

Invariant Illumination Face Recognition Using Optimized PNN Topology through Neuron Orthogonalization and Genetic Algorithm

Benyamin Kusumoputro and Lina

Abstract—The development of face recognition system attracted significant research attention due to increasing demand on its applications. However, the process of converge to a conclusion of a known-face based from a 2D incoming face images is very difficult, especially when large illumination variations are present in the input space. In this paper, we implemented the illumination compensation preprocessing system in conjunction with the optimized-Probabilistic Neural Networks as a classifier. PNN has shown marvelous higher recognition capability, however, determining the best tuning parameter is very difficult. Neural topology is firstly determined by looking for the most representative neuron using Orthogonal Algorithm, followed by evolutionary determine the best smoothing parameter through Genetic Algorithm. Experiments are conducted using face images under various illumination conditions, and results are presented which illustrate the potential of this approach.

Index Terms—Probability neural networks, genetic algorithm, orthogonal algorithm, illumination compensation, face recognition.

I. INTRODUCTION

Human has an ability to remember and identify hundreds even thousands of faces whom they meet in their social lifes. The ability in recognizing those faces still can work well although the faces have changes in certain level; such as age, expressions, illumination and addition of accessories. Machine recognition of human face has been developed then, to mimic the ability of human to recognize face. The development of automatic face recognition (AFR) has attracted significant research attention due to increasing demand on its applications. Since AFR is considered to be a natural, non-intimidating, and widely accepted biometric identification method [1], [2], it has the potential of becoming the leading biometric technology. Unfortunately, it is also one of the most difficult pattern recognition problems. So far, all existing solutions provide only partial, and usually unsatisfactory, answers to the market needs, especially illumination variations and partial occlusion of three-dimensional face recognition.

Human visual system could ignored the illumination

variation on the face while recognizing a person, however, the performance of automatic face recognition system (AFR) decrease significantly when various illumination conditions are present in the input space [3]. Therefore, various attempts should be made to handle this issue. Chen *et al.* [4] then proposed an illumination normalization approach to remove the illumination variations while keeping the main facial features remain. This approach is accomplished by truncating the low-frequency discrete cosine transform (DCT) coefficients in the logarithm domain.

Probabilistic Neural Network (PNN) has also received considerable attention since it shows many successful applications. As one of the promising neural networks system, PNN shown its superior lower computational cost compare with that of back-propagation neural system [5], [6], however, it has a drawback as the number of its hidden neuron increased as much as the learning examples. In PNN [7], [8], every new training data will be represented by a new neuron in the pattern layer, and the network size will increase according to the increment of the used training data, which increased the computation cost of the system. Another problem on using PNN is the difficulty on determining the exact value of the smoothing parameter, where the optimal value depends directly on the characteristics of the known training data. The two problems mentioned above are well realized by researchers and some algorithms are proposed to reduce the training sample, such as the used of vector quantization method for grouping the training sample to find the cluster centers [9]-[11]. Mao *et al.* [12] have then developed a reduction structure of the PNN by directly used in the selection of the neurons in which at the same time also looking for the best smoothing parameter by using Genetic Algorithms [13]. In attempt to speed up the GA process, we then conducted the best smoothing parameter using different GA technique [14].

In this paper an experimental set up for characteristics performance comparison of the optimized-PNN with that of the standard PNN as a neural classifier in the Face Recognition System are conducted. As the face images are taken with various illumination intensities, illumination normalization is performed prior to discriminate the face through optimized-PNN. Experimental results show that the structured-optimized PNN performed higher recognition rate compare with that of Standard PNN, even using lower number of neurons, which decreased also the total computational cost. Performance comparison of the Optimized-PNN with conventional GA and Decimal-Ga is also conducted and experiment results are carefully studied.

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II. NEURAL STRUCTURE OPTIMIZATION OF PNN

A. Structure Determination Using Orthogonal Algorithm

The main goal of the Orthogonal Algorithm (OA) is to select the most representative neurons in pattern layer of the PNN in order to construct an optimal pattern layer. And as a consequence, higher recognition rate and lower computational cost could be expected by using minimum size of the optimized PNN topology. Probabilistic Neural Network (PNN) is constructed by 4 layers of neurons, i.e. an input layer, a pattern layer, a summation layer, and a decision layer. In PNN learning algorithm, if a vector x_{ik} is a training vector of k^{th} neuron of class C_i , then the maximum probability of vector x_{ik} to be classified as member of C_i is:

