

# 多類支持向量機混合LDA演算法之人臉辨識研究

楊晏和、黃登淵

E-mail: 9606960@mail.dyu.edu.tw

## 摘要

近年來，由於人臉辨識系統被廣泛地應用在「治安保全」、「門禁監控」、「醫療診斷」與「智慧生活」等方面，因此對於人類生活產生相當程度之影響。在眾多的生物辨識技術(Biometric Identification Technique)中，包含指紋、視網膜、虹膜、掌紋與人臉辨識等，其中因人臉辨識之非侵入性，最具優勢。此外視訊會議、影像內容檢索與醫學影像處理等方面，亦是其重要之應用領域。特徵擷取(Feature Extraction)與分類比對(Classification)是人臉辨識的兩大主題。在特徵擷取階段，即是指利用子空間轉換技術(Subspace Techniques)，將高維度之原影像空間投影至較低維度之影像空間，本文採用的方法有：主分量分析法(Principle Component Analysis ; PCA)，與線性鑑別式分析法(Linear Discriminant Analysis ; LDA)等方法。在分類比對方面，則採用歐式距離、餘弦距離、與支持向量機分類器等。當以SVM為人臉分類器，若以ORL為測試之人臉資料庫，PCA、LDA與D-LDA之平均人臉辨識率分別可達87.4%、89.9%與84.3%。當進一步採用其它分類器時，其平均人臉辨識率均有下降之趨勢。此外，本文為了測試不同光線與角度對人臉辨識之影響，採用MIT-CBCL做為測試之人臉資料庫。同樣地，當以SVM做為人臉分類器時，PCA、LDA與D-LDA之平均人臉辨識率在測試樣本充分的清況下(樣本數=100)，分別可達85%、97%與83%。但在樣本數不足之清況下(樣本數=10)，其辨識率分別下降為84%、73%與72%。由此可知，在測試樣本不足之條件下，顯然PCA具有比LDA更高之人臉辨識率，在本文探討的九種人臉辨識方法當中，可知以「小波轉換 + LDA演算法則+SVM分類器」之人臉辨識率為最高，這顯示出SVM在人臉分類上具有相當優異之性能。此外當訓練類別或樣本數增加時，雖然可以提高人臉辨識率，但相對地其訓練時間也延長許多。

關鍵詞：人臉辨識；小波轉換；線性鑑別式分析法；支持向量機

## 目錄

|  |      |                                     |    |   |     |
|--|------|-------------------------------------|----|---|-----|
| 封面內頁 簽名頁 授權書.....                              | iii  | 中文摘要.....                           | iv | 英文摘要.....   | vi  |
| 誌謝.....  | viii | 目錄.....                             | ix | 圖目錄.....  | xii |
| 表目錄.....                                       | xv   | 第一章 緒論 1.1 前言.....                  | 1  | 1.2 文獻回顧.....                                     | 1   |
| 1.3 研究動機.....                                  | 5    | 1.4 本文架構.....                       | 5  | 第二章 人臉辨識系統演算法則 2.1 前言.....                        | 7   |
| 2.2 小波轉換理論基礎.....                              | 9    | 2.3 主分量分析(PCA)理論基礎.....             | 14 | 2.3.1 傳統型主分量分析方法(PCA).....                        | 17  |
| 2.4 線性鑑別式分析(LDA)理論基礎.....                      | 18   | 2.4.1 線性鑑別式分析方法.....                | 18 | 2.4.2 傳統型線性鑑別式分析方法(LDA).....                      | 22  |
| 2.4.3 直接線性鑑別式分析方法(D-LDA).....                  | 24   | 2.5 人臉辨識分類器.....                    | 28 | 2.5.1 歐式距離分類器(Euclidean Distance Classifier)..... | 28  |
| 2.5.2 餘弦距離分類器(Cosine Distance Classifier)..... | 29   | 2.5.3 支持向量機分類器(SVM Classifier)..... | 29 | 第三章 支持向量機(SVM) 3.1 前言.....                        | 31  |
| 3.2 線性可分離.....                                 | 32   | 3.3 線性不可分離.....                     | 35 | 3.4 非線性可分離.....                                   | 37  |
| 3.5 支持向量機之核函數選擇與參數設定.....                      | 40   | 3.6 SVM應用在多類別分類上.....               | 44 | 第四章 人臉辨識系統流程與實驗結果 4.1 前言.....                     | 48  |
| 4.2 發展環境.....                                  | 49   | 4.3 人臉資料庫.....                      | 50 | 4.3.1 ORL人臉資料庫.....                               | 50  |
| 4.3.2 MIT-CBCL人臉資料庫.....                       | 52   | 4.4 人臉辨識系統流程設計.....                 | 52 | 4.5 實驗結果.....                                     | 54  |
| 4.5.1 ORL人臉資料庫進行人臉辨識比對之結果.....                 | 54   | 4.5.2 MIT-CBCL人臉資料庫進行人臉辨識比對之結果..... | 72 | 4.5.3 實驗結果討論.....                                 | 73  |
| 第五章 結論與未來研究方向 5.1 結論.....                      | 75   | 5.2 未來研究方向.....                     | 76 | 參考文獻.....   | 77  |

