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A Rational-Operator based Depth from Defocus Approach to Scene Reconstruction

Ang Li,¹ Richard Staunton,¹ and Tardi Tjahjadi^{1,*}

*¹School of Engineering, University of Warwick,
Coventry, West Midlands, CV4 7AL, UK*

Abstract

This paper presents a rational operator based approach to depth from defocus (DfD) for the reconstruction of 3-dimensional scenes from 2-dimensional images, which enables fast DfD computation that is independent of scene textures. Two variants of the approach, one using the Gaussian rational operators (ROs) that are based on the Gaussian point spread function (PSF), and the second based on the generalised Gaussian PSF are considered. A novel DfD correction method is also presented to further improve the performance of the approach. Experimental results are considered on real scenes and show that both approaches outperform existing ROs-based methods.

* Corresponding author: tt@eng.warwick.ac.uk

1. Introduction

Depth from Defocus (DfD) and Depth from Focus (DfF) are methods for recovering 3-dimensional (3D) shape of a scene. DfF (e.g., [1, 2]) is based on the lens law [3], i.e.,

$$\frac{1}{F} = \frac{1}{u} + \frac{1}{w}, \quad (1)$$

where F is the focal length, w is the distance between the lens and the image plane when the image is in focus, and u is the distance between an object point P and the lens as shown in Fig. 1. Thus, if w is known then u , i.e., the depth of the object point can be recovered. However, for an object with continuous change in depth, at least ten images are required to estimate the object depth map [4]. The challenge of DfF is deciding when the object is in focus. Recent methods to address this challenge include those in [1, 2]. DfD requires only two images captured with different focus setting, hence it is more suitable than DfF for real-time applications. In Pentland's DfD scheme [5], the first image is captured with a large depth-of-field so that its pixels have minimal defocus, while there is considerable blur in the second image. The depth of each pixel and thus its coordinates in 3D space are recovered by measuring the difference in blur. A more general DfD method in [6] uses two images that do not have to be captured with large depth-of-field.

Image blur can be modelled as a 2-dimensional (2D) convolution of a focused image with a point spread function (PSF). By modelling the PSF as a downturn quadratic function, and representing it as a look-up-table of the convolution ratio, the corresponding image depth can be found. The method in [7] computes the convolutional ratio of sub-images using regularisation, and searches the table iteratively to determine the depth for each sub-image. In [8], the PSFs are modelled as the derivatives of Gaussian using moment and hypergeometric filters. In [9] the intensity and depth values of every image pixel are modelled as a Markov Random Field (MRF) and a maximum a posterior (MAP) function is maximised using simultaneous annealing to obtain the optimal depth estimation.

An orthogonal projector that spans the null-space of an image of a certain depth is used in [10]. For each depth, a number of different images are captured by a camera and the corresponding orthogonal projector is created, not requiring any PSF. Each projector is multiplied with each sub-image, and the depth corresponding to the projector with the minimal product gives the optimal depth estimation. Image segmentation is used to separate the object from the background together with a three-layered neural network in [11] to

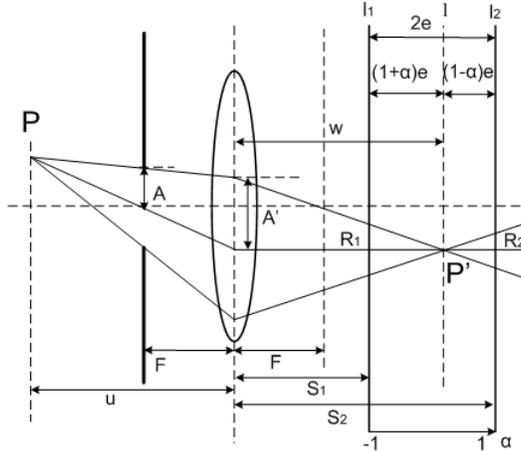


Fig. 1. The telecentric DfD system.

achieve high accuracy. However, the use of segmentation implies that the algorithm is only suitable for objects on a flat surface.

Recent DfD methods also include those based on coded aperture (e.g., [12, 13]) which customise the PSF by modifying the aperture shape, and most use a complex statistical model which is computationally expensive. In [14] the image blurring effect is described by oriented heat-flows diffusion, whose direction is determined from the local coherence geometry, and the diffusion strength corresponds to the amount of blur. Using this method, ridge-like artefacts on sharp edges are eliminated. In [15], an improvement on DfD is achieved by manipulating exposure time and guided filtering. In [16], improvement is achieved by minimising, via geometric optics regularisation, the information divergence between the estimated and actual blurred images.

None of the above-mentioned methods achieves frequency independence without a complex statistical model or training/testing based algorithm, i.e., the estimated depth is only related to the blur size rather than the pattern of the blurred object. A solution is to incorporate a frequency parameter into the PSF as suggested in [17]. For most existing methods, the depth is estimated from the ratio of two images with different degree of blur at a particular frequency. In contrast, the rational operator (RO) approach to DfD computes depth using the normalised image ratio (NIR), or the M/P ratio which is a function of both depth and frequency. The NIR is the ratio between the difference in the magnitude of two images at all frequencies (M for minus) and the sum of the magnitude of them (P for plus). Due to the complex and iterative optimisation procedure used for the RO design in [17], a simpler

