# **REAL TIME IRIS RECOGNITION SYSTEM**

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A project report submitted in partial fulfilment of the requirements for the award of Bachelor of Engineering (Hons.) Mechatronics Engineering

> Faculty of Engineering and Science Universiti Tunku Abdul Rahman

> > April 2012

# DECLARATION

I hereby declare that this project report is based on my original work except for citations and quotations which have been duly acknowledged. I also declare that it has not been previously and concurrently submitted for any other degree or award at UTAR or other institutions.

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# APPROVAL FOR SUBMISSION

I certify that this project report entitled **"REAL TIME IRIS RECOGNITION SYSTEM"** was prepared by **SIM TZE HENG** has met the required standard for submission in partial fulfilment of the requirements for the award of Bachelor of Engineering (Hons.) Mechatronics Engineering at Universiti Tunku Abdul Rahman.

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## **REAL TIME IRIS RECOGNITION SYSTEM**

#### ABSTRACT

The objective of this project is to develop a robust automated algorithm for real time iris detection in higher level security purpose with high recognition rates in varying environment. First, Haar cascade based algorithm has been applied for fast and simple face detection from the input image. The face image is then being converted into grayscale image. After that, the iris candidates are extracted from the intensity valleys from the detected face. Costs of each iris candidates are calculated. Finally the iris candidates are paired up and the cost of each possible pairing is computed by a combination of mathematical models. After that, these irises pair will be treat as information for system to continue the tracking it in the continuous frame. The novelty of this work is that the algorithm works on complex images without constraints on the background or surrounding lighting. This algorithm has achieved high success rate of automatically iris recognition when the system have more online based positive example that generated during the tracking process under user friendly real time environment.

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# CHAPTER 1

### **INTRODUCTION**

### 1.1 Background

The first use of iris recognition can trace back to the Paris's prison in eighteenth century, where police discriminated criminal by inspecting the colour of their irises (Y.P Huang, S.W Luo and E.Y. Chen ,2002). Until 1987, an idea of automated iris recognition was proposed. (Flom and Safir , 1987).

In particular, the biomedical literature suggests that irises are as distinct as fingerprints or patterns of retinal blood vessels. Further, since the iris is an overt body, its appearance is amenable to remote examination with the aid of a machine vision system.

Among these biometric technologies, iris recognition becomes a hot topic in pattern recognition and machine learning research area because of the following advantages:

- The iris begins to form in the third month of gestation and the structures creating its pattern are largely complete by the eighth month, then does not change after two or three years (Kronfeld,1962)
- 2) It is suggested in recent years that human irises might be as distinct as fingerprint for different individuals, leading to the idea that iris patterns may contain unique identifications features. (El-Bakry, H.M, 2001)

- 3) The forming of iris depends on the initial environment of embryo, so the iris texture patterns don't correlate with genetic determination (John Daugman,1997) Even the left and right irises for a given person are different from each other (El-Bakry, H.M, 2001)
- The inner organs of iris are protected by aqueous humor and cornea from the environment.
- 5) It is almost impossible that irises are modified by surgical without risk.
- 6) The iris recognition is non-invasive and don't cause the damage to identifier. The iris recognition has so many advantages that a lot of attentions are attracted

Nowadays, iris detection is an hot topic in computer vision with application in some are like: biometric, human computer interaction/ human machine interface, security or even driver's drowsiness detection system.

#### **1.2** Aims and Objectives

The aim of this research is to increase the performance of iris detection in real-time in varying environment conditions. After that, construct a robust automatic tracking system for the irises.

The objective of this project is to:

- Develop a robust automated algorithm for higher security purpose iris detection and tracking in real time.
- Validate and optimize the proposed algorithm in different environments.
- Reduce the effects of excessive illumination and head tilts which have affected the performance of iris recognition.

## **1.3** Organization of the report

In Chapter 1 (*Introduction*) of this report is mainly brief on the background, the usage and how importance of iris recognition. Then the aims and objectives are indicated. Finally the structural organization of the report instructed out.

Chapter 2 (*Literature Review*), investigates and studies the existing technique about the iris detection or iris detection. This information used as a guideline in organizing the methodology of the project.

Chapter 3 (*Methodology*), presented the procedures and methods chosen to develop the project and to ensure that the aims and objectives of the research are met. This chapter show the research work done and discuss the theories and equations of the proposed algorithm.

Chapter 4 (*Result and Discussions*), show the result of the system using some case photos. Also, the result analysis will be discuss in here.

Chapter 5 (*Conclusion*), summaries the overall project result in simply way.

Chapter 6 (*Recommendations and Future Improvements*), suggests some ideas or methods that can improve and advance this project in the future.

## CHAPTER 2

#### LITERATURE REVIEW

### 2.1 Introduction

The literature review of the project is based on face region detection, eye detection and tracking methods.

#### 2.2 Face Region Detection

The first step of iris detection is the face region detection. In RGB space, a triple [r,g,b] represents not only the colour but also the brightness. As J. Yang and A.Waibel (1996) mention that is possible to remove brightness from the skin-colour representation, while preserving an accurate, but low dimensional colour information. It also said that the skin colour can be represented in the chromatic colour space under the normal lighting condition since the brightness is not important for characterizing skin colours. From the investigation of the face colour cluster by J.Yang and A.Waibel (1996) discovered that the distribution has a regular shape and the skin colour distributions of different people under different lighting conditions in the chromatic colour space have similar Gaussian distributions.

The proposed algorithm first create skin colour model for the face region detection from colour input images and denotes a colour vector in RGB colour space. This method using the rg colour space creates a skin colour model by the following step:

- I. Select the regions that known to represent skin from the input colour images.
- II. Estimate the mean m and the covariance matrix  $\Sigma$  of the colour distribution in the chromatic colour space.
- III. Substitute those parameter into the Gaussian distribution
- IV. To detect the face region using following procedure, select pixels (x,y) whose colour values v = (r, g) satisfy  $g(v) \ge \varepsilon$ . The selected pixels are called the skin colour pixels.
- V. Apply squares of sizes 5 x 5 closing and 9 x 9 opening mathematical morphologies to the regions of skin colours pixels as structuring elements.
- VI. Find a connected component of skin colour pixels with the largest area.
- VII. Let  $(x_i, y_i)$  denotes the coordinates of the pixels in the connected component obtained by the last step. And, let  $X_1$  and  $X_2$  be the smallest and the largest of  $x_i$  and  $Y_1$  be the smallest of  $y_i$ . Then, give the face region by the square produced by two vertical lines  $x = X_1$  and  $x = X_2$  and two horizontal lines  $y = Y_1$  and  $y = Y_1 + X_2 - X_1$ .

Meanwhile, AdaBoost is a very effective learning algorithm that organizes simple and fast weak classifiers as a weighted sum and renders a fast strong classifier having a high success rate. This algorithm was first proposed by Freund and Schapire (1996) and it became popular in the face detection field after Viola and Jones (2001).

