

# Normalized Cuts and Image Segmentation

Based on a paper by Jianbo Shi and Jitendra Malik

## Linear Algebra and its Applications

Gauranga Kumar Baishya (MDS202325)

Hiba AP (MDS202326)

Esha Bhattacharyya (MDS202324)

February 11, 2025

# Outline

- 1 Introduction
- 2 Normalized Cut
- 3 Implementation
- 4 Comparision
- 5 Conclusion

# Section

- 1 Introduction
- 2 Normalized Cut
- 3 Implementation
- 4 Comparision
- 5 Conclusion

## Perceptual grouping in vision

## Perceptual grouping in vision



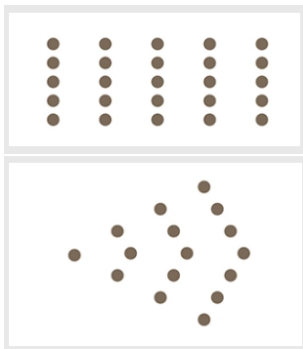
### Laws of Organization in Perceptual Forms

Max Wertheimer (1923)

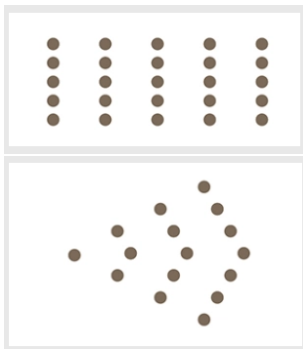
# Key Factors



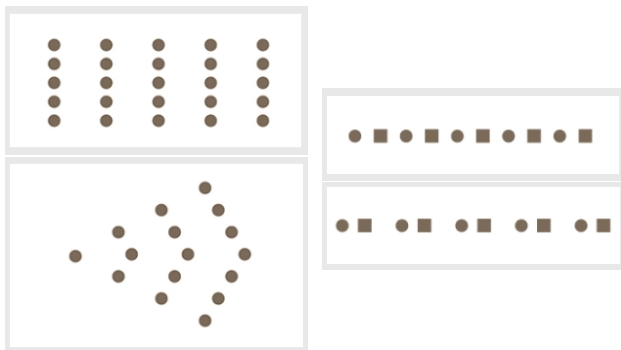
# Key Factors



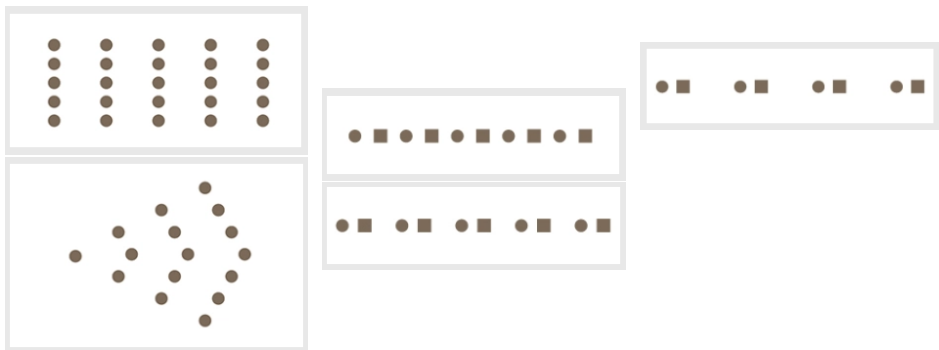
# Key Factors



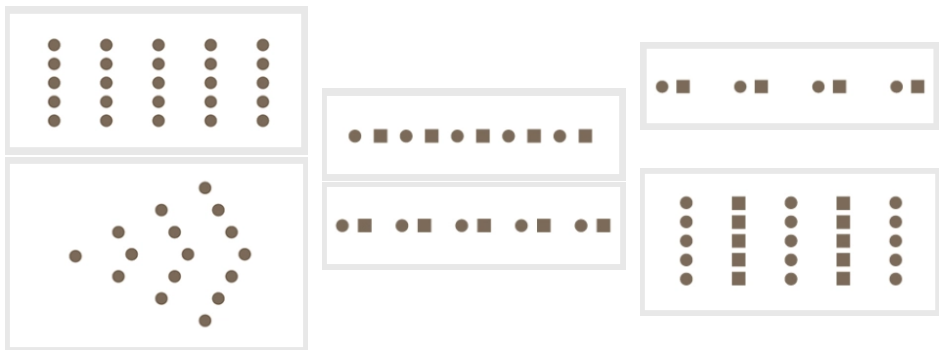
# Key Factors



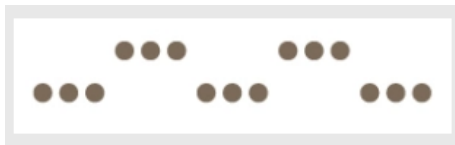
# Key Factors

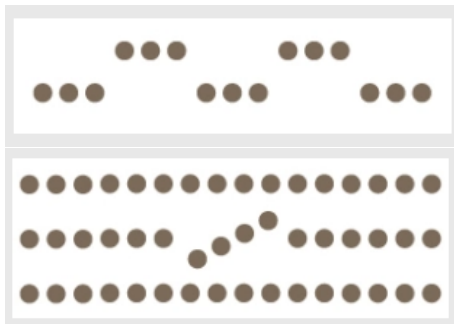


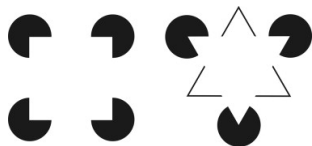
# Key Factors

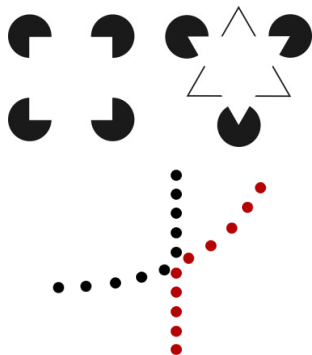


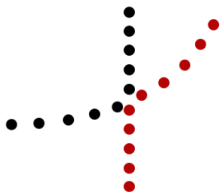
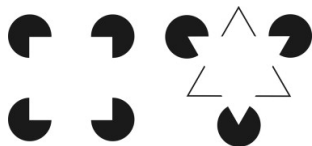
Continued..

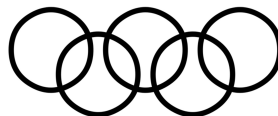
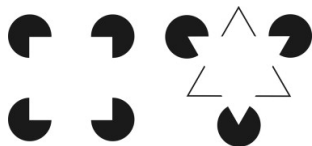




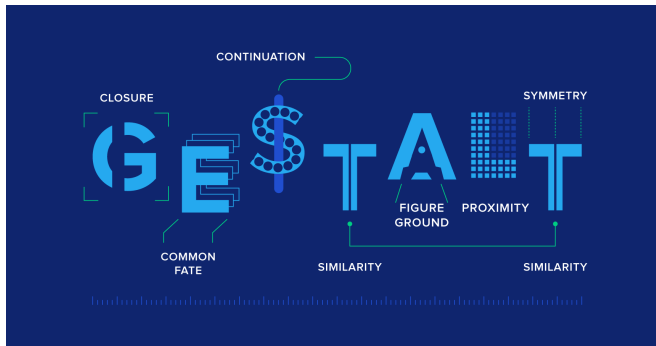








# Gestalt's Law



# Selecting the best partition

Two aspects to consider here -

- First aspect
  - Single correct answer may not exist.
  - Depends on prior world knowledge - Important to specify
  - Could be high level, mid level or low level
  - Low level - brightness, color, texture etc.  
High/mid level - Symmetry, object models etc.
- Second aspect
  - Hierarchy of partitioning
  - Tree structure corresponding to hierarchical partitioning better than a single flat partition

Low level knowledge - Hierarchical partitions.

High level knowledge - Confirm the segments

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph
- $V$  is set of points in feature space

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph
- $V$  is set of points in feature space
- $E$  is set of edges each formed between every node pair

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph
- $V$  is set of points in feature space
- $E$  is set of edges each formed between every node pair

Goal: Partition  $V$  into disjoint  $V_1, V_2, \dots, V_m$  where nodes in a particular  $V_i$  are highly similar and across  $V_i$  and  $V_j$  are highly dissimilar

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph
- $V$  is set of points in feature space
- $E$  is set of edges each formed between every node pair

Goal: Partition  $V$  into disjoint  $V_1, V_2, \dots, V_m$  where nodes in a particular  $V_i$  are highly similar and across  $V_i$  and  $V_j$  are highly dissimilar

- ❶ **What is the precise criterion for a good partition?**

# Graph Theoretic Formulation

$$G = (V, E)$$

- Weighted undirected graph
- $V$  is set of points in feature space
- $E$  is set of edges each formed between every node pair

