

## Biometrics Introduction

Daniel Novák (+Eduard Bakštein)

4.10. 2015, Prague

Acknowledgments: Chang Jia, Andrzej Drygajlo

#### Outline

#### 1. About the course

course logistics, contacts, syllabus, conditions

#### 2. Biometrics: general introduction

Short history, what is biometrics

#### 3. Basic statistical concepts in biometrics

Hypothesis testing, Type I and II error, FAR, FRR

#### 4. Overview of biometric techniques

• Fingerprint, signature, iris, face, pace...

1 About the course

## Podmínky předmětu

- Garant předmětu: Daniel Novák, místnost E116, xnovakd1@labe.felk.cvut.cz
- Stránky předmětu
  - <a href="https://cw.felk.cvut.cz/doku.php/courses/a6m33bio/start">https://cw.felk.cvut.cz/doku.php/courses/a6m33bio/start</a>
  - 3. laboratorní úlohy každá za 20 bodů, celkem 60 bodů
  - Klasifikovaný zápočet 20 otázek, každá za 2 body (celkem 40)
- Podmínky předmětu
  - https://cw.felk.cvut.cz/doku.php/courses/a6m33bio/podminky

Body z předmětu	Stupeň ECTS	Známka
100-90	Α	výborně
89-80	В	velmi dobře
79-70	С	dobře
69-60	D	uspokojivě
59-50	E	dostatečně
49 a méně	F	nedostatečně

## Program přednášek

- 1. Úvod
- 2 Dynamický podpis v biometrii Jakub Schneider
- 3.-4. Rozpoznávání duhovky Eduard Bakštein
- 5.-6. Otisk prstu Daniel Novák
- 7.-8. Tváře Vojtěch Franc
- 9.-10. Řeč Petr Pollák
- 11. Klasifikace a indexování v biometrických systémech (Daniel Novák)
- 13. Závěrečný test, udělení klas. zápočtu

## Program cvičení

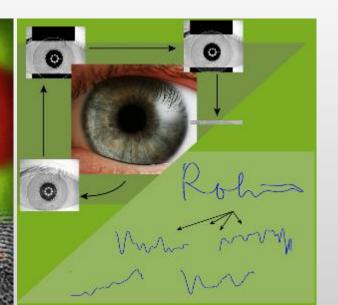
- Členění do 3 bloků (+ úvod)
- 3 úlohy: práce na cvičení, popř. doma dokončit

- 1. Základy matlabu, základní statistické metody (Eduard Bakštein)
- 2.-5. **Dynamický podpis** Jakub Schneider
- 6.-9. **Duhovka** Eduard Bakštein
- 10.-13. Otisk prstu Jakub Schneider

## Facebook, Twitter, Web

- Prispivejte zejmena vy!!!!
- Facebook (zalikujte, pokud se vam predmet bude libit:)
  - http://www.facebook.com/biometrieCVUT
- Twitter
  - http://www.facebook.com/biometrieCVUT
- Webove stranky
  - http://www.predmet-biometrie.cz/





## 2 Biometrics: general introduction

## Biometrics: what for?

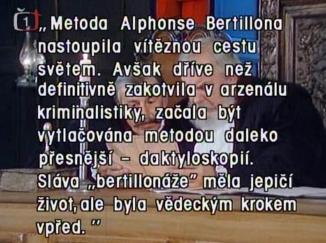


- Identification of individuals: ID is missing or can not be trusted
  - Forensic applications
  - Surveillance-free applications
  - Humanitary applications

#### Alternative introduction

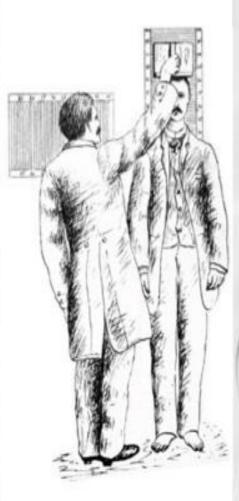
- <u>Dobrodužství kriminalistiky</u> na csfd
- <u>Dobrodužství kriminalistiky na CT</u>







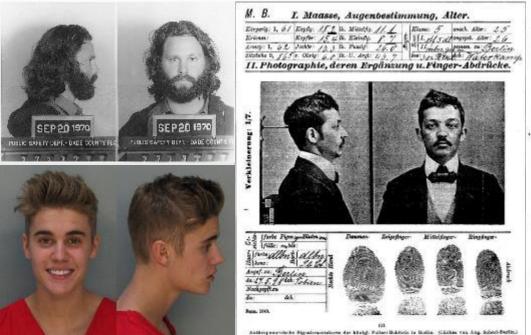






## Alphonse Bertillon: antropometry ("bertillonage")

- System of physical measurements
- Invented 1879, adopted by French police
- 1887 adopted by US police
- Superseded by fingerprint identification in ca 1903
- "mug shot" still used



# THE ANTHROPOMETRICAL SIGNALMENT z. Trunk. 1. Height. 2. Reach.

5. Width of head.

8. Left middle finger.

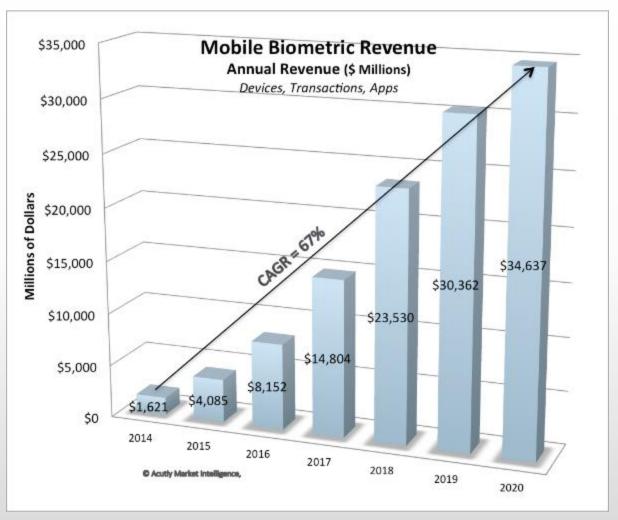
6. Right ear.

9. Left forearm.

4. Length of head.

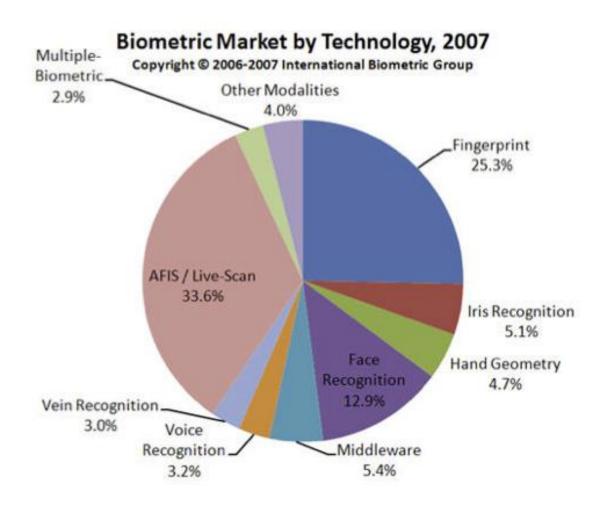
ABSTRACT OF

#### Trend: revenue of the field



Analytics forecast steady rise (historical data hard to find)

#### Market Share

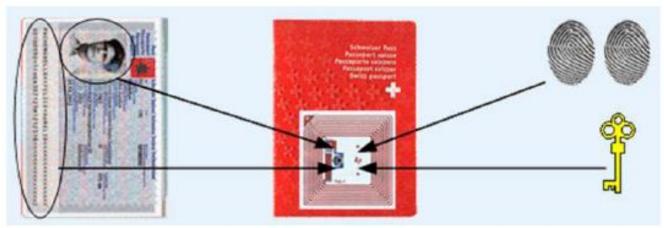


## ePassport – Biometric passport

Necessary condition for travel to USA+ESTA. In ČR since 2006 (required by EU regulations), since April 2009 - 2 fingerprints included

http://czech.prague.usembassy.gov/biometricky\_pas.html
http://www.youtube.com/watch?v=ptb\_nxCpgYQ

In accordance with ICAO and EU specifications, the data of the machine readable zone, the facial image and two fingerprints plus electronic signatures will be stored in the chip.