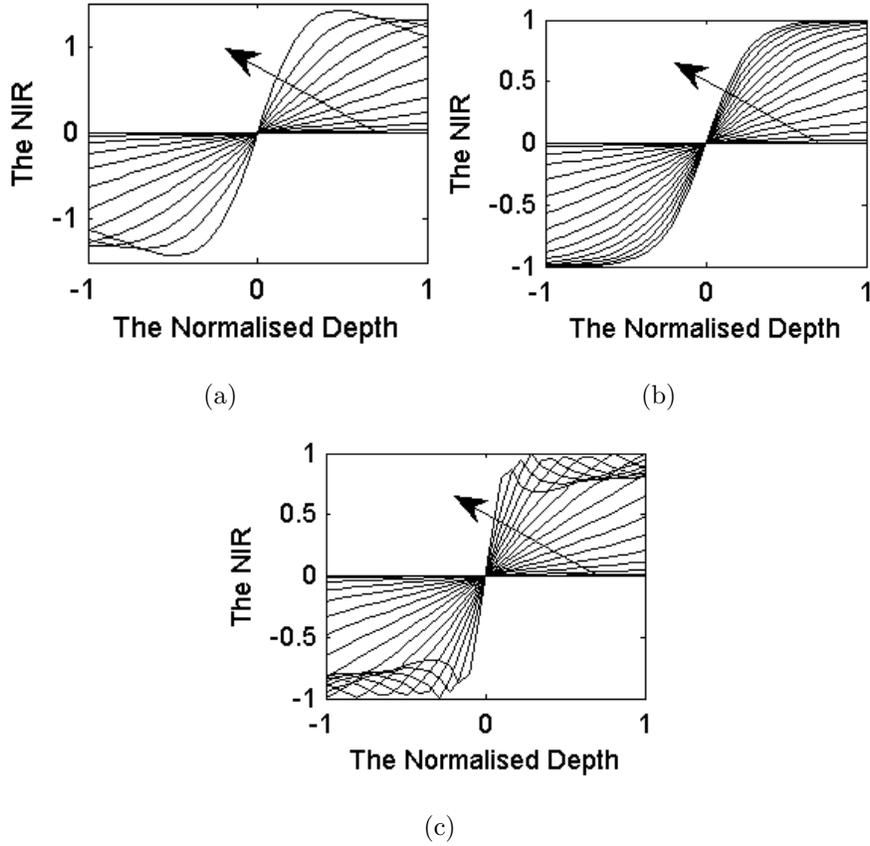


Fig. 2. (a) The Pillbox NIR varies with the normalised depth. (b) Gaussian NIR with $k=0.4578$. (c) Generalised Gaussian NIR with $p=4$ and $k=0.5091$. For each plot, the radial frequency of each curve increases in the direction of the arrow. All the frequencies are shown as their ranges are within $[-1 \ 1]$.

procedure has been proposed in [18] which also improves the depth estimation.

For convolved DfD, the telecentric optics described in [20] prevent an image magnification effect that limits DfD. The telecentric RO-DfD system is illustrated in Fig. 1. The light rays from an object point P pass through the telecentric aperture of radius A , and then through a circular part of radius A' on the lens. The focused image of P is at l , a position between the far-focused position l_1 and the near-focused image position l_2 . The normalised depth α is -1 at l_1 and 1 at l_2 . The distance between l and l_1 is $(1 + \alpha)e$ and that between l and l_2 is $(1 - \alpha)e$. A blurred circle of radius R_1 and another of radius R_2 are formed at l_1 and l_2 , respectively. The other parameters are denoted as follows: u is the distance between an object point and the lens, ; F is the focal length; s_1 is the distance between the lens and l_1 ; and s_2 is the distance between the lens and l_2 .

Two images are captured: image i_1 at l_1 , and image i_2 at l_2 . When P is at far-focused position, its focused image P' is at l_1 . Similarly, when P is at near-focused position, its focused image is at l_2 . Hence the working range of the RO-DfD system is from the far-focused object position to the near-focused object position.

The NIR or the M/P ratio is defined as [20]

$$\frac{M}{P}(f_r, \alpha) = \frac{H_1(f_r, \alpha) - H_2(f_r, \alpha)}{H_1(f_r, \alpha) + H_2(f_r, \alpha)}, \quad (2)$$

where H_1 and H_2 are respectively the PSFs of i_1 and i_2 , α is the normalised depth which is -1 when the focused image is on l_1 and changes linearly from l_1 to l_2 so that it becomes 1 when it reaches l_2 , and f_r is the radial frequency parameter in Hz. Using Eqn. (2) and the Pillbox PSFs, curves representing the NIR changing with α are shown in Fig. 2(a), each of which corresponds to a different discrete frequency. Each curve is modelled as a third order polynomial of NIR with respect to the depth, as described by [20]

$$\frac{M}{P}(f_r, \alpha) = \frac{G_{p1}(f_r, \alpha)}{G_{m1}(f_r, \alpha)}\alpha + \frac{G_{p2}(f_r, \alpha)}{G_{m1}(f_r, \alpha)}\alpha^3, \quad (3)$$

where the first order and third order coefficients are expressed as $G_{p1}(f_r, \alpha)/G_{m1}(f_r, \alpha)$ and $G_{p2}(f_r, \alpha)/G_{m1}(f_r, \alpha)$, respectively.

The corresponding spatial filters (the ROs) are then computed. During run-time, these ROs are convolved with $(i_1 - i_2)(i_1 + i_2)$ in a specific order as in [17] followed by a coefficient smoothing procedure and a 7x7 post median filtering.

The advantages of RO based DfD in [17] include: (a) ability to produce a dense depth map in real time with parallel hardware implementation; (b) the 3D reconstruction is invariant to textures; and (c) the depth error can be as low as 1.18%. Therefore a RO based method is feasible for real-time applications such as robotics and endoscopy. Its drawbacks are: (a) using Pillbox PSF is only valid when the lens induced aberrations and diffraction are small compared to the radius of the blur circle [19]; (b) a problematic filter design procedure used in the Levenberg-Marquardt algorithm (see Section 2.B); (c) lack of careful consideration on the NIR leads to the presence of some adverse frequency components. To address these drawbacks, we propose two RO-based methods: the Gaussian rational operator (GRO) based on the Gaussian PSF and the generalised Gaussian rational operator (GGRO) based on the generalised Gaussian PSF.

The novelties of the proposed methods are: (1) the GROs address the situation when the lens aberrations and diffraction are significant, producing smaller root mean square error

(RMSE); (2) a practical calibration method finds the linear relationship between the radius of the blurred circle and the standard deviation of the Gaussian or the generalised Gaussian PSF; (3) GGROs can be automatically configured to deal with the any levels of diffraction and aberrations; (4) the ROs are designed with a new and simpler method; (5) the pre-filter is redesigned to achieve better stability; and (6) an accurate and efficient DfD correction method is presented in Section 3 to reduce the severe circular distortion encountered in any DfD algorithm.

This paper is organised as follows. Section 2 presents the proposed GRO and GGRO including the method for their calibration, a method for configuring GGRO, and the pre-filter. Section 3 presents the DfD correction procedure. The experiments on real images and discussion are presented in Section 4, and Section 5 concludes the paper.

