# Tutorial: Sparse Signal Processing Part 1: Sparse Signal Representation

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## **Outline**

- **Part 1:** Sparse Signal Representation ~90min
- Part 2: Sparse Sampling ~90min

# Outline

- Signal Representation Problem and Notion of Sparsity
- Mathematical Background:
  - Bases and Frames
  - Analysis and Synthesis Models
  - Wavelet Theory Revisited
- Sparsity in Union of Bases:
  - $I_0$  and  $I_1$  optimizations
  - Sparse Representation Key Bounds
- Sparsity according to Prony
- Approximate sparsity and iterative shrinkage algorithms
- Applications
- Beyond Traditional Sparsity

## **The Signal Representation Problem**

Signal Processing aims to decompose complex signals using elementary functions which are then easier to manipulate

 $x(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi_i(t)$ 





## **Signal Representation: Fourier Series**



Any signal defined on a finite interval is represented by a sum of sinusoids at different frequencies.



## **Signal Representation: Haar Wavelet**



Any function of finite energy is given by the sum of the Haar function and its translated and scaled versions.

Haar function is the first example of a wavelet!

# **Sparse Signal Representations**

- Given two competing signal representations, which one is better?
- Signal Processing uses Occam's razor to answer this question: "among competing representations that predict equally well, the one with the fewest number of components should be selected."
- Wavelets are *better* because they provide sparse representations of most natural signals
- This is why wavelets are used successfully in many signal processing applications (e.g., image compression)

### **Wavelets vs Fourier**

Coefficients used: 2%





#### Wavelets

Fourier

## Why Sparsity?

#### Image Compression





Original Lena Image  $(256 \times 256 \text{ pixels})$ 

JPEG (Compression Ratio 43:1)

JPEG2000 (Compression Ratio 43:1)

Note: images courtesy of dspworx.com

# Why Sparsity?

- In signal processing we often have to solve ill-conditioned inverse problems
- Approach: given partial and noisy knowledge of your signal, amongst all possible valid solutions, pick the sparsest one
- This sparsity-driven principle has lead to state-of-the-art algorithms in denoising, inpainting, deconvolution, sampling etc.

## **Why Sparsity? Inpainting**



The usual suspect

## **Why Sparsity? Inpainting**



Inpainting based on <u>Scholefield-Dragotti. IEEE Trans. Image Processing 2014</u>

## **Signal Representations**

$$x(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi_i(t)$$

#### Key Ingredients:

- a set of 'atoms':  $\{\varphi_i\}$  a inner product:  $\langle x, \varphi_i \rangle = \int x(t)\varphi_i(t)dt$  a synthesis formula:  $x(t) = \sum_{i=1}^{\infty} \alpha_i \varphi_i(t)$

## Many choices of $\{\varphi_i\}$

- orthonormal bases (e.g., Fourier series, Haar wavelet, Daubechies wavelets) ۲
- biorthogonal bases (e.g., splines)
- overcomplete expansions or frames

## **Signal Representation: Bases and Frames**

**Definition 1**: The set of 'atoms'  $\{\varphi_i\}_{i \in \mathcal{K}} \in V$  is called a basis of *V* when it is *complete* meaning that for any signal *x* there exists a sequence  $\alpha_i$  such that

$$x(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi_i(t)$$

and the sequence is unique.

**Definition 2**: The set of 'atoms'  $\{\varphi_i\}_{i \in \mathcal{K}} \in V$  is called an *orthogonal* basis of the subspace *V* when

a) it is a basis of V

b) It is orthogonal: 
$$\langle arphi_i, arphi_k 
angle = \delta_{i-k}$$

Note that in the case of orthogonal bases we have that  $\alpha_i = \langle x(t), \varphi_i(t) \rangle$ 

Consequently 
$$x(t) = \sum_{i} \langle x(t), \varphi_i(t) \rangle \varphi_i(t)$$
 14

