Eigenfaces vs. Fisherfaces: Recognition Using Class Specific Linear Projection

Peter N. Belhumeur, João P. Hespanha, and David J. Kriegman

Abstract—We develop a face recognition algorithm which is insensitive to large variation in lighting direction and facial expression. Taking a pattern classification approach, we consider each pixel in an image as a coordinate in a high-dimensional space. We take advantage of the observation that the images of a particular face, under varying illumination but fixed pose, lie in a 3D linear subspace of the high dimensional image space—if the face is a Lambertian surface without shadowing. However, since faces are not truly Lambertian surfaces and do indeed produce self-shadowing, images will deviate from this linear subspace. Rather than explicitly modeling this deviation, we linearly project the image into a subspace in a manner which discounts those regions of the face with large deviation. Our projection method is based on Fisher's Linear Discriminant and produces well separated classes in a low-dimensional subspace, even under severe variation in lighting and facial expressions. The Eigenface technique, another method based on linearly projecting the image space to a low dimensional subspace, has similar computational requirements. Yet, extensive experimental results demonstrate that the proposed "Fisherface" method has error rates that are lower than those of the Eigenface technique for tests on the Harvard and Yale Face Databases.

Index Terms—Appearance-based vision, face recognition, illumination invariance, Fisher's linear discriminant.

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1 INTRODUCTION

Within the last several years, numerous algorithms have been proposed for face recognition; for detailed surveys see [1], [2]. While much progress has been made toward recognizing faces under small variations in lighting, facial expression and pose, reliable techniques for recognition under more extreme variations have proven elusive.

In this paper, we outline a new approach for face recognition—one that is insensitive to large variations in lighting and facial expressions. Note that lighting variability includes not only intensity, but also direction and number of light sources. As is evident from Fig. 1, the same person, with the same facial expression, and seen from the same viewpoint, can appear dramatically different when light sources illuminate the face from different directions. See also Fig. 4.

Our approach to face recognition exploits two observations:

1) All of the images of a Lambertian surface, taken from a fixed viewpoint, but under varying illumination, lie in a 3D linear subspace of the high-dimensional image space [3].
2) Because of regions of shadowing, specularities, and facial expressions, the above observation does not exactly hold. In practice, certain regions of the face may have variability from image to image that often deviates significantly from the linear subspace, and, consequently, are less reliable for recognition.

We make use of these observations by finding a linear projection of the faces from the high-dimensional image space to a significantly lower dimensional feature space which is insensitive both to variation in lighting direction and facial expression. We choose projection directions that are nearly orthogonal to the within-class scatter, projecting away variations in lighting and facial expression while maintaining discriminability. Our method Fisherfaces, a derivative of Fisher's Linear Discriminant (FLD) [4], [5], maximizes the ratio of between-class scatter to that of within-class scatter.

The Eigenface method is also based on linearly projecting the image space to a low dimensional feature space [6], [7], [8]. However, the Eigenface method, which uses principal components analysis (PCA) for dimensionality reduction, yields projection directions that maximize the total scatter across all classes, i.e., across all images of all faces. In choosing the projection which maximizes total scatter, PCA retains unwanted variations due to lighting and facial expression. As illustrated in Figs. 1 and 4 and stated by Moses et al., "the variations between the images of the same face due to illumination and viewing direction are almost always larger than image variations due to change in face identity" [9]. Thus, while the PCA projections are optimal

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• *The authors are with the Center for Computational Vision and Control, Dept. of Electrical Engineering, Yale University, New Haven, CT 06520-8267. E-mail: {belhumeur, kriegman}@yale.edu, hespanha@yale.edu.*

Fig. 1. The same person seen under different lighting conditions can appear dramatically different: In the left image, the dominant light source is nearly head-on; in the right image, the dominant light source is from above and to the right.

for reconstruction from a low dimensional basis, they may not be optimal from a discrimination standpoint.

We should point out that Fisher's Linear Discriminant is a "classical" technique in pattern recognition [4], first developed by Robert Fisher in 1936 for taxonomic classification [5]. Depending upon the features being used, it has been applied in different ways in computer vision and even in face recognition. Cheng et al. presented a method that used Fisher's discriminator for face recognition, where features were obtained by a polar quantization of the shape [10]. Baker and Nayar have developed a theory of pattern rejection which is based on a two class linear discriminant [11]. Contemporaneous with our work [12], Cui et al. applied Fisher's discriminator (using different terminology, they call it the Most Discriminating Feature—MDF) in a method for recognizing hand gestures [13]. Though no implementation is reported, they also suggest that the method can be applied to face recognition under variable illumination.

In the sections to follow, we compare four methods for face recognition under variation in lighting and facial expression: correlation, a variant of the linear subspace method suggested by [3], the Eigenface method [6], [7], [8], and the Fisherface method developed here. The comparisons are done using both a subset of the Harvard Database (330 images) [14], [15] and a database created at Yale (160 images). In tests on both databases, the Fisherface method had lower error rates than any of the other three methods. Yet, no claim is made about the relative performance of these algorithms on much larger databases.

We should also point out that we have made no attempt to deal with variation in pose. An appearance-based method such as ours can be extended to handle limited pose variation using either a multiple-view representation, such as Pentland et al's. view-based Eigenspace [16] or Murase and Nayar's appearance manifolds [17]. Other approaches to face recognition that accommodate pose variation include [18], [19], [20]. Furthermore, we assume that the face has been located and aligned within the image, as there are numerous methods for finding faces in scenes [21], [22], [20], [23], [24], [25], [7].

