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1 *Type of the Paper (Article)*

2 Pupil Localisation and Eye Centre Estimation 3 using Machine Learning and Computer Vision

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13 **Abstract:** Various methods have been used to estimate the pupil location within an image or a
14 real-time video frame in many fields. However, these methods lack the performance specifically in
15 low-resolution images and varying background conditions. We propose a coarse-to-fine pupil
16 localisation method using a composite of machine learning and image processing algorithms. First,
17 a pre-trained model is employed for the facial landmark identification to extract the desired
18 eye-frames within the input image. We then use multi-stage convolution to find the optimal
19 horizontal and vertical coordinates of the pupil within the identified eye-frames. For this purpose,
20 we define an adaptive kernel to deal with the varying resolution and size of input images.
21 Furthermore, a dynamic threshold is calculated for reliable identification of the best-matched
22 candidate. We evaluated our method using various statistical and standard metrics along-with a
23 standardized distance metric we introduce first time in this study. Proposed method outperforms
24 previous works in terms of accuracy and reliability when benchmarked on multiple standard
25 datasets. The work has diverse artificial intelligence and industrial applications including human
26 computer interfaces, emotion recognition, psychological profiling, healthcare and automated
27 deception detection.

28 **Keywords:** Pupil detection; Deep eye, Iris detection; Eye centre localisation; Eye gaze; Facial
29 analysis, Image convolution; Machine intelligence, Pupil segmentation

30

31 1. Introduction

32 Detection and localization of the objects within images or real time video frames is considered
33 an essential task in various computer vision algorithms [1]. Various studies have addressed the
34 detection and tracking of facial landmarks including the iris and pupil which has various
35 applications particularly, eye gaze estimation for human-machine interfaces. Control of assistive
36 devices for disability [2], driver safety improvements [3-4], the design of diagnostic tools for brain
37 diseases [5], cognitive research [6], automated deception detection system (ADDs) [7] and academic
38 performance analysis [8] are some examples of such applications.

39 Research studies for the eye detection and eye tracking mostly focus on the iris and pupil
40 localization. Once the coordinates of pupils are determined, it can be used for the eye tracking, gaze
41 estimation and eye movements within the images and video frames [6]. Eye images can be
42 characterized by the intensity distribution of iris, pupil and the cornea, in addition to their shapes. It
43 should be noted that various aspects can influence the appearance of the eye including the viewing

44 angle, ethnicity, head position, eye colour, light conditions as well as the texture, eye state (e.g. half
45 closed, fully closed) and current wellbeing [6].

46 Overall, eye detection techniques can be classified as shape-based, feature-based,
47 appearance-based and hybrid methods. In the shape-based methods, open eyes are described by
48 their shapes including the pupil and iris contours as well as shape of the eyelids [9-11]. For the
49 feature-based methods, objective is to identify the local features within the eye that are less sensitive
50 to the varying illumination as well as viewpoint [12-15]. Appearance-based methods depend upon
51 detecting and tracking of the eyes using the photometric look which is characterized by colour
52 distribution and filter responses to eyes and their surroundings [16-18]. The hybrid methods aiming
53 to combine various techniques to mitigate the particular disadvantages of these methods [19-20].

54 Standard methods in gaze estimation are based on corneal reflections that needs an accurate
55 localization of the pupil centre as well as the glints [21]. Pupil and glints localization algorithms are
56 usually based on image processing such as morphological operators for the detection of contour [22]
57 and intensity threshold identification followed by the fitting using ray-based ellipse [23].
58 Topography based hybrid method is introduced in [24] which uses series of filters for the iris centre
59 estimation. However, these techniques assume that the pupil exists in the darkest area of the input
60 image and may susceptible to varying illumination conditions that might require manual tweaking
61 to the threshold parameters [25].

62

Table 1. Eye movements and classification algorithms

Reference	Model	Aims and Feature Used
[26]	Hidden Markov model	Use of fixation count, fixation durations to distinguish between expert and novice participants
[27]	Multi-layer perceptron (MLP)	Use pupil size & point-of-gaze for predicting the users' behaviours (e.g., word searching, question answering, looking for the most interesting title in a list)
[28]	Naïve Bayes classifier	Use of fixation duration, mean and standard deviation to identify various visual activities (e.g., reading, scene search)
[29]	MLP	Use of Pupil dilation, gaze dispersion to classify various tasks on decision making
[30]	Decision tree, MLP , support vector machines (SVM), linear regression	Use of fixation rate, fixation duration, fixations per trial, saccade amplitude, relative saccade angles to identify eye movements to predict visualization tasks

63 There are four main eye movement behaviours which are likely to show different details related
64 to cognitive efforts when responding to tasks including blinks, pupillary responses, fixations, and
65 saccades [31]. Blinking represents the involuntary deed of opening and closing the eyelids. Pupillary
66 responses are the changes in pupil size restrained by the involuntary nervous system. Fixation
67 represents the collection of gaze points that are relatively stable and near in spatial and temporal
68 vicinity. Saccade represents the rapid and small eye movements when moving from one object to
69 another [31]. These four eye-movement behaviours reveal the details about cognitive efforts and
70 therefore can be used as suitable inputs for designing the machine learning (ML) systems as
71 illustrated in Table 1 which shows various supervised ML algorithms to predict categorical
72 responses from the eye movements.

73 In addition to conventional methods, existing works also utilize the deep learning (DL)
74 approaches for the pupil detection while using hierarchical image patterns to enhance and eliminate
75 artefacts with Convolutional Neural Networks (CNNs). For instance, [21] proposed the use of fully
76 connected CNNs for segmentation of the entire pupil area in which they trained the network on 3946
77 video oscillography images. These images were hand annotated and generated within a laboratory
78 environment. The authors claim that the proposed network enables them to perform elliptical
79 contour detection, pupil centre estimation and blink detection. More explicitly, pupil centre are
80 predicted with a median accuracy of one pixel and gaze estimation accuracy within 0.5 degrees.
81 However, varying image resolution might provide different accuracy measures. More specifically,

82 [32] indicated the eye tracking as an important tool that can have a range of applications from
83 scientific research to commercial sector. The authors show that the use of tracking software based on
84 commodity hardware including tablets and smartphones, allows these advanced technologies to be
85 available for everyone. The system is called iTracker which uses a CNNs model indicating 2.53cm
86 and 1.71cm prediction error without calibration on tablets and smartphones respectively which is
87 reduced to 2.12cm and 1.34cm using calibration.

88 Research presented in [23] proposed a pipeline of two CNNs cascaded for pupil detection.
89 Authors claim that their method outperforms state-of-the-art techniques with detection rate up to
90 25% while avoiding computational complexity. To benchmark their proposed technique, 79000 hand
91 labelled images were used in which 41000 were complementary to existing images from the
92 literature. A similar work is presented in Naqvi et al. [33] which indicate that automobile accident
93 deaths could be minimized using drivers' gaze region to provide their point of attentions. In this
94 respect, the authors suggest the use of DL for gaze detection with the use of near-infrared camera
95 sensors. They incorporate driver head and eye movement into their study. Gaze estimation accuracy
96 was benchmarked using loosely correct estimation rate and strictly correct estimation rate in which
97 the study claim achieving good accuracy when benchmarked with the previous gaze classification
98 techniques.

