The Performance of User Verification Using Two Fingerprint Based On Error Rate

This thesis is presented to the Graduate School
in fulfillment of the requirements for
Master of Science (Information Technology)
Universiti Utara Malaysia

By

Mohamad Amir bin Abu Seman

© Mohamad Amir bin Abu Seman, Mei 2002. All Rights Reserved.

PERMISSION TO USE

In presenting this thesis in fulfillment of the requirements for a Master of Science in Information Technology degree from Universiti Utara Malaysia, I agree that the University Library may make it freely available for inspection. I further agree that permission for copying of this thesis in any manner, in whole or in part, for scholarly purposes may be granted by my supervisor(s) or, in their absence, by the Dean of Graduate School. It is understood that any copying or publication or use of this thesis or parts thereof for financial gain shall not be allowed without my written permission. It is also understood that due recognition shall be given to me and to Universiti Utara Malaysia for any scholarly use which may be made of any material from my thesis.

Requests for permission to copy or make other use of materials in this thesis, in whole or in part, should be addressed to:

Dean of Graduate School Universiti Utara Malaysia 06010 UUM Sintok Kedah Darul Aman

Abstrak

Teknologi biometrik, terutamanya cap jari, telah mula mendapat perhatian pengguna dalam memastikan keselamatan sesuatu tempat atau harta benda. Dalam implementasi sistem pengesahan individu menggunakan satu cap jari pada masa sekarang, sistem telah berhadapan dengan pelbagai masalah seperti cap jari kotor dan pengguna tidak meletakkan cap jari dengan betul. Apabila masalah yang berlaku hanya menjejaskan sebahagian kecil permukaan cap jari, ianya akan dapat diselesaikan pada fasa pemprosesan imej dan pengecaman corak. Apabila keadaan sebaliknya berlaku, maka pendekatan yang lain terpaksa digunakan. Oleh itu, pendekatan menggunakan dua cap jari pada proses pengesahan telah digunakan bagi mengatasi masalah ini. Dengan tidak hanya merujuk kepada penggunaan ibu jari yang selalu digunakan, potensi pada jari yang lain telah cuba dikenal pasti bagi mendapatkan dua jari terbaik, yang telah digunakan dalam proses ini. Beberapa kaedah mudah dalam pengkelasan keputusan daripada kedua-dua cap jari ini telah dicuba, dan kaedah yang terbaik telah digunakan untuk melihat tahap prestasi sistem berbanding dengan sistem yang berasaskan satu cap jari. Dalam kajian ini, kadar jumlah ralat telah digunakan sebagai penentu tahap prestasi sistem. Walaupun tidak dapat menyelesaikan masalah yang dihadapi sepenuhnya, jumlah kadar ralat bagi sistem pengesahan ini telah dapat dikurangkan menggunakan pendekatan yang telah dicadangkan.

Abstract

Biometric technology, especially fingerprint, attract users around the world to use it to secure their places or properties. On the current implementation of fingerprint based person verification, the system face several problems such as noisy finger and fingerprint misplacement by the user. When the problem only effected a small part of fingerprint, it is solved or minimized on the image processing and pattern recognition phase. But, when the problem involves a larger part of fingerprint, another approach needs to be used. To solve or minimize this kind of problem, the approach uses two fingerprints on the verification process have been experimented on this research. By not only referring to the thumbs which are usually used, the potential of the other fingerprint have been studied to find the two best fingerprints as used in this process. Using several simple methods to classify the decisions from both fingerprints; the best classifier have been used to study the performance level of the system compared to the current system used in single fingerprint. In this study, total error rate has been used as an indicator to the performance level of the system. Although the problems have not been totally solved, but the total error rates for fingerprint verification system has been minimized by using this approach.

Acknowledgements

Firstly of all, I would like to wish Alhamdulillah, offer my heartfelt thanks in prayer to Allah for granting me the grace to complete my study.

Here, I would like to express my appreciation to all my family member. My father, Abu Seman Abdul; my mother, Noriah Ariffin; and all my brothers and sister for their kind understanding whilst pursuing my study, very especially when my study caused me to compromise on the amount of time spent with the family.