## 參考文獻

- [1] R. Chellappa, C. L. Wilson, and S. Sirohey, "Human and machine recognition of faces: a survey," in Proceedings of the IEEE, pp. 705-741, 1995.
- [2] R. Bruneli, and T. Poggio, "Face recognition: features versus templates," IEEE Transactions on Pattern Analysis and Machine Intelligence, Vol. 15, No. 10, pp. 1042-1052, 1993.
- [3] A. M. Martnez, and A. C. Kak, "PCA versus LDA," IEEE Transactions on Pattern Analysis and Machine Intelligence, Vol. 23, No. 2, pp. 228-233, Feb. 2001
- [4] J. Wang, K. N. Plataniotis, and A. N. Venetsanopoulos, "Selecting discriminate eigenfaces for face recognition," Pattern

Recognition Letters, Vol. 26, pp. 1470-1482, 2005.

- [5] P. N. Belhumeur, J. P. Hespanha, and D. J. Kriegman, "Eigenfaces vs. Fisherfaces: Recognition using class specific linear projection," IEEE Transactions on Pattern Analysis and Machine Intelligence, Vol. 19, No. 7, pp. 711-720, July 1997.
- [6] M. S. Bartlett, H. M. Lades, and T. Sejnowski, "Face recognition by independent component analysis," IEEE Transaction on Neural Networks, Vol. 13, No. 6, pp. 1450-1464, 2002.
- [7] D. L. Swets, and J. Weng, "Using Discriminant Eigenfeatures for Image Retrieval," IEEE Transaction on Pattern Analysis and Machine Intelligence, Vol. 18, No. 8, pp. 831-836, Aug, 1996.
- [8] L. F. Chen, H. Y. Mark Liao, M. T. Ko, J. C. Lin, and G. J. Yu, "A new LDA-based face recognition system which can solve the small sample size problem," Pattern recognition, Vol. 33, pp. 1713-1726, 2000.
- [9] R. Lotlikar, and R. Kothari, "Fractional-step dimensionality reduction," IEEE Transaction on Pattern Analysis and Machine Intelligence, Vol. 22, No. 6, pp. 623-627, Jun, 2000.
- [10] H. Yu, and J. Yang, "A direct LDA algorithm for high-dimensional data – with application to face recognition," Pattern Recognition, Vol. 34, pp. 2067-2070, 2001.
- [11] J. Lu, K. N. Plataniotis, and A. N. Venetsanopoulos, "Face recognition using LDA-Based Algorithms," IEEE Transactions on Neural Networks, Vol. 14, No. 1, 2003.
- [12] S. Yoshimura, T. Kanade, "Fast template matching based on the normalized correlation by using multiresolution eigenimages," Vol. 3, pp. 2086-2093, 1994.
- [13] J. Kittler, Y. P. Li, J. Matas, "On matching scores for LDA based face verification," Proceedings of British Machine Vision Conference, 2000.
- [14] Z. Shaoyan and Q. Hong, "Face recognition with support vector machine," IEEE International Conference on Robotics, Intelligent Systems and Signal Processing, Changsha, China, vol.2, pp. 726-730, 2003.
- [15] G. Guodong, S. Z. Li, and C. Kapluk, "Face recognition by support vector machines," IEEE Conference on International Automatic Face and Gesture Recognition, Grenoble, France, pp. 196-201, 2000.
