Enhancing Deep Spectral Super-Resolution from RGB Images by enforcing the Metamer Constraint

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Abstract: The task of spectral signal reconstruction from RGB images requires to solve a heavily underconstrained set of equations. In recent work, deep learning has been applied to solve this inherently difficult problem. Based on a given training set of corresponding RGB images and spectral images, a neural network is trained to learn an optimal end-to-end mapping. However, in such an approach no additional knowledge is incorporated into the networks prediction. We propose and analyze methods for incorporating prior knowledge based on the idea, that when reprojecting any reconstructed spectrum into the camera RGB space it must be (ideally) identical to the originally measured camera signal. It is therefore enforced, that every reconstruction is at least a metamer of the ideal spectrum with respect to the observed signal and observer. This is the one major constraint that any reconstruction should fulfil to be physically plausible, but has been neglected so far.

1 INTRODUCTION

Spectral imaging has the advantage compared to RGB imaging devices, that the acquired data contains more accurate information on the spectral power distribution (SPD) of the light captured by the imaging device (spectral stimulus). This added information can be useful for a broad variety of computer vision tasks ranging from object detection and image classification to a more accurate color measurement. However, actually obtaining spectral images, even in the reduced form of multi-spectral imaging, is still a complicated task. An increased spectral resolution during measurement comes at the cost of either a limited temporal resolution, e.g. filter wheel design or spectral line scanning, or reduced spatial resolution, e.g. integrated devices based on macro pixels. Therefore, alternative approaches have been developed. One possibility is to pursue a more computational approach by trying to compensate for an insufficient measurement in form of a spectral reconstruction. The underlying idea is straight-forward: Since it poses a severe challenge to acquire spectral images directly, only capture images we can easily measure instead: RGB images. Subsequently, compute the missing information using adequate signal processing techniques. However, this is an extremely under-constrained problem.

While the task of recovering spectral images from a low dimensional (e.g. RGB) spectral measurement has been within the focus of distinct researchers for decades (Hardeberg et al., 1999; Hill, 2002; Miyake et al., 1999), it recently attracted novel attention, in particular under the name of spectral super-resolution and the application of deep learning (Arad et al., 2018; Timofte et al., 2018). Prior to deep learning, all approaches were more or less based upon the idea of reducing the dimensionality of the spectral domain utilizing proper basis functions. One comparably recent example was proposed by Arad et al. (Arad and Ben-Shahar, 2016) who learn a dictionary based mapping which was improved later on by Aeschbacher et al. (Aeschbacher et al., 2017). The more modern solution is the application of deep learning, currently forming the state-of-the-art. A large variety of approaches based on neural networks can directly be taken from the 2018 NTIRE challenge on spectral super-resolution (Arad et al., 2018). One of the major advantages of convolutional neural networks (CNNs) in particular is the fact, that they are capable of implicitly incorporating contextual image information (Stiebel et al., 2018). Instead of considering pixels individually, entire regions are processed and used to reconstruct only a single SPD, not only leading to a better performance in comparison to single pixel based algorithms but also to an increased robustness against noise. It is also possible to combine learned basis functions with deep learning, as demonstrated
by Jia et al. (Jia et al., 2017) or Nguyen et al. (Nguyen et al., 2014). A rather novel approach has been proposed by Kaya et al. (Kaya et al., 2018) who aim at estimating a spectral image from an RGB image taken under unknown settings. The approach consists of a combination of neural networks for respectively spectral sensitivity estimation from the combination of an RGB image and a hyper-spectral image as well as spectral super-resolution given knowledge of the spectral sensitivity.