## **Signal Representation: Bases and Frames**

**Definition 3**: The set of 'atoms'  $\{\varphi_i\}_{i \in \mathcal{K}} \in V$  is called a *biorthogonal* basis of the subspace *V* when

- a) it is a basis of V
- b) it is not orthogonal:  $\langle \varphi_i, \varphi_k \rangle \neq \delta_{i-k}$

In this case we have that  $\alpha_i = \langle x(t), \tilde{\varphi}_i(t) \rangle$ where the dual basis  $\{\tilde{\varphi}_i\}_{i \in \mathcal{K}} \in V$  is such that:  $\langle \tilde{\varphi}_i, \varphi_k \rangle = \delta_{i-k}$ 

**Definition 4 (informal)**: The set of 'atoms'  $\{\varphi_i\}_{i \in \mathcal{K}} \in V$  is called a *frame* of V when it is *overcomplete* meaning that for any signal x there exists a sequence  $\alpha_i$  such that

$$x(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi_i(t)$$

but the sequence is **not** unique.

## **Bases and Frames: Geometric Interpretation**



## **Bases and Frames: Matrix Interpretation**

- Assume the 'atoms'  $\{\varphi_i\}$  are finite dimensional column vectors of size *N*
- Stack them one next to the other to form the *synthesis* matrix *M*:

$$M = \begin{bmatrix} \uparrow & \cdots & \uparrow & \cdots \\ \varphi_1 & \cdots & \varphi_i & \cdots \\ \downarrow & \cdots & \downarrow & \cdots \end{bmatrix}$$

- If *M* is square and invertible then  $\{\varphi_i\}$  is a basis (of  $\mathbb{R}^N$  or  $\mathbb{C}^N$  )
- If the inverse of *M* satisfies  $M^{-1} = M^H$  the basis is orthogonal
- In the case of frames, *M* is invertible but is *'fat'*

## **Analysis and Synthesis Formulas**

- Remember the synthesis formula  $x(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi_i(t)$
- In the finite dimensional case the inverse of  ${\it M}$  is the analysis matrix and we have:  $\alpha = M^{-1}x$

• Expanded:  $\begin{pmatrix} \langle x, \varphi_1 \rangle \\ \vdots \\ \langle x, \tilde{\varphi}_i \rangle \\ \vdots \end{pmatrix} = \begin{pmatrix} \alpha_1 \\ \vdots \\ \alpha_i \\ \vdots \end{pmatrix} = \underbrace{\begin{bmatrix} \leftarrow & \tilde{\varphi}_1 & \rightarrow \\ \cdots & \cdots & \cdots \\ \leftarrow & \tilde{\varphi}_i & \rightarrow \\ \cdots & \cdots & \cdots \end{bmatrix}}_{\leftarrow & \tilde{\varphi}_i & \rightarrow \\ \vdots \end{pmatrix}$ 

• The synthesis formula is  $x = M \alpha \iff x(t) = \sum_{i=1}^{\infty} \alpha_i \varphi_i(t)$ 

## **Analysis and Synthesis Formulas: Frames Case**

- In the frame case the synthesis matrix M, in the the synthesis formula  $x=M \alpha$ , is "fat"

• The 'pseudo-inverse' matrix,  $M^{-1}$ , is the analysis matrix and is "tall"

## **Analysis and Synthesis Formulas**

- Sparse Signal Representation is mostly about the synthesis formula
- Sparse Sampling is mostly about the analysis formula
- We have been moving freely between continuous-time (infinite dimensional) case and discrete-time (finite-dimensional) case. This is usually legitimate, however, some frameworks (e.g. compressed sensing) are limited to the finite dimensional case.

