Fractal Image Compression

Yuval Fisher Editor

## Fractal Image Compression

Theory and Application

With 139 Illustrations



Springer-Verlag New York Berlin Heidelberg London Paris Tokyo Hong Kong Barcelona Budapest Yuval Fisher Institute for Nonlinear Science University of California, San Diego 9500 Gilman Drive La Jolla, CA 92093-0402 USA

Library of Congress Cataloging-in-Publication Data Fractal image compression : theory and application / [edited by] Yuval Fisher. p. cm. Includes bibliographical references and index. ISBN-13:978-1-4612-7552-7 e-ISBN-13:978-1-4612-2472-3 DOI: 10.1007/978-1-4612-2472-3 1. Image processing – Digital techniques. 2. Image compression. 3. Fractals. I. Fisher, Yuval. TA1637.F73 1994 006.6-dc20 94-11615

Printed on acid-free paper.

© 1995 Springer-Verlag New York, Inc. Softcover reprint of the hardcover 1st edition 1995

All rights reserved. This work may not be translated or copied in whole or in part without the written permission of the publisher (Springer-Verlag New York, Inc., 175 Fifth Avenue, New York, NY 10010, USA), except for brief excerpts in connection with reviews or scholarly analysis. Use in connection with any form of information storage and retrieval, electronic adaptation, computer software, or by similar or dissimilar methodology now known or hereafter developed is forbidden.

The use of general descriptive names, trade names, trademarks, etc., in this publication, even if the former are not especially identified, is not to be taken as a sign that such names, as understood by the Trade Marks and Merchandise Marks Act, may accordingly be used freely by anyone.

Production managed by Hal Henglein; manufacturing supervised by Jacqui Ashri. Photocomposed copy prepared from the editor's LaTeX file.

987654321

ISBN-13:978-1-4612-7552-7

## Preface

What is "Fractal Image Compression," anyway? You will have to read the book to find out everything about it, and if you read the book, you really will find out almost everything that is currently known about it. In a sentence or two: fractal image compression is a method, or class of methods, that allows images to be stored on computers in much less memory than standard ways of storing images. The "fractal" part means that the methods have something to do with fractals, complicated looking sets that arise out of simple algorithms.

This book contains a collection of articles on fractal image compression. Beginners will find simple explanations, working C code, and exercises to check their progress. Mathematicians will find a rigorous and detailed development of the subject. Non-mathematicians will find a parallel intuitive discussion that explains what is behind all the "theorem–proofs." Finally, researchers – even researchers in fractal image compression – will find new and exciting results, both theoretical and applied.

Here is a brief synopsis of each chapter:

- **Chapter 1** contains a simple introduction aimed at the lay reader. It uses almost no math but explains all the main concepts of a fractal encoding/decoding scheme, so that the interested reader can write his or her own code.
- **Chapter 2** has a rigorous mathematical description of iterated function systems and their generalizations for image encoding. An informal presentation of the material is made in parallel in the chapter using sans serif font.
- **Chapter 3** contains a detailed description of a quadtree-based method for fractal encoding. The chapter is readily accessible, containing no mathematics. It does contain almost everything anyone would care to know about the quadtree method.

The following chapters are contributed articles.

- **Chapter 4** details an important optimization which can reduce encoding times significantly. It naturally follows the previous chapter, but the methods can be applied in more general settings.
- **Chapter 5** contains a theoretical development of fractal data encoding using a pyramidal approach. The results include an ultra-fast decoding method and a description of the relationship between the finite- and infinite-dimensional representation of the compressed data.