Integration of Technologies: chip card (smart card), radio-frequency identification (RFID), electronic signatures and public key infrastructure (PKI), back-office systems (databases), biometrics





## Today: eBorders in the United Arab Emirates

- Iris recognition system
- Fully operational since April 2003
- 36 land, air and sea ports
- 12,000 passengers each day
- 1 central database
  - Watchlist application
  - Fully networked
  - Enrolment centres: prisons and deportation centres
  - More than 1 million enrolments (150+ nationalities)
  - Exhaustive search takes <2 seconds</li>
- 12 billion comparisons each day (12,000 passengers against 1 million enrolments)
- About 50,000 persons caught since launch



## Stolen identity

Article in NY times and Telegraph, Hamas was responsible



 February 2010: Dubai Hamas murder: Fraudulent foreign passports were used by the alleged killers of a Hamas commander in Dubai





One of the victims of the identity theft was British-Israeli Paul John Keeley (picture right). The passport used by one of the suspected assassins bore his name, but featured a photograph of another man (pictured left)

## Another stolen identity

• HW – <u>Unknown</u> watch and rate at CSFD (71%)





#### What is Biometrics?

The term "biometrics" is derived from the Greek words bio (life) and metric (to measure)

- Biometrics automated recognition of individuals based on their biological and behavioral characteristics
  - Scientific follow-on to Bertillon's body measurements of the late 1800s
- Biometry statistical and mathematical methods applicable to data analysis problems in the biological sciences
- Biometric system essentially an automatic pattern recognition system that recognizes a person by determining the authenticity of a specific biological and/or behavioral characteristic (biometric modality) possessed by that person
- Anthropometry measurement techniques of human body and its specific parts
  - Forensic (judicial) anthropometry identification of criminals by these measurement techniques

## History of biometrics

- Well-done summary:
   http://www.biometrics.gov/doc
   uments/biohistory.pdf
- Oldest paintings in Chauvet cave, palm prints: I painted it!
   (documentary by Herzog)



Ancient civilisations practised biometric techniques routinely.



Sumerians considered a hand print and outline of a hand on a clay tablet a good identifier.



Egyptians brought the concept of biometric identity verification into the mainstream, in many various ways:

- From discrete anatomical measurements, e.g., distance between the individuals outstretched thumb and the tip of the elbow
- To more general notification of individual features, e.g., Nechutes, son of Asos, aged 40, of middle size, sallow complexion, cheerful countenance, long face with straight nose and a scar upon the middle of his forehead.

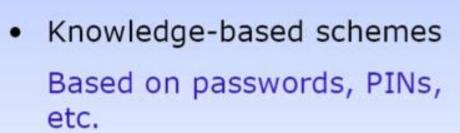
## **Identity Verification by Animals - Examples**

- Penguins by voice recognition to locate their offspring within a population sometimes numbering hundreds of thousands
- Frogs discriminate between neighbours and strangers by voice recognition
- Hawks and other birds by using visual information
- Wolves by voice at a distance and corroborate this information by visual cues and scent at shorter distances
- Insects (bees, wasps, ants, etc.) practice identity verification routinely

Possession-based schemes

Based on ID cards, tokens, keys, etc.

WHAT YOU HAVE



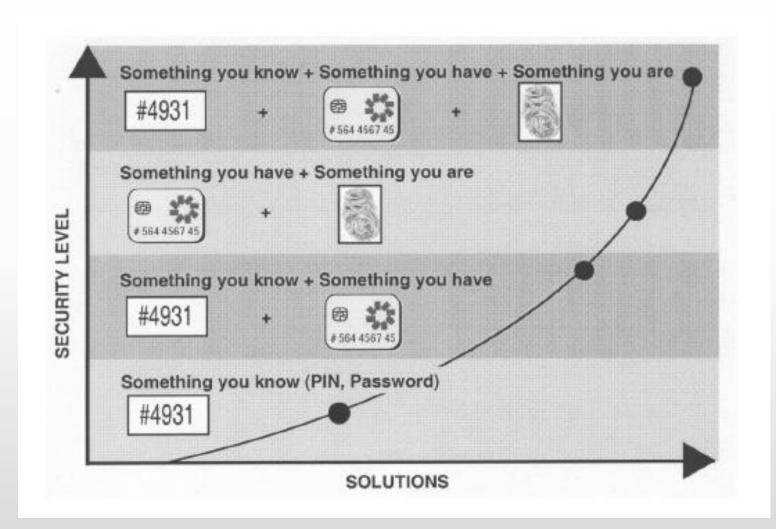
WHAT YOU KNOW



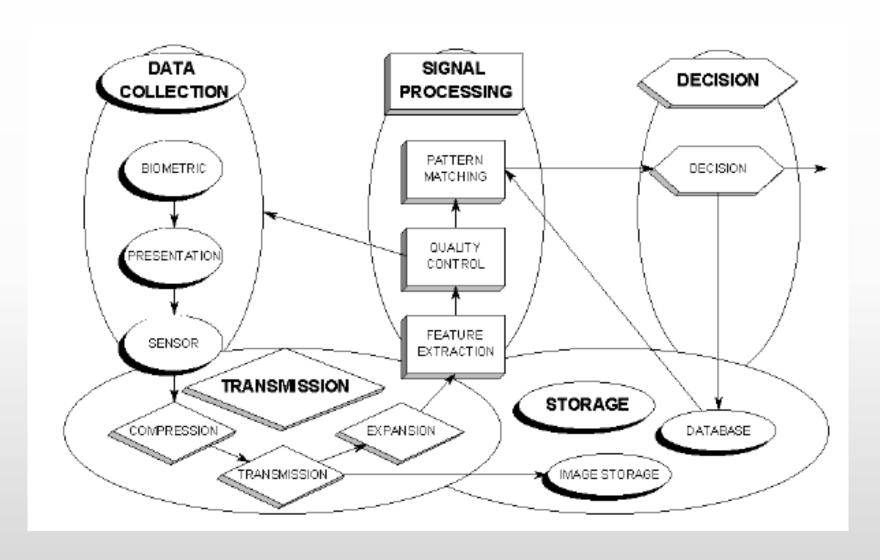




#### Three basic means

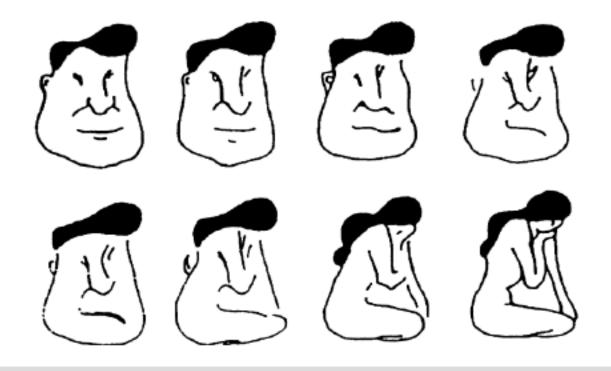


## Generic Biometric System



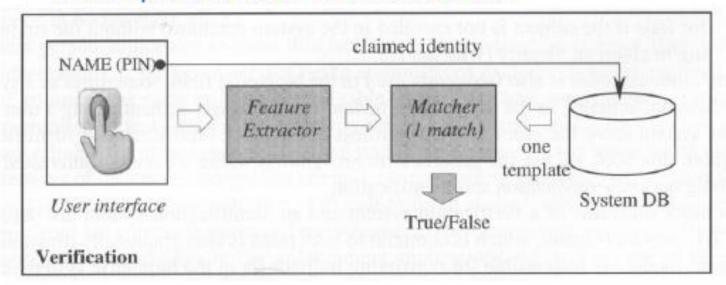
## Pattern Recognition System

Two patterns are similar, if an appropriately defined distance measure between their feature vectors is small



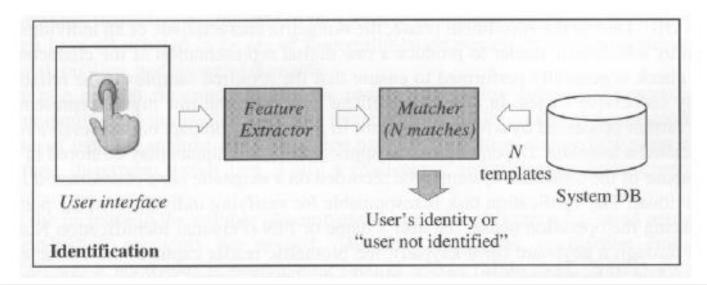
## Person recognition

- Verification biometric system function that performs a one-to-one comparison of a submitted biometric characteristic (sample) set against a specified stored biometric references, and returns the comparison score and decision.
- "Is this person who he claims to be?"

