

FOUNDATIONS AND TRENDS IN BIOMETRICS

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GREYC RESEARCH LAB

Research in Digital Sciences

Image processing, artificial intelligence, data science, instrumentation, theoretical computer science, cybersecurity, natural language processing







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STAFF

200 Members

- 7 full time CNRS researchers
- 29 full professors
- 47 associate professors (14 HDR)
- 68 PhD students (17 with a company)
- 19 permanent administrative and technical
- 16 post-doc and research engineers
- 12 associate members

Annual budget: 2000 K€ (without permanent salary)

https://www.greyc.fr/





RESEARCH ACTIVITIES



Topics: fundamental, methodological and applied research on issues related to digital sciences



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Biometritselecture

RESEARCH GROUPS



- AMACC: Algorithms, Computational Models, Combinatorial, Complexity,
- **CODAG**: Constraints, Ontologies, Data, Annotations, Graphs
- MAD: Models, Agents and Decisions
- IMAGE: Image processing and understanding
- **ELEC**: Electronics
- **SAFE**: Security, Architectures, Forensics, biomEtrics







Normandie Université

SAFE RESEARCH GROUP

Research in Cybersecurity

- **Biometrics**: definition/evaluation of biometric systems, biometric data protection
- Security architectures: Network security (SDN, \checkmark 5G, 6G), applied cryptography, randomness and information protection.
- **Digital Forensics**: Automatic language \checkmark processing, forensic platform, privacy protection.







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WHO AM I?



- □ Full professor in Computer Science at ENSICAEN
- □ Cybersecurity researcher at the GREYC research lab (director)
 - ✓ Biometrics (since 2005)
 - ✓ Digital forensics (since 2021)
- Chairman of the evaluation and monitoring panel for the Italian Cybersecurity research strategy







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Unsupervised and Semi-Supervised Learning Series Editor: M. Emre Celebi

Richard Jiang · Chang-Tsun Li Danny Crookes · Weizhi Meng Christophe Rosenberger *Editors*

Deep Biometrics

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Springer





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PLAN



□ Introduction

□ Evaluation of biometric systems

□ Soft biometrics

□ Template aging

□ Privacy protection

• Open questions











BIOMETRICS

Automatic identification of an individual or verification of its identity by using morphological or behavioral characteristics











Biological analysis: EEG signal, DNA...

Behavioural analysis: Keystroke dynamics, voice, gait, signature dynamics...

☐ **Morphological analysis**: Fingerprint, iris, palmprint, finger veins, face, ear...





















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Definitions:

- □ **Biometric sample:** analog or digital representation of biometric characteristics prior to biometric feature extraction
- □ **Biometric reference:** one or more stored biometric samples, biometric templates or biometric models attributed to a biometric data subject and used as the object of biometric comparison





Minutiae

Biometric reference $T = \{m_1, \dots, m_n\}$

With $m_i = (x_i, y_i, \boldsymbol{\alpha}_i, T_i)$

 (x_i, y_i) : minutiae location $\boldsymbol{\alpha}_i$: minutiae orientation T_i : minutiae type





Enrollment: act of creating and storing a biometric reference data record

Verification: process of confirming a biometric claim through biometric comparison

Identification: process of searching against a biometric enrolment database to find and return the biometric reference identifier(s) attributable to a single individual



ELSE

THRESHOLD θ value is set according to the application

How do decide if the claimed identity is correct?

IF SCORE (REFERENCE, SAMPLE) > THRESHOLD θ

Suppose SCORE is a similarity matcher

INTRODUCTION

ACCEPT

REJECT







ISO /IEC JTC1 SC37 SD11



Components of a biometric system:
Data capture,
Signal processing,
Data storage,
Matching,
Decision.

Demo:

Keystroke dynamics sytems

(windows software that can be downloaded on my webpage)



R. Giot, M. El-Abed, B. Hemery, C. Rosenberger, "Unconstrained Keystroke Dynamics Authentication with Shared Secret", Elsevier Journal on Computers & Security (IF 0.868), Volume 30, Issues 6-7, Pages 427-445, September-October 2011.

