

# Development of NFIQ 2.0

## Quality Feature Definitions Version 0.4



## Table of Contents

Notation.....	3
Frequency Domain Analysis .....	3
Gabor .....	5
Gabor Segment.....	8
Gabor Shen.....	11
Local Clarity Score .....	14
Mu .....	18
Mu Mu Block.....	18
Mu Mu Sigma Block.....	19
Mu Sigma Block.....	19
Orientation Certainty Level .....	19
Orientation Flow.....	21
Radial Power Spectrum.....	24
Ridge Valley Uniformity .....	26
Sigma .....	28
Sigma Mu Block.....	29
References.....	29

### Notation

$X$	Image width in pixels (horizontal)
$Y$	Image height in pixels (vertical)
$I(x, y)$	Image location where $I(1,1)$ denotes the pixel in the upper left corner
$M$	Number of blocks horizontally
$N$	Number of blocks vertically
$V(i, j)$	Image block where $V(1,1)$ denotes the block in the upper left corner

### Frequency Domain Analysis

Origin	ISO/IEC TR 29794-4:2010 (ISO/IEC, 2010) – Clause 6.2.2.3
NFIQ2.0 identifier	FDA_#
Short acronym	

### Description

The Frequency Domain Analysis algorithm operates in a block-wise manner. A signature of the ridge-valley structure is extracted and the DFT is computed to determine the frequency of the sinusoid following the ridge-valley structure.

### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels
$I_{mask}$	-	Segmentation mask

### Extracting the ridge-valley signature

$$T(x) = \frac{1}{2r + 1} \sum_{k=-r}^r I(x, k)$$

### Computing the Frequency Domain Analysis score

$$Q_{FDA} = \frac{A(F_{max}) + 0.3(A(F_{max} - 1) + A(F_{max} + 1))}{\sum_{F=1}^{N/2} A(F)}$$

### Algorithm

1. For each block of size  $B_h * B_w$  determine the dominant ridge flow orientation
2. Rotate the block such that the dominant ridge flow is perpendicular to the x-axis
3. Crop regions of block such that no invalid regions are included in the block
4. Calculate the mean pixel intensity value  $T(x)$  for the block to extract the ridge-valley structure
5. Calculate the Fourier spectrum of  $T(x)$
6. Discard the DC component of  $T(x)$  and determine the term  $F_{max}$  with the highest magnitude  $A(F_{max})$
7. The final Frequency Domain Analysis score is the mean of scores assigned to foreground blocks as defined by  $I_{mask}$ .

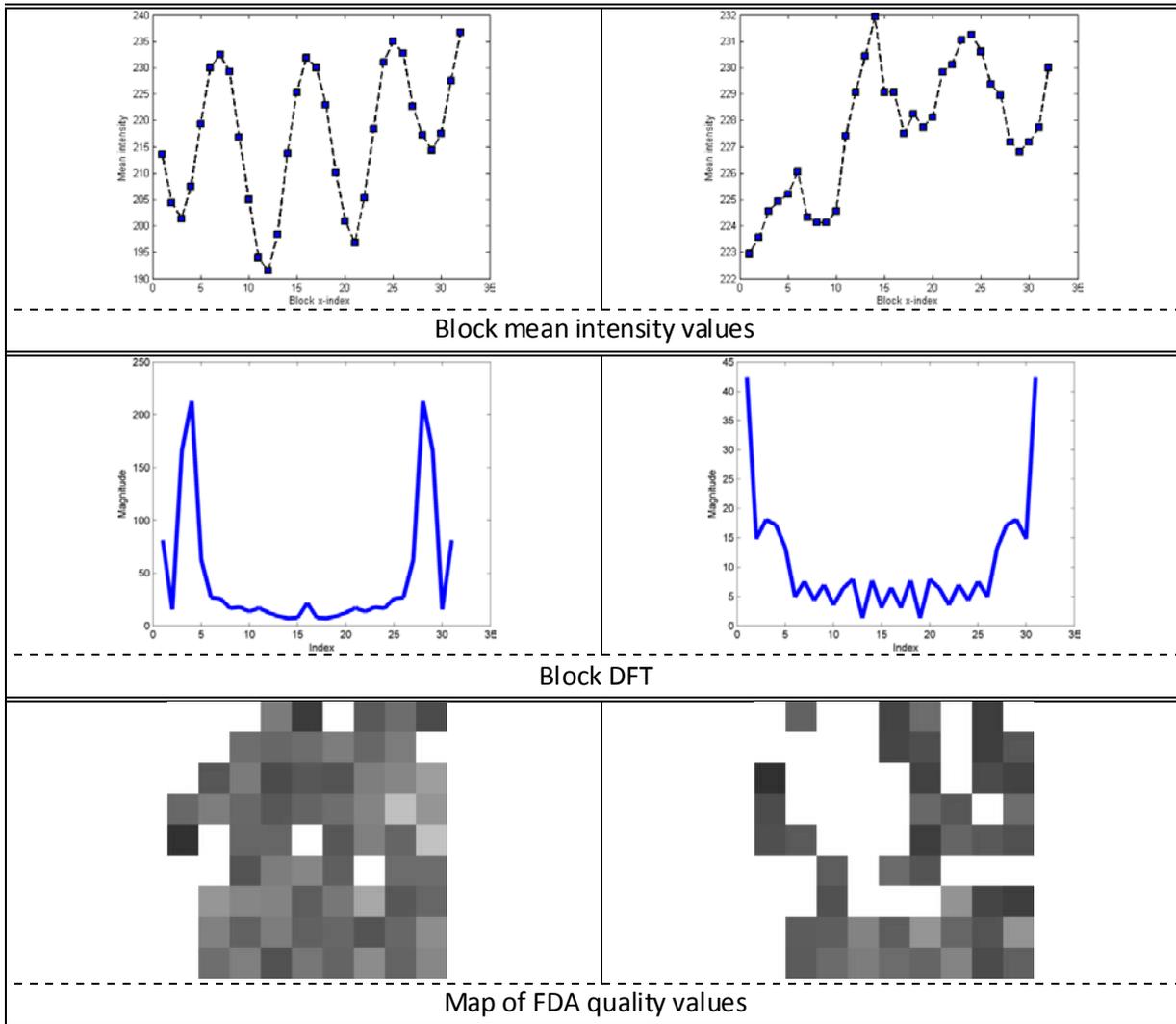
**Notes**

The value of  $Q_{FDA}$  is undefined if  $F_{max} = 1$  or  $F_{max} = A(end)$  as  $A(0)$  is not a valid index. Workaround in that case is to set  $Q_{FDA} = 1$ .

**Processing**

Input (FVC2000Db1 1_1.bmp)	Input (FVC2000Db1 100_1.bmp)
Input with block grid and current block marked in blue	
Zoomed view of current block	
Block rotated	
Block cropped	

## NFIQ2.0: Quality Feature Definitions



### Gabor

Origin	Olsen, Xu, Busch, Gabor Filters as Candidate Quality Measure for NFIQ 2.0 in ICB 2012
NFIQ2.0 identifier	GABOR_#
Short acronym	GAB

#### Description

The Gabor quality feature operates on a per-pixel basis by calculating the standard deviation of the Gabor filter bank responses. The size of the filter bank is used to determine a number of filters oriented evenly across the half circle. The strength of the response at a given location corresponds to agreement between filter orientation and frequency in the location neighborhood. For areas in the fingerprint image with a regular ridge-valley pattern there will be a high response from one or a few filter orientations. In areas containing background or unclear ridge-valley structure the Gabor response of all orientations will be low and constant.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
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$I$	-	Input image
$\sigma_x$	6	2D Gaussian standard deviation in x-direction
$\sigma_y$	6	2D Gaussian standard deviation in y-direction
$n$	4	Size of filter bank (orientations of the Gabor wave)
$f$	0.1	Gabor filter frequency

**The Gabor filter**

The general form of the complex 2D Gabor(Daugman, 1985) filter  $h_{Cx}$  in the spatial domain is given by:

$$h_{Cx}(x,y;f,\theta,\sigma_x,\sigma_y) = \exp\left(-\frac{1}{2}\left(\frac{x_\theta^2}{\sigma_x^2} + \frac{y_\theta^2}{\sigma_y^2}\right)\right) \exp(j2\pi f x_\theta)$$

where

$$\begin{aligned} x_\theta &= x \sin \theta + y \cos \theta \\ y_\theta &= x \cos \theta - y \sin \theta \end{aligned}$$

and  $f$  is the frequency (cycles/pixel) of the sinusoidal plane wave along the orientation  $\theta$ . The size of the Gaussian smoothing window is determined by  $\sigma_x, \sigma_y$ .

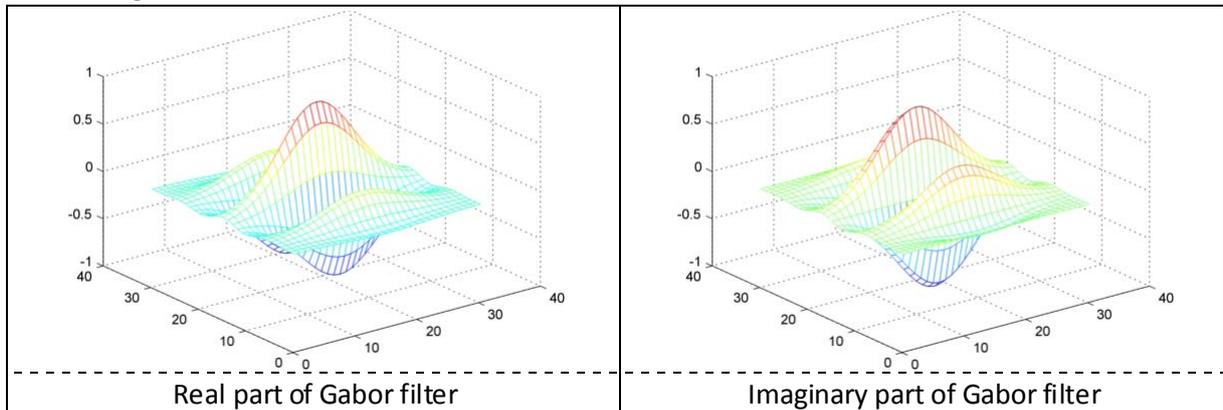
The filter bank size  $n$  is used to compute the differently oriented Gabor filters composing the filter bank. The computation of  $\theta$  given  $n$  is as follows:

$$\theta = \frac{k - 1}{n\pi}, k = 1, \dots, n$$

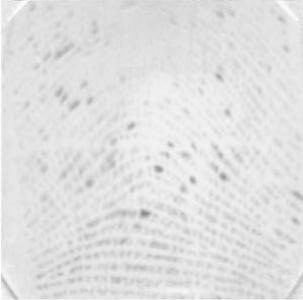
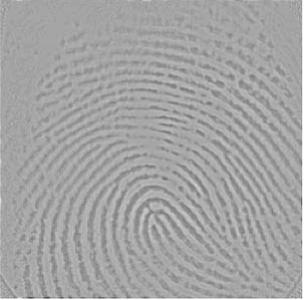
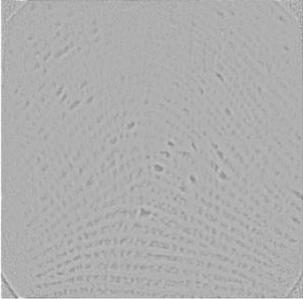
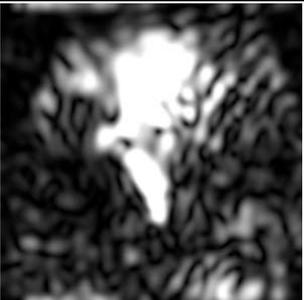
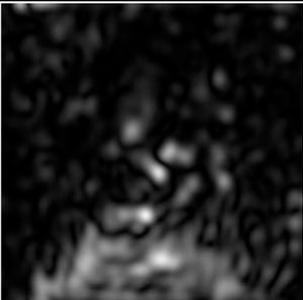
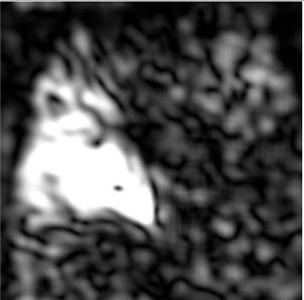
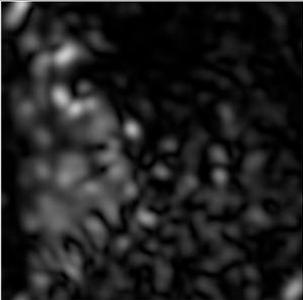
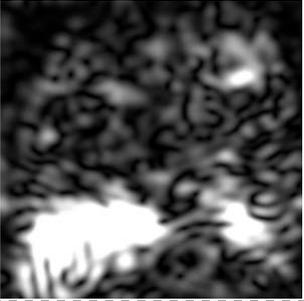
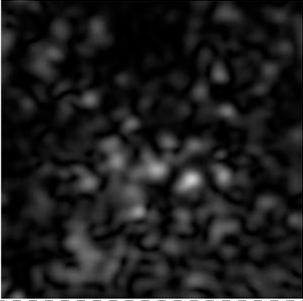
**Algorithm**

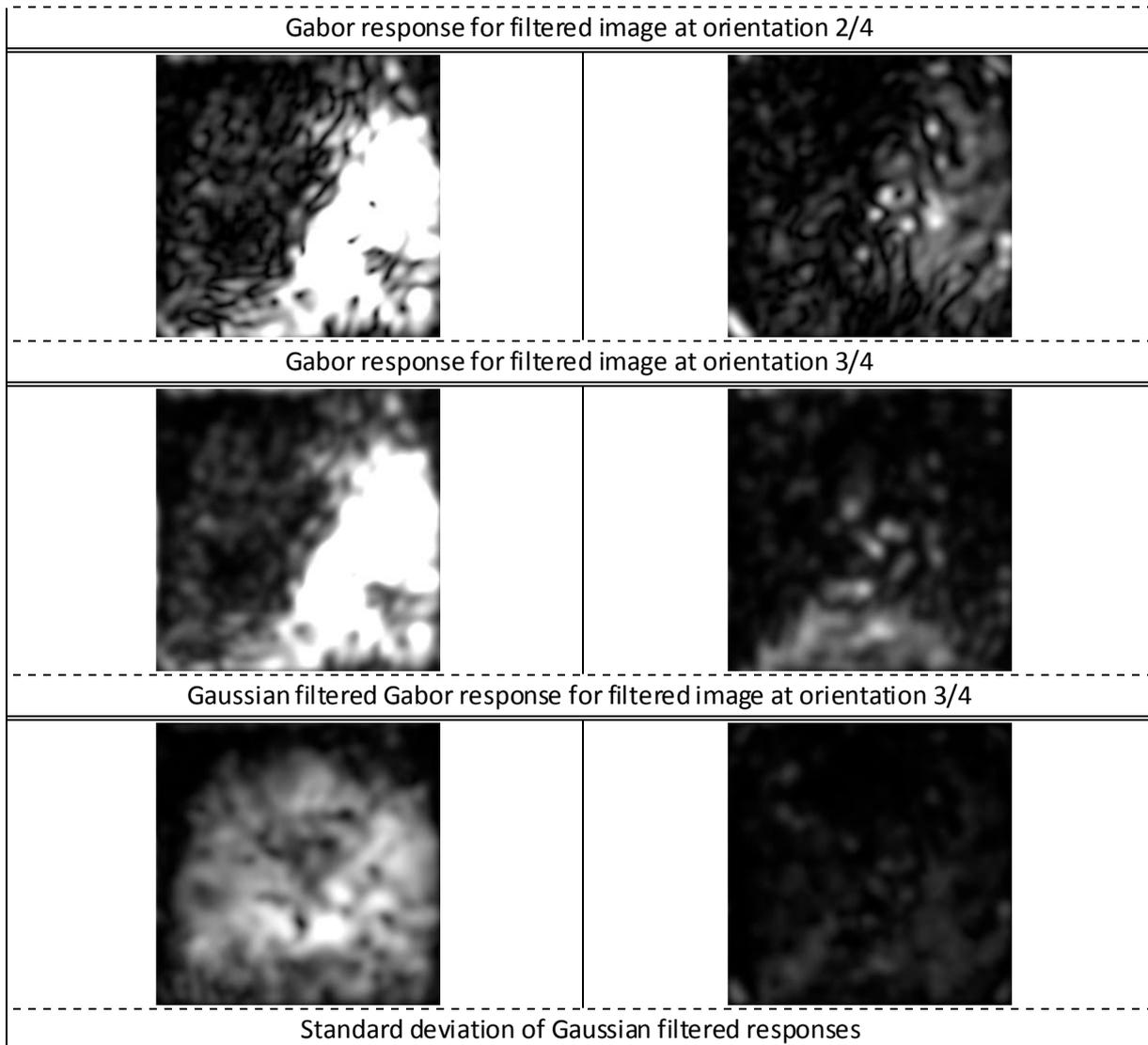
1. Convolve input image with a 2D Gaussian kernel with  $\sigma = 1$  and subtract it from the input image to give  $\bar{I}$
2. Compute the Gabor response of  $\bar{I}$  for each orientation  $\theta$
3. Convolve the magnitude (complex modulus) of each Gabor response with a 2D Gaussian kernel with  $\sigma = 4$
4. Compute the standard deviation of the Gabor magnitude response values at each location yielding a map of standard deviations.
5. Sum the map of standard deviations and normalize according to number of sample points (typically image size) to produce the final Gabor quality score.

**Processing**



NFIQ2.0: Quality Feature Definitions

	
Input (FVC2000Db1 1_1.bmp)	Input (FVC2000Db1 100_1.bmp)
	
Subtraction of image convolved with Gaussian.	
	
Gabor response for filtered image at orientation 0	
	
Gabor response for filtered image at orientation 1/4	
	



### Gabor Segment

Origin	
NFIQ2.0 identifier	GS_#
Short acronym and alternate identifier	GSG, GaborSeg

#### Description

Same as Gabor with the exception that the image is initially convolved with a 2D Gaussian kernel with  $\sigma = 8$  instead of  $\sigma = 1$ . Additionally a segmentation to 2 levels is applied before computing the final quality score.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$\sigma_x$	6	2D Gaussian standard deviation in x-direction

$\sigma_y$	6	2D Gaussian standard deviation in y-direction
$n$	4	Size of filter bank (orientations of the Gabor wave)
$f$	0.1	Gabor filter frequency

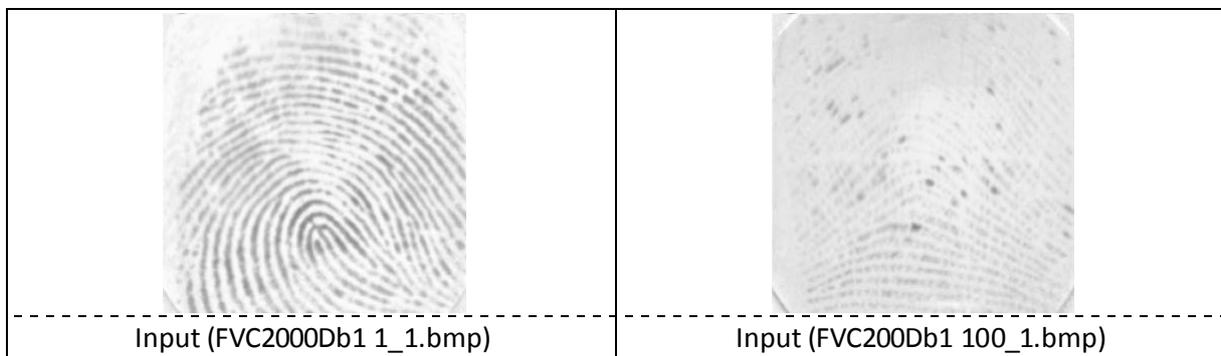
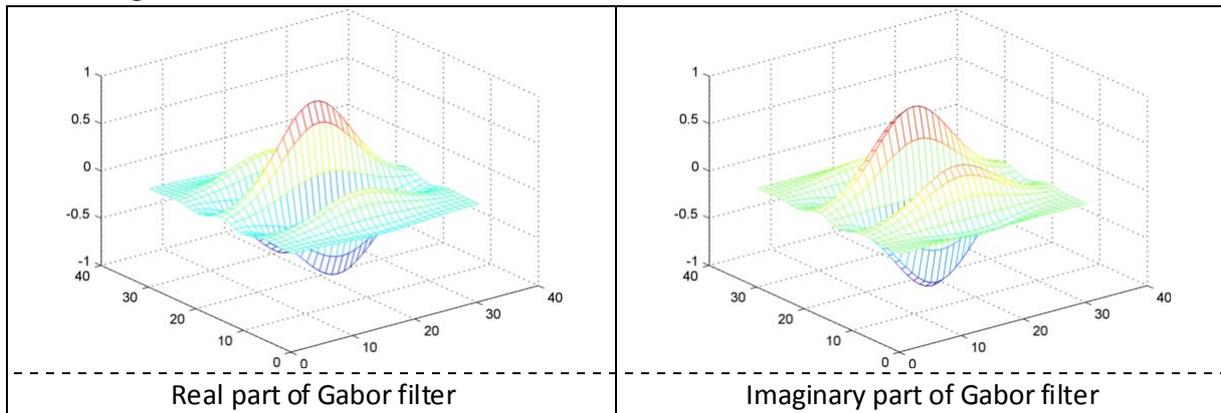
**Segment to two levels**

Segmenting the map of standard deviations into two levels is done by first determining the cumulative distribution function for pixel intensity values. Next a threshold is determined such that the probability of a pixel belonging to background is the same as that for belonging to the foreground.

