
JPEG2000

Image Compression Fundamentals,
Standards and Practice

**THE KLUWER INTERNATIONAL SERIES
IN ENGINEERING AND COMPUTER SCIENCE**

JPEG2000

Image Compression Fundamentals, Standards and Practice

DAVID S. TAUBMAN

Senior Lectuer, Electrical Engineering and Telecommunications
The University of New South Wales
Sydney, Australia

MICHAEL W. MARCELLIN

Professor, Electrical and Computer Engineering
The University of Arizona
Tucson, Arizona, USA



Springer Science+Business Media, LLC

Library of Congress Cataloging-in-Publication Data

Taubman, David S.

JPEG2000: image compression fundamentals, standards, and practice / David S.

Taubman, Michael W. Marcellin.

p. cm.—(The Kluwer international series in engineering and computer science; SECS 642)

Includes bibliographical references and index.

Additional material to this book can be downloaded from <http://extras.springer.com>.

ISBN 978-1-4613-5245-7 ISBN 978-1-4615-0799-4 (eBook)

DOI 10.1007/978-1-4615-0799-4

1. JPEG (Image coding standard) 2. Image compression. I. Marcellin, Michael W. II.

Title. III. Series.

TK6680.5 .T38 2002

006.6—dc21

2001038589

Copyright © 2002 by Springer Science+Business Media New York

Originally published by Kluwer Academic Publishers in 2002

Softcover reprint of the hardcover 1st edition 2002

Third Printing 2004.

Kakadu source code copyright © David S. Taubman and Unisearch Limited

JPEG2000 compressed images copyright © David S. Taubman

All rights reserved. No part of this publication may be reproduced, stored in a retrieval system or transmitted in any form or by any means, mechanical, photocopying, recording, or otherwise, without the prior written permission of the publisher, Springer Science+Business Media, LLC.

Printed on acid-free paper.

to Mandy, Samuel and
Joshua,
Therese, Stephanie and
Sarah

Contents

Preface	xvii
Acknowledgments	xxi
Part I Fundamental Concepts	
1. IMAGE COMPRESSION OVERVIEW	3
1.1 Elementary Concepts	3
1.1.1 Digital Images	3
1.1.2 Lossless and Lossy Compression	5
1.1.3 Measures of Compression	8
1.2 Exploiting Redundancy	9
1.2.1 Statistical Redundancy	9
1.2.2 Irrelevance	10
1.3 Elements of a Compression System	13
1.3.1 The Importance of Structure	13
1.3.2 Coding	14
1.3.3 Quantization	15
1.3.4 Transforms	16
1.4 Alternative Structures	17
2. ENTROPY AND CODING TECHNIQUES	23
2.1 Information and Entropy	23
2.1.1 Mathematical Preliminaries	24
2.1.2 The Concept of Entropy	28
2.1.3 Shannon's Noiseless Source Coding Theorem	33
2.1.4 Elias Coding	36
2.2 Variable Length Codes	43
2.2.1 Huffman Coding	47
2.2.2 Golomb Coding	52
2.3 Arithmetic Coding	56
2.3.1 Finite Precision Realizations	56
2.3.2 Binary Encoding and Decoding	60
2.3.3 Length-Indicated Termination	64

2.3.4	Multiplier-Free Variants	65
2.3.5	Adaptive Probability Estimation	71
2.3.6	Other Variants	77
2.4	Image Coding Tools	77
2.4.1	Context Adaptive Coding	77
2.4.2	Predictive Coding	81
2.4.3	Run-Length Coding	82
2.4.4	Quad-Tree Coding	83
2.5	Further Reading	85
3.	QUANTIZATION	87
3.1	Rate-Distortion Theory	87
3.1.1	Source Codes	87
3.1.2	Mutual Information and the Rate-Distortion Function	88
3.1.3	Continuous Random Variables	90
3.1.4	Correlated Processes	95
3.2	Scalar Quantization	97
3.2.1	The Lloyd-Max Scalar Quantizer	98
3.2.2	Performance of the Lloyd-Max Scalar Quantizer	101
3.2.3	Entropy Coded Scalar Quantization	102
3.2.4	Performance of Entropy Coded Scalar Quantization	105
3.2.5	Summary of Scalar Quantizer Performance	108
3.2.6	Embedded Scalar Quantization	109
3.2.7	Embedded Deadzone Quantization	111
3.3	Differential Pulse Code Modulation	113
3.4	Vector Quantization	115
3.4.1	Analysis of VQ	117
3.4.2	The Generalized Lloyd Algorithm	123
3.4.3	Performance of Vector Quantization	124
3.4.4	Tree-Structured VQ	125
3.5	Trellis Coded Quantization	128
3.5.1	Trellis Coding	128
3.5.2	Fixed Rate TCQ	132
3.5.3	The Viterbi Algorithm	134
3.5.4	Performance of Fixed Rate TCQ	136
3.5.5	Error Propagation in TCQ	138
3.5.6	Entropy Coded TCQ	139
3.5.7	Predictive TCQ	142
3.6	Further Reading	142
4.	IMAGE TRANSFORMS	143
4.1	Linear Block Transforms	143
4.1.1	Introduction	143
4.1.2	Karhunen-Loeve Transform	151
4.1.3	Discrete Cosine Transform	155
4.2	Subband Transforms	160
4.2.1	Vector Convolution	160
4.2.2	Polyphase Transfer Matrices	161

