GAZE TRACKING USING A REGULAR WEB CAMERA

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Abstract

Traditional gaze tracking systems rely on either contact and invasive hardware, or expensive and non-standard hardware. To address this problem research has been done into systems that use only simple hardware to create gaze tracking systems. This system attempts to prove that is is possible to create a gaze tracking system using a regular web camera and the free, open source Computer Vision library OpenCV. This is achieved by researching various techniques required for such a system and then measuring the performance of the created system. Analysis of the results concluded that while the error of the system was greater than desired, in conjunction with the research done in this field, it is possible to create a robust system using simple hardware.

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Chapter 1

Introduction

In his paper on non-invasive eye tracking technologies, Gao stated that gaze tracking technology is still in the "embryonic stages" [6] of development and is not ready to be used in daily life. Despite this statement there are already various systems, like the Starburst system put forward in [16], and the Tobii system¹ mentioned in [5]. Though systems like these are available, we are yet to see a widespread usage of them because, as mentioned previously, the field is still in it's embryonic stages and is yet to become an adopted technological advance.

A possible reason for this lack of integration into commercial society is that many of the previous systems proposed, like the system in [15], require head mounted or invasive gear. This creates the need to research into non-contact systems, such as the system put forward in [8], which can perform at the same efficiency level. However, previous systems, like the system designed in [19], required the use of a large fixed infrared camera, an LED array as well as eye positioning cameras mounted on top of the screen to function efficiently. This need for extra equipment is still a problem for regular users since they do not wish to purchase additional hardware.

In an ideal scenario, the user would only need to install the software and buy some readily available hardware to interface with their computer.

¹The website for the system is http://www.tobii.com/pceye

1.1 Is Gaze Tracking Useful?

So it is apparent that gaze tracking requires further development, but is it worth developing these tools? This section gives some examples of application and research done with similar systems to show the benefits of gaze tracking.

Gaze tracking has a large number of possible applications that benefit society. There are many obvious benefits, such as aiding the disabled ² or a new form of human computer interaction. The interesting applications are more obscure and usually involve helping researchers to see through their subject's eyes.

In his paper from 1996, Tock attempted to track and measure a motor vehicle driver's eyes for eyelid separation. This was to aid in a larger system that could detect when a driver was getting drowsy, which could reduce the number of road accidents due to fatigue, potentially saving lives. [25]

In [2], gaze tracking was used to study the user's visual behaviour when surfing the Internet. The applications of this research affect advertising, website design, improving usability in computer systems and optimising web browsers and websites for maximum user experience.

An even more interesting study was presented in [21] where the researcher investigated the behaviour of the eyes while reading a book and from that information was able to infer information on how cognitive and lexical processing affects reading and learning. This could lead to the development of cognitive development theories that aid in teaching and learning through reading.

From these examples, it is apparent that gaze tracking could have a beneficial role in society, and that it is worth researching into this field.

²As presented in [17]

1.2 Problem Statement and Research Goals

This research project investigates the ability to create a gaze system that functions using cheap hardware but efficiently enough to be useful. Since a large number of computer users already have web cameras and they are relatively cheap to buy, the hardware used in this system will be a regular web camera.

The final goal of this project is to ascertain whether it is possible to create a Gaze tracking system using a regular web camera. The system will use the open source library Open Computer Vision (OpenCV) to implement the techniques. Simple techniques that are supported by OpenCV will implemented as a baseline comparison.

1.3 Structure of Thesis

The remaining chapters of this thesis are described below:

- *Chapter 2* describes the background required to understand the proposed system and some examples of other systems
- *Chapter 3* gives an overview of the system design and describes certain decisions made when designing the system
- *Chapter 4* provides a step by step implementation of the system, providing the OpenCV methods and describing the system structure
- Chapter 5 describes and discusses the results obtained from the system
- *Chapter 6* outlines the conclusions drawn from this research and identifies possible extensions of this project

Chapter 2

Background Literature

2.1 Introduction

Gaze tracking, as the name suggest, is tracking the gaze of a person. Thus, the objective of a gaze tracking system is to track the focus of the user's vision. So it is necessary to be able to track the eye, and possibly other features, in an image. For this objective more information on the relevant biology and behavior of the eye is required. To this end, this chapter will present some background knowledge required for the creation of a gaze tracking system, give some example algorithms already in use, and will describe some techniques used within the proposed system.

2.2 Human Eye

Understanding the workings of the eye is paramount to any sort of eye or gaze tracking system. In order to understand how to find the focus point of the gaze it is necessary to first understand the relevant biology of the eye and what eye behaviour is relevant to finding the focus point.

2.2.1 Eye Structure

The important factor to consider when looking at the structure of the eye is where the receptors of the eve are. As stated in [12], it would be a problem if there was a uniform spread of receptors over the eye but instead there are higher density and lower density areas. One such area is the fovea. As shown in figure 2.1, the fovea is a spot on the back of the eye. According to [12, p3], the fovea covers a one degree width with the vertex of the eye. This implies that the further away from the eye we get the larger the area of uncertainty on the screen is. Outside of the fovea the clearness of person's vision drops to half or less that of the fovea and in [12] it was found that peripheral vision is not good enough to focus or read text with. Considering that we wish to find the focus point of the vision, the fovea then becomes the area to consider in our applications. It is mentioned in [20] that to focus on an object a person will move their eyes such that the focus area is within the fovea area. A problem with considering the fovea, as discussed in [12], is that within the fovea there is still the one degree of error. If the focus area is sufficiently small enough, then the focus point could shift without any eye movements since the focus point would still be within the fovea's one degree of vision. The consequence of this is that it is unlikely to get less than one degree of error when measuring using eye position. This is consistent with the errors in [1], [8], [18], [23] and [28].

Another problem is that the fovea is within the eye socket and extremely small, as can be seen by figure 2.1. This makes using it as a feature for tracking difficult. Instead the pupil or Iris of the eye is tracked and the focus point inferred from that. This is possible because the object of focus is kept in the centre of the eye so it is possible to find the focus point by looking at the outer layers of the eye and inferring the fovea's focus point from those results. The area of interest thus become the Pupil or the Iris, as stated above. [20].



