithm 1 `Activate and Adapt (ADA)`

Input: Source domain data $\mathcal{D}_s = \{(x_i^s, y_i^s)\}_{i=1}^{N_s}$, feature extractor f, classifier g, domain classifiers g_k, g_u
Output: Label predictions for target domain data $\mathcal{D}_t = \{x_i^t\}_{i=1}^{N_t}$

1: <u>Stage 1: *UASC*</u>
2: **for** source training epoch **do**
3: Train f and g with $\mathcal{L}_{\text{UA}}$ in Eq. 4
4: **end for**
5: Initialize condensed data $\mathcal{D}_{con} = \{(\tilde{x}_i, c)\}_{i=1}^{N_c}$ for each class $c \in \mathcal{C}_s$; freeze f
6: **for** condense training epoch **do**
7: Optimize $\mathcal{D}_{con}$ with $\mathcal{L}_{\text{SC}}$ in Eq. 5
8: **end for**
9: <u>Stage 2: *OMA*</u>
10: **for** x^t in $\mathcal{D}_t$ **do**
11: Sample $(\tilde{x}, \tilde{y})$ from $\mathcal{D}_{con}$, and get a copy $(\tilde{x}', \tilde{y}')$
12: Forward x^t and $(\tilde{x}, \tilde{y})$ to get low-level features $\mathbf{z}_l$ and $\tilde{\mathbf{z}}_l$; inject target data style to $\tilde{\mathbf{z}}_l$ by Eq. 6 and then calculate $\mathcal{L}_{\text{SI}}$ by Eq. 8
13: Forward x^t and $(\tilde{x}', \tilde{y}')$ to get $\mathcal{L}_{\text{DA}}$ by Eq. 10
14: Get total loss by Eq. 11 and backward propagate to update f, g, g_k, and g_u
15: **if** Online **then**
16: Predict for x^t
17: **end if**
18: **end for**
19: **if** Offline **then**
20: Predict for all x^t in $\mathcal{D}_t$
21: **end if**

A.2 Hyperparameters

UASC. We have detailed the source training parameters in the main paper. Here, we provide the parameters for the *Source Condensation* part. We select the second-lowest layer in ResNet-50 to operate the Instance Normalization. We adopt the SGD optimizer with a learning rate of 5.0 and we optimize the condensed images for 10,000 epochs. For each known class, we condense 10 images.

OMA. For the style injection operation, we inject the style of target data to condensed data on the second-lowest layer of ResNet-50, which aligns with the layer selected in the Instance Normalization in *UASC*.

A.3 Model Selection

In the training stage, we train the model for 30 epochs for all datasets. We select the final epoch model for the subsequent *OMA* stage. It is justified in domain generalization, where the access to a train-validation split for model selection is typically unattainable.

A.4 Baselines

Some baseline methods such as Tent (Wang et al., 2020) and ERM (Vapnik, 1999) are not specifically designed for handling the open-set classification scenario. We adapt these methods for the open-set classification setting by predefining an entropy threshold (Zhu & Li, 2022). We set the threshold as $0.5 * \log |\mathcal{C}_s|$, where $|\mathcal{C}_s|$ is the number of known classes. Specifically, during the test phase, we calculate the entropy of the probability distribution for each data with respect to the $|C_s|$ dimensions. If the entropy is below the threshold, we predict it as known-class data, and the predicted class is the known class with the highest predicted probability. If the entropy is above the threshold, we predict it as an unknown class data.

B Experimental Results

We provide additional experimental results in this section.

B.1 Additional Studies

Impact of Test Order. In our online setting, the target data arrives continuously, and for each batch of target data, the model updates on it and predicts presently. Here we investigate the order in which the target domain data arrives. For each order, we randomly shift the order of the whole target dataset. The result is present in Table 6. Our results indicate that the *OMA* phase exhibits robustness against variations in the order of target data, thereby evidencing its adaptability and robustness in open-world context.

Table 6: Impacts of the order of target data in the online setting.