To implement multi-view face detection and eye detection, J.B. Kim, S.C. Kee and J.Y. Kim (2005) had adopted Freund and Schapire (1996)'s gentle In AdaBoost, *N* examples are provided and weights them to 1/N. Repeat for *k* time and find a weak classifier  $f_k(x_i)$ . Set  $w_i \leftarrow w_i \cdot exp[-y_i \cdot f_k(x_i)]$  and renormalize weights and lastly output the classifier



A weak classifier consists of a threshold value and a simple feature, as shown in Figure 2.1:

Figure 2.1: Haar-like simple features: (a) edge features; (b) line features

(b)

#### **2.3 Eye Detection**

(a)

In general eye detection, there are two approaches which are active and passive method. The active method realizes the detection of the facial features under the usual illumination while the passive method uses Infrared Light (IR) light sources. The use of IR light can minimizes the impact of different ambient light conditions and ensures image quality under varying conditions like poor illumination. Also, it can produce the bright/ dark pupil effect which constitutes the foundation for the eye detection and tracking algorithm. For instance, in a well illuminated dark pupil IR image, the pupil will be the darkest feature while the glints will be the brightest ones and as a result, appropriate thresholds are set to directly segment out those features. A good example in the prototype (Schneider, N., E. Barth, P. Bex, and M. Dorr, 2011) showed in Figure 2.2, but this has restricted the user freedom and cause uncomfortable.



Figure 2.2: The low-cost prototype with scene camera (left one) and eye camera and IR LED (right one) (Schneider, N., E. Barth, P. Bex, and M. Dorr, 2011)

But the use of IR light is also challenged in outdoor scenarios and it may therefore not be sufficient for eye tracker to solely rely on the properties of the IR light if the eye detection is be used for the general public.

J.B. Kim, S.C. Kee and J.Y. Kim (2005) also proposed a four-step eye detection method as shown in Figure 2.3:

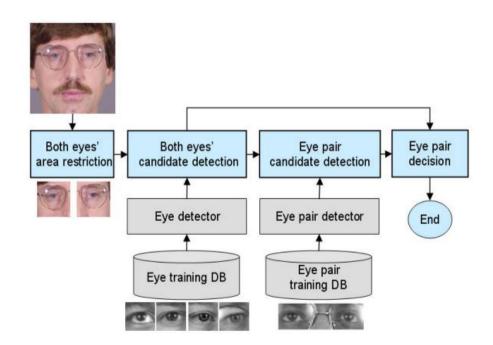


Figure 2.3: The structure of eye detector proposed by J.B. Kim, S.C. Kee and J.Y. Kim (2005)

Although in those proposed methods get high performance on face and eye detection, but it needs a huge image database to hit the high success rate. In this case, the database has around 17,000 face images, include frontal database and non-frontal database.

On the other hand, Brunelli and Poggio (1993) and Beymer (1994) located eyes using template matching. In this method, an eye template of a person is moved in the input image and a patch of the image that has the best match to the eye template is selected as the eye region, shown in Figure 2.4.



(a) An input image



#### Figure 2.4: Eye detection using template matching

M.Turk and A.Pentland (1991) used the eigenspaces method to locate eyes. In this algorithm, the eigenspaces of the left and right eyes are first constructed using sample images. Next, sub-images cut off from the input image are projected onto the eigenspaces to compute their matching errors. And, a pair of sub-images minimizing the total matching error is selected as eyes.

However, when the variations in size and orientation of the face in the image are not small, template matching and eigenspaces method require the normalization of the face in its size and orientation because these algorithms use sample eye images as eye models. In addition, these algorithms can correctly detect only eye patterns that are similar to sample eye images used as eye models.

Also, there have a few researches use Hough Transform to detect the irises of both eyes (Y.Tian. T.Kanade and J.F. Cohn, 2000). However, the iries are considerably small compared to the facial input image, so it is quite difficult to correctly detect the both irises by directly apply Hough Transform to whole face region.

## 2.3.1 Eye Localization

In the paper "In the Eye of the Beholder: A Survey of Models for Eyes and Gaze" (D.Hansen & Q.Ji, 2010) mention that the eye localization methods have been classified into five main categories:

#### [1] Shape-based Approaches

- Described by its shape, which includes the iris and pupil contours and the exterior shape of the eye (eyelids).
- [2] Feature-Based Shape Methods
  - Explore the characteristics of the human eye to identify a set of distinctive features around the eyes. The limbus, pupil (dark/bright pupil images) and cornea reflections are common features used for eye localization.
- [3] Appearance-Based Methods
  - Detect and track eyes directly, based on the photometric appearance as characterized by the colour distribution or filter responses of the eye and its surroundings. These methods are independent of the actual object of interest and are in principle capable of modeling other objects besides eyes.

#### [4] Hybrid Models

- Aim at combining the advantages of different eye-models within a single system to overcome their respective shortcomings.
- [5] Other Methods
  - Employing temporal information and active light.

The first task of an HCI system is to locate the operating feature, in this case, the eyes. Research work in the area of eye localization has been presented by Spors and Rabenstein (2001), who proposed the use of Principal Component Analysis (PCA) for the eye localization.

#### 2.4 Iris Localization

For local the iris in the image, (Rupal Khilari, 2010) using the Circular Hough Transform (CHT) to discover the shape of the iris form the image after the Canny edge detection. Canny detector is choose because it produces a more precise, finer edge with lesser noise. Then, the Bresenham's circle drawing algorithm is adopted to draw a complete circle. When every edge point and every desired radius is used, the accumulator images are analyzed and contain number corresponding to the number of circle passing through the individual coordinates. At the end, the highest numbers correspond to the centre of the most probable circle in the image. Author also mention that modified Hough Transform is prefer than the standard weighted Circular Hough Transform to detect the iris for reducing the effect of the eyelids and eyelashes to result the final.

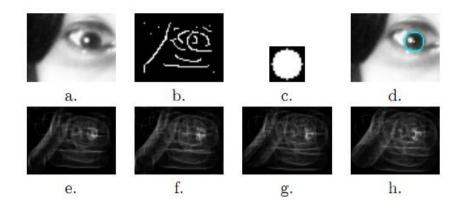


Figure 2.5: Proposed Method of Iris Detection and Localization (Rupal Khilari, 2010)

The further explain of Figure 2.5:

- (a) The eye region
- (b) The corresponding edge image after Canny edge detection
- (c) A circular mask of various radii is passed over the largest value in accumulator image and the average over the area is computed.
- (d) The resultant iris detection (blue circle) using the modied weighted Circular Hough Transform.
- (e,f,g,h) Accumulator images using Bresenham's circle drawing algorithm (intensity uniformly scaled), with radii 6,7,8,9 pixels respectively.

Kourkoutis et al. (2007) proposed another approach for iris localization have perform good accuracy and computational time. This procedure is based on the observation that the chrominance component Cr (from YCbCr) takes very low values in the eye area, compared to the areas covered by skin. However, this system performs colour images and must be manually calibrated by defining several parameters.

