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Document Image Understanding - 1997

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Abstract

This report contains nearly 500 references which are directly related to the field of document image understanding and appeared in major journals and conferences during 1997. Each reference is classified by major topic. Areas covered include, but are not limited to, preprocessing, models and representations, on-line recognition, off-line recognition, graphics recognition and interpretation, page processing, post-processing and special applications. A BibTeX version of the bibliography as well as search capabilities are available on-line at url <http://documents.cfar.umd.edu/biblio/>.

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October 8, 1998

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Contents

1	Introduction	1
1.1	Sources	1
1.1.1	Conference and Workshop Proceedings	1
1.1.2	Journals	2
1.2	Organization of Bibliography	3
1.2.1	Hierarchy	3
1.2.2	Primary Category Descriptors	5
1.2.3	Additional Category Descriptors	6
1.3	BIBTEX Conventions	8
1.4	Bibliography File	8
1.5	Accessing DOCBIB	8
1.5.1	Off-Line	8
1.5.2	On-Line from the Document Information Server	8
2	Books	10
3	Meetings	10
4	Special Issues	11
5	Pre-processing Tasks	11
5.1	Survey	11
5.2	Baseline Detection	11
5.3	Character Segmentation	11
5.4	Word Segmentation	12
5.5	Feature Extraction	12
5.6	Skew Detection	12
5.7	Text/Graphics Discrimination	13
5.8	Thinning	13
5.9	Thresholding	14
5.10	Vectorization	14
5.11	Enhancement	14
5.12	General References	15
6	Models, Analysis and Representations	15
6.1	Models of Documents	15
6.2	Handwriting Models	15
6.3	Handwriting Analysis	15
6.4	Representations	16
7	Text Processing	16
7.1	On-line Recognition	16
7.1.1	Surveys	16
7.1.2	Foreign	16
7.1.3	Gestures and Sketches	18
7.1.4	Script	18
7.1.5	Word Recognition	19
7.1.6	General References	19
7.2	Optical Character Recognition - Latin	19
7.2.1	Surveys	19

7.2.2	Hand-Printed	20
7.2.3	Script	20
7.2.4	Machine-Printed	21
7.2.5	Digit Recognition	21
7.2.6	Word Recognition	22
7.2.7	General References	24
7.3	Optical Character Recognition - Foreign	26
7.3.1	Chinese	26
7.3.2	Japanese	28
7.3.3	Hebrew	29
7.3.4	Arabic	29
7.3.5	Other Languages	30
7.4	General References	31
8	Graphics Recognition and Interpretation	31
8.1	Surveys	31
8.2	Engineering Drawings	32
8.3	Mathematics and Formulas	34
8.4	Maps	34
8.5	Tables	36
8.6	Sketches	37
8.7	Line Drawings and Diagrams	37
8.8	General References	38
9	Page and Document Processing	38
9.1	Surveys	38
9.2	Classification	38
9.2.1	Zone Classification	38
9.2.2	Page Classification	38
9.3	Page Structure Analysis	38
9.3.1	Page Segmentation	38
9.3.2	Logical Layout Analysis	39
9.3.3	General References	40
9.4	Systems	40
9.5	General References	41
10	Post-Processing	42
10.1	Context	42
10.2	Evaluation	42
10.3	General References	45
11	Special Applications	45
11.1	Check Processing	45
11.2	Fax Processing	46
11.3	Forms Processing	46
11.4	Character Set Recognition	47
11.5	Language Recognition	48
11.6	Logo Recognition	48
11.7	Postal Applications	49
11.8	Signature Verification	49
11.9	Writer Identification	51
11.10	Document Image Retrieval	51

11.11 Human Interaction	54
11.12 Digital Libraries	54
11.13 General References	54
12 Related Areas	55
12.1 Compression	55
12.2 Halftoning	55
12.3 Synthetic Data	55
12.4 Databases	55
12.5 Font Processing	56
12.6 Machine Translation	56
12.7 Music Recognition	56
12.8 Shorthand	56
12.9 Natural Scenes	56
12.10 Information Retrieval	57
12.11 Hardware	57
13 Miscellaneous	57
Author Index	58

1 Introduction

This document contains information about **DOCBIB**, a Document Understanding Bibliography which has been available on-line from the University of Maryland since the Fall of 1993.

The complete bibliography contains selected references from before 1980, major references for the 1980's and a more complete set of references for 1990 and beyond. References are included for topics such as preprocessing, representation, on- and off-line recognition, graphics interpretation, page analysis, and signature verification, among others.

The bibliography is not intended to be comprehensive of all document understanding literature, but rather is a resource which can be used to obtain entry points into the document literature. The current bibliography is skewed toward document image understanding, with some on-line recognition references. The bibliography is updated periodically as new sources emerge or as additional topics are added by interested parties.

This report contains only entries for the calendar year 1997; additional entries for previous years are available online. Each entry appears only once in its major category. Although a given category may be blank, there may be relevant entries listed in other categories. Users are encouraged to make use of the on-line search capabilities to obtain a more comprehensive list.

SPECIAL NOTE: In the online version of this document, many of the categories have changed and several were added for 1997. Unfortunately, they have not yet filtered back through previous years. For example, **BASELINE** was added for Baseline detection, but references from previous years may still fall in other categories. The category classification is not intended to be comprehensive, but rather representative. The best way to search the literature is on-line.

1.1 Sources

References have been gathered from a wide variety of sources, but are primarily from the computer vision and pattern recognition literature. The next two sections contain lists of primarily conference and journal sources, respectively.

1.1.1 Conference and Workshop Proceedings

<i>Abbreviation</i>	<i>Conference</i>	<i>Years</i>
CVPR	IEEE Computer Society Conference on Computer Vision and Pattern Recognition	1985-
DAS	Document Analysis Systems	
GREC	International Workshop on Graphics Recognition	
ICIP	International Conference on Image Processing	
ICPR	International Conference on Pattern Recognition	1984-
ICDAR	International Conference on Document Analysis and Recognition	1991-
IWFHR	International Workshop on Frontiers in Handwriting Recognition	1990-
SDIUT	Symposium on Document Image Understanding Technology	1995-
SPIE	SPIE - Character Recognition and Document Analysis Meetings	
SSPR	Syntactic and Structural Pattern Recognition	
VF	Visual Form	