2. The Proposed Rational Operators

The design of our proposed ROs involves three steps. The first step determines either the Gaussian NIR or the Generalised Gaussian NIR. The second formulates the kernels of the ROs from the corresponding NIR. The third formulates the pre-filter for both types of ROs.

2.A. The Gaussian NIR

When the aberrations and diffraction of the camera lens used in DfD are significant when compared to the radius of the blurred circle, the Gaussian PSF is a better model than the Pillbox PSF for modelling the image blur [19]. While the depth-related parameter of the Pillbox model is the radius of the blurred circle, that of the Gaussian model is the standard deviation (SD). The SD is related to the radius of the blurred circle R by $\sigma = kR$ [21], where k is measured for the camera system used. Hence, unlike the Pillbox ROs that are generally designed for every camera, the Gaussian ROs are designed for a specific camera system.

The 2D Gaussian PSF is [6]

$$h(x, y) = \frac{1}{2\pi\sigma^2} \exp \left[-\frac{(x - \bar{x})^2 + (y - \bar{y})^2}{2\sigma^2} \right], \quad (4)$$

where $x - \bar{x}$ and $y - \bar{y}$ are the distances between a point at (x, y) and the reference point (\bar{x}, \bar{y}) , which is the centre of the PSF. The corresponding optical transfer function (OTF) is

the Fourier transform of the PSF, i.e.,

$$H(u, v) = \int \int \frac{1}{2\pi\sigma^2} \exp[C_1] \exp[-jux - jvy] dx dy, \quad (5)$$

where $C_1 = -\frac{(x-\bar{x})^2+(y-\bar{y})^2}{2\sigma^2}$. Rewriting the inner integral of Eqn. (5) as a quadratic function of x , and using the quadratic exponential integration formula gives

$$H(u, v) = \int C_2 \exp[C_3 + C_4] dy, \quad (6)$$

where $C_2 = \frac{1}{\sqrt{2\pi\sigma^2}}$, $C_3 = \frac{1}{2} [\frac{1}{\sigma}\bar{x} - ju\sigma]^2$, and $C_4 = -\frac{1}{2\sigma^2}\bar{x}^2 - \frac{1}{2\sigma^2}(y - \bar{y})^2 - jvy$. Similarly, rewriting the integral as a quadratic function of y and using the quadratic exponential integration formula gives

$$\begin{aligned} H(u, v) &= \exp \left[-\frac{1}{2}\sigma^2(u^2 + v^2) - j(\bar{x}u + \bar{y}v) \right] \\ &= \exp \left[\left(-\frac{1}{2}\sigma^2(u^2 + v^2)\right) \exp[-j(\bar{x}u + \bar{y}v)] \right]. \end{aligned} \quad (7)$$

In polar coordinates, the OTF is

$$H(r, \theta) = r \exp[-j\theta], \quad (8)$$

where the magnitude $r = \exp[-\frac{1}{2}\sigma^2(u^2 + v^2)]$, and the angle $\theta = \bar{x}u + \bar{y}v$. Assuming the OTF to be circular symmetric, it does not depend on angles and thus

$$H(u, v, \sigma) = \exp \left[-\frac{1}{2}\sigma^2(u^2 + v^2) \right]. \quad (9)$$

σ is related to the blur circle radius R by [21]

$$\sigma = kR, \quad (10)$$

where k is a camera constant obtained by measurement. In this paper k is obtained as follows:

1. Place a flat test pattern in front of the camera and perpendicular to the optical axis.
2. Focus the camera by computing its Fourier transform, where the image with the largest high frequency magnitude is chosen as the sharpest (i.e., most focused). Denote the position of the camera sensor as l_1 (i.e., the far-focused sensor position) and the image as i_1 (i.e., the far-focused image).

3. Move the sensor along the optical axis and away from l_1 to the position of l_2 , such that $l_2 - l_1 = 2e$, where e is a constant as shown in Fig. 1. Capture the image as i_2 (i.e., the near-focused image) at l_2 (i.e., the near-focused position). Note that i_1 is in focus and i_2 is blurred by a radius $R = (1 + \alpha)e/(2F_e)$.
4. Convolve image i_1 with a Gaussian PSF of SD σ_t to generate image i'_{2t} , i.e., $i'_{2t} = i_1 * G(\sigma_t)$. The mean square error is $\epsilon(t) = \text{mean}(i_2 - i'_{2t})^2$.
5. Repeat step (4) with a number of σ_t values. The estimated SD is given by $\sigma_1 = \arg \min_{\sigma_t} \epsilon(t)$.
6. Repeat steps 1-5 by making i_2 in focus and i_1 blurred to get another approximation of the SD σ_2 . The final estimated SD is $\sigma = (\sigma_1 + \sigma_2)/2$, and k is σ/R . This is because when the image is in focus on i_1 , the SD of the blurred circle on i_2 is the same as that on i_1 when the image is in focus on i_2 .

Using trigonometric similarity in Fig. 1 gives

$$\frac{2R_1}{(1 + \alpha)e} = \frac{2A'}{w},$$

where the effective f-number F_e is $w/(2A')$, so that

$$\begin{aligned} \frac{2R_1}{(1 + \alpha)e} &= \frac{1}{F_e} \\ \Rightarrow R_1 &= \frac{(1 + \alpha)e}{2F_e}. \end{aligned} \quad (11)$$

Substituting Eqn. (11) in Eqn. (10) and then in Eqn. (9) gives the far-focused OTF:

$$H_1(u, v, \alpha) = \exp \left[-\frac{1}{2} \left(\frac{k(1 + \alpha)e}{F_e} \right)^2 (u^2 + v^2) \right]. \quad (12)$$

The near-focused OTF is similarly obtained as

$$H_2(u, v, \alpha) = \exp \left[-\frac{1}{2} \left(\frac{k(1 - \alpha)e}{F_e} \right)^2 (u^2 + v^2) \right]. \quad (13)$$

Note that the maximum radius of the blurred circle is optimally chosen to be 2.703 pixels in [17, 18]. Thus according to Eqn. (11), the f-number (focal length divided by aperture diameter) controls the sensor separation $2e$ which in turn controls the working range, where by definition $\alpha = 1$ when the radius is maximised on l_1 . This is explained as follows. It is

noted from Eqn. (1) that a larger $2e$ results in a larger difference in image position w between the far-focused and near-focused conditions. This leads to a larger difference between the far and near object positions, i.e. the working range. This means a larger f-number results in a larger working range and vice versa. However, a larger f-number will generate a higher noise level in the data due to higher level of diffractions [6]. Notably, only the choices of maximum radius and the f-number will change the experimental set-up, while the value e is determined by the radius and the f-number selected according to Eqn. (12).