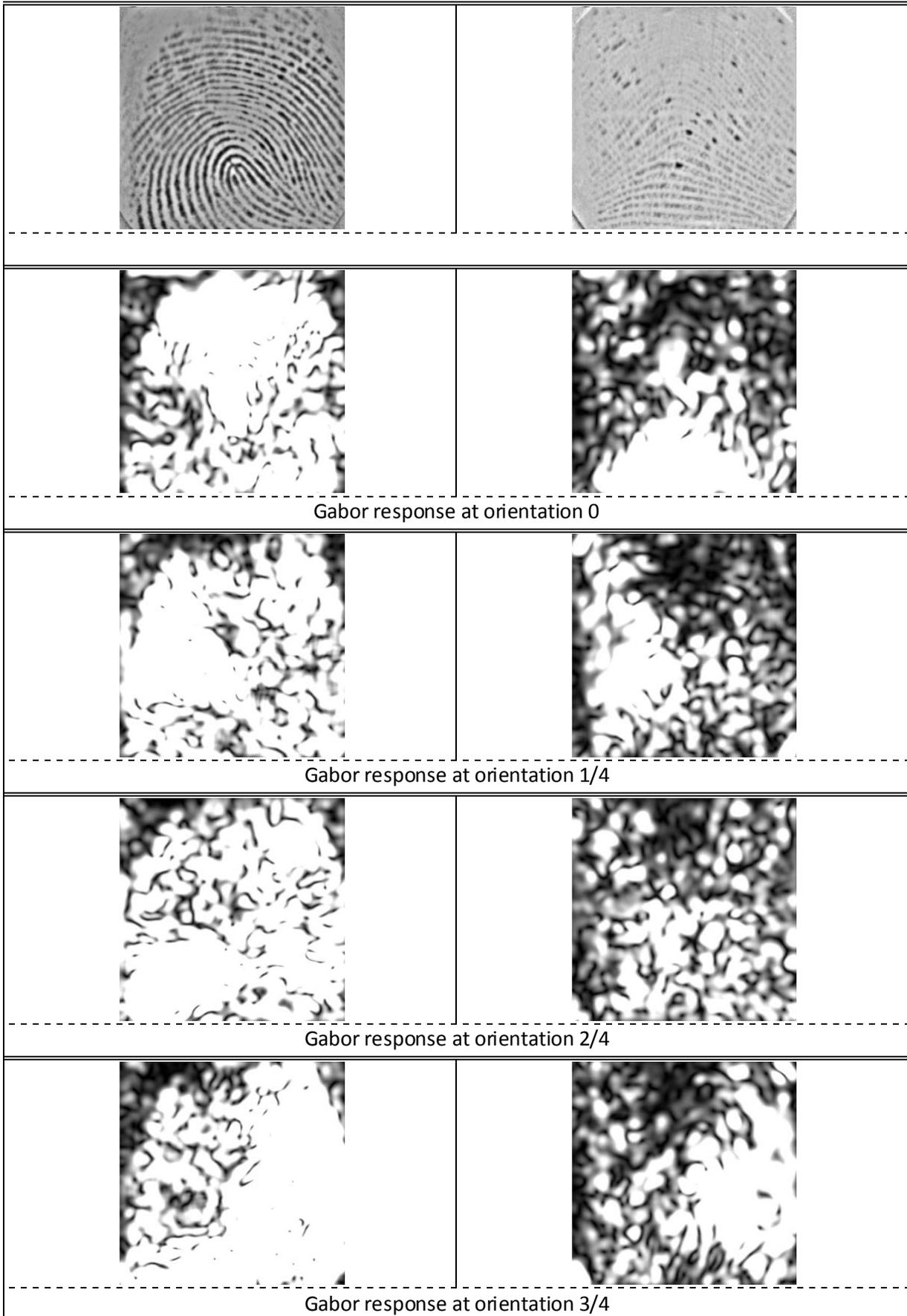
**Algorithm**

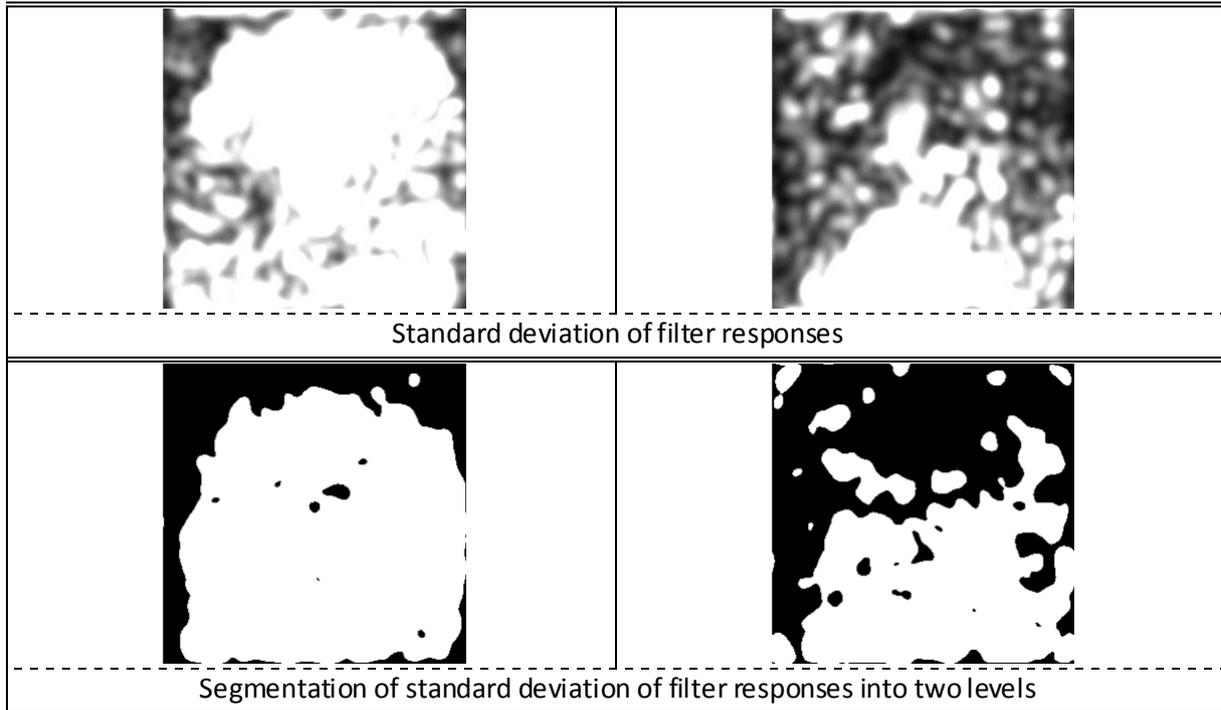
1. Convolve input image with a 2D Gaussian kernel with  $\sigma = 8$
2. Compute the Gabor response of the image for each orientation
3. Convolve the magnitude (complex modulus) of each Gabor response with a 2D Gaussian kernel with  $\sigma = 4$
4. Compute the standard deviation of the Gabor magnitude response values at each location yielding a map of standard deviations.
5. Segment the standard deviation map into two levels.
6. Sum the map standard deviations and normalize according to number of sample points (typically image size) to produce the final Gabor quality score.

**Processing**



NFIQ2.0: Quality Feature Definitions





**Gabor Shen**

Origin	L. Shen, A. C. Kot, and W. M. Koo. Quality measures for fingerprint images. In AVBPA, 2001
NFIQ2.0 identifier	GSh_#
Short acronym	GSH

**Description**

Gabor based feature separating blocks into two classes: good and bad. Quality is the ratio between foreground blocks and blocks marked as good.

**Variables**

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$T_b$	1	Threshold for foreground/background segmentation
$T_q$	2	Threshold for poor/good block segmentation

**Algorithm**

1. Compute the Gabor response of  $\bar{I}$  for each orientation  $\theta$
2. Computed the standard deviation of the Gabor magnitude response values at each location yielding a map of standard deviations.
3. Divide the map of standard deviations into blocks of size  $b * b$
4. Compute the mean value of each block  $\mu_i$
5. Determine the set of blocks,  $V_F$ , belonging to the foreground as those where  $\mu_i > T_b$
6. Determine the set of blocks,  $V_P$ , which are of poor quality as those where  $(\mu_i > T_b) \wedge (\mu_i < T_q)$

7. The final score  $Q_{GABORSHEN}$  is determined as the ratio between  $V_F$  and  $V_P$ .

**Recommendations**

Suggested by Shen et. al.:

$$\sigma_x = \sigma_y = 4$$

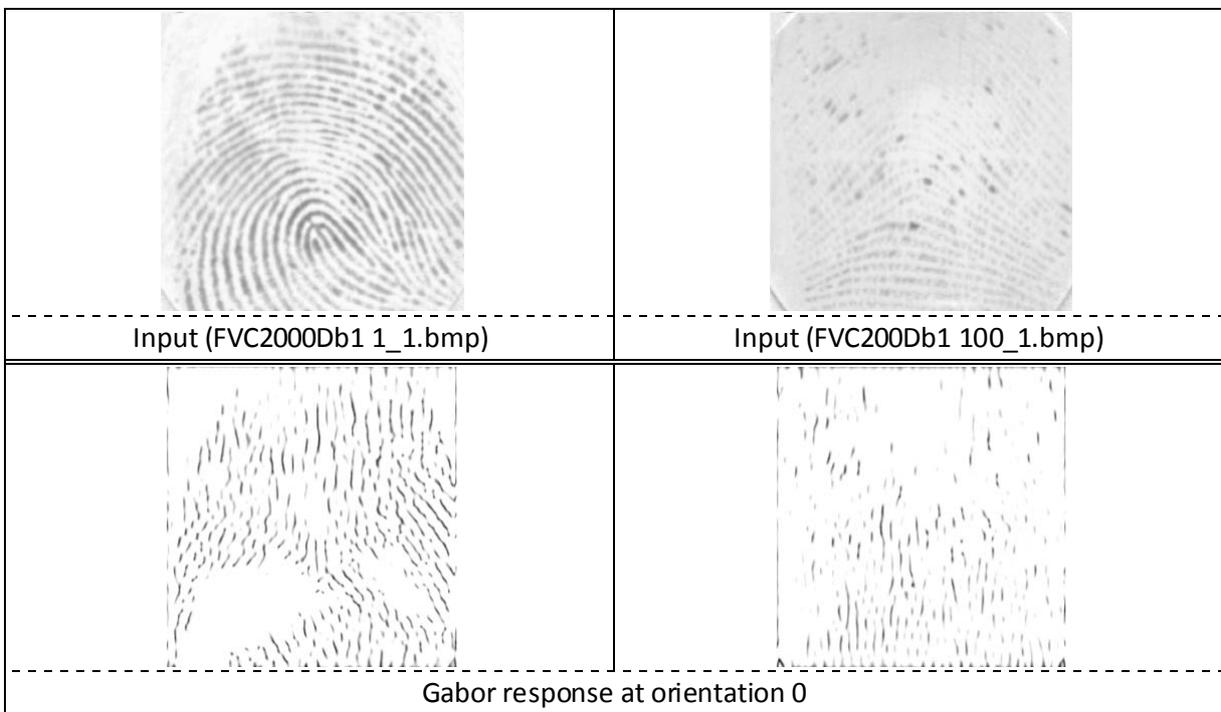
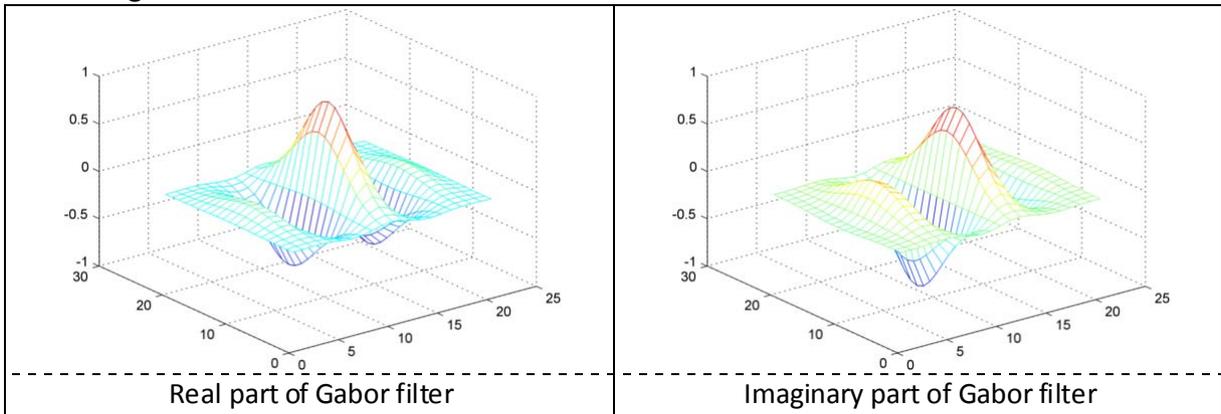
$$f = 0.12$$

