

# Vision-based Hand Pose Estimation

## *A Mixed Bottom-up and Top-down Approach\**

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Abstract: Tracking a human hand position and orientation in image sequences is nowadays possible with local search methods, given that a good initialization is provided and that the hand pose and appearance have small frame-to-frame changes. However, if the target moves too quickly or disappears from the field of view, re-initialization of the tracker is necessary. Fully automatic initialization is a very challenging problem due to multiple factors, including the difficulty in identifying landmarks on individual fingers and reconstructing the hand pose from their position. In this paper, we propose an appearance based approach to generate candidates for hand postures given a single image. The method is based on matching hand silhouettes to a previously trained database, therefore circumventing the need for explicit geometric pose reconstruction. A dense sampling of the hand appearance space is obtained through a simulation environment and the corresponding silhouettes stored in a database. In run time, the acquired silhouettes are efficiently retrieved from the database using a mixture of bottom-up and top-down processes. We assess the performance of our approach in a series of simulations, evaluating the influence of the bottom-up and top-down processes in terms of estimation error and computation time, and show promising results obtained with real sequences.

## 1 INTRODUCTION

Human Computer Interaction (HCI) is an active research topic in computer vision community, where the main goal is to create an easier interface by taking direct advantage of natural human skills. To manage this kind of interface it is necessary to achieve precise motion measurement of various human parts (Erol et al., 2005). In this context the hand can be seen as an interaction device with large complexity, over 27 Degrees of Freedom (DOF), forming a very effective and general purpose interactive tool for HCI (Rehg and Kanade, 1994). Hand interaction enables a large number of advanced applications, such as surgical simulations, robot interaction, virtual or augmented environment interactions, among others.

To be useful in practice, HCI should embrace a tracking algorithm capable of achieving: (i) self-starting; (ii) accuracy for long sequences; (iii) independence regarding the activity; (iv) robustness to drift and occlusions; (v) computational efficiency; and (vii) ability to operate with mobile cameras.

Background subtraction techniques are not recommended because tracking may have to be accomplished in environments with moving background (Ramanan et al., 2007a) (Zhiguo and Yan, 2010). The focus of this paper is related with the automatic initialization of the tracker in one of the most challenging problems in HCI: human hand detection and tracking.

A number of 3D object trackers rely on Particle Filters (PF), representing a distribution of weighted hypotheses of object pose (Brandao et al., 2011). However particle filters still suffer from initialization problems and recovering after occlusions. Even small deviations from the assumed motion models can cause tracking failure. When a particle filter starts or is to be reinitialized, particles are often distributed randomly in a high dimensional search space. Even with a great number of particles, it turns out to be difficult and time consuming to initialize the tracker.

In this paper, we present a method to address this problem by jointly using bottom-up and top-down schemes. The algorithm initially builds a training set with known postures. In run time the observed image is matched against the trained set of hypotheses using two matching metrics with different computational costs and precisions: first, the geometric moments (bottom-up) are able to perform a fast filtering

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on the training set. Second, the Hammoude metric (top-down) allows to obtain a more reliable posture hypothesis. With this strategy, a very quick bottom-up approach filters out most of the pose candidates so that the more computational intensive top-down process only has to evaluate a reduced number of hypotheses.

The idea of combining bottom-up and top-down approaches has been successfully exploited in other applications. For instance, in (Ramanan et al., 2007a), two different methods are used to build models for person detection. First a bottom-up approach searches for body part candidates in the image, which are then clustered to find and identify assemblies of parts that might be people. Simultaneously, a top-down approach is used to find people by projecting the previous assembled parts in the image plane.

We believe that the combination of the bottom-up and top-down processes above mentioned, is the key for the efficiency and reliability of detection and tracking algorithms. In one hand, the amount of image information to process is huge and thus requires top-down constraints given by models. However, matching the models to the image must be guided by bottom-up processes for efficiency. We evaluate our method and study the trade-off between the bottom-up and top-down processes in a series of simulations.