4.2.3	Filter Bank Interpretation	163
4.2.4	Vector Space Interpretation	168
4.2.5	Iterated Subband Transforms	176
4.3	Transforms for Compression	182
4.3.1	Intuitive Arguments	183
4.3.2	Coding Gain	186
4.3.3	Rate-Distortion Theory	194
4.3.4	Psychovisual Properties	199
5.	RATE CONTROL TECHNIQUES	209
5.1	More Intuition	210
5.1.1	A Simple Example	210
5.1.2	Ad Hoc Techniques	212
5.2	Optimal Rate Allocation	212
5.3	Quantization Issues	215
5.3.1	Distortion Models	216
5.4	Refinement of the Theory	217
5.4.1	Non-negative Rates	218
5.4.2	Discrete Rates	219
5.4.3	Better Modeling for the Continuous Rate Case	220
5.4.4	Analysis of Distortion Models	223
5.4.5	Remaining Limitations	227
5.5	Adaptive Rate Allocation	227
5.5.1	Classification Gain	228
6.	FILTER BANKS AND WAVELETS	231
6.1	Classic Filter Bank Results	231
6.1.1	A Brief History	231
6.1.2	QMF Filter Banks	232
6.1.3	Two Channel FIR Transforms	235
6.1.4	Polyphase Factorizations	244
6.2	Wavelet Transforms	247
6.2.1	Wavelets and Multi-Resolution Analysis	248
6.2.2	Discrete Wavelet Transform	256
6.2.3	Generalizations	259
6.3	Construction of Wavelets	262
6.3.1	Wavelets from Subband Transforms	262
6.3.2	Design Procedures	272
6.3.3	Compression Considerations	278
6.4	Lifting and Reversibility	281
6.4.1	Lifting Structure	281
6.4.2	Reversible Transforms	286
6.4.3	Factorization Methods	289
6.4.4	Odd Length Symmetric Filters	293
6.5	Boundary Handling	295
6.5.1	Signal Extensions	296
6.5.2	Symmetric Extension	297
6.5.3	Boundaries and Lifting	299

6.6	Further Reading	301
7.	ZERO-TREE CODING	303
7.1	Genealogy of Subband Coefficients	304
7.2	Significance of Subband Coefficients	305
7.3	EZW	306
7.3.1	The Significance Pass	308
7.3.2	The Refinement Pass	308
7.3.3	Arithmetic Coding of EZW Symbols	311
7.4	SPIHT	313
7.4.1	The Genealogy of SPIHT	313
7.4.2	Zero-Trees in SPIHT	314
7.4.3	Lists in SPIHT	315
7.4.4	The Coding Passes	315
7.4.5	The SPIHT Algorithm	316
7.4.6	Arithmetic Coding of SPIHT Symbols	320
7.5	Performance of Zero-Tree Compression	321
7.6	Quantifying the Parent-Child Coding Gain	323
8.	HIGHLY SCALABLE COMPRESSION	327
8.1	Embedding and Scalability	327
8.1.1	The Dispersion Principle	327
8.1.2	Scalability and Ordering	329
8.1.3	The EBCOT Paradigm	333
8.2	Optimal Truncation	339
8.2.1	The PCRD-opt Algorithm	339
8.2.2	Implementation Suggestions	345
8.3	Embedded Block Coding	348
8.3.1	Bit-Plane Coding	349
8.3.2	Conditional Coding of Bit-Planes	352
8.3.3	Dynamic Scan	360
8.3.4	Quad-Tree Coding Approaches	369
8.3.5	Distortion Computation	375
8.4	Abstract Quality Layers	379
8.4.1	From Bit-Planes to Layers	379
8.4.2	Managing Overhead	382
8.5	Experimental Comparison	389
8.5.1	JPEG2000 versus SPIHT	389
8.5.2	JPEG2000 versus SBHP	394