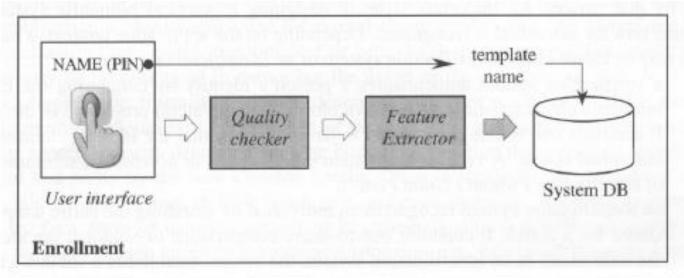


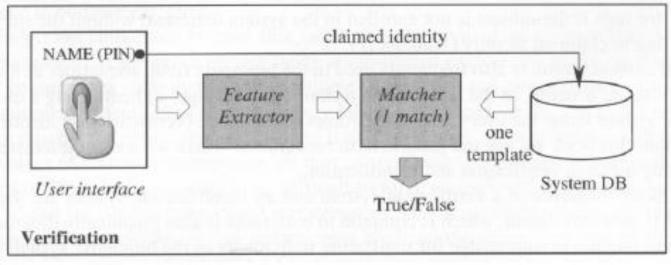
#### Identification

- Identification biometric system function that performs a one-to-many comparison/search process in which a biometric characteristic set is compared against all or part of the database to find biometric references with a specified degree of similarity.
- "Who is this person?"



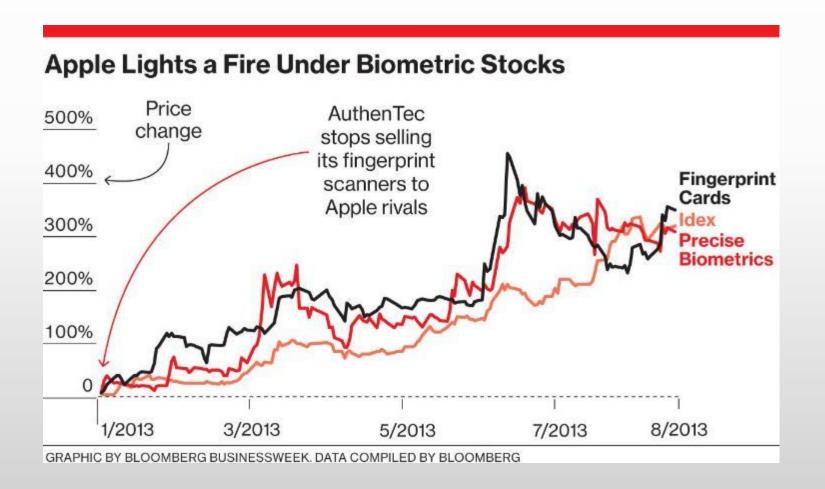
#### Enrollment





#### Some statistics of Mobile devices

Nice example – Motorola Atrix 4G using swipe fingerprint AuthenTec sensor Company was bought by Apple in July 2012 for 356\$ mil (8\$ for share – cutrent value: 5\$)



## Mobile phone apps

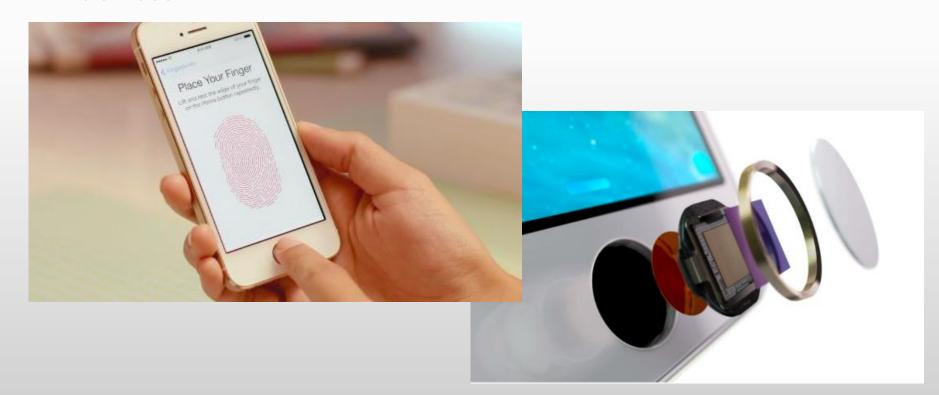
- HW: try out and paste to fb or twitter
- BioLock, youtube video:





## Mobile biometrics: future development?

- Iphone 5s (release 09/2013) has fingerprint sensor for authentication
- First mainstream smartphone with hw biometric sensor
- Massive spread of biometric identification in mobile devices?



## Biometrics in everyday technology

- Face recognition
  - Android: first at Android 4.0 (2011)
     Android L (2014)
- Fingerprint recognition:
  - iPhone since 5s (2013) "Touch ID",
  - Samsung since Galaxy S5 (2014)
- Windows 10 ("Hello"):
  - Face (IR 3D scan intel realSense),
     Fingerprint, iris (Lumia 940/950XL)
- Iris recognition: Microsoft Lumia 940/950 XL
  - announced 06/10/15 ??









3 Basic statistics for biometrics

## Example Iris & Speech

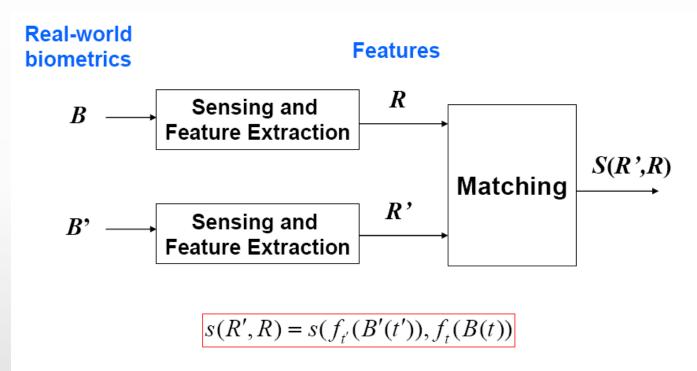
#### Example

- Assume 10'000 customers are signed up for biometric authentication and 1'000 transactions are done weekly
- Assume best-case biometric verification error of 1 in 1 million (iris)
- Assume best-case speaker verification error of 1 in 1 hundred
- How often are customers falsely billed?

#### Answer

- On average 10 people are falsely billed each week
- On average 100 000 people are falsely billed each week

## Matching

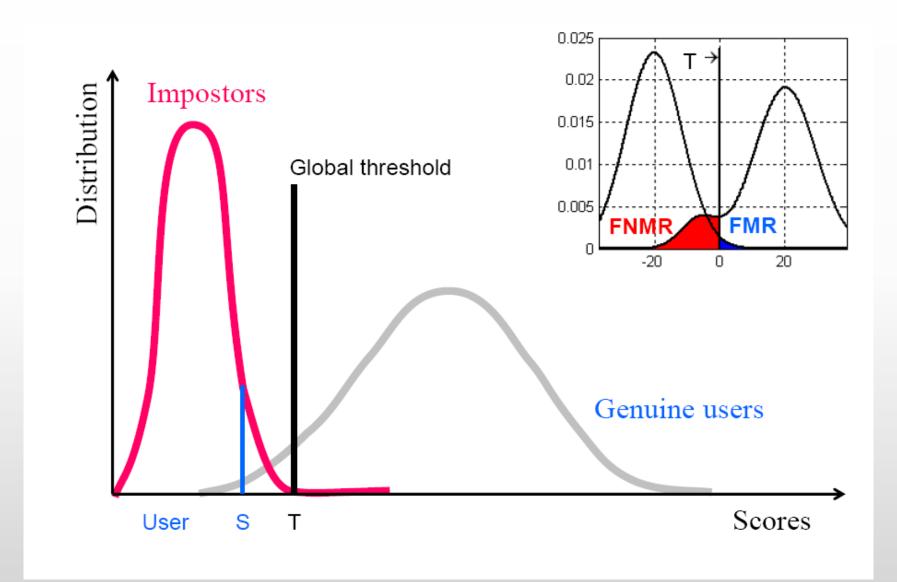


Biometric matching makes a decision by computing a measure of the likelihood that the two input samples from two persons are the « same » and hence that the subjects are the same real-world identity.