Our paper is organized as follows. Section 2 describes related work. In Section 3 we describe the method's architecture, which is divided in to the following major components: (i) the machine learning part (offline) and (ii) the matching strategy between the observed image and the generated hypotheses (online). In Section 3 some experiments concerning realistic scenarios is presented. Finally, Section 4 presents the conclusions of the paper and provides directions for further research work.

## 2 RELATED WORK

A large number of works have been made available concerning human motion analysis, although with different focus and classification methods. In (Gavrila, 1999) the division is made into 2D and 3D approaches in which the 2D approaches are further sub-branched in methods that take advantage of an explicit use of shape models, and others that do not use any kind of model (*i. e.* Image Descriptors). In recent works (*e.g.* (Borenstein and Ullman, 2008), (Brandao et al., 2011)), various directions in research have emerged, such as combining top-down and bottom-up models, PF algorithms for tracking human body parts, and model-free approaches. Many of these new trends

cannot be placed within the classifications mentioned above. So, a more generic approach is proposed in (Poppe, 2007), where the main division is made according to model-based (or generative) and model-free (or discriminative) approaches. The estimation process step consists is computing the pose parameters that minimizes the error between observation and the projection of the human body model. Two classes of estimators are possible to identify: top-down and bottom-up (Poppe, 2007). Top-down approach consists in matching a projection of the human body model with the observed image, while in Bottom-up approaches individual body parts are found and then assembled into a human body image. In more recent works (Brandao et al., 2011), (Ramanan et al., 2007b) these two are combined for better performance

### 2.1 Bottom-up Estimation

Bottom-up approaches are typically used to find body parts and then used to assemble them into a full human body; these parts are normally described as 2D templates. The main problems associated with the bottom-up process are normally the quantity of false positives marked as limb-like regions in an image. Another drawback is the need of part detectors for most body parts since missing information is likely to result in less accurate pose estimation.

In (Micilotta et al., 2006), the first step is to find a person in the image, so body parts are learned by the trackers and a possible assembly is found by applying RANdom SAMple Consensus (RANSAC). Heuristics are used to remove unlikely poses, and a prior pose determines the likelihood function of the assembly.

### 2.2 Top-down Estimation

Top-down approaches match a projection of the human body with the image observation. In order to achieve fast solutions, a local search is performed in the neighbourhood of an initial pose estimation (Gavrila, 1999). According to (Gavrila and Davis, 1996) a hierarchical classification is possible in order to achieve better performance for initial positioning. This way, they first build the torso and head and then the rest of the limbs of the model.

The main constraint presented in top-down approaches is the initialization in the first frame which leads to a manually starting requirement. Other issues are the computational effort of rendering the human body model and the calculation of the distance between the rendered model and the image observation.

Top-down approaches also present some problems

with (self) occlusions. Therefore, the errors are propagated through body parts. An inaccurate estimation for the head part, for example, will cause big orientation errors of lower body parts. To cope with some of these issues other techniques were used (*i.e.* by applying gradient descent on the cost function (Delamarre and Faugeras, 2001)).

### 2.3 Combining Bottom-up and Top-down Estimation

By combining pure top-down and bottom-up approaches, the drawbacks of both can be targeted. First the top-down initialization can be addressed by using bottom-up methods to provide first frame information. The computational cost to render the human body model can be drastically reduced when using bottom-up approaches to generate a small number of hypotheses, to be then tested with the top-down models. Second, bottom-up false positives can be removed by projecting them into the image, using top-down approaches to reconfirm if the produced hypothesis is correct. Top-down approaches may be implemented in order to work as a part detector for bottom-up estimation.

This integration is made in (Kyrki, 2005) by using the correspondence between interest points (texture) in the set and tracking with optical flow estimation along contours, using the Kalman Filter (KF). In (Ramanan et al., 2007b) both approaches are also integrated, in order to address the problem of tracking multiple limbs of the human body. In the bottom-up part the detection is made by a rectangular contour template, which identifies possible body limb hypotheses, whereas the top-down approach looks for possibilities to assemble the human body model with the detected rectangles. The model is built taking into consideration the constrain that limbs keep certain poses between each other.