Special thanks to Mr. Hatim Mohd. Tahir and Mr. Roshidi Din for their useful advice. I am greatly indebted and honored in accepting and agreeing to be my supervisor for this thesis. Without them, I would not have persevered to the end. Further, I would like to thank Dr. Abu Talib Othman for his kindness to take me into the research world, setting the research environment during the initial stages of this study. I am also grateful for his guidance whenever I was facing a problem.

I also would like to thank all the staff of Universiti Utara Malaysia, especially in the School of Information Technology for their cooperation to me during my study here. To Ministry of Science and Technology, thank you very much for the monetary support that enables researchers like me to want to pursue more researches in the future.

To Mr. Patrick Verlinde and Mr. Salil Prabhakar, thanks for sharing their experiences with me. The knowledge they shared with me invariably helped to improve the overall quality of my study. Last but not least, I also express my sincere thanks to all friends for their useful help, recommendations, and assistance, especially during my hour of need.

List of tables

Chapter 2

Table 2.1: Comparison of biometric techniques (Jain et al., 1999c)	14
Table 2.2: Type of voice verification (Markowitz, 2000)	17
Chapter 5	
Table 5.1: Number of problem on each finger	63
Table 5.2: Fingerprint enrollment problems	64
Table 5.3: True verification score for left fingers	67
Table 5.4: True verification score for right fingers	69
Table 5.5: Impostor scores for user 1 and user 2	72
Table 5.6: Impostor scores for user 3 and user 4	73
Table 5.7: Impostor scores for user 5 and user 6	74
Table 5.8: Impostor scores for user 7 and user 8	75
Table 5.9: Impostor scores for user 9 and user 10	76
Table 5.10: Impostor scores for user 11 and user 12	77
Table 5.11: Impostor scores for user 13 and user 14	78
Table 5.12: Impostor scores for user 15 and user 16	79
Table 5.13: Impostor scores for user 17 and user 18	80
Table 5.14: Impostor scores for user 19 and user 20	81
Table 5.15: Impostor scores for user 21 and user 22	82
Table 5.16: Impostor scores for user 23 and user 24	
Table 5.17: Impostor scores for user 25 and user 26	84
Table 5.18: Impostor scores for user 27 and user 28	85

Table 5.19: Impostor scores for user 29 and user 30	50
Table 5.20: Impostor scores for user 31 and user 32	37
Table 5.21: Impostor verification score for user 338	8
Table 5.22: Left index and left middle finger TER9	90
Table 5.23: TER comparison between Averaging, Decision Tree, and Decision Tree	
with Averaging Technique9)3
Table 5.24: TER comparison between 'AND' rule, 'OR' rule and 'OR'	
rule with Averaging method9	€
Chapter 6	
Table 6.1: Biggest, smallest, and average true verification scores10)4

List of figures

Chapter 2

Figure 2.1: Error rate for biometric system (Biolab, 2000b)	.13
Figure 2.2: 2001 Biometric comparative market shares by IBG (IBG, 2001)	15
Figure 2.3: Voice verification process (Markowitz, 2000)	17
Figure 2.4: Face recognition process (Ashbourn, 2000)	19
Figure 2.5: Local feature analysis image (Visionics, 2001)	19
Figure 2.6: Hand recognition process (Houpio, 1998)	21
Figure 2.7: Hand geometry features detection (Biolab, 2000a)	21
Figure 2.8: Location of minutiae points	23
Figure 2.9: Fingerprint recognition process (Jain, Prabhakar, and Ross, 1999c)	24
Figure 2.10: Fusion level diagram	27
Figure 2.11: Serial suite fusion	30
Figure 2.12: Parallel suite fusion	31
Chapter 3	
Figure 3.1: Research process (adapted from Nunamaker, Chen, & Purdin, 1991)	39
Figure 3.2: U are U 2000 fingerprint scanner	40
Chapter 4	
Figure 4.1: Biometric key cryptography system process hierarchy	
Figure 4.2: System context diagram	
Figure 4.3: Fingerprint process	
Figure 4.4: Enrollment process	
Figure 4.5: Verification process	
Figure 4.6: Encryption / decryption process	55
Figure 4.7: Binary decision tree	58

