Declaration

I, **Arif Iqbal Mozumder**, bearing Registration No. Ph. D/2063/12 dated 12.09.2012, hereby declare that the subject matter of the thesis entitled "**Hybrid Algorithms for Iris Recognition**", is the record of work done by me and that the contents of this thesis did not form the basis for award of any degree to me or to anybody else to the best of my knowledge. The thesis has not been submitted in any other University/Institute.

Place: Assam University, Silchar (Arif Iqbal Mozumder)

Date: Research Scholar

Dedicated to my parents

Acknowledgements

First of all I would like to express my gratitude to Almighty who had given me the strength and patience to complete this thesis.

I wish to express my deepest sense of gratitude and profound appreciation to my thesis Supervisor Dr. (Mrs.) Shahin Ara Begum for her esteemed guidance, constructive criticism, needful supervision, ceaseless encouragement throughout the tenure of investigation and preparation of the dissertation. This Ph. D. work would have not been completed without her help and co-operation.

I would like to express my sincere gratitude to Prof. K. Hemachandran, Head, Department of Computer Science and B. S. Purakayastha, Department of Computer Science for their valuable support and suggestions. I also express my sincere thanks to entire faculty and staff members who helped me directly or indirectly to accomplish my research work.

I am grateful to Dr. A. K. Barbhuiya, Professor, Department Civil Engineering, NIT, Silchar for his support and encouragement from time to time.

I gratefully acknowledge UGC for the award of Maulana Azad National Fellowship for the research work.

My heartiest thanks go to my seniors – Riaj Uddin Mazumder, Md. Fujail, Raju Paswan, Thiyam Churjit Meetei, Th. Bembem Devi, Ranjan Sarmah, P. Bhattacharjeee, Nabanita Choudhury and Rosy Dam for their help and support extended to me when needed during the research work.

My heartiest thanks go to my friends – Munmi Gogoi, N. Sunita Devi, Debashis Roy for their help and support extended to me when needed during the research work.

I wish to express my reverend respects and gratitude to my beloved parents, my brothers, sister and her family. Last but not the least, I am thankful to all those who have directly or indirectly helped. I gratefully acknowledge their help which indeed has been immeasurable.

(Arif Iqbal Mozumder)

Contents

Declaration
Certificate
Acknowledgements
List of Figures i
List of Tables iv
Abstract vi

Chapter 1 Introduction **1**
1.1 Background and Motivation 1
1.2 Objectives 3
1.3 Methodology 3
1.4 Thesis Contributions 4
1.5 Overview of the Thesis 5

Chapter 2 Literature Survey **7**
2.1 Introduction 7
2.2 Biometric System 7
2.3 Iris Recognition System 10
2.3.1 Image Acquisition System 13
2.3.2 Iris Segmentation Techniques 13
2.3.3 Feature Extraction Techniques 19
2.3.4 Iris Matching Techniques 20
2.4 Chapter Summary 22

Chapter 3 Iris Segmentation using Adaptive Histogram Equalization and Median Filtering **23**
3.1 Introduction 23
3.2 Proposed Segmentation Approach 25
3.2.1 Pupil Localization 25
3.2.2 Iris Localization 27
3.2.3 Isolation of Eyelids, Eyelashes and Reflections 27

3.2.4 Iris Normalization 27
3.3 Iris Segmentation 29
3.3.1 Experimental Setup 29
3.3.2 Experimental Results 29
3.4 Chapter Summary 34

Chapter 4 Iris Recognition in the Framework of Quantum-behaved Particle Swarm Optimization 35
4.1 Introduction 35
4.2 Proposed Iris Recognition Approach 37
4.2.1 Pre-processing 39
4.2.2 Determination of Threshold Values 40
4.2.3 Isolation of Expected Eye Region 43
4.2.4 QPSO based Segmentation 44
4.2.4.1 Detection of Outer Boundary 44
4.2.4.2 Detection of Inner Boundary 46
4.2.4.3 Normalization 46
4.2.4.4 Noise Reduction 47
4.2.5 Extraction of Iris Features 48
4.2.6 Iris Recognition based on Hybrid Algorithm 49
4.3 Experimental Results and Discussion 51
4.3.1 QPSO based Selection of Threshold Value 52
4.3.2 Segmentation Results 54
4.3.3 Recognition Results 57
4.4 Chapter Summary 63

