Phase extraction from optical interferograms in presence of intensity nonlinearity and arbitrary phase shifts

Thang Hoang,1 Zhaoyang Wang,1,4) Minh Vo,1 Jun Ma,1 Long Luu,1 and Bing Pan2
1Department of Mechanical Engineering, The Catholic University of America, Washington, DC 20064, USA
2Institute of Solid Mechanics, Beijing University of Aeronautics and Astronautics, Beijing 100191, China

(Received 17 February 2011; accepted 29 June 2011; published online 18 July 2011)

We present an advanced technique to retrieve phase from multiple optical interferograms containing intensity nonlinearity and random phase shifts, which are common in practice. The proposed algorithm employs a least-squares iteration scheme to detect harmonics up to the pth order and arbitrary phase shifts simultaneously, and the phase distribution can be accurately extracted from (2p + 1) interferograms. The technique is validated by both computer simulation and real experimental results. © 2011 American Institute of Physics. [doi:10.1063/1.3614447]

Phase-shifting technique is commonly employed in optical interferometry because of its automatic, easy, accurate, and full-field characteristics.1 The technique has been utilized extensively in various applications, such as three-dimensional holography2–4 and optical imaging microscopy.5–7 The most widely used conventional phase-shifting technique is based on the assumptions that the captured signal rigorously follows a simple sinusoidal function and the phase shifts are exactly the ideal values. In practice, however, none of the assumptions holds true. The two primary sources of systematic errors in extracting phase distributions are systematic phase-shift error, which is due to phase-shift miscalibration or nonlinear response of the phase shifter, and nonsinusoidal waveform of the signal, which is due to nonlinearity of the detector or multiple-beam interference.8,9 In addition, random phase-shift error is also very common in real applications due to the imperfect mechanism of phase-shifting and other practical issues such as vibration. To compensate these errors, numerous algorithms have been developed. These algorithms can cope with either the phase-shift error10–18 or the nonsinusoidal error,19,20 but not both. The reason is that the effects of the two errors on phase extraction are coupled, and they must be solved simultaneously.

In this Letter, a least-squares-based iterative algorithm to directly address the aforementioned issues is presented. The algorithm offers a way to compensate the effect of intensity nonlinearity and detect the actual phase shifts, which leads to an extraction of full-field phase map from multiple interferograms with high fidelity.

Mathematically, the existence of nonlinear response in optical interferometry brings high-order harmonics to the actual interferograms. Therefore, the intensity of a real interferogram can be theoretically expressed as

\[ I_{ij} = \sum_{k=0}^{p} b_{ijk} \cos \{k(\phi_j + \delta_i)\}, \]

where \( i \) denotes the \( i \)th phase-shifted image \((i = 1, 2, \ldots, M)\), \( j \) denotes an arbitrary point in the image \((j = 1, 2, \ldots, N)\), \( b_{ij0} \) is the background intensity, \( b_{ijk} \) is the intensity modulation amplitude of the \( k \)th order harmonics \((k \geq 1)\), \( \phi_j \) is the phase, \( \delta_i \) is the \( i \)th phase-shift amount, and \( p \) is the highest significant harmonic order of the captured image. The equation used by the conventional phase-shifting technique is a special case of Eq. (1) with \( p = 1 \) and \( \delta_i = (i - 1)2\pi/M \). In reality, as mentioned previously, this is generally not true.

The proposed technique is an iterative algorithm involving three steps in each iteration cycle.

**Step 1: Determination of arbitrary phase shifts.** In this step, the coefficient \( b_{ijk} \) is assumed to be a constant for each frame but can vary from a frame to another one, i.e., \( b_{ijk} = B_{ik} \). Under this assumption, two sub-steps are applied to find the phase shifts. The first one is to calculate \( B_{i0}, \ldots, B_{ip} \) with known phase information (i.e., \( \phi_j \) and \( \delta_i \) obtained from previous iteration cycle or from an existing phase-shifting algorithm (Ref. 21) for initial estimation). A least-square error accumulated from all the pixels in the \( i \)th image can be written as

\[ S_i = \sum_{j=1}^{N} \left( \sum_{k=0}^{p} B_{ik} \cos \{k(\phi_j + \delta_i)\} - I_{ij} \right)^2, \]

where \( I_{ij} \) denotes the captured interferogram intensity.