- **Chapter 6** describes the details of a fractal encoding scheme that matches or exceeds results obtainable using JPEG and some wavelet methods.
- **Chapter 7** and the next three chapters form a subsection of the book dedicated to results obtainable through a linear algebraic approach. This chapter sets up the model and gives simple, but previously elusive, conditions for convergence of the decoding process in the commonly used rms metric.
- **Chapter 8** derives a different ultrafast decoding scheme with the advantage of requiring a fixed number of decoding steps. This chapter also describes ways of overcoming some of the difficulties associated with encoding images as fractals.
- **Chapter 9** contains a theoretical treatment of a method to significantly reduce encoding times. The theoretical framework relates to other image compression methods (most notably VQ).
- Chapter 10 contains a new approach to encoding images using the concepts of Chapters 7 and 8. This method overcomes the difficulty that standard fractal methods have in achieving very high fidelity.
- Chapter 11 contains a theoretical treatment of fractal encoding with an emphasis on convergence.
- **Chapter 12** gives both a new model and an implementation of a fast encoding/decoding fractal method. This method is a direct IFS based solution to the image coding problem.
- Chapter 13 contains a formulation of an image encoding method based on finite automata. The method generates highly compressed, resolution-independent encodings
- The following appendices contain supplementary material.
- **Appendix A** contains a listing of the code used to generate the results in Chapter 3, as well as an explanation of the code and a manual on its use.
- **Appendix B** contains exercises that complement the main text. For the most part, these exercises are of the useful "show that such-and-such is true" rather than the uninformative "find something-or-other."
- **Appendix C** contains a list of projects including video, parallelization, and new encoding and decoding methods.
- **Appendix D** contains a brief comparison of the results in the book with JPEG and other methods.
- **Appendix E** consists of the original images used in the text.

If the list of contributors has any conspicuous omissions, they are Michael Barnsley and Arnaud Jacquin. Barnsley (and his group, including D. Hardin, J. Elton, and A. Sloan) and Jacquin have probably done more innovative research in fractal image compression than anyone else in the field. Dr. Barnsley has his own book on the topic, and Dr. Jacquin declined to contribute to this book. Too bad. Here is a brief editorial about fractal compression: Does fractal image compression have a role to play in the current rush to standardize video and still image compression methods? The fractal scheme suffers from two serious drawbacks: encoding is computationally intensive, and there is no "representation" theorem. The first means that even near-real time applications will require specialized hardware (for the foreseeable future); this is not the end of the world. The second is more serious; it means that unlike Fourier or wavelet methods, for example, the size of fractally encoded data gets very large as we attempt to approach perfect reconstruction. For example, a checkerboard image consisting of alternating black and white pixels cannot be encoded by any of the fractal schemes discussed in this book, except by the trivial (in the mathematical sense) solution of defining a map into each pixel of the image, leading to fractal image *expansion*.

Does this mean that fractal image compression is doomed? Probably not. In spite of the problems above, empirical results show that the fractal scheme is at least as good as, and better at some compression ranges, than the current standard, JPEG. Also, the scheme does possess several intriguing features. It is resolution independent; images can be reconstructed at any resolution, with the decoding process creating artificial data, when necessary, that is commensurate with the local behavior of the image data. This is currently something of a solution in search of a problem, but it may be useful. More importantly, the fractal scheme is computationally simple to decode. Software decoding of video, as well as still images, may be its saving grace.

The aim of this book is to show that a rich and interesting theory exists with results that are applicable. Even in the short amount of time devoted to this field, results are comparable with compression methods that have received hundreds of thousands, if not millions, more man-hours of research effort.

Finally, this book wouldn't have come into being without the support of my wife, Melinda. She said "sounds good to me," when anyone else would have said "what's that rattling sound," or "I smell something funny." She often says "sounds good to me" (as well as the other two things, now that I think of it), and I appreciate it.

I would also like to express my gratitude to the following people: my co-authors, whose contributions made this book possible; Barbara Burke, for editing my portion of the manuscript; and Elizabeth Sheehan, my calm editor at Springer-Verlag. My thanks also go to Henry Abarbanel, Hassan Aref, Andrew Gross, Arnold Mandel, Pierre Moussa, Rama Ramachandran, Dan Rogovin, Dan Salzbach, and Janice Shen, who, in one way or another, helped me along the way.

This book was writen in LATEX, a macro package written by Leslie Lamport for Donald Knuth's TEX typesetting package. The bibliography and index were compiled using BibTeX and makeindex, both also motivated by Leslie Lamport. In its final form, the book exists as a single 36 Megabyte postscript file.