An example Gaussian NIR graph is shown in Fig. 2(b), where $k = 0.4578$ as measured for the camera system used to obtain the subsequently reported results. Unlike the Pillbox NIR shown in Fig. 2(a), even the high-frequency curves of the Gaussian NIR increase monotonically with depth. However, this does not mean they will not generate any adverse effects. A discussion of this is presented in Section 2.D.

2.B. The Generalised Gaussian NIR

A 1-dimensional (1D) generalised Gaussian PSF, generated using a combination of the Pillbox and Gaussian models with an adjustable parameter p is proposed in [22]. When $p = 2$, it is equivalent to a Gaussian PSF, and when $p \rightarrow \infty$ it is equivalent to the Pillbox PSF. The 1-D generalised Gaussian PSF is [22]

$$h(x) = \frac{p^{1-\frac{1}{p}}}{2\sigma\Gamma\left(\frac{1}{p}\right)} \exp\left[-\frac{1}{p} \frac{|x - \bar{x}|^p}{\sigma^p}\right], \quad (14)$$

where $\Gamma()$ is the Gamma function, σ is the SD such that $\sigma = kR$, x is the spatial index and \bar{x} is the centre of the PSF. In this paper the value of p is obtained together with the value k (using the method for determining k in Section 2.A) as follows:

1. Beginning with a very small value of p (e.g. $p=1$), find the mean square error $\epsilon(t)$ for every attempted $\sigma(t)$. Store the minimum of ϵ as $E(p)$, and the corresponding k value as $K(p)$.
2. Repeat the previous step with a slightly larger p value (e.g., 0.1 larger), until the minimum of $E(p)$ is identified. The estimated p value is given by $p_{est} = \arg \min_p E(p)$, and the corresponding k value is given by $k_{est} = K(p_{est})$

Denoting $C_5 = 2\sigma\Gamma\left(\frac{1}{p}\right)p^{\frac{1}{p}-1}$, Eqn. (14) becomes

$$h(x) = \frac{1}{C_5} \exp\left[-\frac{1}{p} \frac{|x - \bar{x}|^p}{\sigma^p}\right], \quad (15)$$

where C_5 is used to keep the overall gain as 1. The equivalent 2D PSF is

$$h(x, y) = \frac{1}{C_5} \exp\left(-\frac{|x - \bar{x}|^p + |y - \bar{y}|^p}{p\sigma^p}\right). \quad (16)$$

The OTF can be derived by the 2D Fourier transform of Eqn. (16), but no closed formed OTF can be obtained. To address this problem, numerical methods such as Adaptive Simpson Quadrature [23] can be used to calculate the OTF. The Fast Fourier Transform is a possible alternative but it should be used with care. This is because when the SD is small, it fails to produce accurate OTF values, whereas the Fourier transform by numerical integration almost always give accurate results but is much slower to compute. Fig. 2(c) shows an example of the NIR graph generated using $p=4$ and $k=0.5091$. As a result of the Pillbox-Gaussian combination, each curve in the NIR graph has a smaller range than the Pillbox NIR while the high-frequency curves do not increase monotonically with depth.

2.C. Design of the Rational Operators Kernels

Sections 2.A-2.B present the methods for finding the NIRs as given by Eqn. (3). The first and third order coefficients can be found by performing a least squares fitting of the NIR. The procedure used in [17] first sets G_{p1} as the frequency response (FR) of a Log of Gaussian (LOG) band-pass filter and then derives the other terms accordingly. The proposed method adapts this procedure by using a different method to estimate the corresponding spatial filters, i.e., the ROs.

In [17] and [18], the frequencies within $[-0.5 \ 0.5]$ Nyquist are divided into 32 discrete portions to allow the polynomial coefficients to be found. Since the ROs operate in the spatial domain, their FRs must be converted to the corresponding spatial filters. The elements of the matrices (representing the filters) have to be real. Hence if they are determined by inverse Fourier transform, the imaginary values violate this condition. In [17], the two operators g_{m1} and g_{p2} are acquired by the Levenberg-Marquardt algorithm, where only one cost function is used to find both g_{m1} and g_{p2} . However, $P(u, v; \alpha)$ in [17] is assumed to be the FR of a fractal image, which corresponds to Brownian motion. This may not be a

good approximation since $P(u, v; \alpha)$ is the FR of the sum of the two input images, and thus cannot be a constant. Moreover, our experiments show that the weighting factor used in their method significantly affects the optimisation result.

We solve this problem with a different cost function, which is the difference between the left hand side and right hand side of Eqn. (2), i.e., to find the ROs, the FRs of which best fit the NIR curves (this is also the final target of the ROs' design in [17, 18]). Denoting

$$\frac{\mathcal{M}}{\mathcal{P}}(u, v, \alpha) = \frac{G'_{p1}(u, v)}{G'_{m1}(u, v)}\alpha + \frac{G'_{p2}(u, v)}{G'_{m1}(u, v)}\alpha^3$$

where (u, v) is the frequency index such that $f_r = \sqrt{u^2 + v^2}$, G'_{p1} , G'_{m1} and G'_{p2} are the magnitudes of the FRs of the ROs g_{p1} , g_{m1} and g_{p2} respectively, the cost function is given by:

$$\epsilon^2 = \sum_{u, v, \alpha} \left(\frac{\mathcal{M}}{\mathcal{P}}(u, v, \alpha) \cdot F_{pre}(u, v) - \frac{\mathcal{M}}{\mathcal{P}}(u, v, \alpha) \right)^2, \quad (17)$$

where $\frac{\mathcal{M}}{\mathcal{P}}$ is the NIR calculated using Eqn. (2) and F_{pre} is magnitude of the FR of the pre-filter used to filter the input images before DfD computation (see Section 2.D). Thus the ROs are estimated as

$$[g_{p1}, g_{m1}, g_{p2}] = \arg \min_{g_{p1}, g_{m1}, g_{p2}} \epsilon^2. \quad (18)$$

Therefore, all three ROs are estimated simultaneously, without approximating $P(u, v; \alpha)$. In addition, the weight is set to be the same for every frequency index without the need to compute it as a specific matrix as in [17]. This is because every frequency component has even contribution to minimise the overall cost function of Eqn. (17). This results in the right hand side of Eqn. (17) not having a denominator.