Figure 2.1: Image of the Eye: Taken from http://www.vision-training.com/en/Eye% 20Anatomy/Eye%20anatomy.html

2.2.2 Eye Movements

Regular human interfacing with a computer using a mouse is smooth. The mouse moves smoothly across the working area while the user is moving it. We perceive the same of our vision. In [11], [12] and [20], eye movements are described as a series of sudden jumps with rest points in between. The jumps are called *Saccades* and the rests in between are named *Fixations* [20].

Saccades

As stated above, *saccades* are extremely quick jumps between focus points. In [14], a paper on Saccadic Suppression, it was found that "transsaccadic spatial memory is sacrificed in order to maintain perceptual stability" [14]. This means that during the saccadic motion no visual information is gained in order to maintain the perception of smoothness and stability. This effect is known as *saccadic suppression* [20]. So to gain information into the focus points, it is not necessary to look into the *saccades* but rather the *fixations* become the more valuable source of information.

It is noted in [20] that these quick movements need to be distinguished from three other eye movements, referred to as Saccadic Eye Movements (SACs) in [7]. These movements are pursuit, vergence and vestibular. Pursuit eye movements follow a moving focus point, performing *saccades* to catch up if the point is moving too rapidly, but the general eye movement is notably slower than that of a *saccades*. Vergence eye movements are when the eyes move inward to focus on a point that is nearby. Vestibular movements are rotations of the eye to compensate for larger head or body movements. These three movements are less important than *saccades* for information processing and as such for Gaze Tracking. [20]

Fixations

The rests in between *saccades*, where the eye is focusing and gaining visual information, are called *fixations*. Jacob describes *fixations* as "a period of relative stability during which an object can be viewed" [12, p5]. The reason for the term relatively in the above statement is because there are still tiny movements during the fixations. These movements are named smooth pursuit eye movements (SPEMs) in [7]. [12, p5]

There are three different types of these small movements and they are usually "within a one-degree radius" [12, p5] which agrees with the previously mentioned fovea error. The first is a constant tremor of the eye called a *nystagmus*. The second movement is known as drift, which is where the eye occasionally drifts slightly off the focus point due to a "less-than-perfect control of the oculomotor system by the nervous system" [20, p374]. These drifts are then compensated for by micro-saccades which are an even more rapid eye movement then *saccades*, that brings the focus of the eye back to the object. [20]

As mentioned above we need only look at the fixations to find the focus of the eye. This is good since the fixations last longer than the saccades. [20]

2.3 Methods of finding the Eye

The most precise methods for finding the eye accurately involve invasive or expensive equipment. A method is mentioned in [12] that uses a contact lens that is fixed in place on the eye. This reduces the problem to tracking something attached to the lens. The problem with this method is that, while it is accurate, it is invasive and uncomfortable to use. This makes it highly impractical as a solution to the problem. The aim of much of the research into this field currently is to create an easily accessible and user sensitive device that is not intrusive and could become commercially viable as a method of computer interfacing that exceeds that of a mouse and potentially the keyboard too. Therefore the ideal is to use non-contact and non-invasive techniques for Gaze and Eye Tracking. Of course this introduces a new set of problems specific to these techniques, such as head movements, which are considered in Chapter 3. This section will explain several relevant techniques for finding the Eye. [12]

2.3.1 Haar Classifiers

Haar classifier objects are based on a compilation of Haar-like features. These features use the changes in contrast values between adjacent rectangles of pixels to determine relative light and dark areas. Two or three rectangles with relative contrast differences form a single Haar-like feature. The features, as shown in figure 2.2 below, are then used to detect objects in an image. These features can be scaled up and down easily by increasing or decreasing the size of the pixel group. This allows Haar-like features to detect objects of various sizes with relative ease. [27]



Figure 2.2: Example of Haar features: Taken from [27]

The rectangles themselves are calculated using an intermediate image called the integral image. This integral image contains the sum of the intensities of all the pixels to the left and above the current pixel. The equation for this is shown below. [27]

$$AI[x,y] = \sum_{\substack{x' \le x \\ y' \le y}} A(x',y')$$

However, the rotated features, as seen in 2.2, create a different integral image called a rotated integral image based off the equation below instead. [27]

$$AR[x,y] = \sum_{\substack{x' \le x \\ x' \le (x-|y-y'|)}} A(x',y')$$

Using the integral image, or rotated integral image as needed, and taking the difference between two or three connected rectangles it is possible to create a feature of any scale. A benefit of Haar-like features is that calculating features of various sizes requires the same effort as two or three pixels. This makes Haar features fast and efficient to use as well. [27]

A requirement to create classifiers for specific objects is to train the classifiers using a set of positive samples containing the image to be detected and a negative set not containing the image. Once trained, the classifiers can be used to detect the objects. [27]

Some of the more popular uses of Haar Cascades are Eye and Face detection.

2.3.2 Infrared Reflection

The usefulness of using infrared light sources is that they enhance the contrast between the pupil and the iris [26]. The following is an example of how to use the infrared reflection to detect the eyes.

In [6], the authors firstly define a 60X60 pixel region (reduced from a 1280X1024 pixel region) centered on a rough estimate of the centre of the pupil. Since different parts of the eye have different refractive indexes to infrared light the pupil appears black and the rest of the eye is not. Using a simple threshold algorithm to process a grey scale filtered version of the image received from the camera, they can check for all points below the threshold to find the ROI. The threshold equation used in [6] is given below. [6, p3609]

$$x_{pupil} = \frac{1}{N} \sum_{n=1}^{N} x_n$$
$$y_{pupil} = \frac{1}{N} \sum_{n=1}^{N} y_n$$

Similarly, an infrared camera was used in [13] in conjunction with a threshold algorithm to determine the pupil location.

The general idea of using infrared is that the reflection of the infrared light simplifies the process of pinpointing the centre of the pupil. This shortens a potentially time consuming task and can increase the accuracy of the pupil detection, improving the efficiency of an eye tracking system. The negative side of this is that the need for an infrared light makes the product slightly harder to distribute. There could also be other light sources, or shadows that disrupt this image and create "noise" [6] making it harder to calculate the focus point, but this is a problem for most non-obtrusive systems.