Figure 4.8: Binary decision tree with averaging	59
Chapter 5	
Figure 5.1: TER for left middle and left index Figure 5.2: TER comparison between averaging, decision tree and decision tree averaging method Figure 5.3: TER comparison between 'AND' rule, 'OR' rule and 'OR' rule with averaging method	with 94
Chapter 6	
Figure 6.1: Comparison of pinkie and index fingerprint	100
Figure 6.2: Fingerprint misplacement image	101
Figure 6.3: Thumb surface angle	102
Figure 6.4: Fingerprint effected by humidity	103
Figure 6.5: Classifiers TER graph	107
Figure 6.6: TER comparison between the best classifier and single finger	
Used	109

List of abbreviations

3D - Three dimension

AIDC - Automated Identification and Data Capture Center

ATM - Auto Teller Machine

BLS – Bureau of Labor Statistics

BWG – Biometric Working Group

CCD - Charge-Coupled Device

DCOM - Distributed Component Object Model

DLL – Dynamic Link Library

DNA - Deoxyribonucleic acid

FAR - False Acceptance Rate

FRR - False Rejection Rate

GMPC - Government Multi-Purpose Card

IBG – International Biometric Group

ID – Identity

ISR - Intelligent System Report

SDK – Software Development Kit

TER - Total Error Rate

UID – User Identity

Table of contents

Page
Permission to use
Abstrak (Bahasa Melayu)II
Abstract (English)III
AcknowledgementIV
List of tablesV
List of figuresVII
List of abbreviationsIX
Chapter 1: Introduction to the research
1.1. Introduction 1
1.2. Problems with current biometric verification system
1.3. The research objectives 5
1.4. The research scope and limitation
1.5. Structure of this report7
1.6. Contribution of this research
Chapter 2: Biometric verification system
2.1. Introduction
2.2. Mono modal biometric techniques16
2.3. Fingerprint scanning23
2.4. Multi modal biometric techniques26
2.4.1. Modality Combination Architecture30
2.4.2. The classifiers32
2.5. Biometric current issues33
2.6. Summary

Chapter 3: Methodology

3.1. Introduction3	7
3.2. Research process3	
3.3. Development of biometric encryption system4	
3.4. System testing and data gathering4	
3.4.1. Best practice in testing and reporting performance of biometric devices.42	2
3.4.2. The volunteer crews4	
3.4.3. Fingerprint enrollment / acquirement problems	4
3.4.4. True user verification test4	
3.4.5. Impostor verification test4	6
3.4. Summary4	17
4.1. Introduction	49 56
4.4. Summary Chapter 5: The research results	51
5.1. Introduction	62
5.2. Fingerprint enrollment problems	63
5.3. Verification score results	
5.4. System performance	88
5.5. Summary	

Chapter 6: Result discussion

6.1. Introduction	99
6.2. The best two fingers	99
6.3. The system performance	
6.4. Summary	
Chapter 7: Conclusion and future works	
7.1. Introduction	111
7.2. Conclusion	111
7.3. Future works	
References	115
Appendices	
Appendix 1	120
Appendix 2	122

Chapter 1

Introduction to the research

1.1 Introduction

There are many applications or processes used to prove the identity of a person. It covers non-critical e-mail application such as web-based email to the most critical access control such as in the defense agency. All need the best method to prove the user identity. Most of them still use simple identification or verification modules such as login and password.

In the context of system security, verification is referring to the process of comparing identity of a user against the single stored sample of the identity (IPC, 1999). It has played a major role in our life everyday. The system that a person has to interact with need to know who the person is before it can give access or right to the person. It also needs to decide whether the person should get the right to get to the system or not. Besides, it also needs to know whether the person that gets to the system is really the person that he claims to be. In addition, security of the important information on an organization also depends on the reliability of the verification system that controls the access of people or staff in the organization, building or computers. Thus, the verification process has been an important part of many applications to prove the identity of the user.