Order	Office-Home	Office-31	Pacs	Average
1	67.2	81.7	53.6	67.5
2	67.7	81.2	53.9	67.6
3	67.1	82.3	54.0	67.8
4	66.6	81.8	53.1	67.2

Impact of Number of Known Classes. We investigate the impact of the varying number of known classes on three methods including SHOT (Liang et al., 2020), AaD (Yang et al., 2022a), and our proposed method `ADA`. We keep the number of total classes ($|\mathcal{C}_s|+|\mathcal{C}_t^u|$) unchanged while changing the number of known class $|\mathcal{C}_s|$ in the source domain. As shown in Figure 6, our method consistently outperforms SHOT and AaD across settings with different numbers of known classes. Notably, the advantage of `ADA` is pronounced in scenarios with very few known classes. This highlights its effectiveness in situations where the supervisory information is scarce.

B.2 GradCAM Visualization

The additional GradCAM visualizations (Selvaraju et al., 2017) of `ADA` and ERM are shown in Figure 7. Consistent with the result in the main paper, it can be observed that for both known and unknown class samples, the hot zones activated by `ADA` are more accurate and comprehensive compared to ERM. Hence, `ADA` provides a more thorough understanding of the images in the open-set and domain-shifted context.

B.3 Visualization of Condensed Dataset

Figure 8 shows the condensed images of three datasets. We can see that these images look like noise images and do not show any resemblance to the original training data visually. Thus, it prevents information leakage of the source domain training data to some extent. Moreover, as elaborated in our main paper, it preserves information that facilitates our model adaptation process.

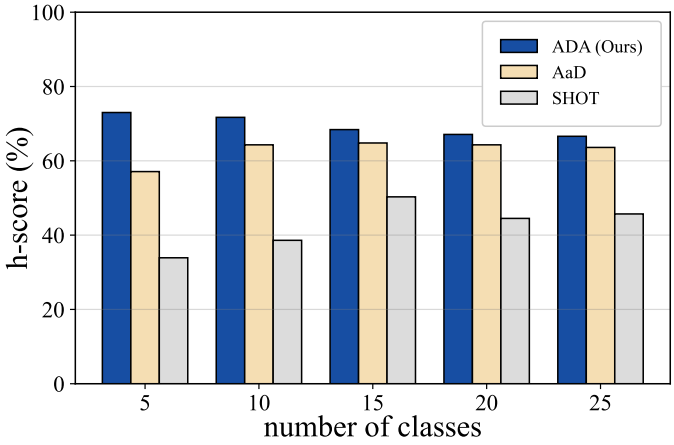


Figure 6: Impact of varying number of known classes for OFFICE-HOME.