## 2.5 Iris Tracking

To detect and track the eyes in a complex background environment, the feature of the eye are used. In real time state-of-the art object detectors are typically based on the

AdaBoost (Yoav Freud and Robert Schapire, 1999) algorithm. They require large training sets and are computationally expensive to train. This approach is not applicable for the online setting. Freund and Schapire (1997) stated that the actual performance of boosting on a particular problem is clearly dependent on the data and the weak learner. Consistent with theory, boosting can fail to perform well given insufficient data, overly complex weak hypotheses, or weak hypotheses that are too weak. Boosting seems to be especially susceptible to noise.

Existing online detectors (Helmut Grabner and Horst Bischof, 2006) enable efficient training but their purpose is to "adapt" to new samples and gradually dismiss the old ones.

T. D'Orazio et al. (2004) used a new circle detection operator that is based on the directional Circle Hough Transform based on convolutions applied to the edge image. Figure 2.6 is the mask represent in each point the direction of the radial vector scaled by the distance from the centre in a ring with minimum radius  $R_{min}$ , and maximum radius  $R_{max}$ . The convolution between the gradient images and these masks evaluates how many points in the image have the gradient direction concordant with the gradient direction of a range of circles. The maximal value of the convolution result gives the candidate centre of the circle in the image.

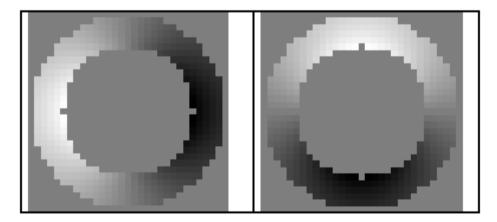


Figure 2.6: The masks of dimension (2·Rmax+1)×(2·Rmax+1) that are convoluted with the gradient image used in the T. D'Orazio et al. case

Also, Perez et al. (2007) described a real-time iris detection method based on coronal-Axis-Rotated Faces. The method is based on anthropometric templates

applied to detect the face and eyes. The templates use key features of the face such as the elliptical shape, and location of the eyebrows, nose, and lips. For iris detection, a template following the iris–sclera boundary shape is used. However, they assume that there is always a high contrast between iris and the sclera.

## CHAPTER 3

#### METHODOLOGY

#### 3.1 Introduction

This chapter describes the implementation of the proposed algorithm from its theoretical models. Hence the methodology has shown how the different mathematical models are combined to achieve the research objectives. There is few phase in this proposed real time iris detection system: Face Region Detection, Valley Detection, Iris Candidate Detection, Iris Candidate Selection, Iris candidates pair selection and TLD (Tracking-Learning-Detection)

#### **3.2** Face Region Detection (Preprocessing)

First of all, get the input images from the webcam or a video file and crop the head or face region for further processing. In this phase, OpenCV Haar Cascade based face detector has been choose to use for real time detection instead of the skin colour based face detector. This is because the RGB colour based face detection tends to be affected easily by the surrounding lighting variation and complex background and it not suitable for real time implementation (T.Y.Chai, M.Rizon and M.Suhzri, 2009). The Haar like features trains classifiers with a few thousands of sample view images of object and construct a cascade of classifiers to detect the eye rapidly. It is specified by its shape, position and the scale. Figure 3.1 illustrated the

how the Haar-like features function. Equation 3.1 explain the main function in the OpenCV haarcascade being used in the face region detection.

$$cvHaarDetectObjects(a, b, c, d, e, f, g)$$
 (3.1)

where

- *a* is image
- *b* is cascade
- c is memory\_storage
- d is scale\_factor
- e is min\_neighbours
- f is flags
- g is min\_size

The parameter of d, e, f, g have been as 1.1, 3, CV\_HAAR\_DO\_CANNY\_PRUNING and 65\*65 in this experiment.

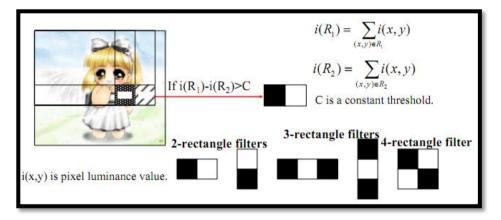


Figure 3.1: Haar-like features

Before implementing the iris detection algorithm, an image processing technique which is similar to the method proposed by Xiaoyang Tan and Bill Triggs (2007). The algorithm aims to counter the effects of illumination variations, local shadowing and highlights while preserving the originality of visual appearance.

The basic principle is that the intensity of light reflected from an object is the product of the incoming illumination and the surface reflectance. In order to recover the object level information independent of illumination, replace the gamma correction of the gray-level *I* with  $I^{\gamma}$  where this parameter is defined by user with  $\gamma \in [0,1]$ . By this, it enhance the local dynamic range of the image in dark region while compressing it in bright regions

## **3.3** Iris Detection

This section explains the detection of the iris from the input image in few steps: valley extraction, detection of iris candidates and selection of iris candidates.

#### **3.3.1** Extraction of valley in the face region

To extract valleys from the face region, the proposed algorithm first applies grayscale closing (S.R. Sternberg, 1986) to the face region. For each pixel (x, y) in the face region, let

$$V(x, y) = G(x, y) - I(x, y)$$
(3.2)

where

G(x, y) denotes its value obtained by applying grayscale closing and I(x, y) denotes its intensity value

Then, the region consisting of pixels (x, y) where V(x, y) is greater than or equal to a threshold value, *T* is determined to be valleys. The threshold value was set to the largest value T satisfying

$$V\frac{1}{N}\sum_{i=0}^{MAX}h(i) \ge p$$
(3.3)

where

N is the number of pixels in the face region;

MAX is the maximum of V(x, y) over all pixels (x, y) in the face region; h(i) is the number of pixels (x, y) in the face region within  $0 \ll i \ll MAX$  p is a parameter given as input. (In the experiments, p is set to 0.1 for all image)

Pre-processing steps such as histogram equalization and light spot deletion are performed to enhance the quality of image and reduce illumination effect in this algorithm.

#### **3.3.2** Detection of iris candidates

After extracting the valley from the face region, the proposed algorithm performs the similar method as T. Kawaguchi and M. Rizon (2003). First, it computes the costs C(x, y) for all pixels (x, y) in the valleys using the eye template as shown in Figure 3.1 with following equation 3.4

$$C(x, y) = C_1(x, y) + C_2(x, y)$$
(3.4)

where

$$C_1(x, y) = \sum_{\substack{j=y-d/2\\ j=y-d/2}}^{y+d/2} V_r(j) + \sum_{\substack{j=x-d/2\\ j=x-d/2}}^{x+d/2} V_c(i)$$
  

$$V_r(j) \text{ and } V_c(i) \text{ are the mean crossing numbers of row } j \text{ and column } i$$
  

$$C_2(x, y) \text{ is the intensity difference between the central part and the boundary parts of } S(x, y) \text{ and}$$
  

$$S(x, y) \text{ is a square region with center } (x, y) \text{ and side length } d.$$

Then, the proposed algorithm selects *m* pixels according to non-increasing order of C(x, y) to give the local maxima of C(x, y). In the experiments, m was set to 20.



