Face Recognition Vendor Test
MORPH

Performance of Automated Facial Morph Detection and Morph Resistant Face Recognition Algorithms
Concept, Evaluation Plan and API
VERSION 0.4

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1. MORPH

1.1. Scope
Facial morphing (and the ability to detect it) is an area of high interest to a number of photo-credential issuance agencies and those employing face recognition for identity verification. The FRVT MORPH test will provide ongoing independent testing of prototype facial morph detection technologies. The evaluation is designed to obtain an assessment on morph detection capability to inform developers and current and prospective end-users. This document establishes a concept of operations and an application programming interface (API) for evaluation of two separate tasks:

1. Algorithmic capability to detect facial morphing (morphed/blended faces) in still photographs
2. Face recognition algorithm resistance against morphing

1.2. Audience
Participation is open to any organization worldwide involved in development of morph detection algorithms. While NIST intends to evaluate stable technologies that could be readily made operational, the test is also open to experimental, prototype and other technologies. All algorithms must be submitted as implementations of the C++ API defined in this document. There is no charge for participation.

1.3. Reporting
For all algorithms that complete the evaluation, NIST will provide performance results back to the participating organizations. NIST may additionally report and share results with partner government agencies and interested parties, and in workshops, conferences, conference papers, presentations and technical reports.

Important: This is a test in which NIST will identify the algorithm and the developing organization. Algorithm results will be attributed to the developer. Results will be machine generated (i.e. scripted) and will include timing, accuracy and other performance results. These will be provided alongside results from other implementations. Results will be expanded and modified as additional implementations are tested, and as analyses are implemented. Results may be regenerated on-the-fly, usually whenever additional implementations complete testing, or when new analyses are added.

1.4. Core accuracy metrics
This test will evaluate algorithmic ability to detect whether an image is a morphed/blended image of two or more faces and/or to correctly reject 1:1 comparisons of morphed images against other images of the subjects used to create the morph (but similarly, correctly authenticate legitimate non-morphed, mated pairs and correctly reject non-morphed, non-mated pairs).

NIST will compute and report accuracy metrics, primarily:

- True Morph Detection Rate (TMDR) – the proportion of morphed images that were correctly classified as morphs
- False Morph Detection Rate (FMDR) – the proportion of non-morphed images that were incorrectly classified as morphs
- Morph Acceptance Rate (MAR) – the proportion of comparisons where morphed image successfully authenticates against an image of one of the subjects used for
- False Match Rate (FMR) – the proportion of non-morphed, non-mated comparisons that incorrectly authenticate
- Morph Quality (MQ) – the quality of a morphed image can be measured by the proportion of contributing subjects that can successfully authenticate against the morph
We will report the above quantities as a function of alpha (the fraction of each subject that contributed to the morph), image compression ratio, and others.

We will also report error tradeoff plots (TMDR vs. FMDR, MAR vs. FMR, parametric on threshold).

2. Rules for participation

2.1. Implementation Requirements

Developers are not required to implement all functions specified in this API. Developers may choose to implement one or more functions of this API – please refer to Section 4.2.1 for detailed information regarding implementation requirements.

2.2. Participation agreement

A participant must properly follow, complete, and submit the FRVT MORPH Participation Agreement. This must be done once, either prior or in conjunction with the very first algorithm submission. It is not necessary to do this for each submitted implementation thereafter.

2.3. Number and Schedule of Submissions

Participants may one initial submission that runs to completion. After that, participants may send one submission as often as every 1 calendar month from the last submission for evaluation. NIST will evaluate implementations on a first-come-first-served basis and provide results back to the participants as soon as possible.

2.4. Validation

All participants must run their software through the provided FRVT MORPH validation package prior to submission. The validation package will be made available at https://github.com/usnistgov/frvt. The purpose of validation is to ensure consistent algorithm output between the participant’s execution and NIST’s execution. Our validation set is not intended to provide training or test data.