2 METHODS

The problem can be simply stated: Given a set of face images labeled with the person's identity (*the learning set*) and an unlabeled set of face images from the same group of people (*the test set*), identify each person in the test images.

In this section, we examine four pattern classification techniques for solving the face recognition problem, comparing methods that have become quite popular in the face recognition literature, namely correlation [26] and Eigenface methods [6], [7], [8], with alternative methods developed by the authors. We approach this problem within the pattern classification paradigm, considering each of the pixel values in a sample image as a coordinate in a high-dimensional space (*the image space*).

2.1 Correlation

Perhaps, the simplest classification scheme is a nearest neighbor classifier in the image space [26]. Under this scheme, an image in the test set is recognized (classified) by assigning to it the label of the closest point in the learning set, where distances are measured in the image space. If all of the images are normalized to have zero mean and unit variance, then this procedure is equivalent to choosing the image in the learning set that best correlates with the test image. Because of the normalization process, the result is independent of light source intensity and the effects of a video camera's automatic gain control.

This procedure, which subsequently is referred to as correlation, has several well-known disadvantages. First, if the images in the learning set and test set are gathered under varying lighting conditions, then the corresponding points in the image space may not be tightly clustered. So, in order for this method to work reliably under variations in lighting, we would need a learning set which densely sampled the continuum of possible lighting conditions. Second, correlation is computationally expensive. For recognition, we must correlate the image of the test face with each image in the learning set; in an effort to reduce the computation time, implementors [27] of the algorithm described in [26] developed special purpose VLSI hardware. Third, it requires large amounts of storage—the learning set must contain numerous images of each person.

2.2 Eigenfaces

As correlation methods are computationally expensive and require great amounts of storage, it is natural to pursue dimensionality reduction schemes. A technique now commonly used for dimensionality reduction in computer vision—particularly in face recognition—is principal components analysis (PCA) [14], [17], [6], [7], [8]. PCA techniques, also known as Karhunen-Loeve methods, choose a dimensionality reducing linear projection that maximizes the scatter of all projected samples.

More formally, let us consider a set of N sample images $\{\mathbf{x}_1, \mathbf{x}_2, \ldots, \mathbf{x}_N\}$ taking values in an n-dimensional image space, and assume that each image belongs to one of c classes $\{X_1, X_2, \ldots, X_c\}$. Let us also consider a linear transformation mapping the original n-dimensional image space into an m-dimensional feature space, where $m < n$. The new feature vectors $\mathbf{y}_k \in \mathbb{R}^m$ are defined by the following linear transformation:

$$\mathbf{y}_k = W^T \mathbf{x}_k \qquad k = 1, 2, \ldots, N \qquad (1)$$

where $W \in \mathbb{R}^{n \times m}$ is a matrix with orthonormal columns.

If the total scatter matrix S_T is defined as

$$S_T = \sum_{k=1}^{N} (\mathbf{x}_k - \boldsymbol{\mu})(\mathbf{x}_k - \boldsymbol{\mu})^T$$

where n is the number of sample images, and $\boldsymbol{\mu} \in \mathbb{R}^n$ is the mean image of all samples, then after applying the linear transformation W^T, the scatter of the transformed feature vectors $\{\mathbf{y}_1, \mathbf{y}_2, \ldots, \mathbf{y}_N\}$ is $W^T S_T W$. In PCA, the projection W_{opt} is chosen to maximize the determinant of the total scatter matrix of the projected samples, i.e.,

$$W_{opt} = \arg\max_{W} \left| W^T S_T W \right|$$

$$= \begin{bmatrix} \mathbf{w}_1 & \mathbf{w}_2 & \dots & \mathbf{w}_m \end{bmatrix} \quad (2)$$

where $\left\{ \mathbf{w}_i \mid i = 1, 2, \dots, m \right\}$ is the set of n-dimensional eigenvectors of S_T corresponding to the m largest eigenvalues. Since these eigenvectors have the same dimension as the original images, they are referred to as Eigenpictures in [6] and Eigenfaces in [7], [8]. If classification is performed using a nearest neighbor classifier in the reduced feature space and m is chosen to be the number of images N in the training set, then the Eigenface method is equivalent to the correlation method in the previous section.

A drawback of this approach is that the scatter being maximized is due not only to the between-class scatter that is useful for classification, but also to the within-class scatter that, for classification purposes, is unwanted information. Recall the comment by Moses et al. [9]: Much of the variation from one image to the next is due to illumination changes. Thus if PCA is presented with images of faces under varying illumination, the projection matrix W_{opt} will contain principal components (i.e., Eigenfaces) which retain, in the projected feature space, the variation due lighting. Consequently, the points in the projected space will not be well clustered, and worse, the classes may be smeared together.

It has been suggested that by discarding the three most significant principal components, the variation due to lighting is reduced. The hope is that if the first principal components capture the variation due to lighting, then better clustering of projected samples is achieved by ignoring them. Yet, it is unlikely that the first several principal components correspond solely to variation in lighting; as a consequence, information that is useful for discrimination may be lost.

2.3 Linear Subspaces

Both correlation and the Eigenface method are expected to suffer under variation in lighting direction. Neither method exploits the observation that for a Lambertian surface without shadowing, the images of a particular face lie in a 3D linear subspace.