Yuval Fisher, August 1994

## **The Authors**

**Izhak Baharav** received a B.Sc. in electrical engineering from Tel-Aviv University, Israel, in 1986. From 1988 to 1991 he was a research engineer at Rafael, Israel. Since 1992 he has been a graduate student at the electrical engineering department in the Technion - Israel Institute of Technology, Haifa, Israel. *address:* 

Department of Electrical Engineering Technion-Israel Institute of Technology Haifa 32000, Israel

**Ben Bielefeld** was born in Ohio. He received a B.S. in mathematics from Ohio State University and an M.A. and Ph.D. in mathematics from Cornell University. His dissertation was in complex analytic dynamical systems. He had a three-year research/teaching position at the Institute for Mathematical Sciences in Stony Brook where he continued to do research in dynamical systems. He then had a postdoc for 1 year in the applied math department at Stony Brook where he did research in electromagnetic scattering and groundwater modeling. Dr. Bielefeld currently works for the National Security Agency.

**Roger D. Boss** received his B.S. from Kent State University and his Ph.D. in Analytical Chemistry from Michigan State University in 1980 and 1985, respectively. He has worked in the Materials Research Branch of the NCCOSC RDT&E Division since 1985. His past research interests have included non-aqueous solution chemistry; spectroelectrochemistry of electron transfer; conducting polymers; high-temperature superconducting ceramics; chaotic and stochastic effects in neurons; and fractal-based image compression. His current research involves macromolecular solid-state chemistry. *address:* 

NCCOSC RDT&E Division 573 49590 Lassing Road San Diego, CA 92152-6171 **Karel Culik II** got his M.S. degree at the Charles University in Prague and his Ph.D. from the Czechoslovak Academy of Sciences in Prague. From 1969 to 1987 he was at the computer science department at the University of Waterloo; since 1987 he has been the Bankers' Trust Chair Professor of Computer Science at the University of South Carolina. *address:* 

Department of Computer Science University of South Carolina Columbia, SC 29208

**Frank Dudbridge** gained the B.Sc. degree in mathematics and computing from Kings College, London, in 1988. He was awarded the Ph.D. degree in computing by Imperial College, London, in 1992, for research into image compression using fractals. He is currently a SERC/NATO research fellow at the University of California, San Diego, conducting further research into fractal image compression. His other research interests include the calculus of fractal functions, statistical iterated function systems, and global optimization problems. *address:* 

Institute for Nonlinear Science University of California, San Diego La Jolla, CA 92093-0402

**Yuval Fisher** has B.S. degrees from the University of California, Irvine, in mathematics and physics. He has an M.S. in computer science from Cornell University, where he also completed his Ph.D. in Mathematics in 1989. Dr. Fisher is currently a research mathematician at the Institute for Nonlinear Science at the University of California, San Diego. *address:* 

Institute for Nonlinear Science University of California, San Diego La Jolla, CA 92093-0402

**Bill Jacobs** received his B.S. degree in physics and M.S. degree in applied physics from the University of California, San Diego, in 1981 and 1986, respectively. He has worked in the Materials Research Branch of the NCCOSC RDT&E Division since 1981, and during that time he has studied a variety of research topics. Some of these included properties of piezoelectric polymers; properties of high-temperature superconducting ceramics; chaotic and stochastic effects in nonlinear dynamical systems; and fractal-based image compression. *address:* 

NCCOSC RDT&E Division 573 49590 Lassing Road San Diego, CA 92152-6171 **Jarkko Kari** received his Ph.D. in mathematics from the University of Turku, Finland, in 1990. He is currently working as a researcher for the Academy of Finland. *address*:

Mathematics Department University of Turku 20500 Turku, Finland

**Ehud D. Karnin** received B.Sc. and M.S. degrees in electrical engineering from the Technion - Israel Institute of Technology, Haifa, Israel, in 1973 and 1976, respectively, and an M.S. degree in statistics and a Ph.D. degree in electrical engineering from Stanford University in 1983. From 1973 to 1979 he was a research engineer at Rafael, Israel. From 1980 to 1982 he was a research assistant at Stanford University. During 1983 he was a visiting scientist at the IBM Research Center, San Jose, CA. Since 1984 he has been a research staff member at the IBM Science and Technology Center, Haifa, Israel, and an adjunct faculty member of the electrical engineering department, Technion - Israel Institute of Technology. In 1988-1989 he was a visiting scientist at the IBM Watson Research Center, Yorktown Heights, NY. His past research interests included information theory, cryptography, and VLSI systems. His current activities are image processing, visualization, and data compression. *address*:

IBM Science and Technology MATAM-Advanced Technology Center Haifa 31905, Israel

**Skjalg Lepsøy** received his Siv.Ing. degree in electrical engineering from the Norwegian Institute of Technology (NTH) in 1985, where he also received his Dr.Ing. in digital image processing in 1993. He has worked on source coding and pattern recognition at the research foundation at NTH (SINTEF) 1987-1992, and he is currently working on video compression at Consensus Analysis, an industrial mathematics R&D company. *address:* 

Consensus Analysis Postboks 1391 1401 Ski, Norway

Lars M. Lundheim received M.S. and Ph.D. degrees from the Norwegian Institute of Technology, Trondheim, Norway, in 1985 and 1992, respectively. From February 1985 to May 1992 he was a research scientist at the Electronics Research Laboratory (SINTEF-DELAB), Norwegian Institute of Technology, where he worked with digital signal processing, communications, and data compression techniques for speech and images. Since May 1992 he has been with Trondheim College of Engineering. *address:* 

Trondheim College of Engineering Department of Electrical Engineering N-7005 Trondheim, Norway **David Malah** received his B.S. and M.S. degrees in 1964 and 1967, respectively, from the Technion - Israel Institute of Technology, Haifa, Israel, and the Ph.D. degree in 1971 from the University of Minnesota, Minneapolis, MN, all in electrical engineering. During 1971-1972 he was an Assistant Professor at the Electrical Engineering Department of the University of New Brunswick, Fredericton, N.B., Canada. In 1972 he joined the Electrical Engineering Department of the Technion, where he is presently a Professor. During 1979-1981 and 1988-1989, as well as the summers of 1983, 1986, and 1991, he was on leave at AT&T Bell Laboratories, Murray Hill, NJ. Since 1975 (except during the leave periods) he has been in charge of the Signal and Image Processing Laboratory at the EE Department, which is active in image and speech coding; image and speech enhancement; and digital signal processing techniques. He has been a Fellow of the IEEE since 1987.

address:

Department of Electrical Engineering Technion-Israel Institute of Technology Haifa 32000, Israel

**Spencer Menlove** became interested in fractal image compression after receiving a B.S. in cognitive science from the University of California, San Diego. He researched fractal compression and other compression techniques under a Navy contract while working in San Diego. He is currently a graduate student in computer science at Stanford University doing work in image processing and artificial intelligence. *address:* 

Department of Computer Science Stanford University

Palo Alto, CA 94305

Geir Egil Øien graduated with a Siv.Ing. degree from the Department of Telecommunications at the Norwegian Institute of Technology (NTH) in 1989. He was a research assistant with the Signal Processing Group at the same department in 1989-1990. In 1990 he received a 3-year scholarship from the Royal Norwegian Council of Scientific Research (NTNF) and started his Dr.Ing. studies. He received his Dr.Ing. degree from the Department of Telecommunications, NTH, in 1993. The subject of his thesis was  $L^2$ -optimal attractor image coding with fast decoder convergence. Beginning in 1994 he will be an associate professor at Rogaland University Centre, Stavanger, Norway. His research interests are within digital signal/image processing with an emphasis on source coding.

address:

The Norwegian Institute of Technology Department of Telecommunications O. S. Bragstads Plass 2 7034 Trondheim-NTH, Norway **Dietmar Saupe** received the Dr. rer. nat. degree in mathematics from the University of Bremen, Germany, in 1982. He was Visiting Assistant Professor of Mathematics at the University of California at Santa Cruz, 1985–1987, and Assistant Professor at the University of Bremen, 1987–1993. Since 1993 he has been Professor of Computer Science at the University of Freiburg, Germany. His areas of interest include visualization, image processing, computer graphics, and dynamical systems. He is coauthor of the book *Chaos and Fractals* by H.-O. Peitgen, H. Jürgens, D. Saupe, Springer-Verlag, 1992, and coeditor of *The Science of Fractal Images*, H.-O. Peitgen, D. Saupe, (eds.), Springer-Verlag, 1988. *address*.

> Institut für Informatik Rheinstrasse 10–12 79104 Freiburg Germany

**Greg Vines** was born in Memphis, Tennessee, on June 13, 1960. He received his B.S. from the University of Virginia in 1982, and his M.S. and Ph.D. degrees in electrical engineering from the Georgia Institute of Technology in 1990 and 1993, respectively. While at the Georgia Institute of Technology, he was a graduate research assistant from 1988 until 1993. He is presently working at General Instrument's Vider Cipher Division. His research interests include signal modeling, image processing, and image/video coding. *address:* 

General Instrument Corporation 6262 Lusk Boulevard San Diego, CA 92121

## Contents

	Pref	face	v					
	The	Authors	ix					
1	Introduction							
	Y. Fi	isher						
	1.1	What Is Fractal Image Compression?	2					
	1.2	Self-Similarity in Images	7					
	1.3	A Special Copying Machine	10					
	1.4	Encoding Images	12					
	1.5	Ways to Partition Images	14					
	1.6	Implementation	18					
	1.7	Conclusion	23					
2	Mat	thematical Background	25					
	Y. Fisher							
	2.1	Fractals	25					
	2.2	Iterated Function Systems	28					
	2.3	Recurrent Iterated Function Systems	39					
	2.4	Image Models	42					
	2.5	Affine Transformations	46					
	2.6	Partitioned Iterated Function Systems	46					
	2.7	Encoding Images	48					
	2.8	Other Models	52					
3	Fra	ctal Image Compression with Quadtrees	55					
	Y. Fi	isher						
	3.1	Encoding	55					
	3.2	Decoding	59					
	3.3	Sample Results	61					
	3.4	Remarks	72					
	3.5	Conclusion	75					

4	Archetype Classification in an Iterated Transformation Image Compression Algorithm	79		
	R.D. Boss and E.W. Jacobs			
	4.1 Archetype Classification	. 79		
	4.2 Results	. 82		
	4.3 Discussion	. 86		
5	Hierarchical Interpretation of Fractal Image Coding and Its Applications	91		
	Z. Baharav, D. Malah, and E. Karnin			
	5.1 Formulation of PIFS Coding/Decoding	. 92		
	5.2 Hierarchical Interpretation	. 98		
	5.3 Matrix Description of the PIFS Transformation	. 100		
	5.4 Fast Decoding	. 102		
	5.5 Super-resolution	. 104		
	5.6 Different Sampling Methods	. 109		
	5.7 Conclusions	. 110		
	A Proof of Theorem 5.1 (Zoom)	. 111		
	B Proof of Theorem 5.2 (PIFS Embedded Function)	. 112		
	C Proof of Theorem 5.3 (Fractal Dimension of the PIFS Embedded Function).	. 115		
6	Fractal Encoding with HV Partitions	119		
	Y. Fisher and S. Menlove	110		
	6.1 The Encoding Method	. 119		
	6.2 Efficient Storage	. 122		
	6.3 Decoding	. 123		
	6.4 Results	. 126		
	$6.5  \text{More Discussion}  \dots  \dots  \dots  \dots  \dots  \dots  \dots  \dots  \dots  $			
	0.0 Other work	. 134		
7	A Discrete Framework for Fractal Signal Modeling			
	7.1. Sampled Signals Pieces and Piecewise			
	Self_transformability	138		
	7.2 Self-transformable Objects and Fractal Coding	142		
	7.3 Eventual Contractivity and Collage Theorems	14?		
	7.4 Affine Transforms	144		
	7.5 Computation of Contractivity Factors	14		
	7.6 A Least-squares Method	148		
	77 Conclusion	. 150		
	A Derivation of Equation (7.9)	151		
8	A Class of Fractal Image Coders with Fast Decoder Convergence			
	G. E. Øien and S. Lepsøy			
	8.1 Affine Mappings on Finite-Dimensional Signals	154		
	8.2 Conditions for Decoder Convergence	156		
	8.3 Improving Decoder Convergence	157		