$$p_i(x_{ik}) = \sum_{j=1}^{N_i} \phi_{ij}(x_{ik}) \quad (1)$$

where

$$\phi_{ij}(x_{ik}) = \frac{1}{(2\pi)^{d/2} \sigma^d} \frac{1}{N_i} \exp \left[-\frac{(x_{ik} - x_{ij})^T (x_{ik} - x_{ij})}{2\sigma^2} \right] \quad (2)$$

with $p_i(x_{ik})$ is a nonlinear function of σ and vector x_{ik} . But if value of σ had been determined before and output of each neuron $\phi_{ij}(x_{ij})$ is treated as a variable, then $p_i(x_{ik})$ will become a linear combination of $\phi_{ij}(x_{ij})$ as shown in (3). These variables will then be used to evaluate the degree of importance of every neuron in pattern layer.

Equation (1) can also be written in matrix form as $P = \Phi \theta$, with

$$\begin{aligned} \theta &= [1, 1, \dots, 1]^T \\ P &= [p_i(x_{i1}), p_i(x_{i2}), \dots, p_i(x_{iN_i})]^T \\ \Phi &= \begin{bmatrix} \phi_{i1}(x_{i1}) & \phi_{i2}(x_{i1}) & \dots & \phi_{iN_i}(x_{i1}) \\ \phi_{i1}(x_{i2}) & \phi_{i2}(x_{i2}) & \dots & \phi_{iN_i}(x_{i2}) \\ \dots & \dots & \dots & \dots \\ \phi_{i1}(x_{iN_i}) & \phi_{i2}(x_{iN_i}) & \dots & \phi_{iN_i}(x_{iN_i}) \end{bmatrix} \end{aligned} \quad (3)$$

Transforming matrix Φ using orthogonal transformation will give,

$$\Phi = QR = [Q_1, Q_2, \dots, Q_{N_i}]R \quad (4)$$

where Q_1, Q_2, \dots, Q_{N_i} are an orthogonal basis and R is an upper triangular matrix. Degree of importance (Γ_j) of j^{th} candidate neuron that member of class C_i is calculated based on norm of vector Q_j , i.e.

$$\Gamma_j = Q_j^T Q_j \quad (5)$$

In condition where all neurons have the same smoothing parameter value, the higher value of (Γ_j) showing the more

important the j^{th} neuron is.

The determination procedure on looking for the most important neuron can be summerized as follows:

- 1) Choose the most representative neuron from N_i neuron of class C_i by searching neuron that has highest degree of importance. Then use selected neuron to calculate Q_1 .

$$Q_1^{(\alpha)} = \phi_\alpha, \quad \alpha = 1, 2, \dots, N_i$$

$$\phi_\alpha = [\phi_\alpha(1), \phi_\alpha(2), \dots, \phi_\alpha(N_i)]^T \quad (6)$$

Degree of importance is calculated as,

$$\Gamma_1^{(\alpha)} = [Q_1^{(\alpha)}]^T Q_1^{(\alpha)}, \quad \alpha = 1, 2, \dots, N_i \quad (7)$$

- 2) Choose j^{th} most representative neuron from remaining neurons (total remaining neurons = $N_i - j + 1$). Neuron has highest degree of importance is then selected as j^{th} most representative neuron.

$$Q_j^{(\alpha)} = \phi_{k_\alpha} - \sum_{l=1}^{j-1} r_{l\alpha}^{(\alpha)} Q_l, \quad \alpha = 1, 2, \dots, N_i - j + 1$$

$$r_{l\alpha}^{(\alpha)} = Q_l^T \phi_{k_\alpha} / Q_l^T Q_l, \quad \alpha = 1, 2, \dots, N_i - j + 1, l < i \quad (8)$$

B. Smoothing Parameter Determination Using Genetic Algorithm

In PNN, the determination of the smoothing parameter is a critical aspect, due to its direct connection with the recognition accuracy of the neural networks system. An appropriate smoothing parameter is often data dependent; therefore the selection of the smoothing parameter is an essential step to be taken in every problem that uses PNN as the classifier. Suppose we already have the network size of the PNN, with n is the number of selected neuron in pattern layer, then the problem can be defined as a constrained optimization problem of $\min \{n\}$ subject to:

$$\eta < \delta \quad (9)$$

where η is error rate of classification, and δ is a given maximum limit of error rate tolerance of classification. Since quantitative relation between network size, error rate of classification, and smoothing parameter (σ) is not exist, then genetic algorithm (GA) is used to solve above optimization problem.