1.1.2 Journals

<i>Abbreviation</i>	<i>Journal</i>	<i>Years</i>
AI	Artificial Intelligence	1987
BC	Biological Cybernetics	1990-
CGIP	Computer Graphics and Image Processing	
COMPUTER	IEEE Computer	
CVGIP	Computer Vision, Graphics and Image Processing	1984-
CVIP	Computer Vision and Image Processing	1992-
CVIU	Computer Vision and Image Understanding	
GMIP	Graphical Models and Image Processing (CVGIP)	1992-
IBMJRD	IBM Journal of Research and Development	
IBMSYS	IBM Systems Journal	
IJCV	International Journal of Computer Vision	
IJPRAI	International Journal of Pattern Recognition and Artificial Intelligence	
IPL	Information Processing Letters	
IU	Image Understanding (CVGIP)	1992-
IVC	Image and Vision Computing	
JVCIR	Journal of Visual Communication and Image Representation	
MVA	Machine Vision and Applications	
PIEEE	Proceedings of the IEEE	
PR	Pattern Recognition	1983-
PRL	Pattern Recognition Letters	1983-
SP	Signal Processing	
TCOMP	IEEE Transactions on Computers	
TIP	IEEE Transactions on Image Processing	
TPAMI	IEEE Transactions on Pattern Analysis and Machine Intelligence	
TSMC	IEEE Transactions on Systems, Man, and Cybernetics	
TSE	IEEE Transactions on Software Engineering	
VC	The Visual Computer	

1.2 Organization of Bibliography

This bibliography is stored in BIBTEX format, with all of the standard fields and an additional “CATEGORY” field which contains a broad categorization of the article into the hierarchy presented below.

Not all references fit cleanly into a single category. The hardcopy version of the bibliography places each reference into the *most appropriate* primary category¹. Secondary keywords are appended to provide a more specific categorization of the topic described or the approach taken in the work.

Please note:

- As a general rule, a topic or category area will be given its own section when it contains 10 references which do not fit cleanly into another category.
- No hyphens are used in any of the keywords.
- The category “GENERAL” is used as a way of extracting references other than the ones in the other subsections.

1.2.1 Hierarchy

	<u>CATEGORY</u>
I Books	1 [BOOK,*]
II Meetings	2 [MEETING,*]
III Special Issues	3 [SPECIAL ISSUE,*]
IV Pre-processing Tasks	
Survey	4 [PREPROCESSING,SURVEY]
Baseline Detection	5 [PREPROCESSING,BASELINE]
Character Segmentation	6 [PREPROCESSING,CHARACTER SEGMENTATION]
Word Segmentation	7 [PREPROCESSING,WORD SEGMENTATION]
Feature Extraction	8 [PREPROCESSING,FEATURE EXTRACTION]
Skew Detection	9 [PREPROCESSING,SKEW]
Text/Graphics Discrimination	10 [PREPROCESSING,TEXT GRAPHICS]
Thinning	11 [PREPROCESSING,THINNING]
Thresholding	12 [PREPROCESSING,THRESHOLDING]
Vectorization	13 [PREPROCESSING,VECTORIZATION]
Enhancement	14 [PREPROCESSING,ENHANCEMENT]
General References	15 [PREPROCESSING,*]
V Models, Analysis and Representations	
Models of Documents	16 [DOCUMENT MODELS]
Handwriting Models	17 [HANDWRITING MODELS]
Handwriting Analysis	18 [HANDWRITING ANALYSIS]
Representations	19 [REPRESENTATION]
VI Text Processing	
On-line Recognition	
Surveys	20 [TEXT PROCESSING,ONLINE,SURVEY]
Foreign	21 [TEXT PROCESSING,ONLINE,FOREIGN LANGUAGE]
Gestures and Sketches	22 [TEXT PROCESSING,ONLINE,SKETCHES]
Script	23 [TEXT PROCESSING,ONLINE,HANDWRITTEN]
Word Recognition	24 [TEXT PROCESSING,ONLINE,WORD]
General References	25 [TEXT PROCESSING,ONLINE,*]
Optical Character Recognition - Latin	
Surveys	26 [TEXT PROCESSING,OCR,SURVEY]
Hand-Printed	27 [TEXT PROCESSING,OCR,HAND PRINTED]
Script	28 [TEXT PROCESSING,OCR,HANDWRITTEN]
Machine-Printed	29 [TEXT PROCESSING,OCR,MACHINE PRINTED]
Digit Recognition	30 [TEXT PROCESSING,OCR,DIGIT]
Word Recognition	31 [TEXT PROCESSING,OCR,WORD]
General References	32 [TEXT PROCESSING,OCR,*]
Optical Character Recognition - Foreign	
Chinese	33 [TEXT PROCESSING,OCR,FOREIGN LANGUAGE,CHINESE]

¹ On-line access to DocBib is described in Section 1.5.2

Japanese	34	[TEXT PROCESSING,OCR,FOREIGN LANGUAGE,JAPANESE]
Hebrew	35	[TEXT PROCESSING,OCR,FOREIGN LANGUAGE,HEBREW]
Arabic	36	[TEXT PROCESSING,OCR,FOREIGN LANGUAGE,ARABIC]
Other Languages	37	[TEXT PROCESSING,OCR,FOREIGN LANGUAGE,*]
General References	38	[TEXT PROCESSING,*]
VII Graphics Recognition and Interpretation		
Surveys	39	[GRAPHICS,SURVEY]
Engineering Drawings	40	[GRAPHICS,ENGINEERING DRAWING]
Mathematics and Formulas	41	[GRAPHICS,FORMULAS]
Maps	42	[GRAPHICS,MAPS]
Tables	43	[GRAPHICS,TABLES]
Sketches	44	[GRAPHICS,SKETCHES]
Line Drawings and Diagrams	45	[GRAPHICS,LINE DRAWING]
General References	46	[GRAPHICS,*]
VIII Page and Document Processing		
Surveys	47	[DOCUMENT PROCESSING,SURVEY]
Classification		
Zone Classification	48	[DOCUMENT PROCESSING, CLASSIFICATION, ZONE]
Page Classification	49	[DOCUMENT PROCESSING, CLASSIFICATION, PAGE]
Page Structure Analysis		
Page Segmentation	50	[DOCUMENT PROCESSING,PAGE SEGMENTATION]
Logical Layout Analysis	51	[DOCUMENT PROCESSING,LOGICAL ANALYSIS]
General References	52	[DOCUMENT PROCESSING,PAGE SEGMENTATION,LOGICAL ANALYSIS]
Systems	53	[DOCUMENT PROCESSING,SYSTEM]
General References	54	[DOCUMENT PROCESSING,*]
IX Post-Processing		
Context	55	[POSTPROCESSING,CONTEXT]
Evaluation	56	[POSTPROCESSING,EVALUATION]
General References	57	[POSTPROCESSING,*]
X Special Applications		
Check Processing	58	[APPLICATION,CHECKS]
Fax Processing	59	[APPLICATION,FAX]
Forms Processing	60	[APPLICATION,FORMS]
Character Set Recognition	61	[APPLICATION,CHARACTER SET RECOGNITION]
Language Recognition	62	[APPLICATION,LANGUAGE RECOGNITION]
Logo Recognition	63	[APPLICATION,LOGO]
Postal Applications	64	[APPLICATION,POSTAL]
Signature Verification	65	[APPLICATION,SIGNATURE]
Writer Identification	66	[APPLICATION,WRITER IDENTIFICATION]
Document Image Retrieval	67	[APPLICATION,RETRIEVAL]
Human Interaction	68	[APPLICATION, HUMAN INTERACTION]
Digital Libraries	69	[APPLICATION, DIGITAL LIBRARIES]
General References	70	[APPLICATION,*]
XI Related Areas		
Compression	71	[COMPRESSION]
Halftoning	72	[HALFTONING]
Synthetic Data	73	[SYNTHETIC]
Databases	74	[DATABASES]
Font Processing	75	[FONT]
Machine Translation	76	[MACHINE TRANSLATION]
Music Recognition	77	[MUSIC]
Shorthand	78	[SHORTHAND]
Natural Scenes	79	[NATURE]
Information Retrieval	80	[INFORMATION RETRIEVAL]
Hardware	81	[HARDWARE]
XII Miscellaneous	82	[MISC]