2.5. Hardware specification

NIST intends to support high performance by specifying the runtime hardware beforehand. There are several types of computer blades that may be used in the testing. Each machine has at least 192 GB of memory. We anticipate that 16 processes can be run without time slicing, though NIST will handle all multiprocessing work via fork()\(^1\). Participant-initiated multiprocessing is not permitted.

All implementations shall use 64 bit addressing.

NIST intends to support highly optimized algorithms by specifying the runtime hardware. There are several types of computers that may be used in the testing.

2.5.1. Central Processing Unit (CPU)-only platforms

The following list gives some details about the hardware of each CPU-only blade type:

- Dual Intel® Xeon® CPU E5-2630 v4 @ 2.2GHz (10 cores each)\(^2\)
- Dual Intel® Xeon® CPU E5-2680 v4 @ 2.4GHz (14 cores each)\(^2\)

\(^1\) http://man7.org/linux/man-pages/man2/fork.2.html
\(^2\) cat /proc/cpuinfo returns fpu vme de pse tsc msr pae mce cmov pat pse36 clflush dts acpi mmx fxsr sse sse2 ss ht tm pbe syscall nx pdpe1gb rdtscp lm constant_tsc arch_perfmon pebs bts rep_good nopl xtopology nonstop_tsc aperfmperf eagerfpu noplバルクdtes64 monitor ds_cpl vmx smx est tm2 ssse3 fma cx16 xtpr pdcm pcid dca sse4_1 sse4_2 x2apic movbe popcnt tsc_deadline_timer aes xsave avx f16c rdrand lahf_lm abm 3nowprefetch ida arat epb pnm pts dtherm tpr_shadow vnmi flexpriority ept vpid fsgsbase tsc_adjust bmi1 hle avx2 smep bmi2 erms invpcid rtm cqm rdseed adx smap xsaveopt cqm_llc cqm_occup_llc
2.6. Operating system, compilation, and linking environment

The operating system that the submitted implementations shall run on will be released as a downloadable file accessible from http://nigos.nist.gov:8080/evaluations/CentOS-7-x86_64-Everything-1511.iso, which is the 64-bit version of CentOS 7.2 running Linux kernel 3.10.0.

For this test, MacOS and Windows-compiled libraries are not permitted. All software must run under CentOS 7.2.

NIST will link the provided library file(s) to our C++ language test drivers. Participants are required to provide their library in a format that is dynamically-linkable using the C++11 compiler, g++ version 4.8.5.

A typical link line might be

```
g++ -std=c++11 -I. -Wall -m64 -o frvt_morph frvt_morph.cpp -l. -lfrvtmorph_acme_000.so
```

The Standard C++ library should be used for development. The prototypes from this document will be written to a file "frvt_morph.h" which will be included via #include.

The header files will be made available to implementers at https://github.com/usnistgov/frvt. All algorithm submissions will be built against the officially published header files – developers should not alter the header files when compiling and building their libraries.

All compilation and testing will be performed on x86_64 platforms. Thus, participants are strongly advised to verify library-level compatibility with g++ (on an equivalent platform) prior to submitting their software to NIST to avoid linkage problems later on (e.g. symbol name and calling convention mismatches, incorrect binary file formats, etc.).

2.7. Software and documentation

2.7.1. Library and platform requirements

Participants shall provide NIST with binary code only (i.e. no source code). The implementation should be submitted in the form of a dynamically-linked library file.

The core library shall be named according to Table 1. Additional supplemental libraries may be submitted that support this “core” library file (i.e. the “core” library file may have dependencies implemented in these other libraries). Supplemental libraries may have any name, but the “core” library must be dependent on supplemental libraries in order to be linked correctly. The only library that will be explicitly linked to the FRVT MORPH test driver is the “core” library.

Intel Integrated Performance Primitives (IPP) ® libraries are permitted if they are delivered as a part of the developer-supplied library package. It is the provider’s responsibility to establish proper licensing of all libraries. The use of IPP libraries shall not prevent running on CPUs that do not support IPP. Please take note that some IPP functions are multithreaded and threaded implementations are prohibited.

NIST will report the size of the supplied libraries.