Consider a point p on a Lambertian surface illuminated by a point light source at infinity. Let $\mathbf{s} \in \mathbb{R}^3$ be a column vector signifying the product of the light source intensity with the unit vector for the light source direction. When the surface is viewed by a camera, the resulting image intensity of the point p is given by

$$E(p) = a(p)\mathbf{n}(p)^T \mathbf{s} \quad (3)$$

where $\mathbf{n}(p)$ is the unit inward normal vector to the surface at the point p, and $a(p)$ is the albedo of the surface at p [28]. This shows that the image intensity of the point p is linear on $\mathbf{s} \in \mathbb{R}^3$. Therefore, in the absence of shadowing, given three images of a Lambertian surface from the same viewpoint taken under three known, linearly independent light source directions, the albedo and surface normal can be recovered; this is the well known method of photometric stereo [29], [30]. Alternatively, one can reconstruct the im-

age of the surface under an arbitrary lighting direction by a linear combination of the three original images, see [3].

For classification, this fact has great importance: It shows that, for a fixed viewpoint, the images of a Lambertian surface lie in a 3D linear subspace of the high-dimensional image space. This observation suggests a simple classification algorithm to recognize Lambertian surfaces—insensitive to a wide range of lighting conditions.

For each face, use three or more images taken under different lighting directions to construct a 3D basis for the linear subspace. Note that the three basis vectors have the same dimensionality as the training images and can be thought of as basis images. To perform recognition, we simply compute the distance of a new image to each linear subspace and choose the face corresponding to the shortest distance. We call this recognition scheme the Linear Subspace method. We should point out that this method is a variant of the photometric alignment method proposed in [3], and is a special case of the more elaborate recognition method described in [15]. Subsequently, Nayar and Murase have exploited the apparent linearity of lighting to augment their appearance manifold [31].

If there is no noise or shadowing, the Linear Subspace algorithm would achieve error free classification under *any* lighting conditions, provided the surfaces obey the Lambertian reflectance model. Nevertheless, there are several compelling reasons to look elsewhere. First, due to self-shadowing, specularities, and facial expressions, some regions in images of the face have variability that does not agree with the linear subspace model. Given enough images of faces, we should be able to learn which regions are good for recognition and which regions are not. Second, to recognize a test image, we must measure the distance to the linear subspace for each person. While this is an improvement over a correlation scheme that needs a large number of images to represent the variability of each class, it is computationally expensive. Finally, from a storage standpoint, the Linear Subspace algorithm must keep three images in memory for every person.

2.4 Fisherfaces

The previous algorithm takes advantage of the fact that, under admittedly idealized conditions, the variation within class lies in a linear subspace of the image space. Hence, the classes are convex, and, therefore, linearly separable. One can perform dimensionality reduction using linear projection and still preserve linear separability. This is a strong argument in favor of using linear methods for dimensionality reduction in the face recognition problem, at least when one seeks insensitivity to lighting conditions.

Since the learning set is labeled, it makes sense to use this information to build a more reliable method for reducing the dimensionality of the feature space. Here we argue that using class specific linear methods for dimensionality reduction and simple classifiers in the reduced feature space, one may get better recognition rates than with either the Linear Subspace method or the Eigenface method. Fisher's Linear Discriminant (FLD) [5] is an example of a *class specific method*, in the sense that it tries to "shape" the scatter in order to make it more reliable for

classification. This method selects W in [1] in such a way that the ratio of the between-class scatter and the within-class scatter is maximized.

Let the between-class scatter matrix be defined as

$$S_B = \sum_{i=1}^{c} N_i (\boldsymbol{\mu}_i - \boldsymbol{\mu})(\boldsymbol{\mu}_i - \boldsymbol{\mu})^T$$

and the within-class scatter matrix be defined as

$$S_W = \sum_{i=1}^{c} \sum_{\mathbf{x}_k \in X_i} (\mathbf{x}_k - \boldsymbol{\mu}_i)(\mathbf{x}_k - \boldsymbol{\mu}_i)^T$$

where $\boldsymbol{\mu}_i$ is the mean image of class X_i, and N_i is the number of samples in class X_i. If S_W is nonsingular, the optimal projection W_{opt} is chosen as the matrix with orthonormal columns which maximizes the ratio of the determinant of the between-class scatter matrix of the projected samples to the determinant of the within-class scatter matrix of the projected samples, i.e.,

$$W_{opt} = \arg \max_{W} \frac{\left| W^T S_B W \right|}{\left| W^T S_W W \right|}$$

$$= [\mathbf{w}_1 \ \mathbf{w}_2 \ \ldots \ \mathbf{w}_m] \qquad (4)$$

where $\{\mathbf{w}_i \mid i = 1, 2, \ldots, m\}$ is the set of generalized eigenvectors of S_B and S_W corresponding to the m largest generalized eigenvalues $\{\lambda_i \mid i = 1, 2, \ldots, m\}$, i.e.,

$$S_B \mathbf{w}_i = \lambda_i S_W \mathbf{w}_i, \qquad i = 1, 2, \ldots, m$$

Note that there are at most $c - 1$ nonzero generalized eigenvalues, and so an upper bound on m is $c - 1$, where c is the number of classes. See [4].

To illustrate the benefits of class specific linear projection, we constructed a low dimensional analogue to the classification problem in which the samples from each class lie near a linear subspace. Fig. 2 is a comparison of PCA and FLD for a two-class problem in which the samples from each class are randomly perturbed in a direction perpendicular to a linear subspace. For this example, $N = 20$, $n = 2$, and $m = 1$. So, the samples from each class lie near a line passing through the origin in the 2D feature space. Both PCA and FLD have been used to project the points from 2D down to 1D. Comparing the two projections in the figure, *PCA actually smears the classes together* so that they are no longer linearly separable in the projected space. It is clear that, although PCA achieves larger total scatter, FLD achieves greater between-class scatter, and, consequently, classification is simplified.