1.2.2 Primary Category Descriptors

BOOK	Book
MEETING	Meeting
SPECIAL ISSUE	Special Issue
APPLICATIONS	
BASELINE	Baseline Detection
CHARACTER SEGMENTATION	
CHARACTER SET RECOGNITION	Alphabet Identification
CHECKS	Check Processing
COMPRESSION	
CONTEXT	Use of Context or Priors
DATABASES	for Training, Testing or Storage
DIGITAL LIBRARIES	
DOCUMENT MODELS	Page Level Modeling
DOCUMENT PROCESSING	
ENGINEERING DRAWING	Engineering Drawing Interpretation
ENHANCEMENT	
EVALUATION	Error Analysis and Evaluation
FAX	Fax Processing
FEATURE EXTRACTION	Feature Extraction
FOREIGN LANGUAGE	Foreign Language Processing
FORMS	Forms Processing
FORMULAS	Mathematics and Scientific Notation
GENERAL	General References of a Category
GRAPHICS	Graphics Understanding
HAND PRINTED	Hand-Produced Documents
HANDWRITING ANALYSIS	Handwriting Analysis
HANDWRITING MODELS	
HANDWRITTEN	Handwritten (Script) Recognition
HUMAN INTERACTION	
INFORMATION RETRIEVAL	
LANGUAGE RECOGNITION	
LINE DRAWING	
LOGICAL ANALYSIS	Logical Layout Analysis
LOGO	Logo and Seal Processing
MACHINE PRINTED	Machine-produced Documents
MACHINE TRANSLATION	
MAPS	Map Understanding
MUSIC	Music Processing
NATURE	Documents in 3D Scenes
NATURE LANGUAGE	Documents in 3D Scenes
OCR	Optical Character Recognition
ONLINE	On-line Recognition
PAGE CLASSIFICATION	
PAGE SEGMENTATION	
POSTAL	Mail-piece Processing
POSTPROCESSING	
PREPROCESSING	
RETRIEVAL	Retrieval of Document Images
REPRESENTATION	

SHORTHAND	Shorthand Processing
SIGNATURE	Signature Verification
SKETCHES	Hand-produced Graphics
SKEW	Skew Detection and Correction
SPECIAL APPLICATIONS	
SURVEY	Survey Papers
SYNTHETIC	
TABLES	Table Processing, Flowcharts
TEXT PROCESSING	
TEXT GRAPHICS	Text/Graphics Discrimination
THINNING	Thinning Algorithms
THRESHOLDING	Thresholding Algorithms
WORD	Whole Word Recognition
WORD SEGMENTATION	
WRITER IDENTIFICATION	
ZONE CLASSIFICATION	

1.2.3 Additional Category Descriptors

General Descriptors

ADDRESS	Address Block Location
COLOR	Processing of Color in Documents
COMPRESSION	Compression and Vectorization
DIGIT	Numeric Digits
FONT	Font Processing
GRAYSCALE	
HARDWARE	Hardware
HOUGH	Hough Transform
MARKOV	Markov Models
MORPHOLOGY	
NGRAM	N-Gram Probabilities
OFFLINE	
PARALLEL	Parallel Algorithms
SYSTEM	Systems
VECTORIZATION	
ZIP CODE	Zip Code Processing

Classifier/Pattern Recognition Descriptors

CLASSIFIER	Classification
CLUSTERING	Clustering Approach
FUZZY LOGIC	
KNOWLEDGE BASED	Expert Systems
LEARNING	Learning-based Approaches
NEURAL NET	Neural Nets
RELAXATION	Relaxation
STATISTICAL	Statistical PR Approaches
STRUCTURAL	Structural Approaches
SYNTACTIC	Syntactic PR Approaches
TEMPLATE MATCHING	

Language Descriptors

ARABIC
CHINESE
CHITRA
CYRILLIC
DEVANAGARI
FARSI
GREEK
HANGUL
HEBREW
ITALIAN
JAPANESE KANJI
JAPANESE HIRAGANA
JAPANESE KATAKANA
KOREAN
MANDARIN
PINYIN
TAMIL
TELUGU

1.3 BIBTEX Conventions

- The bibtex-key is constructed by using the author's last name and the last two digits of the year. For multiple references by the same author or authors with the same first three letters of the last name, the letters 'a', 'b', ... are appended.

```
@inproceedings{kasturi88,
  AUTHOR = {R. Kasturi},
  BOOKTITLE = ICPR,
  PAGES = {255-259 },
  TITLE = {A System for Recognition and Description of Graphics },
  YEAR = 1988,
  CATEGORY = {DOC, TEXTGRAPH}
}

@article{kasturi88a,
  AUTHOR = {R. Kasturi and J. Alemany },
  JOURNAL = TSE,
  PAGES = {671-675},
  TITLE = {Information Extraction from Images of Paper-Based Maps },
  VOLUME = 14,
  YEAR = 1988,
  CATEGORY = {GRAPHICS, MAPS}
}
```

- All @STRING commands are kept in one file (DocumentStrings.bib). This file should be the first file in bibliography command.

1.4 Bibliography File

The bibliographies are provided in a compiled Postscript version organized by category, with contents, and an author index, and well as in a searchable database.

The 1990-present bibliographies are yearly.

A comprehensive bibliography is also available (.PS), but may differ slightly from older yearly collections because of changes in the organization.

1.5 Accessing DOCBIB

1.5.1 Off-Line

A copy of this document is available by sending a request to the Language and Media Processing Laboratory, Center for Automation Research, University of Maryland, College Park, MD 20742.