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Definition of biometric systems

- Sensor definition
- Feature generation
- Soft biometrics
- > Template update
- Multi-biometrics
- Mobile biometrics
- > XAI for biometrics
- Indexing



Evaluation of biometric systems

- > Performance
- Presentation attack
- Fairness
- > Usability
- Biometric data quality
- Synthetic data generation

Privacy protection

- > Hardware
- Software
 - ✓ Encryption
 - ✓ Transformation
 - ✓ Protocol
 - ✓ Architecture







EVALUATION OF BIOMETRIC SYSTEMS

How accurate is a biometric system ? How to set the decision threshold







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PERFORMANCE

Evaluation: Collection of biometric data



S001-01-t10 01







S001-09-t10_01





S008-02-t10 01













S001-08-t10 01

S001-07-t10 01



S005-01-t10_01





S006-01-t10_01

S008-05-t10 01



S013-02-t10_01



Samples of 13 individuals



S006-02-t10 01



S008-06-t10_01

https://www.nist.gov/itl/iad/image-group/special-database-32-multiple-encounter-dataset-meds

S008-07-t10_01

S009-01-t10_01 S010-01-t10_01









S011-01-t10_01







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S001-08-t10_03

S006-03-t10 01





S007-01-t10 01

S002-01-t10_01

S001-04-t10 01





S001-06-t10 01

S004-01-t10_01

S008-04-t10 01



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Biometrics lecture

S008-01-t10 01



S001-05-t10 01

S003-01-t10_01









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PERFORMANCE

Acquisition metrics (sensor evaluation)

Failure To Acquire Rate

✓ FTAR
✓ Problem during capture
✓ Physical incapacity
✓ Sensor does not work

Failure To Enroll Rate

- ✓ FTER
- ✓ Insufficient biometric quality
- ✓ User does not want to enroll himself





Evaluation: example of a typical biometric system using a deep neural network



(224 x 224 pixels)

descriptors (VGGFace2)

and conservative faces

Kosinski, M. Facial recognition technology can expose political orientation from naturalistic facial images. Sci Rep 11, 100 (2021). https://doi.org/10.1038/s41598-020-79310-1

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PERFORMANCE

Distribution of legitimate and impostor scores

- Computation of scores 1.
- Plotting the frequency of each value 2.

Samples used for testing

Biometrics lecture

Legitimate scores: comparison between a sample and the reference of the same user

Impostor comparison scores: between a sample and the reference of a different user









Distribution of legitimate and impostor scores





Authentication metrics (algorithm)

Errors depending of the threshold value $\boldsymbol{\theta}$

□ False Match Rate
 ✓ FMR(θ)
 ✓ Ratio of accepted impostors

Given State Series False Non Match Rate

✓ FNMR(θ)✓ Ratio of rejected legitimate users













Authentication metrics (system) Errors depending of the threshold value θ

□ False Acceptation Rate (FAR) \checkmark FAR(θ) = (1 – FTAR).FMR(θ)

□ False Rejection Rate (FRR) \checkmark FRR(θ) = (1 – FTAR).FNMR(θ) + FTAR





Illustration of metric values: impact of the threshold value θ





Relationship between FAR, FRR, EER and threshold $\boldsymbol{\theta}$







ROC curve [Receiver Operating Characteristics]

Global performance of a biometric authentication system.

- Relation between the FAR and the FRR for different decision threshold values, as abscissa and ordinate, respectively,
- Compact representation of the performance of a biometric system,

□ Objective comparison of different biometric systems (even from different biometric modalities).



Source: Raj Mashruwala, "Scenario Testing of Mobile Fingerprint Verification System", NIST International Biometric Performance Conference 2012.

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UID example:

PERFORMANCE

- Enrollment (multi-modal biometric)
 - 36,000 enrollment stations, 87K certified operators
 - 11 models of certified devices
 - 200 Million enrolled
 - 400 Million planned for FY '13
 - 1M/day enrollment rate
- Biometric Verification
 - -8 PoC
 - Two pilot programs underway







Example UID program in India:



Source: Raj Mashruwala, "Scenario Testing of Mobile Fingerprint Verification System", NIST International Biometric Performance Conference 2012.