Figure 3.2: Eye template

After that, place the eye template at each candidate location  $(x_i, y_j)$  and measures the separability between two regions  $R_1$  and  $R_2$  using given Equation 3.5:

$$\eta = \frac{B}{A} \tag{3.5}$$

where

$$A = \sum_{i=1}^{N} [I(x_i, y_j) - \bar{P}_m]^2$$
  

$$B = n_1(\bar{P}_1 - \bar{P}_m)^2 - n_2(\bar{P}_2 - \bar{P}_m)^2$$
  

$$N = n_1 + n_2$$
  

$$I(x_i, y_j) \text{ is the intensity values of pixels } (x_i, y_i) \text{ in the union of } R_k \ (k = 1,2)$$
  

$$n_k \text{ is number of pixels in } R_k \ (k = 1,2)$$
  

$$\bar{P}_k \text{ is the average intensity in } R_k \ (k = 1,2) \text{ and}$$
  

$$\bar{P}_m \text{ is the average intensity in the union of } R_k \ (k = 1,2)$$

Let  $\eta(r)$  denote the separability between two regions  $R_1$  and  $R_2$  in the template with size r. Change the size r in the range of  $\{r_L; r_{L+1}, \dots, r_U\}$  to find the size r maximizing  $\eta(r)$  and determine it to be the radius of the iris candidate centered at  $(x_i, y_j)$ .

## **3.3.3** Selecting the irises of both eyes

In this section, the mathematical calculation of the selection of the iris separate into two part. First calculate the cost of all the irises candidates, after that the iris candidates are paired up and computed the cost of each possible pairing by a combination of mathematical models.

#### 3.3.3.1 Cost of iris candidates

First, applies the Canny edge detector to the face region and measures the fitness of iris candidates to the edge image using the circular Hough transform as follow

$$(x-a)^2 + (y-b)^2 = r^2$$
(3.6)

where

(a, b) is the circle center and r is the radius.

Select (a, b, r) with the largest vote and denote the largest vote by V(i) which is the vote for the iris candidate  $B_i$ . Then, given an iris candidate  $B_i = (x_i, y_i, r_i)$ , measures the fitness of the iris candidates place the template in Figure 3.2 at the position  $(x_i, y_i)$  on the intensity image I(x, y) and then compute the separabilities  $\eta_{23}(i)$ ,  $\eta_{24}(i)$ ,  $\eta_{25}(i)$  and  $\eta_{25}(i)$  using Equation 3.5 where  $\eta_{kl}(i)$  denotes the separability between regions  $R_k$  and  $R_l$  (iris and eye region)

Finally, the proposed algorithm calculate the cost of each iris candidate by a simple sum all the four costs as shown in Equation 3.7:

$$C(i) = C_1(i) + C_2(i) + C_3(i) + C_4(i)$$
(3.7)

where

$$C_{1}(i) = \frac{V_{max}}{V(i)}$$

$$C_{2}(i) = \frac{|\eta_{23}(i) - \eta_{24}(i)|}{|\eta_{23}(i) + \eta_{24}(i)|}$$

$$C_{3}(i) = \frac{|\eta_{25}(i) - \eta_{25}(i)|}{|\eta_{26}(i) + \eta_{26}(i)|}$$

$$C_{4}(i) = \frac{U(i)}{U_{av}}$$

$$V_{max} \text{ is the maximum of } V(i) \text{ over all iris candidates}$$

$$V(i) \text{ is the Hough transform vote for } B_{i}$$

U(i) is the average intensity inside  $B_i$  and

 $U_{av}$  is the average of U(i) over all iris candidates.

# 3.3.3.2 Costs for pairs of iris candidates

. .

The proposed algorithm computes a cost for each pair of iris candidates  $B_i$  and  $B_j$  such

 $L/4 \le d_{ij} \le L$  and  $-30^\circ \le \vartheta_{ij} \le 30^\circ$ 

where

L is the width of the left and right contours of the face in x-positions and

 $d_{ij}$  and  $\vartheta_{ij}$  is the length and orientation of the line segment connecting  $B_i$  and  $B_j$ , respectively.

To place the iris candidates  $B_i$  and  $B_j$  to coincide the iris center of both eyes in the iris template, the proposed algorithm applying affine transform to the input image. Let  $(u_1, v_1)$  and  $(u_2, v_2)$  denote the coordinate of the iris centers from the template and  $(x_1, y_1)$  and  $(x_2, y_2)$  denote the coordinates of iris candidates  $B_i$  and  $B_j$ . The affine transform transforms the coordinates from the iris template,  $T_i$  to the input image. Assume that the coordinate of  $T_{str}$  can be obtained by applying scaling S, translation  $(t_x, t_y)$  and rotation  $\vartheta$  to the input image. The Equation 3.8 for two image pixel matching through the  $T_{str}$ :

$$x = (1/S) * (ucos\theta - vsin\theta + t_x)$$
  

$$y = (1/S) * (usin\theta - vcos\theta + t_y)$$
(3.8)

For the both iris candidates  $B_i$  and  $B_j$  matched to  $(u_1, v_1)$  and  $(u_2, v_2)$  from iris template through  $T_{str}$ , the Equation 3.8 should fulfilled by the transform parameters:  $S, \vartheta, t_x, t_y$ :

$$S = \sqrt{\frac{(u_1 - u_2)^2 + (v_1 - v_2)^2}{(x_1 - x_2)^2 + (y_1 - y_2)^2}}$$
  

$$\theta = \tan^{-1} \left(\frac{y_1 - y_2}{x_1 - x_2}\right) - \tan^{-1} \left(\frac{v_1 - v_2}{u_1 - u_2}\right)$$
  

$$t_x = S * x_0 - u_0 \cos\theta + v_0 \sin\theta$$
  

$$t_y = S * y_0 - u_0 \sin\theta - v_0 \cos\theta$$
  
(3.9)

where

$$x_0 = \frac{x_1 + x_2}{2}$$
;  $y_0 = \frac{y_1 + y_2}{2}$ ;  $u_0 = \frac{u_1 + u_2}{2}$ ;  $v_0 = \frac{v_1 + v_2}{2}$ 

Then, a window  $W(i, j), 0 \le i \le 2p + m - 1$  and  $0 \le j \le 2p + n - 1$  is cut of from the input image where *m* and *n* are the width and height of  $T_i$ . *p* is the ratio factor set to have a bigger region than the iris template. 2p + m - 1 and 2p + n - 1are two equation regulate by the ratio *p*. The window *W* has provided a smaller region compared to full image for template matching operation.

After that, compute the normalized cross-correction value R(i, j) between the image patch and the template by

$$R(i,j) = \frac{E(IT) - E(I)E(T)}{\sigma(I)\sigma(T)}$$
(3.10)

where

*T* denote the eye template *I* denote the image patch IT denote the pixel-by-pixel product of I and T E(T) and  $\sigma(T)$  are the average and standard deviation of the intensities of pixels inside T and E(IT) is the average of the pixel by pixel product of *I* and *T* 

Compute the cost of a pair of iris candidates  $B_i$  and  $B_j$  by the given equation from the proposed algorithm

$$F(i,j) = t\{C(i) + C(j)\} + (1 - t)/R(i,j)$$

where

- C(i) and C(j) are the costs computed by Equation 3.7
- R(i, j) is the normalized cross-correlation value computed by using an eye template and
- *t* is a weight to adjust two terms of the cost (In the experiment, used t =0.5 for all images)

## 3.4 Iris Tracking

Since the system is designed for higher level security purpose, so it provided an option to allow the users to manually choose until the irises candidate is fall perfectly in the region of user irises region. This option is provide when the users want higher accuracy detection only because the irises candidate is affected in varying real time environment sometime.

