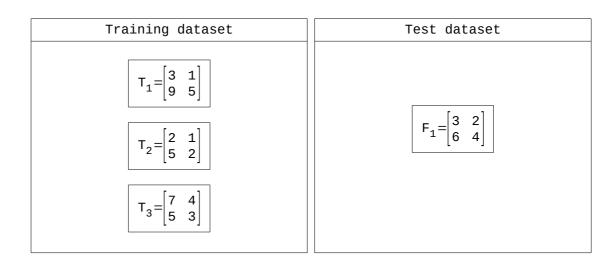
Face Recognition using Eigenface, A Simple Example

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0.9.0	4-May-2016	Completed draft.	

The size of image used in my Scilab program is 92 pixels wide x 112 pixels height. But in this example, assume that the size of image used is 2 pixels wide x 2 pixels height because I want to keep the calculations as simple as possible. We are going to find out who is this unknown face  $\boxed{\mathsf{F}_1}$  in the test dataset.



STEP 1: Convert the training faces  $T_1$ ,  $T_2$ , and  $T_3$  from image into a vector. The array of vectors  $\Gamma$  will store these face vectors.

$$\Gamma = \begin{bmatrix} T_1^\mathsf{T}, & T_2^\mathsf{T}, & T_3^\mathsf{T} \end{bmatrix}$$
$$= \begin{bmatrix} 3 & 2 & 7 \\ 1 & 1 & 4 \\ 9 & 5 & 5 \\ 5 & 2 & 3 \end{bmatrix}$$

The reason why we need to convert image into vector because the Principle Component Analysis (PCA) does not work directly on image.

STEP 2: Find the common features of a human face by calculating the mean of the training faces.

$$\Psi = \frac{1}{M} \sum_{n=1}^{M} \Gamma_{n} = \frac{1}{3} \begin{bmatrix} 3 \\ 1 \\ 9 \\ 5 \end{bmatrix} + \begin{bmatrix} 2 \\ 1 \\ 5 \\ 2 \end{bmatrix} + \begin{bmatrix} 7 \\ 4 \\ 5 \\ 3 \end{bmatrix} = \frac{1}{3} \begin{bmatrix} 12 \\ 6 \\ 19 \\ 10 \end{bmatrix} = \begin{bmatrix} 4 \\ 2 \\ 19/3 \\ 10/3 \end{bmatrix}$$

STEP 3: Find the unique features of a human face by subtracting a face with common features.

Using the following equation to find the unique features:

$$\Phi_i = \Gamma_i - \Psi$$

$$\Phi_1 = \Gamma_1 - \Psi = \begin{bmatrix} 3 \\ 1 \\ 9 \\ 5 \end{bmatrix} - \begin{bmatrix} 4 \\ 2 \\ 19/3 \\ 10/3 \end{bmatrix} = \begin{bmatrix} -1 \\ -1 \\ 8/3 \\ 5/3 \end{bmatrix}$$

$$\Phi_2 = \Gamma_2 - \Psi = \begin{bmatrix} 2 \\ 1 \\ 5 \\ 2 \end{bmatrix} - \begin{bmatrix} 4 \\ 2 \\ 19/3 \\ 10/3 \end{bmatrix} = \begin{bmatrix} -2 \\ -1 \\ -4/3 \\ -4/3 \end{bmatrix}$$

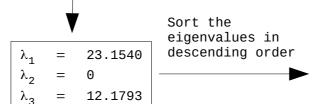
$$\Phi_3 = \Gamma_3 - \Psi = \begin{bmatrix} 7 \\ 4 \\ 5 \\ 3 \end{bmatrix} - \begin{bmatrix} 4 \\ 2 \\ 19/3 \\ 10/3 \end{bmatrix} = \begin{bmatrix} 3 \\ 2 \\ -4/3 \\ -1/3 \end{bmatrix}$$

The vector  $\Phi_1$  stores the unique feature of the face  $T_1$ , the vector  $\Phi_2$  stores the unique feature of the face  $T_2$ , and the vector  $\Phi_3$  stores the unique featore of the face  $T_3$ .