In the face recognition problem, one is confronted with the difficulty that the within-class scatter matrix $S_W \in \mathbb{R}^{n \times n}$ is always singular. This stems from the fact that the rank of S_W is at most $N - c$, and, in general, the number of images in the learning set N is much smaller than the number of pixels in each image n. This means that it is possible to choose the matrix W such that the within-class scatter of the projected samples can be made exactly zero.

In order to overcome the complication of a singular S_W, we propose an alternative to the criterion in (4). This
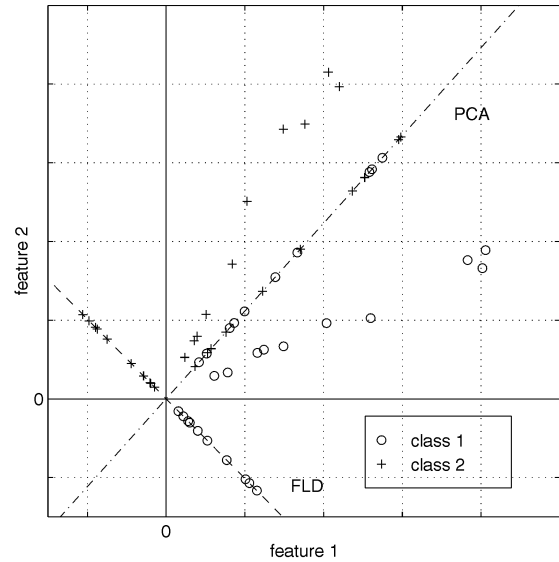

Fig. 2. A comparison of principal component analysis (PCA) and Fisher's linear discriminant (FLD) for a two class problem where data for each class lies near a linear subspace.

method, which we call Fisherfaces, avoids this problem by projecting the image set to a lower dimensional space so that the resulting within-class scatter matrix S_W is nonsingular. This is achieved by using PCA to reduce the dimension of the feature space to $N - c$, and then applying the standard FLD defined by (4) to reduce the dimension to $c - 1$. More formally, W_{opt} is given by

$$W_{opt}^T = W_{fld}^T W_{pca}^T \qquad (5)$$

where

$$W_{pca} = \arg \max_{W} \left| W^T S_T W \right|$$

$$W_{fld} = \arg \max_{W} \frac{\left| W^T W_{pca}^T S_B W_{pca} W \right|}{\left| W^T W_{pca}^T S_W W_{pca} W \right|}$$

Note that the optimization for W_{pca} is performed over $n \times (N - c)$ matrices with orthonormal columns, while the optimization for W_{fld} is performed over $(N - c) \times m$ matrices with orthonormal columns. In computing W_{pca}, we have thrown away only the smallest $c - 1$ principal components.

There are certainly other ways of reducing the within-class scatter while preserving between-class scatter. For example, a second method which we are currently investigating chooses W to maximize the between-class scatter of the projected samples after having first reduced the within-class scatter. Taken to an extreme, we can maximize the between-class scatter of the projected samples subject to the constraint that the within-class scatter is zero, i.e.,

$$W_{opt} = \arg \max_{W \in \mathcal{W}} \left| W^T S_B W \right| \qquad (6)$$

where $\mathcal{W}$ is the set of $n \times m$ matrices with orthonormal columns contained in the kernel of S_W.

3 EXPERIMENTAL RESULTS

In this section, we present and discuss each of the aforementioned face recognition techniques using two different databases. Because of the specific hypotheses that we wanted to test about the relative performance of the considered algorithms, many of the standard databases were inappropriate. So, we have used a database from the Harvard Robotics Laboratory in which lighting has been systematically varied. Secondly, we have constructed a database at Yale that includes variation in both facial expression and lighting. [1]

3.1 Variation in Lighting

The first experiment was designed to test the hypothesis that under variable illumination, face recognition algorithms will perform better if they exploit the fact that images of a Lambertian surface lie in a linear subspace. More specifically, the recognition error rates for all four algorithms described in Section 2 are compared using an image database constructed by Hallinan at the Harvard Robotics Laboratory [14], [15]. In each image in this database, a subject held his/her head steady while being illuminated by a dominant light source. The space of light source directions, which can be parameterized by spherical angles, was then sampled in 15° increments. See Fig. 3. From this database, we used 330 images of five people (66 of each). We extracted five subsets to quantify the effects of varying lighting. Sample images from each subset are shown in Fig. 4.

Subset 1 contains 30 images for which both the longitudinal and latitudinal angles of light source direction are within 15° of the camera axis, including the lighting
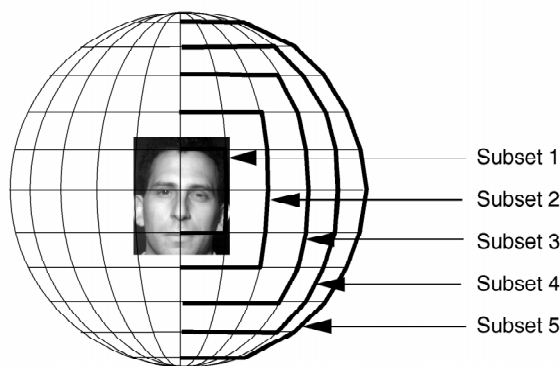

Fig. 3. The highlighted lines of longitude and latitude indicate the light source directions for Subsets 1 through 5. Each intersection of a longitudinal and latitudinal line on the right side of the illustration has a corresponding image in the database.

direction coincident with the camera's optical axis.