The contents of the thesis is for internal user only

References

- Abate, C. (2001). 2000 Market Review, Survey, <u>Biometric Technology Today</u> [Online], Vol. 2001 (1) (2001) page 9-11. Available: http://www.biometric-today.com. [1st October 2001].
- Ashbourn, J. (2000). The Biometric White Paper, <u>AVANTI: The Biometric Reference Site</u> [Online]. Available: http://homepage.ntlworld.com/avanti/whitepaper.htm. [5th June 2001].
- Automated Identification and Data Capture Center (AIDC). (n/d). Hand Geometry Identification, <u>Automated Identification and Data Capture Biometric Website</u>, University of Purdue [Online]. Available http://www.tech.purdue.edu/it/recources/aidc/BioWebPages/Biometrics_Hand.Html. [30th December 2001].
- Bigun, E. S., Bigun, J., Duc, B., & Fischer, S. (1997). Expert conciliation for multi modal person authentication systems by bayesian statistics. <u>Proceeding of First Audio and Video based Person Authentication</u> [Online], pages 311—318. Available: http://www.citeseer.com. [28th April 2001].
- Biometric System Lab. (Biolab). (2000a). Hand Geometry, <u>Biometric System Lab CESENA</u> [Online], University of Bologna, Italy. Available: http://bias.csr.unibo.it/research/biolab/hand.html. [30th December 2001].
- Biometric System Lab. (Biolab). (2000b).Biometric System Performances, <u>Biometric System Lab CESENA</u> [Online], University of Bologna, Italy. Available: http://bias.csr.unibo.it/research/biolab/perf.html. [30th December 2001].
- Biometric Working Group (BWG). (2000). Best Practice in Testing and Reporting Performance of Biometric Devices Version 1.0, <u>Biometric Working Group</u> [Online], Center for Mathematics and Scientific Computing, National Physical Laboratory, U K. Available: http://www.cesg.gov.uk/technology/biometrics/. [23rd October 2000].
- Bureau of Labor Statistics (BLS). (2001). Incident rate for non fatal occupational injuries, Injuries, Illness and Fatalities, <u>Bureau of Labor Statistics</u> [Online], U.S Department of Labor, US. Available: http://www.bls.gov. [29th December 2001].
- Daugman, J. (1999). Biometric decision landscapes. <u>Technical Report No. TR482</u> [Online], University of Cambridge Computer Laboratory. Available: http://www.cl.cam.ac.uk/~jgd1000/. [2nd April 2001].

- Duc, B., Bigun, E. S., Bigun, J., Maitre, G., & Fischer, S. (1997). Fusion of Audio and Video Information for Multi Modal Person Authentication, <u>Pattern Recognition Letters</u> 18, pp 835-843. Available E-mail: gilbert.maitre@hevs.ch [22nd February 2002].
- Dysart, A. (1998), Biometrics, *University of Michigan EECS 598* [Online]. Available: http://www.monkey.org/~aidan/598/. [14th January 1999].
- Eichstadt, D. (1999). <u>Biometrics: Overview of Hand Geometry</u> [Online], Purdue University. Available: http://www.tech.purdue.edu/it/resources/biometrics/. [16th September 2001].
- Ganger, G. R. (2001). Authentication Confidences. <u>Computer Science Technical Report</u> [Online], School of Computer Science, Carnegie Mellon University. Available: http://reports-archive.adm.cs.cmu.edu/cs2001.html. [23rd December 2001].
- Grist, L. (1984). Why Most People Are Right-Handed, New Scientist [Online], 22, August 16, 1984. Available: http://www.science-frontiers.com/sf036/sf036p18.htm. [27th March 2002].
- Gutschoven, B., & Verlinde, P. (2000). Decision Fusion using Support Vector Machines (SVM), <u>Proceedings of the 3rd International Conference on Information Fusion</u> [Online]. Available: http://www.sic.rma.ac.be/Publications/index.html [30th December 2001].
- Hong, L., &. Jain, A.K. (1998). Integrating Faces and Fingerprints For Personal Identification, <u>IEEE Transactions PAMI</u> [Online]. Vol.20 (12), 1295-1307. Available from Biometric Research at MSU Publication page: http://biometrics.cse.msu.edu/publications.html [23rd March 2001].
- Hong, L., Jain, A.K., & Pankanti, S. (1999). Can Multibiometrics Improve Performance?, <u>Proceedings AutoID'99</u> [Online], page 59-64. Available: http://biometrics.cse.msu.edu/publications.html. [23rd January 2002].
- Huopio, S. (1998). Biometric Identification, <u>Seminar on Network Security:</u>
 <u>Authorization and Access Control in Open Network Environment</u> [Online],
 Helsinki University of Technology. Available:
 http://www.tml.hut.fi/Opinnot/Tik110.501/1998/paper/12biometric/biometric.html. [18th February 2000].
- Information and Privacy Commissioner/Ontario (IPC). (1999). Consumer Biometric