Eqn. (17) and (18) can be implemented with any non-linear optimisation algorithm such as the Gauss-Newton algorithm, gradient descent algorithm or Levenberg-Marquardt algorithm. A crucial step is the initialisation of ROs g_{m1} and g_{p2} . As mentioned earlier, g_{p1} is initialised as a LOG filter, then its FR G_{p1} is calculated. G_{m1} and G_{p2} are then computed with the estimated first and third order coefficients. The Parks-McClellan FIR filter design algorithm and McClellan transformation are then used to find the initial guess for g_{m1} and g_{p2} [24, 25].

The procedure to initialise g_{m1} and g_{p2} is as follows: 1) Generate a 1D vector f_{tar} by sampling 6 values of the RO's FR (G_{m1} or G_{p2}) across 6 equally spaced frequency indices from 0 to 0.5 Hz.; 2) Use f_{tar} and the corresponding frequency indices vector as input to

the Parks-McClellan algorithm to find the 1D spatial filter f_{1d} ; 3) Use f_{1d} as input to the McClellan Transformation algorithm to get the corresponding 2D filter, which is the initial guess for the RO (g_{m1} or g_{p2}).

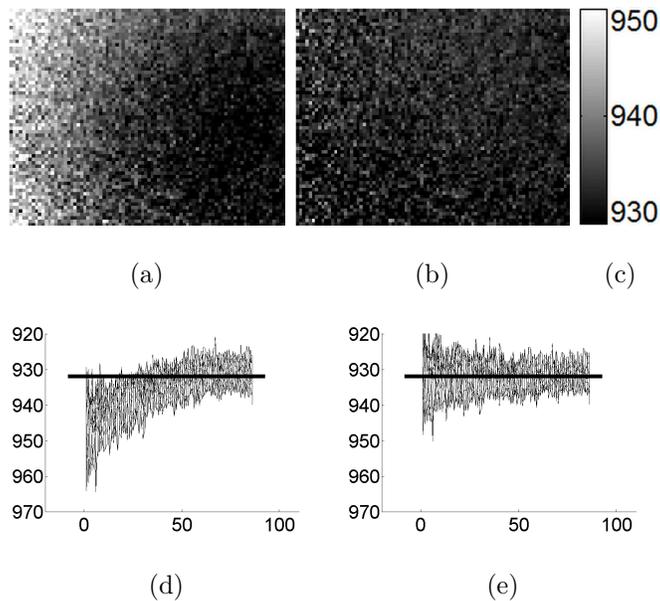


Fig. 3. An example DfD correction problem. Grey-coded depth maps of a flat surface: (a) without correction and (b) after correction. (c) The grey-bar of (a) and (b). Mesh plots: (d) the side view of (a); and (e) the side view of (b), where the horizontal units are in pixel and the vertical units are in mm. The horizontal lines in (d) and (e) represent the expected depth.

2.D. The pre-filter

The purpose of the pre-filter is to remove the frequency components which adversely affect the accuracy and stability of the 3D reconstruction. To design the pre-filter appropriately, these adverse frequency components are identified using a NIR graph, e.g., as is shown in Fig. 2(b), as follows. For each frequency, if the variable represented by the vertical axis in Fig. 2(b) (i.e., the NIR) is used as the input argument, and the output is the variable represented by the horizontal axis.

Note that if the input varies even slightly, the resulting output depth will be highly unstable. For example, for the second lowest frequency of 0.1963 Hz, represented by the curve just next to the horizontal line, if the input varies within ± 0.1 , the output will vary across the entire depth range. Similarly, some high-frequency components also suffer from

this problem since some parts of them are almost horizontal. Thus, a lack of consideration on this problem can result in significant depth variation, requiring larger coefficient smoothing and larger median filtering kernels (our experiments show that a 3x3 median filtering kernel is typically enough to remove most high frequency noise, but it can be larger if the noise power increases significantly) which slow down the processing.

The frequency components containing a large proportion of low-gradient or negative gradient (corresponding to non-monotonicity) should thus be removed. This is achieved by minimising the cost function

$$\epsilon^2 = \sum_{u,v} \left(\frac{F_{pre}(u,v) - F'_{pre}(u,v)}{\zeta(u,v)} \right)^2, \quad (19)$$

where F_{pre} is the target FR (to be determined later), F'_{pre} is the FR of the estimated pre-filter and ζ is the weight matrix (to be determined later). In order to obtain a pre-filter that effectively remove the components that introduce significant instability, which corresponds to the NIR curves that contain parts with small or negative gradient, the corresponding elements of F_{pre} need to be set small enough while maintaining F_{pre} to be smooth. In addition, the weight matrix needs also be set in a way that the optimisation is focused on obtaining small values for the adverse frequency components.

The optimal F_{pre} is obtained as follows: 1) Compute the gradients along each curve of the NIRs at different depths; 2) Find the smallest gradient for each curve which corresponds to a unique radial frequency f_r ; 3) Each element of F_{pre} is assigned by the smallest gradient value (0 if negative) of corresponding curve with the same radial frequency $f_r = \sqrt{u^2 + v^2}$, resulting in small values for the adverse components while enforcing smoothness of the filter; 4) F_{pre} is then divided by its maximum value to give a unity gain filter; 5) $\zeta(u,v)$ is set to be F_{pre} incremented by a small value (e.g., 0.05) so that it does not contain zero, resulting in the optimisation focused on the adverse components. The optimisation can be implemented by one of the non-linear optimisation methods, initialised with the same method as the ROs as presented in Section 2.C.