<table>
<thead>
<tr>
<th>Form</th>
<th>libfrvtmorph_provider_sequence.ending</th>
</tr>
</thead>
<tbody>
<tr>
<td>Underscore delimited parts of the filename</td>
<td>libfrvtmorph_provider_sequence.ending</td>
</tr>
<tr>
<td>Description</td>
<td>libfrvtmorph_acme_007.so</td>
</tr>
</tbody>
</table>

Table 1 – Implementation library filename convention

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Important: Results will be attributed with the provider name and the 3-digit sequence number in the submitted library name.

2.7.2. Configuration and developer-defined data
The implementation under test may be supplied with configuration files and supporting data files. These might include, for example, model, calibration or background feature data. NIST will report the size of the supplied configuration files.

2.7.3. Submission folder hierarchy
Participant submissions shall contain the following folders at the top level:
- lib/ - contains all participant-supplied software libraries
- config/ - contains all configuration and developer-defined data
- doc/ - contains any participant-provided documentation regarding the submission
- validation/ - contains validation output

2.7.4. Installation and usage
The implementation shall be installable using simple file copy methods. It shall not require the use of a separate installation program and shall be executable on any number of machines without requiring additional machine-specific license control procedures or activation. The implementation shall not use nor enforce any usage controls or limits based on licenses, number of executions, presence of temporary files, etc. The implementation shall remain operable for at least twelve months from the submission date.

2.8. Runtime behavior

2.8.1. Modes of operation
Implementations shall not require NIST to switch “modes” of operation or algorithm parameters. For example, the use of two different feature extractors must either operate automatically or be split across two separate library submissions.

2.8.2. Interactive behavior, stdout, logging
The implementation will be tested in non-interactive “batch” mode (i.e. without terminal support). Thus, the submitted library shall:
- Not use any interactive functions such as graphical user interface (GUI) calls, or any other calls which require terminal interaction e.g. reads from “standard input”.
- Run quietly, i.e. it should not write messages to ”standard error” and shall not write to “standard output”.
- Only if requested by NIST for debugging, include a logging facility in which debugging messages are written to a log file whose name includes the provider and library identifiers and the process PID.

2.8.3. Exception handling
The application should include error/exception handling so that in the case of a fatal error, the return code is still provided to the calling application.

2.8.4. External communication
Processes running on NIST hosts shall not side-effect the runtime environment in any manner, except for memory allocation and release. Implementations shall not write any data to external resource (e.g. server, file, connection, or other process), nor read from such, nor otherwise manipulate it. If detected, NIST will take appropriate steps, including but not limited to, cessation of evaluation of all implementations from the supplier, notification to the provider, and documentation of the activity in published reports.
2.8.5.  **Stateless behavior**

All components in this test shall be stateless, except as noted. This applies to face detection, feature extraction and matching. Thus, all functions should give identical output, for a given input, independent of the runtime history. NIST will institute appropriate tests to detect stateful behavior. If detected, NIST will take appropriate steps, including but not limited to, cessation of evaluation of all implementations from the supplier, notification to the provider, and documentation of the activity in published reports.

2.8.6.  **Single-thread requirement and parallelization**

Implementations must run in single-threaded mode, because NIST will parallelize the test by dividing the workload across many cores and many machines. Implementations must ensure that there are no issues with their software being parallelized via the `fork()` function.

3.  **Data structures supporting the API**

3.1.  **Requirement**

FRVT MORPH participants shall implement the relevant C++ prototyped interfaces of section 4. C++ was chosen in order to make use of some object-oriented features.

3.2.  **File formats and data structures**

3.2.1.  **Overview**

In this test, an individual is represented by a $K = 1$ two-dimensional facial image. All images will contain exactly one face.