2.4 Algorithms

A Gaze tracking system is a combination of several different techniques, of which Eye tracking is only a part. There are a great many methods of combining these techniques to create algorithms. Some examples of Algorithms are given below in order to show the differences, similarities and general structure of gaze tracking algorithms.

2.4.1 Real-time gaze Tracking Algorithm with head movement Compensation (RTAC)

The explanation of RTAC in [8] begins by referring to the "Pupil Center Corneal Reflection (PCCR)" [8, p395]. According to the PCCR, gaze direction calculations firstly acquire the pupil-glint vector, and then use a gaze mapping function. The glint is the reflection of the infrared light source in the eye. The pupil-glint vector is then the 2D vector between the glint and the pupil. The algorithm then uses a mapping function to map this vector to the 3D gaze direction. The mapping function is specified by the following functions:

$$\theta_h = b_{\theta h} V_x + a_{\theta h}$$
$$\theta_v = b_{\theta v} V_y + a_{\theta v}$$

Where θ_h is the angle between the gaze direction and the horizontal direction and likewise θ_v is the angle between the gaze direction and the vertical direction. The coefficients, a and b, are estimated using the sets of pairs of pupil-glint vectors.

The next step in this algorithm is the head movement calculation. The previous calculation does not include adaption to head movements. As such, the system needs to compensate for these head movements. This calculation is quite intricate. The basis for it, however, is these two equations:

$$\Delta I_x = (b_{2x}\Delta L_h + a_{2x})\Delta d^2 + (b_{1x}\Delta L_h + a_{1x})\Delta d + (b_{0x}\Delta L_h + a_{0x})$$

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$$\Delta I_y = (b_{2y} \Delta L_v + a_{2y}) \Delta d^2 + (b_{1y} \Delta L_v + a_{1y}) \Delta d + (b_{0y} \Delta L_v + a_{0y})$$

These two equations describe the changes in head position in the horizontal and vertical plane respectively. The derivation of these equations can be found in [8, p397]. Once the head movement has been calculated then the system needs to compensate for this movement. The compensation method employed by this algorithm uses two sets of equations: the calculation of the proportional change in magnification and then using these values to calculate the compensation value in the horizontal and vertical directions. [8, p397].

Then the next step is fixing the users head during calibration in order to get the initial parameters required. After this calibration the user can move their head freely and the parameters are compared to do the calculations.

In [8], it was found that this algorithm had an accuracy rate of approximately one degree, and that there was little difference between different subjects. There was also little difference between different positions of the head, but the error did increase when the head was moved near the boundaries of the camera's vision.

2.4.2 Neural Networks (NN)

The first step of using Neural networks, according to [23], is Face and Eye detection.

The eye and face are detected using the intensities of the pixels in a region and then each region is given a score. The scores are then arranged hierarchically and fed to an OpenCV library for detection. [23]

The next step is to reduce the ROI to a smaller picture. This picture is usually extremely small being less than a thousandth of the size of the original image and only containing the eye. From there the image is processed to make a clearer input for the neural network. The two processes applied are histogram equalisation that brightens the sclera and darkens the boundary of the eyes, and resizing the image to a smaller format using a bicubic interpolation. This reduces the pixel by fourfold which cuts the training time of the NN from several minutes to a time generally less than 60 seconds. [23] The intensity of each pixel in the image is used as an input for the neural network. The neural network employed a feed forward, two-layer structure. The actual Neural network workings are dealing with Artificial Intelligence concepts rather than image processing and as such will be left out.¹ [23]

The error using the Neural Network approach in [23] was found to be approximately 1.5 degrees. The error found in [1] was the same and since the paper was published in 1994 which shows little progress in this particular algorithm, or suggests that there is an lower limit to the error.

A Neural Network was used differently in [26]. Initially the system used blink detection to pinpoint the location of the eyes. Once the eyes are found the Iris detection was done using a combination of edge detection and circular Hough transforms, followed by corner detection aimed at finding both the inner and outer corners. The Neural Network was only used to map the relation between the eye features and the gaze direction. This is a different approach than the one used in [23] in that the feature detection is done without the Neural Network. [26]

Both algorithms for NN were effective but the Neural network added complexity to the system and had to be trained which increased the calibration time.

2.5 Summary

In order to track the user's gaze we need to know where the pupil is. By tracking the pupil and other features we can work out where the gaze is. The system does not need an excessively powerful camera as the fixations of the eye are the only meaningful data required to find the gaze and these correspond to the longest time period of the eye movement.

There are a large number of algorithms available for use, which employ an even larger number of varying techniques. The fundamental requirements appear to be eye detection,

¹More information on NN can be found in [10]

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pupil detection, detection of an additional feature, and then the transformation to the focus coordinates. As such, this will be how this system will be designed.

Chapter 3

Design

The aim of this project is to create a Gaze tracking system using simple techniques, a regular web camera and the Computer Vision library OpenCV. Since the logical design of most Gaze Tracking systems is fairly standard, the overall design of this system is very similar to existing systems. However, the tools used in these systems have a large amount of variation in them. As such, the particular techniques used were chosen to be simple techniques that were easily implemented as a baseline comparison.

The chapter will begin by detailing some design decisions, followed by the motivations behind the use of the particular web camera and programming language, and finally move onto the logical and actual design specifics.

3.1 Design Decisions

Traditional, non-contact Eye tracking systems had several problems that need to be taken into consideration when calculating the focus point or when finding the eye. The first and foremost of these is head movement, as mentioned by [23]. Older eye tracking systems required the user to keep their head still in order to accurately capture the data. More comprehensive systems, like [8], [9] and [13], take this problem into account in their algorithms. These algorithms all tend to incorporate infrared lighting. Another problem facing the field of Eye Tracking is known as the "Midas Touch Problem" [12, p15]. This problem is a direct result of the way the eye moves. People look at a point to see if they are interested in it. So, currently, the eyes show where the user's interest is before the input device is brought into use. Now, if the eye is substituted as a pointer that the mouse should follow, then the system might end up acting on commands that the user did not intend. So it is necessary to be able to sort out meaningful commands from simple observations, or non-meaningful movements. [12]

This Midas Touch Problem is solved in [22], specifically in regards to typing with eye input, by implementing a dwell time activation. Dwell time activation is a simple concept that reduces the likelihood of the Midas touch problem by having the eye-pointer only interact with an object after a fixed period of time. The time in [22] was set to 403ms. Another solution is to use blink detection as the basis for interaction commands.

