

(19) World Intellectual Property  
Organization  
International Bureau



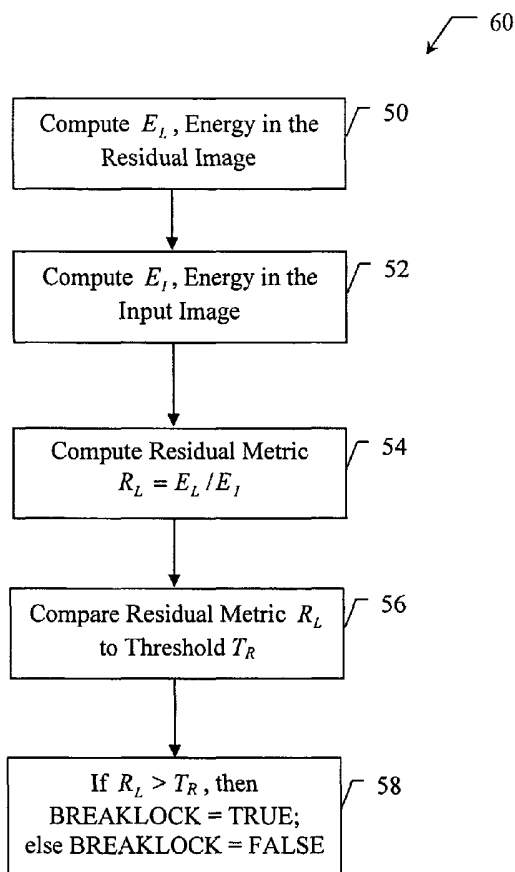
(43) International Publication Date  
12 February 2004 (12.02.2004)

PCT

(10) International Publication Number  
**WO 2004/013650 A1**

- (51) International Patent Classification<sup>7</sup>: **G01S 3/786** Grace, Y.; 330 El Dorado Street 8, Arcadia, CA 91006 (US).
- (21) International Application Number: PCT/US2003/023548 (74) Agents: RAUFER, Colin, M. et al.; c/o Raytheon Company, 2000 East El Segundo Blvd., P.O. Box 902 (EO/E4/N119), El Segundo, CA 90245-0902 (US).
- (22) International Filing Date: 28 July 2003 (28.07.2003) (81) Designated State (national): IL.
- (25) Filing Language: English (84) Designated States (regional): European patent (AT, BE, BG, CH, CY, CZ, DE, DK, EE, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, SK, TR).
- (26) Publication Language: English
- (30) Priority Data: 10/210,241 1 August 2002 (01.08.2002) US Published:  
— with international search report  
— before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments
- (71) Applicant: RAYTHEON COMPANY [US/US]; 141 Spring Street, Lexington, MA 02421-7899 (US). For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.
- (72) Inventors: ALBUS, John, E.; 10537 Encino Avenue, Granada Hills, CA 91344 (US). SCHACHT, Julie, R.; 25924 Richville Drive, Torrance, CA 90505 (US). CHEN,

(54) Title: CORRELATION TRACKER BREAK LOCK DETECTION



(57) Abstract: A system and method for detecting breaklock for correlation trackers. The inventive system includes a first circuit (50) for computing energy  $E_L$  in a residual image, a second circuit (52) for computing energy  $E_I$  in an input image, and a third circuit (54) for computing a residual metric  $R_L$  based on the residual image energy  $E_L$  scaled by the input image energy  $E_I$ . In the illustrative embodiment, the system further includes a fourth circuit (56) for comparing the residual metric  $R_L$  to a threshold  $T_R$ , and a fifth circuit (58) for setting a breaklock signal based on the output of the fourth circuit (56).

WO 2004/013650 A1

## CORRELATION TRACKER BREAK LOCK DETECTION

5

### RIGHTS IN INVENTION

This invention was made with support under Government Subcontract No. E80011 Boeing Corp. under Prime Contract N00019-97-C-0009 with the Department of the Navy. The U. S. Government may have certain rights to this invention.

10

### BACKGROUND OF THE INVENTION

15

#### Field of the Invention:

The present invention relates to imaging systems. More specifically, the present invention relates to correlation based imaging target trackers.