1.5.2 On-Line from the Document Information Server

A search form is available via WWW at <http://documents.cfar.umd.edu/biblio>

General Information

```
General access information
Description of DOCBIB (postscript)
Access the Compiled hardcopy listing (postscript)
  * Pre-1995 Bibliography
  * 1995 Bibliography
  * 1996 Bibliography
  * 1997 Bibliography
```

Searching DOCBIB

Several online search methods are available

- * Quick unfielded search fast and simple
- * Form-based simple queries allows more complex conjunctive queries
- * Custom search most powerful, but uses a complex query language

2 Books

- [1] J.J. Hull and S.L. Taylor. *Document Analysis Systems II*. World Scientific, 1997.
KEY: DAS97
CATEGORIES: BOOK
- [2] L. OGorman and R. Kasturi. *Document Image Analysis—An Executive Briefing*. IEEE-CS Press, 1997.
KEY: DIA97
CATEGORIES: BOOK
- [3] J. Laing and D. Wire. *The Encyclopedia of Signs and Symbols*. Crescent, 1997.
KEY: ESS97
CATEGORIES: BOOK
- [4] H. Bunke and P.S.P. Wang. *Handbook of Character Recognition and Document Image Analysis*. World Scientific, 1997.
KEY: OCRHandbook97
CATEGORIES: BOOK
- [5] A.C. Downton and S. Impedovo. *Progress in Handwriting Recognition*. World Scientific, 1997.
KEY: PHR97
CATEGORIES: BOOK
- [6] H. Dreyfuss. *Symbol Sourcebook*. McGraw Hill, 1997.
KEY: SS97
CATEGORIES: BOOK

3 Meetings

- [7] *First Brazilian Symposium on Document Image Analysis*, Curitiba, Brazil, November 3–5 1997.
KEY: BSDAIR97
CATEGORIES: MEETING
- [8] *IEEE Computer Society Document Image Analysis Workshop*, San Juan, PR, June 20 1997.
KEY: CVPR-DIA97
CATEGORIES: MEETING
- [9] *Second IAPR Workshop on Graphics Recognition*, Nancy, France, August 22–23 1997.
KEY: GREC97
CATEGORIES: MEETING
- [10] *International Conference on Computer Processing of Oriental Languages*, Hong Kong, April 2–4 1997.
KEY: ICCPOL97
CATEGORIES: MEETING
- [11] *Fourth International Conference on Document Analysis and Recognition*, Ulm, Germany, August 18–20 1997.
KEY: ICDAR97
CATEGORIES: MEETING
- [12] *Proceedings, Symposium on Document Image Understanding Technology*, Annapolis, MD, April 30–May 1 1997.
KEY: SDIUT97
CATEGORIES: MEETING
- [13] *Document Recognition IV (3027)*, San Jose, CA, February 12–13 1997.
KEY: SPIE97
CATEGORIES: MEETING

4 Special Issues

- [14] S. Impedovo, P.S.P. Wang, and H. Bunke. Special issue: Automatic bankcheck processing (part i). *IJPRAI*, 11(4):463–697, 6 1997.
KEY: SIBank97a
CATEGORIES: SPECIAL ISSUE
- [15] S. Impedovo, P.S.P. Wang, and H. Bunke. Special issue—Automatic bankcheck processing part ii. *IJPRAI*, 11(5):699–844, 8 1997.
KEY: SIBank97b
CATEGORIES: SPECIAL ISSUE
- [16] S.W. Lee. Special issue: Oriental character recognition. *PR*, 30(8):1253–1371, 8 1997.
KEY: SIOCR97
CATEGORIES: SPECIAL ISSUE

5 Pre-processing Tasks

5.1 Survey

5.2 Baseline Detection

- [17] B. Gatos, N. Papamarkos, and C. Chamzas. Skew detection and text line position determination in digitized documents. *Pattern Recognition*, pages 1505–1520, 1997.
KEY: gatos97
CATEGORIES: PREPROCESSING, BASELINE, PREPROCESSING, SKEW, PREPROCESSING, CHARACTER SEGMENTATION
- [18] Y. Tang, L. Yang, and J. Liu. Quadratic spline wavelet approach to automatic extraction of baselines from document images. In *Proceedings of the International Conference on Document Analysis and Recognition*, pages 693–696, 1997.
KEY: tang97c
CATEGORIES: PREPROCESSING, BASELINE, GENERAL, DOCUMENT PROCESSING, PAGE SEGMENTATION, WAVELET

5.3 Character Segmentation

- [19] S. Naoi and M. Yabuki. Global interpolation method II for handwritten numbers overlapping a border by automatic knowledge acquisition of overlapped condition. In *Proceedings of the International Conference on Document Analysis and Recognition*, pages 540–543, 1997.
KEY: naoi97
CATEGORIES: PREPROCESSING, CHARACTER SEGMENTATION, DIGIT, HANDWRITTEN
- [20] Z. Shi and V. Govindaraju. Segmentation and recognition of connected handwritten numeral strings. *Pattern Recognition*, pages 1501–1504, 1997.
KEY: shi97
CATEGORIES: PREPROCESSING, CHARACTER SEGMENTATION, TEXT PROCESSING, OCR, DIGIT, TEXT PROCESSING, ONLINE, HANDWRITTEN
- [21] L. Tseng and R.C. Chen. A new method for segmenting handwritten Chinese characters. In *Proceedings of the International Conference on Document Analysis and Recognition*, pages 568–571, 1997.
KEY: tseng97a
CATEGORIES: PREPROCESSING, CHARACTER SEGMENTATION, CHINESE, HANDWRITTEN
- [22] B. Zhao, H. Su, and S. Xia. A new method for segmenting unconstrained handwritten numeral string. In *Proceedings of the International Conference on Document Analysis and Recognition*, pages 524–527, 1997.

KEY: zhao97

CATEGORIES: PREPROCESSING, CHARACTER SEGMENTATION, DIGIT, HANDWRITEN

5.4 Word Segmentation

- [23] M.D. Garris. Component-based handprint segmentation using adaptive writing style model. In *Proceedings of the SPIE - Document Recognition IV*, pages 19–30, 1997.

KEY: garris97a

CATEGORIES: PREPROCESSING, WORD SEGMENTATION, HANDWRITING MODELS

5.5 Feature Extraction

- [24] S.Y. Kim and S.W. Lee. Gray-scale nonlinear shape normalization algorithm for handwritten oriental character recognition. In *International Conference on Computer Processing of Oriental Languages*, pages 634–639, 1997.

KEY: kim97i

CATEGORIES: PREPROCESSING, FEATURE EXTRACTION, TEXT PROCESSING, OCR, FOREIGN LANGUAGE, CHINESE, KOREAN

- [25] C. Lee, B. Wu, and W.C. Huang. Integration of multiple levels of contour information for Chinese-character stroke extraction. In *Proceedings of the International Conference on Document Analysis and Recognition*, pages 584–587, 1997.