Part II The JPEG2000 Standard

9.	INTRODUCTION TO JPEG2000	399
9.1	Historical Perspective	399
9.1.1	The JPEG2000 Process	401
9.2	The JPEG2000 Feature Set	409
9.2.1	Compress Once: Decompress Many Ways	410

9.2.2	Compressed Domain Image Processing/Editing	411
9.2.3	Progression	413
9.2.4	Low Bit-Depth Imagery	415
9.2.5	Region of Interest Coding	415
10.	SAMPLE DATA TRANSFORMATIONS	417
10.1	Architectural Overview	417
10.1.1	Paths and Normalization	419
10.2	Colour Transforms	420
10.2.1	Definition of the ICT	421
10.2.2	Definition of the RCT	422
10.3	Wavelet Transform Basics	423
10.3.1	Two Channel Building Block	423
10.3.2	The 2D DWT	428
10.3.3	Resolutions and Resolution Levels	430
10.3.4	The Interleaved Perspective	431
10.4	Wavelet Transforms	433
10.4.1	The Irreversible DWT	433
10.4.2	The Reversible DWT	435
10.5	Quantization and Ranging	436
10.5.1	Irreversible Processing	436
10.5.2	Reversible Processing	441
10.6	ROI Adjustments	442
10.6.1	Prioritization by Scaling	443
10.6.2	The Max-Shift Method	445
10.6.3	Impact on Coding	446
10.6.4	Region Mapping	447
11.	SAMPLE DATA PARTITIONS	449
11.1	Components on the Canvas	450
11.2	Tiles on the Canvas	451
11.2.1	The Tile Partition	452
11.2.2	Tile-Components and Regions	454
11.2.3	Subbands on the Canvas	455
11.2.4	Resolutions and Scaling	456
11.3	Code-Blocks and Precincts	458
11.3.1	Precinct Partition	458
11.3.2	Subband Partitions	460
11.3.3	Precincts and Packets	463
11.4	Spatial Manipulations	464
11.4.1	Arbitrary Cropping	465
11.4.2	Rotation and Flipping	467
12.	SAMPLE DATA CODING	473
12.1	The MQ Coder	473
12.1.1	MQ Coder Overview	473
12.1.2	Encoding Procedures	477
12.1.3	Decoding Procedures	481

12.2	Embedded Block Coding	484
12.2.1	Overview	484
12.2.2	State Information	487
12.2.3	Scan and Neighbourhoods	489
12.2.4	Encoding Procedures	490
12.2.5	Decoding Procedures	492
12.3	MQ Codeword Termination	495
12.3.1	Easy Termination	495
12.3.2	Truncation Lengths	497
12.4	Mode Variations	502
12.4.1	Individual Mode Switches	502
12.4.2	Modes for Coder Parallelism	508
12.4.3	Modes for Error Resilience	509
12.5	Packet Construction	513
12.5.1	Pack-Stream Structure	513
12.5.2	Anatomy of a Packet	514
12.5.3	Packet Header	516
12.5.4	Length Coding	520
13.	CODE-STREAM SYNTAX	523
13.1	Code-Stream Organization	523
13.1.1	Progression	524
13.2	Headers	533
13.2.1	The Main header	534
13.2.2	Tile Headers	536
13.2.3	Tile-Part Headers	537
13.2.4	Packet Headers	539
13.3	Markers and Marker Segments	539
13.3.1	Start of Code-stream (SOC)	540
13.3.2	Start of Tile (SOT)	541
13.3.3	Start of Data (SOD)	543
13.3.4	End of code-stream (EOC)	543
13.3.5	Image and tile size (SIZ)	543
13.3.6	Coding style default (COD)	545
13.3.7	Coding Style Component (COC)	549
13.3.8	Quantization Default (QCD)	551
13.3.9	Quantization Component (QCC)	553
13.3.10	Region of Interest (RGN)	554
13.3.11	Progression Order Change (POC)	555
13.3.12	Tile-part Lengths: Main Header (TLM)	560
13.3.13	Packet Lengths: Main Header (PLM)	562
13.3.14	Packet Lengths: Tile-Part (PLT)	564
13.3.15	Packed Packet Headers: Main Header (PPM)	565
13.3.16	Packed Packet Headers: Tile-Part (PPT)	567
13.3.17	Start of Packet (SOP)	568
13.3.18	End of Packet Header (EPH)	569
13.3.19	Component Registration (CRG)	570
13.3.20	Comment (COM)	572