$$L = \Phi^{\mathsf{T}} \Phi 
= \begin{bmatrix}
-1 & -1 & 8/3 & 5/3 \\
-2 & -1 & -4/3 & -4/3 \\
3 & 2 & -4/3 & -1/3
\end{bmatrix}
\begin{bmatrix}
-1 & -2 & 3 \\
-1 & -1 & 2 \\
8/3 & -4/3 & -4/3 \\
5/3 & -4/3 & -1/3
\end{bmatrix}$$

$$= \begin{bmatrix}
107/9 & -25/9 & -82/9 \\
-25/9 & 77/9 & -52/9 \\
-82/9 & -52/9 & 134/9
\end{bmatrix}$$

STEP 5: Find eigenvalues of the Matrix  $\lceil L \rceil$ 



 $\lambda_1 = 23.1540$   $\lambda_2 = 12.1793$   $\lambda_3 = 0$ 

STEP 6: Find the eigenvectors of the Matrix  $\begin{tabular}{l} L\end{tabular}$  by using Gaussian Elimination method.

$$B = \begin{bmatrix} \lambda I - L \end{bmatrix}$$

$$= \begin{bmatrix} \lambda - 107/9 & 25/9 & 82/9 \\ 25/9 & \lambda - 77/9 & 52/9 \\ 82/9 & 52/9 & \lambda - 134/9 \end{bmatrix}$$

To find the eigenvectors, we need to solve  $\fbox{Bx=0}$  for every eigenvalues  $\fbox{$\lambda=23.1540$}$  ,  $\fbox{$\lambda=12.1793$}$  , and  $\fbox{$\lambda=0$}$  .

Case 1:  $\lambda = 23.1540$ 

$$\begin{bmatrix} \lambda - 107/9 & 25/9 & 82/9 \\ 25/9 & \lambda - 77/9 & 52/9 \\ 82/9 & 52/9 & \lambda - 134/9 \end{bmatrix} \begin{bmatrix} X_1 \\ X_2 \\ X_3 \end{bmatrix} & = \begin{bmatrix} 0 \\ 0 \\ 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 23.1540 - 107/9 & 25/9 & 82/9 \\ 82/9 & 52/9 & 23.1540 - 134/9 \end{bmatrix} \begin{bmatrix} X_1 \\ X_2 \\ 82/9 & 52/9 & 23.1540 - 134/9 \end{bmatrix} \begin{bmatrix} X_1 \\ X_2 \\ X_3 \end{bmatrix} & = \begin{bmatrix} 0 \\ 0 \\ 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 11.2651 & 25/9 & 82/9 \\ 25/9 & 14.5984 & 52/9 \\ 82/9 & 52/9 & 8.2651 \end{bmatrix} \begin{bmatrix} X_1 \\ X_2 \\ X_3 \end{bmatrix} & = \begin{bmatrix} 0 \\ 0 \\ 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 11.2651 & 25/9 & 82/9 \\ 82/9 & 52/9 & 8.2651 \end{bmatrix} \begin{bmatrix} X_1 \\ X_2 \\ X_3 \end{bmatrix} & = \begin{bmatrix} 0 \\ 0 \\ 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 11.2651 & 25/9 & 82/9 \\ 82/9 & 52/9 & 8.2651 \end{bmatrix} \begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 25/9 & 14.5984 & 52/9 & 0 \\ 82/9 & 52/9 & 8.2651 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 82/9 & 52/9 & 8.2651 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 0 & 13.9134 & 3.5311 & 0 \\ 82/9 & 52/9 & 8.2651 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 0 & 13.9134 & 3.5311 & 0 \\ 82/9 & 52/9 & 8.2651 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 0 & 13.9134 & 3.5311 & 0 \\ 0 & 3.5310 & 0.8960 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0.2466 & 0.8088 & 0 \\ 0 & 1 & 0.2538 & 0 \\ 0 & 3.5310 & 0.8960 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0 & 0.7462 & 0 \\ 0 & 1 & 0.2538 & 0 \\ 0 & 3.5310 & 0.8960 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} R_1 - 0.2466 & R_2 & 0 \\ 0 & 1 & 0.2538 & 0 \\ 0 & 0.5380 & 0 & 0 & -0.0002 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} 1 & 0 & 0.7462 & 0 \\ 0 & 1 & 0.2538 & 0 \\ 0 & 0 & -0.0002 & 0 \end{bmatrix}$$
 
$$\begin{bmatrix} R_3 - 3.53100 & 0.8960 & 0 \\ 0 & 1 & 0.2538 & 0 \\ 0 & 0 & -0.0002 & 0 \end{bmatrix}$$

$$\begin{array}{rcl} x_1 + 0.7462 \, x_3 & = & 0 \\ x_2 + 0.2538 \, x_3 & = & 0 \\ x_3 & = & 1 \\ \\ x_1 & = & -0.7462(1) \\ x_2 & = & -0.2538(1) \\ x_3 & = & 1 \\ \\ v_1 & = & \frac{1}{\max[x_1, x_2, x_3]} \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} \\ & = & \frac{1}{1} \begin{bmatrix} -0.7462 \\ -0.2538 \\ 1 \end{bmatrix} \\ & = & \begin{bmatrix} -0.7462 \\ -0.2538 \\ 1 \end{bmatrix} \end{array}$$