Subset 2 contains 45 images for which the greater of the longitudinal and latitudinal angles of light source direction are 30° from the camera axis.

Subset 3 contains 65 images for which the greater of the longitudinal and latitudinal angles of light source direction are 45° from the camera axis.

Subset 4 contains 85 images for which the greater of the longitudinal and latitudinal angles of light source direction are 60° from the camera axis.

Subset 5 contains 105 images for which the greater of the longitudinal and latitudinal angles of light source direction are 75° from the camera axis.

For all experiments, classification was performed using a nearest neighbor classifier. All training images of an indi-

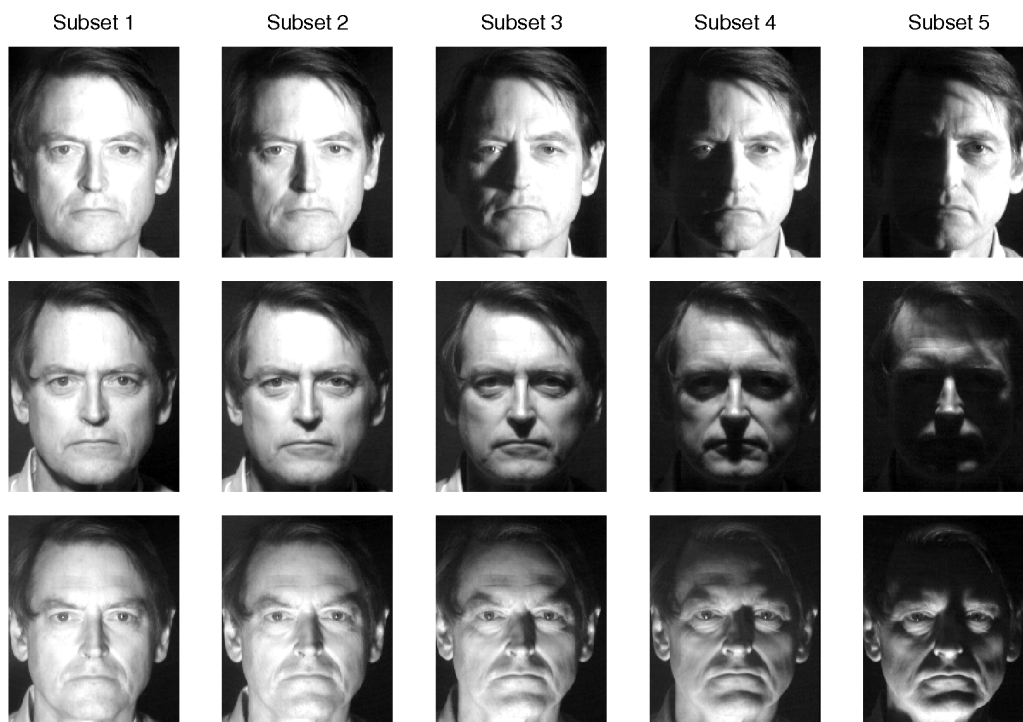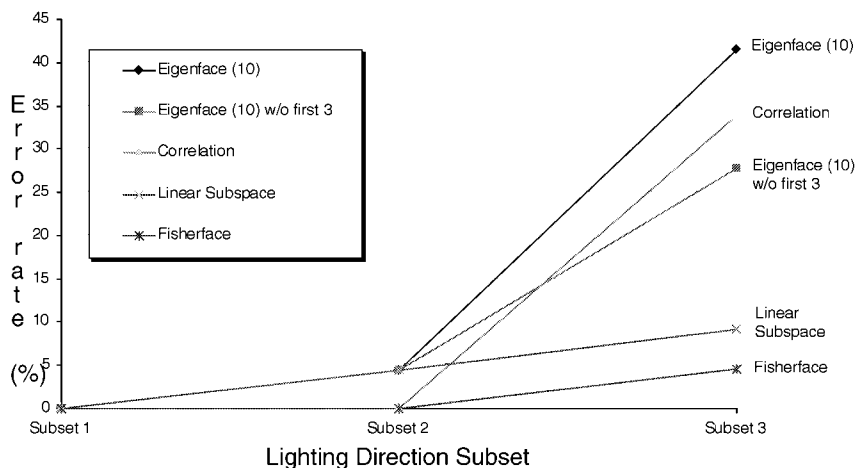1. The Yale database is available for download from http://cvc.yale.edu.

Fig. 4. Example images from each subset of the Harvard Database used to test the four algorithms.

Extrapolating from Subset 1				
Method	Reduced Space	Error Rate (%)		
		Subset 1	Subset 2	Subset 3
Eigenface	4	0.0	31.1	47.7
	10	0.0	4.4	41.5
Eigenface w/o 1st 3	4	0.0	13.3	41.5
	10	0.0	4.4	27.7
Correlation	29	0.0	0.0	33.9
Linear Subspace	15	0.0	4.4	9.2
Fisherface	4	0.0	0.0	4.6

Fig. 5. Extrapolation: When each of the methods is trained on images with near frontal illumination (Subset 1), the graph and corresponding table show the relative performance under extreme light source conditions.

vidual were projected into the feature space. The images were cropped within the face so that the contour of the head was excluded.[2] For the Eigenface and correlation tests, the images were normalized to have zero mean and unit variance, as this improved the performance of these methods. For the Eigenface method, results are shown when ten principal components were used. Since it has been suggested that the first three principal components are primarily due to lighting variation and that recognition rates can be improved by eliminating them, error rates are also presented using principal components four through thirteen.