GA is a searching algorithm, which developed based on nature selection of genetics. Evolutionary computation of GA searching algorithm is accomplished by applying GA's processes, i.e. encoding, fitness value evaluation, reproduction, crossover, and mutation. In this paper, we used a decimal Genetic Algorithm proposed in [14]. Instead of using string or binary number as a representation of the chromosomes, in this technique the chromosomes are represented directly using real number of smoothing parameter. Overall GA approach is then completely different with that of [13], and proofed to be very effective in decreasing the computational cost of the GA. The evaluation

of the best chromosome, or the objective fitness function, is performed by using the optimal recognition rate of the training data and the testing data for training (as part of the data training). As already explained earlier, every individual represents a smoothing parameter value, and by using every possible value of σ , a set of network structure candidates are determined as the chromosomes.

The selection process is evaluated by Roullete Wheel, where the chromosomes with the optimal fitness value have a better possibility to be determined as the winner. The crossover operator then is used using:

$$\begin{aligned} X_p &= \frac{1}{4}(3X_p + Y_p) \\ Y_p' &= \frac{1}{2}|2Y_p - X_p| \end{aligned} \quad (10)$$

where X_p and Y_p the parents chromosomes and X_p' and Y_p' the offsprings chromosomes.

III. FACE RECOGNITION UNDER VARIOUS ILLUMINATION CONDITIONS

Illumination normalization and compensation approach is developed for removing the illumination variations that may occur between the individual face images taken from real camera surveillance, for instance, with all the templates face images stored in the gallery database. Chen *et. al* [4] then proposed an illumination normalization approach to remove the illumination variations while keeping the main facial features remain. This approach is accomplished by truncating the low-frequency discrete cosine transform (DCT) coefficients in its logarithm domain.

Suppose an image gray level $f(x,y)$ is defined as

$$f(x,y) = r(x,y).e(x,y) \quad (11)$$

where $r(x,y)$ the reflectance, and $e(x,y)$ the illumination [15]. By taking the logarithm transform on (11) we have

$$\log f(x,y) = \log r(x,y) + \log e(x,y) \quad (12)$$

Suppose we have new images with different illumination $f'(x,y)$, and by comparing in logarithm form such as in (12), then we have

$$\log f'(x,y) = \log r(x,y) + \log e'(x,y) \quad (13)$$

Since the reflectance $r(x,y)$ is supposed to be stable characteristic of the facial features, the changing illumination effect of the image could be compensated by $\epsilon(x,y)$, in the form of

$$\begin{aligned} \log f'(x,y) &= \log r(x,y) + \log e(x,y) - \epsilon(x,y) \\ \log f'(x,y) &= \log f(x,y) - \epsilon(x,y) \end{aligned} \quad (14)$$

Suppose we have a $M \times N$ image $F(x,y)$ in logarithm domain that in the DCT frequency domain can be written as

$$C(u,v) = \alpha(u)\alpha(v) \times \sum_{x=0}^{M-1} \sum_{y=0}^{N-1} F(x,y) \cos\left[\frac{\pi(2x+1)u}{2M}\right] \cos\left[\frac{\pi(2y+1)v}{2N}\right] \quad (15)$$

And the inverse transform is defined as

$$F(x,y) = \sum_{u=0}^{M-1} \sum_{v=0}^{N-1} E(x,y) \quad (16)$$

With

$$E(x,y) = \alpha(u)\alpha(v)C(u,v) \times \cos\left[\frac{\pi(2x+1)u}{2M}\right] \cos\left[\frac{\pi(2y+1)v}{2N}\right] \quad (17)$$

And

$$\alpha(u) = \begin{cases} \frac{1}{\sqrt{M}}, & u = 0 \\ \sqrt{\frac{2}{M}}, & u = 1, 2, \dots, M-1 \end{cases} \quad \text{and} \quad \alpha(v) = \begin{cases} \frac{1}{\sqrt{N}}, & v = 0 \\ \sqrt{\frac{2}{N}}, & v = 1, 2, \dots, N-1 \end{cases} \quad (18)$$

As the illumination variations are mainly in the low frequency domain, a new image with different illumination condition in logarithm domain in DCT domain can be written as

$$F'(x,y) = \sum_{u=0}^{M-1} \sum_{v=0}^{N-1} E(u,v) - \sum_{j=1}^J E(u_j, v_j) \quad (19)$$

With the i low-frequency DCT coefficients can be extracted as

$$\epsilon(u,v) = \sum_{j=1}^J E(u_j, v_j) \quad (20)$$

The DCT coefficient which is related with the uniform illumination can be setting to the same value as $C(0,0) = \log \mu \sqrt{MN}$. And by using this coefficients as the reference, the low-frequency DCT coefficient to be discarded is determined.