Therefore, the eigenvector for eigenvalue

$$\lambda = 23.1540$$
 is

$$v_1 = \begin{bmatrix} -0.7462 \\ -0.2538 \\ 1.0000 \end{bmatrix}$$

Case 2:  $\lambda = 12.1793$ 

```
Bx
                                                                0
                                               82/9 | X_1
                                                               [0]
                     \lambda - 107/9
                                   25/9
                                               52/9 | x<sub>2</sub>
                                                               0
                         25/9
                                \lambda - 77/9
                                         \lambda-134/9\|x_3
                                                               [0]
                         82/9
                                   52/9
                                               82/9 | X_1
                                                               0
12.1793-107/9
                            25/9
                                               52/9 | x<sub>2</sub>
           25/9
                   12.1793-77/9
                                                               0
                                   12.1793 - 134/9 | x_3
                                                               0
           82/9
                            52/9
                                               82/9 || X_1
                       0.2904
                                                               0
                                   25/9
                                               52/9 || x<sub>2</sub>
                         25/9
                                 3.6237
                                                               0
                         82/9
                                   52/9 - 2.7096
                                                               [0]
                                  0.2904
                                                           82/9 0
                                              25/9
                                     25/9
                                                           52/9 0
                                            3.6237
                                             52/9 -2.7096 0
                                     82/9
                                                      31.3743 0
                                             9.5654
                          R<sub>1</sub>/0.2904 25/9
                                                           52/9 0
                                             3.6237
                                     82/9
                                             52/9 -2.7096 0
                                           9.5654
                                                      31.3743 0
                                    0 -22.9469 -81.3731
                                 82/9
                                              52/9 - 2.7096
                                                                0
                                   1
                                                      31.3743 0
                                          9.5654
                        R_3 - 82/9 R_1 | 0 -22.9469 -81.3731
                                                                0
                                   0 -81.3736
                                                 -288.5643
                                                               0
                                                       31.3743 0
                                          9.5654
                      R_2/-22.9469|0
                                                1
                                                        3.5461 0
                                     -81.3736
                                   0
                                                   -288.5643
                                                               0
                                   1
                                                0
                                                     -2.5456
                                                                0
                     R_1 - 9.5654R_2
                                   0
                                                1
                                                      3.5461 0
                                     -81.3736
                                                 -288.5643
                                                                0
                                                  0 - 2.5456
                                              1
                               R_3 + 81.3736 R_2 | 0
                                                  1
                                                      3.5461 0
                                              0
                                                  0 - 0.0054
                                                               0
                                                                0
                                                  0 - 2.5456
                                  R_3/-0.0054|0
                                                       3.5461 0
                                              0
                                                  0
                                                              1 0
```

$$\begin{array}{rcl} x_1 - 2.5456 \, x_3 & = & 0 \\ x_2 + 3.5461 \, x_3 & = & 0 \\ x_3 & = & 1 \\ \\ x_1 & = & 2.5456(1) \\ x_2 & = & -3.5461(1) \\ x_3 & = & 1 \\ \\ v_2 & = & \frac{1}{\max |x_1, x_2, x_3|} \begin{bmatrix} x_1 \\ x_2 \\ x_3 \end{bmatrix} \\ & = & \frac{1}{3.5461} \begin{bmatrix} 2.5456 \\ -3.5461 \\ 1.0000 \end{bmatrix} \\ & = & \begin{bmatrix} 0.7179 \\ -1.0000 \\ 0.2820 \end{bmatrix} \end{array}$$

Therefore, the eigenvector for eigenvalue  $\lambda=12.1793$  is

$$v_2 = \begin{bmatrix} 0.7179 \\ -1.0000 \\ 0.2820 \end{bmatrix}$$

Case 3: 
$$\lambda = 0$$

Unfortunately, eigenvalue with value 0 or near to 0 will produce a useless eigenvector, so this case is discarded.