We performed two experiments on the Harvard Database: extrapolation and interpolation. In the extrapolation experiment, each method was trained on samples from Subset 1 and then tested using samples from Subsets 1, 2, and 3.[3] Since there are 30 images in the training set, correlation is equivalent to the Eigenface method using 29 principal components. Fig. 5 shows the result from this experiment.

In the interpolation experiment, each method was trained on Subsets 1 and 5 and then tested the methods on Subsets 2, 3, and 4. Fig. 6 shows the result from this experiment.

These two experiments reveal a number of interesting points:

1) All of the algorithms perform perfectly when lighting is nearly frontal. However, as lighting is moved off

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2. We have observed that the error rates are reduced for all methods when the contour is included and the subject is in front of a uniform background. However, all methods performed worse when the background varies.

3. To test the methods with an image from Subset 1, that image was removed from the training set, i.e., we employed the "leaving-one-out" strategy [4].

axis, there is a significant performance difference between the two class-specific methods and the Eigenface method.

2) It has also been noted that the Eigenface method is equivalent to correlation when the number of Eigenfaces equals the size of the training set [17], and since performance increases with the dimension of the eigenspace, the Eigenface method should do no better than correlation [26]. This is empirically demonstrated as well.

3) In the Eigenface method, removing the first three principal components results in better performance under variable lighting conditions.

4) While the Linear Subspace method has error rates that are competitive with the Fisherface method, it requires storing more than three times as much information and takes three times as long.

5) The Fisherface method had error rates lower than the Eigenface method and required less computation time.

3.2 Variation in Facial Expression, Eye Wear, and Lighting

Using a second database constructed at the Yale Center for Computational Vision and Control, we designed tests to determine how the methods compared under a different range of conditions. For sixteen subjects, ten images were acquired during one session in front of a simple background. Subjects included females and males (some with facial hair), and some wore glasses. Fig. 7 shows ten images of one subject. The first image was taken under ambient lighting in a neutral facial expression and the person wore glasses. In the second
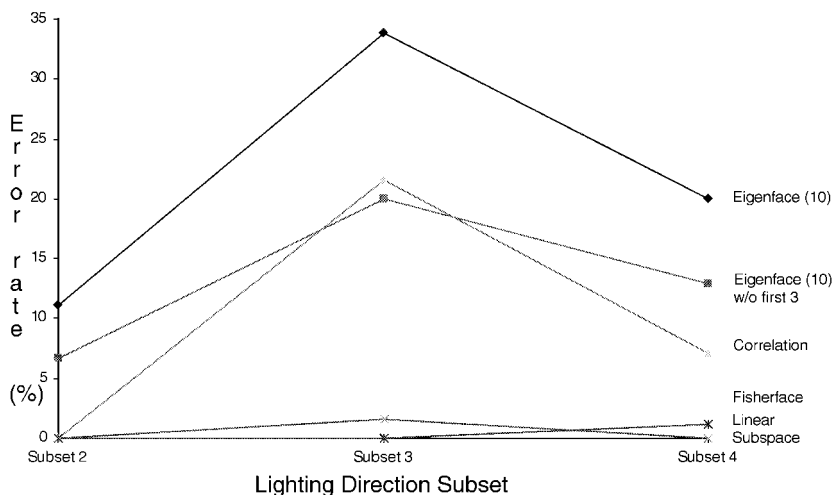
Interpolating between Subsets 1 and 5				
Method	Reduced Space	Error Rate (%)		
		Subset 2	Subset 3	Subset 4
Eigenface	4	53.3	75.4	52.9
	10	11.11	33.9	20.0
Eigenface w/o 1st 3	4	31.11	60.0	29.4
	10	6.7	20.0	12.9
Correlation	129	0.0	21.54	7.1
Linear Subspace	15	0.0	1.5	0.0
Fisherface	4	0.0	0.0	1.2

Fig. 6. Interpolation: When each of the methods is trained on images from both near frontal and extreme lighting (Subsets 1 and 5), the graph and corresponding table show the relative performance under intermediate lighting conditions.

image, the glasses were removed. If the person normally wore glasses, those were used; if not, a random pair was borrowed. Images 3-5 were acquired by illuminating the face in a neutral expression with a Luxolamp in three positions. The last five images were acquired under ambient lighting with different expressions (happy, sad, winking, sleepy, and surprised). For the Eigenface and correlation tests, the images were normalized to have zero mean and unit variance, as this improved the performance of these methods. The images were manually centered and cropped to two different scales: The larger images included the *full face* and part of the background while the *closely cropped* ones included internal structures such as the brow, eyes, nose, mouth, and chin, but did not extend to the occluding contour.

In this test, error rates were determined by the "leaving-one-out" strategy [4]: To classify an image of a person, that image was removed from the data set and the dimensionality reduction matrix W was computed. All images in the database, excluding the test image, were then projected down into the reduced space to be used for classification. Recognition was performed using a nearest neighbor classifier. Note that for this test, each person in the learning set is represented by the projection of ten images, except for the test person who is represented by only nine.