This system will not deal will head movement cancellation as it is proposed as a simple system and the technique requires an advanced implementation, as mentioned in section 2.4.1. In order to avoid the Midas touch problem the system will not incorporate Operating System click functionality. Therefore these two problems are avoided.

3.2 Web Camera

The web camera used for this project is the Logitech C300. It is a 1.3 megapixel web camera. It costs $R146^1$ in South Africa. This is a relatively cheap web camera and as such suited the purposes of the project.

3.3 Programming Language

A natural choice to make is which programming language the system should be implemented in. OpenCV supports three languages as a default: C, C++ and Python. In order

¹found at http://www.pricecheck.co.za/offers/9061215/Logitech+960-000354+Webcam+C300/

to minimise the time needed to create the system, C was discarded as I have minimal experience in the language. A simple test was then run on Python to see if it was possible to attempt to keep the system in real time but Python was found to be insufficient. C++ was the next choice to simplify the implementation of the system. This is because C++ has support in Visual Studio and has been covered in the undergraduate curriculum.

3.4 General Algorithm

The general algorithm of the system is split into two parts: the continuous loop to get the gaze, and the main program.

3.4.1 Loop steps

The loop steps are the steps required to get all the necessary data from a single frame. The simplest form of this design is shown below 2 :



Figure 3.1: Gaze Loop Steps: Logical Design

²This step by step procedure is an adaption of design from [3]

The first step is to get a single frame from the camera. Once the frame is retrieved the face is detected. Face detection is done first in order to reduce the possible false positives from the eye detection. Facial detection does this by reducing the search area to only this facial area. A requirement of this is that the face detection needs to be a quick process in order to not add extra delay to the system. The next step is the eye detection. This step takes the area the face was found in and searches that area for the eyes. This step finds each eye separately. Both eyes are used in order to increase the accuracy of the system. Once the eyes are obtained, the pupil and corners are needed.

The exact method of finding the pupil within the eye differs between algorithms but there are some consistencies. A particular technique is to detect circles in the image but this requires cleaning of the image first. Since no special lighting was used, some form of brightening of the image must occur in order to accentuate the differences between the pupil and the white of the eyes. It is also necessary to reduce the noise in the image. A threshold technique is useful to reduce the noise in the image. Edge detection is also usually a good method of accentuating the border around the iris. Once you have included enough noise reduction then it is possible to search the image for circles and find the circle of the Iris. The center of the pupil can be approximated as the center of this discovered circle. [4]

The inner corner of the eye was chosen as the second feature to check. The reason for this was because it has been used successfully in [26]. The reason a second feature is required is to create a vector to track the changes in the eye when it moves within the eye socket. As such, this feature needs to be fixed relative to the movement in the eye. The nose was used in [5], but the inner corner was decided on in order to have separate points within the reduced region for each eye. Once the coordinates of both the eye and the corner are obtained for both eyes, then the loop steps are complete.

3.4.2 Main Program

The main program incorporates the loop steps to create the gaze tracking system. Initially the calibration program is run to get pupil and corner positions for certain fixed positions

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and then the main loop is entered.

Calibration

The aim of the calibration program is to find reference points that can later be used to translate the pupil and corner positions into a position on the screen. The calibration technique used in [5] is to present a black screen with a single green dot drawn on. The user then looks at the dot and clicks to record the coordinates. The next dot is then displayed until twelve dot positions are recorded. [5]

This system of getting reference coordinates is useful in a simple system like this one because it provides the reference coordinates of the exterior of the window as well as middle reference points. As such, the system uses a dot calibration system to get the reference coordinates. However, only nine dots are used as this splits the screen into four regions. If more regions are desired then more dots are required in the calibration.

Each dot's coordinates are also recorded several times to help reduce error. The most recurring coordinates are then returned.

Main system

Once the calibration is done, the main system begins. The main system stores the results of the calibration and then begins the loop steps. The difference in the loop steps here is that several extra steps have been added. Firstly, the distances between the pupils and the corners are calculated. Then using simple comparisons between the dot's distances and the current focus, the region of focus is found. Once the region is reduced to one of the four regions, the distances are converted to coordinates within the window.

To test the accuracy of the system the main loop incorporated drawing a single dot at one of four positions located within each of the regions. Once this dot was drawn, all gaze positions found after that are compared to the coordinates of the dot to record the error. The error is recorded into a file as it is found. This concept of using circles to further test the system is an extension of the calibration and was successfully used in [24] as well.

3.5 Summary

The system will go through the calibration stage first, in order to provide reference points for the main detection, after which the main program begins running a continuous loop that calculates the pupil and corner coordinates and compares them to the calibration points in order to calculate the gaze position.

Chapter 4

Implementation

4.1 Introduction

This chapter will go through the steps taken to implement the system from the design. This will not include the setup of OpenCV in a Windows environment nor linking the library in a Microsoft Visual Studio 2010 project since these can be found in appendix B. This chapter will include some of the actual code based from the design, as well as challenges found during development and how they were addressed.

The system has been implemented on a 64bit Windows 7 Operating System with 4GB of RAM and an Intel Core i7 870 @2.93GHz Processor. All code has been done in Visual Studio 2010.

4.2 Facial Detection

The face detection is the first step in the implementation of the system. It was decided to use Haar detection for this step. Luckily, OpenCV has predefined Haar Classifiers that come with the installation of the library. Figuring out how to correctly use the Haar Classifiers took research but eventually an effective method was found.¹ The first necessity is to load the classifiers. This can be done using the below code. The classifier used for the face detection was *haarcas-cade_frontalface_alt2.xml*.

```
Cascade = ( CvHaarClassifierCascade* )cvLoad CascadeName, 0, 0, 0 );
```

Once the cascade is loaded you can use it in the method for Haar Detection called cvHaarDetectObjects, but first the image needs some minimal pre-processing. The image is grey scaled to make the Haar detection more robust. Since a grey image is more useful for the rest of the program as well, the grey image becomes the basis for the entire process.