14. FILE FORMAT	573
14.1 File Format Organization	574
14.1.1 The structure of a Box	575
14.2 JP2 Boxes	576
14.2.1 The JPEG2000 signature box	576
14.2.2 The File Type Box	577
14.2.3 The JP2 Header Box	578
14.2.4 The Contiguous Code-Stream Box	591
14.2.5 The IPR Box	591
14.2.6 XML Boxes	591
14.2.7 UUID Boxes	591
14.2.8 UUID Info Boxes	592
14.3 Discussion	594
15. PART 2 EXTENSIONS	597
15.1 Variable Level Offset	598
15.2 Non-Linear Point Transform	599
15.3 Variable Quantization Deadzones	599
15.4 Trellis Coded Quantization	600
15.5 Visual Masking	601
15.5.1 Discussion	602
15.6 Wavelet Transform Extensions	603
15.6.1 Wavelet Decomposition Structures	603
15.6.2 User Definable Wavelet Kernels	607
15.6.3 Single Sample Overlap Transforms	611
15.7 Multi-component Processing	614
15.7.1 Linear Block Transforms	616
15.7.2 Dependency Transforms	618
15.7.3 Wavelet Transforms	619
15.8 Region of Interest Coding	620
15.9 File Format	620
Part III Working with JPEG2000	
16. PERFORMANCE GUIDELINES	625
16.1 Visual Optimizations	625
16.1.1 CSF Based Optimizations	625
16.1.2 Weights for Color Imagery	628
16.1.3 Subjective Comparison of JPEG2000 with JPEG	631
16.1.4 Exploiting Visual Masking	633
16.2 Region of Interest Encoding	637
16.2.1 Max-Shift ROI Encoding	638
16.2.2 Implicit ROI Encoding	639
16.3 Bi-Level Imagery	641
17. IMPLEMENTATION CONSIDERATIONS	645
17.1 Block Coding: Software	645

17.1.1	MQ Coder Tricks	645
17.1.2	State Broadcasting	648
17.1.3	Dequantization Signalling	652
17.2	Block Coding: Hardware	653
17.2.1	Example Architecture	654
17.2.2	Throughput Enhancements	658
17.2.3	Opportunities for Parallelism	664
17.2.4	Distortion Estimation	665
17.3	DWT Numerics	666
17.3.1	BIBO Analysis Gain	666
17.3.2	Reversible Transforms	667
17.3.3	Fixed Point Irreversible Transforms	669
17.4	DWT Structures	675
17.4.1	Pipelining of DWT Stages	675
17.4.2	Memory and Bandwidth	677
17.4.3	On-Chip Resources	688
17.5	System Considerations	690
17.5.1	Coded Data Buffering	690
17.5.2	Bandwidth Reduction	692
17.5.3	Putting it all Together	694
17.6	Available Hardware	695
18.	COMPLIANCE	697
18.1	A System of Guarantees	698
18.2	Code-Stream Profiles	699
18.3	Decompressor Guarantees	702
18.3.1	Parsing Obligations	704
18.3.2	Block Decoding Obligations	709
18.3.3	Transformation Obligations	711
18.3.4	Compliance Classes	714
Part IV Other Standards		
19.	JPEG	719
19.1	Overview	719
19.2	Baseline JPEG	721
19.2.1	Sample Transformations	721
19.2.2	Category Codes	724
19.2.3	Run-Value Coding	726
19.2.4	Variable Length Coding	728
19.2.5	Components and Scans	729
19.3	Scalability in JPEG	730
19.3.1	Successive Approximation	731
19.3.2	Spectral Selection	733
19.3.3	Hierarchical Refinement	734
19.3.4	Comparison with JPEG2000	735
20.	JPEG-LS	737

20.1 Overview	737
20.1.1 Context Neighbourhood	738
20.1.2 Normal and Run Modes	738
20.1.3 Near Lossless Compression	740
20.2 Normal Mode Coding	741
20.2.1 Prediction	741
20.2.2 Golomb Coding of Residuals	742
20.3 Run Mode Coding	748
20.3.1 Golomb Coding of Runs	748
20.3.2 Interruption Sample Coding	750
20.4 Typical Performance	751
References	755
Index	765

Preface

JPEG2000 is the most recent addition to a family of international standards developed by the Joint Photographic Experts Group (JPEG). The original JPEG image compression standard has found wide acceptance in diverse application areas, including the internet, digital cameras, and printing and scanning peripherals. Image compression plays a central role in modern multi-media communications and compressed images arguably represent the dominant source of internet traffic today. The JPEG2000 standard is intended as the successor to JPEG in many of its application areas. It is motivated primarily by the need for compressed image representations which offer features increasingly demanded by modern applications, while also offering superior compression performance.