Goal: Partition  $V$  into disjoint  $V_1, V_2, \dots, V_m$  where nodes in a particular  $V_i$  are highly similar and across  $V_i$  and  $V_j$  are highly dissimilar

- ❶ **What is the precise criterion for a good partition?**
- ❷ **How can such a partition be computed efficiently?**

# Grouping as Graph Partitioning

Remove edges connecting the nominated partitions (A and B)

# Grouping as Graph Partitioning

Remove edges connecting the nominated partitions (A and B)

End Gain:  $A, B \subset V, A \cup B = V, A \cap B = \phi$

# Grouping as Graph Partitioning

Remove edges connecting the nominated partitions (A and B)

End Gain:  $A, B \subset V, A \cup B = V, A \cap B = \phi$

Degree of dissimilarity (assuming edge weight  $\propto 1/\text{distance}$  between nodes)

$$\text{cut}(A, B) = \sum_{u \in A, v \in B} w(u, b) \quad (1)$$

# Grouping as Graph Partitioning

Remove edges connecting the nominated partitions (A and B)

End Gain:  $A, B \subset V, A \cup B = V, A \cap B = \phi$

Degree of dissimilarity (assuming edge weight  $\propto 1/\text{distance}$  between nodes)

$$\text{cut}(A, B) = \sum_{u \in A, v \in B} w(u, v) \quad (1)$$

**Optimal bipartitioning minimizes the cut value**

# Grouping as Graph Partitioning

Remove edges connecting the nominated partitions (A and B)

End Gain:  $A, B \subset V, A \cup B = V, A \cap B = \phi$

Degree of dissimilarity (assuming edge weight  $\propto 1/\text{distance between nodes}$ )

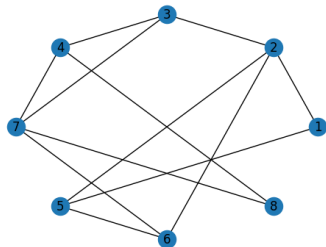
$$\text{cut}(A, B) = \sum_{u \in A, v \in B} w(u, b) \quad (1)$$

**Optimal bipartitioning minimizes the cut value**

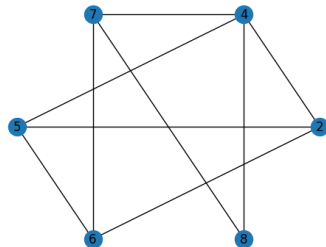
Wu and Leahy proposed a clustering approach based on MinCut

# Mincut

Original Graph



Merged with max with in\_place



# Mincut



Figure: Original image



Figure: Ncut

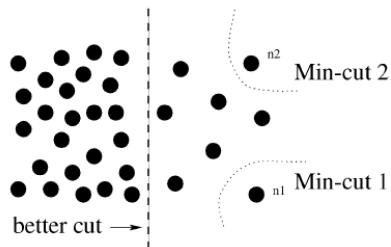


Figure: Min cut

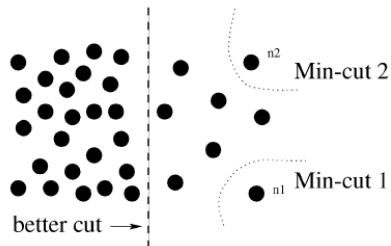
# Section

- 1 Introduction
- 2 Normalized Cut**
- 3 Implementation
- 4 Comparision
- 5 Conclusion

# Normalized Cut

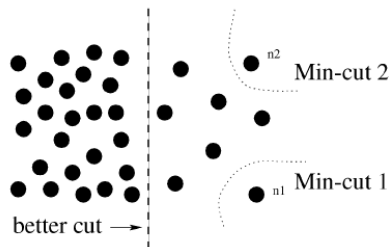


# Normalized Cut



$$NCut(A, B) = \frac{cut(A, B)}{assoc(A, V)} + \frac{cut(B, A)}{assoc(B, V)}$$

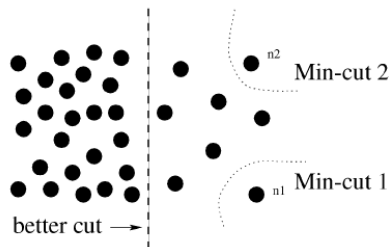
# Normalized Cut



$$NCut(A, B) = \frac{cut(A, B)}{assoc(A, V)} + \frac{cut(B, A)}{assoc(B, V)}$$

$$Nassoc(A, B) = \frac{assoc(A, A)}{assoc(A, V)} + \frac{assoc(B, B)}{assoc(B, V)}$$