$$n = 8$$

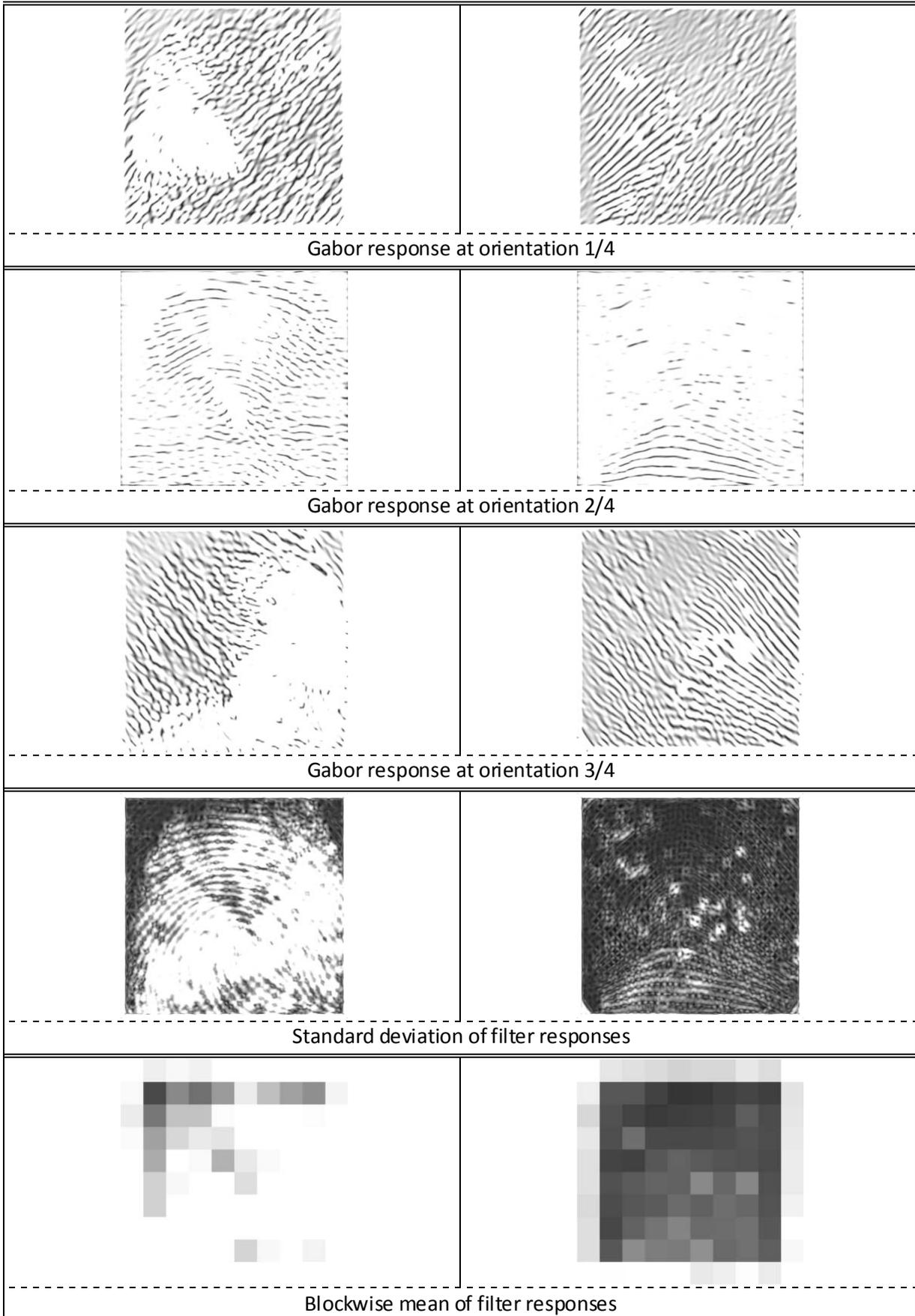
$$b = 30$$

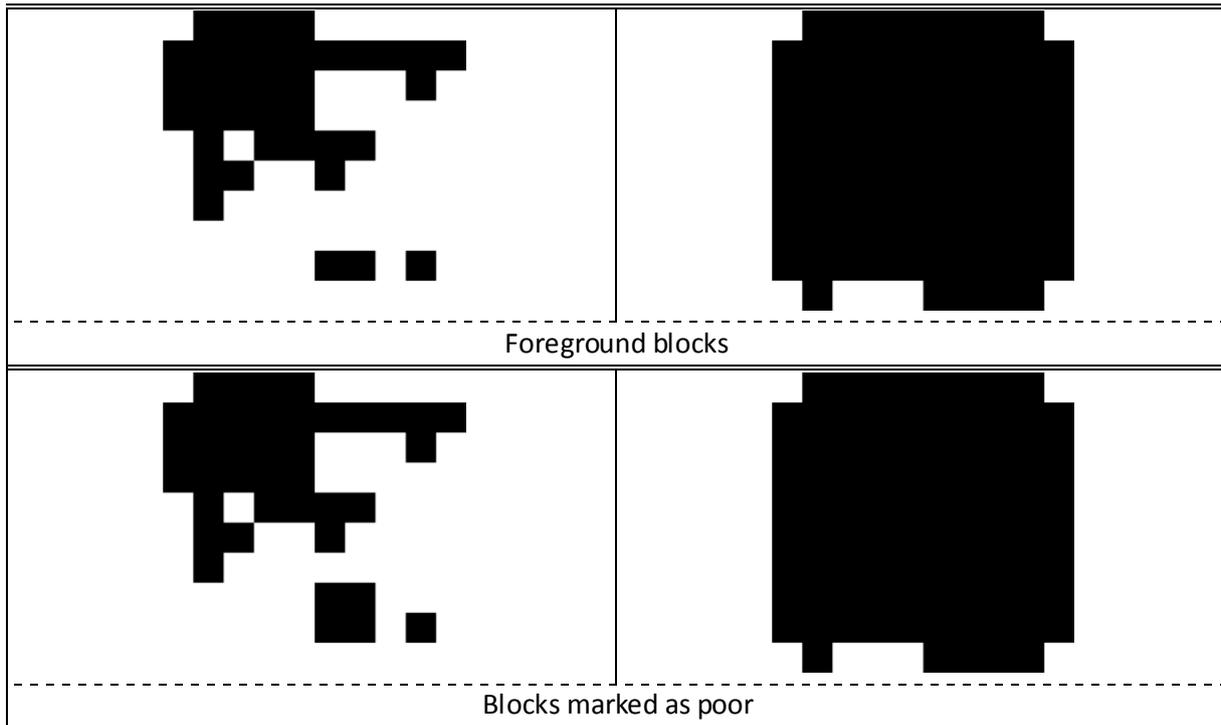
$T_b$  and  $T_q$  are manually determined according to dataset.

**Processing**



NFIQ2.0: Quality Feature Definitions





### Local Clarity Score

Origin	ISO/IEC TR 29794-4:2010 (ISO/IEC, 2010) – Clause 6.2.2.2
NFIQ2.0 identifier	LCS_#
Short acronym and alternate identifier	LCS, Ridge-valley Structure

### Description

Local Clarity Score (LCS) computes the block wise clarity of ridge and valleys by applying linear regression to determine a gray-level threshold, classifying pixels as ridge or valley. A ratio of misclassified pixels is determined by comparing with the normalized ridge and valley width of that block.

### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels
$I_{mask}$	-	Segmentation mask

### Computing the average profile of a block

Given the block  $V_2$  the average profile is obtained by

$$V_3(x) = \frac{\sum_{y=1}^M V_2(x,y)}{M}$$

where  $M$  is the height of the block.

**Determining the proportion of misclassified pixels**

For a block  $V_2$  there are  $v_T$  pixels in the valley region and  $v_B$  pixels in the valley region with intensity lower than a threshold  $DT$ . Similarly there are  $r_T$  pixels in the ridge region and  $r_B$  pixels in the ridge region with intensity lower than a threshold  $DT$ .  $\alpha$  and  $\beta$  are expressions of these ratios.

$$\alpha = \frac{v_B}{v_T}$$

$$\beta = \frac{r_B}{r_T}$$

**Determining the normalized ridge and valley width**

The normalized valley width  $\overline{W}_v$  and the normalized ridge width  $\overline{W}_r$  are determined

$$\overline{W}_v = \frac{W_v}{\left(\frac{S}{125}\right) W^{max}}$$

$$\overline{W}_r = \frac{W_r}{\left(\frac{S}{125}\right) W^{max}}$$

where  $S$  is the scanner resolution in dpi,  $W^{max}$  is the estimated ridge or valley width for an image with 125 dpi resolution, and  $W_v$  and  $W_r$  are the observed valley and ridge widths. According to []  $W^{max} = 5$  is reasonable for 125 dpi resolution.

**Computing the Local Clarity Score**

The final quality score is computed using the average value of  $\alpha$  and  $\beta$  in valid ridge and valley regions:

$$Q_{LCS} = \begin{cases} \left(1 - \left(\frac{\alpha + \beta}{2}\right)\right) * 100, & (W_v^{nmin} < \overline{W}_v < W_v^{nmax}) \wedge (W_r^{nmin} < \overline{W}_r < W_r^{nmax}) \\ 0, & otherwise \end{cases}$$

where  $W_r^{nmin}$  and  $W_v^{nmin}$  are the minimum values for the normalized ridge and valley width, and  $W_v^{nmax}$  and  $W_r^{nmax}$  are the maximum values for the normalized ridge and valley width.