In general, the performance of the Eigenface method varies with the number of principal components. Thus, before comparing the Linear Subspace and Fisherface methods with the Eigenface method, we first performed an experi-

Fig. 7. The Yale database contains 160 frontal face images covering 16 individuals taken under 10 different conditions: A normal image under ambient lighting, one with or without glasses, three images taken with different point light sources, and five different facial expressions.
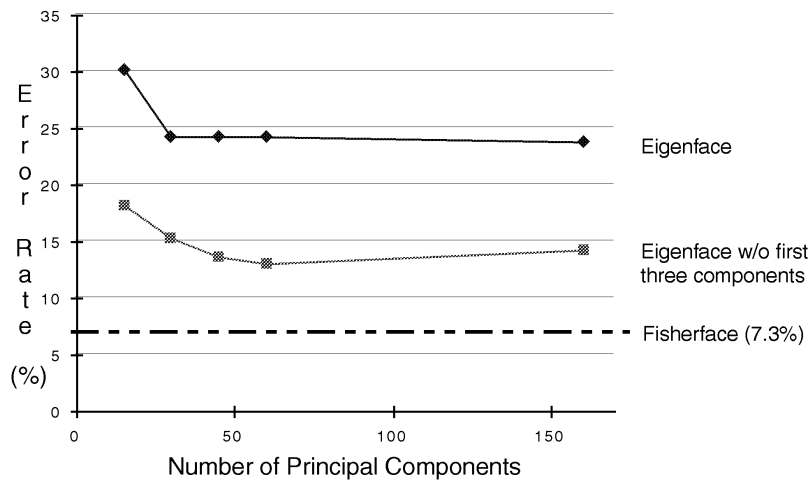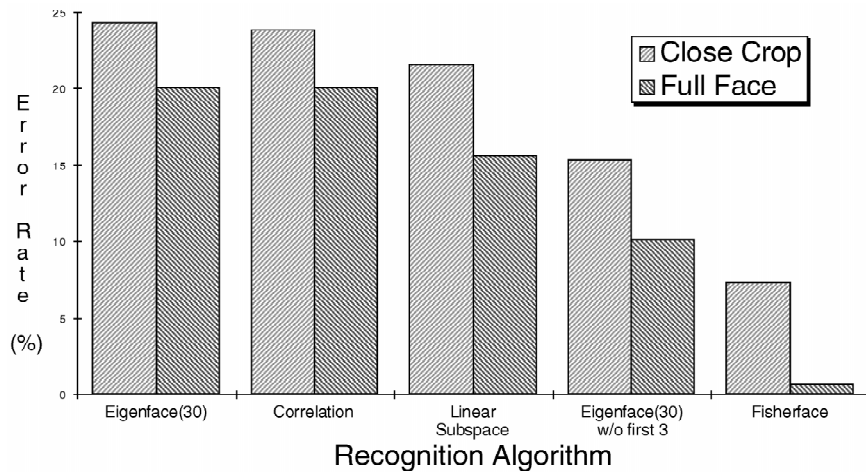
Fig. 8. As demonstrated on the Yale Database, the variation in performance of the Eigenface method depends on the number of principal components retained. Dropping the first three appears to improve performance.

"Leaving-One-Out" of Yale Database			
Method	Reduced Space	Error Rate (%)	
		Close Crop	Full Face
Eigenface	30	24.4	19.4
Eigenface w/o 1st 3	30	15.3	10.8
Correlation	160	23.9	20.0
Linear Subspace	48	21.6	15.6
Fisherface	15	7.3	0.6

Fig. 9. The graph and corresponding table show the relative performance of the algorithms when applied to the Yale Database which contains variation in facial expression and lighting.

ment to determine the number of principal components yielding the lowest error rate. Fig. 8 shows a plot of error rate vs. the number of principal components, for the closely cropped set, when the initial three principal components were retained and when they were dropped.

The relative performance of the algorithms is self evident in Fig. 9. The Fisherface method had error rates that were better than half that of any other method. It seems that the Fisherface method chooses the set of projections which performs well over a range of lighting variation, facial expression variation, and presence of glasses.

Note that the Linear Subspace method faired comparatively worse in this experiment than in the lighting experiments in the previous section. Because of variation in facial expression, the images no longer lie in a linear subspace. Since the Fisherface method tends to discount those portions of the image that are not significant for recognizing an individual, the resulting projections W tend to mask the regions of the face that are highly variable. For example, the area around the mouth is discounted, since it varies quite a bit for different facial expressions. On the other hand, the nose, cheeks, and brow are stable over the within-class

variation and are more significant for recognition. Thus, we conjecture that Fisherface methods, which tend to reduce within-class scatter for all classes, should produce projection directions that are also good for recognizing other faces besides the ones in the training set.

All of the algorithms performed better on the images of the full face. Note that there is a dramatic improvement in the Fisherface method where the error rate was reduced from 7.3 percent to 0.6 percent. When the method is trained on the entire face, the pixels corresponding to the occluding contour of the face are chosen as good features for discriminating between individuals, i.e., the overall shape of the face is a powerful feature in face identification. As a practical note, however, it is expected that recognition rates would have been much lower for the full face images if the background or hair styles had varied and may even have been worse than the closely cropped images.

3.3 Glasses Recognition

When using class specific projection methods, the learning set can be divided into classes in different manners. For example, rather than selecting the classes to be individual people, the set of images can be divided into two classes: "wearing glasses" and "not wearing glasses." With only two classes, the images can be projected to a line using the Fisherface methods. Using PCA, the choice of the Eigenfaces is independent of the class definition.

In this experiment, the data set contained 36 images from a superset of the Yale Database, half with glasses. The recognition rates were obtained by cross validation, i.e., to classify the images of each person, all images of that person were removed from the database before the projection matrix W was computed. Table 1 presents the error rates for two different methods.