Deep learning based approaches usually require explicit knowledge of the spectral sensitivity function of the imaging device. This way, a large training set of corresponding pairs of RGB images and spectral images can be generated from existing spectral databases. Should the spectral sensitivity be unknown and, instead, the training set be captured directly using paired spectral imaging and an RGB device, one could argue that based on the paired images the spectral sensitivity can be computed anyway. Following the creation of the training data, a network (or a combination of networks) is trained on the generated data to learn an end-to-end mapping from the RGB to the spectral domain. However, no further knowledge is considered, any mathematical or physical constraints have so far been completely ignored. While spectral super-resolution is certainly not trivial, there is one condition that always has to be fulfilled and remains yet completely unchecked. There is the metameric constraint that the spectral reconstruction must be within the so-called metameric set. Every spectral reconstruction must equal the actually measured camera signal when reprojected back into the camera RGB space using the known camera sensitivity. Assuming knowledge of the spectral sensitivity, this appears like an obvious choice for constraining and therefore optimizing the reconstruction. The exploitation of metamericism was so far only considered in more traditional approaches, which do not use deep learning (Bianco, 2010).

The contribution of this work is adapting the necessary theory regarding metamer sets (Finlayson and Morovic, 2005) and proposing a modification for any deep neural network in order to enforce the metameric constraint. A state of the art neural network to describe the mapping from camera RGB-images to spectral images is considered and exemplary modified. The modification is evaluated on an established benchmark, the ICVL dataset (Arad and Ben-Shahar, 2016). The ICVL dataset does not only provide a large hyper-spectral database, but it was also used within the 2018 NTIRE challenge on spectral reconstruction from RGB images (Timofte et al., 2018) and therefore offers a valid comparison to a variety of algorithms. It is demonstrated, how the incorporation of the metameric constraint into the networks prediction can increase the convergence properties during training. In the absence of noise, it also yields superior results in contrast to the original approach. Last, an analysis on the influence of noise is provided.

2 THEORETICAL FOUNDATION

We will start by summarizing the necessary underlying theory regarding image formation and metamerism. Assuming a q-dimensional imaging device, signal formation is modeled using

$$ g = \sigma \cdot S_{\text{cam}} \cdot \xi, $$

where $\xi \in \mathbb{R}^k$ denotes a spectral stimulus that results in the measured camera signal $g \in \mathbb{R}^q$ when viewed by a camera associated with the spectral sensitivity $S_{\text{cam}} \in \mathbb{R}^{q \times k}$. The scaling factor $\sigma$ might be interpreted as exposure time and is used as normalization to map general spectral stimuli onto a valid camera signal range. We assume a spectral sampling ranging from 400nm to 700nm in 10nm steps and only consider RGB images for the remainder of this work, resulting in $q = 3$ and $k = 31$.

The linear model described by Eq. 1 is on an abstract level a projection of a 31 dimensional space onto a three dimensional space. Due to the nature of such a projection, there exists an infinite amount of distinct spectral stimuli which all project onto an identical camera signal. All these stimuli are called metamers with respect to the observed camera signal as well as the camera sensitivity. The task of spectral super-resolution amounts to finding a solution to the inverse mapping of Eq. 1, i.e. predicting a 31 dimensional signal based on the three dimensional signal, which is an extremely ill-posed problem. Put differently, any stimulus that is a metamer is a viable solution.

It is well established, that a reconstructed spectral stimulus can be separated into two parts: a particular solution $\xi_p$, and a metameric black solution, $\xi_b$ (Finlayson and Morovic, 2005),

$$ \xi = \xi_p + \xi_b. $$

An open question to date is the appropriate way to actually perform this separation. Since there are certain degrees of freedom involved, a unique separation does not exist. However, the topic of an adequate basis is not the focus of this work. We will therefore settle with the trivial approach to obtain a particular solution by considering the Moore-Penrose inverse

$$ \xi_p = P \cdot \xi_b. $$

with
\[ P = S^T (SS^T)^{-1} \in \mathbb{R}^{k \times q}. \] (4)

The matrix \( P \) represents a \( q \)-dimensional basis within the spectral domain, forming a spectral subspace that is directly observable by the camera. On the contrary, there is the subspace of all metameric blacks, \( B \in \mathbb{R}^{k \times (k-q)} \), which is spanned by the null-space of \( S \).

\[ B = \text{null}(S). \] (5)

Since the basis of the metameric blacks is by definition orthogonal to the camera sensitivity, any change within this subspace remains hidden to the camera

\[ 0 = S \cdot \delta, \] (6)

thus the name.