The Haar detection method takes in an image, a Haar classifier cascade, the storage space that the answer should be stored in and then several other optional parameters. The full use of the function can be seen in appendix C.1. This function then returns a sequence of faces detected, from which the x and y coordinates, and the width and height of the face box can be extracted. Using these extracted values you can determine the area that contains the face. For the sake of testing, a rectangle is then drawn around the face. A screen shot of this is shown below in figure 4.1:



Figure 4.1: Face detection Image

¹The basis for the algorithm was found at: http://nashruddin.com/opencv_eye_detection

The Region of Interest (ROI) of the image is then set using the cvSetImageROI function. Instead of working with only one image and simply set the ROI smaller as required by the steps it made more sense to crop the region and return an image consisting only of the reduced region. This was especially necessary since the eye detection later worked with two different regions. This was performed by copying the ROI into another image and returning that from the function.²

Now a reduced region in which to search for the eyes has been obtained.

4.3 Eye Detection

The eye detection is done in a similar method ³ to that of face detection in that it uses the same method but a different classifier. The classifiers used for the left and right eye detection are *haarcascade_lefteye_2splits.xml* and *haarcascade_righteye_2splits.xml* respectively.

The eye detection is done separately for each eye Haar classifier, so the function found in appendix C.2 is used twice in one iteration of the run process. The method follows the same basic steps as the facial detection: use the Haar detection method, set the ROI, copy only the ROI to a new image and return that image. A screen shot of the returned image is shown below in figure 4.2.



Figure 4.2: Eye detection Image

However, during the testing it was found that the Haar detection for the eyes was not as accurate as the face and often found the other eye as well. A method of solving this was found in [4]. By first splitting the ROI from the facial detection into two separate halves

²The method for this was found at: http://nashruddin.com/OpenCV_Region_of_Interest_%28ROI% 29

³Also taken from: http://nashruddin.com/opencv_eye_detection

of the face, one for the left and one for the right, the false positives from this problem were completely eliminated. So the facial box from figure 4.1 was halved to get the below two images. Then using these images the Haar detection was done separately.



Figure 4.3: Left side of Face ROI



Figure 4.4: Right side of Face ROI

4.4 Pupil Detection

The next step in the process is pupil detection. This is by far the most difficult part of the process. Figure 4.2 shows the image coming in to this function. As can clearly be seen, the pupil is not highlighted at all. It is even difficult to see the edge of the Iris correctly. This is partially due to the lighting in the testing room and an infrared system would clearly highlight the pupil. However, pre-processing the image can make a major improvement by highlighting the important information.

The pre-processing begins by equalising the histogram of the image. This distributes the intensities of the lower contrast areas better and widens the differences between the light and dark areas. The output of this is shown below in figure 4.5.



Figure 4.5: Image after Equalisation

It is obvious from the image that the light and dark areas are now more defined. To reduce the noise the image was brightened as well. Applying a binary threshold then further accentuates these differences reducing the noise the next step of edge detection. An adaptive threshold was also considered in use but the testing found it to be less effective. An image of the output to a binary threshold is show below in figure 4.6.



Figure 4.6: Image after Thresholding

To further reduce the noise a smoothing filter is applied. This reduces the overall noise and allows patterns, like the circle of the Iris, to be more readily noticed. After the pre-processing is done the pupil detection can be done. The function used for this is called cvHoughCircles. It searches for in the image. It is a form of ellipse fitting which is mentioned in several papers.

In order to make the function only detect the best circle in the image you set the parameter called min_distance to the size of the image. This parameter represents the minimum distance allowed between two detected circles. Figure 4.7 below shows the pupil found in an image.



Figure 4.7: Pupil Detected

In the testing, the system was inaccurate to the point of being unable to find the pupil. Upon research it was discovered in [4] that the eyebrows interfere with the detection. As such the image was further cropped, to the images seen above, to remove the eyebrow as cleanly as possible.

The coordinates of the detected pupil center are then stored. These coordinates are approximated to be the center of the detected circle.

4.5 Corner Detection

The Corner detection is the first step to not work directly off the prior step. Both the pupil detection and the corner detection use the ROI from the Eye detection and can be called

without the presence of the other function. The corner detection works by equalising the histogram of the image, to accentuate the edges, and then calling the OpenCV method cvGoodFeaturesToTrack. This function finds the most prominent corners in the image. The function has a parameter called maxCorners that allows the user to specify the number of returned corners. The function also ranks the corners by strength so by choosing the maxCorners to be one you get only the strongest corner back.

A problem was quickly discovered that the strongest corner in a complete image of the eye could be either eye corner. As such the ROI for the search was then reduced further to a small section centered approximately on where the corner should be. The size of the ROI is shown below in figure 4.8. This required different reductions according to which eye was being looked at, as can be seen in appendix C.4. By setting the ROI to this smaller area the corner detection was more accurate. The output image of the function is show below in figure 4.9.



Figure 4.8: ROI of Corner Search



Figure 4.9: the Discovered Corner

The output coordinates of the corner found need to then be offset by the x and y coordinates of the ROI used as the search window. This is to ensure that the pupil coordinates and the corner coordinates are in the same reference frame and can be mathematically compared.

4.6 Calibration

Now that it is possible to find the coordinates of both the pupil and the corner, the calibration program can be created to get the nine fixed reference points required. This is done first by showing a blank screen with one dot on, and once the user is ready to record the gaze coordinates then the user will hit a key and the system will record the coordinates. Once recorded the system will wait for the user to click in the window before

4.7. MAIN PROGRAM DESIGN

displaying the next dot, whereupon the user must press a key again to record the data. This process is repeated for all nine dots. A screen shot of the dot calibration window is shown below in figure 4.10.



Figure 4.10: 5 Dots into Calibration

For each dot, the calibration program stores 40 sets of coordinates and then checks them for a stabilised set of coordinates. This redundancy is to reduce the error in the pupil and corner detection. Since the detection stages work the majority of the time the calibration checks that half of the coordinates are within an acceptable threshold of each other and if not it reruns the process to get new coordinates. Once stable coordinates have been found the calibration program ends and returns those stable coordinates for the nine dots to the main program.