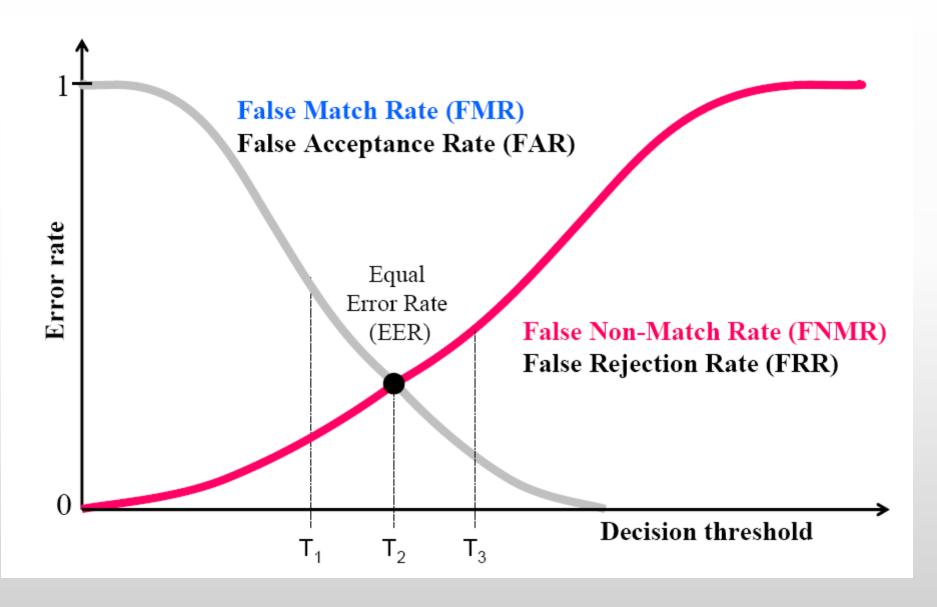
#### FA & FR

- False Accept (FA): Deciding that a (claimed) identity is a legitimate one while in reality it is an imposter; False Accept Rate (FAR)
- False Reject (FR): Deciding that a (claimed) identity is not legitimate when in reality the person is genuine;
   False Reject Rate (FRR)
- A FA results in security breaches, with an unauthorized person being admitted
- A FR results in convenience problems, since genuinely enrolled identities are denied access to the application

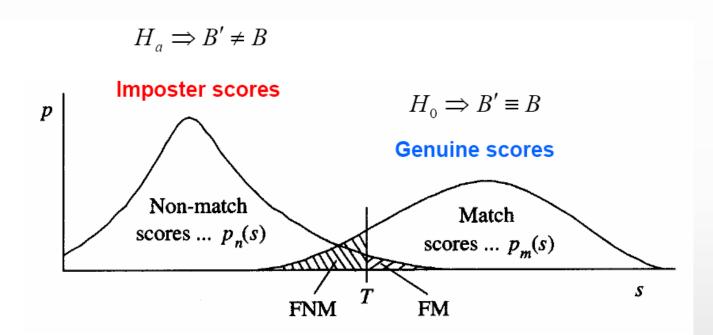
## Performance evaluation



## FMR and FNMR



## Scores distribution



Given two biometric samples, we can construct two possible hypotheses:

The null hypothesis:  $H_0 \Rightarrow$  the two samples match

The alternate hypothesis:  $H_a \Rightarrow$  the two samples do not match

### Two kinds of error

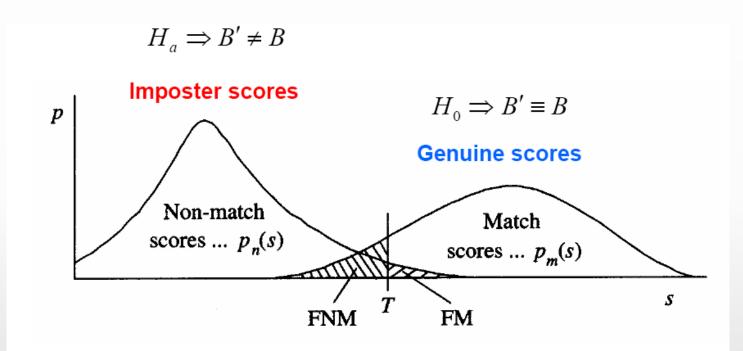
Verification:

Decide  $H_0$  is true: if s > T,

Decide  $H_a$  is true: if  $s \le T$ .

- Type II error False Match (FM): Deciding that two biometrics are from the same identity, while in reality they are from different identities; the frequency with which this occurs is called the False Match Rate (FMR)
- Type I error False Non-Match (FNM): Deciding that two biometrics are not from the same identity, while in reality they are from the same identity: the frequency with which this occurs is called the False Non-Match Rate (FNMR)
- Correct Match: correctly deciding that two biometric samples match
- Correct Non-Match: correctly deciding that the samples do not match

### Two kinds of error

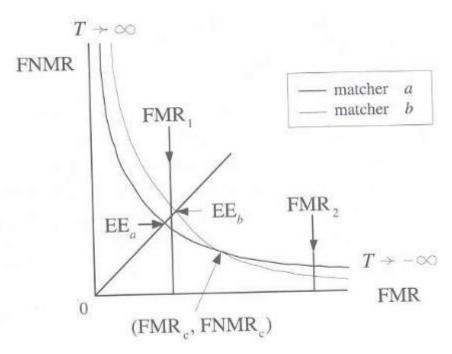


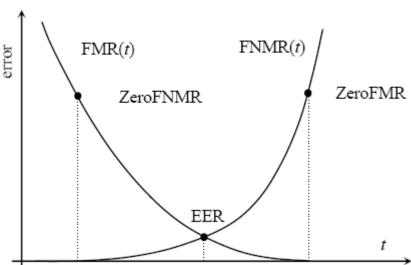
$$\text{FNMR}(T) = \int_{s=-\infty}^{T} p_m(s) ds$$