KEY: lee97f

CATEGORIES: PREPROCESSING, FEATURE EXTRACTION, TEXT PROCESSING, OCR, FOREIGN LANGUAGE, CHINESE, HANDWRITTEN

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Author Index
(numbers denote references)

- Abak, A., 333
Abe, K., 30, 234
Ablameyko, S., 220, 249, 250
Adachi, J., 434
Addison, E.R., 214
Agam, G., 275, 286
Agarwal, A., 358
Ah-Soon, C., 221
Ahmadi, M., 113, 379, 380
Akiyama, T., 366
Alam, H., 63, 271, 367
Ali, M., 31, 307
Alimoglu, F., 83
Allen, C.R., 158
Alpaydin, E., 83
Amara, M., 81
Amin, A., 95, 164, 194–196, 200
Amit, Y., 138
Ammann, R., 92
Andrews, L., 326
Anisimovich, K., 99
Antifora, C., 451
Antonacopoulos, A., 32, 459
Aparin, G., 250
Arias, J., 223, 283
Arias, J.F., 222
Aufmuth, C., 139
Avanindra, A., 33
Avila, M., 159

Babaguchi, N., 453
Bai, G., 165
Bainbridge, D., 472
Baird, H.S., 144, 365
Bajaj, R., 403
Balmuth, J.R., 284
Bang, S.Y., 105, 117, 209, 345
Baochang, P., 78
Bapst, F., 310
Baris, U., 333
Baum, L.S., 224
Baumann, S., 307
Bayer, T., 298, 368
Bazzi, I., 156, 197
Belaid, A., 287, 299, 303, 383
Belaid, Y., 383
Bellavia, M., 450
Benedetti, A., 124, 334, 462
Bengio, Y., 318
Bereishik, V., 220, 249
Bernardino, R., 280
Bernstein, L.E., 466
Bippus, R., 359

Blaesius, K.H., 308
Bloomberg, D.S., 421, 460
Blostein, D., 65, 225, 247, 282
Bohnacker, U., 298
Boose, J.H., 224
Borgefors, G., 62
Borsack, J., 442
Bortolozzi, F., 233, 404
Bottou, L., 318
Bouju, A., 51
Brault, J.J., 94
Bremont, J., 414
Brener, N., 50
Brightwell, D.S., 311
Bruce, A., 420
Brucq, D.D., 81
Brun, J., 279
Buchman, M., 64
Buddrus, F., 450
Bunke, H., 4, 14, 15, 92, 116, 244, 289, 327, 475
Buse, R., 125
Bushofa, B.M.F., 198
Byun, H., 371

Caelli, T., 125
Caesar, T., 166
Camps, O.I., 241
Cannon, M., 294, 336
Cannon, T.M., 50
Cao, J., 113
Capellades, M.A., 241
Cardoner, R., 276
Carter, N., 472
Centeno, J.S., 251
Cesarini, F., 242
Chalana, V., 420
Cham, W.K., 73
Chamzas, C., 17
Chan, S.L., 391
Chang, C.H., 63, 271, 325
Chang, C.Y., 445
Chang, F., 171, 319, 351
Chang, K., 351
Chang, M.M.Y., 73
Chaudhuri, B., 202, 210
Chaudhuri, B.B., 34
Chaudhuri, S., 33
Chaudhury, S., 403
Chellappa, R., 293
Chen, C.H., 268
Chen, F.R., 421
Chen, R.C., 21
Chen, R.H., 167

Chen, S.S., 140
 Chen, W.T., 68
 Chen, X., 474
 Chen, Y., 168, 229
 Chen, Z., 167
 Chenevoy, Y., 299
 Cheng, L., 465
 Cheriet, M., 199
 Cheung, Y.S., 177
 Chhabra, A., 222, 223
 Chhabra, A.K., 283, 288
 Chi, S., 141
 Chiang, H.H., 93
 Chiang, J.H., 103
 Chiou, Y.H., 369
 Chiu, H.P., 169
 Chiu, T.F., 319
 Cho, H.G., 59
 Choi, Y., 370
 Chou, K.S., 170
 Chou, T.R., 68, 171, 319
 Chung, K., 118, 206
 Chung, Y., 371
 Claesen, L., 407–409
 Condit, A., 442
 Cooperman, R., 470
 Cordella, L.P., 355
 Cracknell, C., 312
 Crawford, R., 136, 415
 Cripps, M., 82, 274
 Crisman, J., 75
 Croft, B., 447
 Cullen, J., 422, 426
 Cun, Y.L., 318
 Curtis, T., 313

 Dai, R., 104
 Dai, R.W., 77, 173
 Daoning, Y., 240
 Das, A.K., 226, 229
 Davidson, R.B., 337
 DeCurtins, J., 142, 338
 DeCurtins, J.L., 268
 Dediu, H., 367
 Delanghe, C., 42
 Dengel, A., 300, 307, 339
 denHartog, J., 266
 Denker, J., 67
 Dennis, S., 423
 DeOliveira, C., 404
 Deseilligny, M.P., 252
 DeSouza, V.B., 378
 de Boer, C., 335
 Diana, S., 372, 373
 diBaja, G.S., 62
 Dietrich, S.E., 314

 Dimauro, G., 96, 405
 Ding, J., 384, 385
 Ding, X., 79, 80, 120, 168, 375
 Ding, X.Q., 172
 Dinstein, I., 275, 286
 Djematene, A., 203
 Djeziri, S., 360
 Doermann, D., 64, 215, 293, 352, 353, 424, 425, 438
 Doermann, D.S., 37, 45, 356
 Doh, J., 71
 Doncescu, A., 51
 Dong, A., 63
 Dori, D., 64, 236–238, 243, 354
 Dori, O., 227
 Dorizzi, B., 137
 Dougherty, E.R., 53
 Douglas, S., 270
 Downton, A., 312
 Downton, A.C., 5
 Dreyfuss, H., 6
 Drouhard, J.P., 413
 Du, L., 312
 Dubiel, F., 300
 Duffy, L., 290
 Duggirala, B., 351
 Dupont, F., 253
 Dzuba, G., 395

 Eastwood, B., 126
 Effelsberg, W., 437
 Eglin, V., 292
 Eigenmann, R., 340
 El-Yacoubi, A., 127
 Elliman, D., 82
 Elliman, D.G., 274
 Emptoz, H., 48, 290, 292
 Esposito, F., 451
 Etemad, K., 293

 Fairhurst, M., 109
 Fan, K.C., 36, 170
 Fan, T.L., 170
 Farmer, G.I., 315
 Feng, G.C., 186
 Feng, M., 362
 Filatov, A., 395
 Fischer, S., 437
 Fisher, T., 259
 Francesconi, E., 393
 Franke, J., 102, 114
 Frantskevich, O., 220, 249
 Frasconi, P., 393
 Frischknecht, S., 254
 Frucci, M., 41
 Fujisawa, H., 431