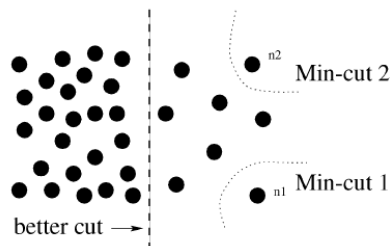
# Normalized Cut



$$NCut(A, B) = \frac{cut(A, B)}{assoc(A, V)} + \frac{cut(B, A)}{assoc(B, V)}$$
$$Nassoc(A, B) = \frac{assoc(A, A)}{assoc(A, V)} + \frac{assoc(B, B)}{assoc(B, V)}$$

$$NCut(A, B) = 2 - Nassoc(A, B)$$

# Normalized Cut



$$NCut(A, B) = \frac{cut(A, B)}{assoc(A, V)} + \frac{cut(B, A)}{assoc(B, V)}$$
$$Nassoc(A, B) = \frac{assoc(A, A)}{assoc(A, V)} + \frac{assoc(B, B)}{assoc(B, V)}$$

$$NCut(A, B) = 2 - Nassoc(A, B) \quad \therefore NCut(A, B) \propto 1 / Nassoc(A, B) \quad (2)$$

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

# Computing the Optimal Partition

$(A, B)$  is a given partition of graph  $(V, E)$

Setup:

# Computing the Optimal Partition

$(A, B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i,j)$

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i,j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i,j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$
- $W$  is a  $N \times N$  symmetric matrix with  $W(i,j) = w_{ij}$

# Computing the Optimal Partition

$(A, B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i, j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$
- $W$  is a  $N \times N$  symmetric matrix with  $W(i, j) = w_{ij}$
- $k = \frac{\sum_{x_i > 0} d_i}{\sum_i d_i}$  and  $b = \frac{k}{(1 - k)}$

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i,j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$
- $W$  is a  $N \times N$  symmetric matrix with  $W(i,j) = w_{ij}$
- $k = \frac{\sum_{x_i > 0} d_i}{\sum_i d_i}$  and  $b = \frac{k}{(1-k)}$

$$4NCut(A, B) = \frac{[(\mathbf{1} + x) - b(\mathbf{1} - x)]^T (D - W) [(\mathbf{1} + x) - b(\mathbf{1} - x)]}{b \mathbf{1}^T D \mathbf{1}}$$

# Computing the Optimal Partition

$(A,B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i,j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$
- $W$  is a  $N \times N$  symmetric matrix with  $W(i,j) = w_{ij}$
- $k = \frac{\sum_{x_i > 0} d_i}{\sum_i d_i}$  and  $b = \frac{k}{(1-k)}$

$$4NCut(A, B) = \frac{[(\mathbf{1} + x) - b(\mathbf{1} - x)]^T (D - W) [(\mathbf{1} + x) - b(\mathbf{1} - x)]}{b \mathbf{1}^T D \mathbf{1}}$$

setting  $y = \frac{(\mathbf{1} + x) - b(\mathbf{1} - x)}{2}$  gives  $y^T D y = b \mathbf{1}^T D \mathbf{1}$  and  $y^T D \mathbf{1} = 0$

# Computing the Optimal Partition

$(A, B)$  is a given partition of graph  $(V, E)$

Setup:

- $x$  is  $N = |V|$  dimensional indicator vector
- $d(i) = \sum_j w(i, j)$
- $D$  is a  $N \times N$  diagonal matrix where  $D_{ii} = d_i$
- $W$  is a  $N \times N$  symmetric matrix with  $W(i, j) = w_{ij}$
- $k = \frac{\sum_{x_i > 0} d_i}{\sum_i d_i}$  and  $b = \frac{k}{(1 - k)}$

$$4NCut(A, B) = \frac{[(\mathbf{1} + x) - b(\mathbf{1} - x)]^T (D - W) [(\mathbf{1} + x) - b(\mathbf{1} - x)]}{b\mathbf{1}^T D \mathbf{1}}$$

setting  $y = \frac{(\mathbf{1} + x) - b(\mathbf{1} - x)}{2}$  gives  $y^T D y = b\mathbf{1}^T D \mathbf{1}$  and  $y^T D \mathbf{1} = 0$