**Algorithm**

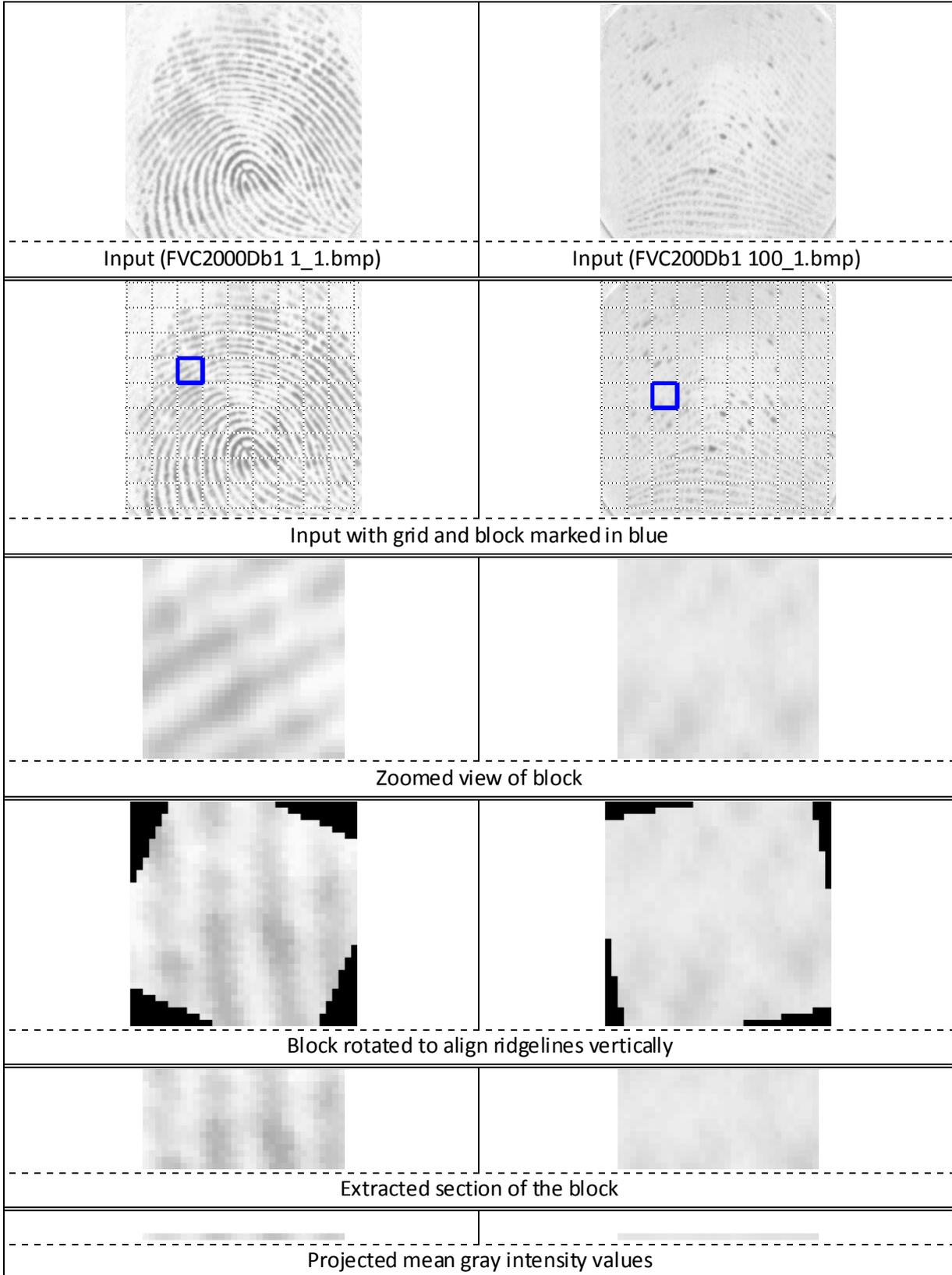
1. For each block  $V_0$  in the image determine the dominant ridge flow orientation to create an orientation line which is perpendicular to the ridge flow
2. Align  $V_0$  such that the orientation line is horizontal to create  $V_1$
3. From  $V_1$  extract a block  $V_2$  which is centered around the orientation line
4. Compute the average profile  $V_3$  of  $V_2$
5. Determine a threshold  $DT$  by applying linear regression on  $V_3$
6. Determine the proportion of misclassified pixels  $\beta$  and  $\alpha$  in the ridge and valley regions
7. Determine the normalized ridge width and valley width  $W_r$  and  $W_v$ .
8. Compute the final quality score  $Q_{LCS}$ .

**Further Comments**

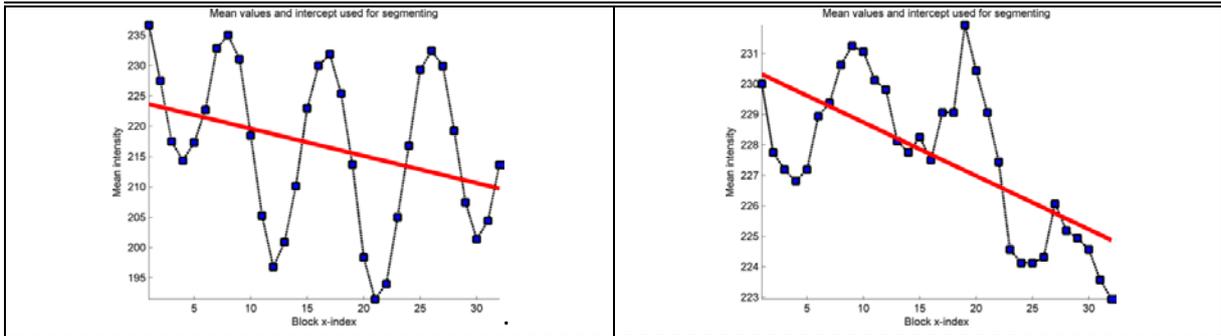
Particular regions inherent in a fingerprint will negatively affect  $Q_{LCS}$ . For example, ridge endings and bifurcations or areas with high curvature such as those commonly found in core and delta points.

NFIQ2.0: Quality Feature Definitions

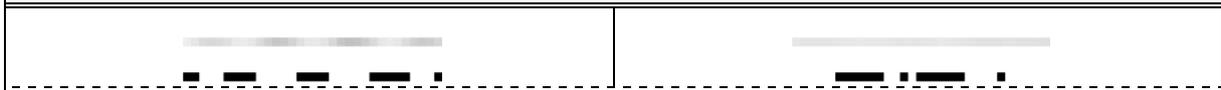
Processing



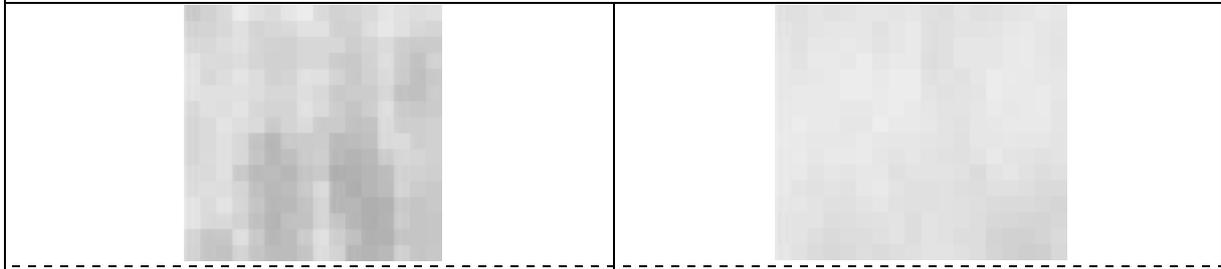
## NFIQ2.0: Quality Feature Definitions



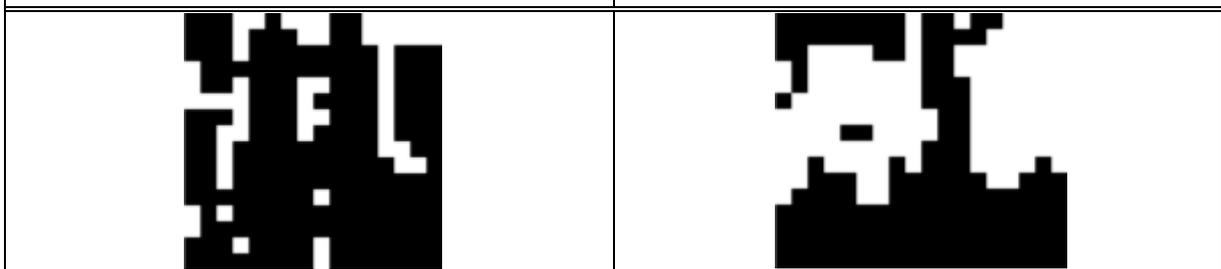
Ridge-valley profile as found by mean values. Red line indicates the threshold for ridge-valley separation



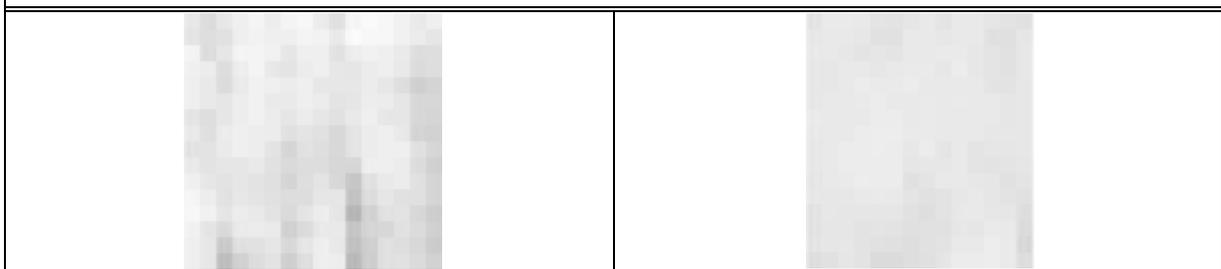
Ridge-valley segmentation. Ridges shown in black, valleys in white. The mean intensity values are shown above for comparison.



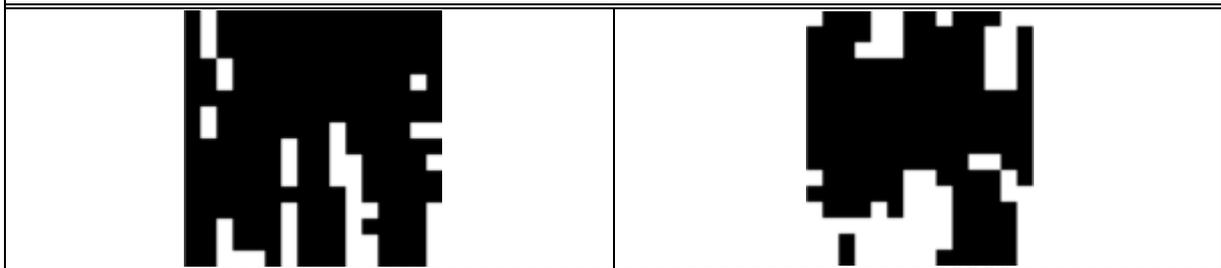
Ridge areas composed into one block.

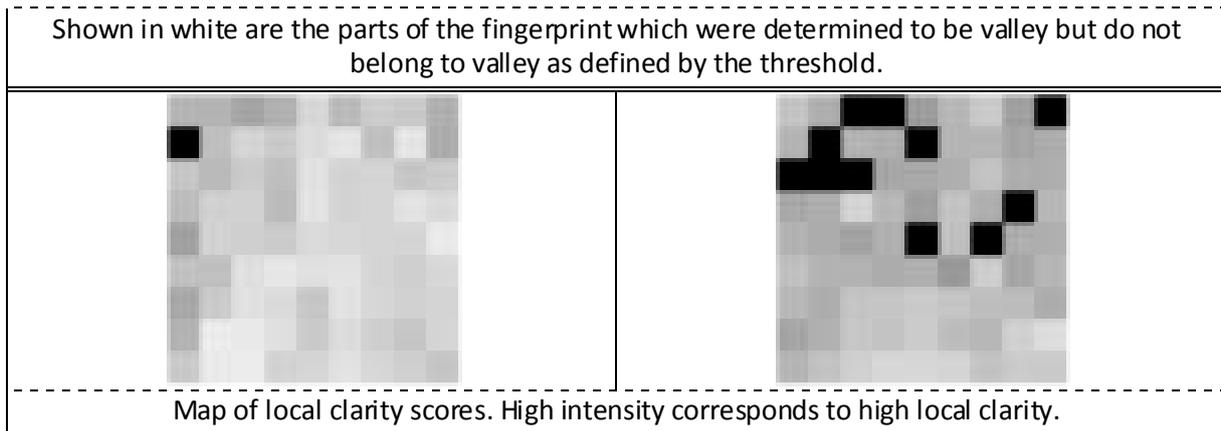


Shown in white are the parts of the fingerprint which were determined to be ridge but do not belong to ridge as defined by the threshold.