4.7 Main Program design

The main program runs in a very similar manner to the calibration program. It calls the loop steps and then gets the coordinates for the pupils and corners from that function. Once those are obtained it compares them to the calibration coordinates to determine where the user is looking within the test window. These coordinates are then converted to coordinates within the window using the method described in section 4.8. To help increase the accuracy of the system a stabilising system similar to that mentioned in the calibration was implemented. The difference is that during the main program, only ten sets of coordinates were obtained before stabilising the value.

In order to test the efficiency of the system a test window, of the same size as the calibration image, is displayed and on the user's click a dot is displayed until the user clicks again, after which another dot is shown. There are four possible dot positions, one in the middle of each of the four regions the window is divided into by the calibration program. The results of this test are discussed in chapter 5.

4.8 Transforming to Window Coordinates

The first step to converting the pupil and corner coordinates to window coordinates is to get the distances between the x and y coordinates of the corner and pupil. This is done before the main loop for the calibration coordinates to avoid repeatedly processing these constant values. The live data is then processed within the loop, and the distances are passed to a conversion function. This conversion function is what outputs the final coordinates.

The first part of the conversion function is to discover what region the eye is in by comparing the distance to the distances found in the calibration. This is a necessary step in order to know which points to use in the conversion. Once we have the region we calculate the ratio of the distances between the fixed points and the live point, as shown below in figure 4.11. The red dot in the figure represents the live point. The ratio is then multiplied by the window height and width to get the window coordinates which are then returned to the main function to use in the error recording.



Figure 4.11: Diagram of Distance Ratio's

4.9 Summary

This chapter focused on how the gaze system was implemented. The design is similar to other systems but the techniques used between systems vary largely. As such this system outlined exactly how each step in the design was implemented and which main OpenCV methods were used.

Many problems were found in the actual implementation and were largely solved using techniques found through further research or through error reduction using redundancy.

Chapter 5

Results

As mentioned previously in section 4.7, the error is measured using four test dots on the screen and comparing the positions received from the system to the dot coordinates. The results of the testing are given in this chapter, with a brief discussion, followed by the known limitations of the system.

5.1 Testing

The system output was limited to which region the user was focusing on. The error was measured in the distance from the center of the drawn test circle to the calculated position of the user's gaze.

5.1.1 Results

An example of the system console output is shown below in figure 5.1.

The majority of the output in figure 5.1 is simply error checking but the line showing the gaze region output shows the result of the system's processing. This is the result shown to the user. The actual error results are recorded separately in a .csv file by the system.



Figure 5.1: Sample Console Output

The results below in table 5.1 are a sample of the error results taken from the testing phase. The full table can be found in appendix A.

Dot X	Dot Y	Error in X	Error in Y	Error
Point 1				
475	250	142	166	218
475	250	147	115	187
475	250	27	115	118
475	250	79	132	154
475	250	283	38	286
475	250	159	55	168
475	250	57	200	208
475	250	47	106	120
475	250	108	13	109
475	250	283	191	341
475	250	249	183	309
475	250	159	98	187
475	250	210	89	228
475	250	244	183	305
475	250	210	191	284
475	250	300	123	324
475	250	181	149	234
475	250	147	55	157
475	250	91	38	99
475	250	164	98	191

 Table 5.1: Table of results for point in Region 1

The first two columns of the table below show the coordinates of the point the user is looking at. The second two show the error in the x and y directions and the finally the error using Pythagoras' formula is given in the final column.

All error is measured in pixel values in the window space. The top left of the window is (0,0) and the bottom right value is (1900,1000). As can be seen, the system does not provide reliable results. The error jumps fairly erratically, but still lies within the correct

region. The maximum error for the system was calculated to be 341 pixels and the average error was 198 pixels. This means that the system accurately determine the user's gaze within a radius of approximately 350 pixels.

It was also found during the testing that the optimum head placement for the Face and Eye detection stages is approximately 30cm in front of the camera and close to the same height. With the head placed larger distances away and lower heights the face detection and eye detection stages would fail up to 7 out of 10 times which affects the real time nature of the system severely. In this optimum position the Face and Eye detection stages only failed, on average, 1 out of 10 times. If the detection stage failed then the system would restart the loop steps mentioned in section 3.4. Since the system implemented an averaging system, as discussed in section 4.7, that requires the full loop to occur a certain number of times before a position is calculated, this failure in the detection stages can cause a huge delay in the real time nature of the system. This can be avoided by maintaining the specified head position.

5.1.2 Discussion

The results of this system showed a large error inherent in the implementation. This error could be from several sources.

Firstly, the pupil detection method was found to be inaccurate to the point of finding the wrong point more than a third of the time. To counter this, the system used an aggregating system, as mentioned previously, to find where the majority of pupil center locations were found, which better approximated the correct position from a set of points. While allowing the system to detect which region the gaze was in, this technique did not sufficiently decrease the error. A higher resolution camera could help with this by increasing the relative distance between the pupil and corner, but this could be resolved through techniques like interpolation to resize the image as well. Several alternative techniques to pupil detection are discussed in [3] and were found to be accurate enough for use in human-computer interfacing. These techniques, as well as the testing, were all implemented using regular web-cameras, which suggests that the problem with this system's pupil detection is the technique rather than the hardware. However, infrared cameras, in conjunction with an infrared light, do have better accuracy, on average, than those of a regular web-camera.

Secondly, the corner as a feature to track introduced several problems in the implementation and further increased the error despite the alleviating steps taken. As previously mentioned, the system in [5] uses the bridge of the nose, and several other static points, as additional features to track and this could remove several of the problems created and alleviate the error in the result by minimising the error in the corner detection. Alternatively, a better technique, like the one used in [26], could be used to detect the location of the corner.

Finally, due to the requirement for the averaging of the coordinate sets, the system ran at a slower rate than intended. The delay between the system getting stabilised coordinates became variable, based on if any of the techniques failed. The best case was nearly unnoticeable delay between successive readings to the worst case of several seconds between readings. Also, as previously mentioned, this delay is dependent on the head being in the optimal position.

Several other limitations that did not affect the system's results were discovered during testing.

5.2 Known Limitations

Since the system is designed to be simple, there are certain limitations that either introduce a large error, or simply limit the system.