After getting the suitable iris candidate pair, it feedbacks to the system to track the irises trajectory in the next frame. In the phase, Tracking-Leaning-Detection (TLD) method proposed by Zdenek Kalal (2010) is implemented into the system.

TLD is a approach that closely integrates adaptive tracking with online learning of object-specific detector. It will track the selected object starting from the first frame by an adaptive tracker.

The object detector is based on the features call 2bit Binary Patterns (Zdenek Kalal, 2010) because of their invariant to illumination and efficient multi-scale implementation using integral images. These features measure gradient orientation within a certain area, quantize it and output four possible codes. Figure 3.3 show an illustration of this.

The posteriors Pr represent the initial parameter of the classifier and are estimated incrementally throughout the learning process. The Pr are averaged and classifier outputs positive response if the average is bigger than 50%. The detections far from the target (in this case is the irises pair) represent the negative examples and update the posteriors. In video based or continuous camera capture image, the patches within that image are related spatially and also related from one frame to another. Therefore knowing a label patch (in this case is the detected irises pair) allow the draw a hypothesis about the labels of other patches. The constraints will be used and the trajectory curve can be defined in the video or continuous capture image.

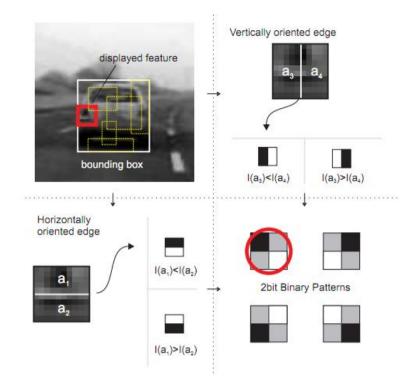


Figure 3.3: An 2bit Binary Patterns example showed in the Zdenek Kalal paper. Features encode local gradient orientation within the object bounding box.

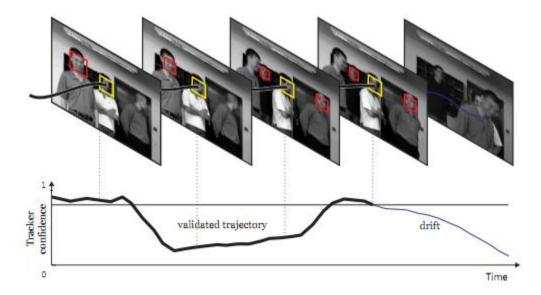


Figure 3.4: Example of a trajectory of a detected object represents a structure in video (Zdenek Kalal, 2010)

In video based or continuous camera capture image, the patches within that image are related spatially and also related from one frame to another. Therefore knowing a label patch (in this case is the detected irises pair) allow the draw a hypothesis about the labels of other patches. The constraints will be used and the trajectory curve can be defined in the video or continuous capture image. An example of an detected object trajectory is showed in Figure 3.4

Two processes (growing and pruning event) is observed the trajectory robustly model the appearance and build an moving object detector. Both events make errors, the stability of the system is achieved by their cancelation. The learnt detector enables re-initialization of the tracker whenever previously observed appearance reoccurs. Figure 3.5 illustrated this algorithm.

TLD show the real-time learning and classification is achievable with a random forests classifier. This efficient classifier was used to represented the decision boundary between the object and its background. After that, the learning consists of building a validator that decides whether the object is patch corresponds to the target or not.

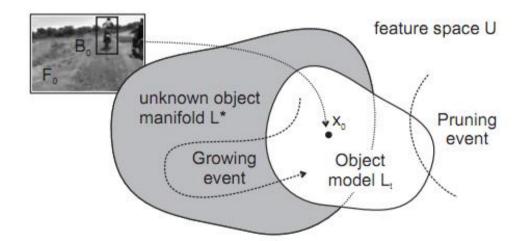


Figure 3.5: The online model is initialized in the first frame by the manually selected It is expanding by "growing events", refined by "pruning events" and slowly converges toward the unknown object manifold.

Although the TLD is strong enough to track the detected objects with online training and learning, but it need a correct prior information to get the object trajectory in next frames. So, the system is integrate the TLD with the previous proposed detection algorithm to make the system more stable and intelligent in automatically iris recognition system.

# 3.5 Summary

The methodology of the proposed system try to achieve the objective of recognizes an unknown face and under the circumstances includes both eyes with various of lighting source and background.

As a conclusion, this algorithm aims to detect the irises from input image in real time. This algorithm will be use to test in few different database and some selfcaptured image to find out the weakness. After that, improve the algorithm for iris recognition and iris localization as well and implement it into real-time system.

# CHAPTER 4

## **RESULT AND DISCUSSION**

## 4.1 Result and Discussion

After few time testing in real time varying environment, the detection algorithm seems not very effective in localizing the irises pair location as the result shown in Table 4.1. Thereby, a initial bounding box is set at the detected face region to eliminate the pairs of iris candidates that fall out of this region. This is to reduce the unnecessary pair of iris candidates and improve the efficiency of the system's performance, therefore some conditions add-on:

[1] Since the head/ face image will be resized to 128\*128 pixel image window, the height of this bounding box is from 1/4 to 2/4 of the resize image window which is 32 to 64 pixel in y-axis that usually the eye region fail in. The width of the box is approximate start 20 to 108 pixel in x-axis, so the bounding box is sizes around 88\*32 pixels. The origin of pixel axis is in our case is at the upper left corner of the image, the x-axis start from left to right of the image and the y-axis start from top to bottom of the image. X-axis and Y-axis represent the width and the height of the image respectively. A sample showed in Figure 4.1.

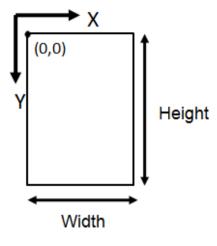


Figure 4.1: Pixel axis

- [2] The width of the irises pair have to the range between 45 to 80 pixel. This is reasonable guessing range for initial detection because assuming that the user are sitting in front of the computer and face the camera at the beginning when the system starts operate. The size of this width range is acceptable after the Haar-cascade face detection.
- [3] The head tilt has been limited to  $-15^{\circ} < \theta < 15^{\circ}$  for the proposed system. Thus, same rule has been used to eliminate unwanted iris candidates' pairings.

If the iris candidates pair can't fulfil those conditions, the system skip the frame and repeat the detection process again until the suitable result come out. Figure 4.2 show an example of the elimination process.