20

#### Description of the Related Art:

An autotracker is a device which locates a target in each of a sequence of images and generates commands to maintain a sensor line-of-sight on the target. Correlation trackers generate servo commands based on the position of the target. The tracker measures this position by finding the shift of the input image that maximizes its cross-correlation with a reference image formed by averaging recent past input images.

25

During a target tracking operation, it often happens that the line-of-sight from the sensor to the target becomes temporarily obscured. For example, in an air-to-

30

ground scenario, a cloud or a building may pass between the sensor and the target temporarily blocking the line-of-sight. One important function of the autotracker is to determine when the target has been obscured, thereby detecting a 'breaklock' condition. The tracker is then commanded into a 'coast mode' until the target is again  
5 visible. In coast mode the sensor is pointed open-loop at the predicted position of the target based on its recent motion. While in coast mode the tracker must continually monitor the input image to determine when the target is again visible so that closed-loop tracking may resume.

Prior attempts to detect breaklock made use of either: 1) a threshold on a  
10 statistical average of the residuals after cross-correlation (see, for example, "Developing a Real-Time, Robust, Video Tracker," K. Plakas, E. Trucco (0-7803-6551-8/00 IEEE) or 2) a threshold on the change in the difference between the input image and the correlation reference map. Unfortunately, these approaches have proven to be too sensitive to certain image disturbances which commonly occur in  
15 dynamic tracking situations. This is due to the reliance by these approaches on an assumption that the difference between the input image and reference map pixel values has a Gaussian density. While this may be true in an idealized situation, in practical tracking situations there are several types of image disturbances which cause the Gaussian assumption to falter. One such disturbance is due to a change of the  
20 sensor position relative to the tracked target which causes the target's image to change in size and shape. Another is due to uncommanded sensor line-of-sight deviations such as jitter which cause image blurring. These image disturbances will cause the existing breaklock detection methods to falsely declare a breaklock condition when continued tracking is still feasible.

25 Hence, a need exists in the art for an improved system or method for detecting breaklock for correlation trackers.

## SUMMARY OF THE INVENTION

The need in the art is addressed by the system and method for detecting  
5 breaklock for correlation trackers of the present invention. The inventive system  
includes a first circuit for computing energy  $E_L$  in a residual image, a second circuit for  
computing energy  $E_I$  in an input image, and a third circuit for computing a residual  
metric  $R_L$  based on the residual image energy  $E_L$  scaled by the input image energy  
 $E_I$ .

10 In the illustrative embodiment, the system further includes a fourth circuit for  
comparing the residual metric  $R_L$  to a threshold  $T_R$ , and a fifth circuit for setting a  
breaklock signal based on the output of the fourth circuit.

The present invention addresses the problems associated with the prior art by  
comparing the residual energy to the energy in the input image, rather than the current  
15 method of comparing the residual energy to an absolute threshold. By scaling the  
residual energy by the input image energy, a more robust statistic is obtained which  
allows closed-loop tracking to continue as long as even a small amount of match  
exists between the input and reference images. The invention has been designed to  
quickly and accurately determine actual breaklock conditions such as obscurations and  
20 extreme uncommanded line-of-sight deviations while enabling continued tracking  
through high sensor-to-target relative position rates and sensor line-of-sight jitter.

## BRIEF DESCRIPTION OF THE DRAWINGS

25 Fig. 1 is a block diagram of an autotracker system.

Fig. 2 is a block diagram of the components of an autotracker designed in  
accordance with the teachings of the present invention.

Fig. 3 is a flow chart illustrating the breaklock detection method of the present invention.

Fig. 4 is a block diagram showing a hardware implementation of the autotracker system of the present invention.

5

## DESCRIPTION OF THE INVENTION

10 Illustrative embodiments and exemplary applications will now be described with reference to the accompanying drawings to disclose the advantageous teachings of the present invention.

While the present invention is described herein with reference to illustrative embodiments for particular applications, it should be understood that the invention is not  
15 limited thereto. Those having ordinary skill in the art and access to the teachings provided herein will recognize additional modifications, applications, and embodiments within the scope thereof and additional fields in which the present invention would be of significant utility.