	8.4 8 5	Collage Optimization Revisited	168
	0.J 8.6	A Generalized Sufficient Condition for Last Decoding	174
	0.0 8 7		174
	0.7		1/4
9	Fast	Attractor Image Encoding by Adaptive Codebook Clustering	177
	9.1	Notation and Problem Statement	178
	9.1	Complexity Reduction in the Encoding Step	170
	0.3	How to Choose a Block	191
	9.5 Q /		187
	9. <del>4</del> 0.5	Two Methods for Computing Cluster Conters	102
	9.J 0.6	Selecting the Number of Chasters	100
	9.0		109
	9.7		192
	9.8		197
	9.9		197
10	Orth	ogonal Basis IFS	199
	G. V.	ines	201
	10.1	Orthonormal Basis Approach	201
	10.2		208
	10.3	Construction of Coders	209
	10.4	Comparison of Results	209
	10.5	Conclusion	214
11	A Co	onvergence Model	215
	B. Bi	elefeld and Y. Fisher	
	11.1	The $\tau$ Operator	215
	11.2	$L^p$ Convergence of the RIFS Model	218
	11.3	Almost Everywhere Convergence	223
	11.4	Decoding by Matrix Inversion	227
12	Leas F. Di	t-Squares Block Coding by Fractal Functions	229
	12.1	Fractal Functions	229
	12.2	Least-Squares Approximation	232
	12.3	Construction of Fractal Approximation	237
	12.4	Conclusion	240
13	Infe	rence Algorithms for WFA and Image Compression	243
	<i>K</i> . <i>C</i>	ulik II and J. Kari	
	13.1	Images and Weighted Finite Automata	244
	13.2	The Inference Algorithm for WFA	250
	13.3	A Fast Decoding Algorithm for WFA	253
	13.4	A Recursive Inference Algorithm for WFA	254
			•

A	Sample Code				
	Y. Fisher				
	A.1 The Enc Manual Page	259			
	A.2 The Dec Manual Page	262			
	A.3 Enc.c	264			
	A.4 Dec.c	278			
	A.5 The Encoding Program	286			
	A.6 The Decoding Program	289			
	A.7 Possible Modifications	290			
В	Exercises	293			
	Y. Fisher				
С	Projects	297			
	Y. Fisher				
	C.1 Decoding by Matrix Inversion	297			
	C.2 Linear Combinations of Domains	297			
	C.3 Postprocessing: Overlapping, Weighted Ranges, and Tilt	298			
	C.4 Encoding Optimization	299			
	C.5 Theoretical Modeling for Continuous Images	299			
	C.6 Scan-line Fractal Encoding	300			
	C.7 Video Encoding	300			
	C.8 Single Encoding of Several Frames	300			
	C.9 Edge-based Partitioning	301			
	C.10 Classification Schemes	301			
	C 11 From Classification to Multi-dimensional Keys	302			
	D. Saupe	002			
	C.12 Polygonal Partitioning	305			
	C.13 Decoding by Pixel Chasing	305			
	C.14 Second Iterate Collaging	307			
	C.15 Rectangular IFS Partitioning	307			
	C.16 Hexagonal Partitioning	308			
	C.17 Parallel Processing	309			
	C.18 Non-contractive IFSs	309			
D	Comparison of Results	311			
	Y. Fisher				
E	Original Images	317			
	Bibliography				
	Index	331			