### 3 METHODS TOWARDS ENFORCING METAMERISM

In this section, we will propose different approaches for deep learning based spectral reconstruction to consider the metameric constraint in an explicit way.

#### 3.1 Estimating Metameric Blacks

A mathematically enforcing approach is to shift from directly predicting a spectral image based on an RGB image to only predicting the position within the metameric black space. Since the space of metameric blacks is of dimension \( n = k - q = 28 \), the dimensional complexity of signal prediction is reduced from 31 to 28, hopefully leading to an enhancement of the networks prediction capability. Additionally, any reconstruction achieved in such a way is by definition guaranteed to be a metamer, since only the metameric black is predicted by the network. The metameric black may in turn be chosen arbitrarily, since it does not effect the observed camera signal.

Original network architectures are designed to learn an end-to-end mapping from RGB images towards the 31 dimensional spectral images. In order to apply the proposed modification, the networks themselves do not need to be changed. They still assume RGB images as input, but the amount of output dimensions is reduced from 31 to 28, i.e. any network now only predicts the metameric blacks within the metameric subspace with respect to the sensing device. The predicted metameric blacks are combined with the particular solution, \( I_{\text{gr}} \), for each given camera signal according to Eq. 2 and 4, resulting in the actual spectral reconstruction. The necessary steps to modify the networks workflow are outlined in Alg. 1 and visualized in Figure 1.

#### 3.2 Metameric Loss

As an alternative, a less strict possibility towards considering the metameric constraint on the spectral reconstruction is proposed in form of an extended loss function. An additional term is introduced that is entirely devoted to the metameric constraint. Instead of only evaluating the spectral reconstruction, \( I_{\text{spec}} \), by comparing it to the ground truth, \( I_{\text{spec}} \), using the error metric \( M(\cdot) \), e.g. RMSE, the spectral reconstruction is additionally reprojected onto the camera signal space using Eq. 1 and the known camera sensitivity function. The resulting reconstructed RGB image, \( I'_{\text{rgb}} \), can likewise be compared to the original input RGB image, \( I_{\text{rgb}} \). Combining both parts together yields the newly proposed total loss, \( L \),

\[ L = \alpha M(I_{\text{rgb}}, I'_{\text{rgb}}) + M(I_{\text{spec}}, I'_{\text{spec}}), \] (7)

with \( \alpha \in [0, \infty) \) denoting a linear weighting term on the metameric constraint. An \( \alpha \)-value of 0 corresponds to a pure spectral loss with no change at all,
wereas a value of 1 corresponds to an equal weighting of both the spectral and the metameric loss. The metameric loss should always reach a value of zero, if the spectral reconstruction is in fact a metamer. In reality, sources for inaccuracies like noise effects or an imperfect measurement of the spectral sensitivity function can be expected to ensure metameric loss values greater than zero.

4 EXPERIMENTAL SETUP

In the following, the evaluation process of the proposed methodologies as well as the precise steps taken to generate the results are described.

4.1 Training Data

An extended version of the ICVL dataset (Arad and Ben-Shahar, 2016) is considered, as it was published during the 2018 CVPR Challenge on spectral reconstruction (Timofte et al., 2018). The database forms the largest freely available hyper-spectral database to date. In summary, the training set consists of 256 spectral images mostly having a spatial resolution of 1392 x 1300, whereas there are 5 images within a respective validation and test set. The spectral resolution ranges from 400nm to 700nm in 10nm steps. Based on a given camera sensitivity, all spectral images are projected into a cameras RGB signal space using Eq. 1. A total of three different cameras are considered: Sony DXC 930, Kodak DCS 420 and Nikon D1X. The associated spectral sensitivity functions are publicly available (Kawakami et al., 2013). Their corresponding relative sensitivities are displayed in Figure 2.

Since the spectral images of the dataset are not normalized in any way but provide the original light intensities as captured in wild, all computed camera images need to be appropriately scaled. Such a scaling must be performed for each of the three camera models individually and might be interpreted as a real cameras exposure time. Typical desired signal ranges are [0, 1] or [0, 255]. In this work, the latter was chosen. The reason is our interest in modeling the potential effect of an 8bit signal encoding. In total, three different signal scenarios were generated:

- **Ideal**
  The calculated camera signals are used directly in floating point precision for training and evaluation.
- **Quantization**
  In order to consider a more realistic scenario, quantization was applied to the ideal RGB images assuming 8bit.
- **Quantization & Noise**
  As a last scenario, the already quantized RGB images were additionally disturbed using white noise with a standard deviation of 1.