Fig. 1 is a block diagram of an autotracker system 10. A monochromatic  
20 sensor 12, mounted in a gimbal 14 generates a two dimensional image,  $I(r, c)$ , of the target. Example sensors are an infrared (IR) sensor or a TV camera. This image is processed by the autotracker 16, which generates commands to the servo motors 18 to maintain the sensor line-of-sight on the target. In a correlation tracker, the position of the target is measured by finding the shift of the input image that maximizes its cross-  
25 correlation with a reference image formed by averaging recent past input images.

The present invention is a system and method for breaklock detection for use in correlation autotracker systems. It uses statistics generated by the correlation process to compute a residual metric that is used to determine, while tracking, when the target is no longer present in the field of view, and, while coasting, when the target  
30 is again visible in the field of view. The invention addresses the problems of the prior

art by comparing the residual energy to the energy in the input image, rather than the current method of comparing the residual energy to an absolute threshold. By scaling the residual energy by the input image energy, a more robust statistic is obtained which allows closed-loop tracking to continue as long as even a small amount of match exists between the input and reference images. The invention has been designed to quickly and accurately determine actual breaklock conditions such as obscurations and extreme uncommanded line-of-sight deviations while enabling continued tracking through high sensor-to-target relative position rates and sensor line-of-sight jitter.

10 Fig. 2 is a block diagram of the components of an autotracker 16 designed in accordance with the teachings of the present invention. A correlation pixel processing function 20 maintains a reference map and cross-correlates this map with each input image to determine the track errors and a residual metric. The track errors are used by the closed-loop control function 22 to compute servo commands to keep the tracked target in the center of the sensor field of view. The residual metric, the subject of this patent, is used by status processing 24 to derive a breaklock signal. This breaklock signal is used by the closed-loop control function 22 to determine when it should point the sensor based on the track errors (closed-loop mode) or when it should ignore the track errors and point using the predicted target position (coast mode).

20 While this method can be applied to any correlation tracker, the invention will now be described with reference to an illustrative application to the Fitts correlation pixel processing algorithm described in U.S. Patent number 4,133,004, issued January 2, 1979, entitled "Video Correlation Tracker", the teachings of which are incorporated herein by reference. In accordance with the Fitts teachings, a correlation pixel processing algorithm generates a reference map, denoted  $M(r, c)$ , in pixel format by averaging input images prior to the current time  $t$ . (It is assumed herein that all images mentioned have  $N_{rows}$  rows and  $N_{cols}$  columns of pixels for a total of  $N_{pixels} = N_{rows} * N_{cols}$  pixels. Thus, the row numbers  $r$ , have values in the range from 1 to  $N_{rows}$  inclusive, and the column numbers,  $c$ , have values in the range from 1 to  $N_{cols}$  inclusive.)

30

The correlation pixel processing 20 correlates the reference map  $M(r, c)$  with the input image at time  $t$ , denoted  $I(r, c)$ , to determine the track error, denoted  $\delta = \begin{bmatrix} \delta_r \\ \delta_c \end{bmatrix}$ , which is the estimated shift of the input image relative to the reference image. As described in the Fitts correlation patent, in the process of computing the track error the Fitts algorithm computes gradient images that are approximations to the image spatial derivatives in the row and column directions. The gradient image in the row direction, denoted  $G_r(r, c)$ , is given by:

$$G_r(r, c) = \frac{M(r+1, c) - M(r-1, c)}{2}, \quad [1]$$

10

and the gradient image in the column direction, denoted  $G_c(r, c)$  is given by:

$$G_c(r, c) = \frac{M(r, c+1) - M(r, c-1)}{2} \quad [2]$$

15

The residual image, denoted  $L(r, c)$ , is defined to be the difference between the input image and the reference map shifted by  $\delta'$ , where  $\delta' = \begin{bmatrix} \delta'_r \\ \delta'_c \end{bmatrix}$  is the computed track error before drift compensation, as described in the Fitts algorithm patent. The shifted reference map, denoted  $M'(r, c)$ , may be approximated using a first order Taylor expansion by:

20

$$M'(r, c) = M(r, c) + G_r(r, c)\delta'_r + G_c(r, c)\delta'_c \quad [3]$$

Thus, the residual image can be approximated by:

$$L(r, c) = I(r, c) - M'(r, c) = I(r, c) - M(r, c) - G_r(r, c)\delta'_r - G_c(r, c)\delta'_c, \quad [4]$$

or

$$5 \quad L(r, c) = D(r, c) - G_r(r, c)\delta'_r - G_c(r, c)\delta'_c \quad [5]$$

where  $D(r, c)$  is the difference image defined by:

$$10 \quad D(r, c) = I(r, c) - M(r, c) \quad [6]$$

The energy in the residual image, denoted  $E_L$ , gives an indication of the relative amount of unexplained variation in the residual image, and is defined as:

$$15 \quad E_L = \sum_{(r,c) \in Gate} (L(r, c) - \bar{L})^2, \quad [7]$$

where  $\bar{L}$  is the average of the residual image pixel values given by:

$$\bar{L} = \frac{1}{N_{pixels}} \cdot \sum_{(r,c) \in Gate} L(r, c) \quad [8]$$

20 and  $Gate$  represents the set of  $(r, c)$  values for which  $1 \leq r \leq N_{rows}$  and  $1 \leq c \leq N_{cols}$ .

Similarly, the energy in the input image, denoted  $E_I$ , is defined to be:

$$25 \quad E_I = \sum_{(r,c) \in Gate} (I(r, c) - \bar{I})^2, \quad [9]$$

where  $\bar{I}$  is the average of the input image pixel values and is given by:



$$\bar{I} = \frac{1}{N_{pixels}} \cdot \sum_{(r,c) \in Gate} I(r,c) \quad [10]$$

The residual metric, denoted  $R_L$ , is then defined to be:

$$R_L = \frac{E_L}{E_I} \quad [11]$$

and represents the relative amount of the energy in the input image that is not explained by modeling it as the shifted reference image.

In practice the energy in the residual image can be approximated by the energy in the difference image because the image shifts are relatively small, and the change they induce can often be neglected. Let the energy in the difference image, denoted  $E_D$ , be defined as:

$$E_D = \sum_{(r,c) \in Gate} (D(r,c) - \bar{D})^2 \quad [12]$$

15

where  $\bar{D}$  is the average of the difference image pixel values given by:

$$\bar{D} = \frac{1}{N_{pixels}} \cdot \sum_{(r,c) \in Gate} D(r,c) \quad [13]$$

20 The difference residual metric, denoted  $R_D$ , is then defined to be:

$$R_D = \frac{E_D}{E_I} \quad [14]$$

The residual metric, either  $R_D$  or  $R_L$ , is used by the status processing function

24 to determine the value of the breaklock signal. If the shifted reference image exactly matches the input image then the residual metric will very nearly equal zero. As the degree of match decreases the residual metric grows in size. Values of this metric close to or greater than one indicate a complete mismatch between the reference image and the input image. Therefore, a threshold,  $T_R$ , on the residual metric is used to derive the breaklock signal. If the residual metric is less than or equal to  $T_R$ , the match between the reference image and the input image is considered good enough to continue tracking and the breaklock signal is set to FALSE indicating that closed-loop tracking is to continue. If the residual metric is greater than  $T_R$ , then the match has significantly degraded and the breaklock signal is set to TRUE indicating that the closed-loop control should enter coast mode. Empirical experience has shown that tracking can reliably continue with  $T_R$  values up to 0.9.

Fig. 3 is a flow chart illustrating the breaklock detection method 60 of the present invention. First, the energy  $E_L$  in the residual image is determined (50), and the energy  $E_I$  in the input image is determined (52). In the illustrative embodiment,  $E_L$  is computed using Eqn. 7, or estimated using Eqn. 12. In the illustrative embodiment,  $E_I$  is computed using Eqn. 9. Next, the residual metric  $R_L = E_L / E_I$  is computed (54). Then, the residual metric  $R_L$  is compared to a threshold  $T_R$  (56). Finally, if the residual metric  $R_L$  was greater than the threshold  $T_R$ , then the Breaklock Signal is set to TRUE; otherwise, it is set to FALSE (58).