- [16] K. Jonsson, J. Kittler, Y. P. Li, and J. Matas, "Support Vector Machines for Face Authentication," Proceedings of British Machine Vision Conference Nottingham, pp. 543-553, 1999.
- [17] J. QIN and Z.-S. HE, "A SVM FACE RECOGNITION METHOD BASED ON GABOR-FEATURED KEY POINTS," Proceedings of the Fourth International Conference on Machine Learning and Cybernetics, Guangzhou, China, pp. 5144-5149, 2005.
- [18] L. Bing, Z. Yun, and P. Yun-Hong, "Face recognition based on wavelet transform and SVM," IEEE International Conference on Information Acquisition, Hong Kong and Macau, China, pp. 373-377, 2005.
- [19] M. Safari, M. T. Harandi, and B. N. Araabi, "A SVM-based method for face recognition using a wavelet PCA representation of faces," International Conference on Image Processing, Vol.2, pp. 853-856, 2004.
- [20] V. N. Vapnik, "Statistical Learning Theory," John Wiley & Sons, Inc., New York, 1998.
- [21] M. Turk, and A. Pentland, "Eigenfaces for recognition," Journal of Cognitive Neuroscience, Vol. 3, No. 1, pp. 71-86, 1991.
- [22] J. Huang, B. Heisele, and V. Blanz, "Component-based Face Recognition with 3D Morphable Models," Proc. of the 4th International Conference on Audio- and Video-Based Biometric Person Authentication, Guildford, UK, pp. 27-34, 2003.
- [23] H. Yu, and J. Yang, "A direct LDA algorithm for high-dimensional data – with application to face recognition," Pattern Recognition, Vol. 34, pp. 2067-2070, 2001.
- [24] H. T. LIN, C. J. LIN, "A Study on Sigmoid Kernels for SVM and the Training of Non-PSD Kernels by SMO-type Methods," Taipei: Department of Computer Science and Information Engineering, National Taiwan University, 2003.
- [25] C. C. Chang, C. J. Lin, LIBSVM: a library for support vector machines, 2001. Software available at <http://www.cise.ntu.edu.tw/~cjlin/libsvm>.
- [26] Hui Gao, James W. Davis, "Why direct LDA is not equivalent to LDA," Pattern Recognition, Vol. 39, pp. 1002-1006, 2006.
- [27] A. M. Martinez, and A. C. Kak, "PCA versus LDA," IEEE Transactions on Pattern Analysis and Machine Intelligence, Vol. 23, No. 2, pp. 228-233, 2001.
- [28] H. Gao, and J. W. Davis, "Why direct LDA is not equivalent to L DA," Pattern Recognition, Vol. 39, pp. 1002-1006, 2006.
- [29] ORL人臉資料庫網址 [http://www.cl.cam.ac.uk/Research/DTG/attarchive/pub/data/att\\_faces.tar.Z](http://www.cl.cam.ac.uk/Research/DTG/attarchive/pub/data/att_faces.tar.Z) [30] MIT-CBCL人臉資料庫網址 <http://cbcl.mit.edu/software-datasets/heisele/facerecognition-database.html> [31] 繆紹剛譯, "數位影像處理 第二版", 普林斯頓, 民92.
- [32] 林冠中, "漸進式支持向量機於人臉辨識之應用", 國立成功大學資訊工程系碩士論文, 民94.