Therefore,

$$\min_x Ncut(x) = \min_y \frac{y^T (D - W) y}{y^T D y}$$

with  $y(i) \in \{1, -b\}$  and  $y^T D \mathbf{1} = 0$

## Continued..

If  $y$  is relaxed on real values, we get

$$y_i = \arg.\min_{y^T D 1=0} \frac{y^T (D - W)y}{y^T D y} \quad (3)$$

## Continued..

If  $y$  is relaxed on real values, we get

$$y_i = \arg.\min_{y^T D 1=0} \frac{y^T (D - W)y}{y^T D y} \quad (3)$$

We can convert this to ( $z = D^{\frac{1}{2}}y$ ):

$$z_i = \arg.\min_{z^T z_0=0} \frac{z^T D^{-1/2}(D - W)D^{-1/2}z}{z^T z} \quad (4)$$

## Continued..

If  $y$  is relaxed on real values, we get

$$y_i = \arg.\min_{y^T D 1=0} \frac{y^T (D - W)y}{y^T D y} \quad (3)$$

We can convert this to ( $z = D^{\frac{1}{2}}y$ ):

$$z_i = \arg.\min_{z^T z_0=0} \frac{z^T D^{-1/2}(D - W)D^{-1/2}z}{z^T z} \quad (4)$$

### Theorem

Let  $A$  be a real symmetric matrix. Given  $x$  is orthogonal to the  $j - 1$  smallest eigenvectors  $x_1, \dots, x_{j-1}$ ,  $\frac{x^T A x}{x^T x}$  is minimized by the next smallest eigenvector  $x_j$  and its minimum value is corresponding  $\lambda_j$ .

## Continued..

If  $y$  is relaxed on real values, we get

$$y_i = \arg.\min_{y^T D 1=0} \frac{y^T (D - W)y}{y^T D y} \quad (3)$$

We can convert this to ( $z = D^{\frac{1}{2}}y$ ):

$$z_i = \arg.\min_{z^T z=0} \frac{z^T D^{-1/2}(D - W)D^{-1/2}z}{z^T z} \quad (4)$$

### Theorem

Let  $A$  be a real symmetric matrix. Given  $x$  is orthogonal to the  $j - 1$  smallest eigenvectors  $x_1, \dots, x_{j-1}$ ,  $\frac{x^T A x}{x^T x}$  is minimized by the next smallest eigenvector  $x_j$  and its minimum value is corresponding  $\lambda_j$ .

**Thus the second smallest eigenvector of the eigensystem gives us the real valued solution to our normalized cut problem**

# Trailing

The generalized eigensystem can be transformed into a standard eigenvalue problem of  $D^{-1/2}(D - W)D^{-1/2}x = \lambda x$

# Trailing

The generalized eigensystem can be transformed into a standard eigenvalue problem of  $D^{-1/2}(D - W)D^{-1/2}x = \lambda x$

Takes  $O(n^3)$  operations ( $n = |V|$ ).

Impractical when  $n$  is pixels in a high dimension image!

# Trailing

The generalized eigensystem can be transformed into a standard eigenvalue problem of  $D^{-1/2}(D - W)D^{-1/2}x = \lambda x$

Takes  $O(n^3)$  operations ( $n = |V|$ ).

Impractical when  $n$  is pixels in a high dimension image!

- graphs are locally connected and **resulting eigensystems are very sparse**
- only **top few eigenvectors** are needed for partitioning
- precision requirement for eigenvectors is very low, **except the right sign bit**

The generalized eigensystem can be transformed into a standard eigenvalue problem of  $D^{-1/2}(D - W)D^{-1/2}x = \lambda x$

Takes  $O(n^3)$  operations ( $n = |V|$ ).

Impractical when  $n$  is pixels in a high dimension image!

- graphs are locally connected and **resulting eigensystems are very sparse**
- only **top few eigenvectors** are needed for partitioning
- precision requirement for eigenvectors is very low, **except the right sign bit**

## Lanczos Method

Running time  $O(mn) + O(mM(n))$

$m$  - maximum matrix-vector computations

$M(n)$  - cost of a matrix-vector computation of  $Ax$  where

$$A = D^{-1/2}(D - W)D^{-1/2}$$

# Trailing

The generalized eigensystem can be transformed into a standard eigenvalue problem of  $D^{-1/2}(D - W)D^{-1/2}x = \lambda x$

Takes  $O(n^3)$  operations ( $n = |V|$ ).

Impractical when  $n$  is pixels in a high dimension image!