## **Wavelet Representation Revisited**



Any function of finite energy is given by the sum of the Haar function and its translated and scaled versions:

$$x(t) = \sum_{m=-\infty}^{\infty} \sum_{i=-\infty}^{\infty} \alpha_{m,i} \psi_{m,i}(t) \quad \text{with} \quad \psi_{m,i}(t) = \frac{1}{\sqrt{2^m}} \psi(2^{-m}t - i)$$





- At each scale the approximation of x(t) is obtained by using a prototype function and its uniform shifts
- This fact allows us to use filters to implement the wavelet transform

$$\mathbf{x}(\mathbf{t}) = \tilde{\varphi}(-t/T_m) \xrightarrow{\mathbf{T}_m} \mathbf{a}_i \xrightarrow{\varphi(t/T_m)} \mathbf{x}_m(t) = \sum_{i=-\infty}^{\infty} \alpha_i \varphi(t/T_m - i)$$
$$\alpha_i = \int x(\tau) h(iT_m - \tau) d\tau = \int x(\tau) \tilde{\varphi}(\tau/T_m - i) d\tau = \langle x(t), \tilde{\varphi}(t/T_m - i) \rangle$$

- The sub-space generated by the prototype function  $\varphi(t)$  and its uniform shifts is called a **shift-invariant sub-space**.
- The fact that shifts are uniform allows us to mix continuous-time and discretetime processing
- The discrete-time version of the wavelet transform is implemented with iterated filter-banks



## **Wavelets and Sparsity**

- Wavelets annihilates polynomials
- Wavelets provide sparse representation of piecewise smooth functions



## **Sparse Representation in a union of two bases**

- Wavelets provide sparse representations of piecewise smooth images.
- In matrix/vector form *y=Wα*
- Here the matrix **W** has size N × N and models the discrete-time wavelet transform of finite dimensional signals.



Figure: Cameraman is reconstructed using only 8% of the wavelet coefficients

- How about textures? The DCT is maybe better for textured regions
- Key insight: use an overcomplete dictionary (frame) D made of the union of two bases to obtain even sparser representations of images

### **Sparse Representation in Fourier and Canonical Bases**



The above signal, **y**, is a combination of two spikes and two complex exponentials of different frequency (real part of **y** plotted). In matrix vector form:

$$\mathbf{y} = [\mathbf{I} \quad \mathbf{F}] \quad \alpha = \mathbf{D}\alpha$$

where *I* is the N × N identity matrix and *F* is the N × N Fourier transform. The matrix *D* models the over-complete dictionary and has size N × 2N



- Source separation: decompose signals into a smooth part and local innovations
- Prototype for the following problem:

Given two bases (or frames)  $m{D}=[m{\Psi}, m{\Phi}]$  . Represent an observed signal as a superposition of a few atoms from  $m{\Psi}\,$  and a few atoms from  $m{\Phi}\,$  .

#### **Example:** (Curvelets + DCT)



images from [Elad, Starck, Querre, Donoho, 2005]

### **Sparse Representation in Fourier and Canonical Bases**

- Given y, you want to find its sparse representation
- Ideally you want to solve

$$(P_0): \min \|\alpha\|_0 \quad \text{s.t.} \quad \mathbf{y} = \mathbf{D}\alpha.$$

• Alternatively you may consider the following convex relaxation

$$(P_1): \min \|\alpha\|_1 \quad \text{s.t.} \quad \mathbf{y} = \mathbf{D}\alpha.$$



### **Sparse Representation in Fourier and Canonical Bases**

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 The problem (P<sub>1</sub>) can be solved using convex optimization methods (i.e., linear programming) or greedy algorithms