 <u>Applications: A Discussion Paper</u> [Online], Information and Privacy
 Commissioner, Canada. Available:
 http://www.ipc.on.ca/english/pubpres/papers/cons-bio.htm. [20th August 2000].

- Intelligent System Report (ISR). (1999). Fingerprint-based access control for Chicago school, <u>Intelligent System Report</u> [Online], Vol. 16(17). Available: http://www.lionhrtpub.com/isr/isrsubs/isr-8-99/biometrics.html. [12 September 2000].
- International Biometric Group (IBG). (2001). <u>Biometric Market Report 2000-2005</u> [Online], International Biometric Group. Available: http://www.biometricgroup.com/e/biometric_market_report.htm [26th December 2001].
- Jain A. K., Hong L., Pankanti S., & Bolle R. (1997). An identity authentication system using fingerprints, <u>Proceeding of First International Conference On Audio and Video-Based Biometric Person Authentication</u> [Online], page 103-110. Available: http://biometrics.cse.msu.edu/publications.html. [5th November 2000].
- Jain, A. K. Ross, A., & Pankanti, S. (1999a). A Prototype Hand Geometry-based Verification System, Proceeding of 2nd Inernational Conference on Audio- and Video-based Biometric Person Authentication [Online], page 166-171.

 Available: http://biometrics.cse.msu.edu/publications.html. [30th December 2000].
- Jain, A. K., & Duta, N. (1999b). Deformable Matching of Hand Shapes for Verification, <u>Proceedings of IEEE International Conference on Image Processing</u> [Online]. Available: http://biometrics.cse.msu.edu/publications.html [20th December 2000].
- Jain, A. K., Bolle, R., and Pankanti, S. (eds). (1999c). Biometrics: Personal Identification in Networked Society. Kluwer. USA.
- Jain, A. K., Prabhakar, S., & Ross, A. (1999d), Fingerprint Matching: Data Acquisition and Performance Evaluation, MSU Technical Report [Online], TR99 (14). Available: http://biometrics.cse.msu.edu/publications.html. [23rd March 2001].
- Jain, A. K., Hong, L., & Bolle, R. (1996). On-Line Fingerprint Verification, On-line Fingerprint Verification, <u>IEEE Transactions on Pattern Analysis and Machine</u> <u>Intelligence (PAMI)</u> [Online], Vol. 19 (4), page 302-314, 1997. Available: http://biometrics.cse.msu.edu/publications.html [11th November 2000].
- Jain, A. K., Hong, L., & Pankanti, S. (2000). Biometric Identification, <u>Communication of ACM</u> [Online], Vol. 43 (2), page 90-98. Available: http://portal.acm.org. [17th August 2000].