In (Okuma et al., 2004) a mixed approach is also applied for 2D tracking. The bottom-up layer is achieved by implementing the Adaboost Algorithm for object detection (in this case hockey players) and to deal with new instances in the image. On the Top-down method a "mixture particle filter" (MPF) is applied in order to track multiple players. Therefore the Adaboost is trained to detect players and combined with the MPF to construct their distribution.

## 3 ALGORITHM

In this paper we combine bottom-up and top-down processes for the detection of specific gestures and

pose estimation of a human hand. The top-down process is encoded in templates of the hand silhouette for a dense discretization of the pose space. Because exhaustive template matching of all possible pose hypotheses is very expensive, the bottom-up process performs a fast moment-based filtering of color blobs in the image that are likely to contain hands on certain poses. The candidates are then ranked by quality so that the top-down process can concentrate its resources on the most promising ones. The steps of the approach are next described in detail.

### 3.1 General Approach

This section describes the procedure of the proposed framework. The creation of the top-down models comprise a training stage with the following steps:

- Computation of the quaternions necessary to generate training hand pose hypotheses images (see Fig. 1, most-left column). A total of 23900 images are used.
- Hand pose hypothesis are then generated in the OpenRAVE simulator (Diankov, 2008) with an existing humanoid 3D model. A total of 23500 images are used for training, (Fig. 1, top of the 2nd column).
- The images are segmented (*i.e.* the silhouettes or contours are obtained) and corrected in perspective to simulate frontal views (Fig. 1, top of the 3rd column).
- The geometric moments of the contours are computed.
- The silhouettes are stored in a database, together with both the binary masks and the geometric moments. Also the ground truth poses (*i.e.* quaternions) are stored.

The previous items are fulfilled in offline fashion. It follows the online test step, which performs the matching between the acquired hand silhouette (*i.e.* test image) and the pre-trained database of canonical pose hypotheses described above. In run-time, each acquired image silhouette is also pre-processed as in the training stage (*i.e.* through the color segmentation process, perspective correction and binarization). A total of 400 images are used for testing (bottom of the Fig. 1). Then, the geometric moments of the newly acquired mask are used to rank the training set in descending order of match quality. We filter the top 1000 hypotheses candidates (Fig. 1, 4th column) that is the output of the bottom-up step of the framework. It follows the top-down procedure which allows a more precise match using Hammoude metric