Fig. 4 is a block diagram showing a hardware implementation of the autotracker system 10 of the present invention. A sensor 12 mounted in a gimbal 14 receives visible or infrared images which are then processed by a video processor 30. The video processor 30 formats the received images into digital video and, for infrared, performs non-uniformity correction and dead cell replacement. The digital images are then sent to an image processor 32 which computes the track errors and the residual metric. The track errors are used by a servo control processor 34 to generate the torque commands for the sensor gimbal hardware 14 to keep the tracked target in the center of the sensor field of view. The residual metric is used by a system control processor 36 to derive a

breaklock signal. This breaklock signal is used by the servo control processor 34 to determine when it should point the sensor based on the track errors (closed-loop mode) or when it should ignore the track errors and point using the predicted target position (coast mode). The system control processor 36 controls the operation of the  
5 entire autotracker system and may interface to an aircraft.

Thus, the present invention has been described herein with reference to a particular embodiment for a particular application. Those having ordinary skill in the art and access to the present teachings will recognize additional modifications, applications and embodiments within the scope thereof.

10 It is therefore intended by the appended claims to cover any and all such applications, modifications and embodiments within the scope of the present invention.

Accordingly,

WHAT IS CLAIMED IS:

## EUROSTYLE CLAIMS

1. A system (60) for detecting breaklock for correlation trackers characterized by:
- a first circuit (50) for computing the energy  $E_L$  in a residual image;
  - a second circuit (52) for computing the energy  $E_I$  in an input image; and
  - 5 a third circuit (54) for computing a residual metric  $R_L$  based on the residual image energy  $E_L$  scaled by the input image energy  $E_I$ .
2. The invention of Claim 1 wherein said system further includes a fourth circuit (56) for comparing said residual metric  $R_L$  to a threshold  $T_R$ .
3. The invention of Claim 2 wherein said system further includes a fifth circuit (58) for setting a breaklock signal based on the output of said fourth circuit (56).
4. The invention of Claim 2 wherein said breaklock signal is set to TRUE if the residual metric  $R_L$  is greater than the threshold  $T_R$  and FALSE otherwise.
5. The invention of Claim 1 wherein said residual image energy  $E_L$  is computed using the equation  $E_L = \sum_{(r,c) \in Gate} (L(r,c) - \bar{L})^2$ , where  $L(r,c)$  is the residual image,  $\bar{L}$  is the average of the residual image pixel values, and  $Gate$  represents the set of  $(r,c)$  values in the image.
6. The invention of Claim 1 wherein said residual image energy  $E_L$  is approximated by the energy  $E_D$  in a difference image  $D(r,c)$ .

7. The invention of Claim 6 wherein said difference image energy  $E_D$  is computed using the equation  $E_D = \sum_{(r,c) \in Gate} (D(r,c) - \bar{D})^2$ , where  $\bar{D}$  is the average of the difference image pixel values, and *Gate* represents the set of  $(r,c)$  values in the image.

8. The invention of Claim 1 wherein said input image energy  $E_I$  is computed using the equation  $E_I = \sum_{(r,c) \in Gate} (I(r,c) - \bar{I})^2$ , where  $I(r,c)$  is the input image,  $\bar{I}$  is the average of the input image pixel values, and *Gate* represents the set of  $(r,c)$  values in the image.