$$FMR(T) = \int_{s=T}^{\infty} p_n(s) ds$$

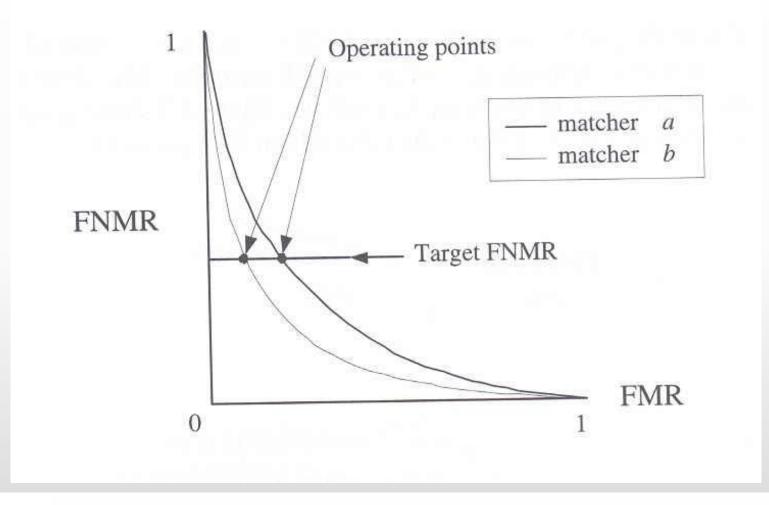
## The Equal Error Rate

### • ROC:



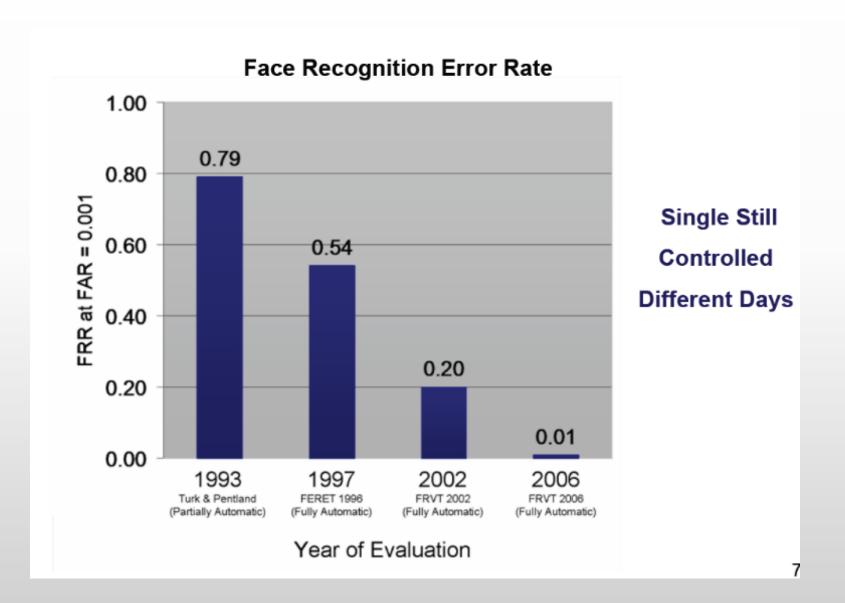


## Using the ROC Curve



Matcher *b* is always better than matcher *a* since for every possible FNMR, its FMR is lower

## Face recognition FRR & FAR



4 Overview of biometrics techniques

## Main sorting

#### Biometrics can be sorted into two classes

1. Physiological

Examples: face, fingerprint, hand geometry and iris recognition

2. Behavioral

Examples: face, fingerprint, hand geometry and iris recognition



### Biometric Identifiers

#### Common

- Fingerprint Recognition
- Face Recognition
- Iris Recognition
- Signature verification
- Hand Geometry
- Speaker Recognition

#### **Others**

- DNA
- Vein recognition
- Retina recognition
- Thermograms
- Gait
- Keystroke
- Ear recognition
- Skin reflection
- Lip motion
- Body odor

### More biometric identifiers

Vein Pattern
Sweat Pores
Fingernail Bed
Hand Grip
Brain Wave Pattern
Footprint and Foot Dynamics

•\*See details in *Chapter 7 Esoteric Biometrics* of *Biometrics* by John D.

Woodward, Nicholas M. Orlans, Peter T. Higgins, New York: McGraw-

Hill/Osborne, c2003





## Price vs accuracy

price 1





South







figerprint

# Overview of biometric techniques

- Fingerprint recognition
- Face recognition
- Voice recognition
- Iris Recognition
- Dynamic signature

## 1. Fingerprint Recognition (D.Novak)

 An extremely useful biometrics technology since fingerprints have long been recognized as a primary and accurate identification method.

### Acquisition devices

### 1. Ink and paper

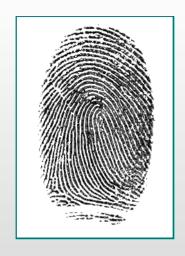
### 2. Ink-less sensing

- Optical methods (FTIR)
- CMOS capacitance
- Thermal sensing
- Ultrasound sensing

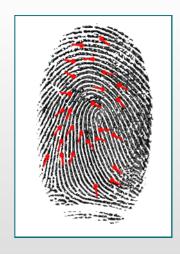


### Minutiae

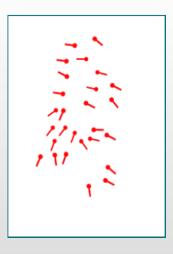
- Uses the **ridge endings** and **bifurcations** on a person's finger to plot points known as **Minutiae**
- The number and locations of the minutiae vary from finger to finger in any particular person, and from person to person for any particular finger



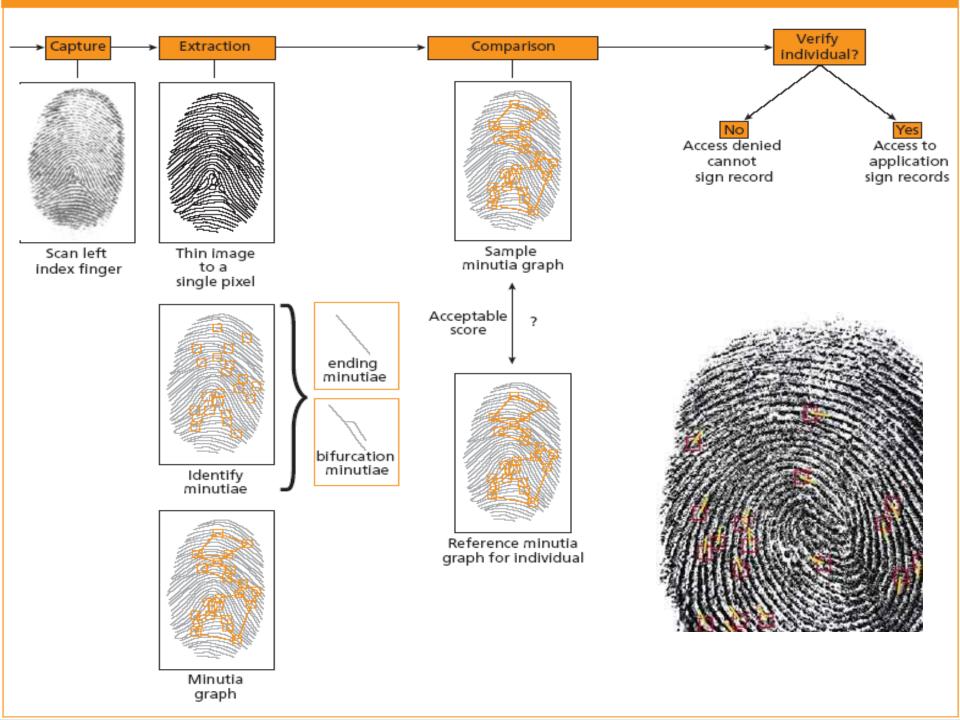
Finger Image



Finger Image + Minutiae



Minutiae



Face recognition

## 2. Face Recognition (V. Franc)

- Uses an image or series of images either from a camera c photograph to recognize a person.
- Principle: analysis of the unique shape, pattern and positioning of facial features.
  - Face is the most common biometric characteristic used by humans
  - Sensing at a distance
  - Easy to capture from low-cost cameras
- Non-contact data acquisition (free from contagious disease)
- Non-intrusive technique which people generally accept as biometric characteristic
- Overt (user aware) and covert (user unaware, e.g. ubiquitous surveillance cameras) applications
- Legacy databases (passport, visa and driver's license)



### Details

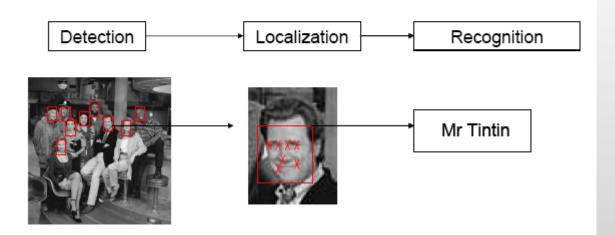
Source of data: Single image, video sequence, 3D image and Near Infrared