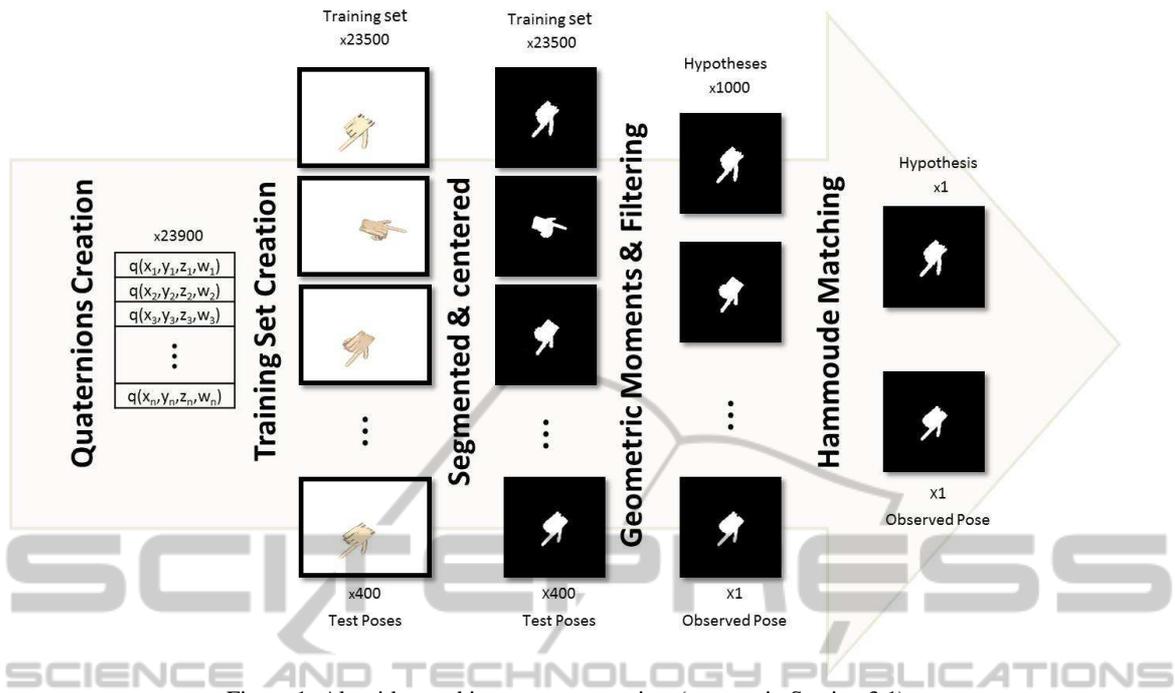


Figure 1: Algorithm architecture: an overview (see text in Section 3.1).

(Nascimento and Marques, 2008) also known as the Jaccard distance (Hammoude, 1988). The top-down is applied over the top ranked candidates in order to provide for a final decision (Fig. 1, most-right column).

### 3.2 Training Images Generation

To generate hypotheses on OpenRAVE we place a virtual camera on the simulated model looking at the 3D hand model. By moving the camera around at a constant distance to the hand we create a virtual sphere path (see Fig. 2 for an illustration). To represent the orientation of the camera we use a quaternion representation. Uniform samples (see Fig. 3) on the orientation sphere are generated by drawing quaternions from a Gaussian distribution. For each sample a difference of  $5^\circ$  (degrees) is guaranteed in the generation process. The camera rotation matrix is given by (Shoemake, 1995):

$$M = 2 \begin{bmatrix} \frac{1}{2} - y^2 - z^2 & xy + wz & xz - wy \\ xy - wz & \frac{1}{2} - x^2 - z^2 & yz + wz \\ xz + wy & yz - wz & \frac{1}{2} - x^2 - y^2 \end{bmatrix} \quad (1)$$

using the restriction  $w^2 + x^2 + y^2 + z^2 = 1$  for a quaternion  $q = [w, (x, y, z)]$ .

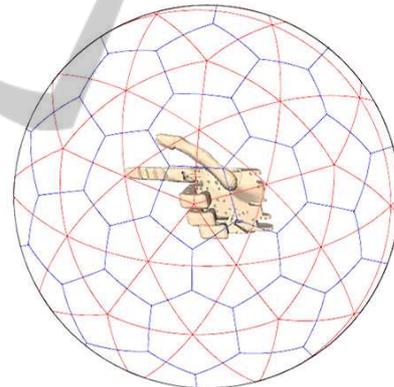


Figure 2: Virtual sphere path for acquiring the training set. The center of each hexagon corresponds to different camera position.

### 3.3 Segmentation and Localization

One of the most important steps in the algorithm is the hand segmentation. To accomplish this, we use the HSV color space, which allows better luminosity invariance. For the image segmentation a Histogram Backprojection algorithm is used (Swain and Ballard, 1991), resulting in a histogram of the likelihood of each pixel constituting the hand. Basically, this algorithm assumes that a color histogram is known before hand. The algorithm tries to localize in the image domain, the colors of the object being looked for. Therefore, a salience map is created, i.e. a probability map

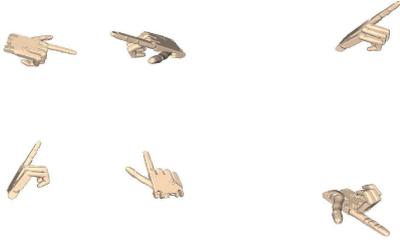


Figure 3: Some image samples generated with the OpenRAVE.

for the presence of the object for each and every pixel on the image. The histogram indicates the probability of occurrence for the hand colors.

After the filtering process the result is a segmented hand, though with some noise. To clean up the image we make some image processing, by filling the holes inside the hand and removing out border objects. Subsequently we obtain a binary image with a segmented hand. This method is identical for the training set images and for the images which we want to determine the position – the observed (test) images.