- Jain, A.K., Hong, L., & Kulkarni, Y. (1999e). A Multimodal Biometric System using Fingerprints, Face and Speech", <u>Proceeding of 2nd International Conference on Audio- and Video-based Biometric Person Authentication</u> [Online], page 182-187. Available: http://biometrics.cse.msu.edu/publications.html. [23rd January 2002].
- Lee, H. C., & Gaensslen, R. E. (1991). <u>Advances Fingerprints Technology</u>, Elsevier, New York, USA.
- Markowitz, J. A. (2000). Voice Biometrics, <u>Communication of ACM</u> [Online], Vol. 43(9). Available: http://portal.acm.org. [12 August 2001]
- Ming-Hsuan, Y., Kriegman, D., & Ahuja, N. (2000). Detecting Faces in Images: A Survey, IEEE Transactions on Pattern Analysis and Machine Intelligence (PAMI) 2002 [Online]. Available: http://vision.ai.uiuc.edu/mhyang/pubs.html. [20th December 2001]
- Nichols, R. K. (1999). ICSA Guide to Cryptography, McGraw-Hill, USA.
- Nunamaker, J. F., Chen, M., & Purdin, T. D. M. (1991). System Development in Information System Research, Journal of Management Information System, Vol. 7(3), page 89-106, M. E. Sharpe, Inc., USA.
- Prabhakar, S., & Jain, A. K. (2002). Decision-level Fusion in Fingerprint Verification, <u>Pattern Recognition [Online]</u>, Vol. 35(4), page 861-874. Available: http://biometrics.cse.msu.edu/publications.html. [23rd January 2002]
- Recognition System. (2000). HANDKEY II, <u>Access Control Reader [Online]</u>, Recognition Systems. Inc. Available: http://www.handreader.com/ [30th December 2001].
- Ross, A., Jain, A. K., & Qian, Jian-Zhong. (2000). Information Fusion in Biometrics, <u>Proceeding of 3rd. International Conference on Audio Video-Based</u>
 <u>Authentication</u> [Online], page 354-359. Available: http://biometrics.cse.msu.edu/publications.html. [25th March 2001].
- Ruggles, T. (1998). Comparison of Biometric Technique, <u>The Biometric Consulting</u>
 <u>Group</u> [Online]. Available: http://www.bioconsulting.com/. [15th June 2000].
- Schnier, B. (1999). The Uses and Abuses of Biometrics, <u>Communication of the ACM</u> [Online], Vol. 42 (8). Available: http://portal.acm.org [17th August 2000].
- Tomko, G. J. (1996). Biometric Encryption, 18th International Privacy and Data

 Protection Conference [Online], Privacy Commissioner of Canada, Ottawa,
 Canada. Available:

 http://www.privcom.gc.ca/speech/archive/02_05_a_960918_f.asp [30th
 November 2000].

- UK Biometric Working Group (UK BWG) (2001). Real-life biometric testing, Biometric Technology Today, Vol. 2001 (6) (2001) page 5-6, Elsevier, USA.
- Velasco, J. (1998). Technology Circuit Section: Teaching The Computer To Recognize a Friendly Face, <u>The New York Times</u> [Online]. Available: http://partners.nytimes.com/library/tech/98/10/circuits/howitworks/15how.html [16th January 2001].
- Verlinde, P, Maître, G., & Mayoraz, E. (1998). Decision Fusion using a Multi-Linear Classifier. Proceedings of the International Conference on Multisource-Multisensor Information Fusion [Online], Vol.1, page 47-53. Available: http://www.sic.rma.ac.be/Publications/index.html [29th May 2001].
- Verlinde, P. (1999a). A contribution to multi-modal identity verification using decision fusion [Online]. PhD thesis, Ecole Nationale Supérieure de Télécommunications, Paris, France. Available: http://www.sic.rma.ac.be/Publications/index.html [30th May 2001].
- Verlinde, P., & Acheroy, M. (2000a). On the use of statistical considerations in multi-modal identity verification system design. NATO's Advanced Study Institute on Multisensor Data Fusion [Online]. Available: http://www.sic.rma.ac.be/Publications/index.html [30th May 2001].
- Verlinde, P., Chollet, G., & Acheroy, M. (1999b). About Multi-Modal Identity Verification in Interactive Dialogue Systems. <u>Interactive Dialogue in Multi-Modal Systems</u> [Online]. Available: http://www.sic.rma.ac.be/Publications/index.html [28th May 2001].
- Verlinde, P., Chollet, G., & Acheroy, M. (2000b). Multi-Modal Identity Verification Using Expert Fusion. <u>Information Fusion</u> [Online], Vol. 1(1), page 17-33. Available: http://www.sic.rma.ac.be/Publications/index.html [25th May 2001].
- Visionic. (2000). An Overview of Biometric Technology [Online], Visionic Corporation. Available: http://www.faceit.com/Newsroom/downloads.html [30th December 2001].
- Visionics. (2001). Local Feature Analysis [Online], Visionic Corporation. Available: http://www.visionics.com/faceit/tech/lfa.html. [30th December 2001].
- Whitten, J. L., Bentley L. D. (1998). System Analysis and Design Methods Fourth Edition. McGraw-Hill Companies Inc, USA.