TABLE 1
COMPARATIVE RECOGNITION ERROR RATES FOR GLASSES/
NO GLASSES RECOGNITION USING THE YALE DATABASE

Glasses Recognition		
Method	Reduced Space	Error Rate (%)
PCA	10	52.6
Fisherface	1	5.3

PCA had recognition rates near chance, since, in most cases, it classified both images with and without glasses to the same class. On the other hand, the Fisherface methods can be viewed as deriving a template which is suited for finding glasses and ignoring other characteristics of the face. This conjecture is supported by observing the Fisherface in Fig. 10 corresponding to the projection matrix W. Naturally, it is expected that the same techniques could be applied to identifying facial expressions where the set of training images is divided into classes based on the facial expression.

4 CONCLUSION

The experiments suggest a number of conclusions:

1) All methods perform well if presented with an image in the test set which is similar to an image in the training set.
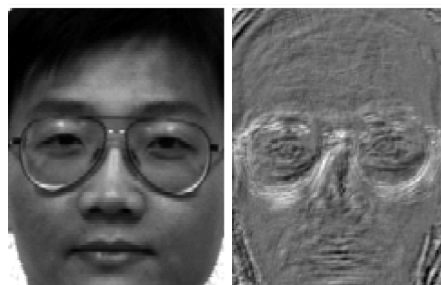

Fig. 10. The left image is an image from the Yale Database of a person wearing glasses. The right image is the Fisherface used for determining if a person is wearing glasses.

2) The Fisherface method appears to be the best at extrapolating and interpolating over variation in lighting, although the Linear Subspace method is a close second.

3) Removing the largest three principal components does improve the performance of the Eigenface method in the presence of lighting variation, but does not achieve error rates as low as some of the other methods described here.

4) In the limit, as more principal components are used in the Eigenface method, performance approaches that of correlation. Similarly, when the first three principal components have been removed, performance improves as the dimensionality of the feature space is increased. Note, however, that performance seems to level off at about 45 principal components. Sirovitch and Kirby found a similar point of diminishing returns when using Eigenfaces to represent face images [6].

5) The Fisherface method appears to be the best at simultaneously handling variation in lighting and expression. As expected, the Linear Subspace method suffers when confronted with variation in facial expression.

Even with this extensive experimentation, interesting questions remain: How well does the Fisherface method extend to large databases. Can variation in lighting conditions be accommodated if some of the individuals are only observed under one lighting condition?

Additionally, current face detection methods are likely to break down under extreme lighting conditions such as Subsets 4 and 5 in Fig. 4, and so new detection methods are needed to support the algorithms presented in this paper. Finally, when shadowing dominates, performance degrades for all of the presented recognition methods, and techniques that either model or mask the shadowed regions may be needed. We are currently investigating models for representing the set of images of an object under *all possible* illumination conditions, and have shown that the set of n-pixel images of an object of any shape and with an arbitrary reflectance function, seen under all possible illumination conditions, forms a convex cone in $\mathbb{R}^n$ [32]. Furthermore, and most relevant to this paper, it appears that this convex illumination cone lies close to a low-dimensional linear subspace [14].

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Peter N. Belhumeur received his ScB degree (with highest honors) in computer and information engineering from Brown University in 1985. He received an SM and PhD from Harvard University in 1991 and 1993, respectively, where he studied under a Harvard Fellowship. In 1994, he spend a half-year as a Postdoctoral Fellow at the University of Cambridge's Sir Isaac Newton Institute for Mathematical Sciences.

Currently, he is an assistant professor of electrical engineering at Yale University. He teaches courses on signals and systems, pattern and object recognition, and computer vision. He is a member of the Yale Center for Computational Vision and Control and a member of the Army research Center for Imaging Science. He has published over twenty papers on image processing and computational vision. He is a recipient of a U.S. National Science Foundation Career Award; he has been awarded a Yale University Junior Faculty Fellowship for the Natural Sciences; and he won the IEEE Best Paper Award for his work on characterizing the set of images of an object under variable illumination.

João P. Hespanha received the Licenciatura and MS degrees in electrical and computer engineering from Instituto Superior Técnico, Lisbon, Portugal, in 1991 and 1993, respectively, and a second MS degree in electrical engineering from Yale University, New Haven, Connecticut, in 1994, where he is currently pursuing the PhD degree in engineering and applied science.

From 1987 to 1989, he was a research assistant at Instituto de Engenharia de Sistemas e Computadores (INESC) in Lisbon, Portugal, and, from 1989 to 1990, was an instructor at Fundo para o Desenvolvimento Tecnológico (FUNDTEC) in the areas of electronics, computer science, and robotics. From 1992 to 1993, he was a working partner in Sociedade de Projectos em Sistemas e Computadores, Lda., also in Lisbon. His research interests include nonlinear control, both robust and adaptive, hybrid systems, switching control, and the application of vision to robotics.
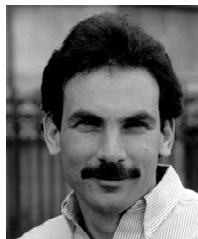
David J. Kriegman received the BSE degree (summa cum laude) in electrical engineering and computer science in 1983 from Princeton University, where he was awarded the Charles Ira Young Award for electrical engineering research. He received the MS degree in 1984 and PhD in 1989 in electrical engineering from Stanford University, where he studied under a Hertz Foundation Fellowship.

Currently, he is an associate professor at the Center for Computational Vision and Control in the Departments of Electrical Engineering and Computer Science at Yale University and was awarded a U.S. National Science Foundation Young Investigator Award in 1992. His paper on characterizing the set of images of an object under variable illumination received the best paper at the 1996 IEEE Conference on Computer Vision and Pattern Recognition. He has published over sixty papers on object representation and recognition, illumination modeling, geometry of curves and surfaces, structure from motion, robot planning, and mobile robot navigation.