Valley areas composed into one block.





### Mu

Origin	
NFIQ2.0 identifier	Mu_#
Short acronym	MUQ

### Description

Mu is the mean pixel intensity value in the input image.

### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image

### Algorithm

$$Q_{MU} = \frac{1}{X * Y} \sum_{y=1}^Y \sum_{x=1}^X I(x, y)$$

### Mu Mu Block

Origin	
NFIQ2.0 identifier	MMB_#
Short acronym	MMB

### Description

Mu Mu Block is the mean of the block wise mean pixel intensity value in the input image.

### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels

### Mu Mu Sigma Block

Origin	
NFIQ2.0 identifier	MMSB_#
Short acronym	MMSB

#### Description

Mu Mu Sigma Block is the mean of the block wise standard deviation pixel intensity value in the input image subtracted the block wise standard deviation.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels

### Mu Sigma Block

Origin	
NFIQ2.0 identifier	MSB_#
Short acronym	MSB

#### Description

Mu Sigma Block is the mean of the block wise standard deviation pixel intensity value in the input image.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels

### Orientation Certainty Level

Origin	ISO/IEC TR 29794-4: 2010 (ISO/IEC, 2010) - Clause 6.2.2.1
NFIQ2.0 identifier	OCL_#
Short acronym	OCL

#### Description

Orientation Certainty Level is a measure of the strength of the energy concentration along the dominant ridge flow orientation. The feature operates in a block-wise manner.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image

$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels
$I_{mask}$	-	Segmentation mask

**Computing the covariance matrix**

The covariance matrix  $C$  is computed as:

$$C = \frac{1}{N} \sum_N \left\{ \begin{bmatrix} dx \\ dy \end{bmatrix} \begin{bmatrix} dx & dy \end{bmatrix} \right\} = \begin{bmatrix} a & c \\ c & d \end{bmatrix}$$

where  $dx$  and  $dy$  represent the intensity gradient at that pixel.

**Computing the eigenvalues and the final quality score**

From the covariance matrix  $C$  the eigenvalues  $\lambda_{min}$  and  $\lambda_{max}$  are computed as:

$$\lambda_{min} = \frac{a + b - \sqrt{(a - b)^2 + 4c^2}}{2}$$

$$\lambda_{max} = \frac{a + b + \sqrt{(a - b)^2 + 4c^2}}{2}$$

this yields an orientation certainty level  $OCL$ :

$$OCL = 1 - \frac{\lambda_{min}}{\lambda_{max}}$$

which is a ratio in the interval  $[0,1]$  where 1 is highest certainty level and 0 is lowest.

**Algorithm**

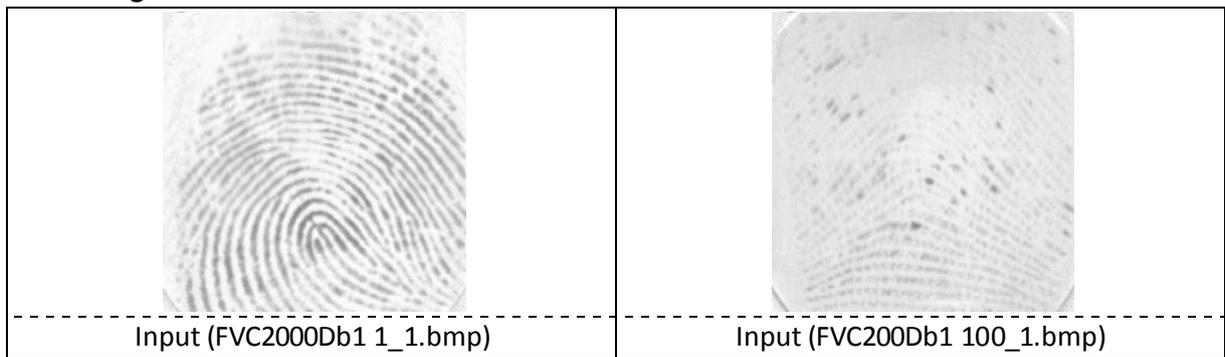
For each block  $b_i$

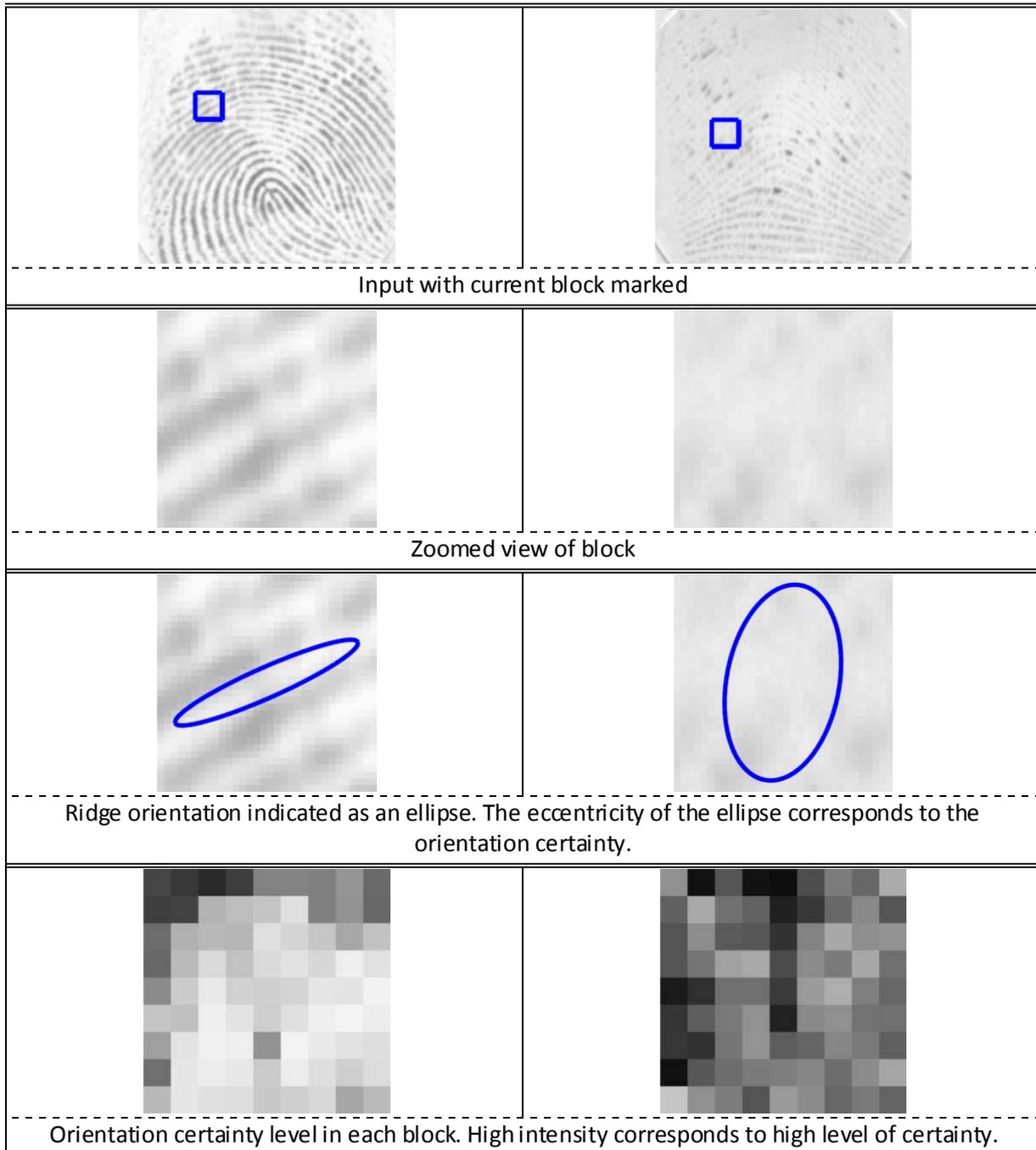
1. Compute the intensity gradient by applying the 3x3 Sobel operators
2. Compute the covariance matrix
3. Compute the eigenvalues to obtain  $OCL$

Finally compute the quality measure  $Q_{OCL}$  as:

$$Q_{OCL} = \frac{1}{B} \sum_{i=1}^B b_i$$

**Processing**





**Orientation Flow**

Origin	ISO/IEC TR 29794-4:2010 (ISO/IEC, 2010) - Clause 6.3.2.1
NFIQ2.0 identifier	OF_#
Short acronym	OF

**Description**

Orientation Flow is a measure of ridge flow continuity which is based on the absolute orientation difference between a block and its neighboring blocks.

**Variables**

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels
$I_{mask}$	-	Segmentation mask
$\theta_{min}$	0	Minimum angle difference to consider when computing the quality score

**Block-wise absolute orientation difference**

The ridge flow is determined as a measure of the absolute difference between a block and its neighboring blocks. The absolute difference for block  $V(i, j)$  is:

$$D(i, j) = \frac{\sum_{m=-1}^1 \sum_{n=-1}^1 |V(i, j) - V(i - m, j - n)|}{8}$$

**Local orientation quality score**

The local orientation quality score  $Q_{loc}(i, j)$  for the block orientation difference  $D(i, j)$  is determined as:

$$Q_{loc}(i, j) = \begin{cases} 100 & , \quad D(i, j) \leq \theta_{min} \\ \left(1 - \frac{D(i, j) - 8}{90 - 8}\right) * 100, & D(i, j) > \theta_{min} \end{cases}$$

where  $\theta_{min}$  is a threshold for minimum angle difference to consider.

**Global orientation quality score**

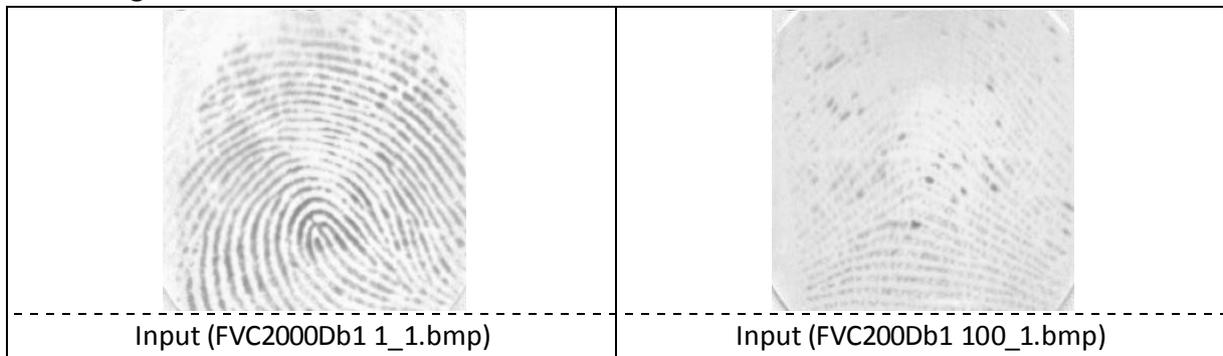
With  $N * M$  local orientation quality score blocks the global orientation quality score is computed as:

$$Q_{OF} = \frac{1}{N * M} \sum_{i=1}^N \sum_{j=1}^M Q_{loc}(i, j)$$

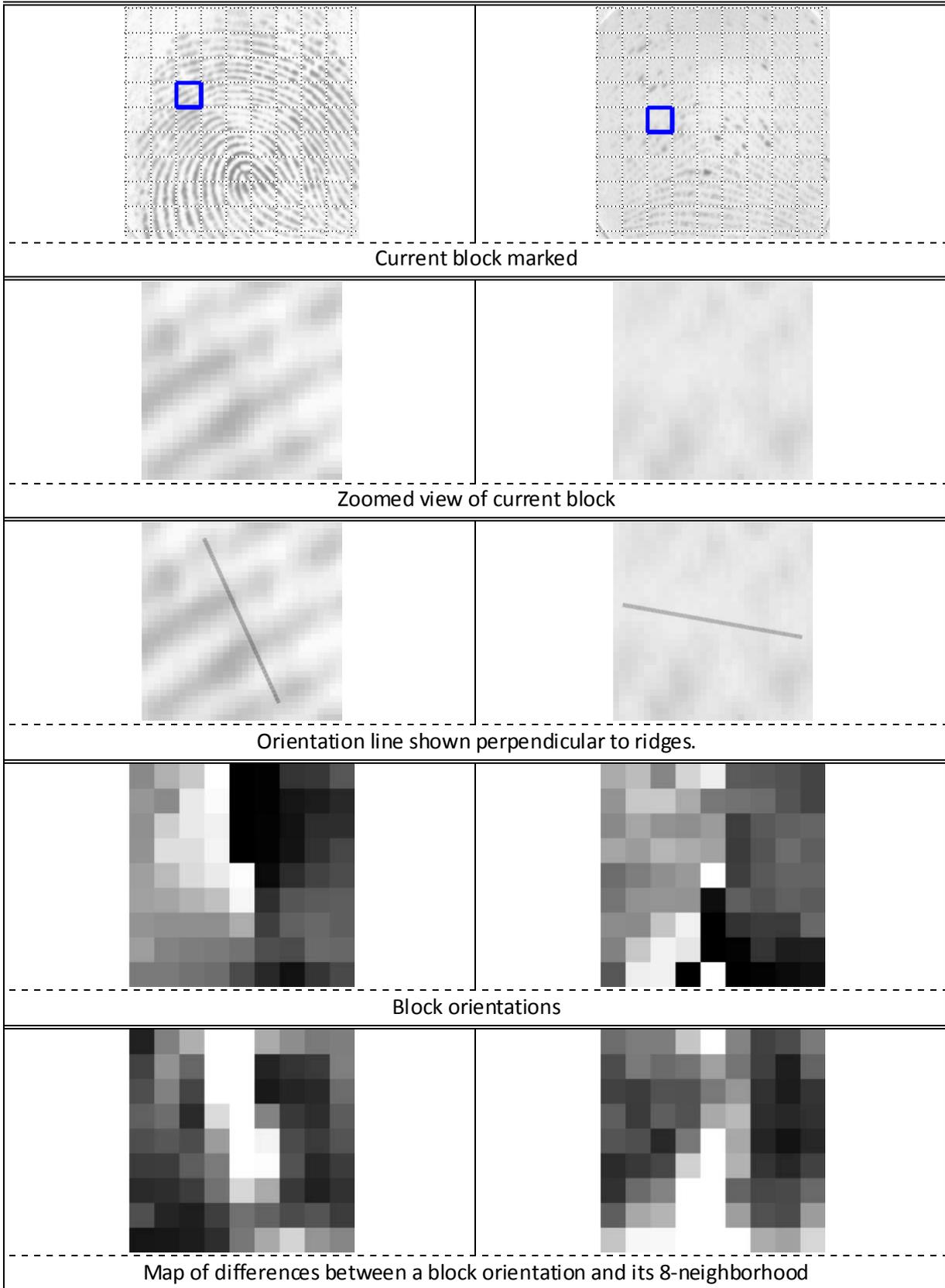
**Algorithm**

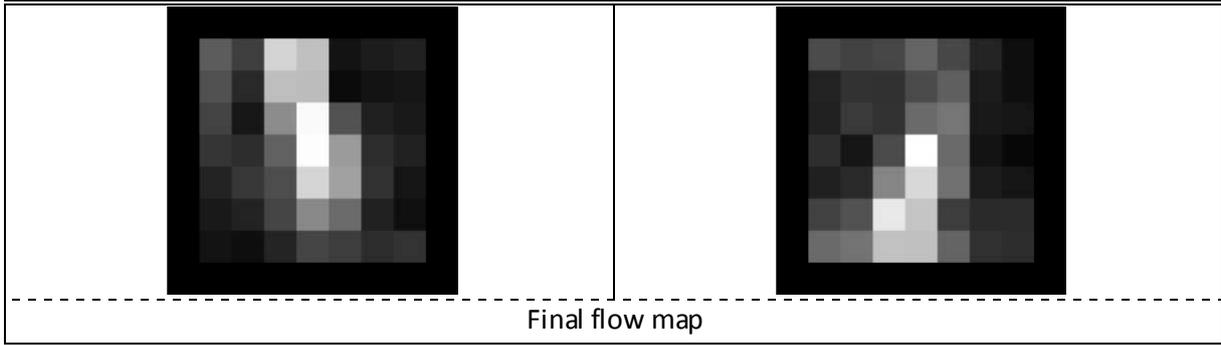
1. Compute the absolute orientation difference  $D(i, j)$  for each block  $V(i, j)$
2. Compute the local orientation quality score  $Q_{loc}(i, j)$  for  $D(i, j)$
3. Compute the global orientation flow quality score  $Q_{OF}$

**Processing**



NFIQ2.0: Quality Feature Definitions





### Radial Power Spectrum

Origin	ISO/IEC TR 29794-4:2010 (ISO/IEC, 2010) - Clause 6.3.2.3
NFIQ2.0 identifier	PS_#
Short acronym and alternate identifier	RPS, POW, Radial Power Spectrum

#### Description

The Radial Power Spectrum is a measure of maximal signal power in a defined frequency band of the global radial Fourier spectrum. Ridges can be locally approximated by means of a single sine wave, hence high energy concentration a narrow frequency band corresponds to consistent ridge structures.

#### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$r_{min}$	25	Lower bound of frequency band
$r_{max}$	84	Upper bound of frequency band
$\Delta_r$	30	Sampling step between annular bands in the frequency spectrum
$\theta$	180	Degrees of the spectrum to consider

#### The 2D Discrete Fourier Transform

The 2D discrete Fourier transform  $f(x, y)$  of  $I(x, y)$  is:

$$f(x, y) = \frac{1}{M * N} \sum_{m=0}^{M-1} \sum_{n=0}^{N-1} I(x, y) \exp\left(-j2\pi\left(\frac{m * x}{M} + \frac{n * y}{N}\right)\right)$$

and the magnitude of  $f(x, y)$  is:

$$F(x, y) = |f(x, y)|^2$$

#### Magnitude of frequency bands polar coordinates

The magnitude of the annular band between  $r$  and  $\Delta_r$  in the polar Fourier spectrum  $F(\alpha, r)$  is computed as:

$$J(r) = \frac{\sum_{\alpha=0}^{\pi} \sum_r^{r+\Delta_r} F(\alpha, r)}{\sum_{\alpha=0}^{\pi} \sum_{r_{min}}^{r_{max}} F(\alpha, r)}$$

where  $\alpha$  is the angle and  $r$  is the radius.

**Determine quality score from energy distribution**

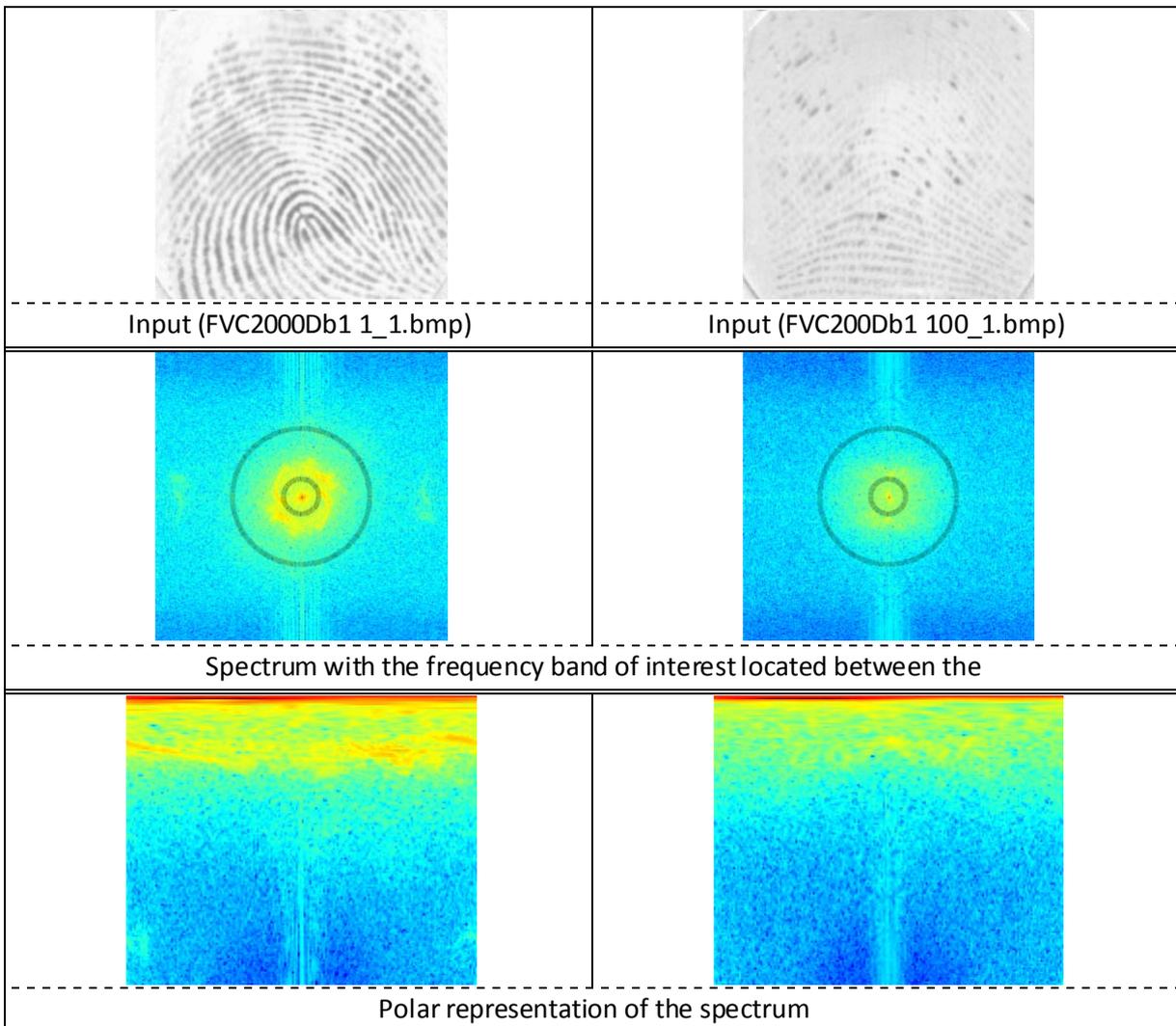
The quality feature  $Q_{POW}$  is found as:

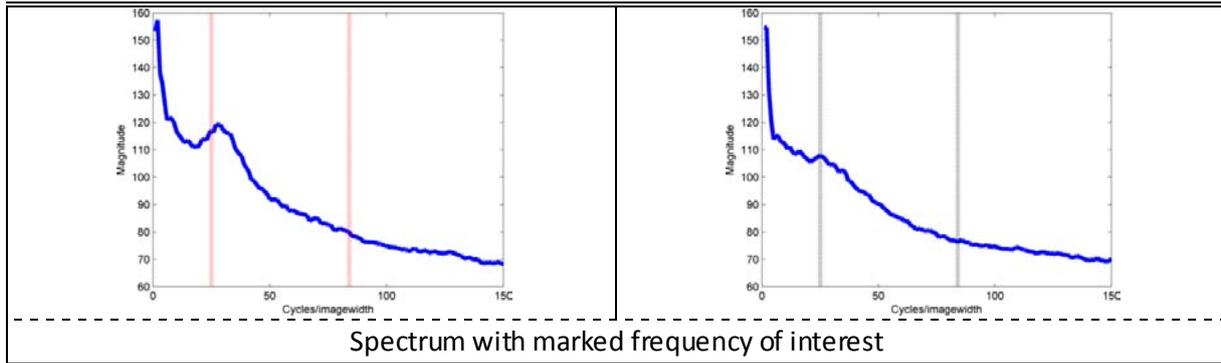
$$Q_{POW} = \max_{r \in [r_{min}, r_{max}]} J(r)$$

**Algorithm**

1. Compute the magnitude of the 2D-DFT  $F(x, y)$
2. Transform  $F(x, y)$  into polar coordinates and normalize to the range of [0,1]
3. Determine the maximum energy to compute  $Q_{POW}$

**Process**





### Ridge Valley Uniformity

Origin	ISO/IEC TR 29794-4:2010 (ISO/IEC, 2010) - Clause 6.2.2.4
NFIQ2.0 identifier	RVU_#
Short acronym	RVU

#### Description

Ridge Valley Uniformity is a measure of the consistency of the ridge and valley widths.