9. The invention of Claim 1 wherein said residual metric  $R_L$  is computed using the equation  $R_L = E_L / E_I$ .

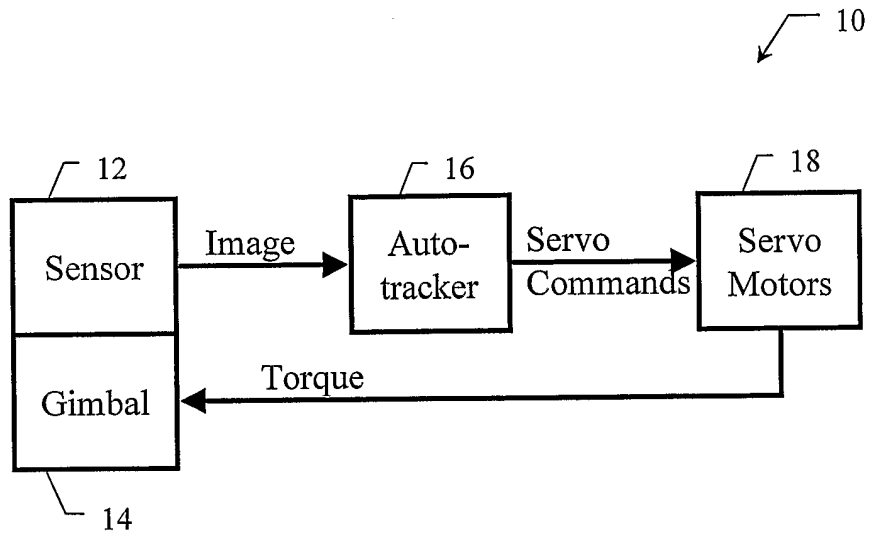


Fig. 1

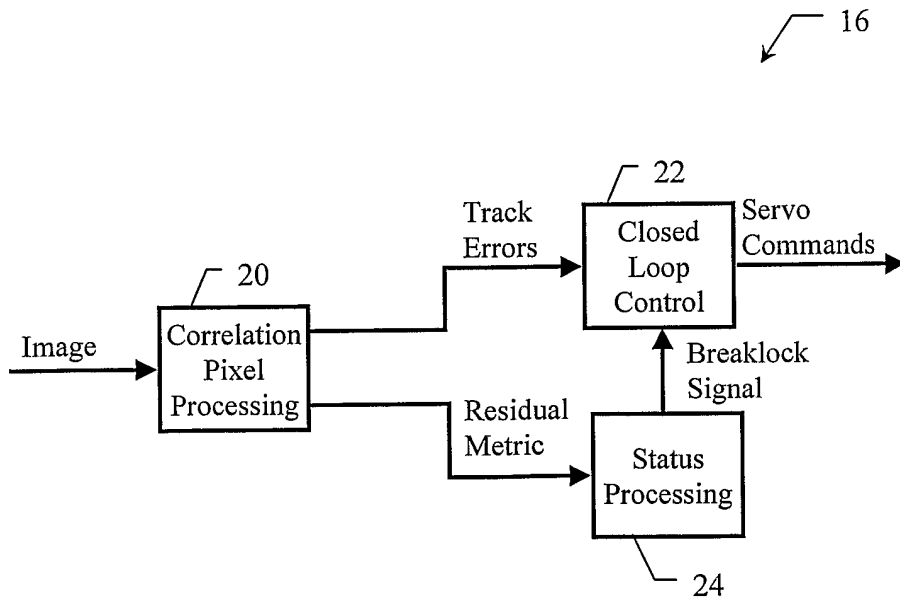


Fig. 2

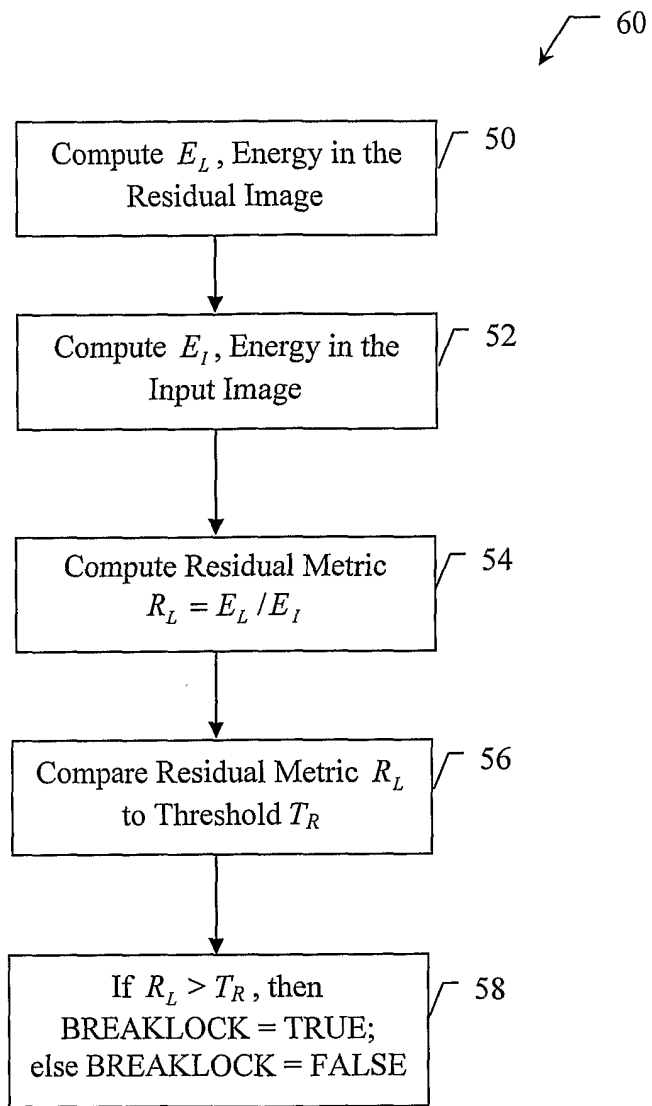


Fig. 3

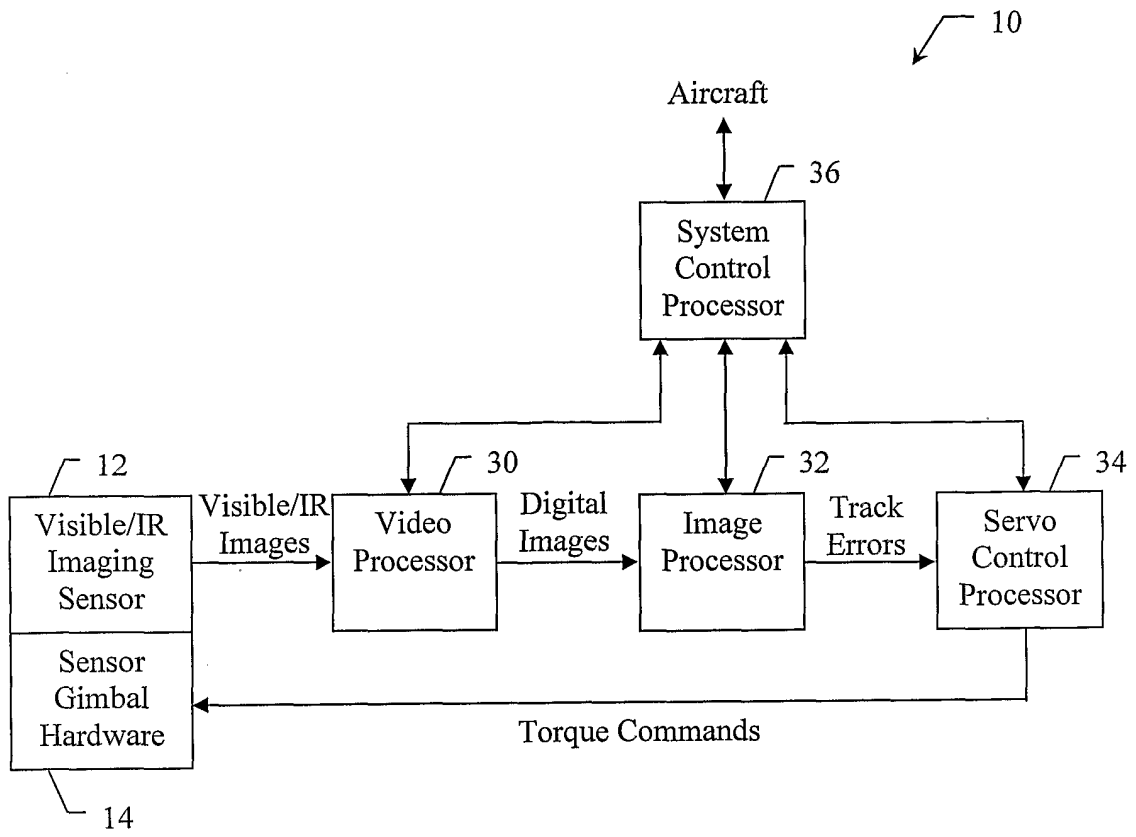


Fig. 4



INTERNATIONAL SEARCH REPORT

International Application No

PCT/US 03/23548

A. CLASSIFICATION OF SUBJECT MATTER  
IPC 7 G01S3/786

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)  
IPC 7 G01S

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practical, search terms used)