<table>
<thead>
<tr>
<th>C++ code fragment</th>
<th>Remarks</th>
</tr>
</thead>
</table>
| typedef struct Image {
|       uint16_t width;
|       uint16_t height;
|       uint16_t depth;
|       std::shared_ptr<uint8_t> data;
|   } Image; | Number of pixels horizontally |
| | Number of pixels vertically |
| | Number of bits per pixel. Legal values are 8 and 24. |
| | Managed pointer to raster scanned data. Either RGB color or intensity. |
| | If `image_depth == 24` this points to 3WH bytes RGRGRGBRGB... |
| | If `image_depth == 8` this points to WH bytes IIII |

3.2.2.  **Data type for similarity scores**

1:1 comparison/verification functions shall return a measure of the similarity between the face data contained in the two templates. The datatype shall be an eight-byte double precision real. The legal range is $[0, \text{DBL\_MAX}]$, where the DBL\_MAX constant is larger than practically needed and defined in the `<climits>` include file. Larger values indicate more likelihood that the two samples are from the same person.

Providers are cautioned that algorithms that natively produce few unique values (e.g. integers on $[0,127]$) will be disadvantaged by the inability to set a threshold precisely, as might be required to attain a false match rate of exactly 0.0001, for example.

3.2.3.  **Data structure for return value of API function calls**

<table>
<thead>
<tr>
<th>C++ code fragment</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Table 3 – Enumeration of return codes</td>
<td>Return code as C++ enumeration</td>
</tr>
</tbody>
</table>
enum class ReturnCode {
    Success=0,
    ConfigError,
    RefuseInput,
    ExtractError,
    ParseError,
    MatchError,
    FaceDetectionError,
    NotImplemented,
    VendorError
};

Table 4 – ReturnStatus structure

<table>
<thead>
<tr>
<th>C++ code fragment</th>
<th>Meaning</th>
</tr>
</thead>
</table>
| struct ReturnStatus {
    ReturnCode code;
    std::string info;
    // constructors
}| Return Code |
|                   | Optional information string |

4. API specification

Please note that included with the FRVT MORPH validation package (available at https://github.com/usnistgov/frvt) is a “null” implementation of this API. The null implementation has no real functionality but demonstrates mechanically how one could go about implementing this API.

4.1. Namespace

All data structures and API interfaces/function calls will be declared in the FRVT_MORPH namespace.

4.2. API

4.2.1. Implementation Requirements

Developers are not required to implement all functions specified in this API. Developers may choose to implement one or more functions of Table 5, but at a minimum, developers must submit a library that implements

1. MorphInterface of Section 4.2.2,
2. initialize() of Section 4.2.3, and
3. AT LEAST one of the functions from Table 5. For any other function that is not implemented, the function shall return ReturnCode::NotImplemented.

Table 5 – API Functions

<table>
<thead>
<tr>
<th>Function</th>
<th>Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>detectMorph() – single image</td>
<td>4.2.4</td>
</tr>
<tr>
<td>detectScannedMorph()</td>
<td>4.2.5</td>
</tr>
<tr>
<td>detectMorph() – two image</td>
<td>4.2.6</td>
</tr>
<tr>
<td>matchImages()</td>
<td>4.2.7</td>
</tr>
</tbody>
</table>
### 4.2.2. Interface

The software under test **must** implement the interface `MorphInterface` by subclassing this class and implementing AT LEAST ONE of the methods specified therein.

<table>
<thead>
<tr>
<th>C++ code fragment</th>
<th>Remarks</th>
</tr>
</thead>
</table>
| 1. Class `MorphInterface`<br>2. {
|     public:<br>3.   static std::shared_ptr<MorphInterface> getImplementation();
| 4.   // Other functions to implement<br>5. }); | Factory method to return a managed pointer to the `MorphInterface` object. This function is implemented by the submitted library and must return a managed pointer to the `MorphInterface` object. |

There is one class (static) method declared in `MorphInterface.getImplementation()` which must also be implemented. This method returns a shared pointer to the object of the interface type, an instantiation of the implementation class. A typical implementation of this method is also shown below as an example.