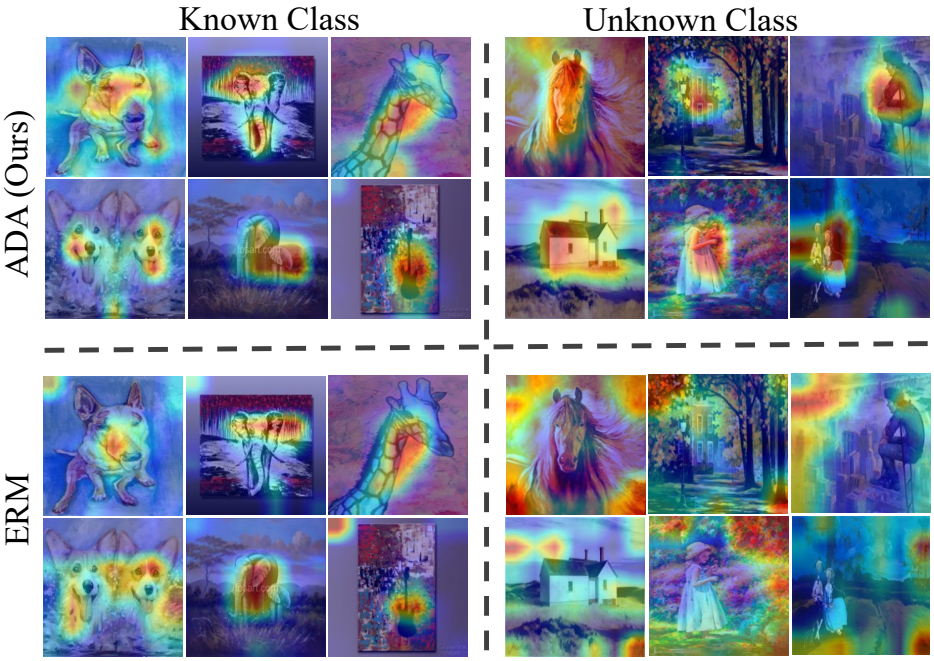
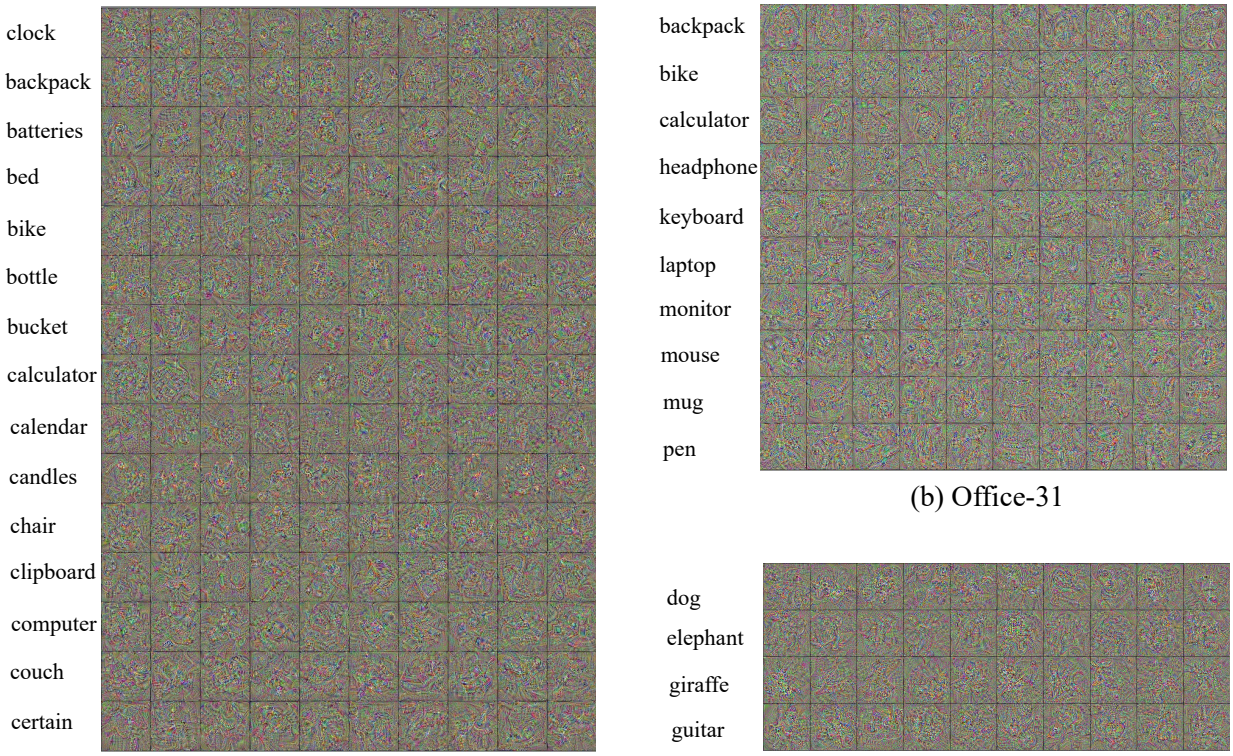


Figure 7: GradCAM visualization of ADA and ERM.

C Limitations

Our approach has limitations. First, ADA treats all open classes as a single category (the unknown class $(|\mathcal{C}_s|+1)$-th dimension in the classifier), which restricts its broader applicability. In situations that require the identification of individual open classes, ADA's effectiveness is not assured. Second, ADA relies on condensing the source domain data into a smaller dataset. Therefore, the success of ADA depends on the advancements in dataset condensation techniques. As the number of images and categories increases, the complexity of the dataset condensation process also rises. However, we anticipate that improvements in dataset condensation techniques, along with advances in deep learning hardware, will help address this challenge.



(a) Office-Home (b) Office-31 (c) PACS

Figure 8: Visualization of condensed data of Office-Home (Artistic), Office-31 (Amazon), and Pacs (Photo). Each row shows 10 images per (known) class.