Chapter 5 Modular Neural Network Match Score Fusion based Iris Recognition 65
5.1 Introduction 65
5.2 Modular Neural Network 66
5.3 Score Level Fusion 67
5.4 Proposed Iris Recognition with Modular Neural Network Match Score Fusion 68
5.5 Experimental Results 71
5.5.1 Optimal Network Architecture 71
5.5.2 Selection of DCT Coefficients 75
5.5.3 Recognition 76
5.6 Chapter Summary 80

Chapter 6 Iris Recognition using Modular Neural Network and Fuzzy Inference based Score Level Fusion **81**

6.1 Introduction 81

6.2 Iris Recognition Approach with Modular Neural Network and Fuzzy Inference based Score Level Fusion 83

6.2.1 Fuzzy Inference System 83

6.2.2 Segmentation and Feature Extraction 83

6.2.3 Proposed Iris Recognition Approach with Modular Neural Network and Fuzzy Inference based Score Level Fusion 84

6.3 Experimental Results 87

6.3.1 Verification Performance 91

6.3.2 Identification Performance 91

6.3.3 A Comparative Study 92

6.4 Chapter Summary 94

Chapter 7 Conclusions and Future Work **95**

7.1 Summary and Conclusions 95

7.2 Future Scope of Work 97

References **99**

Appendix A: List of Publications **111**

Appendix B: Participation in Conferences and Workshops **112**

List of Figures

Figure 2.1	Stages of biometric system	8
Figure 2.2	Different biometric recognition systems	9
Figure 2.3	An Eye Image from CASIA Iris V3 Interval database	11
Figure 2.4	Stages of Iris Recognition System	12
Figure 3.1	Proposed segmentation approach	25
Figure 3.2	(a) Original Image (b) Image after application of AHE (c) Image with eyelash removed from the boundary of pupil (d) Binary image (e) Image after morphological operations (f) Image after flood fill (g) Image after median filtering (h) Detected pupil region (i) Localized pupil	26
Figure 3.3	Iris Normalization using Rubber Sheet Model	28
Figure 3.4	(a) Original eye image (b) Segmented iris (c) Image after removal of eyelids and eyelashes (d) Normalized Iris	28
Figure 3.5	Running time for iris segmentation by the proposed approach	30
Figure 3.6	Network architecture	31
Figure 3.7	ROC curve of the proposed approach, Daugman's approach, Masek's approach and Abdullah *et al.* approach over the CASIA Iris v3 interval iris dataset	33
Figure 4.1	Proposed iris recognition approach	37
Figure 4.2	Steps of the proposed iris recognition approach	38
Figure 4.3	Results of the MSR filtering	40
Figure 4.4	Isolation of the expected eye region	43
Figure 4.5	Calculation of an approximated radius and centre co-ordinates using circle geometry	45
Figure 4.6	Normalization process	47
Figure 4.7	Normalized iris with the detected noise	48

Figure 4.8	Proposed hybrid iris recognition approach	50
Figure 4.9	Result of thresholding (a) Original image (b) Shah *et al.* (2009) (c) Raffei *et al.* (2013) and (d) Al-Zubi *et al.* (2007) over MMU2 iris dataset	53
Figure 4.10	Result of thresholding (a) Original image (b) Shah *et al.* (2009) (c) Raffei *et al.* (2013) (d) Al-Zubi *et al.* (2007) and (e) Proposed QPSO based thresholding approach over MMU2 iris dataset	54
Figure 4.11	Segmentation results: (a) MMU2 Iris Dataset (b) IIT Delhi Iris Dataset	55
Figure 4.12	Dimensions of the pupil and iris: (a) Average Pupil radius of MMU2 dataset (b) Average iris radius of MMU2 dataset (c) Average Pupil radius of IIT Delhi Dataset (d) Average iris radius of IIT Delhi dataset	56
Figure 4.13	Feed-Forward network architecture: $m = 65, n = 10$	57
Figure 4.14	Comparison of FAR and FRR with the proposed approach over the MMU2 dataset	58
Figure 4.15	ROC curve of the proposed recognition approach, Al-allaf *et al.* (2012) and Mozumder *et al.* (2015) approaches on verification mode over IIT Delhi dataset	60
Figure 4.16	CMC curve of the proposed recognition approach, Al-allaf *et al.* (2012) and Mozumder *et al.* (2015) approaches on identification mode over IIT Delhi dataset	62
Figure 5.1	A sample of normalized iris images of MMU2 iris dataset	68
Figure 5.2	Proposed recognition approach	69
Figure 5.3	Architecture of each module of the neural network	70
Figure 5.4	Network ROC curve on testing dataset with different DCT coefficients by varying the number of hidden neuron over MMU2 iris dataset	72
Figure 5.5	Network architecture, m varies from 32 to 128, z varies from 10 to 35 and $n = 14$	75
Figure 5.6	ROC curve of the optimal neural network with 32, 50, 72, 98 and 128 DCT coefficients	76
Figure 5.7	Comparison of FRR and FAR at different threshold over the MMU2 iris dataset	77