<table>
<thead>
<tr>
<th>C++ code fragment</th>
<th>Remarks</th>
</tr>
</thead>
</table>
| #include “frvt_morph.h”
| using namespace FRVT_MORPH;
| NullImpl:: NullImpl () { }
| NullImpl::~ NullImpl () { }
| std::shared_ptr<MorphInterface> MorphInterface::getImplementation() {
|     return std::make_shared<NullImpl>();
| } // Other implemented functions |

### 4.2.3. Initialization

Before any morph detection or matching calls are made, the NIST test harness will call the initialization function of Table 6. This function will be called BEFORE any calls to fork() are made. This function **must** be implemented.

<table>
<thead>
<tr>
<th>Table 6 – Initialization</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Prototype</strong></td>
</tr>
<tr>
<td><strong>Description</strong></td>
</tr>
<tr>
<td><strong>Input Parameters</strong></td>
</tr>
<tr>
<td><strong>Output Parameters</strong></td>
</tr>
<tr>
<td><strong>Return Value</strong></td>
</tr>
</tbody>
</table>
4.2.4. Single-image Morph Detection

A single image is provided to the function of Table 7 for detection of morphing. The input image is known to not be a printed-and-scanned photo. Both morphed images and non-morphed images will be used, which will support measurement of a true morph detection rate with a false morph detection rate. Multiple instances of the calling application may run simultaneously or sequentially. These may be executing on different computers.

Table 7 – Single-image Morph Detection

| Prototypes                  | ReturnStatus detectMorph(  |
|                            | const Image &suspectedMorph, |
|                            | bool &isMorph, |
|                            | double &score);             | Input          |
|                            | Output                     | Output         |
| Description                | This function takes an input image and outputs a binary decision on whether the image is a morph and a "morphiness" score on [0, 1] indicating how confident the algorithm thinks the image is a morph, with 0 meaning confidence that the image is not a morph and 1 representing absolute confidence that it is a morph. |
| Input Parameters           | suspectedMorph             | Input Image    |
| Output Parameters          | isMorph                    | True if image contains a morph; False otherwise |
|                            | score                      | A score on [0, 1] representing how confident the algorithm is that the image contains a morph. 0 means certainty that image does not contain a morph and 1 represents certainty that image contains a morph. |
| Return Value               | See Table 3 for all valid return code values. | If this function is not implemented, the return code should be set to ReturnCode::NotImplemented. |

4.2.5. Single-image Morph Detection of Scanned Photo

While there are existing techniques to detect manipulation of a digital image, once the image has been printed and scanned back in, it leaves virtually no traces of the original image ever being manipulated. So the ability to detect whether a printed-and-scanned image contains a morph warrants investigation. A single image from a scanned photo is provided to the function of Table 8 for detection of morphing. Both morphed images and non-morphed images will be used, which will support measurement of a true morph detection rate with a false morph detection rate. Multiple instances of the calling application may run simultaneously or sequentially. These may be executing on different computers.

Table 8 – Single-image Morph Detection of Scanned Photo

| Prototypes                  | ReturnStatus detectScannedMorph(  |
|                            | const Image &suspectedMorph, |
|                            | bool &isMorph, |
|                            | double &score);             | Input          |
|                            | Output                     | Output         |
| Description                | This function takes a scanned input image (that is, a photo that is printed, then scanned) and outputs a binary decision on whether the image is a morph and a "morphiness" score on [0, 1] indicating how confident the algorithm thinks the image is a morph, with 0 meaning confidence that the image is not a morph and 1 representing absolute confidence that it is a morph. |
| Input Parameters           | suspectedMorph             | Input Image    |
| Output Parameters          | isMorph                    | True if image contains a morph; False otherwise |
|                            | score                      | A score on [0, 1] representing how confident the algorithm is that the image contains a morph. 0 means certainty that image does not contain a morph and 1 represents certainty that image contains a morph. |
286 4.2.6. Two-image Morph Detection
287 Two face samples are provided to the function of Table 9 as input, the first being a suspected morphed facial image (of two or more subjects) and the second image representing a known, non-morphed face image of one of the subjects contributing to the morph (e.g., live capture image from an eGate). This procedure supports measurement of whether algorithms can detect morphed images when additional information (provided as the second supporting known subject image) is provided.
289
290 Multiple instances of the calling application may run simultaneously or sequentially. These may be executing on different computers.