Fung, H.T., 463
 Gader, P.D., 93, 103
 Gallinari, P., 137
 Gao, W., 155
 Garcia-Salicetti, S., 137
 Gargi, U., 216
 Garris, M.D., 23, 341
 Gatos, B., 17
 Genest, G., 411
 Gerbrands, J., 266
 German, D., 138
 Gillies, A., 201
 Gilloux, M., 127
 Gloger, J., 102, 326
 Gondran, M., 253
 Goodman, R., 428
 Gori, M., 242, 393
 Gorskaya, L.M., 115
 Gorski, N., 342
 Gorski, N.D., 115
 Govindaraju, V., 20, 130, 132, 133, 377, 397
 Grawemeyer, B., 308
 Grbavec, A., 247
 Green, E.A., 273
 Greenspan, H., 428
 Gross, A., 464
 Guentzer, U., 432
 Guerfali, W., 56, 61
 Gugler, S., 374
 Guillevic, D., 128
 Guo, F., 79
 Gupta, A., 358
 Guthmann, E., 259
 Guyon, I., 67, 468
 Ha, T., 469
 Ha, T.M., 116, 289, 343
 Haapakoski, S., 353
 Habacha, A., 285
 Hadorn, M., 327
 Hagita, N., 162
 Haken, L., 225
 Hall, T., 323
 Han, C.C., 36
 Han, S., 35
 Hanzo, L., 40
 Hao, H., 104
 Hao, H.W., 173
 Haralick, R., 64, 321, 349
 Haralick, R.M., 317, 347, 357, 468
 Harding, S., 447
 Hart, P., 422
 Haruki, R., 146
 Harvey, A., 126
 Hennig, A., 84
 Hero, A.O., 449
 Higgins, C., 82
 Higgins, C.A., 274
 Hilario, M., 473
 Hinton, G.E., 101
 Hirano, T., 143
 Ho, T.K., 144
 Hoch, R., 339, 344
 Hochberg, J., 294, 336, 386
 Homenko, M., 220, 249
 Hones, F., 339
 Hong, C., 174
 Hong, J., 155
 Hong, T., 190–192, 213, 452
 Hood, C., 145
 Hopely, R.L., 337
 Hori, O., 356
 Horiuchi, T., 146
 Houle, G., 110, 129
 Hu, J., 187
 Hu, T., 431
 Huang, K., 406
 Huang, T., 212
 Huang, W.C., 25
 Huang, X., 330
 Huang, Y., 147
 Huang, Y.S., 153, 175
 Hubanks, D., 227
 Hui, S.C., 481
 Hull, J., 422
 Hull, J.J., 1, 213, 426, 427, 468
 Hurst, M., 270
 Hussein, K., 358
 Hutton, G., 82, 274
 Hwang, Y.S., 117
 Impedovo, S., 5, 14, 15, 96, 405
 Ingold, R., 310
 Ishidera, E., 396
 Ishii, K., 162
 Itamoto, Y., 123
 Iyengar, S.S., 50
 J Kwon, O., 209
 Jaeger, S., 57
 Jaeger, T., 307
 Jager, T., 339
 Jain, A., 402
 Jain, A.K., 263
 Jaisimha, M.Y., 420
 Janssen, R.D.T., 255
 Jennings, A., 126
 Jiang, H.F., 36
 John, I., 308
 Johnson, A.P., 304
 Jonk, A., 46

Jou, I.-C., 416
 Jou, I.C., 417
 Jouzel, F., 159, 373
 Junker, M., 344

 Kadonaga, T., 30
 Kaestner, C.A., 404
 Kakusho, K., 453
 Kalafala, K., 259
 Kaltenmeier, A., 102, 326
 Kamitani, M., 39
 Kanai, J., 204
 Kanani, E., 254
 Kang, H.J., 148
 Kasturi, R., 2, 216, 217, 256
 Kate, T.T., 269
 Kathpal, H., 444
 Katsuyama, Y., 301
 Kaufmann, G., 327
 Kauniskangas, H., 352, 353, 438
 Kawamura, A., 193
 Kawatani, T., 149
 Kayahara, N., 100
 Keaton, P., 428
 Keeni, K., 188
 Keller, J.M., 103
 Kelley, R.J., 224
 Kelly, P., 294, 336, 386
 Kelly, P.M., 50
 Kerns, L., 386
 Kianrong, T., 240
 Kim, D.H., 105
 Kim, E.J., 105
 Kim, G., 112, 130
 Kim, H.J., 69, 150, 205
 Kim, H.K., 477
 Kim, I.J., 181
 Kim, J., 118, 148, 181, 206, 207, 345
 Kim, J.H., 72, 76, 90
 Kim, K., 71
 Kim, K.H., 69, 150
 Kim, M.K., 267, 382
 Kim, P.K., 70, 175
 Kim, S.H., 97
 Kim, S.K., 69, 150, 205
 Kim, S.Y., 24, 106, 108
 Kim, T.Y., 141
 Kim, W.Y., 394
 Kim, Y.S., 394
 Kima, J.H., 208
 Kimura, F., 100, 110, 111, 189, 461
 Kise, K., 295
 Kitahashi, T., 453
 Kleinberg, E., 133, 397
 Kobayashi, M., 87
 Koeppen, M., 454

 Koerich, A.L., 361
 Koga, M., 381
 Koivusaari, M., 296
 Komatsu, N., 419
 Kong, B., 357
 Kopec, G.E., 151
 Kosmala, A., 85
 Kovacs-V, Z., 334
 Kovacs-V, Z.M., 124
 Kressel, U., 152
 Krishnamoorthy, M.S., 273
 Krishnapuram, R., 103
 Krpasundar, V., 331
 Kuebert, E., 398
 Kuhn, N., 308
 Kundu, A., 131
 Kuo, C.C., 185, 471
 Kuo, M.H., 228
 Kurakake, S., 478
 Kuwano, H., 478
 Kwon, J.O., 72
 Kwon, O.S., 267
 Kwon, Y.B., 267, 370, 382

 Labiche, J., 257, 260, 372
 Laing, J., 3
 Lallican, P., 58
 Lalonde, M., 320
 Lam, L., 153, 346, 384, 385
 Lam, S.W., 191
 Langrana, N.A., 226, 229
 Lank, E., 65
 LaPre, C., 156, 197
 Latecki, L., 464
 Lazzzerini, B., 107
 Le, D., 458
 Lebourgeois, F., 290
 Lecolinet, E., 457
 Lecourtier, Y., 199, 260, 372, 373
 Lee, C., 25
 Lee, C.W., 167
 Lee, D.H., 59
 Lee, G., 329
 Lee, H.J., 176, 185, 248, 328, 369, 471
 Lee, J.H., 329
 Lee, J.K., 69, 150
 Lee, J.S., 209
 Lee, K., 371
 Lee, K.H., 179
 Lee, L., 119
 Lee, L.L., 121, 361
 Lee, M., 35
 Lee, M.C., 319
 Lee, S.W., 16, 24, 106, 108
 Lee, S.Y., 416, 417
 Lee, Y., 371