99 Recent work that uses the CNNs based deep learning model for the pupil estimation [34]
100 indicate around 70% accurate estimations while error threshold is within the 5 pixels. However, this
101 accuracy is limited to be used in real time specifically, the applications that consider
102 micro-movements within the eyes such as ADDS [7]. Similar work that uses CNNs for the pupil
103 detection [35] indicates varying detection rate (70-90%) with respect to the tolerance level as pixel
104 error and dataset they employed for testing. The study outcomes clearly indicate the trade-off
105 between the error tolerance level and accuracy measure. Furthermore, the performance metric used
106 in these studies is not standard (i.e. the error as number of pixels) and might produces varying
107 accuracy with respect to image size and resolution. In contrast to CNNs, [36] utilizes the wavelet
108 transform to extract the distinguishing features while SVM is used for the pupil classification. This
109 work indicates 88.79% of accurate pupil estimation on a benchmarked dataset while utilizing the
110 standard validation metric.

111 Despite the variety of existing methods for the pupil localisation, further improvements are
112 required in terms of a precise estimation for the pupil location. For instance, DL-based pupil
113 localisation and gaze estimation in [21] uses pixel distance to validate the performance which is not a
114 standard representation of the error in case of varying resolutions. Furthermore, the validation is
115 performed on a dataset containing artificially rendered images which in most cases, does not reflect
116 the real time dynamics. Likewise, [37] presented gaze estimation that utilizes the DL-based facial
117 landmarks detection following the image segmentation to identify the pupil within the input
118 images. However, the 81% accuracy produced by the algorithm on a benchmark dataset indicates
119 the lack of preciseness in pupil localisation that might lead to the incorrect gaze estimation.
120 Furthermore, this study along with [23, 24] utilizes a static threshold while considering the pupil as
121 the darkest area within the image that may susceptible to various illumination conditions [25] and
122 low-resolution images. Likewise, the use of static size kernel for the template matching to find out
123 the best-matched candidate (i.e. pupil in this case) within the image might causes local maxima. For
124 instance, a smaller sized kernel may cause attention to noisy details (i.e. local maxima) whereas,
125 larger size may lead to mismatches and incorrect estimation of pupil location [38].

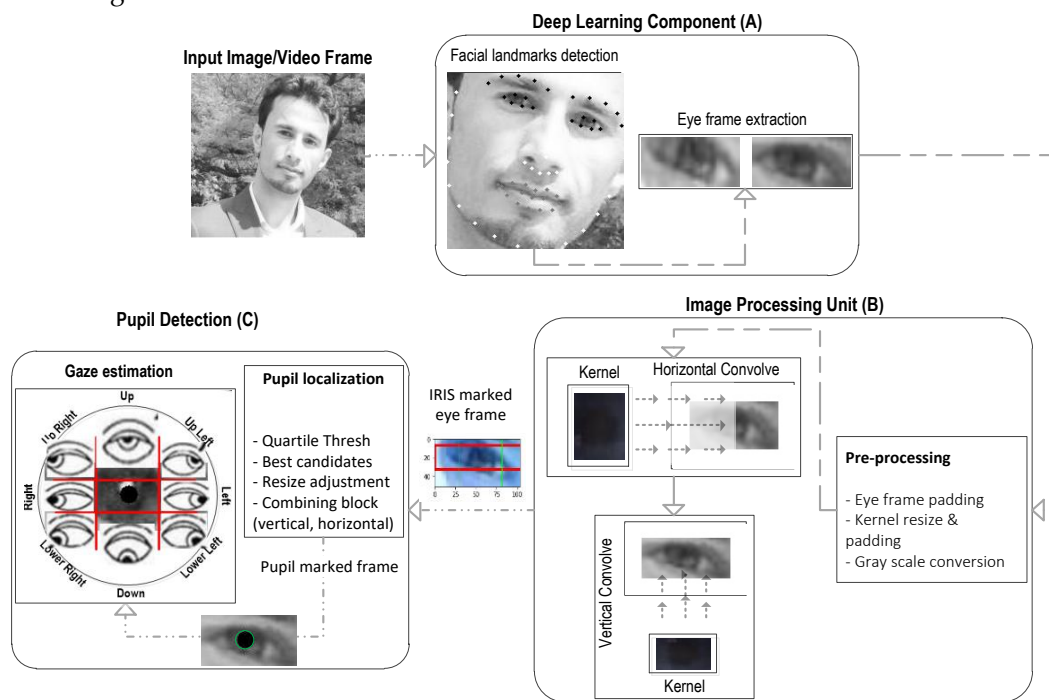
126 In proposed work, we introduce an efficient algorithm for the pupil identification within
127 low-resolution images (and video frames) using a composite of DL and image processing
128 algorithms. To clarify the novelty of this paper, the contributions are outlined as follows. a) utilizing
129 the pre-trained DL model to identify the facial landmarks and extraction of desired eye-frames
130 within the input images; b) unidirectional cascades of two-dimensional (2D) convolution is used to
131 determine the pupil coordinates within the eye-frames of varying characteristics; c) an adaptive size
132 of kernel is used to deal with the varying size of input images (i.e. eye-frame) during the template
133 matching; d) we used a dynamic threshold to identify the best matched candidate more reliably; e)

134 for the first time, we introduce a relative error metric to measure the standardized distance (i.e.
 135 error) between the estimated and actual pupil centres; f) we validated the proposed methodology
 136 over multiple publicly available and benchmark datasets containing high diversity in gaze positions,
 137 participants background, lighting illuminations, image background, and comparatively smaller size
 138 of eye-frames.

139 The remainder of this paper is organized as follows. Section 2 entails the proposed
 140 methodology and algorithms. Section 3 presents the detailed experimental design and newly
 141 introduced evaluation metric. Statistical results and technical discussions are presented in Section 4
 142 followed by a conclusion and future works in Section 5.

143 2. Proposed Method

144 The proposed pupil detection utilizes composite of techniques along with new algorithms while
 145 leveraging the DL-based facial landmark detection [39] to extract the eye information within an
 146 image/video frame. Existence of background noise and dark patches within the image frame and
 147 specifically prominent eyebrow parts, are normally detected as pits that might cause mismatch for
 148 computer vision-based iris and pupil detection [24, 38, 40]. However, this issue can be resolved
 149 readily by utilizing modern DL algorithms for a reliable face and eye-frame extraction from an
 150 ordinary quality images or video frames. In the first step, we utilize the facial landmark detection to
 151 extract the desired segments containing only the eye-frames (both left and right) from input image.
 152 We then convolve the extracted eye-frame with a pre-defined kernel in horizontal and vertical
 153 directions to identify the iris and pupil respectively within the eye-frame. We adapt the kernel size
 154 dynamically with respect to the varying eye-frame size to resolve the possible occurrences of local
 155 maxima being false representation of best matched patches. We further define a dynamic threshold
 156 for the identification of best-matched patch within the current eye-frame to reduce the impact of
 157 noisy matches. Figure 1 shows the sequential processing in our work to identify the pupil
 158 coordinates within an input image/video frame. The major components are: a) DL-based eye-frame
 159 extraction, b) image processing based iris localisation, and c) pupil detection, which are detailed in
 160 the following sub-sections.