This text is written to serve the interests of a wide readership and to facilitate the adoption of the JPEG2000 standard by providing the tools needed to efficiently exploit its capabilities. The book is organized into four parts and is accompanied by a comprehensive software implementation of the standard. The first part provides a thorough grounding in the theoretical underpinnings and fundamental algorithms contributing to the standard. Although the elements of the original JPEG standard are carefully expounded in a large body of existing works, JPEG2000 employs fundamentally different approaches and many recently developed techniques to achieve its goals. This first part of the book provides in-depth coverage of a diverse range of topics, which have not previously been brought together in a single volume. The intent is not only to provide a backdrop to the JPEG2000 standard, but also to serve the needs of students and academics interested in modern image compression techniques.

The second part of the book is devoted to a thorough description of the JPEG2000 standard. This material is intended to serve as a compre-

hensive reference for implementors of the standard. The authors draw upon their extensive involvement with the development of JPEG2000 to shed light on all technical aspects of JPEG2000 Part 1. Treatment of JPEG2000 Part 2 (extensions) is less comprehensive. Parts I and II of the book are written so as to complement one another. The book offers at least two different perspectives on many of the key concepts, with Part I offering the more theoretical perspective and Part II offering the more practical. As far as possible, Part II of the book strives to provide an accessible description of the standard, which can be comprehended without first absorbing the more theoretical material in Part I.

The third part of the book addresses practical considerations for implementing and efficiently utilizing the standard. The intention is to impart a body of knowledge acquired by the authors through their involvement in developing the standard, including software and hardware implementation strategies and guidelines for selecting the most appropriate parameters for a variety of applications. This part of the book also deals with compliance testing and related matters.

The fourth and final part of the book provides a useful introduction to other image compression standards, namely JPEG and JPEG-LS. The purpose of this material is twofold. In the first place, these much simpler standards provide excellent practical examples of some of the image compression techniques which are treated in Part I of the book, but do not find expression in JPEG2000. Secondly, JPEG and JPEG-LS provide the most important alternatives to JPEG2000 in its two most important fields of application: lossy and lossless compression of continuous tone imagery. Only by describing these standards is the text able to offer meaningful comparisons with JPEG2000. In some cases, particularly those in which scalability and accessibility are not sought-after features, the use of JPEG2000 in preference to JPEG or JPEG-LS may be likened to using a sledge hammer to swat a fly. Part IV of the book should prove a useful guide to application developers wishing to avoid such excesses.

Included with the book is a compact disc, containing documentation, binaries and all source code to the Kakadu software tools. This software provides a complete C++ implementation of JPEG2000 Part 1, demonstrating many of the principles described in the text itself. The software is frequently referenced from the text as an additional resource for understanding complex or subtle aspects of the standard. Conversely, the software makes frequent reference to this text and has been written to mesh with the terminology and notation employed herein. The Kakadu tools have been commercially licensed by a significant number of corporations. Non-commercial licenses are also sold separately by the University

of New South Wales and the software may otherwise be obtained only with the purchase of this book. A copy of the non-commercial license granted with this book may be found at the back cover. Provisions are also in place to encourage site-licensing by Universities whose libraries own a copy of the book. For more information in this regard, refer to the compact disc itself and the accompanying license statement.

Acknowledgments

There are many individuals without whom this work would never have come to pass. To our colleagues in the JPEG working group, WG1, we extend our most sincere gratitude. Their cooperative endeavours and determination to see this new standard meet the communication needs of the modern world have shaped JPEG2000. We especially thank the tireless editor of the standard, Martin Boliek, for his instrumental role in initiating the standardization process and his extensive and ongoing contribution in documenting and solidifying the JPEG2000 technology. We thank the WG1 convener, Daniel Lee, and the coeditors, Eric Majani and Charis Christopoulos, for their many labours in keeping the standard on track. Also deserving of special thanks is Thomas Flohr, for his outstanding support of the JPEG2000 Verification Model software.

We would like to thank the many individuals who have encouraged us in this work and especially Michael Gormish, Jim Andrew and Ali Bilgin, whose feedback has significantly improved the quality of the text. Finally, and above all, we acknowledge the encouragement, love and support of our wives and families, whose sacrifice and generosity has enabled us to find the energy to write.