Lei, Z., 480
 Leou, J.J., 180
 Leroy, A., 154
 Leung, C.H., 177, 178
 Leung, M.K.H., 481
 Levrat, E., 414
 Li, B.F., 28, 297
 Li, L., 259
 Li, X., 61, 86, 155
 Li, Y., 187, 320
 Li, Z.C., 91
 Liang, J., 317, 321, 347, 349, 350
 Liang, M.C., 175
 Liao, S., 26
 Liao, S.X., 179
 Lienhart, R., 437
 Likforman-Sulem, L., 457
 Likhareva, N., 157
 Lin, D.S., 180
 Lin, S.C., 230
 Lin, X., 120, 375
 Linyard, R.A., 466
 Liu, C.H., 228
 Liu, C.L., 181
 Liu, J., 18, 28, 29, 73, 297, 302, 309, 322
 Liu, Q., 44
 Liu, W., 227
 Liu, X., 187
 Liu, Y., 43, 204
 Liu, Z.Q., 125
 Lladós, J., 231
 Loce, R.P., 53
 Lohmann, L., 454
 Loke, R.K.S., 436
 Lopresti, D., 74, 75, 429, 455
 Lopresti, D.P., 480
 Lorette, G., 332
 Loudon, G., 174
 Lu, Q., 26, 179
 Lu, Z., 156
 Luo, H., 216, 217, 256, 286
 Luo, Z., 330
 Lutjen, M., 323

 Ma, H., 28, 297
 Ma, M., 74, 75
 Maderlechner, G., 277
 Madhvanath, S., 132, 133, 331, 397
 Maitre, H., 261
 Makhoul, J., 156, 197
 Malaviya, A., 60
 Malburg, M., 134, 339
 Malerba, D., 451
 Mandler, E., 102, 326
 Manmatha, R., 430, 479
 Mansoor, W., 195

 Marcelli, A., 41, 157, 355
 Marcelloni, F., 107
 Mariani, R., 252, 257
 Marinai, S., 242, 393
 Martens, R., 407–409
 Marti, E., 231
 Marukawa, K., 381, 431
 Masaki, S., 87
 Matsumoto, K., 295
 McDaniel, J.R., 284
 McRoberts, J.S., 466
 Meas-Yedid, V., 258
 Medioni, G., 35
 Menier, G., 332
 Mercy, P., 47
 Messmer, B.T., 244
 Meyers, G., 142
 Miled, H., 199
 Miletzki, U., 98
 Milgram, M., 161
 Minoh, M., 291
 Misra, V., 222, 223, 283
 Mitchell, G.A., 376
 Miura, K., 27
 Miyake, Y., 100, 189
 Miyamoto, O., 87
 Mogg-Schneider, H., 368
 Mohamed, M., 93, 103
 Mohiuddin, M., 402
 Moin, S., 94
 Mokhnatyuk, A.A., 232
 Monagan, G., 49
 Moon, K.A., 141
 Mori, D., 475
 Mori, S., 27
 Motawa, D., 200
 Mulgaonkar, P.G., 268
 Mullet, R., 257, 260
 Murshed, N., 233
 Myers, G.K., 268
 Myka, A., 432

 Nagao, M., 446
 Nagy, G., 204, 259, 456
 Nakagawa, Y., 87
 Nakamura, T., 234
 Nakaniwa, K., 246
 Nakashima, K., 381
 Nakayama, K., 188
 Nalwa, V.S., 410
 Naoi, S., 19, 301
 Narasimhamurthi, N., 379, 380
 Nartker, T.A., 348
 Natarajan, P., 156
 Navarro, A., 54, 158
 Ng, K., 465

Ng, P.A., 140
 Nguyen, T., 420
 Nickolay, B., 454
 Niemann, H., 400, 401
 Nishida, H., 55
 Nishiwaki, D., 39, 396
 Niyogi, D., 377, 433
 Nossek, J., 340
 Nouboud, F., 360

Odaka, K., 478
 Ogier, J., 260
 OGorman, L., 2, 219
 Ogura, K., 366
 Oguro, M., 366
 Oh, W.G., 141, 155
 Ohta, M., 434
 Ohya, M., 453
 Okamoto, M., 88
 Okarazaki, S., 39
 Okuda, Y., 143
 Olivier, C., 159, 199
 ONeil, P., 435
 Oommen, B.J., 436
 Ozdil, M., 160

Pal, U., 34, 202, 210
 Pan, Z., 467
 Papamarkos, N., 17
 Papanikolopoulos, N., 89
 Paramonova, N., 249
 Park, H.S., 108
 Park, M.K., 267
 Parker, K.J., 463
 Parmentier, F., 303
 Pavlidis, I., 89
 Pavlidis, T., 157
 Peairs, M., 426
 Peake, G.S., 387
 Pellegrini, C., 473
 Peterman, C., 271
 Peters, L., 60
 Pfeiffer, S., 437
 Phillips, I., 64, 321
 Phillips, I.T., 317, 347, 349–351, 357, 468
 Pierot-Deseilligny, M., 253, 257
 Pierot-Deseilligny, M., 258
 Pietikainen, M., 296, 352
 Pietikainen, M., 37
 Pirlo, G., 96, 405
 Plamondon, R., 56, 61, 360
 Poliakoff, J.F., 235
 Poliakoff, S.M., 245
 Powalka, R.K., 135
 Prasad, A., 357
 Pret, J.C., 304

Preteux, F.J., 411
 Prevost, L., 161
 Prussak, M.P., 466
 Puppo, E., 278

Qiao, Y., 474
 Quillet, V., 51

Rahman, A., 109
 Ramanaprasad, V., 122
 Ramel, J., 279
 Ramel, J.Y., 48
 Ramella, G., 62
 Raphael, C., 197
 Ratner, A.S., 388
 Rauber, T.W., 378
 Razzaq, S.M., 245
 Reiher, E., 320
 Reinders, M.J.T., 262
 Renz, I., 298
 Revow, M., 101
 Reyneri, L.M., 107
 Rice, S.W., 466
 Rigoll, G., 85
 Riley, R., 136
 Riseman, E.M., 479
 Rivlin, E., 425
 Rizand, J.F., 320
 Robert, L., 457
 Roberts, P.A., 316
 Rocha, J., 280
 Rodrigues-Gomes, N., 119, 121
 Roeoesli, M., 49
 Rogers, R., 317, 321
 Romero, R.D., 182
 Rosenfeld, A., 425
 Ross, D., 64
 Rossetto, S., 378
 Rothwell, B., 466
 Rottland, J., 85
 Roux, M., 261
 Ruiz, V., 81
 Rybkin, V., 99

Sabourin, R., 127, 200, 404, 411–414
 Sadfi, W., 285
 Safari, R., 379, 380
 Saidi, A.S., 305
 Salzo, A., 96
 Samal, A., 239, 259
 Sammut, C., 164
 Sanchez, G., 231
 Sankur, B., 333
 Sarkar, P., 259
 Sato, A., 295
 Sato, R., 27