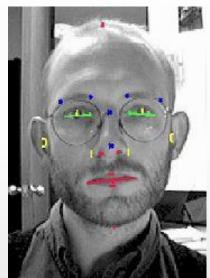
Models: weak models of the human face that model

face shape in terms of facial texture

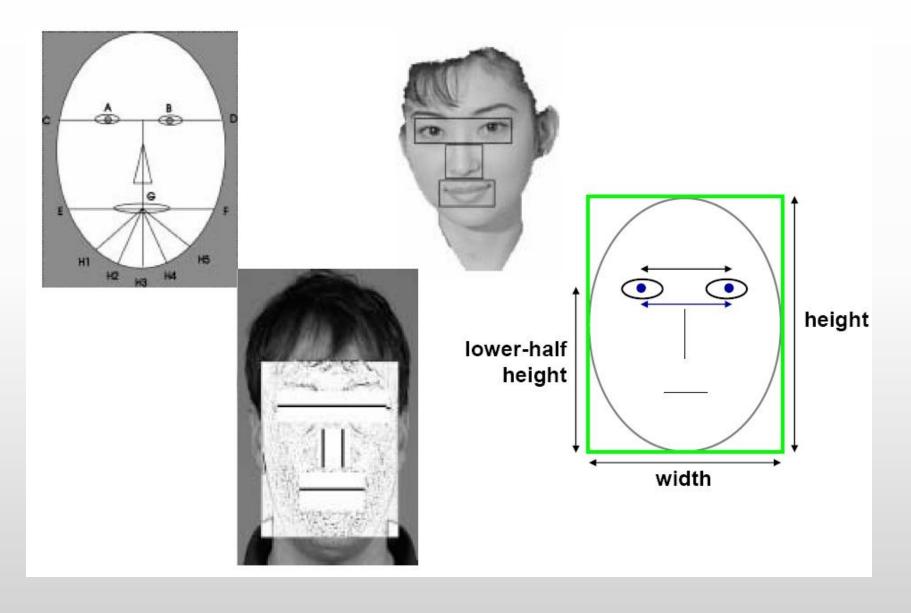
 Face detection – discriminating faces from all other possible images. This is 2-class classification task of assigning an image to the face class or the non-faces class.

 Face localization – finding precisely the position of one face, whose presence is already known in a single image

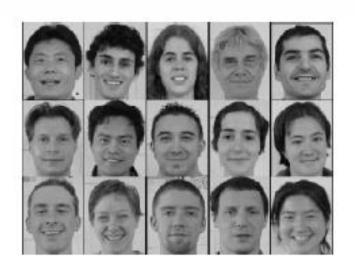


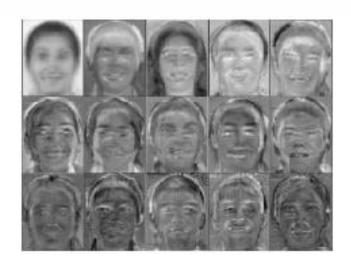


# Feature based approach



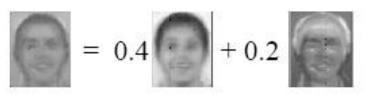
#### Example: Eigenfaces





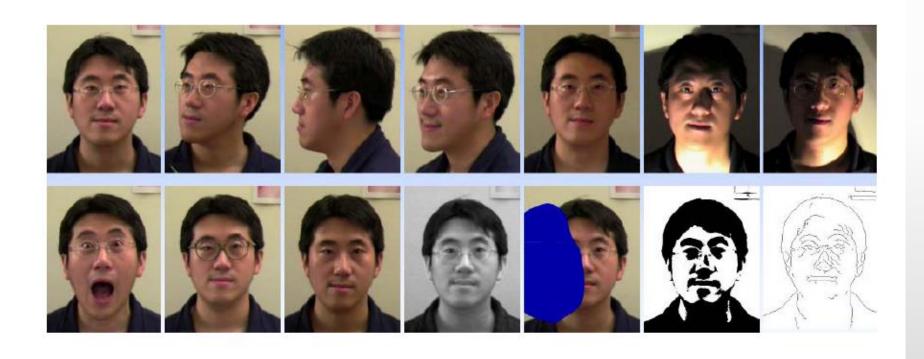
Perfect reconstruction with all eigenfaces

Reasonable reconstruction with just a few eigenfaces

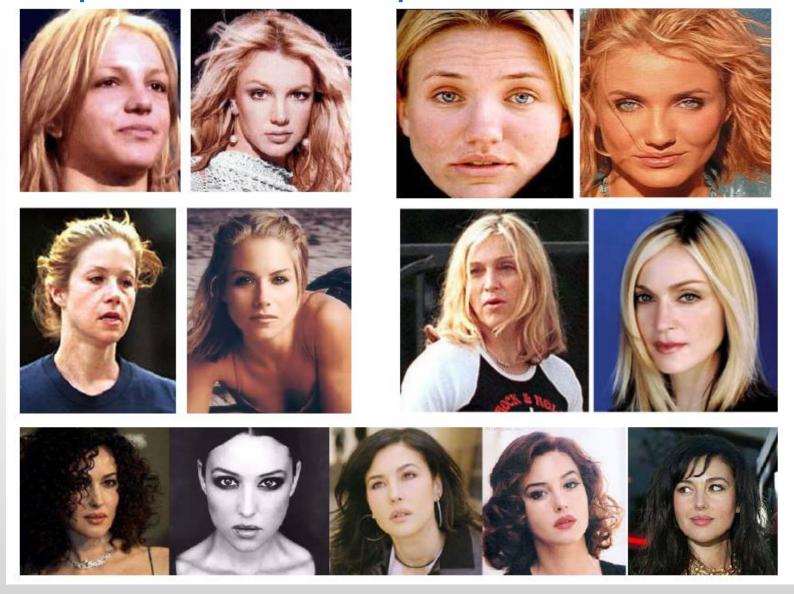


## Intra-class variability

 Faces with intra-subject variations in pose, illumination, expression, accessories, color, occlusions, and brightness



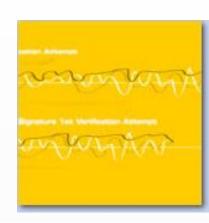
# The power of make up

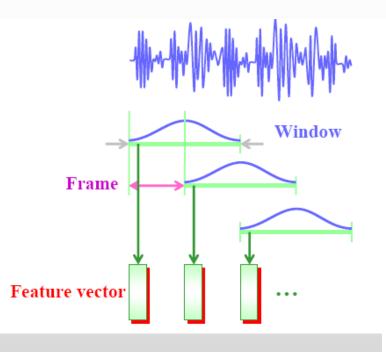


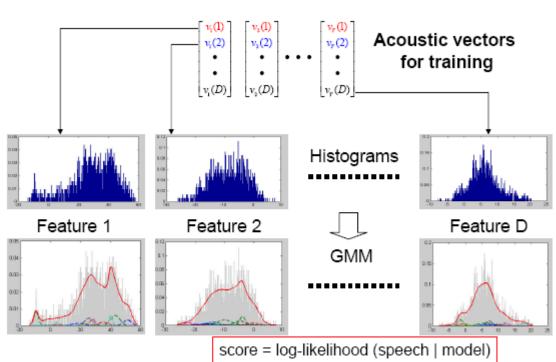
Voice recognition

## 3. Voice Recognition (P. Polak)

- Voice recognition is not the same as speech recognition, it is speaker recognition
- Considered both physiological and behavioral
- Popular and low-cost, but less accurate and sometimes lengthy enrollment







### Features

### Advantages

- Less requirements for users
  - do not have to go through a separate process for verification
- Very little hardware is required,
  - ideally suited to telephone-based system for a remote identification
- Zero client-side cost, no special reader needs to be installed

### Disadvantages

- Acoustic features :
  - 1. Misspoken or misread phrases;
  - 2. The human voice's tremendous variability, due to colds, aging, and simple tiredness
- Can be captured surreptitiously by a third party and replayed

Iris recognition

## 4. Iris recognition (E. Bakstein)

- Analysis of the iris of the eye, which is the **colored ring** of tissue that surrounds the pupil of the eye.
- Widely regarded as the safest, accurate biometrics technology and capable of performing 1-to-many matches at extraordinarily high speeds, without sacrificing accuracy.





Not to be confused with: retinal scans!



