



Advances in Pattern Recognition



Digital Document Processing

Bidyut B. Chaudhuri
(Ed.)

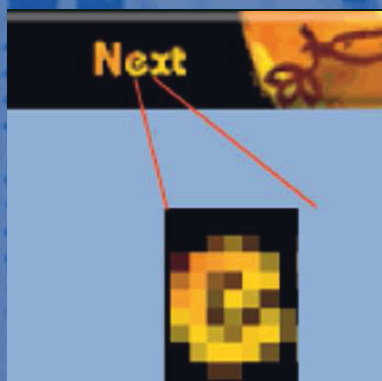


Major Directions and
Recent Advances

Springer



Advances in **P**attern **R**ecognition



Digital Document Processing

Bidyut B. Chaudhuri
(Ed.)



Major Directions and
Recent Advances

 Springer

Advances in Pattern Recognition

Advance in Pattern Recognition is a series of books which brings together current developments in all areas of this multi-disciplinary topic. It covers both theoretical and applied aspects of pattern recognition, and provides texts for students and senior researchers.

Springer also publishes a related journal, **Pattern Analysis and Applications**. For more details see: <http://link.springer.de>

The book series and journal are both edited by Professor Sameer Singh of Exeter University, UK.

Also in this series:

Principles of Visual Information Retrieval

Michael S. Lew (Ed.)

1-85233-381-2

Statistical and Neural Classifiers: An Integrated Approach to Design

Šarūnas Raudys

1-85233-297-2

Advanced Algorithmic Approaches to Medical Image Segmentation

Jasjit Suri, Kamaledin Setarehdan and Sameer Singh (Eds)

1-85233-389-8

NETLAB: Algorithms for Pattern Recognition

Ian T. Nabney

1-85233-440-1

Object Recognition: Fundamentals and Case Studies

M. Bennamoun and G.J. Mamic

1-85233-398-7

Computer Vision Beyond the Visible Spectrum

Bir Bhanu and Ioannis Pavlidis (Eds)

1-85233-604-8

Hexagonal Image Processing: A Practical Approach

Lee Middleton and Jayanthi Sivaswamy

1-85233-914-4

Support Vector Machines for Pattern Classification

Shigeo Abe

1-85233-929-2

Bidyut B. Chaudhuri (Ed.)

Digital Document Processing

Major Directions and Recent Advances

 Springer

Bidyut B. Chaudhuri, PhD
Indian Statistical Institute, Kolkata, India

Series editor

Professor Sameer Singh, PhD
Department of Computer Science, University of Exeter, Exeter, EX4 4PT, UK

British Library Cataloguing in Publication Data
A catalogue record for this book is available from the British Library

Library of Congress Control Number: 2006927723

Advances in Pattern Recognition Series ISSN 1617-7916
ISBN-10: 1-84628-501-1 e-ISBN-10: 1-84628-501-1
ISBN-13: 978-1-84628-501-1 e-ISBN-13: 978-1-84628-501-1
Printed on acid-free paper.

© Springer-Verlag London Limited 2007

Apart from any fair dealing for the purposes of research or private study, or criticism or review, as permitted under the Copyright, Designs and Patents Act 1988, this publication may only be reproduced, stored or transmitted, in any form or by any means, with the prior permission in writing of the publishers, or in the case of reprographic reproduction in accordance with the terms of licences issued by the Copyright Licensing Agency. Enquiries concerning reproduction outside those terms should be sent to the publishers.

The use of registered names, trademarks, etc. in this publication does not imply, even in the absence of a specific statement, that such names are exempt from the relevant laws and regulation and therefore free for general use.

The publisher makes no representation, express or implied, with regard to the accuracy of the information contained in this book and cannot accept any legal responsibility or liability for any errors or omissions that may be made.