### **Sparse Representation via OMP**

Algorithm 5 OMP—Orthogonal Matching Pursuit

**Input:** Dictionary  $\boldsymbol{D} = [\boldsymbol{d}_1, \dots, \boldsymbol{d}_L] \in \mathbb{C}^{N \times L}$ , observation  $\boldsymbol{y} \in \mathbb{C}^N$  and error threshold  $\eta$ [optional argument, maximum number of iterations  $K_{\text{max}}$ ]. **Output:** Sparse vector  $\boldsymbol{x} \in \mathbb{C}^L$ . 1: Initialise index k = 0. 2: Initialise solution  $\boldsymbol{x}^{(0)} = \boldsymbol{0}$ . 3: Initialise residual  $r^{(0)} = y - D x^{(0)} = y$ . 4: Initialise support  $\mathcal{S}^{(0)} = \emptyset$ . 5: while  $\| \boldsymbol{r}^{(k)} \|_{2}^{2} > \eta$  [optional:  $k < K_{\max}$ ] do 6:  $k \leftarrow k+1$ 7: Compute  $e[i] = ||z[i] d_i - r^{(k-1)}||_2^2$  for  $i \in \{1, \dots, L\} \setminus S^{(k-1)}$ , where  $z[i] = \frac{d_i^H r^{(k-1)}}{||d_i||_2^2}$ . Find index  $i_0 = \arg\min_{i \in \{1,\dots,L\} \setminus \mathcal{S}^{(k-1)}} \{e[i]\}.$ 8: Update support  $\mathcal{S}^{(k)} = \mathcal{S}^{(k-1)} \cup \{i_0\}.$ 9: Compute solution  $\boldsymbol{x}^{(k)} = \arg\min_{\boldsymbol{\tilde{x}} \in \mathbb{C}^L} \|\boldsymbol{D}\,\boldsymbol{\tilde{x}} - \boldsymbol{y}\|_2^2$  subject to  $\operatorname{supp}\{\boldsymbol{\tilde{x}}\} = \mathcal{S}^{(k)}$ . 10:

- 11: Update residual  $r^{(k)} = y D x^{(k)}$ .
- 12: end while

### **Sparse Representation in Fourier and Canonical Bases**

- Given y, you want to find its K-sparse representation
- Ideally you want to solve

$$(P_0): \min \|\alpha\|_0 \quad \text{s.t.} \quad \mathbf{y} = \mathbf{D}\alpha.$$

• Alternatively you may consider the following convex relaxation

$$(P_1): \min \|\alpha\|_1 \quad \text{s.t.} \quad \mathbf{y} = \mathbf{D}\alpha.$$

- Key result due to Donoho-Huo [IEEE Trans. on Information Theory 2001]
  - (P<sub>0</sub>) is unique when the sparsity K satisfies  $K < \sqrt{N}$
  - (P<sub>0</sub>) and (P<sub>1</sub>) are equivalent when  $K < \frac{1}{2}\sqrt{N}$

## **Sparsity in Pairs of Orthogonal Bases**

• Key extensions due to Elad-Bruckstein [IEEE Trans. on Information Theory 2002]

- Given an arbitrary pair of orthonormal bases  $\Psi_N$  and  $\Phi_N$  and the mutual coherence

$$\mu(\mathbf{D}) = \max_{1 \le k, j \le N, k \ne j} \frac{|\mathbf{d}_k^T \mathbf{d}_j|}{\|\mathbf{d}_k\| \|\mathbf{d}_j\|},$$

- (P0) is unique when  $~~K < 1/\mu({f D})~$
- (P0) and (P1) are equivalent when  $2\mu(\mathbf{D})^2 K_p K_q + \mu(\mathbf{D}) \max\{K_p, K_q\} - 1 < 0,$  (Tight Bound)
- Alternatively (P0) and (P1) are equivalent when

$$K < (\sqrt{2} - 0.5)/\mu(\mathbf{D}) \sim 0.9/\mu(\mathbf{D})$$
 (Weak Bound)

## **Sparsity in Pairs of Orthogonal Bases**

- (P0) is unique when  $K < 1/\mu(\mathbf{D})$
- (P0) and (P1) are equivalent when  $2\mu(\mathbf{D})^2 K_p K_q + \mu(\mathbf{D}) \max\{K_p, K_q\} - 1 < 0,$  (Tight Bound)
- Alternatively (P0) and (P1) are equivalent when  $K < (\sqrt{2} 0.5)/\mu(\mathbf{D}) \sim 0.9/\mu(\mathbf{D}) \qquad ({\rm Weak\ Bound})$
- Please note:
  - K=K<sub>p</sub>+K<sub>q</sub>
  - In Fourier and Canonical case  $\mu(\mathbf{D})=\sqrt{N}$