- graphs are locally connected and **resulting eigensystems are very sparse**
- only **top few eigenvectors** are needed for partitioning
- precision requirement for eigenvectors is very low, **except the right sign bit**

## Lanczos Method

Running time  $O(mn) + O(mM(n))$

$m$  - maximum matrix-vector computations

$M(n)$  - cost of a matrix-vector computation of  $Ax$  where

$$A = D^{-1/2}(D - W)D^{-1/2}$$

$W$  is sparse  $\rightarrow A$  is sparse  $\rightarrow$  **matrix vector computation is  $O(n)$**

# Creating and stabilizing the partition

Our eigenvectors take continuous values

# Creating and stabilizing the partition

Our eigenvectors take continuous values

**Splitting point of partitioning** is needed.

# Creating and stabilizing the partition

Our eigenvectors take continuous values

**Splitting point of partitioning** is needed.

- ① Zero or median may be possible candidate
- ② Check  $l$  evenly spaced splitting points and compute the best  $NCut$  among them

Approach for stabilizing:

# Creating and stabilizing the partition

Our eigenvectors take continuous values

**Splitting point of partitioning** is needed.

- ① Zero or median may be possible candidate
- ② Check  $l$  evenly spaced splitting points and compute the best  $NCut$  among them

Approach for stabilizing:

**Ignore eigenvectors having smoothly varying eigenvector values**

# Section

- 1 Introduction
- 2 Normalized Cut
- 3 Implementation**
- 4 Comparision
- 5 Conclusion

# Implementation

Images : Matrices of pixel values (Channels)

- Range of pixel values: 0 - 255
- Black and white Images - 1 channel
- Colored images - 3 channels(RGB)

Scikit-image : Image processing library in python

- Has algorithms for image segmentation(including Ncut)

Ncut function in scikit-image library -

- Based on the paper we are discussing
- Creates a Region Adjacency Graph (RAG)
- Recursively performs a Normalized Cut on the RAG

# Implementation

For our implementation, we use a  $3468 \times 4624$  pixels image.



Figure: Original image

# Implementation

We then tried segmentation using different number of segments, the output for which is as follows -

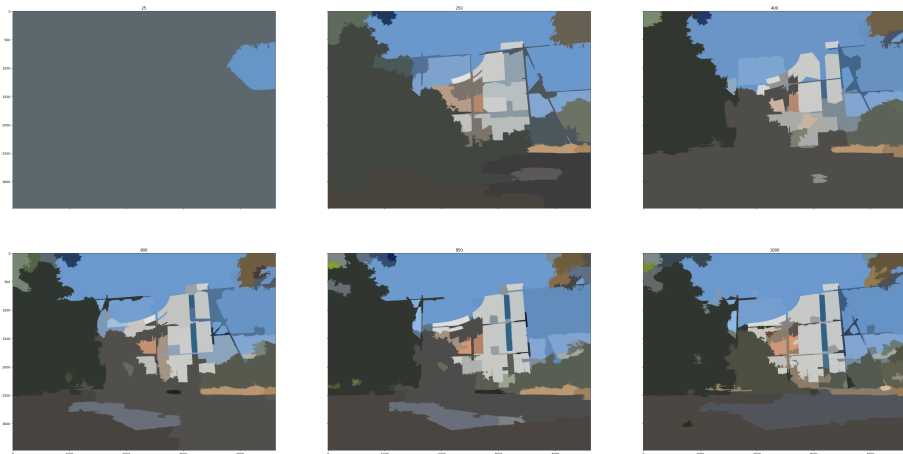


Figure: Segmented images

# Implementation

Comparing the original image and a segmented image -

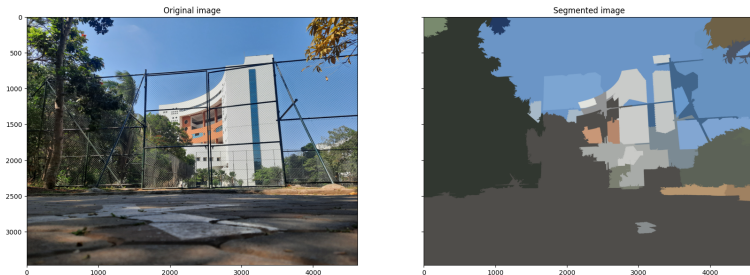


Figure: Comparision

The full code for the image segmentation performed above can be found here - <https://github.com/Swastikamohapatra/Normalized-cut-Image-segmentation>

# Section

- 1 Introduction
- 2 Normalized Cut
- 3 Implementation
- 4 Comparision**
- 5 Conclusion

# Comparison

The normalized cut formulation has a certain resemblance to the average cut, as well as the average association formulation. All three of these algorithms can be reduced to solving certain eigenvalue systems.