9 8 7 6 5 4 3 2 1

springer.com

Preface

The field of automatic document processing, more than a century old, is quite a mature one. It started with an attempt to automatically read printed text in the era well before the birth of digital computers and has been since continuing on various topics like document image enhancement, document structure and layout analysis, handwritten character recognition, document data compression, graphics recognition, document information retrieval and meta-data extraction. In addition to OCR, applications like tabular form and bank cheque processing or postal mail reading are of great interest to the software industry.

This edited book is a compilation of twenty chapters written by leading experts on the above and several other important topics. These chapters describe the state of the art in these areas, enumerate the research challenges and propose one or more possible solutions in a systematic way. Usually, edited books are compiled on some special area of a general discipline. But this one attempts to cover wider aspects of digital document processing and hence has the flavour of a handbook. Since there is no standard textbook with a wide coverage of the subject, this book will immensely help students taking undergraduate and graduate courses in digital document processing. Also, it is hoped that the researchers in the field will benefit from this book. About 9 years ago, Bunke and Wang edited a useful book of similar nature. However, the activities on document analysis have since advanced much, with newer techniques being invented by the community and younger disciplines like super-resolution text processing, handwriting individuality identification or web document mining gaining importance. Even on older topics like OCR, good work is in progress on challenging problems like the reading of Indian and Tibetan scripts. All these advancements contributed to the need for another edited book.

This book starts with an excellent introduction to the general discipline of document processing, followed by studies on document structure analysis. The next few chapters describe OCR systems for some difficult printed scripts that are followed by advances in on-line and off-line handwritten

text recognition, with applications to postal automation and bank cheque processing. Then come the special topics of mathematical expression and graphics recognition, as well as super-resolution text analysis. Other problems like image degradation modelling, meta-data extraction, document information retrieval are addressed in the next few chapters. Some emphasis has been given on web document analysis and data mining problems. The last three chapters of this book are dedicated to these topics.

This book is the outcome of my interaction with the authors over a reasonably long period. In this endeavour, my sincerest thanks go to Professor Horst Bunke with whom I initially made plans to co-edit this book. At the preparatory stage, I received generous help from his vast experience on various issues like framing of book structure, the choice of chapter topics, the choice of potential authors as well as fixing other subtle points. However, because of heavy workload and subsequent illness, he had to discontinue his involvement in the editorial process. Nevertheless, I am grateful for his continuous advice, encouragement and best wishes for the completion of this project.

I express my sincere thanks to all authors for their hard work in preparing their manuscripts. Special mention should be made of Prof. L. Schomaker who not only wrote an introductory chapter but also patiently read all other chapters in order to write critical summaries of them. The readers will get a quick idea of all the topics by reading this chapter alone.

During my work on this book I enjoyed a sabbatical leave as well as a *Jawaharlal Nehru Fellowship*. The support of my institute and of the Jawaharlal Nehru Memorial Fund is gratefully acknowledged. I am thankful to my colleagues, Dr Utpal Garain, Mr Chittaranjan Das and Ms Shamita Ghosh, who helped me in various stages of the editorial work. The understanding and support of my family is also highly appreciated. Finally, I thankfully acknowledge the patience of Ms Catherine Brett of Springer Verlag for replying to my numerous e-mails and other support provided to me during the editing of this book.

Bidyut B. Chaudhuri
Kolkata, India

Contents

Preface	v
Contributors	xvii
1 Reading Systems: An Introduction to Digital Document Processing	1
<i>Lambert Schomaker</i>	
1.1 Introduction	1
1.2 Text Sensing	3
1.3 Sensor Scope	3
1.4 Sensor Grid	6
1.5 Pre-processing	6
1.6 Invariance to Affine Transforms	7
1.7 Invariance to Ink-Trace Thickness	9
1.8 Shape Features	10
1.9 Processing Type	12
1.10 Computing Architecture	13
1.11 Computing Strategy	13
1.12 Knowledge Base	14
1.13 Cognitive Reliability	15
1.14 Response in Case of Difficult Input	15
1.15 Classification Accuracy	16
1.16 Energy and Mental Concentration	17
1.17 Processing Speed	17
1.18 Volume Processing	17
1.19 Summary of Human Versus Machine Reading	18
1.20 Conclusion	26
References	26
2 Document Structure and Layout Analysis	29
<i>Anoop M. Namboodiri and Anil K. Jain</i>	
2.1 Introduction	29
2.1.1 Physical Layout and Logical Structure	30