161

162 **Figure 1.** Sequential processing components of the proposed method comprising A) DL library (i.e.
 163 Dlib-ml) for the eye-frame extraction, B) computer vision algorithm for localizing the potential iris
 164 and pupil candidates within eye-frames, C) post-processing for the pupil coordinate measurement.
 165 In images, eyes view is reversed (e.g. the left eye in an image is the right eye in actual and vice versa)

166 2.1. Eye frame extraction

167 The DL component utilises a well-known toolkit (Dlib-ml) [39] which can reliably identify the
 168 facial landmarks while producing extensive fiducial points (68 in total) on the face including eye
 169 corners and eye lids as shown in figure 1(A). We first extract the face rectangle from an image using
 170 Dlib-ml that not only removes the unnecessary portion of input frame but also helps to eliminate the
 171 major noisy components that might exist in background region of the image frame. Within the face
 172 region, we then note the identified extreme points (left, right, top, bottom) for eye corners and eye
 173 lids which are used to crop the exact eye-frames within the identified face rectangle. This is one of
 174 the major advantages of using Dlib-ml which reliably eliminates the unnecessary portion of an
 175 image and extract the exact region of interest (i.e. eye-frames in this case) from the input frame. Only
 176 the input images (or video frames) with exactly one face rectangle and two eye-frames are
 177 considered as 'valid'. The output of this component in form of eye-frames (left, right) are processed
 178 further to identify the iris and pupil within the image.

179 2.2. Iris segmentation and pupil localization

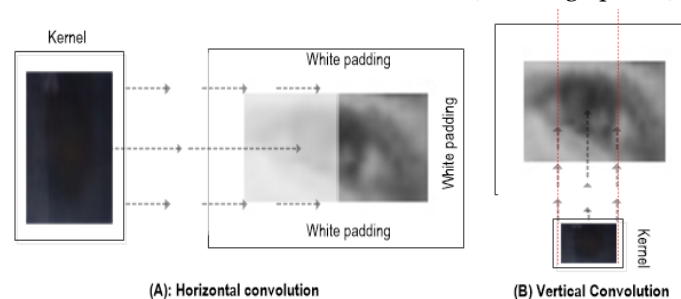
180 Following the eye-frame extraction, a convolution function is applied for the template matching
 181 between a custom kernel and eye-frame to localise the best matching segment within the eye-frame.
 182 Firstly, we built a custom kernel representing 100 iris frames (cropped from eyes frames) randomly
 183 chosen from datasets described in Section 3. The advantage of custom kernel over an ordinary black
 184 colour kernel, is a more generalized representation of an iris for a diverse population and
 185 morphology characteristics (e.g. geometry, patterns within the iris, colour etc.). Another common
 186 factor that can affect the template matching performance, is size of the template (i.e. kernel). Smaller
 187 sized kernel may cause attention to noisy details (i.e. local maxima) whereas, larger size may lead
 188 mismatches and incorrect estimation [38].

189 To resolve this issue, the adaptive size kernel is employed using the interpolation and
 190 extrapolation techniques where the size ($w_k \times h_k$) varies with respect to the input frame size (i.e.
 191 eye-frame). Furthermore, eye-frame (E) is padded with a rim of white pixels (see figure 1 and figure
 192 2) to enlarge it enough that the convolution kernel (K) fits inside the padded image to provide all
 193 possible best matches identification (i.e. between kernel K and overlapped eye-frame patches of a
 194 size similar to K). More specifically, when the desired patch (i.e. iris) is located at extreme positions
 195 (e.g. looking extreme left/right positions).

$$y[i,j] = \sum_{m=-\infty}^{\infty} \sum_{n=-\infty}^{\infty} K[m,n] \cdot E[i-m, j-n] \quad (1)$$

196

197 Equation 1 represents a 2D convolution function where E is the current eye-frame (within the
 198 input image) to be convolved with the kernel matrix K resulting y as the output image. The indices i ,
 199 j and m , n represent the indices within the E and K matrices (i.e. image pixels), respectively.



200

201 **Figure 2.** Horizontal convolution (A) and vertical convolution (B) between adaptive size kernel K
 202 and white outlined eye-frame E .

203 In contrast to the ordinary way of 2D-convolution where kernel K slides along E with a fixed
 204 overlapping window (usually 1 pixel) in both horizontal and vertical directions, we perform a
 205 comparatively simple and efficient convolutional steps (only one slide per horizontal and vertical

206 directions) as shown in figure 2. The reason behind an adaptive kernel selection is the geometric
 207 features of iris and pupil which are considered approximately circular and black compared to the
 208 rest of the eye with pupil as the most dark segment. First, kernel height h_k is resized to eye-frame
 209 height (i.e. $h_e = h_k$) and width w_k is set to 0.4 of the eye-frame width. The convolution function then
 210 slides through E in the horizontal direction to determine the x-coordinate of iris centre within the E .
 211 It compares the overlapped patches of E ($w_k \times h_k$) against K to calculate the matching scores at each
 212 horizontal stride (i.e. 1 pixel). The normalised correlation coefficient calculates a total matching score
 213 for the current patch in E using equation 2.

$$S(x, y) = \frac{\sum_{x', y'} (K'(x', y') \cdot E'(x + x', y + y'))}{\sqrt{\sum_{x', y'} K'(x', y')^2 \cdot \sum_{x', y'} E'(x + x', y + y')^2}} \quad (2)$$

214

215 Where $S(x, y)$ is the matching score of current overlap (x, y) between K and E patch of size
 216 equal to K ($w_k \times h_k$). The summation in equation 2 is performed over the K and E patch where $x' =$
 217 $0 \dots w_{k-1}$, $y' = 0 \dots h_{k-1}$. As the kernel height h_k is aligned with height of the eye-frame (i.e. $h_e = h_k$), there are
 218 no vertical overlapping (i.e. no vertical overlapping/strides) which means, the kernel will only be
 219 able to move along E in the horizontal direction while computing the matching scores for
 220 overlapped patches in E .

221 Once all the horizontal matching scores are calculated, the next step is to find the coordinates of
 222 the best matching segment. There have been several approaches to select the optimal match but the
 223 candidate with maximum match have been commonly used in similar works [12, 38, 41]. However, it
 224 can easily cause local maxima specifically in low-resolution images [38]. Likewise, using a
 225 predefined matching threshold can provide varying matching scores regarding the environment and
 226 can also mislead because of varying dynamics such as illuminations. We utilised quantile measure to
 227 select all candidates (M in the horizontal direction) that crosses the adaptive threshold of 90th
 228 percentile of the matching scores sorted in ascending order. i.e.
 229 $M \in SC_h$ such that $\forall SC_h > 90^{th}$ percentile of sorted SC_h .

230 The mean of horizontal (x -axis) coordinate of M selected patches is calculated using (3) which
 231 represents the x-coordinate of top-left corner (R_{xy}) of the final best matched patch (i.e. estimated iris
 232 rectangle).

233

$$R_x = \frac{\sum_{i=1}^m M_x(i)}{m} \quad (3)$$

234 Where m , are the total number of elements (i.e. best-matched candidates) in M , M_x is the
 235 horizontal coordinate of corresponding best-matched candidates M .