### **Sparsity Bounds in Pairs of Orthogonal Bases**



### **Sparsity Bounds in Ovecomplete Dictionaries**

Extensions [Tropp-04, GribonvalN:03, Elad-10]

For a generic over-complete dictionary D,  $(P_1)$  is equivalent to  $(P_0)$  when<sup>2</sup>

$${\cal K} < {1\over 2} \left( 1 + {1\over \mu} 
ight).$$

When D is a concatenation of J orthonormal dictionaries (P<sub>1</sub>) is equivalent to (P<sub>0</sub>) when

$$K < \left[\sqrt{2} - 1 + rac{1}{2(J-1)}
ight]\mu^{-1}$$

### The Tyranny of I<sub>1</sub>: Is there life beyond BP?

- There is still a gap between I<sub>0</sub> and I<sub>1</sub> minimizations. Can we do better than Basis Pursuit?
- (P0) is NP-Hard for unrestricted dictionary. Can we say the same for structured dictionaries like Fourier and Identity?
- What happens when the unicity constraint is not met?



### **Sparsity according to Prony: Overview of Prony's Method**

- Consider the case when the signal y is made only of K Fourier atoms, i.e., y=Fc for some K-sparse vector c
- The sparse vector **c** can be reconstructed from only 2K consecutive entries of **y**
- Sketch of the Proof:
  - The *n*th entry of *y* is of the form

$$y_n = \frac{1}{\sqrt{N}} \sum_{k=0}^{K-1} c_{m_k} e^{j2\pi m_k n/N} = \sum_{k=0}^{K-1} \alpha_k u_k^n,$$

where  $m_k$  is the index of the *k*th nonzero element of *c* 

### **Overview of Prony's Method**

• Consider the polynomial:

$$P(x) = \prod_{k=1}^{K} (x - u_k) = x^K + h_1 x^{K-1} + h_2 x^{K-2} + \dots + h_{K-1} x + h_K.$$

- It is easy to verify that  $\ h_n * y_n = 0$
- In matrix-vector form, we get

$$\begin{bmatrix} y_{l+K} & y_{l+K-1} & \cdots & y_l \\ y_{l+K+1} & y_{l+K} & \cdots & y_{l+1} \\ \vdots & \ddots & \ddots & \vdots \\ y_{l+2K-2} & \ddots & \ddots & \vdots \\ y_{l+2K-1} & y_{l+2K-2} & \cdots & y_{l+K-1} \end{bmatrix} \begin{bmatrix} 1 \\ h_1 \\ h_2 \\ \vdots \\ h_K \end{bmatrix} = \mathbf{T}_{K,l}\mathbf{h} = \mathbf{0}$$

### **Overview of Prony's Method**

- The vector of polynomial coefficients  $h = [1, h_1, \dots, h_k]^T$  is in the null space of  $T_{k,l}$ . Moreover,  $T_{k,l}$  has size  $K \times (K+1)$  and has full rank, therefore, h is unique.
- Prony's method summary:
  - Given the input  $y_n$ , build the Toeplitz matrix  $T_{k,l}$  and solve for h.
  - Find the roots  $P(x) = 1 + \sum_{n=1}^{K} h_k x^{K-k}$ . These roots are exactly the exponentials  $\{u_k\}_{k=0}^{K-1}$ . They give you the locations of the non-zero entries of your vector.
  - Given the locations of the non-zero entries find their amplitudes (this is a linear problem)

### **ProSparse** – Prony's based Sparsity

Given  $m{y} = [m{F},m{I}] = m{D}m{x}$  where  $m{x}$  is (K<sub>p</sub>,K<sub>q</sub>)-sparse