2.2	Pre-processing	31
2.2.1	Noise Removal	31
2.2.2	Foreground Detection	32
2.2.3	Skew Correction.....	34
2.3	Representing Document Structure and Layout	34
2.4	Document Layout Analysis	36
2.4.1	Approaches to Layout Analysis.....	38
2.5	Understanding Document Structure.....	42
2.6	Performance Evaluation	43
2.7	Handwritten Document Analysis	45
2.7.1	On-Line Documents	45
2.8	Summary.....	46
	References	47
3	OCR Technologies for Machine Printed and Hand Printed Japanese Text	49
	<i>Fumitaka Kimura</i>	
3.1	Introduction	49
3.2	Pre-Processing	49
3.2.1	Text Line Segmentation and Skew Correction	49
3.2.2	Character Segmentation of Japanese and English Mixed Text	51
3.2.3	Nonlinear Normalization of Character Size.....	53
3.2.4	Slant Correction	54
3.2.5	Segmentation–Recognition of Handwritten Japanese Document	56
3.3	Feature Extraction	58
3.3.1	Chain Code Histogram	59
3.3.2	Gradient Feature [16]	60
3.4	Classification	61
3.4.1	Linear Classifiers for High-Speed Pre-Classification.....	61
3.4.2	Quadratic Classifiers	62
3.5	Dimension Reduction	63
3.5.1	Discriminant Analysis.....	63
3.5.2	Principal Component Analysis	64
3.6	Performance Evaluation of OCR Technologies	64
3.6.1	Used Database	64
3.6.2	Dimension Reduction	64
3.6.3	Comparison on Pre-Classification	66
3.6.4	Comparison on Main Classification	67
3.7	Learning Algorithms	67
3.7.1	GLVQ	68
3.7.2	Performance Evaluation	69
3.8	Conclusion	69
	References	70

4	Multi-Font Printed Tibetan OCR	73
	<i>Xiaoqing Ding and Hua Wang</i>	
4.1	Introduction	73
4.2	Properties of Tibetan Characters and Scripts	74
4.3	Isolated Tibetan Character Recognition	78
	4.3.1 Character Normalization	79
	4.3.2 Feature Formulation	81
	4.3.3 Classifier Design	84
4.4	Tibetan Document Segmentation	88
	4.4.1 Text Line Separation	88
	4.4.2 Character Segmentation.....	91
4.5	Experiment Results	94
	4.5.1 Performance of Isolated Character Recognition Algorithm	94
	4.5.2 Performance of Segmentation Algorithm.....	95
4.6	Summary.....	96
	References	96
5	On OCR of a Printed Indian Script	99
	<i>Bidyut B. Chaudhuri</i>	
5.1	Introduction	99
5.2	Origin and Properties of Indian Scripts.....	100
5.3	Document Pre-Processing	104
	5.3.1 Binarization	104
	5.3.2 Skew Detection/Correction	104
	5.3.3 Text Region Detection	105
	5.3.4 Text Line and Word Identification	105
	5.3.5 Zone Separation and Character Segmentation	106
5.4	Character Recognition	107
	5.4.1 Recognition of Upper Zone Shapes.....	107
	5.4.2 Middle and Lower Zone Character Recognition	108
	5.4.3 Punctuation Mark Recognition	111
	5.4.4 Recognition of Touching Characters [9].....	111
	5.4.5 Combination of Results and Post-Processing	113
5.5	Performance Analysis	114
5.6	Conclusion	117
	References	118
6	A Bayesian Network Approach for On-line Handwriting Recognition	121
	<i>Sung-Jung Cho and Jin Hyung Kim</i>	
6.1	Introduction	121
6.2	Modelling of Character Components and Their Relationships	124
	6.2.1 Bayesian Network Modelling Framework	124
	6.2.2 Point Model	125