An open question is still the proper calculation of the scaling factor. Within previous work, all images were typically scaled such that the maximal observable color signal equals the value 255 across the entire dataset. Since such an approach of normalizing spectral data has been frequently followed and already found a wide adaption especially within the deep learning community, it is also considered within this work. However, it comes with a couple of important underlying assumptions. In analogy to the task of color constancy, which aims at estimating and compensating the influence of an unknown illuminant onto basically any image, the described approach of normalizing spectral data can be seen as a max-spectral algorithm (Gijsenij et al., 2011). It is based on the underlying idea, that at some arbitrary position within an image, the light source is either directly observable or through the reflection at a white surface. In a Lambertian world, any object potentially reflecting the emitted light is expected to not reflect more light.

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1http://icvl.cs.bgu.ac.il/ntire-2018/
than the incident amount. The maximal observable signal must therefore correspond to the light source. A more reasonable approach for determining the scaling factor might be the explicit consideration of a real white reference. This is especially the case due to the dataset actually containing images of white boards and calibration patterns. For example, image 26 (BGU_HS_00026) and image 52 (BGU_HS_00052) of the dataset contain a white reference that can be used for an estimate on the illuminant. The estimated SPD of the illuminant is subsequently projected into camera signal space to obtain its white point and used for signal normalization. The normalization is achieved by deducing a scaling factor such that the white point, i.e. the projected illuminant, has at maximum a signal value of 255. As an alternative approach to the maximum signal scaling, the white point based approach is additionally followed for comparison.

4.2 Network and Training Details

Within this work, we restrict ourselves to the U-Net based architecture proposed by Stiebel et al. (Stiebel et al., 2018), because it is publicly available\(^1\) and therefore guarantees reproducibility. It was shown to reach state-of-the-art performance for the task of spectral reconstruction from RGB images (Timofte et al., 2018) and thus ensures a fair comparison. While we chose a single architecture for testing purposes, all proposed steps can be applied to any architecture of choice in an analogous way. The network is considered in its original version, which from now on will be called the vanilla network, as well as in a modified version containing our proposed changes such that it only predicts the metameric blacks. All training details were left untouched and are therefore identical to the original work (Stiebel et al., 2018). In summary, every network is trained for 5 epochs using Adam optimization and a learning rate of 0.0001 in any considered scenario. The batch size is 10 with a patch size of 32. Both the spectral loss as well as the metameric loss are computed by the mean relative absolute error (MRAE),

\[
\text{MRAE}(I, I') = \frac{1}{mn} \sum_{i=1}^{m} \sum_{j=1}^{n} \left| \frac{I(i, j) - I'(i, j)}{I(i, j)} \right|, \tag{8}
\]

with \(I\) denoting the ground truth image having \(m\) rows and \(n\) columns and \(I'\) the reconstruction. All implementations were carried out using Python and Pytorch. The training process itself was run on a single graphics card of the type NVIDIA GTX 2080TI.

5 RESULTS AND DISCUSSION

First of all, an analysis of the dataset itself is provided and the influence of a proper scaling factor is discussed. Considering all the generated images for the ideal scenario, a closer look is taken upon the distribution of all potential color signals across the entire dataset. For starters, a scaling factor corresponding
to the maximum possible signal value is assumed. A channel wise histogram analysis was conducted. The results are exemplary visualized for the Kodak camera in Fig 3. It is immediately visible that the majority of color signals is within the lower half of the cameras’ dynamic range. Such an uneven data distribution is not desirable and may lead to a bias in final prediction results. The distributions in case of the other two camera devices turn out in an analogous way. This is an issue that can be treated by choosing a scaling according to a true white reference. While all three camera channels are considered separately within the histogram analysis, their interaction is also highly relevant. Of particular interest is the 3 dimensional subspace containing all possibly measurable camera signals. It was estimated by computing the convex hull over all color signals within the dataset. The resulting volume is depicted in Fig. 4. Additionally, the white point as it is observable from the white reference is explicitly marked in the visualization. The black point is also highlighted for a better understanding. The line passing through both the black and white point might be considered as some sort of lightness axis. In total, when considering a scaling according to the white reference, more than 99% of all values were found to be still representable without being subject to a potential signal clipping. This is due to all pixels exceeding the white point showing either dead pixels or local highly specular reflections, both of which are limited in numbers. It will be concluded that a proper scaling according to a true white reference is advantageous. However, we will continue using the maximum signal scaling variant, since it is common practice within the deep learning community.