#### Variables

Variables description and default values for 500 ppi images.

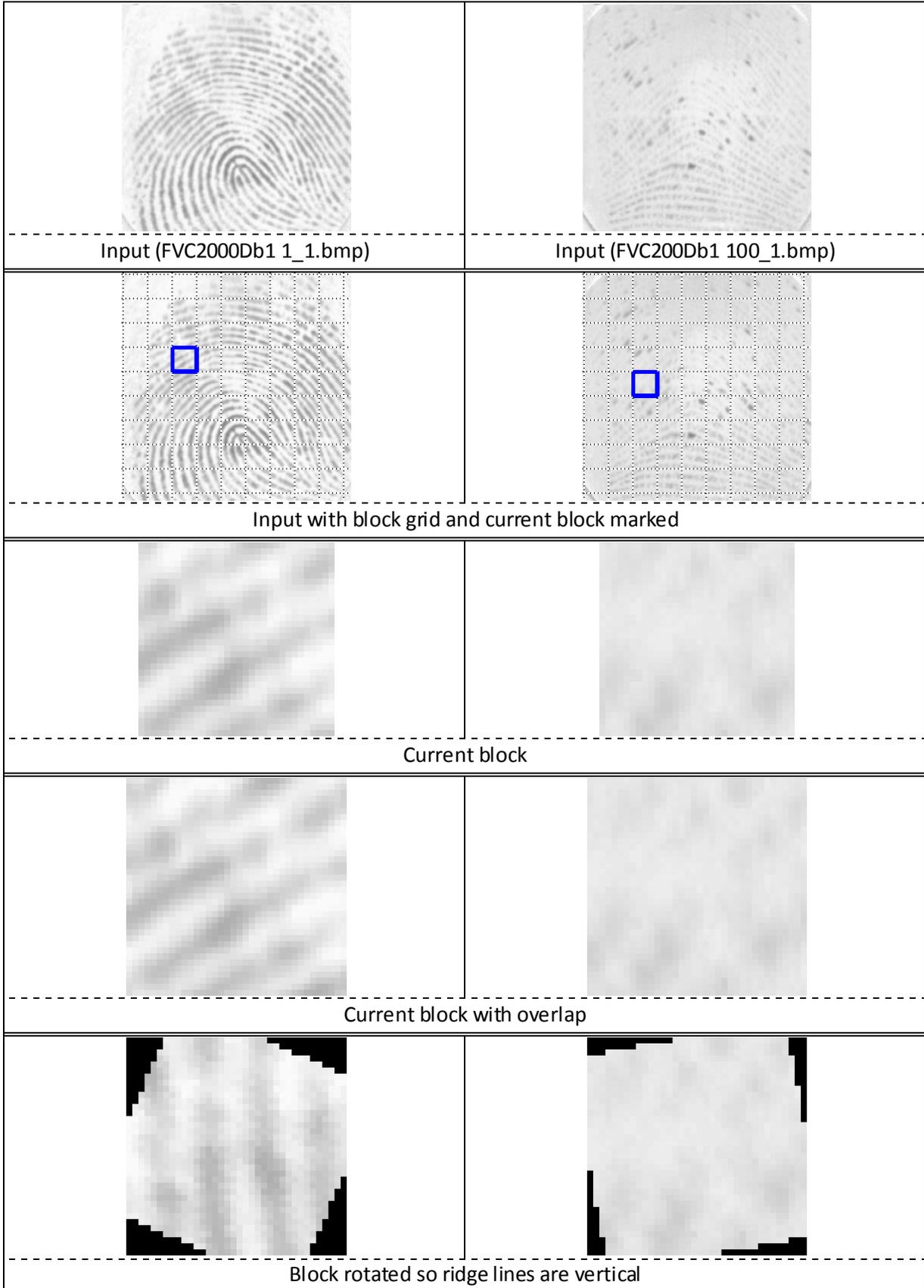
Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels
$I_{mask}$	-	Segmentation mask

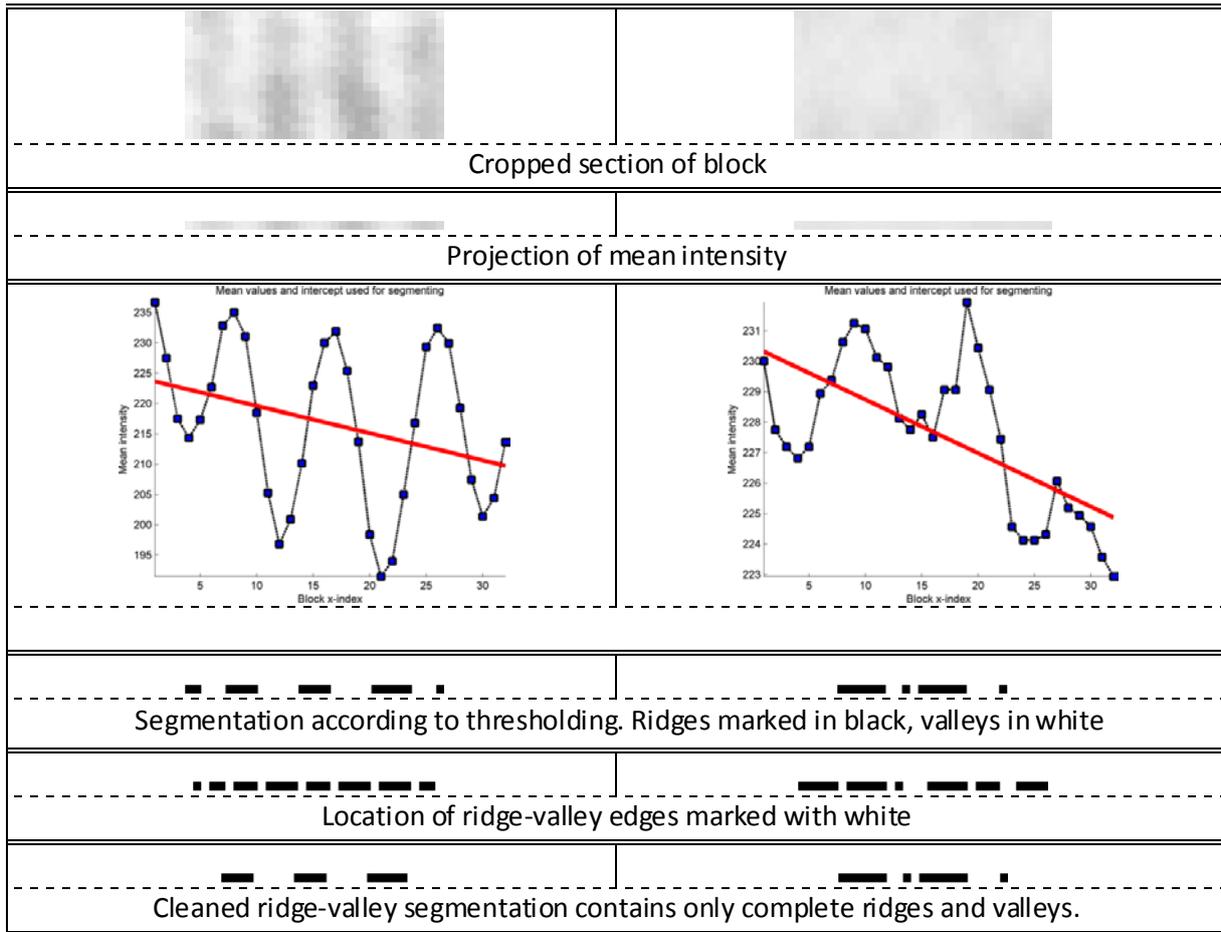
#### Algorithm

1. For each block  $V_0$  in the image determine the dominant ridge flow orientation to create an orientation line which is perpendicular to the ridge flow
2. Align  $V_0$  such that the orientation line is horizontal to create  $V_1$
3. From  $V_1$  extract a block  $V_2$  which is centered around the orientation line
4. Compute the average profile  $V_3$  of  $V_2$  to produce a vector
5. Determine a threshold  $DT$  by applying linear regression on  $V_3$
6. Segment  $V_3$  into two levels based on the threshold  $DT$
7. Determine the indexes in  $V_3$  where a change from background to foreground or foreground to background occurs. If no changes are found then return an empty ratio for that block.
8. Remove the first and last parts of  $V_3$  to remove incomplete ridge/valleys occurring at the border of the original block. Likewise remove the corresponding changes from the change index vector.
9. If there are no changes after step 8, return an empty ratio for that block
10. Calculate the ratios between the width of ridges and valleys for the block.
11. Obtain the final quality score as the standard deviation of all ratios.

# NFIQ2.0: Quality Feature Definitions

## Process





### Sigma

Origin	
NFIQ2.0 identifier	Sigma_#
Short acronym	SIG

### Description

Sigma is the standard deviation of pixel intensity values in the input image.

### Algorithm

$$Q_{SIGMA} = \left( \frac{1}{X * Y - 1} \sum_{y=1}^Y \sum_{x=1}^X (I(x, y) - \bar{I})^2 \right)^{\frac{1}{2}}$$

where  $\bar{I}$  is the mean pixel intensity of  $I$ .

### Variables

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image

**Sigma Mu Block**

Origin	
NFIQ2.0 identifier	SMB_#
Short acronym	SMB

**Description**

Sigma Mu Block is the standard deviation of the block wise mean pixel intensity value in the input image.

**Variables**

Variables description and default values for 500 ppi images.

Name	Default	Description
$I$	-	Input image
$B_h$	32	Block height in pixels
$B_w$	32	Block width in pixels

**References**

**Daugman John** Uncertainty relation for resolution in space, spatial frequency, and orientation optimized by two-dimensional visual cortical filters [Journal]. - [s.l.] : J. Opt. Soc. Am. A, 1985. - Vol. 2.

**ISO/IEC 29794-4 TR** Information technology - Biometric sample quality - Part 4: Finger image data [Report]. - 2010.