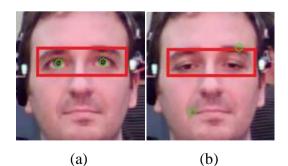


Figure 4.2: An example of narrow down the iris candidates pair by a initial bounding box with some parameter setting (a) success case (b) fail case

By setting the initial checking, it has improves the accuracy of the iris detection of the proposed algorithm. This is vital in providing accurate information for the training later. In this experiment, the online AVI video datasets are used, named Head Posed and Eye Gaze (HPEG) to test the system

This datasets are webcam videos displaying ranges of eye gaze and head pose by 10 participants. They are recorded twice: the first time they slowly move their head in various orientations relative to the camera. In the second set of recordings the participants change their gaze from a frontal view to side view facing their right.

The first set of 10 recordings last 10 seconds each, the second set of 10 recordings last 12 seconds each. The same subjects appear in both experiments. Ground truth for head pose is provided via a set of LEDs mounted on the user's head. Recordings are made at 30 frames per second, at a spatial resolution of 640 x 480 pixels. (S. Asteriadis, D. Soufleros, K. Karpouzis, S. Kollias, 2009).

The results of the iris detection on two videos are recorded in Table 4.1. In this experiment, the results of the proposed algorithm before and after the implementation of the bounding box with initial conditions are collected for analysis.

As shown in the Table 4.1, for Video Set 1 case, although the iris detected frames have been scaled to 34.34% which is from 209 to 79 frames after assigning a bounding box with initial conditions, but the success rate of the detected irises pairs increase 43.92% (meanwhile failure detection rate is reduced to 43.92%) among the detected frames. Some examples of the fail case that had been filter out like iris candidates pair out of the frame or incorrect define are showed on Figure 4.3.

For Video Set 2, the iris detection rate is narrowed down to 42.42% which is from 182 frames to 154 frames. The correct irises pairs detected among those 154 frames have increase 9.39% .It also reduce some incorrect and some fail cases like the frame only have detect one iris.

Video Set 1*						
Result		Before	After	Discrepancy		
		Bounding	Bounding			
Detected frame		209	79	-130		
Frame Detection Rate		90.87%	34.34%	-56.53%		
		(209/230)	(79/230)			
Irises pairs detection		59	57	-2		
Success Rate		28.23%	72.15%	43.92%		
		(59/209)	(57/79)			
Failure	Only detect 1 iris	68	7	-61		
rate	Out of the frame	18	9	-9		
	Not Accuracy	64	5	-59		
Fail Rate		71.77%	27.84%	-43.93%		
		(150/209)	(22/79)			
Video Set 2**						
Result		Before	After	Discrepancy		
		Bounding	Bounding			
Detected frame		182	154	-28		
Frame Detection Rate		50.14%	42.42%	-7.72%		
		(182/363)	(154/363)			
Irises pairs detection		107	105	-2		
Success Rate		58.79%	68.18%	9.39%		
		(107/182)	(105/154)			
Failure	Only detect 1 iris	64	40	-24		
rate	Out of the frame	0	0	0		
	Incorrect	11	9	-2		
	Fail Rate	41.21%	31.82%	-9.39%		
		(75/182)	(49/154)			

\* Video Set 1 have total 230 frames.

\*\* Video Set 1 have total 363 frames.

Table 4.1: Test Result of before and after add the initial bounding box of

Video Set 1 and 2

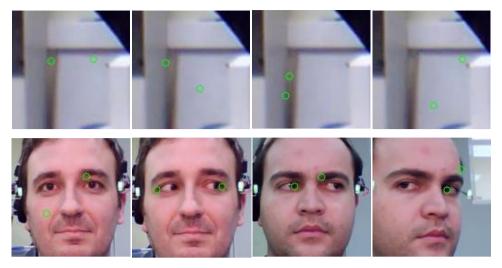


Figure 4.3: Before adding bounding box. First row showed some example of out of the frame images. Second row showed some sample of incorrect result.

In this system, after the iris candidates pair have been confirm from the iris detection part of the system, the TLD tracker use that irises pair information to track the it's trajectory moving trajectory in the continuous frames. The TLD was tested using both Video Set 1 and 2 also.

From the Table 4.2, Video Set 1 have a high success rate in tracking. It success capture the correct irises pair in the first frame of the video and use it for tracking in following frames without any failure capture. Meanwhile the Video Set 2, the correct detected frame had increase 182 frames compare to previous method.

Video Set 1						
Result		After	TLD	Discrepancy		
		Bounding				
Detected frame		79	229*	-150		
Success		57	229	172		
Failure	Only detect 1 iris	7	0	-7		
rate	Out of the frame	9	0	-9		
	Incorrect	6	0	-6		
	Tracking Rate	24.78%	<b>99.</b> 57%	74.79%		
		(57/230)	(229/230)			
Video S	Video Set 2					
	Result	1.0				
	Attobult	After	TLD	Discrepancy		
		After Bounding	TLD	Discrepancy		
Detected			TLD 362*	Discrepancy -208		
Detected Success		Bounding				
		Bounding 154	362*	-208		
Success	frame	Bounding 154 105	362* <b>287</b>	-208 <b>182</b>		
Success Failure	<i>frame</i> Only detect 1 iris	Bounding           154           105           40	362* 287 14	-208 <b>182</b> -26		
Success Failure	<i>frame</i> Only detect 1 iris Out of the frame	Bounding       154       105       40       0	362* 287 14 0	-208 <b>182</b> -26 0		

\* 1 frame is using in the irises pair detection

Table 4.2: Compare the success and the fail casebefore and after tracking of the Video Set 1 and 2



(a)

(b)



(c)

(d)



Figure 4.4: The Video Set 1 result of the TLD in different frame :(a) 2nd frame, (b) 60th frame, (c) 143th frame,(d) 191th frame, (e) 208th frame and (f) 230th frame.



(a)











Figure 4.5: The Video Set 2 result of the TLD in different frame : (a) 190th frame, (b) 195th frame, (c) 212th frame, (d) 255th frame, (e) 263th frame and (f) 315th frame.

From the Figure 4.5, noted that the bounding box of right iris (black box) starts to disappear from the 195th frames [Figure 4.5(b)] and appear back again but overlapping with the white box at the 212th frames [Figure 4.5(c)]. The black box starts tracking the microphone as an iris at the 255th frames. All box correctly track back the both irises at 263th frame when the user faces his eye back to the front (camera). The tracking is back to normal after that.

From result of Video Set 2, the system needs some time to generate the positive examples for learning if the object has new movements. As showed in the 315th frames [Figure 4.5(f)], the system is able to track back because it learns from the past.

Occasionally, this scenario will appear in the tracking process. In this system, the tracker will learning the error while tracking the trajectory of the irises. Although there are failed detections, it doesn't mean that the system treats it as correct detection. The system will keep tracking in the continuous frames until it finds the right object by learning based on the positive examples that generated from the process. In the process of tracking, the system will learn from the previous frames and generate some positive and negative example. Those examples are used for justify the possible trajectory in the following frames. The paths surrounding the validated trajectory are considered as negative. Figure 4.6 shows some generated positive examples for the learning process.

