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Information technology — Biometric sample quality —

Part 5: Face image data

Technologies de l'information — Qualité d'échantillon biométrique —

Partie 5: Données d'image de face

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Contents

Page

Foreword

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This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 37, *Biometrics*.

This first edition cancels and replaces the first edition of ISO/IEC TR 29794-5:2010 which has been technically revised.

The main changes are as follows:

— the document has been completely revised to become and International Standard;

— information on the role of quality measures has been added;

— requirements on quality software have been added.

A list of all parts in the ISO/IEC 29794 series can be found on the ISO and IEC websites.

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Introduction

Adoption of deep learning techniques has caused error rates associated with automated face recognition tasks to be reduced. However, errors still occur and are often related to imaging, human factors, the level of biometric capture subject cooperation, the comparison algorithm, and its associated threshold and decision logic. Without significant modernisation of capture procedures, recognition errors will become more prevalent as volumes increase. This document is aimed at reducing errors due to image quality, through the use of quality assessment algorithms. Quality assessment algorithms have several roles (see Annex C), primarily those related to sample capture. Drivers for improved capture are as follows.

— Need for improved usability — The general improvement of biometric systems has highlighted that improved usability for both biometric capture subjects and human operators can reduce errors through the improvement of capture. Without a careful consideration of both biometric capture subjects and system operators, system designers risk seeing the limitations inherent in using technology alone.

— Increasing volumes — Vast numbers of face images are being collected in many commercial, civil identity management and law enforcement applications. These photographs are used as reference enrolment samples, or as recognition probes that, in turn, sometimes later serve as references.

— New programs — Future large-scale programs will employ face recognition: For example, in China the railway transportation system uses face recognition for identity verification and to improve passenger check-in efficiency. The European Union uses face recognition for biometric exit confirmation. The United States currently uses face recognition for biometric exit confirmation and vessel boarding. In India, the Aadhaar program allows face recognition for authentication.

— Face-blind cameras — Historically, many face images were collected using cameras that were not face-aware. In contrast, in some situations concerning fingerprint and iris biometrics, capture devices run in an auto-capture quality-assessment loop, with explicit awareness of the kind of image intended for collection.

— Reliance on imaging design specifications — Faces collected for ID credentials and authoritative databases are largely collected using cameras set up according to published documentary standards, most recently ISO/IEC 39794-5, regulating geometry and photography. In the best case, face images from such collections are then checked with image compliance tools. When photographs are collected by a human photographer, this can be without any automated quality assessment, relying only on the photographer to check conformance.

— Behaviour not intended by the relevant capture standard — Some recognition failures arise from biometric capture subjects effecting differences in presentation in reference and probe images. Standards define a canonical presentation to be centred and frontal with neutral expression, eyes-open and without occlusions. Facial recognition systems are expected to operate accurately across a wide range of individuals who vary in age, body size, ethnicity, language, culture, literacy and familiarity with technology. Careful human factors design is vital to the acquisition of canonical images and improved face image capture.

— Quality assessment is separated from the capture process — In many cases, a photograph is captured and later submitted to a backend server while ensuring no image tampering occurs, where it is assessed for quality. If poor quality is detected (by human or automated means), re-capture is initiated hours or days later, when possible, with another encounter and attendant expense.

Regarding image quality, Table 1 lists characteristics of face image quality relating to the biometric capture subject and characteristics relating to the capture process, demonstrating that issues due to mis-presentation (often associated with human factors design) and issues related to imaging are in many cases separable. For example, photographs can be systematically de-focused even when the biometric capture subjects present perfectly.

Table 1 — Characterization of face image quality

	Biometric capture subject characteristics	Capture process
Static properties	Biological characteristics; — injuries and scars, — dermatological conditions, — etc.	Capture process and capture device properties: — image resolution, — optical distortions, — sub-optimal camera angle, — field of view, — etc.
	Other static characteristics: — thick or dark glasses, — permanent jewellery, — makeup and cosmetics, — etc.	Static properties of the background: — (textured) wallpaper.
		Affordance: — properties of a data capture subsystem that intuitively imply its functionality and use to biometric capture subjects, — human-centric system physical and process design.
Dynamic properties	Behaviour: — exaggerated expression, — hair across the eye, — facial hair, — etc.	Scenery: — background moving objects, — variation in lightning.
		Capture device variation: — de-focus, — camera vibration, — sub-optimal camera angle, — poor exposure, — etc.

By defining image quality measurements, this document is intended to improve the accuracy of automated face recognition systems. Quality can be tied to recognition accuracy (see Annex B). Improved quality can also improve human review of images. The quality measures included in this document were selected because guidance on how to control them has already been included in ISO/IEC 39794-5. The implementations of some quality measures were evaluated for performance.[62] The reference implementation defines quality measures that use external algorithms with licence conditions.[58]

This document recognizes the Open Face Image Quality (OFIQ)[60] software as the reference implementation of the requirements of the document. It is open-source.[59] Other quality algorithm implementations can conform to this document as described in Clause 5.

Some of the computations of this document can be effective on images captured with illumination at non-visible wavelengths.

Encoding of quality data is defined in ISO/IEC 29794-1. The methodology for performance evaluation of quality assessment algorithms is also defined in ISO/IEC 29794-1.

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