236 The iris rectangle I is identified using R_x and kernel width w_k which is then used for the vertical
 237 convolution to identify the y-coordinate of iris centre. Similar to horizontal convolution-based
 238 matching, kernel height w_h is resized to 0.4 of the height of I for overlapped stride matchings while
 239 keeping the width same. Vertical convolution steps are then performed to compute the matching
 240 score for K and overlapped patches of I along the vertical direction only. The output matrices SC_v
 241 contains all the corresponding matching scores for vertical convolutions between the K and I
 242 overlapped patches. The quantile measure is used in a similar way to select all candidates (N in the
 243 vertical direction) that crosses the adaptive threshold of 90th percentile of the matching scores sorted
 244 in ascending order where; $N \in SC_v$ such that $\forall SC_v > 90^{th}$ percentile of sorted SC_v . The mean of
 245 vertical (y -axis) coordinate of N selected patches is then calculated using equation 4 which represents
 246 the y-coordinate of top-left corner (R_{xy}) of the final best-matched patch (i.e. estimated pupil
 247 rectangle).

248

$$R_y = \frac{\sum_{i=1}^n N_y(i)}{n} \quad (4)$$

249 where n , is the total number of elements (i.e. best-matched candidates) in N , N_y is the vertical
 250 coordinate of corresponding best-matched candidates N .

251 Finally, the centre coordinates of the best-matched patches within E in horizontal (C_x) and
 252 vertical directions (C_y) represent the pupil location along the x -axis and y -axis respectively and are
 253 calculated as:

$$254 \quad C_x = R_x + w_k/2, C_y = R_y + h_k/2 \quad (5)$$

255 where w_k, h_k are the width and height of kernel K , respectively. Algorithm 1 summarizes all the
 256 sequential steps involved in the proposed methodology to determine the pupil coordinate within an
 257 image frame.

258 **Algorithm 1:** Proposed algorithm for iris detection and pupil localization in an image/video frame

Inputs: image/video frame F , a custom-defined kernel frame K

Output: Pupil coordinates (C_x, C_y), iris rectangle (top-left; bottom-right)

STEP1:

- Initialise validation $Score = 0$ for current F
- Use *Dlib-ml* for the facial landmark detection within input frame F
- Crop the face rectangle (*Face*) using the detected landmarks
- IF count (*Face*) ==1 (i.e. exactly one face in image is found)
 - $Score ++$
 - Extract the eye-Frames (E_L, E_R) for left and right eye
 - IF count (E_L, E_R) ==2. i.e. exactly 2 eyes within *Face* rectangle
 - $Score ++$
 - Goto STEP 2
 - ELSE
 - Mark it as invalid frame
 - Goto STEP 1 for the next F
- ELSE
 - Mark it as invalid frame
 - Goto STEP 1 for the next F

STEP2:

- Foreach *eye-frame* E in E_L, E_R
 - Convert E into grayscale
 - Outline E with white paddings
 - Adapt the kernel K height to height of E and width to $0.4 * width(E)$
 - Convolve K with E by sliding *Horizontally* with 1-pixel stride/sliding window
 - Store the matching scores for overlapped E patches in a vector SC_h
 - Store the horizontal elements with high matching scores in lists M for
 $M \in SC_h$ such that $\forall SC_h > 90^{th}$ percentile of sorted SC_h .
 - Find the *top-left* of best-identified iris rectangle by taking mean (μ) of x -coordinates for M (i.e. R_x) using equation 3
 - Find the iris rectangle I , using R_x and w_k
 - Goto STEP3
- End Loop

STEP3:

- Adapt the kernel K height to $0.4 * height(I)$ for vertical convolution
 - Convolve K with I by sliding *Vertically* with 1-pixel stride/window
 - Store the matching scores for overlapped I patches, in a vector SC_v
 - Find the elements with high matching scores (call them N) where
 $N \in SC_v$ such that $\forall SC_v > 90^{th}$ percentile of sorted SC_v .
 - Find the *top-left* coordinate of best-identified rectangle by taking mean (μ) of y -coordinates of N (i.e. R_y) using equation 4
 - Find the pupil centre C_x, C_y by adding width and height of K into R_x and R_y respectively using equation 5.
-

259 3. Experimental Design

260 We conducted detailed experiments to validate the proposed methodology while using various
261 datasets and validation metrics. We also performed a critical analysis based on various conditions
262 and validated the proposed algorithm while considering the diversity in validation datasets as well
263 as validation metrics. Following sections explain the validation datasets and metrics along-with
264 detailed experimental design.

265 3.1. Datasets

266 To validate the proposed methodology and reliable performance measure, we used three
267 different publicly available datasets. The first dataset is known as Talking-Face [42] and have been
268 used in previous works [37]. This dataset contains 5000 video frames captured during the engaged
269 conversation from a person for 200 seconds. The original objective of this dataset was to model the
270 facial behaviour during a natural conversation. Data is captured with a static positioned camera with
271 a frame size of 720x576 pixel. Every frame is annotated semi-automated manner containing 68 facial
272 points including the pupil coordinates. Following our validation check in Algorithm I (i.e. frames
273 with exactly 2 eyes/frame) and removing the fully closed eyes (manually, found 280 images) images,
274 we are left with 4720 frames for the validation purpose. The dataset contains varying gaze positions,
275 facial and body movements, diverse natural expressions and variations in eye-state (e.g. closed,
276 open, half closed) . However, because it is captured from individual person , the diversity within the
277 eye characteristics is very limited. In other words, there are no variations in terms of eye
278 characteristics (e.g. Iris or pupil colour, intensity, iris pattern etc.) and hence, not very challenging
279 for the algorithm validation.

280 In contrast to Talking-Face, we used the BIO-ID dataset [43] which is comparatively more
281 challenging and has been used as a benchmark in various relevant studies such as [37, 41]. The data
282 was acquired from 23 different subjects during multiple sessions and has 1521 images in total
283 containing varying gaze positions, illuminations, background scene, eye features (e.g. eye colour,
284 gender, ethnicity, iris size), camera focus and hence eye-frame (and face rectangle) size. The
285 interesting aspect of this dataset is a comparatively lower resolution (grayscale 384x288 pixel) that
286 makes the validation of pupil localisation algorithm more challenging but reliable. Besides, the
287 dataset contains natural expressions such as images with half-closed eyes that further help to
288 measure the validity of the proposed algorithm. Our algorithm detects only seven frames as invalid
289 (i.e. not containing exactly two eyes) whereas we found 45 images (manually) with fully closed eyes
290 that were excluded, resulting 1469 remaining dataset for validation purpose.

291 Furthermore, we evaluated our method on comparatively larger dataset known as GI4E [44]
292 containing more diversity involving various morphology types (e.g. eye size, eye/iris features,
293 gender, ethnicity, varying background and illuminations). It should be noted that despite higher
294 resolution images (800x600 pixels), size of the eye-frame rectangles is comparatively small. This is
295 because of the larger distance of the capturing device from the subject resulting lower ratio of
296 eye-frame to entire image. In other words, the whole frame covers more background pixels as
297 compared to the actual face within the image which makes the eye-frame and hence iris/pupil
298 localization more challenging. The dataset is much diverse containing 103 subjects (each with 12
299 images) with 1236 total images involving 12 different gaze position. Also, there is no open eyes or
300 invalid frame in this dataset.