Figure 5.8	ROC curve of the proposed recognition approach, Al-allaf *et al.* (2012) approach and Mozumder *et al.* (2015) approach on verification mode over the MMU2 iris dataset	78
Figure 5.9	CMC curve of the proposed approach, Al-allaf *et al.* (2012) approach and Mozumder *et al.* (2015) approach over the MMU2 iris dataset	79
Figure 6.1	Sample segmented and normalized iris image from IIT Delhi database	84
Figure 6.2	Proposed recognition approach	85
Figure 6.3	Training and Validation performance	89
Figure 6.4	FAR and FRR at different threshold value, a	90

Lists of Tables

Table 2.1	List of commercial iris acquisition devices	13
Table 2.2	Iris segmentation techniques	17
Table 2.3	Feature extraction techniques	19
Table 2.4	Iris matching techniques	21
Table 3.1	Iris Segmentation results over CASIA v3 Interval dataset	30
Table 3.2	Optimal network design parameters	32
Table 3.3	Neural network iris classification accuracy	32
Table 4.1	Images considered for experiments from MMU2 and IIT Delhi Dataset	51
Table 4.2	Threshold value used by Shah *et al.* (2009), Raffei *et al.* (2013) and Al-Zubi *et al.* (2007) over different datasets	52
Table 4.3	Threshold value obtained using Shah *et al.* (2009), Raffei *et al.* (2013) and Al-Zubi *et al.* (2007) approaches and the proposed QPSO based thresholding approach	53
Table 4.4	Optimal Network parameters	57
Table 4.5	Experimental results with different DCT coefficients over MMU2 and IIT Delhi iris dataset	59
Table 4.6	Comparison results of proposed recognition approach, Al-allaf *et al.* (2012) approach and Mozumder *et al.* approach on verification mode over MMU2 and IIT Delhi dataset	60
Table 4.7	Identification results of proposed approach on MMU2 and IIT Delhi Iris dataset	61
Table 4.8	Comparison results of the proposed recognition approach, Al-allaf *et al.* (2012) and Mozumder *et al.* (2015) approaches on identification mode over IIT Delhi dataset	62
Table 5.1	Images considered for experiments from MMU2 dataset	71

Table 5.2	Optimal number of hidden neuron	74
Table 5.3	Optimal network parameters	75
Table 5.4	CPU running time and recognition accuracy of the proposed approach, Al-allaf *et al.* (2012) approach and Mozumder *et al.* (2015) approach over the MMU2 iris dataset	80
Table 6.1	Example of iris image recognition procedure over IIT Delhi dataset	87
Table 6.2	Division of IIT Delhi iris dataset and MMU2 iris dataset	88
Table 6.3	Optimal parameters of MLP	88
Table 6.4	Network training performance	88
Table 6.5	Recognition performance on verification mode over IIT Delhi dataset	91
Table 6.6	Recognition performance on verification mode over MMU2 dataset	91
Table 6.7	Recognition performance on identification mode over IIT Delhi iris dataset	92
Table 6.8	Recognition performance on identification mode over MMU2 iris dataset	92
Table 6.9	Comparison of result of the proposed hybrid approach, Masek (2003), Rai *et al.* (2014) and Pirale *et al.* (2016) approaches over the IIT Delhi iris dataset	93
Table 6.10	Comparison of result of the proposed hybrid approach, Masek (2003), Rai *et al.* (2014) and Pirale *et al.* (2016) approaches over the MMU2 iris dataset	93