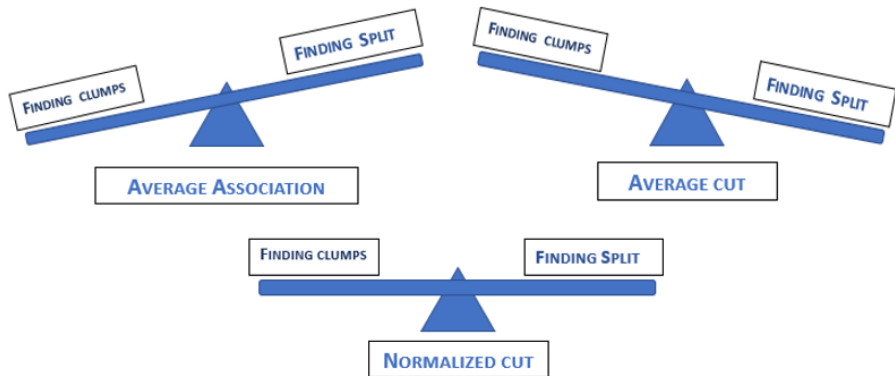


Figure: Comparison

# Illustration

To illustrate these above said points, we consider a set of randomly distributed data in 1 Dimension. The 1 Dimensional data is made up of two subsets of points:-

- The first 20 points are randomly distributed from 0 to 0.5.
- The remaining 12 points are randomly distributed from 0.65 to 1

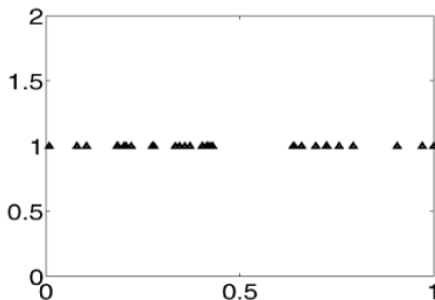


Figure: 1D Data set

## Making a Weighted Graph out of the data set:

- Node = Data Points
- weight = Inversely Proportional to the distance between two Nodes
- Three Monotonically decreasing Weight function with different rate of fall-off:
  - $w(x) = e^{(-d(x)/-0.1)^2}$
  - $w(x) = 1 - d(x)$
  - $w(x) = e^{(-d(x)/-0.2)}$

Where  $d(x)$  is a distance function

# First Function

First Function:  $w(x) = e^{(-d(x)/-0.1)^2}$

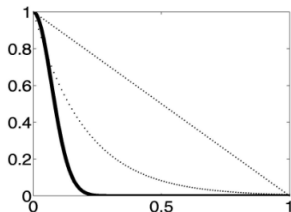


Figure: Weight function

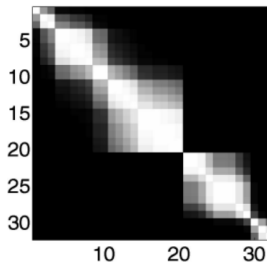
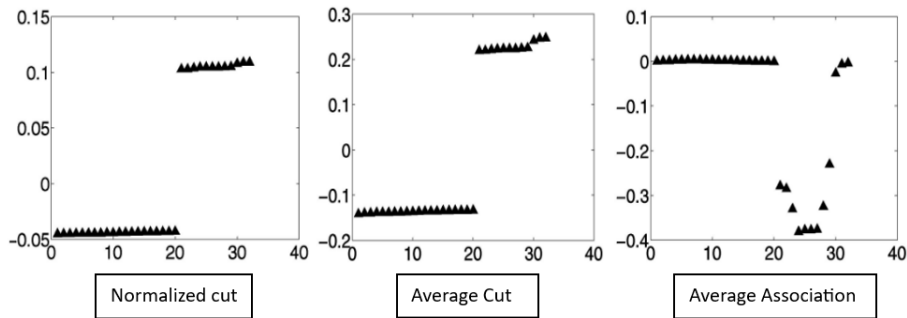


Figure: Graph weight matrix

## Note:-

- This function has the fastest decreasing rate among the three.
- Weight is represented by brightness(i.e. higher the weight higher the brightness and vice versa).
- With this weight function, only close-by points are connected.

# First Function



## Findings/Observation:-

- Using the second extreme eigenvector, both Normalized and Average Cut partitioned the data point into two clusters which is the true situation
- Average Association fails to do the right clustering. It partitioned the data point into isolated small clusters because of its bias towards finding “tight” clusters.