301 3.2. Validation Metrics

302 One of the important factors in validation of the pupil detection and proposed work is the
303 metric we chose for the performance measure. This is because of the nature of pupil localization
304 problem. For instance, the absolute error in the estimated pupil/eye centre and actual eye centre
305 might vary with respect to image size/resolution. Hence the standard distance measure such as
306 Euclidean distance (ED) and/or R^2 coefficient will not give a true representation of the accuracy
307 measure. The authors in [43] introduced a relative error measure (d_{eye}) to deal with this issue which

308 has been utilized in various related works [37, 38, 43, 45]. It uses the maximum of the estimated pupil
 309 coordinates distances from left and right eyes (d_l) and (d_r) respectively, between the actual eye
 310 centres (C_l, C_r) and the estimated ones (\tilde{C}_l, \tilde{C}_r) using equation 6.

$$d_{eye} = wec = \frac{\max(\|\tilde{C}_l - C_l\|, \|\tilde{C}_r - C_r\|)}{\|C_l - C_r\|} \quad (6)$$

311 For the normalisation, the calculated distance is divided by the distance between two actual eye
 312 centres $\|C_l - C_r\|$ as shown in equation 6. The normalisation factor makes the error measure
 313 independent of the image scale and hence eye-frame size. Furthermore, [37] used best eye centre
 314 (bec) which utilizes the minimum of the error between estimated and actual centres as:
 315

$$d_{eye} = bec = \frac{\min(\|\tilde{C}_l - C_l\|, \|\tilde{C}_r - C_r\|)}{\|C_l - C_r\|} \quad (7)$$

316 Although the wec (i.e. worst eye centre) metric provides a relative error estimate, it is based on
 317 some assumptions such as 'on average population, the distance between the inner eye corners is equal to
 318 width of a single eye of the corresponding subject'. Likewise, a relative error of $d_{eye} = 0.25$ is considered as
 319 half of an eye width which may not be valid in every case. Interested readers can get further details
 320 in [43] study.
 321

322 To further deal with the metric generalisation issue, we first time introduce a standardized
 323 error measure (S_{ED}) as a function of distance between the estimated and actual coordinates within an
 324 eye-frame. It calculates the relative distance as percentage of the total possible ED (i.e. error)
 325 between the actual and estimated pupil coordinates. The S_{ED} measure interprets the error within the
 326 single eye-frame without depending on the second eye or interpupillary distance used in other
 327 related works. Besides, the S_{ED} metric can measure the relative error regardless of image/face or
 328 eye-frame size and hence the image resolution. Mathematically, the proposed S_{ED} is defined as:

$$S_{ED} = \frac{\sqrt{(Cx_e - Cx_a)^2 + (Cy_e - Cy_a)^2}}{\sqrt{(x_{min} - x_{max})^2 + (y_{min} - y_{max})^2}} \times 100 \quad (8)$$

329 Where Cx_e, Cx_a represent the estimated and actual pupil horizontal coordinates respectively
 330 and Cy_e, Cy_a represent the estimated and actual pupil vertical coordinates respectively. The
 331 x_{min}, y_{min} are coordinates of the nearest corner of eye-frame (usually top left corner) whereas,
 332 x_{max}, y_{max} are coordinates of the farthest corner of eye-frame (usually bottom right). The numerator
 333 in equation 8 represents the error (in terms of pixels) between the actual and estimated positions
 334 whereas the denominator is the total possible error and is used as a normalisation factor. The
 335 resulting S_{ED} gives the percentage error representing a standardised distance between actual and
 336 estimated pupil positions in pixels which is not affected by the image size and resolution. In addition
 337 to evaluate the pupil detection techniques, the proposed standardised distance measure can also be
 338 useful for other related works such as object localisation, image segmentation and object tracking
 339 etc.
 340

341 In summary, a comprehensive comparative analysis is performed to evaluate the proposed
 342 methodology using aforementioned metrics including wec , bec , and S_{ED} along with other standard
 343 accuracy measures including the ED, absolute mean difference, and R^2 (coefficient of determination).

344 4. Results and Discussions

345 Following the experimental design, performance of the proposed pupil detection approach is
 346 evaluated using various gold standards, validation metrics and benchmarked datasets. As discussed
 347 in the experimental design, it is important to use appropriate evaluation methods due to nature of
 348 the problem. To maintain the reliability in our performance measure, we utilised different metrics as
 349 well as the newly introduced S_{ED} in this work.
 350

351

Table 2. Performance analysis of the proposed model using *wec*, *bec* with varying error threshold

Dataset	<i>wec</i> (%)		<i>bec</i> (%)	
	Error ≤ 0.05	Error ≤ 0.1	Error ≤ 0.05	Error ≤ 0.1
BIO-ID	94.5	100	98.34	100
Talking face	97.10	100	99.7	100
GI4E	95.05	100	98.71	100

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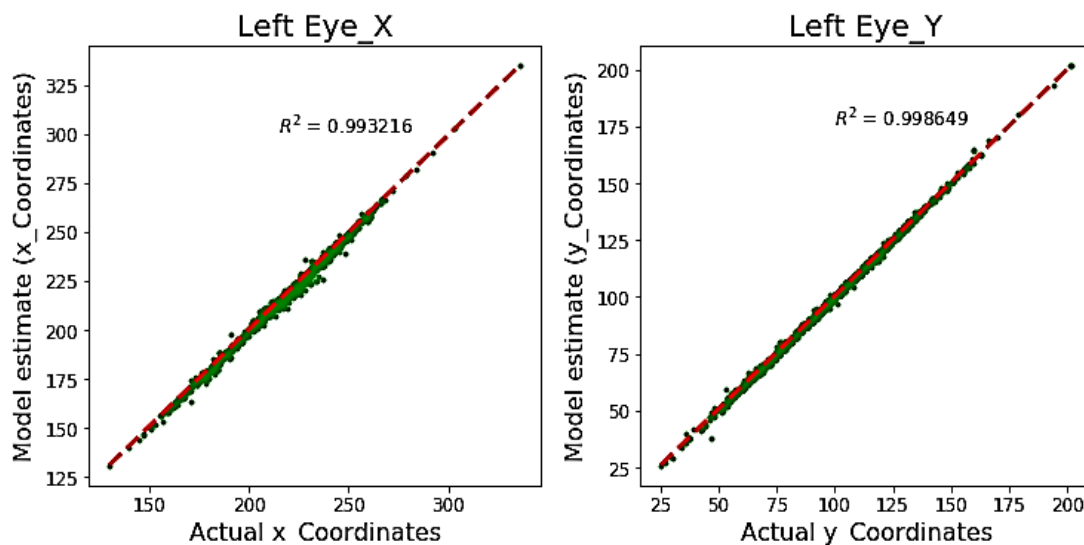
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Table 2 summarizes the results achieved from the proposed approach using *wec* and *bec* metrics that have been used in recent similar works [36–38, 43–45]. We are specifically interested in *wec* measure when $error \leq 0.05$ which indicates the model estimation within the *pupil* diameter (i.e. more restricted). Best accuracy achieved by the proposed method is 97.1% while tested over the *Talking-Face* dataset which outperforms the 89.59% presented in recent work [37] that uses the same dataset. The high accuracy is expected because of the comparatively less challenging nature of dataset (see Section 3.1). Firstly, the dataset contains high resolution images. Secondly, the data is captured from only one person hence, a generalization of *iris* and eye pattern is easily detected. It is important to note that despite the dataset is collected from single person, it contains high variations in terms of gaze, head movements, facial expressions and sufficient quantity (i.e. 5000 images) with annotated pupil coordinates. On the other hand, the proposed method achieves 100% *wec* accuracy while tested for error threshold ≤ 0.1 indicating the robustness of the proposed methodology. This means that model estimation about *pupil* coordinates are within the *iris* in all cases (i.e. 5000 images). Overall, proposed method outperforms the most recent works related to pupil localization [37] while evaluated on the *Talking-Face* dataset.