In this paper, we have used the University of Indonesia Computational Intelligence Lab (UICIL) database. The database contains images of ten individual of Indonesian persons under six various illumination conditions, four different expressions (neutral, angry, laugh, and smile). The database consist of a total of 400 images and we divided into 50% for training the neural networks and the rest is used for testing phase.

Fig. 1 shows the initial face images and its reconstructed after passing the illumination compensation processes with $\log \mu = 150$, $M = N = 30$. Generally, the face recognition using appearance-based approaches deal with a set of learning images taken at predetermined pose position with various capturing conditions. Since these images are usually

high-dimensional images, they could not be applied directly due to efficiently reasons. Hence, a transformation to Eigen space, in which its dimensionality is much lower than that in the original image-space, is usually utilized. PCA is an efficient transformation procedure to represent a collection by mapping the original n -dimensional space onto a k -dimensional feature subspace where normally $k \ll M \times N$. Since the PCA transformation process has almost used for dimensionality reduction purpose in appearance based face recognition system, this eigenspace transformation is not explained here. Interested readers may refer to [16] for more detailed information of the transformation process.

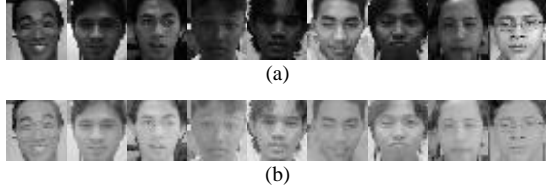


Fig. 1. Comparison of the face images before and after illumination compensation processes. (a) face images taken with different illumination conditions (b) reconstructed of face images after illumination compensation processes.

IV. EXPERIMENTS AND RESULTS

Experiments are conducted using a training/testing paradigm of 50:50 percentage. However, in the training phase, we have divided further the learning algorithm into two phases, i.e. Phase1 (P#1) and Phase2 (P#2), respectively. In Phase1, the learning data is intended for PNN structure determination, while in Phase2, the learning data is used for GA optimization process. We have then three training datasets, i.e., DataSet#1 that consists of 20% P#1 and 30% P#2, DataSet#2 that consists of 30% P#1 and 20% P#2, and DataSet#3 that consists of 40% P#1 and 10% P#2, respectively. We have not used 10% P#1, since this data set is too small for training the PNN. Experiments are conducted five times, consecutively, and the average recognition is calculated and depicted in the table of results.

Table I shows the recognition rate of the optimized-PNN without illumination compensation processes. As we can see from this table, the overall recognition rate of the system is high enough, showing that the characteristics of the optimized-PNN using orthogonal algorithms and genetic algorithms are performed quite optimal.

However, when the neural system used DataSet#1, the recognition rate is lower compare with that of using DataSet#2 and DataSet#3, respectively. This lower recognition rate show that the active neurons in the hidden layer may not covered all the most information in the overall data set.

TABLE I: RECOGNITION RATE OF THE OPTIMIZED-PNN FOR FACE IMAGES WITHOUT ILLUMINATION COMPENSATION PROCESSES

Training Data Set (%)	Recognition Rate (%)					
	1	2	3	4	5	Average
DataSet#1	94	93	95	94	93	93.6
DataSet#2	95	96	95	96	95	95.4
DataSet#3	95	95	96	95	95	95.2

TABLE II: RECOGNITION RATE OF THE OPTIMIZED-PNN USING CONVENTIONAL GA FOR FACE IMAGES WITH ILLUMINATION COMPENSATION PROCESSES

Training Data Set (%)	Recognition Rate (%)					
	1	2	3	4	5	Average
DataSet#1	96	96	96	96	96	96.0
DataSet#2	98	98	98	98	98	98.0
DataSet#3	98	98	98	98	98	98.0

TABLE III: RECOGNITION RATE OF THE OPTIMIZED-PNN USING DECIMAL GA FOR FACE IMAGES WITH ILLUMINATION COMPENSATION PROCESSES

Training Data Set (%)	Recognition Rate (%)					
	1	2	3	4	5	Average
DataSet#1	96	97	96	97	96	96.4
DataSet#2	99	98	98	98	98	98.2
DataSet#3	98	98	98	98	98	98.0

Table III shows the recognition rate of optimized-PNN using conventional GA and with illumination compensation processes. It is clearly seen from this table, the recognition rate of the system is higher compare with that in Table I, for all of the three data sets. As also can be seen from this table, the recognition rate for all five consecutive experiment show nearly the same, means that the system has a very stable output characteristics. These increment of recognition rate and stability characteristic show that the illumination compensation has an important impact on increasing the capability of the developed system.