5.2.1 Design Choices

As previously mentioned in chapter 3, the system doesn't deal with head movement cancellation. So the user is required to keep their head still during calibration and any change in head orientation during the main program will result in a large error in the position detection until the head is placed back in the same position and orientation.

5.2.2 Implementation Choices

Using the Haar detection as the face detection means that any differences from the main cascade in the pixel group intensities causes the system to be unable to find the face. So any user with dark skin will be unable to use the system.

The system is implemented in Windows and Microsoft Visual Studio. As such the system only works in a windows context. The algorithm however is not OS specific and can be implemented in any Operating System (OS) and indeed any language, though the code listings given in appendix C will only work in a C++ environment with OpenCV installed.

5.3 Summary

Within the capabilities of the system, the error is still rather large. However the system can still determine the region of the user's focus. This still leaves a great many applications available for the system. Another benefit of gaze tracking systems, and in particular the design of this system, is that the modular nature of the design allows techniques to be replaced with better techniques, which are available, with relative ease. This means the system can be upgraded quickly and effectively.

Chapter 6

Conclusion

The aim of this project was to create a Gaze tracking system using a regular web camera and the OpenCV library. As has been shown in chapters 4 and 5, the system has been created. However, whether the system is actually effective needs to be determined. This chapter will also discuss possible future work.

6.1 Effectiveness of the System

The error results obtained in chapter 5 show that the system was ineffective. Considering the simple nature of the implementation, it is possible that this is the cause. This result is still inconclusive on whether or not it is feasible to create an effective gaze tracking system using only a regular web camera.

As discussed in section 5.2, the system has been designed simply and this has affected its strength. The research in chapter 2, and as discussed in section 5.1.2, shows that other techniques are available and have produced better results in many cases. This means that an effective gaze tracking system using a regular, or a simple infrared, camera is possible to create, despite the inconclusive nature of this system. This removes the need for contact and invasive systems and can remove the need for head mounted gear as well. This thesis has aimed to show it is possible to create a system that uses a regular web camera to effectively track the gaze of the user and though this system is inaccurate, the high error can be attributed to poor techniques rather than the need for better hardware. Having further uncovered several techniques that can replace the ones used in this system and have been found to have much better performance, the conclusion of this thesis is that an efficient and accurate gaze tracking system can be created with a simple web camera.

6.2 Future Work

As discussed in section 1.1, the applications of gaze tracking are varied and extremely interesting. To create systems effective and efficient enough for these application is the goal of the work in this field. As such, possible future works for this project include:

- Finding better techniques through technique comparisons
- Removing the need for calibration
- Incorporating head movement cancellation
- Implementing a gaze tracker using a web-camera and a Raspberry Pi
- Implementing the system on a GPU

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Appendix A

Full Table of results

Table A.1: First Table of results for points										
Dot X	Dot Y	Error in X	Error in Y	Error						
Point 1										
475	250	142	166	218						
475	250	147	115	187						
475	250	27	115	118						
475	250	79	132	154						
475	250	283	38	286						
475	250	159	55	168						
475	250	57	200	208						
475	250	47	106	120						
475	250	108	13	109						
475	250	283	191	341						
475	250	249	183	309						
475	250	159	98	187						
475	250	210	89	228						
475	250	244	183	305						
475	250	210	191	284						
475	250	300	123	324						
475	250	181	149	234						
475	250	147	55	157						
475	250	91	38	99						
475	250	164	98	191						

Dot X	Dot Y	Error in X	Error in Y	Error
Point 2				
1325	250	210	72	222
1325	250	227	72	238
1325	250	227	72	238
1325	250	244	149	286
1325	250	181	64	192
1325	250	266	30	268
1325	250	198	157	253
1325	250	193	17	194
1325	250	23	191	192
1325	250	147	19	148
1325	250	130	16	131
1325	250	74	149	166
1325	250	74	38	83
1325	250	193	47	199
1325	250	11	174	174
1325	250	125	30	129
1325	250	79	200	215
1325	250	249	45	253
1325	250	215	64	224
1325	250	300	89	313
Point 3				
1325	750	79	140	161
1325	750	40	140	146
1325	750	113	47	122
1325	750	74	132	151
1325	750	62	81	102
1325	750	96	55	111
1325	750	295	65	302
1325	750	159	21	160
1325	750	96	23	99
1325	750	79	157	176
1325	750	249	106	271
1325	750	91	174	196
1325	750	147	123	192
1325	750	227	30	229
1325	750	57	30	64
1325	750	45	132	139
1325	750	159	157	223
1325	750	164	30	167
1325	750	27	64	69
1325	750	23	64	68

Table A.2: Second Table of results for points

Table A.3: Third Table of results for points

Dot X	Dot Y	Error in X	Error in Y	Error
Point 4				
475	750	17	183	184
475	750	159	183	242
475	750	142	149	206
475	750	142	98	173
475	750	261	98	279
475	750	215	191	288
475	750	96	174	199
475	750	108	106	151
475	750	28	81	86
475	750	215	81	230
475	750	130	21	132
475	750	74	174	189
475	750	57	55	79
475	750	283	21	284
475	750	232	174	290
475	750	210	55	217
475	750	244	64	252
475	750	295	149	330
475	750	261	200	329
475	750	176	30	179

Appendix B

Installing OpenCV

OpenCV is an open source computer vision library dedicated to easing the implementation of computer vision related programs. It is an extensive library, the whole library for version 2.4.2 exceeding 6GB of space after installation. As such the install will be included in the hand in and instructions on how to use the library will be given below.