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Figure 3. Comparison of estimated pupil coordinates using proposed model, with actual annotated coordinates (BIO-ID dataset) using R-squared error

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To further evaluate the model performance, the BIO-ID dataset is used which contains various subjects, high variations in gaze, head pose and body movements. Furthermore, the image quality (i.e. resolution) is comparatively lower (i.e. 286x384) which makes it more challenging when focusing the identified eye-frame and/or iris/pupil within the image. Also, a large proportion of the entire image contains background rather than the face itself which makes the dataset further challenging as addressed by the previous works [38]. Despite the associated challenges, proposed approach shows robust pupil estimations as shown in Table 2. The model indicated significant improvements with 94.5% *wec* measure with error threshold ≤ 0.05 when benchmarked with the works of [37] and [40] of 81% and 84%, respectively. Furthermore, the model indicated 100% accuracy when evaluated for error threshold ≤ 0.1 which means that pupil localization is within the

iris in all cases (i.e. 1521 cases in total). Despite the 100% of *wec* and *bec* accuracy for error threshold ≤ 0.1 , the main focus is to maximize the *wec* accuracy (which is the most challenging) with minimum error threshold (i.e. ≤ 0.05) to restrict the model estimation within the pupil diameter.

Figure 3 shows the R^2 coefficient for the proposed model tested on BIO-ID dataset. It can be observed that x-axis and y-axis estimated coordinates are almost overlapping to actual annotations with R^2 value of 0.993 and 0.998 for x-axis and y-axis respectively. Although, R^2 is a well-known statistical measure to determine the goodness of model fit, it might not be effective for validating the model estimation in pupil detection or similar problems because of the varying error rate with respect to the image size (and resolution).

Table 3. Performance comparison between previous works based on *wec* measure using BIO-ID dataset

<i>wec</i> % accuracy with varying error (<i>e</i>) threshold				
Methods	$e < 0.05$	$e < 0.1$	$e < 0.15$	$e < 0.2$
[24]	81.1	94.2	96.5	98.5
[36]	88.7	95.2	96.9	97.8
[37]	80.9	91.4	93.5	96.1
[38]	82.5	93.4	95.2	96.4
[40]	84.1	90.9	93.8	97.0
[41]	57.2	96.0	98.1	98.2
[43]	38.0	78.8	84.7	87.2
[45]	47.0	86.0	89.0	93.0
[46]	85.8	94.3	96.6	98.1
Proposed Model	94.5	100	100	100

Table 3 summarizes the comparative results from various previous works while weighted over the challenging BIO-ID dataset using *wec* metric with varying thresholds. It can be noticed that the proposed model outperforms (94.5%) all previous works specifically with the most restricted error threshold ≤ 0.05 . Recent works that uses similar approach [37] achieved an accuracy of 80.9% and 82.5% [38] with $e \leq 0.05$ whereas best accuracy of 88.79% is indicated by [36] that are significantly lower than the proposed method. Research study in [21] presented a robust technique for the pupil localization and gaze estimation, however, the measured performance is not standard (i.e. uses the mode of pixel distance which is not the true representation of error with varying resolutions). Furthermore, the validation is performed on different dataset containing artificially rendered images which in most cases, does not reflect the real time dynamics.

Besides the Talking-Face and BIO-ID datasets, we evaluated the performance of proposed approach on another challenging dataset GI4E. It can be noted from Table 2 that our model produces 95.05% *wec* and 98.71% *bec* accuracy respectively with critical threshold ≤ 0.05 . While most of the existing works used BIO-ID as benchmark dataset, some of them also used GI4E to evaluate their techniques. For instance, recently study on eye centre localisation [24] reported 93.9% *wec* accuracy on GI4E dataset which is slightly lower than our approach (i.e. 95.05%) however, their accuracy was decreased to 88.12% when tested on BIO-ID dataset. This indicates the robustness of proposed approach for pupil detection in varying datasets containing diversity in terms of eye colour, gaze position, facial emotions and real movements. Similarly, [46] indicated 89.28% *wec* on GI4E dataset which are significantly lower than the proposed approach. A clustering-based approach [47] produced mean pixel error of 2.73 pixels as compared to proposed model with 1.7 pixels while validated on GI4E. However, it is important to be noted that this metric does not represent a standard accuracy measure as described in Section 3.2.

In addition to *wec*, [24, 41] used average point-to-point error (m_{e17}) with the inter-ocular distance between the left and right eye pupil. Recent works [21] that uses the DL to localize the pupil and estimate the gaze position also employed the median of absolute difference in x-axis and y-axis.