3. DfD Correction Method

During numerous experiments using three different lenses (a professional 50 mm lens, a 35 mm lens, and a widely available 1 mm Webcam lens), a common and severe problem was

observed using all the DfD algorithms mentioned in Section 1. Such a problem is illustrated in Fig. 3. Here a hill-like result is generated from a flat plane that is perpendicular to the optical axis. The hill is more or less circularly symmetric which is similar to the surface of a common lens. Also its centre deviates from the centre of the map due to the focus adjustment during the experiment. An analysis of the experiment reveals the following concern. When an image is defocused by moving the sensor, it cannot be defocused evenly across the image, where some parts are more blurred than the others (the shape of the defocused pattern is similar to the distorted depth map in Fig. 3(a), where the varying grey levels denote the uneven surface). In addition, the small f-number used results in a narrow depth of field, making the problem easily observed. In other words, the distorted blur field leads to a distorted depth map. Note that both results are generated with the same scale using Watanabe’s [17] DfD method. The expected depth map should be flat with a value of 933 mm.

Generally, it is possible to correct either the input images or the output depth map. The former is considered not practical due to the complex measurement involved, so the proposed method is based on correcting the output depth maps. An immediate thought is to subtract any depth map by a calibration pattern (i.e., the depth map generated for the far-focused object position) and then minus the expected depth of that pattern (the depth offset). However, our experiments show that the appropriate calibration pattern is depth dependent. Thus, a closed-form solution is needed to find the correction factor for each element of the pattern.

The offset Δ at the location defined by the Cartesian coordinates (x, y) is modelled as a third order polynomial of the coordinates x and y and the corresponding raw depth $u_{raw}(x, y)$, i.e.,

$$\Delta(x, y) = c_1(1) + \sum_{i=2}^4 c_1(i)x^{i-1} + \sum_{i=5}^7 c_1(i)y^{i-4} + \sum_{i=8}^{10} c_1(i)(u_{raw}(x, y))^{i-7}. \quad (20)$$

Samples of Δ and u_{raw} are obtained by capturing a pair of DfD images of a test flat surface at a location within the working range, e.g., Δ is -1, when the surface is at the far-focused object point, and u_{raw} is thus the corresponding computed depth map. The coefficient vector c_1 is in turn obtained using least squares fitting. The correction factor is

given by

$$u_c(x, y) = c_2(1) + \sum_{i=2}^4 c_2(i)x^{i-1} + \sum_{i=5}^7 c_2(i)y^{i-4} + \sum_{i=8}^{10} c_2(i)(\Delta(x, y))^{i-7}, \quad (21)$$

where $u_c(x, y)$ is equivalent to $u_{raw}(x, y)$, and $\Delta(x, y)$ is found by the previous step and the coefficient vector c_2 is similarly computed with a least square fit. Finally, to correct any depth result at a specific location (x, y) , the following procedure is required:

1. The location coordinate (x, y) and the uncorrected result u_{raw} are substituted into Eqn. (20) to get the offset $\Delta(x, y)$.
2. The location coordinate (x, y) and $u_c(x, y)$ are substituted into Eqn. (21) to compute the correction factor $u_c(x, y)$.
3. The corrected depth is thus estimated by $u_{corrected}(x, y) = u_{raw}(x, y) - u_c(x, y) + \Delta(x, y)$.

An example of the corrected depth map is shown in Fig. 3(b) and (e), where the working range is within [886.8 933] mm away from the lens. To show that the correction method works with any RO-DfD, the depth results are generated using Watanabe's ROs [17]. While the local noise level is not visibly magnified, the general shape of the hill has been restored to be flat. A typical correction of a depth map only accounts for 4-8% of the total RO-DfD computational time, hence it is suitable for real-time applications.

4. Experiment

Since the proposed RO-DfD methods are based on different PSFs than those used in [17] and [18], experiments with simulated images are not of any use because they are generated with a specific PSF. Thus we only discuss the depth results using real images. In addition, since the ROs in the Raj's method [18] produce better results than the ROs in [17], the comparison is made between the state-of-the-art Raj's method and the proposed method.

A professional 50 mm lens is used with a telecentric aperture whose diameter is 12.8 mm. The f-number F_e is thus obtained by dividing the focal length $F = 50$ mm by the aperture diameter $2A = 12.8$ mm, which is 3.9063. The side-length of each CCD sensor element is 7.4 μm . The maximum radius of the blur circle is 2.703 pixels. Hence the radius of the blurred

circle is $2.703 \times 7.4^{-3} = 0.0200$ mm. The far-focused object position u_1 is set 933 mm away from the lens.

The working range is computed as follows:

1. When radius of the blurred circle on l_1 is 0 the scene is far-focused such that $s_1 = w$, substituting $u = u_1 = 933$ mm and $F = 50$ mm into Eqn. (1) gives the far-focused sensor-lens separation $s_1 = w = 52.8313$ mm.
2. When radii of the blurred circles on l_1 and l_2 are respectively of 0.02000 (the maximum) mm and 0 (the minimum), substituting $R_1 = 0.0200$ mm, $\alpha = 1$ (this is true when R_1 reaches its maximum) and $F_e = 3.9063$ into Eqn. (11) gives the sensor separation $2e = 0.1563$ mm, such that the near focused sensor-lens separation is $s_2 = s_1 + 2e = 52.9876$ mm.
3. When radius of the blurred circle on l_2 is 0 as in step 2, substituting $w = s_2 = 52.9876$ mm and $F = 50$ mm into Eqn. (1) gives the near-focused object position $u_2 = u = 886.8$ mm. Thus the working range is $[886.8 \ 933]$ mm away from the camera.

The input image resolution is 640×480 . The proposed RO-DfD method is implemented on a computer with an Intel Pentium Dual-Core 2.16 GHz processor. A flat surface covered with sandpaper is used as the test pattern for evaluation. It is set perpendicular to the optical axis and shifted from the far-focused object position to the near-focused position, with successive locations separated equally by $46.18/23$ mm. 24 pairs of images are thus captured and 24 depth maps computed.