For better matching, the hand centroid  $(x_0, y_0)$  is placed in the center of the image, though for this procedure the hand has to be rotated according to the displacement made before. The Homography for projecting and rotating points in an equivalent pan-tilt camera are (Brandao et al., 2011):

$$x_1 = \frac{c_t s_p + c_p x_0 - s_t s_p y_0}{c_t c_p - s_p x_0 - s_t c_p y_0} \quad (2)$$

$$y_1 = \frac{s_t + c_t y_0}{c_t c_p - s_p x_0 - s_t c_p y_0} \quad (3)$$

where  $c_p, s_p, c_t, s_t$  stand for  $\cos(p)$ ,  $\sin(p)$ ,  $\cos(t)$ ,  $\sin(t)$ , respectively,  $(x_1, y_1)$  represent the pixels after the rotation,  $p$  and  $t$  are the equivalent pan-tilt camera angles, meaning that the previous  $(x_0, y_0)$  are now centered in the camera. To compute the pan and tilt  $(p, t)$  angles the translation of the image must be known, so:

$$p = \arctan(x_1) \quad (4)$$

$$t = \arctan(y_1 c_p) \quad (5)$$

ending with a segmented hand centered with the camera and projected according to the movement made. These changes of perspective introduce error in the process though it is still acceptable.

Since we are working in a 2D image plane the Z coordinate can be interpreted as an area normalization factor that will be used in the matching metrics.

### 3.4 Pose Estimation

In order to obtain a faster algorithm, we try to compute all the information needed for the estimation in offline mode. This is accomplished by calculating the geometric moments for the training set (bottom-up), granting us a good filter (of the training set) in real time application. The Hammoude metric (top-down) will be applied next, since it provides high accuracy but takes longer to compute.

#### 3.4.1 Geometric Moments and their Match

To obtain fast descriptors of hand characteristics, posture and shape, we use geometric moments. These can be made invariant to position and scale by centering and normalizing by area:

$$u_{pq} = \frac{\sum_x \sum_y (x - x_0)^p (y - y_0)^q I(x, y)}{M_{00}^{1 + \frac{p+q}{2}}} \quad (6)$$

where  $u_{pq}$  stands for the moment of order  $p + q$ ,  $M_{00}$  for hand area and  $I(x, y)$  for image pixel. According to our studies, it is essential to keep the moments of order higher than  $4^{th}$ , since the higher the order the more discriminative characteristics we get. In contrast, lower orders describe the hand position and area, which we want to be invariant.

To get the matching distance between trained and observed images, a Mahalanobis-like distance is used:

$$d = \sum_{p,q} \frac{(\tilde{n}_{pq} - n_{pq}^i)^2}{var(n_{pq})} \quad (7)$$

$\tilde{n}_{pq}$  is the moment calculated in an observed image,  $n_{pq}^i$  the moment trained in the train set hypotheses and  $var(n_{pq})$  is the variance of the moment in the training set. By minimizing the function we have the most likely hypothesis.

#### 3.4.2 Hammoude Metric

To evaluate with higher precision the match between the observed silhouettes and the one in the database, we use the Hammoude metric (Nascimento and Marques, 2008; Hammoude, 1988) that is defined as follows

$$d_{HMD}(y_1, y_2) = \frac{\#((R_{y_1} \cup R_{y_2}) \setminus (R_{y_1} \cap R_{y_2}))}{\#(R_{y_1} \cup R_{y_2})} \quad (8)$$

where  $R_{y_1}$  represents the image region delimited by the contour  $y_1$  (similarly for  $R_{y_2}$ ),  $\#$  denotes the number of pixels within the region by the expression in parenthesis, and  $\setminus$  denotes the minus operation between the sets. We then convert this value to a likelihood,  $p(y_1|y_2)$ , by:

$$p(y_1|y_2) = 1 - d_{HMD}(y_1, y_2) \quad (9)$$

## 4 RESULTS

In this section, we experimentally validate the performance of the top-down/bottom-up architecture for the hand pose estimation. We first assess the performance of each component individually. Then we experimentally illustrate the performance of the overall system.