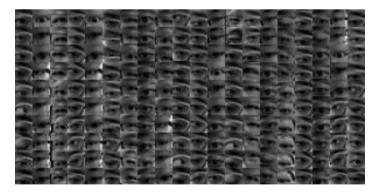


Figure 4.6: Positive example

Instead of using the online video dataset, self testing the algorithm also implemented by sitting in front of the webcam with different scenario like facial expression, head tilt, head rotation, with some obstacles occasionally, wearing with or without spectacle, different distance from the camera and so on. In the following figure, the output frames showed when the system is tested in real time. In Figure 4.7, the user tries to cover the face using some obstacle their hand, the left and right iris are still detected correctly right after removing his hand. The result shows that the system has quite response to obstacles.



Figure 4.7: The tracking result when the user face have some obstacle (without spectacle)

The system is also capable to track different eye gazes with or without wearing spectacle as showed in Figure 4.8 and Figure 4.9.



Figure 4.8: The user having different eye gaze (with spectacle) during the system testing



Figure 4.9: The user showing different eye gaze (without spectacle) during the system testing

Changing the position of the head and viewing direction also wouldn't affect the stability of the system. As showed in Figure 4.10, the user tilts his head/ viewing up and down during the system testing. The tracking box is still remains in frames.



Figure 4.10: The user looking up and down during the system testing

In the following case, the user tries to move his head out of the camera frame and come back again. The system still able to track back the user's irises. Result showed in Figure 4.11.



Figure 4.11: The user try to make the head/ face out of the frame and come back again during the system testing

The system is capble to track the irises pair even there are not in horizontal level. This is showed in Figure 4.12, the user try to tilt his head out to the left and right side.



Figure 4.12: User try to tilt his head during the system testing

The system is able to learn the initial user's face even the user is out of the frame and replace by other user. Figure 4.13 showed the result.



Figure 4.13: Another user try to capture his face when another is leaving during the system testing

Same threory applies in the senario when the user is blocked by other users in the camera frame. As showed in the Figure 4.14, the system still can prefectly track back the initial user's irises.



Figure 4.14: Blocking with other user when another is tracking his face during the system testing

No matter where the irises location are in the camera frame, the system is still able to track it continuously. In Figure 4.15, the user "pan" his face in different location of the camera frame but the system is still capable of finding both of the irises.



Figure 4.15: The user try to allocate the head/ face in different region of the camera frame during the system testing

In the testing process, found that the processing speed is slowing down because two object (right iris and left iris) is tracking in the same time. So, the system is try to test by tracking the only one iris (in this case is right iris) using selfcapture video dataset (called Video Set 3 after). The result show that the system run more faster compare when tracking two irises in the same time. Figure 4.16 showed that the testing result:

Image (a) showed the result of 10th frame in both irises tracking, Image (b) showed the result of 10th frame in right iris tracking; Image (c) showed the result of 70th frame in both irises tracking, Image (d) showed the result of 70th frame in right iris tracking. Image (e) showed the result of 150th frame in both irises tracking, Image (f) showed the result of 150th frame in right iris tracking.

In Table 4.3 showed the time processing result of both irises tracking and 1 iris tracking. As can see, the processing time had reduced in different frames. There system seems to run slower in tracking the two irises compared to one. This is because the system will work on the detection of left iris first before going to the right and this is not running in parallel. This issue will be discussed in Chapter 6.

Frame	Processing Time (s)		<b>Discrepancy</b> (s)	
	Both Irises	1 Iris		
10th	29.5305	7.00671	-22.52379	
70th	4.7975	4.07086	-0.72664	
150th	12.8055	5.54003s	-7.26547	

Table 4.3: The training	1. 14	· ·	4 1 • 1		• • •
Table 4 3. The tre	acking recult	time in 1	tracking h	oth irices and	one tric only
$\mathbf{I}$ and $\mathbf{T}_{\mathbf{I}}$ . $\mathbf{I}$ in $\mathbf{I}$	aching result		u auning D	un nacs anu	



(a)

(b)



(c)

(d)

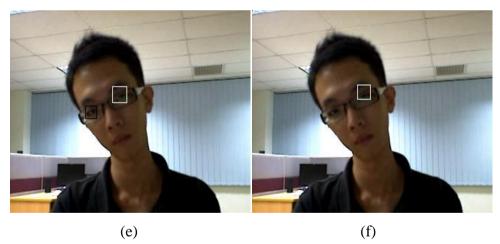


Figure 4.16: The result frame in tracking both irises and one iris only testing

The system is also tested in different pixel frame video to compare their processing time in tracking process. In this case, a self -record real time video (called Video Set 4) which has 820 frames is used to verify this problem; same video but 2 different pixel frame size: 320x240 and 160x120. Figure 4.17 indicates 2 different pixel size of Video Set 4. Figure 4.18 showed the result of this experiment and can see that the bigger pixel size frame need more time to process compare to smaller one because the bigger pixel size frame have more possibility of trajectory paths. Processing time is increased in the process when the system is generated positive and negative examples especially when the user have new moving in the video, otherwise, it wouldn't cause much time.



Figure 4.17: Different pixel size frame of Video Set 4. Left one is 160\*120 pixel and right one is 320\*240 pixel

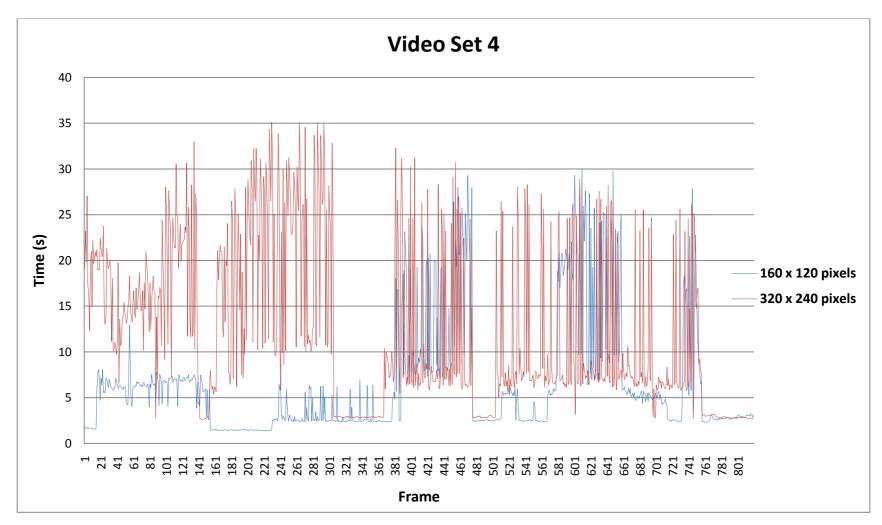


Figure 4.18: Time against the frame graph of tracking among 820 frames of Video Set 4 in 320x240 and 160x120 pixel size.

The system also can track the irises in different type of scenario perfectly. Some special cases are showed there. Like Figure 4.19, the system is still able to track the user's face with extensive expression.



Figure 4.19: Different facial expression

In the scenario like partial face or occlusion on the user's face wouldn't cause any issue as long as the system has learned well from the previous frames. The occlusion here included cases like cover the iris by hand, hand strut the head and so on. Figure 4.20 showed some cases for this kind of scenarios.