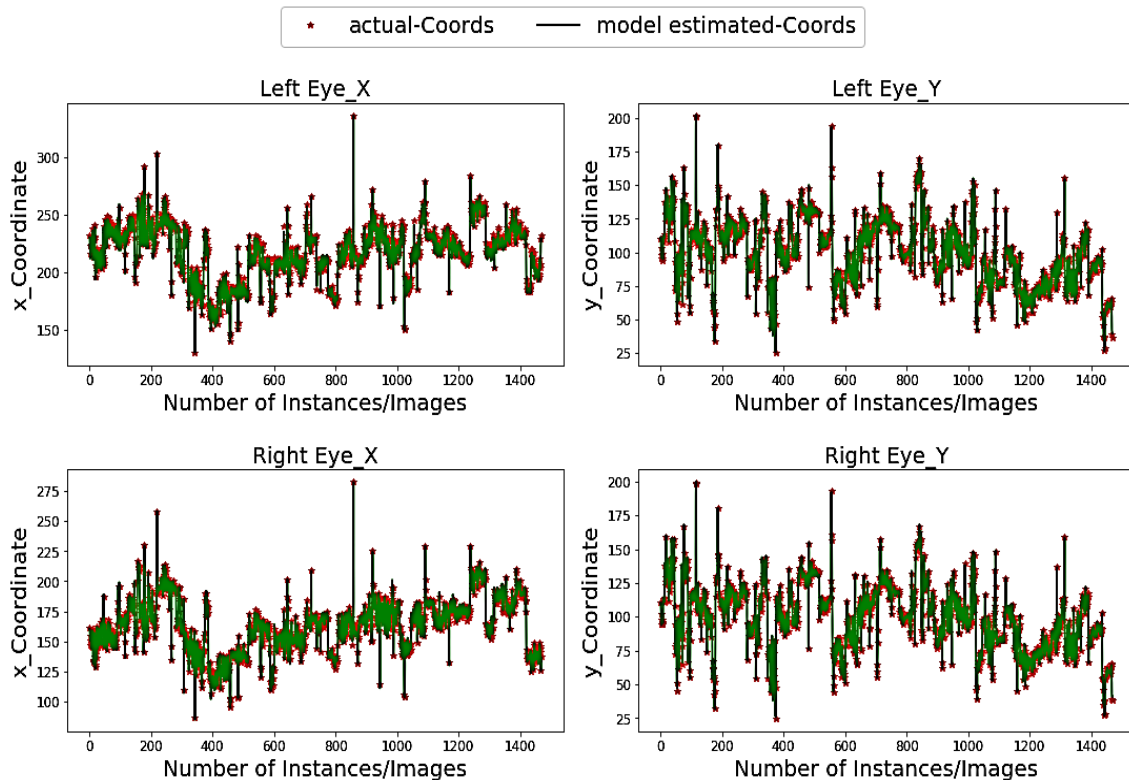
417 However, variations in image size, zoom-in/out due to body/head movements and/or camera
 418 positions might affect the mean difference in corresponding error estimate resulting variations in
 419 accuracy measure. The *wec* metric which has been used extensively in related works such as [24,
 420 36-38, 40, 45, 46], gives a comparatively better indication of the performance measure. However,
 421 these metrics measures the performance in terms of coordinate estimation within the pupil/iris
 422 diameter with a varying error threshold as shown in Table 2. Also, it is based on relative error
 423 assumption ($d_{eye} = 0.25$) as half an eye width, which may not be true in every case. Therefore, model
 424 estimations and performance (specifically in pupil localization task) is needed to be evaluated using
 425 more standard metric representing the distance between estimated and actual pupil coordinates.

426 **Table 4.** Comparing model estimations using newly introduced S_{ED} , Euclidean distance (ED), R^2 , and
 427 absolute error metrics

Dataset	$\mu x_a - x_e $	$\mu y_a - y_e $	R^2_x	R^2_y	ED(c_a, c_e)	%ED(c_a, c_e)
BIO-ID	1.04	0.57	0.993	0.998	1.43	3.98
Talking face	1.23	0.97	0.990	0.956	1.96	2.49
GI4E	1.32	0.71	0.996	0.999	1.70	3.87

428 To overcome this issue, we first time introduce a standardized Euclidean distance (S_{ED}) which
 429 represents the percentage distance error as ED using equation 7 (see Section 3.2). The error
 430 represents the displacement between the actual and estimated pupil coordinates as a percentage of
 431 the whole image size (i.e. eye-frame) in terms of number of pixels. The major advantage of S_{ED} is a
 432 standard representation of the error which can be used to measure the accuracy regardless of image
 433 size and resolution which is not the case in *wec*, m_{e17} and other metrics used in most of the existing
 434 studies. Table 4 presents the comparative analysis of proposed model estimations in terms of mean
 435 pixel difference in each axis, for both eyes (left and right), R^2 coefficient, ED between centre of
 436 estimated and actual pupil coordinates and the newly introduced S_{ED} . The proposed method
 437 indicates 1.04 and 0.57 absolute pixel error on x-axis and y-axis respectively (i.e. 0.8 on average for
 438 both) as compared to 2.91 in [47] on BIO-ID dataset. Similarly, a DL-based model in [35] indicated
 439 their optimal performance with pixel error >10. However, they used different datasets which in case
 440 of high resolution, is not comparable with proposed method and clearly indicates the need of
 441 standard metric similar to S_{ED} .

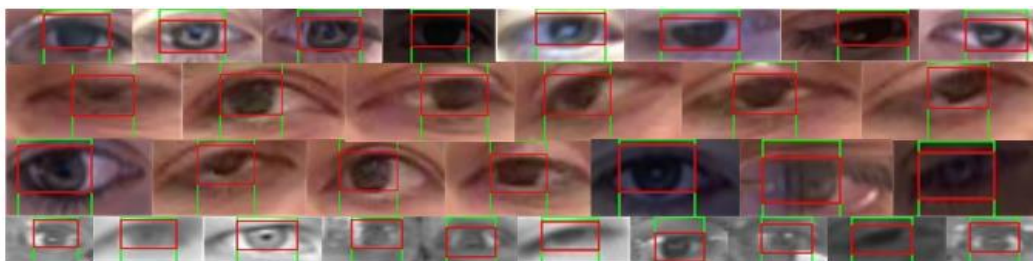
442 It can be analyzed that the model performs comparatively better for Talking-Face and BIO-ID
 443 datasets as compared to GI4E dataset based on the corresponding properties (as discussed in Section
 444 3). However, there are several crucial aspects to be noted in each case. First, in contrast to *wec*
 445 measures in Table 2, the ED(c_a, c_e) error in Table 4 for Talking-Face is 1.96 which is higher than the
 446 other two datasets (1.43 and 1.70 for BIO-ID and GI4E respectively) despite the high quality and
 447 fewer variations in the former case. This is because the size of images in Talking-Face dataset is
 448 comparatively larger than other datasets and consequently, the ED(c_a, c_e) error as well as absolute
 449 error ($\mu |x_a - x_e|$, $\mu |y_a - y_e|$) in each axis, are also high. However, results from these metrics (i.e. ED,
 450 $\mu |x_a - x_e|$, $\mu |y_a - y_e|$) does not align with results in Table 2 (*wec* measure) and therefore, does not reflect
 451 the true measure of the standardized difference between estimated and actual pupil coordinates. In
 452 contrast, S_{ED} provides more generic and standard representation of error between the actual and
 453 estimated coordinates as a percentage of the eye rectangle size. The S_{ED} error for Talking-Face
 454 dataset is 2.49% which is less than 3.98% and 3.87% of BIO-ID and GI4E datasets respectively, and
 455 also aligns with the *wec* outcomes in Table 2. As mentioned earlier, S_{ED} represents a standardized
 456 distance (i.e. pixels) using current eye-frame without depending upon the second eye or
 457 interpupillary distance which is not the case in *wec* measurement. Furthermore, S_{ED} interprets the
 458 error in term of pixel distance without using any thresholds (as in case of *wec*) and can be utilized as
 459 a standard metric to evaluate the true performance of such models in similar problems.



460

461 **Figure 4.** Pupil coordinates estimations (green color) vs actual (red) coordinates within BIO-ID dataset

462 Figure 4 demonstrates the pupil estimation performance of the proposed model for both left
 463 and right eye (x -axis and y -axis) on BIO-ID dataset. The model indicates a perfect overlapping for
 464 both axis and more specifically, at the peak positions which represent the extreme pupil and/or iris
 465 positions looking extreme left or right, and top or bottom positions. One of the reasons of such
 466 robust overlapping is the use of white paddings in our model that helps the adaptive kernel to
 467 achieve maximum overlaps at extreme positions resulting in appropriate matching candidates
 468 during horizontal and vertical cascades.