- K<sub>p</sub> Fourier atoms —> need a "clean" interval of length 2K<sub>p</sub>
- · For sufficiently sparse signals, such intervals always exist
- Sequential search and test: polynomial complexity

### **ProSparse** Properties

Theorem [Dragotti & Lu, IEEE IT. 2014] Let  $\ m{D} = [m{F},m{I}]$  and  $m{y} \in \mathbb{C}^N$ 

an arbitrary signal. There exists an algorithm, with a worst-case complexity of  $\mathcal{O}(N^3)$ , that finds all  $(K_{\rho}, K_q)$ -sparse signals  $\mathbf{x}$  such that

$$oldsymbol{y} = oldsymbol{D}oldsymbol{x}$$
 and  $K_p K_q < N/2$ 

#### **ProSparse Bounds vs BP**



## **ProSparse vs BP (noisy case)**

• Support Recovery





## **Recovery of Approximately Sparse Signals**

- Assume y is not exactly sparse. You may also observe a corrupted (e.g., noisy version) of y
- Rather than solving (P<sub>1</sub>)

 $(P_1): \min \|\alpha\|_1 \quad \text{s.t.} \quad \mathbf{y} = \mathbf{D}\alpha.$ 

• Consider the following relaxed version:

$$\min_{\alpha} \|\mathbf{y} - \mathbf{D}\alpha\|_2^2 + \lambda \|\alpha\|_1$$

 This basic formulation applies to denoising, deconvolution, inpainting (see for example <u>Elad et al. SPIE 2007</u>)

### **Recovery of Approximately Sparse Signals**

• Consider the following relaxed version:

$$\min_{\alpha} \|\mathbf{y} - \mathbf{D}\alpha\|_2^2 + \lambda \|\alpha\|_1$$

- This basic formulation applies to denoising, deconvolution, inpainting (see for example <u>Elad et al. SPIE 2007</u>)
- Can be solved iteratively as follows

$$\alpha_{i+1} = S_{\lambda/c} \left( \frac{1}{c} \mathbf{D}^T (\mathbf{y} - \mathbf{D}\alpha_i) + \alpha_i \right)$$

• Here S is a shrinkage operator (e.g., soft-threshold)

#### **Application: Image Denoising**



Original

Degraded (PSNR=20dB) State-of-the-Art BM3D-SAPCA (PSNR = 29.81 dB)

### **Application: Image Forensic**

Spot the difference ;-)



### **Application: Image Forensic – Recapture Detection**





#### **Application: Image Forensic – Alias Free Recapture**



## **Recapture Footprints: Blurring**

Our key footprint: unique blurred patterns introduced by acquisition devices



## **Proposed Scheme**



## **Beyond Traditional Sparsity Models**

- Traditional sparsity models are essentially linear and apply essentially only to 1-D signals
- **Possible 2-D extension:** decompose the image with tiles of different size each being made of two smooth regions separated by a straight edge (semi-parametric model)





## **Beyond Traditional Sparsity Models (cont'd)**

The better the sparsity, the better the results ;-)
 <u>Scholefield-Dragotti. IEEE Trans. Image Processing 2014</u>



*Degraded* (*PSNR=10.6dB*) State-of-the-Art (PSNR = 26.8 dB) *New Sparsity Model* (PSNR = 27.1 dB)

## **Beyond Traditional Sparsity Models (cont'd)**

• Inpainting: <u>Scholefield-Dragotti</u>. IEEE Trans. Image Processing 2014



Original

90% missing pixels

Inpainted using new Sparsity Model

## **Summary**

- "Hey Hey My My the notion of Sparsity will never die" ;-)
- Traditional sparsity is based around two pillars:
  - An expansion-based sparsity model
  - Reconstruction based on convex programming (e.g., BP)
- Room for more *creative solutions* both in terms of sparsity and reconstruction method
  - E.g. Reconstruction using *ProSparse* outperforms Convex Programming in specific settings
  - E.g. Semi-Parametric sparsity models for images outperforms stateof-the-art image processing algorithms

### **References**

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