### 4.1 Top-down vs Bottom-up

We start by illustrating the performance of the bottom-up component. To do so, we use a previously generated training set (23500 frames), and use a given test hand pose image. We compute the geometric moments (see eq. (6)) for that observed image and rank accordingly (see eq. (7)). We repeat this procedure for all images in the test set (*i.e.* 400 frames). Fig. 4 shows the cumulative rank of the geometric moments in which the bars represent the probability of hitting the correct hypotheses (*i.e.* hand poses). From this example, we see that the accuracy to first choose the correct hypothesis is 38% (left most bar in the histogram). The accuracy of 90% is reached for the top 23 matched hypothesis.

To compare the obtained results with the top-down component, we follow the same procedure (*i.e.* building the rank of the database for each test image). Fig. 5 shows the achieved results for the cumulative ranks. The performance accuracy is now 52% for the first choice. Also, it is illustrated that a faster convergence is achieved, where only 10 hypotheses suffice for achieving 90% accuracy. This allows us to conclude that the top-down mechanism definitively improves the quality of the detection with respect to the bottom-up method alone.

### 4.2 Pose Estimation

To assess the performance of the full hand pose estimation process, we first study how can we select the proper number of candidates provided by the bottom-up process. We have experimented numbers of candidates in the set  $R = \{1, 10, 100, 1000, 10000, 23500\}$ . Say that, in Fig. 1 - 4th column, we vary the number of hypotheses in the range  $R$ . We then assess the performance of the hand pose estimation by using the top-down approach over that number of candidates.

The error metric used, is the orientation error defined as

$$\varepsilon = 2\arccos(p \cdot q) \quad (10)$$

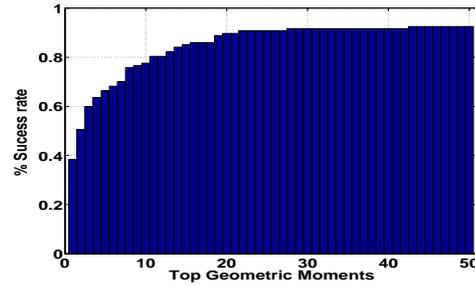


Figure 4: Accumulative rank for geometric moments.

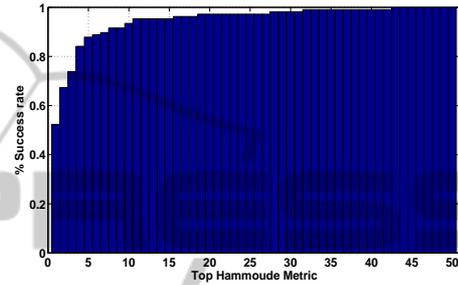


Figure 5: Accumulative rank for Hammoude Metric.

where  $p \cdot q$  stands for the inner product between two quaternions. The error in eq. (10) is computed between the know ground truth hand pose of the test image and the angle of maximum likelihood training image detected by the top-down process. Finally, the average of the orientation errors  $\varepsilon_{AV}$  is taken to assess the overall performance on the test set.

Table 1 shows the average of the orientation error  $\varepsilon_{AV}$  (in degrees) and the time to compute the pose estimation. As we can see, the time spent has a significant impact when the number of top samples grows. For online applications this is of paramount importance, where the time should be as low as possible<sup>2</sup>. Notice that, the orientation error regarding the ground truth is remarkably under 8%, being the best value achieved for 1000 candidate moments. However, the error value achieved for 100 frames is quite similar, thus being possible to use less than 1000 frames. This allows us to conclude that the geometric moments are, indeed, an important filtering step in order to efficiently reduce the training set to just 4%. Moreover, the integration of top-down provides higher accuracy (as already detailed in Section 4.1) where a small orientation error is obtained. Recall that, (see Section 3.2) a discretization of 5 degrees is used, meaning that the top-down procedure exhibits remarkable ac-

<sup>2</sup>The time results shown in Table 1 were obtained in a non-optimized Matlab code. This could be drastically reduced using a C++ base programming or by optimizing the algorithm in order to take advantage of GPU and/or by using multi-core computation.