Minimizing \( S_i \) with respect to \( B_{ik} \) yields

\[ A^{(i)} X^{(i)} = Y^{(i)}, \]

where \( A^{(i)} \) is a \((p + 1) \times (p + 1)\) matrix, and \( X^{(i)} \) and \( Y^{(i)} \) are \((p + 1) \times 1\) column vectors. Their elements are

\[ A^{(i)}_{kl} = \sum_{j=1}^{N} \cos \{k(\phi_j + \delta_i)\} \cos \{l(\phi_j + \delta_i)\}, \]

\[ X^{(i)}_k = B_{ik}, \]

\[ Y^{(i)}_k = \sum_{j=1}^{N} \cos \{k(\phi_j + \delta_i)\} I_{ij}, \]

where \( k, l = 0, 1, \ldots, p \). By solving for \( X^{(i)} \) in Eq. (3), \( B_{i0}, \ldots, B_{ip} \) can be obtained. Next, in the second sub-step, these new background and modulation amplitude values are combined with the phase distribution \( \phi_j \) to update the phase-shift amount \( \delta_i \). This can be done through searching for the
new phase shift in a range around the current one to minimize the following least-squares sum

\[ S_i = \sum_{j=1}^{N} \left\{ \sum_{k=0}^{p} B_{jk} \cos[k(\phi_j + \delta_i) - l_i] \right\}^2, \quad (5) \]

where \( \Delta \in (-\Delta_{\text{max}}, \Delta_{\text{max}}) \) and \( \Delta_{\text{max}} \) is a predefined threshold value. In this Letter, \( \Delta_{\text{max}} \) is set to \( \pi/2 \) or \( 90^\circ \), and the finest searching step increment is 0.0001 rad or 0.0057. After this step, the phase shift is updated as an adjustment of the previous value by \( \delta^{(\text{new})}_i = \delta^{(\text{old})}_i + \Delta \).

**Step 2: Determination of phase distribution.** In this step, it is assumed that the coefficient \( b_{jk} \) is a function of pixel location and does not have a frame-to-frame variation, i.e., \( b_{jk} = B_{jk} \). Similar to step 1, two sub-steps are conducted here. With phase \( \phi_j \) obtained from the previous cycle and \( \delta_i \) updated in step 1 of the current cycle, the least-squares error is

\[ S_j = \sum_{i=1}^{M} \left\{ \sum_{k=0}^{p} B_{jk} \cos[k(\phi_j + \delta_i)] - l_i \right\}^2, \quad (6) \]

and this yields

\[ A^{(j)}X^{(j)} = Y^{(j)}, \quad (7) \]

where the elements of matrix \( A^{(j)} \) and column vectors \( X^{(j)} \) and \( Y^{(j)} \) are

\[ A_{ij}^{(j)} = \sum_{k=0}^{M} \cos[k(\phi_j + \delta_i)] \cos[l(\phi_j + \delta_i)], \]

\[ X^{(j)} = B_{jk}, \]

\[ Y^{(j)} = \sum_{i=1}^{M} \cos[k(\phi_j + \delta_i)]l_i. \]

Solving Eq. (7) yields \( B_{j0}, \ldots, B_{jp} \). Then, similarly to step 1, the phase \( \phi_j \) can be updated by searching for \( \Delta \) in a range of \( (-\Delta_{\text{max}}, \Delta_{\text{max}}) \) around its current value to minimize the least-squares sum

\[ S_j = \sum_{i=1}^{M} \left\{ \sum_{k=0}^{p} B_{jk} \cos[k(\phi_j + \Delta + \delta_i)] - l_i \right\}^2. \quad (9) \]

In this way, the phase is updated as \( (\phi_j + \Delta) \).

**Step 3: Convergence check.** The iteration continues until the following convergence criterion is satisfied for each phase-shift value \( \delta_i \):

\[ |(\delta^{(n)}_i - \delta^{(n-1)}_i) - (\delta^{(n-1)}_i - \delta^{(n-2)}_i)| < \epsilon, \quad (10) \]

where \( n \) denotes the number of iteration cycles and \( \epsilon \) is a predefined accuracy threshold (e.g., \( 10^{-4} \)).

Equation (1) involves unknowns \( b_{jk}, \phi_j, \) and \( \delta_i \). Because the actual \( b_{jk} \) generally does not have a frame-to-frame variation, the total number of unknowns is \( (p + 2)N + M \). Considering that the number of available equations is \( MN \), at least \( M = (p + 2)N/(N - 1) \) phase-shifted interferograms are required for the phase extraction. In reality, because the proposed algorithm employs a least-squares approach to solve for the coupled unknowns, more images are typically demanded to ensure a trustworthy processing. We have conducted numerous simulation tests to find the proper \( M \) for each different \( p \). The result shows that using four images for \( p = 1 \) or \( (2p + 1) \) images for \( p > 1 \) is capable of providing reliable analysis for all the tests, although some only require as few as \( (p + 3) \) images. The tests also verify that the selected \( p \) can be larger than the actual highest harmonics order and more than \( (2p + 1) \) interferograms may be used for a selected \( p \). If two or more interferograms have very close phase shifts that make the pixel-by-pixel difference between these interferograms indistinguishable, then more than \( (2p + 1) \) interferograms may be required to ensure a correct convergence and reliable analysis.