A 7×7 window is used for coefficient smoothing. For comparison with Raj's method, the Root Mean Square Error (RMSE) is measured between the estimated depth map and the ideal flat depth map for each pair of inputs. A set of 24 measurements is obtained for each one of Raj's method, GRO and GGRO. Here the k value for GRO is estimated as 0.4578 using the method presented in Section 2.A; p and k for GGRO are respectively estimated as 1.8 and 0.4802 using the method presented in Section 2.B.

Fig. 4 shows the comparisons of RMSE between Raj's ROs [18] and the ROs (i.e., the Gaussian based and the Generalised Gaussian based) of the proposed method.

Note that the proposed DfD correction method only deals with the general shape of the depth map, e.g., it restores a noisy hill to a noisy flat surface, maintaining the local

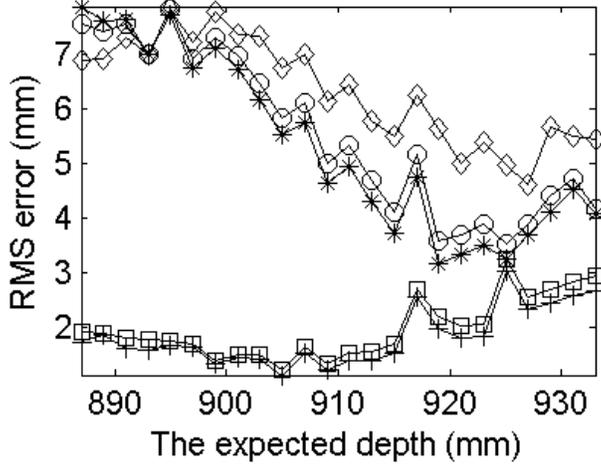


Fig. 4. Comparison of RMSE of

Raj's and the proposed methods. Key: \diamond - Raj; \circ - GRO uncorrected; * - GGRO uncorrected; \square - GRO corrected; and + - GGRO corrected.

noise level as illustrated in Fig. 3. In addition, experiments show that the RMSE before correction is dominated by the general shape and depends on the local noise level after correction. Furthermore, the general shape distortion is worse for the smaller depths than the larger ones, while the local noise level is worse for the larger depths than the smaller ones. Thus, for the uncorrected results shown in Fig. 4 the RMSE is higher for the smaller depths than the larger depths, while the RMSE after correction is higher for larger depths than smaller depths.

Despite all these general RO-DfD problems, the results before correction of the proposed ROs are more accurate than using Raj's ROs for depths larger than 890.8 mm while GGROs produce the least overall RMSE. Moreover, for the results after correction, the proposed methods outperform the Raj's method across the entire working range.

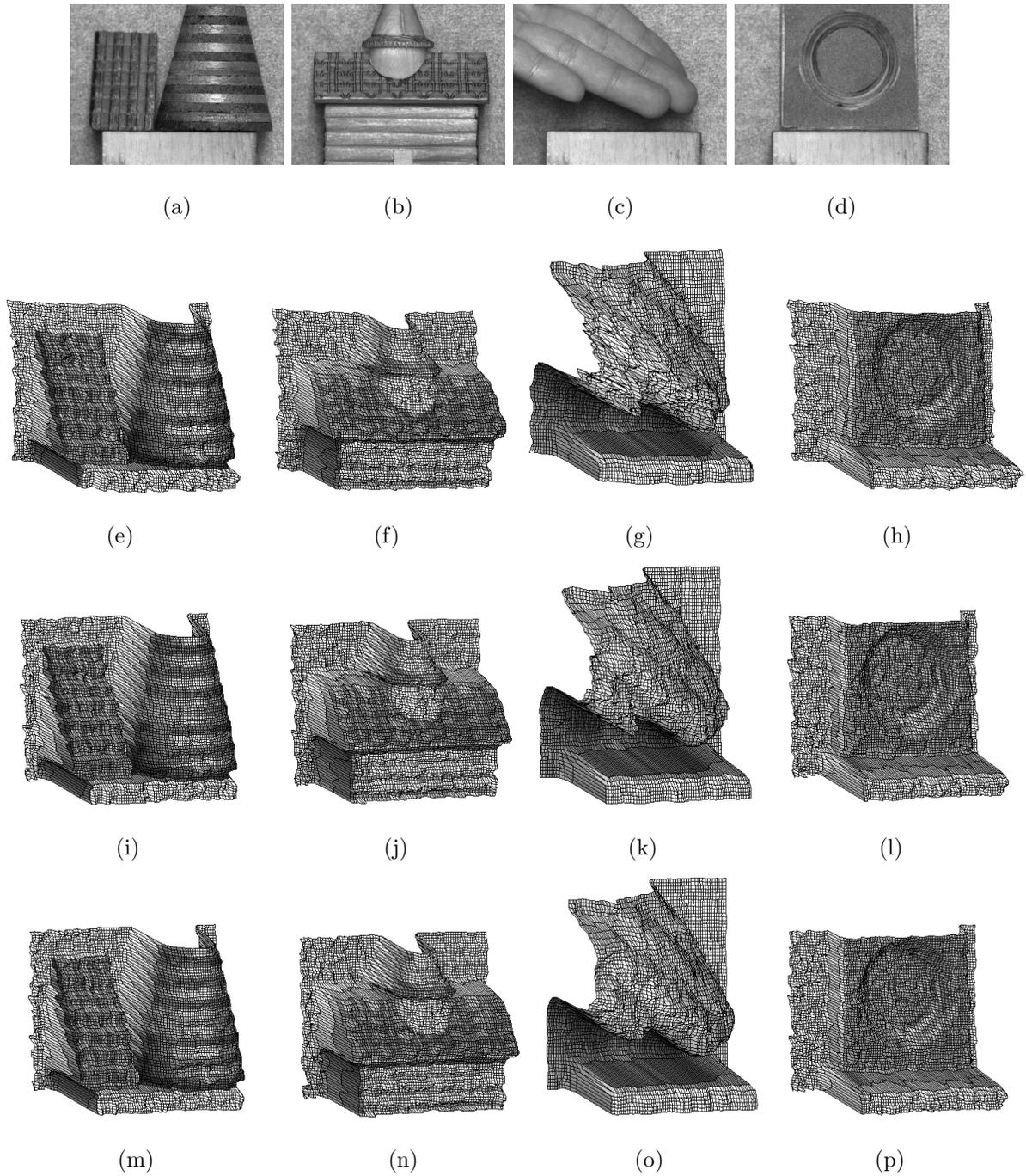


Fig. 5. Wireframe plots of the results using Raj's and the proposed methods with the test objects. Row 1 - the test scenes. Mesh plots of 3D scene reconstructions using: row 2 - Raj's method; row 3 - GRO; and row 4 - GGRO. Note that the results in column 3 are generated using 5x5 post median filtering whereas the others are obtained using 3x3 median filtering.