Table 1: Mean and standard deviation (in parenthesis of the cell) order statistics of the orientation error  $\epsilon_{AV}$  (in degrees) and time spent ((s)-seconds, (ms)-milliseconds) for the hand pose estimation. The experiment is repeated for the top candidates moments defined in the range  $R$ .

# Cand. Mom	Time	$\epsilon_{AV} (^{\circ})$
1	25.2 (0) (ms)	17.8 (34.6)
10	4.21 (0.06) (s)	7.34 (15.4)
100	5.99 (0.98) (s)	5.86 (3.06)
1000	11.90 (2.74) (s)	5.77 (3.00)
10000	69.07 (5.33) (s)	5.77 (3.00)
23500	122 (8.11) (s)	6.06 (3.50)

curacy.

From Table 1 we observe that the error at the bottom line grows. The reason for this is the great number of possibilities available, many ambiguous, resulting in very small differences for classification. This leads to an effect similar to overfitting.

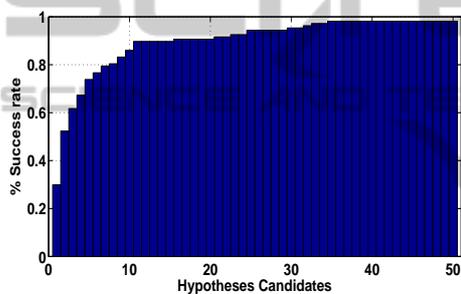


Figure 6: Accumulative rank using top 1000 candidate hypotheses.

Fig. 6 shows the accumulative rank when combining the bottom-up and top-down procedures. It can be seen that an accuracy of 90% is promptly reached using only 10 hypotheses candidates.

As a final experiment we evaluated several sequences in real settings. The goal is to recover the pose of a real human hand using the model learned with the OpenRAVE. We present the results of a sequence containing 50 frames. Fig. 7 shows some snapshots of the sequence as well as the recovered poses. We may notice some small differences between the shape of the hand (1st and 3rd rows of the Fig.7) and the corresponding poses (2nd and 4th rows). This happens due to the model particularities in the generation process using the OpenRAVE (see illustrations in Fig. 3) that is a bit different from the human hand.

We should stress that the presence of shadows and poor illumination in real settings can jeopardize the silhouette recovery, leading to the incorrect hypothesis given by the geometric moments and misleading pose recovery. Although, the segmentation used in our scenario suffices for a correct estimation, this is

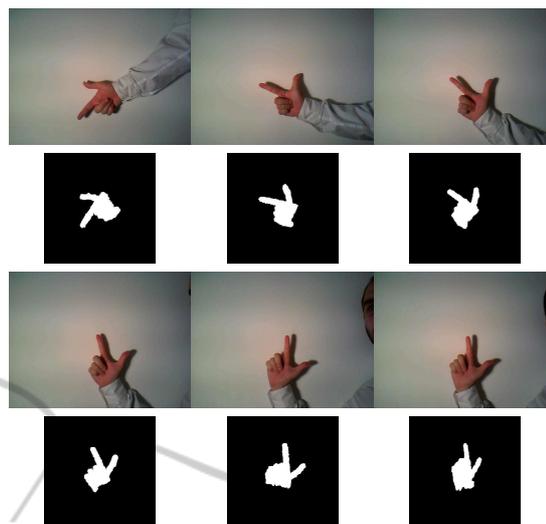


Figure 7: Six snapshots of the sequence (top) poses recovered by the algorithm (bottom).

an issue to take into consideration for other environments.

## 5 CONCLUSIONS

In this paper we proposed a 3D hand posture estimation framework. The architecture combines bottom-up and top-down approaches, providing an efficient tool for hand orientation detection. The algorithm presented is twofold. First, the bottom-up allows for an efficient reduction over the training set, having a significant impact on computational time. Second, the use of the top-down process provides an improved estimation accuracy. Fusing these two methods we can achieve faster performance and reliable estimation, in both synthetic and real environments.

We conclude that this method generates a good hypothesis estimator which is crucial for a fully automatic initialization. In future work we will focus on the integration of this proposed methodology in a full tracking framework (e.g. a particle filter architecture) and the addition of new hand postures for more general applications.

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