Figure 1 shows four representative interferograms used in the simulation, where case \( a \) is noise-free, case \( b \) involves high noise levels, case \( c \) contains high-frequency fringes, and case \( d \) includes nonuniform background, and the \( p \) values are 2, 3, 4, and 5, respectively. Table I illustrates a comparison of the root-mean-square errors (RMSE) of the full-field phase distributions extracted using the conventional algorithm, Hibino’s algorithm, advanced iteration algorithm (AIA), and the proposed algorithm. Hibino’s algorithm and AIA are selected because the former is insensitive to quadratic and nonuniform phase shifts and the latter is among the best algorithms for analyzing arbitrarily phase-shifted interferograms in practice. The results clearly demonstrate the validity of the proposed algorithm. It is noteworthy that other simulation tests show that both the AIA and the proposed algorithms provide accurate results when there is no intensity nonlinearity (i.e., \( p = 1 \)).

To avoid redundancy, only the simulation case \( d \) is elaborated here to demonstrate the effectiveness of the proposed algorithm. In the simulation, arbitrarily phase-shifted moiré interferograms representing the deformation field around a

**TABLE I. RMSE of the phase distributions extracted by various algorithms (unit: radian).**

<table>
<thead>
<tr>
<th>Algorithm</th>
<th>Case a</th>
<th>Case b</th>
<th>Case c</th>
<th>Case d</th>
</tr>
</thead>
<tbody>
<tr>
<td>Conventional</td>
<td>0.3854</td>
<td>0.5033</td>
<td>0.2779</td>
<td>0.2004</td>
</tr>
<tr>
<td>Hibino</td>
<td>0.4217</td>
<td>0.4357</td>
<td>0.2159</td>
<td>0.3572</td>
</tr>
<tr>
<td>AIA</td>
<td>0.2701</td>
<td>0.1736</td>
<td>0.1245</td>
<td>0.1004</td>
</tr>
<tr>
<td>Proposed</td>
<td>0.0101</td>
<td>0.0370</td>
<td>0.0127</td>
<td>0.0236</td>
</tr>
</tbody>
</table>
crack are generated. The simulation parameters are $p = 5$, $b_{0,5} = \{60 + 68 \times (j/i)^2, 30 + 40 \times (j/i)^2\}$, $30, 15, 8, 4\}$ and $\delta_{1,1} = \{0, 0.3491, 2.0944, 5.2360, 4.3633, 3.3161, 1.5708, 3.6652, 1.3963, 4.8869, 2.6180\}$. Here, $(i, j)$ indicates pixel location and $w$ and $h$ denote the image width and height, respectively. In addition, Gaussian noise with mean $\mu = 0$ and standard deviation $\sigma = 5$ is added to the interferograms.

Figure 2 shows the phase distributions along a line highlighted in the original interferogram, Fig. 1(d). It is evident that the proposed algorithm provides substantially better results than the existing algorithms due to its capability of handling high-order harmonics effect.

The proposed algorithm has also been applied to analyze randomly phase-shifted interferograms acquired in the mechanics measurement of a beam subjected to bending load. Since $p$ cannot be determined prior to the interferogram analysis, a relatively large number of images (15 images to allow the maximum $p$ to be 7) are captured in the experiment. The analysis with the proposed algorithm shows that stable results can be obtained if $p$ is set to 4 or larger, and this reveals that the highest harmonics order in the interferograms is $p = 4$. Figure 3 shows one of the captured interferograms as well as the phase maps extracted by the existing AIA and the proposed algorithms. The experiment verifies the validity and feasibility of the proposed algorithm.

In summary, we have presented an iterative algorithm to extract phase information from optical interferograms involving both intensity nonlinearity and arbitrary phase shifts, which are the two errors typically encountered in real applications. The algorithm is applicable of eliminating the effect of arbitrary phase shifts and harmonics up to the $p$th order with $(2p + 1)$ or more interferograms.

This work is supported by the National Science Foundation under Grant No. CMMI-0825806 and the Army Research Office under Grant No. W911NF-10-1-0502.