Doddington zoo: different performance for each user when using a biometric system



USABILITY



Interaction with humans:

□ Ease of use,

□ User satisfaction,

Monitoring sensor manipulation.

Resenter-voir in principal biometrique paracular et	Questionnaire Banc de tests biométriques Vere kontinare et In Porception du système biometrique tests Capteur 1: • Ans de test partier • Ans de test partier
 92: Trouves voire que numera cette te obsologie en una antiente a voire ve a price subsolutione a voire ve a price de se systeme te antiente facie et a grectato p 	Anno de Teneral de la conservación de la conserva
	Philips

Part C. Perception of the tested system	
Q_8 . Have you ever tried this biometric modality (before our study)?	□ yes □ no
<i>Q</i> ₉ . were you disturbed while using this system?	□ not at all disturbed □ not disturbed □ disturbed □ quite disturbed □ I do not know
Q_{10} . does this technology threats your privacy?	\Box not at all intrusive \Box not intrusive \Box intrusive \Box quite intrusive \Box I do not know
Q_{11} . is it easy to use this system?	□ not at all easy □ not easy □ easy □ quite easy □ I do not know
Q_{12} . Do you find the verification fast?	\Box not at all fast \Box not fast \Box fast \Box quite fast \Box I do not know
Q_{13} . Is the answer of the biometric system is correct?	\Box never \Box rarely \Box sometimes \Box always \Box I do not know
Q_{14} . In your opinion, is the system used can be easily attacked?	□ strongly disagree □ disagree □ agree □ strongly agree □ I do not know
Q_{15} . Are you ready to use this biometric system in the future?	\Box strongly disagree \Box disagree \Box agree \Box strongly agree \Box I do not know
Q_{16} . If you are ready to use this system in the future, would you like to use it for physical (eg. access a building) or logical (eg. log on to a computer) access?	□ physical □ logical
Q_{17} . do you trust this system?	\Box no at all \Box not really \Box rather \Box yes \Box I do not know
Q_{18} . What is your general appreciation of this system?	 □ not at all satisfied □ not satisfied □ satisfied □ quite satisfied □ I do not know

SECURITY



A biometric system can he hacked !



HOME » FEATURED ARTICLES » Hackers Have Stolen Almost Six Million US Government...

IT SECURITY AND DATA PROTECTION

Hackers Have Stolen Almost Six Million US Government Fingerprints



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The Office of Personnel Management (OPM) has revealed in a statement that when hackers breached its systems earlier this year they made away with approximately 5.6 million fingerprints – a significant increase from the 1.1 million previously reported.

As is now well known, in addition to fingerprint data being stolen the Social Security numbers, addresses, employment history, and financial records of some 21.5 million current and former US government employees was also stolen.

The good news is that they believe the opportunities for criminals to exploit the fingerprint data is currently limited.

But the bad news is that chances are that won't continue to be the case.

[N. K. Ratha, J. H. Connell, and R. M. Bolle. Enhancing security and privacy in biometrics-based authentication systems. *IBM Systems Journal*, p. 614-634, 2001.

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Definitions:

Presentation attack

Presentation to the biometric capture subsystem with the goal of interfering with the operation of the biometric system

Presentation Attack Detection (PAD)
Automated determination of a presentation attack

□ Impostor

Subversive biometric capture subject who attempts to being matched to someone else's biometric reference

Identity concealer Subversive biometric capture subject who attempts to avoid being matched to their own biometric reference







James Bond movie Diamonds are forever (1971)





Presentation attack instrument (PAI) Biometric characteristic or object used in a presentation attack





Human PAI: makeup, latex mask, 3D spoof...

Face disguise for organized crime (June 2012)

http://www.dailymail.co.uk/news/article-2153346/Black-armed-robber-disguised-white-man-using-latex-mask.html



The man in the latex mask: BLACK serial armed robber disguised himself as a WHITE man to rob betting shops

- Henley Stephenson wore the disguise during a 12-year campaign of holdups at betting shops and other stores across London
- He was part of a three-man gang jailed for a total of 28 years
- CCTV footage showed him firing a semi-automatic pistol into the ceiling during a raid on a betting shop
- The mask was bought from the same London shop which supplied masks used in the $\pounds 40m$ Graff Diamonds heist

By ROB PREECE and REBECCA CAMBER FOR THE DAILY MAIL PUBLISHED: 17:22 GMT. 1 June 2012 | UPDATED: 16:21 GMT. 2 June 2012

Most masked robbers opt for a balaclava to hide their identity

Not this one. Henley Stephenson, 41, eluded police for more than ten years thanks to an extraordinarily lifelike latex mask, which turned him into a white skinhead.