Table III shows the recognition rate of the PNN system as used for the experiments depicted in Table II, however, in these experiments we have used decimal GA instead of the conventional GA. As can be seen from this table, the recognition rate for all of the data sets are comparable with that of in Table II, with just a slide increment. This comparison shows that the numerical GA has a comparable performance on determining the best smoothing parameter of the optimized-PNN.

TABLE IV: COMPARISON OF THE RECOGNITION RATE OF THE THREE OPTIMIZED-PNN FOR VARIOUS TRAINING AND TESTING DATA SETS

Training Data Set (%)	Recognition Rate (%)					
	OGA-PNN w/o IC		OGA-PNN with IC		OGA*-PNN with IC	
	Train	Test	Train	Test	Train	Test
DataSet#1	90.0	93.6	90.0	96.0	94.0	96.4
DataSet#2	100	95.4	100	98.0	100	98.2
DataSet#3	100	95.2	100	98.0	100	98.0

OGA-PNN: Optimized-PNN using conventional GA

OGA*-PNN: Optimized-PNN using decimal GA

IC: Illumination compensation processes

Table IV shows the results comparison of the three Optimized-PNN systems, i.e. Optimized-PNN using conventional GA without illumination compensation, Optimized-PNN using conventional GA with illumination compensation, and Optimized-PNN using decimal GA with illumination compensation. Performance comparison is

performed and compared in terms of the average recognition rate for data training and data testing, respectively, using the three data sets previously defined. As can be seen from this table, the recognition rate of all the three optimized-PNN are around 90% when using DataSet#1. This recognition rate are much lower compare with that of using DataSet#2 and DataSet#3, respectively, that can reach 100%. This results show that the DataSet#1 is not properly enough, and as the consequence, the recognition rate of the system is also lower. It is also confirmed by these experiments that using DataSet#2 and DataSet#3, the recognition rate of the testing face images are high enough. It can be seen also that the used of decimal GA, however, could not increase the recognition rate of the Optimized-PNN considerably.

TABLE V: COMPARISON OF THE COMPUTATIONAL TRAINING TIME AND THE ACTIVE NEURONS OF THE THREE OPTIMIZED-PNN

Training Data Set (%)	OGA-PNN w/o IC		OGA-PNN with IC		OGA*-PNN with IC	
	Time	Neuron	Time	Neuron	Time	Neuron
DataSet#1	40.3	85%	3.9	65%	1.2	65%
DataSet#2	41.3	80%	10.6	46%	1.1	45%
DataSet#3	41.7	80%	2.48	29%	1.1	29%

OGA-PNN: Optimized-PNN using conventional GA

OGA*-PNN: Optimized-PNN using decimal GA

IC: Illumination compensation processes

Table V shows the results comparison of the three Optimized PNN system in terms of the computational cost (second) and the active neurons in the PNN topology. As can be seen from this table, the percentage of the active neurons of the Optimized-PNN without illumination compensation processes are about 85 to 80%, much more higher than that of the Optimized-PNN when using illumination compensation processes. These results show that the illumination compensation processes has increased the performance of the Optimized-PNN considerably, and when using proper learning data set, the active neurons could be reduced significantly, with only 29% of the overall neurons. It is clearly seen also from this table that the used of decimal GA have nearly the same percentage of active neurons as with that conventional GA.

However, as can be seen in Table V, the computational cost of the Optimized-PNN using decimal GA are much lower than that of Optimized-PNN using conventional GA, showing the characteritic superiority of the decimal GA compare with that of conventional GA.

V. CONCLUSION

We have developed and implemented the face recognition system based on optimized PNN through Orthogonal and Genetic Algorithms in conjunction with an illumination compensation processes as a data preprocessing system. It is proofed from the experiments that the Optimized-PNN through Orthogonal algorithm for minimizing the neuron topology and GA for searching the optimal smoothing parameter have improved the recognition capability of the classifier system. It is also shown that the illumination

compensation preprocessing system also very important in improving the system performance, especially when using decimal GA. By normalizing the illumination variation, the number of active neurons could be decreased significantly, which as a consequence decreasing further the learning time. It is also proved that the utilization of illumination compensation processes increases the recognition capability of the Optimized-PNN considerably. It is hoped that higher increment of the recognition rate could be achieved when the system is used for three-dimensional face recognition system with various pose and more harsh illumination variations.

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