Fig. 5 show the four real test scenes comprising different shaped objects for evaluating the performance of the proposed method qualitatively. Note that our experiments show that 3x3 post median filtering (PMF) is typically sufficient to remove most noise while preserving the depth discontinuity for scenes that are not reflective and having visible textures. However the results in the third column are generated using 5x5 PMF instead of 3x3 PMF. This is because the associated scene of the fingers is considerably more reflective than the others and does not have sufficient textures to enable DfD to work with blurring. For a scene with no or little texture, there is little different in blur with the two captured images. When the pre-filter fails to remove some adverse frequency components, e.g., low frequencies corresponding to little texture, high noise level is perceived (see Section 2.D). For the staircase and cone scene in the first column, there is less noise in the reconstructed surface and the circular distortion is eliminated. The wooden temple results in the second column test the algorithms with complex objects that do not span the full working range, where the expected range of the temple is significantly lower than than the working range. Similar results are obtained. The third column shows the advantage of the smoothing nature of the GRO, which removes much of the low-frequency components (due to the reflective hand surface) while preserving the depth discontinuity. The object with a conical depression shown in the last column is used to demonstrate the ability of the DfD correction method to cope with multiple depths. Here not only is the background corrected, but the foreground objects are also corrected.

Table 1. The mean RMSE and the mean SD of all the flat surfaces in the reconstruction results of the test scenes in Fig. 5, before and after correction. All units are in mm.

	RMSE				SD			
	SC	TP	HD	CD	SC	TP	HD	CD
Raj	6.46	7.23	6.59	8.59	3.14	3.21	11.78	3.20
GRO before	4.59	5.43	6.03	8.02	2.49	2.75	6.88	2.45
GGRO before	4.17	5.14	6.19	7.88	2.21	2.36	6.32	2.29
GRO after	3.90	2.91	4.35	4.20	3.00	3.12	7.68	3.14
GGRO after	3.63	2.89	4.11	4.19	2.79	2.96	7.23	2.95

Table 1 shows the numerical comparisons based on the four sets of results. In these tables, the acronym SC, TP, HD and CD respectively stand for Staircase and Cone, Temple, Hand

and Conical depression that are shown in Fig. 5(a)-(d), respectively.

Column 2-5 in Table 1 shows the comparison of the RMSE between Raj's results and the proposed ones, generated from the four sets of results. The RMSE for each test scene is measured as follows. For each flat surface that is perpendicular to the optical axis, the RMSE is calculated between the estimated depth and the actual depth which is measured with a vernier calliper. The average of these RMSEs is used as the RMSE for the scene. The table shows that both GRO and GGRO produce smaller RMSE than Raj's method, while GGRO produces the smallest RMSE. Moreover, the correction method manages to reduce the RMSE significantly.

Column 6-9 in Table 1 compares the noise levels between Raj's results and those of the proposed methods, which are measured by the average SD of the flat surfaces of the four sets of results. For example, for the scene in the first column of Fig. 5, the SD is evaluated for each step surface of the staircase, the surface of the wooden chunk at the bottom, and the background. The average of these SDs is used to indicate the noise level of the depth result. The table shows that both GRO and GGRO produce less noise than Raj's method, while GGRO generates the least noise. In addition, the correction method has little influence on the noise level.

In terms of the computing time, the proposed depth estimation and depth correction only take typically 0.35 second. If a parallel hardware implementation is used, a real-time DfD processing is also achievable. Therefore the proposed DfD method can be very useful for robotic and medical applications.

5. Conclusion

Lens aberrations and diffraction are two undesirable and unavoidable imperfection in image acquisition where 3D object reconstruction techniques including DfD suffers. The former occurs when sub-quality lenses are used and the latter occurs when small aperture is used or the image centre is misaligned with the optical axis [26]. This paper presents two novel RO-DfD methods, one using Gaussian PSF and another using Generalised Gaussian PSF. The GROs cope well in situations where the lens aberrations and diffraction are significant compared to the blur radius. The GGROs can cope with any levels of aberrations and diffraction. In addition, the pre-filter is designed to take into account of the instability in

the measurement of depth as well as its monotonicity. Moreover, the ROs are designed to speed up the filters generation process.

The paper also presents a practical DfD correction method that addresses the circular lens distortion and misalignment between the image centre and the optical axis. Experiments on real images with both quantitative and qualitative results show that the GROs and the GGROs together with the proposed correction algorithm respectively produce more accurate results than the state-of-the-art Raj's ROs. Furthermore, the proposed methods are fast with the effective and efficient correction stage eliminating the hill-like depth map distortion generated by existing DfD methods.

Our method works well because: 1) GROs use Gaussian model that is more suitable than the Pillbox model for defocusing that is dominated by aberrations and diffraction; 2) GGROs use generalised Gaussian model that generalises the RO-DfD method to deal with any levels of aberrations/diffraction; 3) Input frequency components are analysed using the NIR and removed with a pre-filter; 4) The ROs are designed with a simpler method achieving comparable accuracy than [17, 18]; 5) A simple DfD correction procedure is devised to eliminate the strong circular distortion originated from image acquisition.

Although our method works effectively, the general shape of the NIR cannot be reproduced without error and the adverse frequency components cannot be removed completely due to the small-sized broad-band ROs. We will investigate as a future work the use of coded aperture to produce a PSF suitable for small ROs. Moreover, the current implementation of the proposed methods requires the sensor to be moved from one position to another with typical precision of $5 \mu m$. To increase the precision, we will investigate the use of a step motor or a batch of piezoelectric-electric materials to control the movement. If the size of the camera system is not an issue, two sensors and a half mirror could be used to remove the need to move the sensors.

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