6.2.3	Stroke Model	126
6.2.4	Character Model	128
6.3	Recognition and Training Algorithms	130
6.3.1	Recognition Algorithm	130
6.3.2	Training Algorithm	131
6.4	Experimental Results and Analysis	132
6.4.1	Data Set	133
6.4.2	Analysis of Within-Stroke Relationship Modelling ..	133
6.4.3	Analysis of Inter-Stroke Relationship Modelling	134
6.4.4	Comparison to Other Recognition Systems	136
6.4.5	Evaluation of Modelling Capacity by Generation of Characters	137
6.5	Conclusions	139
	References	140
7	New Advances and New Challenges in On-Line Handwriting Recognition and Electronic Ink Management	143
	<i>Eric Anquetil and Guy Lorette</i>	
7.1	Introduction	143
7.2	On-Line Handwriting Recognition Systems	144
7.2.1	Main Features	144
7.2.2	General System Architecture	144
7.3	New Trends in On-Line Handwriting Recognition	144
7.3.1	Classical vs. New Acquisition Devices	144
7.3.2	Modelling	146
7.3.3	Classification	146
7.3.4	System Architecture	146
7.3.5	Linguistic Post-Processing	147
7.3.6	User Adaptation	147
7.3.7	From Off-Line to On-Line and from On-Line to Off-Line Handwriting Recognition	148
7.4	New Trends in Electronic Ink Management Systems	148
7.4.1	Pen-Based Applications	148
7.4.2	Digital Ink Annotations of Documents	149
7.4.3	Interpretation of On-Line Structured Documents ...	150
7.4.4	Design of Handwriting Input for Small-Size Devices	154
7.5	Conclusion, Open Problems and New Challenges	156
	References	157
8	Off-Line Roman Cursive Handwriting Recognition	165
	<i>Horst Bunke and Tamás Varga</i>	
8.1	Introduction	165
8.2	Methodology	166
8.2.1	Document Image Pre-processing	166

8.2.2	Recognition of Isolated Characters	167
8.2.3	Cursive Word Recognition	168
8.2.4	Cursive Word Sequence Recognition	170
8.3	Emerging Topics	171
8.3.1	Databases and Performance Evaluation	171
8.3.2	Synthetic Training Data	172
8.3.3	Multiple Classifier Systems	174
8.4	Outlook and Conclusions	175
	References	176
9	Robustness Design of Industrial Strength Recognition Systems	185
	<i>Hiromichi Fujisawa</i>	
9.1	Characterization of Robustness	185
9.2	Complex Recognition System: Postal Address Recognition	187
9.3	Performance Influencing Factors	189
9.4	Robustness Design Principles	194
9.5	Robustness Strategy for Implementation	203
9.6	Conclusions	209
	References	210
10	Arabic Cheque Processing System: Issues and Future Trends	213
	<i>M. Cheriet, Y. Al-Ohali, N.E. Ayat, and C.Y. Suen</i>	
10.1	Introduction	213
10.2	Datasets	214
10.3	Legal Amount Processing	215
10.3.1	Pre-Processing	215
10.3.2	Word Versus Sub-Word Processing	216
10.3.3	Sub-Word Processing	216
10.3.4	Legal Amount Interpretation	221
10.4	Courtesy Amount Processing	222
10.4.1	Pre-Processing	223
10.4.2	Features Extraction and Representation	224
10.4.3	Experiments	226
10.4.4	Discussion	229
10.5	Conclusion and Future Perspective	230
	References	232
11	OCR of Printed Mathematical Expressions	235
	<i>Utpal Garain and Bidyut B. Chaudhuri</i>	
11.1	Introduction	235
11.2	Identification of Expressions in Document Images	237
11.2.1	Techniques for Identification of Expression Zones	237
11.2.2	Ways to Improve Identification Results	239