INSPEC, EPO-Internal

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	EP 0 666 545 A (HUGHES AIRCRAFT CO) 9 August 1995 (1995-08-09) abstract column 5, line 55 -column 7, line 46; figure 6 column 8, line 46 - line 52	1
A	US 6 330 371 B1 (CHEN HAI-WEN ET AL) 11 December 2001 (2001-12-11) column 2, line 44 -column 3, line 23 column 5, line 29 - line 46	1
A	US 5 947 413 A (MAHALANOBIS ABHIJIT) 7 September 1999 (1999-09-07) column 5, line 27 -column 8, line 17	1
	-/--	

Further documents are listed in the continuation of box C.

Patent family members are listed in annex.

° Special categories of cited documents :

- \*A\* document defining the general state of the art which is not considered to be of particular relevance
- \*E\* earlier document but published on or after the international filing date
- \*L\* document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- \*O\* document referring to an oral disclosure, use, exhibition or other means
- \*P\* document published prior to the international filing date but later than the priority date claimed

- \*T\* later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- \*X\* document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- \*Y\* document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art.
- \* & \* document member of the same patent family

Date of the actual completion of the international search

27 November 2003

Date of mailing of the international search report

13/01/2004

Name and mailing address of the ISA

European Patent Office, P.B. 5818 Patentlaan 2  
NL - 2280 HV Rijswijk  
Tel. (+31-70) 340-2040, Tx. 31 651 epo nl,  
Fax: (+31-70) 340-3016

Authorized officer

Mercier, F

## INTERNATIONAL SEARCH REPORT

 International Application No  
 PCT/US 03/23548

C.(Continuation) DOCUMENTS CONSIDERED TO BE RELEVANT		
Category °	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	SCHACHT J ET AL: "Implementation of an embedded image-based tracker in a distributed architecture" ACQUISITION, TRACKING, AND POINTING XVI, ORLANDO, FL, USA, 3-4 APRIL 2002, vol. 4714, 3 - 4 April 2002, pages 165-174, XP001156662 Proceedings of the SPIE - The International Society for Optical Engineering, 2002, SPIE-Int. Soc. Opt. Eng, USA ISSN: 0277-786X the whole document	1
A	ALBUS J E ET AL: "Verification of tracker position measurement using digital video and instrumentation data recorded in flight" ACQUISITION, TRACKING, AND POINTING XVI, ORLANDO, FL, USA, 3-4 APRIL 2002, vol. 4714, pages 186-195, XP001156663 Proceedings of the SPIE - The International Society for Optical Engineering, 2002, SPIE-Int. Soc. Opt. Eng, USA ISSN: 0277-786X the whole document	1
A	PLAKAS K ET AL: "Developing a real-time, robust, video tracker" OCEANS 2000 MTS/IEEE CONFERENCE AND EXHIBITION. CONFERENCE PROCEEDINGS (CAT. NO.00CH37158), OCEANS 2000 MTS/IEEE CONFERENCE AND EXHIBITION. CONFERENCE PROCEEDINGS, PROVIDENCE, RI, USA, 11-14 SEPT. 2000, pages 1345-1352 vol.2, XP002263034 2000, Piscataway, NJ, USA, IEEE, USA ISBN: 0-7803-6551-8 cited in the application the whole document	1
A	US 4 133 004 A (FITTS JOHN M) 2 January 1979 (1979-01-02) cited in the application the whole document	1

# INTERNATIONAL SEARCH REPORT

Information on patent family members

International Application No

PCT/US 03/23548

Patent document cited in search report	Publication date	Patent family member(s)	Publication date
EP 0666545	A	09-08-1995	US 5602760 A
			CA 2141068 A1
			EP 0666545 A1
			IL 112485 A
			JP 2705911 B2
			JP 8062317 A
US 6330371	B1	11-12-2001	WO 0023814 A1
US 5947413	A	07-09-1999	WO 9913351 A1
US 4133004	A	02-01-1979	DE 2846627 A1
			FR 2410285 A1
			GB 2007455 A ,B
			IL 55655 A
			IT 1106216 B
			JP 1177769 C
			JP 54072620 A
			JP 58005554 B
			SE 431488 B
			SE 7811239 A