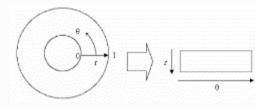
## Iris recognition process



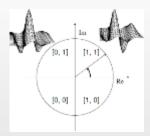
iris image



### iris region segmentation



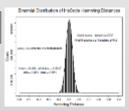
### unwrapping





## feature extraction & encoding





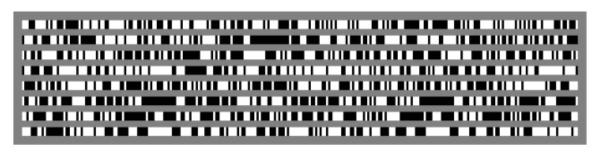




Result

iris code comparison (database)

## Iris code



Iris Code



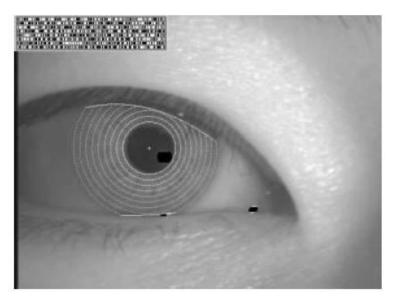
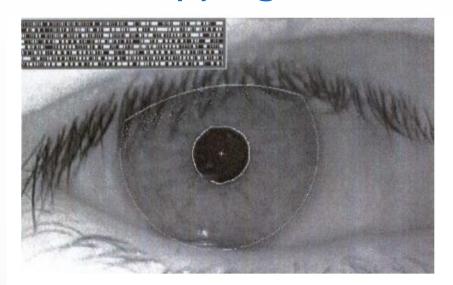
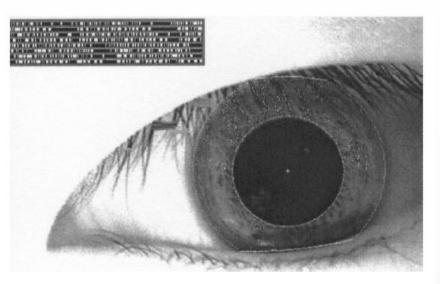
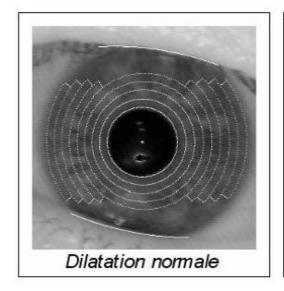


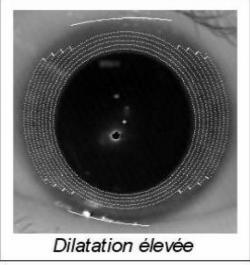
Image size is 64 x 256 bytes and the iris code is 8 x 32 bytes

# Iris mapping









 The iris mapping has to be invariant to shift, distance, magnification, and pupillary dilation

Dynamic signature

## 5. Signature Verification (J. Schneider / P. Vostatek)

- Static/Off-line: the conventional way
- Dynamic/On-line: using electronically instrumented device



**Principle:** the **movement** of the pen during the signing process rather than the static image of the signature.

Many aspects of the signature in motion can be studied, such as pen pressure, the sound the pen makes





Static off-line technology – document authentication



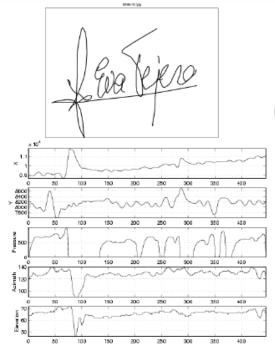


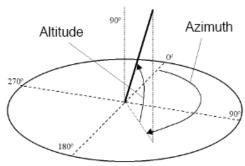




Dynamic on-line technology – signal processing and pattern recognition

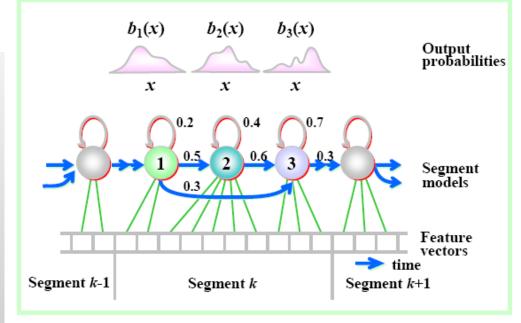
### Dynamic signature



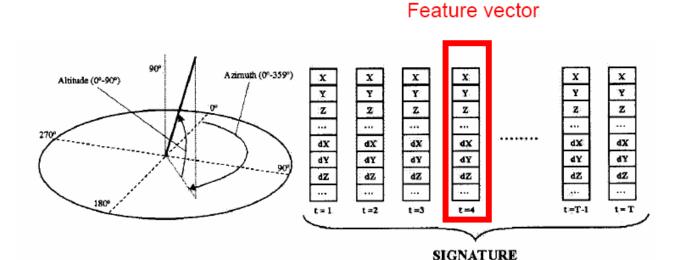


#### Features:

- 1. coordinate X
- 2. coordinate Y
- 3. pressure
- 4. pen azimuth (0° 359°)
- 5. pen altitude (0° 90°)



# Dynamic signature



#### **Acquisition:**

-acquisition area: 127·106 mm

-pressure levels: 1024

-resolution: 2540 lines/inch (100 lines/mm)

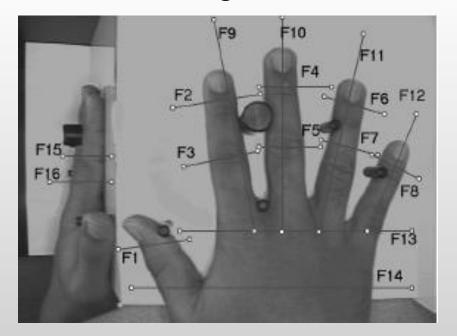
-precision: +/- 0.25 mm -detection height: 10 mm

-sampling frequency: 100 pps (points per s)

Hand geometry

### 5. Hand geometry

- Two main forms:
  - Full hand readers
  - Two finger readers
- How it works
  - A camera captures an image of the hand, with the help of a mirror to get also the edge. The silhouette of the hand is extracted, and some geometric characteristics stored.



$$\sum_{j=1}^{d} |y_j - f_j| < \epsilon_a, \tag{1}$$

$$\sum_{j=1}^{d} \frac{|y_j - f_j|}{\sigma_j} < \epsilon_{wa}, \tag{2}$$

$$\sqrt{\sum_{j=1}^{d} (y_j - f_j)^2} < \epsilon_e, and$$
 (3)

$$\sqrt{\sum_{j=1}^{d} \frac{(y_j - f_j)^2}{\sigma_j^2}} < \epsilon_{we}, \tag{4}$$

where  $\sigma_j^2$  is the feature variance of the *j*th feature and  $\epsilon_a$ ,  $\epsilon_{wa}$ ,  $\epsilon_e$ , and  $\epsilon_{we}$  are threshold values for each respective distance metric.

## Popular in the past



BenGurion Airport – Tel-Aviv, Hand Geometry



JFK International Airport
1993-2002 INPASS system
Replaced later by Global Entry
(fingerprint)

### Not to be confused with: vein recognition

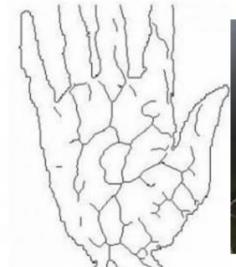
• Identification of vein pattern, commonly on the palm.













## Other biometric modalities

Experimental or not so common

## Biometrics in Early Stages

DNA	Retina recognition	Thermograms	
Gait	Keystroke	Ear recognition	
Skin reflection	Lip motion	Body odor	

### DNA profiling

- also DNA fingerprinting
- The "ultimate identifier"
- Identify information from every cell in the body in a digital form
- Not yet fully automated, not fast and expensive
- Theoretical limitation: Identical twins have the same DNA
- Privacy issue DNA contains information about race, paternity, and medical conditions for certain disease
- Only a small portion of DNA sequenced
- Multiple methods exist, see
   <a href="https://en.wikipedia.org/wiki/DNA">https://en.wikipedia.org/wiki/DNA</a> profiling



# Comparison Chart: DNA

DNA	Conventional Biometrics		
Requires an actual physical sample	Uses an impression, image, or recording		
Not done in real-time; not all stages of comparison are automated	Done in real-time; "lights-out" automated process		
Does a comparison of actual samples	Uses templates or feature extraction		

#### II. Retina recognition

 The pattern of blood vessels that emanate from the optic nerve and disperse throughout the retina depends on individuals and never changes.

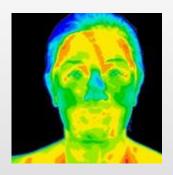


- No two retinas are the same, even in identical twins.
- Commercial products: Retinal Technologies



#### III. Thermograms

- Thermograms requires an infrared camera to detect the heat patterns of parts of the body that are unique to every human being (such as the face)
- Normally expensive because of the sensors
- Useful paper: <u>Illumination Invariant Face Recognition</u>
   <u>Using Thermal Infrared Imagery</u> (Solikinski & als)





#### IV. Gait

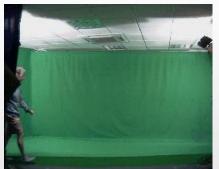
 The final objective: to recognize persons using sta cameras in any conditions.