5.1 Estimating Metameric Blacks

An extensive study was performed and is provided to analyze the potential change in performance due to the proposed network modification. Tab. 1 displays the reconstruction results for both the vanilla network and the modified version in case of all considered scenarios. For every permutation of network setup, scenario and camera, the network is trained from scratch upon the training set and evaluated over
the test set. Considered error metrics are the mean relative absolute error as described by Eq. 8, the root mean squared error (RMSE) and the goodness-of-fit coefficient (GFC). A GFC value greater than 0.9999 represents a good reconstruction and a value greater than 0.99999 an excellent reconstruction (Imai et al., 2002). The reported metrics in Tab. 1 are the computed mean values over the test image set. Different trends can be observed. The most intuitive observation is an increasing reconstruction error with the considered scenarios difficulty, i.e., from ideal over quantization to noisy. This is also independent of the chosen camera model. The respective camera models show differences in their performance relative to each other. For most scenarios, the Kodak camera outperforms its contenders. The Nikon camera comes second, with the Sony camera closing in last. These differences in performance can be attributed to the differences in the cameras' spectral sensitivities. The best ranking sensitivities of the Kodak device are probably closer to some underlying basis function within the considered spectral dataset and therefore able to capture more spectral information.

However, opposing trends become apparent when comparing the metameric constraint network to its vanilla version. The modified network always outperformed its original counterpart within the ideal setting. Restraining the possible solution space by three dimensions using the metameric constraint does in fact help the network to reach better results. Additionally, the modification also has a positive influence on the training process itself. Fig. 5 displays an exemplary loss function during the training for both the modified network (orange) and the vanilla version (blue). Particularly in the beginning, the influence of the forced metameric constrained is significant. Since independent of the networks’ processing the reconstructed spectra are forced to be at least metameric to the true spectral stimulus, even the initial approximation is at least remotely close. This leads to a way faster convergence due to the better initialization by design. In total, the modified version converges approximately four times faster. Even providing an unlimited amount of training time, the original network
is never able to reach the modified networks predictive capabilities. This behavior is consistent for all considered cameras and experiments we conducted, showing great potential for physically motivated restrictions on a neural networks prediction. However, the prediction results of the modified network are actually worse than the vanilla version when leaving the ideal world. The influence of disturbances on the prediction is of great interest, since they can most certainly be expected in a real world application. Metamer based spectral reconstruction appears to be rather sensitive in this regard. The networks predictive capability appears insufficient to compensate for noise effects, when limited by the metameric constraint. This can be seen for both the quantized and noisy scenario. In fact, the prediction quality significantly worsens with the added noise in comparison to just quantization noise. The fixed initial particular solution based on a measured camera signal can most likely be held accountable for this effect. This way, any disturbances contained within camera signals are propagated and possibly enhanced, leading to initial estimates on the particular solution that are too far off and cannot be fixed.

Finally, an interesting behavior can be observed for the quantized and noisy scenario in conjunction with the metameric constraint network. The relative performance of the different camera devices to each other changes. In fact, the ranking is almost inverted. The originally best performing device, the Kodak camera, achieves now the worst results. It demonstrates that the choice of sensitivity is of great importance and should always be optimized for the task at hand.