Therefore, the eigenvector of Matrix  $\mid$  L  $\mid$  is:

$$v = \begin{bmatrix} -0.7462 & 0.7179 \\ -0.2538 & -1.0000 \\ 1.0000 & 0.2820 \end{bmatrix}$$

STEP 7: Find the Eigenface,  $\begin{bmatrix} u_1 \end{bmatrix}$  . We need eigenface value to extract useful features from a face.

Using the following equation to find the Eigenface:

$$u_1 = \sum_{k=1}^{M} v_{1k} \Phi_k$$
 , where  $M=3$  the number of training faces.

$$\begin{aligned} \mathbf{u_1} &= (-0.7462) \begin{bmatrix} -1 \\ -1 \\ 8/3 \\ 5/3 \end{bmatrix} + (-0.2538) \begin{bmatrix} -2 \\ -1 \\ -4/3 \\ -4/3 \end{bmatrix} + (1.0000) \begin{bmatrix} 3 \\ 2 \\ -4/3 \\ -1/3 \end{bmatrix} \\ &= \begin{bmatrix} 0.7462 \\ 0.7462 \\ -1.9899 \\ -1.2437 \end{bmatrix} + \begin{bmatrix} 0.5076 \\ 0.2538 \\ 0.3384 \\ 0.3384 \end{bmatrix} + \begin{bmatrix} 3 \\ 2 \\ -4/3 \\ -1/3 \end{bmatrix} \\ &= \begin{bmatrix} 4.2538 \\ 3.0000 \\ -2.9848 \\ -1.2386 \end{bmatrix}$$

$$\begin{aligned} \mathbf{u}_2 &= & (0.7179) \begin{bmatrix} -1 \\ -1 \\ 8/3 \\ 5/3 \end{bmatrix} + (-1.0000) \begin{bmatrix} -2 \\ -1 \\ -4/3 \\ -4/3 \end{bmatrix} + (0.2820) \begin{bmatrix} 3 \\ 2 \\ -4/3 \\ -1/3 \end{bmatrix} \\ &= \begin{bmatrix} -0.7179 \\ -0.7179 \\ 1.9144 \\ 1.1965 \end{bmatrix} + \begin{bmatrix} 2 \\ 1 \\ 4/3 \\ 4/3 \end{bmatrix} + \begin{bmatrix} 0.8460 \\ 0.5640 \\ -0.3760 \\ -0.0940 \end{bmatrix} \\ &= \begin{bmatrix} 2.1281 \\ 0.8461 \\ 2.8717 \\ 2.4358 \end{bmatrix}$$

Therefore, 
$$u = \begin{bmatrix} 4.2538 & 2.1281 \\ 3.0000 & 0.8461 \\ -2.9848 & 2.8717 \\ -1.2386 & 2.4358 \end{bmatrix}$$

STEP 8: Find the weight values  $\Omega_{\mathbf{k}}$  for each training faces.

Using the following equations to find the weight:

$$w_k = u_k^{\mathsf{T}}(\Gamma - \Psi)$$

where  $\Gamma$  is a face vector from training dataset.

Find the weights for training face 1  $\boxed{\Gamma_{\mathbf{1}}}$  :

Therefore,

$$\Omega_1^{\mathsf{T}} = [-17.2778, -14.6918]$$

Find the weights for training face 2  $\boxed{\Gamma_{2}}$  :

Therefore,

$$\Omega_2^{\mathsf{T}} = [-5.8764, -1.9744]$$

Find the weights for training face 3  $\boxed{\Gamma_{3}}$  :

Therefore,

$$\Omega_3^{\mathsf{T}} = [23.1540, 12.7174]$$

Thus, the weight for training faces in the training dataset is:

$$\Omega_{k} = \begin{bmatrix} -17.2778 & -5.8764 & 23.1540 \\ -14.6918 & -1.9744 & 12.7174 \end{bmatrix}$$

STEP 9: Find the weight of the unknown face  $\boxed{\mathbf{F_1}}$  from the training dataset.