293 Table 9 – Two-image Morph Detection

<table>
<thead>
<tr>
<th>Prototypes</th>
<th>ReturnStatus detectMorph( const Image &amp;suspectedMorph, const Image &amp;liveFace, bool &amp;isMorph, double &amp;score);</th>
</tr>
</thead>
<tbody>
<tr>
<td>Input</td>
<td>isMorph: True if image contains a morph; False otherwise</td>
</tr>
<tr>
<td>Output</td>
<td>score: A score on [0, 1] representing how confident the algorithm is that the image contains a morph. 0 means certainty that image does not contain a morph and 1 represents certainty that image contains a morph.</td>
</tr>
</tbody>
</table>

290 Return Value: See Table 3 for all valid return code values.
If this function is not implemented, the return code should be set to ReturnCode::NotImplemented.

296 4.2.7. 1:1 Matching
297 Two face samples are provided to the function of Table 10 for one-to-one comparison of whether the two images are of the same subject. The expected behavior from the algorithm is to be able to correctly reject comparisons of morphed images against constituents that contributed to the morph. The goal is to show algorithm robustness against morphing alterations when morphed images are compared against other images of the subjects used for morphing. Comparisons of morphed images against constituents should return a low similarity score, indicating rejection of match. Comparisons of unaltered/non-morphed images of the same subject should return a high similarity score, indicating acceptance of match.
299
300 Multiple instances of the calling application may run simultaneously or sequentially. These may be executing on different computers.

305 Table 10 – 1:1 Matching

<table>
<thead>
<tr>
<th>Prototypes</th>
<th>ReturnStatus matchImages(</th>
</tr>
</thead>
</table>
const Image &enrollImage,
const Image &verifImage,
double &similarity);

**Input Parameters**
enrollImage  The enrollment image
verifImage   The verification image

**Output Parameters**
similarity  A similarity score resulting from comparison of the two images, on the range [0, DBL_MAX].

**Return Value**
See Table 3 for all valid return code values.

If this function is not implemented, the return code should be set to ReturnCode::NotImplemented.

### 4.2.8. Training for Morph Detection

For developers who implement the training function, NIST will run tests with and without training to assess the performance impacts of turn-key training. The training function of Table 11 will be invoked as a separate process outside of the morph detection and/or matching process. So, given 1) \( K \geq 1 \) images with associated labels on whether the photo is a morph or not and 2) the implementation’s configuration directory, the implementation may use the provided training data to populate a new “trained” configuration directory. This directory will be used to initialize the algorithm during subsequent morph detection and/or matching processes.

Please note that this function may or may not be called prior to morph detection or matching. The implementation’s ability to detect a morph or match images should not be dependent on prior execution of this function.

This function will be called from a single process/thread.

**Table 11 – Training**

| Prototype | ReturnStatus train(
| const std::string &configDir,
| const std::string &trainedConfigDir,
| const std::vector<Image> &faces,
| const std::vector<bool> &isMorph); |

**Input Parameters**

configDir  A read-only directory containing any developer-supplied configuration parameters or run-time data files. The name of this directory is assigned by NIST, not hardwired by the provider. The names of the files in this directory are hardwired in the implementation and are unrestricted.

trainedConfigDir  A directory with read-write permissions where the implementation can store any training output. The name of this directory is assigned by NIST, not hardwired by the provider. The names of the files in this directory are hardwired in the implementation and are unrestricted. Important: This directory is what will subsequently be provided to the implementation’s initialize() function as the input configuration directory if this training function is invoked.

If this function is not implemented, the function shall do nothing, and the return code should be set to ReturnCode::NotImplemented.

faces  A vector of face images provided to the implementation for training purposes

isMorph  A vector of boolean values indicating whether the corresponding face image is a morph.
<table>
<thead>
<tr>
<th>Output Parameters</th>
<th>none</th>
</tr>
</thead>
</table>
| Return Value      | See Table 3 for all valid return code values.  
If this function is not implemented, the return code should be set to `ReturnCode::NotImplemented`. |