### 5.2 Modified Loss

As an alternative to the mathematically strict enforcement of the metameric constraint, a modified loss was proposed. It might be seen as weaker constraint hopefully placing less restrictions on the network to remain robust in the presence of noise. In analogy to the results presented in Tab. 1 the analysis was performed. However, an additional parameter needs to be evaluated, the metameric loss weight $\alpha$, as described by Eq. 7. For a better understanding, the results were visually processed. The influence of the added loss is exemplary visualized in Fig. 6 for both the ideal and quantized scenario for the Kodak camera. In an ideal world the added metameric term does not appear to have any influence at all. When considering quantization, it can be seen though, that an increasing term of $\alpha$, i.e. a higher weighted influence of the metameric loss component, has a negative impact on the potential reconstruction of the network. In fact, an $\alpha$-value of 0 appears to be ideal, i.e. no metameric loss term at all. This result is representative and consistent for all experiments we conducted. When considering the noisy scenario, the negative impact of the metameric loss term also only increases. Like the proposed network modification, the metameric loss negatively impacts the result in the presence of noise, but in contrast to before, it neither has a positive impact in an ideal world.

### 5.3 Vanilla Network

Explicitly considering metamer constraints showed mixed effects on the potential prediction quality of the neural network. While a significant performance increase within an ideal world was demonstrated, the moment any disturbances as little as quantization noise are introduced the added constraints seem counter productive. In order to acquire a better understanding as to why, a closer look is taken upon the prediction quality of the vanilla network. It is known that the corresponding metameric set of a color signal is the larger the more centralized a camera signal inside the camera signal space becomes (Finlayson and Mrovic, 2005). Therefore, the average prediction error of the network is inspected depending on the corresponding color signal position in its 3D signal space. It can be expected that the more central a camera signal is located, the harder the reconstruction task becomes due to an increasing number of metamers and therefore the worse the signal prediction gets. In order to visualize the suspected behavior, every color signal of the test image set is projected from its 3D signal space as shown in Fig. 4 onto the lightness axis. The original signal reconstruction error can then be evaluated depending on its relative position on the lightness axis. Simply speaking, the higher the position on the lightness axis becomes, the more central the color signal is located. The evolution of the spectral reconstruction error over the lightness axis is displayed in Fig. 7a as box plot. The considered error metric is the mean absolute error (MAE), i.e. the average Euclidean distance of the computed spectral reconstruction to its ground truth. A direct increase of the error metric depending on the camera signal position is immediately apparent.

Likewise to the proposed metameric loss, it is also possible to project all spectral reconstructions back into camera signal space and compare the result to the input RGB image. When performing the same analysis as before but this time inside the camera signal space, another trend is observed and shown in Fig. 7b. In contrast to the spectral domain, the reconstruction error remains rather constant independent of the po-
position along lightness axis

position along lightness axis

(a) Reconstruction error within the spectral domain

(b) Reconstruction error within the RGB signal domain

Figure 7: A visualization of the reconstruction error of the vanilla neural network as a box plot depending on the signal position inside the OCS for the Kodak camera. A higher position on the lightness axis corresponds to a more centralized signal position inside the OCS. For a better clarification, the lightness axis is explicitly visualized in Fig 4.

6 CONCLUSION

Within this work, a modification to neural networks which perform the task of spectral reconstruction from camera images was proposed. The modification is based upon the idea to mathematically enforce the reconstruction to be at least within the metameric subset of spectral stimuli to the true stimulus. The potential positive impact of the modification was demonstrated by applying it to a state-of-the-art model and using it to reconstruct spectral images from different simulated RGB cameras. Since the enforced metameric constraint directly corresponds to a better initialization, the training process also converges significantly faster. However, above findings only hold true in an ideal world. The metameric based reconstruction was found to be highly sensitive to noise, probably preventing an application in the real world. It was further demonstrated, that a consideration of metamerism within the loss function does not yield any positive effects at all. The reason is that knowledge of a cameras’ sensitivity can already be successfully learned by directly training a neural network to learn an end-to-end mapping from the camera signal space to the spectral domain. As shown within this work, such self-learned knowledge must be contained
somewhere within a fully trained network. However, it is unclear in what form, leaving the potential extraction of a learned camera sensitivity from the network as an interesting topic for further research.

REFERENCES