B.1 Installing in Windows

Installing OpenCV in windows is a fairly simple process. However, to make linking the library in your projects easier, it is useful to add some additional steps.¹

The first step is to download the OpenCV installation for windows.² Then the installation must be run by and the library extracted to a path. In order to simplify the linking later on it is necessary to add certain OpenCV folders to your system path. The folders under the variable "path" are:

\build\x86\vc10\bin

\build\common\tbb\ia32\vc10

¹Please note that these instructions are a combination of the instructions found at http://jepsonsblog.blogspot.com/2012/07/installation-guide-opencv-24-with.html and http:// stackoverflow.com/questions/10901905/installing-opencv-2-4-in-visual-c-2010-express

²The file can be downloaded from http://sourceforge.net/projects/opencvlibrary/

This completes the setup of OpenCV in windows. Next is to link a project in Visual C++. It is important to note that the paths here are excluding the actual reference to where you have extracted OpenCv to. An example that includes the extraction path is

C:\opencv\build\x86\vc10\bin

B.2 Linking your Visual Studio Project

Once you have created a project in Visual C++, it is necessary to edit the properties of the project. Under the tab, VC++ Directories, it is necessary to include the directories shown below under the Include directories.

build\include\opencv
build\include

Under the Library directories it is necessary to include the build directory that corresponds to your system. In the case of this system the directory was:

build\x86\vc10\lib

Under the heading Linker-Input-Additional Dependencies the following files were required to be added.

opencv_calib3d242d.lib opencv_contrib242d.lib opencv_core242d.lib opencv_features2d242d.lib opencv_flann242d.lib opencv_gpu242d.lib opencv_highgui242d.lib opencv_imgproc242d.lib opencv_legacy242d.lib opencv_ml242d.lib opencv_nonfree242d.lib opencv_objdetect242d.lib opencv_photo242d.lib opencv_stitching242d.lib opencv_ts242d.lib opencv_video242d.lib opencv_videostab242d.lib

It is important to note that firstly the 242 is for version 2.4.2 of OpenCV and the appropriate number should be inserted as required. Secondly, these files are for the debug solution. For the release solution the "d" at the end of the filename should be removed.

It is recommended to test the settings by creating a short test project.

Appendix C

Code Listings

C.1 Face Detection

```
IplImage* detectFace(IplImage *img,CvHaarClassifierCascade *cascade_f,
CvMemStorage *storage){
```

```
if (faces->total == 0){ flag = false;return img;}
//this flag serves to tell the program that the facial detection has crashed
   /* get the first detected face */
```

```
CvRect *face = (CvRect*)cvGetSeqElem(faces, 0);
   /* draw a red rectangle */
   cvRectangle(
        img,
        cvPoint(face->x, face->y),
        cvPoint(
            face->x + face->width,
            face->y + face->height
        ),
       CV_RGB(255, 0, 0),
        1, 8, 0
   );
// cvShowImage("Checking", img);
   /* reset buffer for the next object detection */
   cvClearMemStorage(storage);
/* Set the Region of Interest: estimate the eyes' position */
   cvSetImageROI(
                                /* the source image */
        img,
        cvRect(
                                /* x = start from leftmost */
            face->x,
            face->y + (face->height*0.1), /* y = a few pixels from the top */
                               /* width = same width with the face */
            face->width,
            face->height*0.5 /* height = 1/3 of face height */
        )
   );
```

/* create destination image

Note that cvGetSize will return the width and the height of ROI */ IplImage *Region = cvCreateImage(cvGetSize(img), img->depth, img->nChannels);

```
/* copy subimage */
cvCopy(img, Region);
/* reset region of interest */
        cvResetImageROI(img);
cvClearMemStorage(storage);
return Region;
}
```

C.2 Eyes Detection

This method detects a single eye and is called seperately for each eye.

```
IplImage* detectEye(IplImage *img,CvHaarClassifierCascade *cascade_e,CvMemStorage
{
```

```
cvClearMemStorage(storage);
```

```
CvRect *eye = (CvRect*)cvGetSeqElem(eyes, 0);
   /* draw a red rectangle */
   cvRectangle(
        img,
       cvPoint(eye->x, eye->y),
        cvPoint(eye->x + eye->width, eye->y + eye->height),
       CV_RGB(255, 0, 0),
        1, 8, 0
   );
//cvShowImage("Checking",img);
   /* reset buffer for the next object detection */
   cvClearMemStorage(storage);
/* Set the Region of Interest: estimate the eyes' position */
   cvSetImageROI(
                                /* the source image */
        img,
        cvRect(
                              /* x = start from leftmost */
            eye->x
            ,eye->y+ eye->height*0.33 /* y = a few pixels from the top */
            ,eye->width
                              /* width = same width with the eye */
           ,eye->height*0.67 /* height = 1/3 of eye height */
       )
   );
 IplImage *Region = cvCreateImage(cvGetSize(img),
                               img->depth,
                               img->nChannels);
```

/* copy subimage */

```
cvCopy(img, Region);
/* reset region of interest */
    cvResetImageROI(img);
cvClearMemStorage(storage);
return Region;
}
```

C.3 Finding Center of the pupil

```
int i;
//cout<<circles->total <<" is the total number of circles" <<endl;
for (i = 0; i < circles->total; i++)
        {
        float* p = (float*)cvGetSeqElem( circles, i );
coords[0] = p[0];
coords[1] = p[1];
    }
return coords;
}//end of detect pupils
```

C.4 Finding the Corner

```
float * detectCorner(IplImage * img,bool left){
float coords[2];
int cornerC = 1;
CvPoint2D32f corners[1] = {0};
int width,x,y,height;
//this flag is to deterimine whethere this is the left eye or not
//The if statment reduces the ROI so that we remove most false positives
if (left){
width = (int)img->width*0.2;
x = 0;
y = img->height*0.4;
height = img->height*0.2;
}else{
width = (int)img->width*0.2;
x =(int) img->width*0.75;
y = img - height * 0.4;
height = img->height*0.3;
```

```
}
    cvSetImageROI(
        img,
        cvRect(
            x,
            у,
            width,
            height
        )
    );
//reduced the noise
cvEqualizeHist(img, img);
IplImage * eig_image = cvCreateImage(cvGetSize(img),
IPL_DEPTH_32F, 1);
IplImage * temp = cvCreateImage(cvGetSize(img),
IPL_DEPTH_32F, 1);
//This method does most of the work
cvGoodFeaturesToTrack(img,eig_image,temp,corners, &cornerC, 0.5,img->width);
/*
```

```
The addition of the x and y is to offset the reduced area of the ROI
so that the coordinates returned are in the same reference frame
as the pupil coordinates
    */
coords[0] = corners[0].x + x;
coords[1] = corners[0].y + y;
cvResetImageROI(img);
return coords;
```