Sauvola, J., 37, 296, 324, 352, 353, 438
 Sawa, K., 461
 Sawaki, M., 162
 Scarabottolo, N., 462
 Schavemaker, J.G.M., 262
 Schenkel, M., 67, 92
 Schlosser, S., 201
 Schmidt, W., 400
 Schreyer, A., 277
 Schurmann, J., 152
 Schutte, K., 42
 Schwartz, R., 156
 Seiler, R., 92
 Semeraro, G., 451
 Seo, K., 118
 Seong, T., 71
 Seth, S., 259, 456
 Seth, S.C., 239
 Shamis, A., 99
 Shaowei, X., 362
 Shen, L., 187
 Sheng, J.Q., 393
 Shengling, Z., 78
 Sherkat, N., 84, 135
 Shi, J., 467
 Shi, Z., 20, 122, 192
 Shie, A., 147
 Shie, A.J., 175
 Shih, F.Y., 140
 Shima, Y., 431
 Shimizu, H., 149
 Shimodaira, H., 188
 Shin, C., 64, 438
 Shin, Y.C., 122
 Shinjo, H., 381
 Shridhar, M., 100, 110, 111, 113, 129, 379, 380
 Shyu, I., 147
 Shyu, I.I., 175
 Sibun, P., 392
 Simon, A., 304
 Simon, C., 414
 Sin, B., 72, 208
 Sin, B.K., 76, 90
 Singh, R., 89
 Sivasubramaniam, S., 259
 Smeaton, A., 439
 Smeulders, A., 46
 Smeulders, A.W.M., 269, 335
 Soda, G., 242, 393
 Song, W., 362
 Sotnikov, A.N., 232
 Spann, M., 198
 Sparks, B.C., 466
 Sperduti, A., 393
 Spitz, A., 439
 Spitz, A.L., 211, 389, 390, 440
 Spitz, L., 392
 Srihari, S., 122, 133, 398, 452
 Srihari, S.N., 43, 112, 190–192, 377, 433
 Srikantan, G., 190, 191
 Stamon, G., 258
 Strayer, S.H., 216
 Stueckelberg, M., 473
 Su, H., 22
 Suda, P., 277
 Suen, C., 128, 364, 385
 Suen, C.Y., 28, 91, 127, 153, 302, 346, 363, 384
 Sugawara, K., 38
 Sum, K.C., 164
 Sum-Wah, E., 413
 Sun, C., 330
 Syeda-Mahmood, T., 441
 Sze, L., 178
 Szmurlo, M., 52
 Taconet, B., 47, 203
 Taghva, K., 442
 Takasu, A., 434, 443
 Tam, W.C., 177
 Tan, T.N., 387
 Tanaka, N., 39
 Tang, Y., 18, 364
 Tang, Y.Y., 28, 29, 186, 297, 302, 309, 322, 363
 Taxt, T., 263
 Tayeb-Bey, S., 305
 Taylor, S.L., 1, 447
 tenKate, T., 266
 Tereschenko, V., 99
 Thibadeau, R., 183
 Thibadeau, R.H., 182
 Thoma, G.R., 458
 Thomas, F., 276
 Thomas, P.D., 235, 245
 Thomas, T., 386
 Ticha, S.B., 285
 Ting, C.K., 230
 Tombre, K., 218, 236
 Tomiyama, K., 246
 Tong, C.S., 184
 Tonouchi, Y., 193
 Touretzky, D.S., 182
 Trenkle, J., 201
 Trier, O.D., 263
 Trupin, E., 372, 373
 Tsay, R.Y., 175
 Tseng, D.C., 169
 Tseng, L., 21
 Tseng, Y.H., 185, 471
 Tsuda, K., 291
 Tsui, C.Y., 184
 Tsukumo, J., 123

Tsuruoka, S., 189, 461
 Tu, L., 147
 Tu, L.T., 175
 Tung, C.H., 328
 Tupaj, S., 63, 367
 Turolla, E., 383

 van den Boomgard, R., 46
 Velkovitch, Y., 243
 Vialard, A., 66
 Viard-Gaudin, C., 58
 Villarama, H.F., 444
 Vincent, N., 48, 279
 Viswanathan, M., 456
 Volgunin, A., 395
 Vossepoel, A., 42
 Vural, F., 160

 Wakabayashi, T., 189, 461
 Wang, G.E., 399
 Wang, J., 481
 Wang, J.F., 399
 Wang, J.S., 248
 Wang, J.T.L., 445
 Wang, P.S.P., 4, 14, 15, 75, 358
 Watanabe, T., 264, 281
 Watanabe, Y., 446
 Weigel, A., 339
 Weir, C., 447
 Weiss, M., 237
 Wenyin, L., 238, 243, 354
 Wenzel, C., 448
 White, J., 294, 336
 Whitrow, R., 84
 Whitrow, R.J., 135, 245
 Wilder, K., 138
 Wilensky, G., 136, 415
 Williams, C.K.I., 101
 Williams, W.J., 449
 Wimmer, Z., 137
 Wire, D., 3
 Wolf, M., 400, 401
 Wu, B., 25
 Wu, Q.Z., 416, 417
 Wu, V., 479
 Wu, Y., 79, 80, 120, 168, 174, 375

 Xi, D., 297
 Xia, S., 22
 Xiao, X.H., 77, 173
 Xiaoping, C., 476
 Xinyu, L., 78
 Xu, Y., 259
 Xuejun, Z., 78

 Yabuki, M., 19

 Yamada, H., 146, 163, 265
 Yamada, K., 39, 396
 Yamamoto, K., 88, 146, 163
 Yamauchi, T., 123
 Yamazaki, Y., 419
 Yan, H., 406
 Yang, L., 18, 29
 Yasuda, M., 163
 Yeung, D.Y., 86
 Yin, M., 79
 Yizheng, Q., 476
 Yoda, F., 143
 Yokokura, N., 281
 Yoo, J., 329
 Yoo, J.Y., 382
 Yoon, J., 206
 Yoshimura, I., 418
 Yoshimura, M., 418
 Yu, B., 402
 Yu, C., 364
 Yu, C.L., 363
 Yu, Y., 239
 Yuen, H., 40
 Yuen, P.C., 186
 Yun, W., 240

 Zahour, A., 203
 Zalubas, E.J., 449
 Zhang, M., 467
 Zhang, R., 264
 Zhang, S., 212
 Zhang, X., 187
 Zhang, Y., 53
 Zhao, B., 22
 Zheng, J., 79, 80
 Zhou, C., 306
 Zhou, J., 74, 429, 455, 480
 Zhu, J., 213
 Zitserman, R., 174
 Zramdini, A., 310
 Zuyev, K., 272