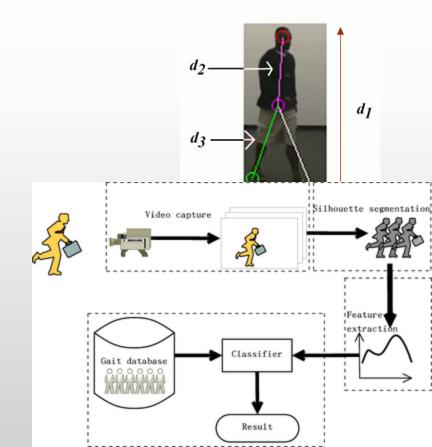
Gait recognition is particularly studied as it may elidentification at distance.











### Češi vyhráli policejní olympiádu







otisky prstů.

Čtěte více o: kriminalistika | policie

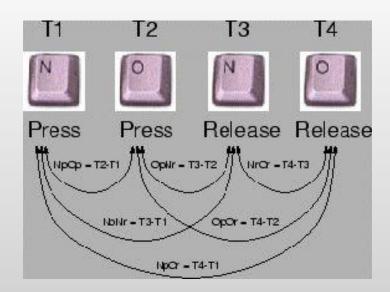


redaktor

- volání ve firmě zdarma
- volání do sousedních zemí za cenu jako v ČR
- nejrychlejší 3G internet

### V. Keystroke

- The rhythms with which one types at a keyboard are sufficiently distinctive to form the basis of the biometric technology known as keystroke dynamics
- 100% software-based, requiring no sensor more sophisticated than a home computer
- VIDEO



#### VI. Ear recognition

- Ear geometry recognition uses the shape of the ear to perform identification
- Suggestions have been made that the shapes and characteristics of the human ear are widely different



- An infrared image can be used to eliminate hair
- Might be recognized at a distance

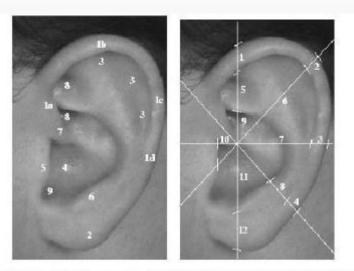
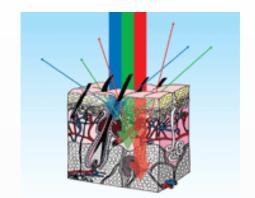


Fig. 2. (a) Anatomy, (b) Measurements. (a) 1 Helix Rim, 2 Lobule, 3 Antihelix, 4 Concha, 5 Tragus, 6 Antitragus, 7 Crus of Helix, 8 Triangular Fossa, 9 Incisure Intertragica. (b) The locations of the anthropometric measurements used in the "Iannarelli System". (Burge et al., 1998)

#### VII. Skin reflection

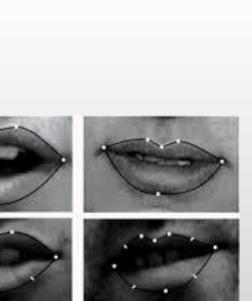
- Fingerprint-based
- <u>Lumidigm Inc.</u> has established that the absorption spectrum of the skin depends on the individuals.
- In a range of wavelengths over 6mm patch, several LEDs send light into the skin, and photodiodes read the scattered light, which is analyzed to perform the authentication.





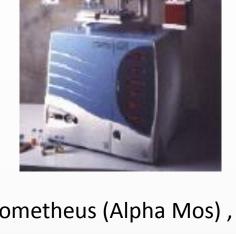
#### VIII. Lip motion

- Compares the characteristic lip motions of people while they speak.
- Helps identification associated with speaker recognition.
- Different imaging conditions: Infrared (high security & cost) and Near Infrared (cheap, normally used for active sensing)

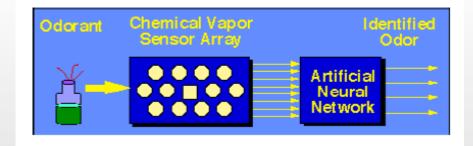


### IX. Body odor

- People with differing immunity genes produce different body odors
- Electronic/artificial noses: developed as a system for the automated detection and classification of odors, vapors, gases.



Prometheus (Alpha Mos), an example of electronic nose



**Schematic Diagram of Artificial nose** 

Artificial noses are not yet sophisticated enough to do all the job

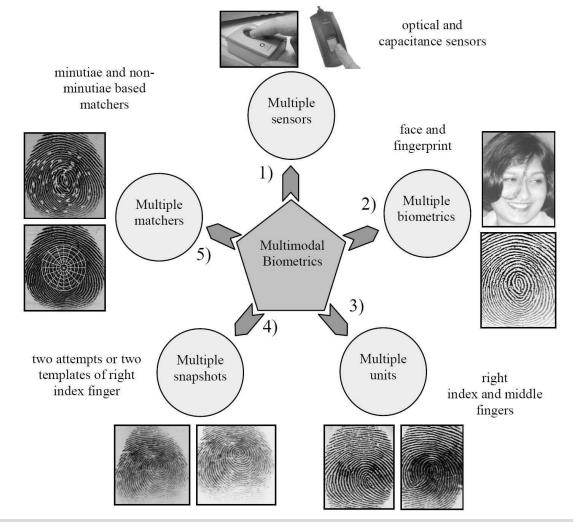
#### X. Heartbeats

- Based on differing hearbeat patterns in each person
- Bionym Nimy wristband commercially available (preorder, as of 09/2013)
- Security?



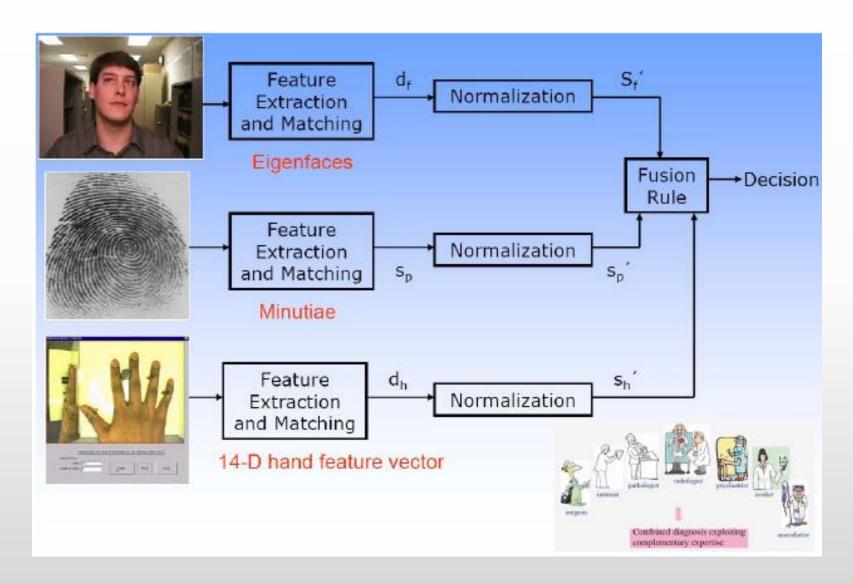


#### Multimodal Biometrics



http://www.cse.msu.edu/~rossarun/pubs/RossMultimodalOverview EUSIPCO04.pdf

#### Fusion after normalization



### Comparision of Biometric Technologies

Characteristic	Fingerprints	Hand Geometry	Retina	Iris	Face	Signature	Voice
Ease of Use	High	High	Low	Medium	Medium	High	High
Error Incidence	Dryness, dirt, age	Hand injury, age	Glasses	Lighting	Lighting, age, glasses, hair	Changing signatures	Noise, colds
Accuracy	High	High	Very High	Very High	High	High	High
User Acceptance	Medium	Medium	Medium	Medium	Medium	High	High
Long-Term Stability	High	Medium	High	High	Medium	Medium	Medium

Thank you!