# Second Function

Second Function:  $w(x) = 1 - d(x)$

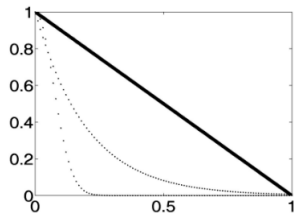


Figure: Weight function

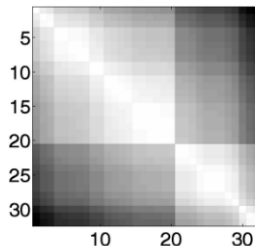
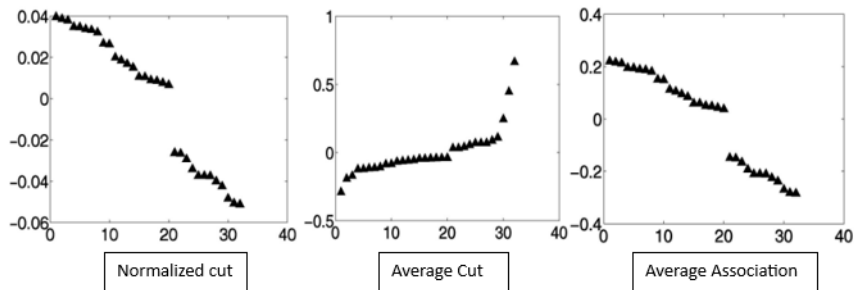


Figure: Graph weight matrix

## Note:-

- This function has the slowest decreasing rate among the three.
- With this weight function, most points have non trivial connection to the rest.

# Second Function



## Findings/Observation:-

- Normalized Cut gives the right partition.
- Average Association also gives the right partition because it easily finds the two the two tight cluster by eliminating few edges with heavy weight across the two clusters.
- Average cut fails because the cluster on the right has less within-group similarity comparison with the cluster on the left. Thus average has trouble deciding on where to cut.

# Third Function

$$\text{Third Function: } w(x) = e^{(-d(x)/-0.2)}$$

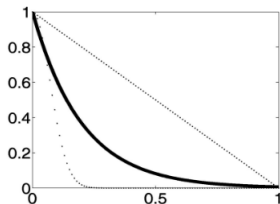


Figure: Weight function

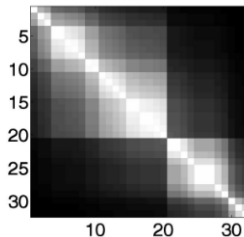
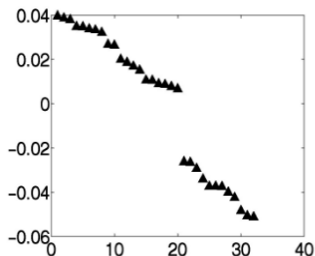


Figure: Graph weight matrix

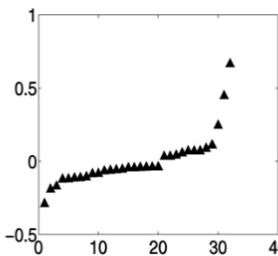
## Note:-

- This function has the moderate decreasing rate among the three.
- with this weight function, the nearby-point connections are balanced against far-away point connections. .

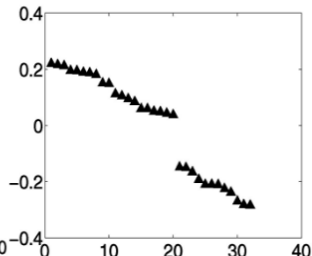
# Third Function



Normalized cut



Average Cut



Average Association

## Findings/Observation:-

- Normalized cut produces a more clearer solution than the other two because it somehow balance the goal of “Clustering” and “Segmentation”.

**Hence, Normalized cut performs well for all these three situation.**

# Section

- 1 Introduction
- 2 Normalized Cut
- 3 Implementation
- 4 Comparision
- 5 Conclusion**

# Conclusion

- Finally, we got a grouping algorithm that focuses on perceptual grouping and aims to extract the global impression of a picture.
- Minimizing Normalized Cut(unbiased measure of disassociation between subgroups of a graph) leads to directly maximizing the Normalized Association(unbiased measure for total association within the subgroups).

$$Ncut(A, B) = 2 - Nassoc(A, B)$$

- Converting the problem of computing the minimum Normalized cut into a problem of solving a generalized eigenvalue system, makes the algorithm more efficient.

Thank You