$$\begin{split} \Omega^{\mathsf{T}} &= & [\mathsf{w}_1, \quad \mathsf{w}_2] \\ \mathsf{w}_1 &= & \mathsf{u}_1^{\mathsf{T}}(\mathsf{F}_1 - \Psi) \\ &= & [4.2538, \quad 3.0000, \quad -2.9848, \quad -1.2386] \begin{bmatrix} 3 \\ 2 \\ -19/3 \\ 4 \end{bmatrix} \begin{bmatrix} 4 \\ 2 \\ -19/3 \\ 10/3 \end{bmatrix} \\ &= & [4.2538, \quad 3.0000, \quad -2.9848, \quad -1.2386] \begin{bmatrix} -1 \\ 0 \\ -1/3 \\ 2/3 \end{bmatrix} \\ &= & -4.0846 \\ \mathsf{w}_2 &= & \mathsf{u}_2^{\mathsf{T}}(\mathsf{F}_1 - \Psi) \\ &= & [2.1281, \quad 0.8461, \quad -2.8717, \quad -2.4358] \begin{bmatrix} 3 \\ 2 \\ 6 \\ 19/3 \\ 10/3 \end{bmatrix} \begin{bmatrix} 4 \\ 2 \\ 6 \\ 19/3 \\ 10/3 \end{bmatrix} \\ &= & [2.7947] \end{split}$$

Therefore,

$$\Omega^{\mathsf{T}} = [-4.0846, -2.7947]$$

Thus, the weight for unknown face  $\lceil F_1 \rceil$  in the test dataset is:

$$\Omega = \begin{bmatrix} -4.0846 \\ -2.7947 \end{bmatrix}$$

STEP 10: Recognize the unknown face  $\boxed{\mathbf{F}_1}$  from the test dataset.

To recognize an unknown face, we need to find the Euclidean Distance between the training face weights and the unknown face weight. We will compare the distance of weight value between

 $\Gamma_1$  with  $\Gamma_1$  ,  $\Gamma_2$  with  $\Gamma_1$  , and  $\Gamma_3$  with  $\Gamma_1$  to find out which one has the closest distance.

Using the following Euclidean Distance equation:

$$\varepsilon_k^2 \ = \ \left\| (\Omega \! - \! \Omega_k) \right\|^2$$

$$\begin{array}{lll} \epsilon_1^2 & = & \|(\Omega - \Omega_1)\|^2 \\ & = & \left\| \begin{bmatrix} -4.0846 \\ -2.7947 \end{bmatrix} - \begin{bmatrix} -17.2778 \\ -14.6918 \end{bmatrix} \right\|^2 \\ & = & \left\| \begin{bmatrix} 13.1932 \\ 11.8971 \end{bmatrix} \right\|^2 \\ & = & \left( \sqrt{(13.1932)^2 + (11.8971)^2} \right)^2 \\ & = & (13.1932)^2 + (11.8971)^2 \\ & = & (13.1932)^2 + (11.8971)^2 \\ & = & 315.60151 \\ \end{array}$$

$$\begin{array}{lll} \epsilon_2^2 & = & \|(\Omega - \Omega_2)\|^2 \\ & = & \left\| \begin{bmatrix} -4.0846 \\ -2.7947 \end{bmatrix} - \begin{bmatrix} -5.8764 \\ -1.9744 \end{bmatrix} \right\|^2 \\ & = & \left\| \begin{bmatrix} 1.7918 \\ -0.8203 \end{bmatrix} \right\|^2 \\ & = & \left( \sqrt{(1.7918)^2 + (-0.8203)^2} \right)^2 \\ & = & (1.7918)^2 + (-0.8203)^2 \\ & = & 3.8834 \\ \end{array}$$

$$\begin{array}{lll} \epsilon_3^2 & = & \|(\Omega - \Omega_3)\|^2 \\ & = & \left\| \begin{bmatrix} -4.0846 \\ -2.7947 \end{bmatrix} - \begin{bmatrix} 23.1540 \\ 12.7174 \end{bmatrix} \right\|^2 \\ & = & \left\| \begin{bmatrix} -27.2386 \\ -15.5121 \end{bmatrix} \right\|^2 \\ & = & \left( \sqrt{(-27.2386)^2 + (-15.5121)^2} \right)^2 \\ & = & (-27.2386)^2 + (-15.5121)^2 \\ & = & 982.56658 \end{array}$$

Therefore, the unknown face  $\begin{bmatrix} F_1 \end{bmatrix}$  belongs to face 2  $\begin{bmatrix} \Gamma_2 \end{bmatrix}$  because their euclidean distance  $\begin{bmatrix} \epsilon_2^2 = 3.8834 \end{bmatrix}$  is the smallest.

## References

[1] Eigenfaces for recognition - Turk, Pentland - 1991