Figure 4.20: Obstacle at the user's face

As long as the system get enough positive sample in the process of testing, it is intelligent enough to track the iris location region even when the users close their eyes temporality. Figure 4.21 showed some success example case of this scenario.



Figure 4.21: Close eye

Of course, in the process of tracking some failure detection are reported. The following images in Figure 4.22 shows some failed cases.



Figure 4.22: Fail case samples

From those images, can know that the miss detect can be occurred in any time and doesn't have any fix pattern. This is because when the tracker fail in finding the correct iris/ irises. it will track other high similarity moving objects in the frames. Although the system will miss detect the object, it doesn't mean the system identified it as correct detection but just assuming it. Once the system verify it is not the correct object as pre-defined (irises pair) by learning form the positive examples generated in the process, it will always go back to the initial detected location as long as the default detection of irises is correct. This might happen when the system doesn't have enough positive examples to learn and improve. As the positive example increases in the process, the system will become more stable and robust. It also affected by the size of the defined iris box (white box and black box) in getting enough information for the learning curve within a short time.

# CHAPTER 5

## CONCLUSION

## 5.1 Conclusion

In this project, an effective algorithm is proposed for real time automatically iris recognition. The tracker start the tracking based on a initial information from a correct detected irises. In the tracking process, the success rate depends on the number of positive example need in the learning in the tracking process. The system is more stable and robust if more positive examples is generated. This is because the system needs to verify the trajectory whether is correct or not by using the positive examples.

More training and learning, more accuracy and robust the system performs. As the Video Set 2 results showed, the system need time to learn the user's new moving and it able to track the correct irises pair again if the user do that particular action again. In this process, the system generates the positive examples for system to learn and generate negative examples to avoid the nearly incorrect trajectory.

Through many time of testing, the system runs slower in higher resolution images. This will affect the real time performance because the system can't capture every frame and this will cause the learning rate became low. Since the system run faster when tracking 1 iris nicely, it also can use for some

# CHAPTER 6

# **RECOMMENDATIONS AND FUTURE IMPROVEMENTS**

## 6.1 **Recommendations and Future Improvements**

In the process of using online profession video dataset and self-produced video set, found out that the user with wearing spectacle/ glass have a quite hard time to detect the iris compare to whose didn't. The reason of that is vary, some is due to the strong reflection of the surrounding lighting on the glass, and some is because the edge of the spectacle is blocking the iris or appeal at the same line as the irises horizontally. It also might be the shape/frame of the spectacle because the head/ face detection fail at first. Besides that, the low transparency spectacle will also affects the visibility of iris. Sometime the facial expressions of the users have caused the eyes to be nearly or indirectly closed causing the irises not visible enough for detection also. So the system can detect the user irises more faster for those who didn't wear spectacle. Although for those who wearing spectacle have a hard time to detect their irises at the initial, but once the system capture their irises and generates some positive examples, the system is can learn for the positive example and able to track the irises well after that. But sometime it also have some rare success case happened at the initialize of the tracking. Some examples are showed in Figure 6.1.



Figure 6.1: User who wearing spectacle have hard time to detect the irises. First row showed some example of deflect irises pair result. Second row showed some sample of accuracy result that happen rarely at the initial tracking.

There are some researchers working on the removal of glasses from the input images. Wu, Chenyu et al. (2004) have created a system can automatically remove eyeglasses from an input face image by apply Morkov chain Monte Carlo method. Cheng Du and Guangda Su (2005) have also proposed a method by synthesize a natural looking eyeglassless facial image by recursive error compensation of PCA reconstruction. All of those methods can be study further more to improve this system.

On the other hands, the system runs very slow in the process of compilation. To overcome this problem, we suggest implementing CUDA (www.nvidia.com.) for parallel computer processing. CUDA (Compute Unified Device Architecture) is a technology by nVidia allowing programmers to write code that can be uploaded and executed in recent nVidia graphics cards, exploiting their massively parallel architecture in order to obtain a relevant reduction of computer time. C++ developers can write particular functions called "kernels" that can be called from the host and executed on CUDA device simultaneously by many threads in parallel.

By using this technology, we can implement the tracking algorithm by creating several CUDA kernels corresponding to the different steps of the algorithm. By this, computations performed in different blocks of the image can be executed in parallel, while the execution of the different steps is synchronized. The Figure 6.2 illustrates processing flow on CUDA. The number [1] in the figure indicates the data copy from the main memory to the Graphic User Interface (GPU) memory, number [2] indicates the Central Processing Unit (CPU) instructs the process to GPU, number [3] shows that the GPU execute the data parallel in each core and number [4] indicates the result from the GPU memory is copy back to the main memory.

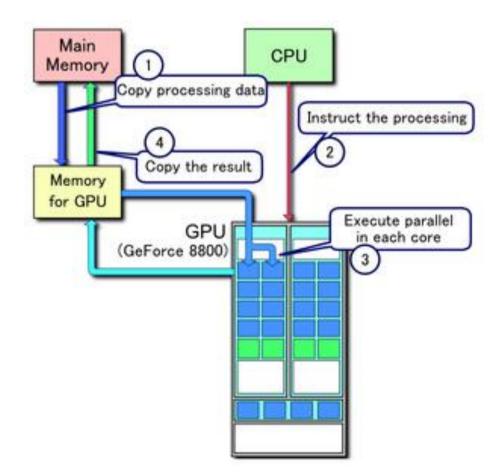


Figure 6.2: Processing flow on CUDA (www.nvidia.com)

In future, this iris recognition system can be enhanced to perform more complex application like eye-mouse tracking, driver's drowsiness detection system, personal identifying system, webpage eye tracking study and so on. Further step to reduce the false positives produced by iris recognition system is necessary. Artificial Intelligence algorithms, like fuzzy logic can be added into the system to adjust the initial condition of the bounding box for different individual.

By having this automated iris recognition system, we can implemented it into different area. For example, allocate users visual attention when viewing webpages. It also can illuminate what people decide to look at, how they navigate search results, and what aspects of search pages are the most important for finding information online. Consumer's perspectives are collected and examine consumers' perceptions of different types of advertisement by tracking where they are looking. Figure 6.3 showed eye tracking "heatmap" example used in website advertisement analysis

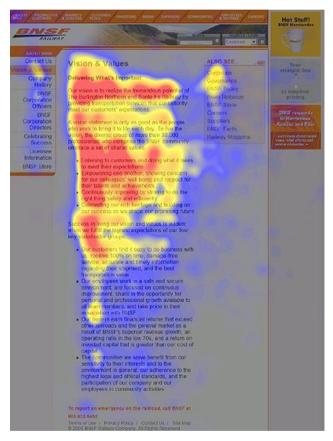


Figure 6.3: Example of an eyetracking "heatmap" (http://www.useit.com/eyetracking/)

Also, this system has the potential use in the human-car interaction. Texting while driving, looking up an address for the navigation system, and taking a phone call are just some common examples that add value for the driver, but also increase the risk of driving. By implement this system, it can tracking the driver's eye or irises and the user can their gazes, eye blink or head movement and translate them into commands to control other interface instead of using their hands. It also can be a methods for predicting driver distraction with in-car devices.

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