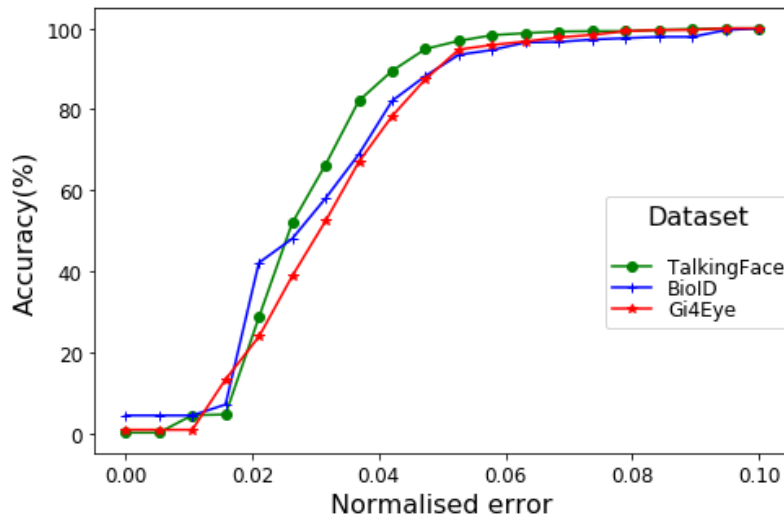


469

470 **Figure 5.** Horizontal and vertical convolution-based pupil coordinates localization (in randomly selected
 471 images from BIO-ID, GI4E and Talking-Face dataset) for dynamic conditions such as gaze position, eye color,
 472 intensity, noise interference, eye size and image resolution

473 As discussed earlier, a custom kernel might help for optimal representation of iris diversity.
 474 Additionally, adaptation of kernel size regarding the eye-frame and dynamic threshold for best
 475 candidate selection further improves the reliability of our method specifically in dynamic
 476 conditions. Figure 5 demonstrates various test cases of iris/pupil detection using proposed
 477 methodology for diverse eye properties and varying environmental conditions (e.g. patterns, gaze
 478 direction, varying background, half/full closed eyes, colour, intensity, illuminations, resolution,
 479 pupil/iris size, gender, ethnicity etc.). It indicates the robustness of model estimations in both
 480 horizontal and vertical convolutions specifically at extreme positions (such as left/right corners, top
 481 right, half-closed etc.)

482 Primarily, the proposed method is leveraging the pre-trained Dlib-ml that can locate the facial
 483 landmarks efficiently and reliably. It helps to filter out the unnecessary background segments within
 484 the input image as well as irrelevant facial components excluding the desired regions that contain
 485 exact eye-frames. Secondly, the proposed method uses efficient algorithm to adapt the kernel size in
 486 accordance with the eye-frame and padding the eye-frame with white surrounding pixels which
 487 further reduce the probability of selecting noisy matched candidates as mentioned by [37, 38]. The
 488 use of quantile based dynamic threshold to identify the best matching patch further enhances the
 489 reliability in proposed algorithm (e.g. outcomes in Figure 4-5).

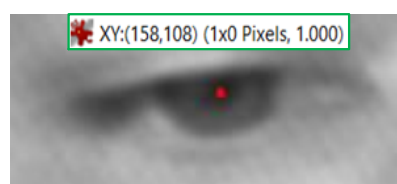


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Figure 6. The wec measure for different datasets using proposed method

492 Figure 6 shows the performance of the proposed method for pupil coordinate estimation using
 493 BIO-ID dataset while varying error threshold, to measure the mean *wec* for both eyes. The
 494 visualization indicates accuracy over 90% in all cases (i.e. dataset) while considering the strict
 495 constraint of $e \leq 0.05$. More explicitly, the model indicates that in over 97% of cases with
 496 high-resolution images/videos (which are ordinary for current technological advancement), the
 497 error in estimated pupil position is less than the diameter of pupil itself. Even in the worst-case
 498 scenario (i.e. small-size eye-frames in GI4E dataset), the model achieves above 95% accuracy.



Ground truth file	#LX	LY	RX	RY
For BioID_0000.eye	232	110	161	110

499

500

Figure 7. Example of annotation error in BIO-ID dataset

501 It is also imperative to mention that some annotation errors may slightly influence the
 502 performance measure even though, this is observed in very few cases. For instance, Figure 7
 503 indicates the eye centre coordinates annotations in BIO-ID dataset ($R_x:161, R_y:110$) provided by [43]
 504 for the right-eye of subject *BioID_0000.eye*. However, the correct values are $R_x:158, R_y:108$ (refer to
 505 Figure 7) which indicate approximately 2 pixels difference in each axis. This is significant for
 506 micro-movements estimation and would affect the model performance substantially (e.g. *wec*, S_{ED}).

507 Finally, it can be noted that the proposed model performs initial checks on the current frame
 508 quality to assure the existence of exactly two eyes (Algorithm 1) within the identified face rectangle.
 509 However, additional constraints can further improve the accuracy specifically, in real-time scenarios
 510 and video stream data. For instance, [37] used the DL model to identify the blinking eyes which can

511 further improve the accuracy of proposed model while filtering out the images/frames without
512 distinctive iris/pupil (i.e. separating the closed eyes not to be analyzed for pupil localization).
513 Additional post-processing constraints such as symmetry constraints over the estimated pupils'
514 coordinates in both eyes might improve the gaze estimation accuracy. This might be useful to
515 improve the eye-state information extraction approaches such as [7] for the deception detection
516 through facial micro-gestures.

517 5. Conclusions and Future Works

518 We proposed a novel pupil estimation method utilising the deep learning based facial
519 landmark detection and an image processing algorithm to determine the eye centre within an image
520 frame. Reliable extraction of the eye-frames within the input image is one of the major advantages of
521 using Dlib-ml. This eliminates most of the background and irrelevant segment of the image which
522 helps to identify the target segment using intelligent image processing. We developed a customized
523 iris kernel using multiple images from various datasets, for its generalized representation. The iris
524 kernel is then convolved with eye-frame in two stages (horizontal and vertical) such that no nested
525 strides are performed by convolution function. White paddings surrounding the kernel as well as
526 eye-frame, proved very helpful for template matching between the kernel and overlapped
527 eye-patches, specifically for the extreme eye positions (e.g. left/right corners). Also, utilising a
528 dynamic threshold for identifying the best-matched patch further contributed to reliability in our
529 method.

530 Compared to several state-of-the-art pupil detection methods, the proposed approach indicated
531 significant improvements in pupil estimation accuracy specifically, with lower-resolution images
532 and minimum error thresholds. We also introduced a standardized distance metric to measure the
533 relative error in model estimation. This metric can be used regardless of image size and resolution
534 which is not the case with most of the existing validation metrics used in similar works. In future,
535 proposed method will be utilised along with eye-blink detection models, to determine eye gaze, in
536 particular for infraduction iris positions. Our method can be useful in various computer vision
537 applications specifically the one requiring precise pupil and eye centre estimation. For instance, the
538 eye related feature extraction in [7] can be replaced with our method to extract the more reliable and
539 micro-level movements within the eyes to distinguish the truthful and deceptive behaviour. More
540 explicitly, this work is expected to direct several application areas such as human-computer
541 interfaces, gaze estimation, emotion recognition, psychological profiling, fatigue detection,
542 healthcare, visual aid and automated deception detection.

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