Officers discovered that their man was in fact black when they finally caught up with Stephenson after a string of armed raids dating back to 1999.



Latex spoof



Lifeless spoof



3D spoof (FaceId attack)



Makeup spoof





Cao, K., & Jain, A. (2018, February). Fingerprint synthesis: Evaluating fingerprint search at scale. In 2018 International Conference on Biometrics (ICB) (pp. 31-38). IEEE.



Artificial PAI: backdoors



Recognized as Kevin

Al a key component of biometric sytems:

Black box systems

- Source code = a (very) large list of coefficients
- Very difficult to identify non expected behaviors (backdoors).







Biases: systematic deviations that can lead to unequal performance across different user groups



Users With Different Demographics



One metric: Fairness Discrepancy Rate (FDR)

$$FDR(\theta) = \mathbf{1} - (\alpha \times A(\theta) + (\mathbf{1} - \alpha) \times B(\theta))$$

 $A(\theta) = \max(|FMR^{di}(\theta) - FMR^{dj}(\theta)|)$ B(\theta) = max(|FNMR^{di}(\theta) - FNMR^{dj}(\theta)|)



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SOFT BIOMETRICS

A character providing some information on an individual but lacking of uniqueness and permanence to differentiate enough two individuals"

Jain et al. 2004







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Extracting soft biometric traits: machine learning



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Profiling users with keystroke dynamics: Gender/Handedness/Age decade estimation











Idrus, S. Z. S., Cherrier, E., Rosenberger, C., & Bours, P. (2014). Soft biometrics for keystroke dynamics: Profiling individuals while typing passwords. *Computers & Security*, 45, 147-155.



Application: performance improvement Combining decision functions considering the biometric data and the soft biometric information



Trait = score + (Trait_confidence) Reward = score x (1 - Soft_Similarity)

Trait_confidence: difference between the real trait and the prediction Soft_Similarity: percentage of similar biometric traits between the sample and the reference template



Application: performance improvement on keystroke dynamics



Syed Zulkarnain Syed Idrus, Estelle Cherrier, Christophe Rosenberger, Soumik Mondal and Patrick Bours (2014), "Keystroke Dynamics Performance Enhancement With Soft Biometrics". The IEEE International Conference on Identity, Security and Behavior Analysis (ISBA 2015) Hong Kong.







He, Zhenliang, et al. "Attgan: Facial attribute editing by only changing what you want." *IEEE Transactions on Image Processing* 28.11 (2019): 5464-5478.





Remove beard



Gender swap



Hair color swap



To Bushy Eyebrows + Mouth Close



Add Eyeglasses



Hairdressing change

He, Zhenliang, et al. "Attgan: Facial attribute editing by only changing what you want." *IEEE Transactions on Image Processing* 28.11 (2019): 5464-5478.











"Biometric template aging is defined as an increase in recognition error rate with increased time since enrollment"

Fendker et al. 2013







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FRAN (face re-aging network) is a neural network that's been trained using thousands of images of synthetic human faces, projecting how an actor's face could look on camera at different stages of life. (source Disney)

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Natual evolution of biometric templates:

- User aging (face...)
- □ Behaviors evolution (signature dynamics...),
- Data alterations (scratchs on a fingerprint...)

Many mechanisms for adaption strategy of biometric systems:

To be combined



Pisani, P. H., Mhenni, A., Giot, R., Cherrier, E., Poh, N., Ferreira de Carvalho, A. C. P. D. L., ... & Amara, N. E. B. (2019). Adaptive biometric systems: Review and perspectives. *ACM Computing Surveys (CSUR)*, *52*(5), 1-38.