11.3	Recognition of Expression Symbols	241
11.3.1	Existing Methods for Symbol Recognition	241
11.3.2	Ways to Improve Symbol Recognition Accuracy	242
11.4	Interpretation of Expression Structure	245
11.4.1	Previous Methods on Interpretation of Expression Symbols	246
11.4.2	Further Research on Interpretation of Expression Structure	247
11.5	Performance Evaluation	251
11.5.1	Basic Requirements for Performance Evaluation	252
11.5.2	Performance Evaluation Strategy	254
11.6	Conclusion and Future Research	255
	References	256
12	The State of the Art of Document Image Degradation Modelling	261
	<i>Henry S. Baird</i>	
12.1	Introduction	261
12.2	Document Image Degradations	262
12.3	The Measurement of Image Quality	264
12.4	Document Image Degradation Models	266
12.4.1	Methodological Issues	266
12.4.2	A Physics-Based Model	267
12.4.3	A Statistics-Based Model	268
12.4.4	Estimation of Model Parameters	268
12.4.5	Estimation Using Images of Test Targets	268
12.4.6	Estimation Using Images of Text	269
12.4.7	Validation of Models	270
12.5	Applications of Models	270
12.5.1	Conditions for Connectivity and So Forth	271
12.5.2	Effects on Recognition Accuracy	271
12.5.3	Constructing Classifiers	271
12.5.4	Testing OCR Systems	272
12.6	Public-Domain Software and Image Databases	272
12.6.1	Simulation Studies	273
12.7	Open Problems	273
12.7.1	Uses of Synthetic Data	274
	References	275
13	Advances in Graphics Recognition	281
	<i>Josep Lladós</i>	
13.1	Introduction	281
13.2	Application Scenarios	284
13.3	Early Processing	287
13.4	Symbol Recognition and Indexing	288
13.5	Architectures and Meta-data Modelling	289

13.6	On-Line Graphics Recognition and Sketching	
	Interfaces	291
13.7	Performance Evaluation	293
13.8	An Application Scenario:	
	Interpretation of Architectural Sketches	294
13.9	Conclusions: Sketching the Future	295
	References	297
14	An Introduction to Super-Resolution Text	305
	<i>Céline Mancas-Thillou and Majid Mirmehdi</i>	
14.1	Introduction	305
14.2	Super-Resolution: An Analytical Model	307
14.3	MISO Super-Resolution: A Closer Look	308
	14.3.1 Motion Estimation and Registration	308
	14.3.2 Warping and Reconstruction	311
	14.3.3 Regularization Techniques	315
	14.3.4 Deblurring and Denoizing	317
	14.3.5 Colour Super-Resolution Text	317
14.4	Case Study: SURETEXT – Camera-Based SR Text	318
	14.4.1 Motion Estimation Using the Taylor Series	319
	14.4.2 Unsharp Masking Using the Teager Filter	320
	14.4.3 Outlier Frame Removal	321
	14.4.4 Median Denoizing	322
	14.4.5 Experiments and Results	323
14.5	Conclusions	325
	References	325
15	Meta-Data Extraction from Bibliographic Documents	
	for the Digital Library	329
	<i>A. Belaïd and D. Besagni</i>	
15.1	Introduction	329
15.2	The Users' Needs	330
15.3	Bibliographic Elements as Descriptive Meta-Data	331
15.4	Meta-Data Extraction in Bibliographic Documents	333
15.5	General Overview of the Work	333
15.6	Bibliographic Element Recognition for Library	
	Management	335
	15.6.1 Catalogue Retro-Conversion	335
15.7	Bibliographic Reference Structure in Technological	
	Watch	341
	15.7.1 Object Document	341
	15.7.2 Target Document	343
	15.7.3 Retrieval Engine	343
15.8	Citation Analysis in Research Piloting and Evaluation	344
	15.8.1 Impact Factors	344
	15.8.2 Methodology	345