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TEMPLATE AGING

Adaption mechanism: sliding and growing

Enrolment





Growing window: adding the new sample to the gallery







Sliding window: replacing the oldest sample in the gallery







Update the reference template:

Generally composed of a gallery,

Evolution of the gallery when using the biometric system,

□ Matching score calculated from each sample in the gallery.

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Adaption mechanism: performance evaluation on keystroke dynamics



FNMR over time comparing non-adaptive and adaptive biometric systems (CMU dataset – keystroke dynamics). Self-Detector represents non-adaptive biometric systems. The versions on the right (Growing, Sliding) represent the adaptation strategies.

Poisoning effect (adding the template of an imposter in the reference template)

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Poisoning attack: corrupting user's face template during update



Lovisotto, G., Eberz, S., & Martinovic, I. (2020, September). Biometric backdoors: A poisoning attack against unsupervised template updating. In *2020 IEEE European Symposium on Security and Privacy (EuroS&P)* (pp. 184-197).









Can we consider privacy constraints for user biometric authentication?







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Privacy protection:

Personal data

Difficult to revoke a biometric data

Can be captured without any consent

□ (Classical) encryption is not sufficient





Biometric template protection: Privacy Enhancing Technology (PET)

Taxonomy of existing approachesHardware solutionsSoftware template protection







Hardware protection:

Storage of the reference templateCapture/match on card





Cancelable biometrics:



Expected properties:

- Verifiability: it is possible to authenticate an user given a BioCode
- Revocability: it is possible to renew the BioCode in case of attack
- Non invertibility or irreversability: impossible to recover the raw biometric data given the BioCode and the Secret
- Undistinguishability: impossible to distinguish impostor BioCodes from legitimate ones with different Secrets
- Unlikability: no information leakage from different legitimate Biocodes



BioHashing algorithm:





Jin, Andrew Teoh Beng, David Ngo Chek Ling, and Alwyn Goh. "Biohashing: two factor authentication featuring fingerprint data and tokenised random number." *Pattern recognition* 37.11 (2004): 2245-2255.



Demo

Greyc Biocode			
Data	base	Fingerprint Capture	Biocode
Use	ers		Normal Barcode Short Barcode Very Short Barcode
User	name		FDF5BED618513EFA3B9E64D7C9446E8C 97,50 % FDF59ED658513EFA3B9E64D7C9C46E8C
Username	christophe	Socrot azerty	
	Enroll	Verify	GREYC

R. Belguechi, E. Cherrier, C. Rosenberger, S. Ait-Aoudia, "Operational Bio-Hash to Preserve Privacy of Fingerprint Minutiae Templates", IET journal on Biometrics, 2013



Cryptographic protocols: an example (avoiding the replay attack)



P. Lacharme et C. Rosenberger, "Synchronous One Time Biometrics With Pattern Based Authentication", International Conference on Availability, Reliability and Security (ARES), 2016.







Which are the hot topics (for me)?









New sensors: more rich information

□ **rPPG (Photoplethysmography):** blood pulse flow by modeling the skin color variations caused by the heartbeat

Liu, SQ., Lan, X., Yuen, P.C. (2018). Remote Photoplethysmography Correspondence Feature for 3D Mask Face Presentation Attack Detection. In: Ferrari, V., Hebert, M., Sminchisescu, ECCV 2018, vol 11220. Springer





Optical coherence tomography (OCT): obtain finger subcutaneous tissue information (very useful for PAD detection)

Sun, H., Zhang, Y., Chen, P., Wang, H., & Liang, R. (2023). Internal structure attention network for fingerprint presentation attack detection from Optical Coherence Tomography. IEEE Transactions on Biometrics, Behavior, and Identity Science.





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PET in biometrics:

- □ Feature generation more efficient with AI
- □ These methods are reversible (possible to recover the input image given the feature).
- Recent approaches propose privacy compliant features
 ✓ Which performance?
 - ✓ Which privacy properties (irreversibility, unlinkability)?

Hahn, V. K. and Marcel, S. (2021). Biometric template protection for neuralnetwork-based face recognition systems: A survey of methods and evaluation techniques. arXiv preprint arXiv:2110.05044





Al security and impacts on biometrics:

- □ How to detect backdoors?
- □ How to detect generated content?
- □ How to detect adversarial attacks?











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