

**DigitalPersona, Inc.**

# **U.are.U SDK**

Version 2

## **Developer Guide**



digitalPersona.

**DigitalPersona, Inc.**

© 2014 DigitalPersona, Inc. All Rights Reserved.

All intellectual property rights in the DigitalPersona software, firmware, hardware and documentation included with or described in this guide are owned by DigitalPersona or its suppliers and are protected by United States copyright laws, other applicable copyright laws, and international treaty provisions. DigitalPersona and its suppliers retain all rights not expressly granted.

U.are.U® and DigitalPersona® are trademarks of DigitalPersona, Inc. registered in the United States and other countries. Windows, Windows Server 2003/2008, Windows Vista, Windows 7 and Windows XP are registered trademarks of Microsoft Corporation. Java is a registered trademark of Oracle and/or its affiliates. All other trademarks are the property of their respective owners.

This DigitalPersona U.are.U SDK Developer Guide and the software it describes are furnished under license as set forth in the "License Agreement".

Except as permitted by such license, no part of this document may be reproduced, stored, transmitted and translated, in any form and by any means, without the prior written consent of DigitalPersona. The contents of this manual are furnished for informational use only and are subject to change without notice.

Any mention of third-party companies and products is for demonstration purposes only and constitutes neither an endorsement nor a recommendation. DigitalPersona assumes no responsibility with regard to the performance or use of these third-party products.

DigitalPersona makes every effort to ensure the accuracy of its documentation and assumes no responsibility or liability for any errors or inaccuracies that may appear in it.

**Technical Support**

To access DigitalPersona technical support resources, go to <http://www.digitalpersona.com/support>.

Phone support is available at (877) 378-2740 (US) or +1 650-474-4000 (outside the US).

**Feedback**

Although the information in this guide has been thoroughly reviewed and tested, we welcome your feedback on any errors, omissions, or suggestions for future improvements. Please contact us at

TechPubs@digitalpersona.com

or

DigitalPersona, Inc.  
720 Bay Road, Suite 100  
Redwood City, California 94063  
USA  
(650) 474-4000  
(650) 298-8313 Fax

# Table of Contents

|   |   |    |
|---|---|----|
| 1 | Introduction  | 7  |
|   | What's New in 2.2.x   | 7  |
|   | How the U.are.U Manuals are Organized                                   | 8  |
|   | Getting Updated Documentation   | 8  |
|   | Target Audience   | 8  |
|   | Chapter Overview  | 9  |
|   | Data Formats and Standards  | 10 |
| 2 | Background  | 11 |
|   | Biometrics  | 11 |
|   | Features of Biometric Technology  | 11 |
|   | The Basics of Fingerprint Identification                                | 12 |
|   | Fingerprint Characteristics   | 12 |
|   | Issues in Fingerprint Recognition Technology                            | 12 |
| 3 | Developing Applications   | 14 |
|   | How Fingerprint Recognition Works                                       | 14 |
|   | Understanding the Data Flow   | 15 |
|   | Workflow - Enrollment Application                                       | 16 |
|   | Workflow - Identifying/Verifying  | 17 |
|   | Design Issues for your Application                                      | 18 |
|   | Distributed Processing and Data Flow                                    | 18 |
|   | Data Compression  | 19 |
|   | NIST Fingerprint Image Quality (NFIQ)                                   | 19 |
|   | Determining an Acceptable Level of Error                                | 19 |
|   | Defining the Data Retention Policy                                      | 20 |
|   | Specifying the Fingers to Be Scanned                                    | 21 |
|   | Optimizing Fingerprint Applications                                     | 21 |
| 4 | Working with Fingerprint Readers  | 23 |
| 5 | Upgrading from Previous SDKs  | 25 |
|   | Overview of Support for Previous SDKs                                   | 25 |
|   | Working with Existing Data Created with Previous SDKs                   | 25 |
|   | Exchanging Data with Applications Using Previous SDKs                   | 25 |
|   | Upgrading Applications from Previous SDKs                               | 25 |
|   | Converting Applications from One Touch SDK                              | 26 |
|   | Working with Data Created with Gold and One Touch SDKs                  | 26 |
|   | Changes in U.are.U Terminology from Previous Usage (Gold and One Touch) | 27 |

|   |    |
|---|----|
| Upgrading from U.are.U UPOS for OPOS/JavaPOS .....  | 28 |
| 6 Using the SDK .....                               | 29 |
| What's In the SDK? .....                            | 29 |
| FingerJet Engine .....                              | 30 |
| 7 The C/C++ APIs .....                              | 31 |
| DP Capture API .....                                | 31 |
| Library Management .....                            | 31 |
| Fingerprint Capture Device Management .....         | 32 |
| Capturing Fingerprints .....                        | 32 |
| Streaming Fingerprints .....                        | 33 |
| FingerJet Engine API .....                          | 34 |
| Library Management .....                            | 34 |
| Extract FMD .....                                   | 34 |
| Identify Fingerprint .....                          | 34 |
| Enrollment .....                                    | 34 |
| Advanced Diagnostics .....                          | 35 |
| Wavelet Scalar Quantization (WSQ) Compression ..... | 36 |
| NIST Fingerprint Image Quality (NFIQ) .....         | 37 |
| 8 The Java API .....                                | 39 |
| Importing the U.are.U Java package .....            | 39 |
| Getting Detailed Documentation .....                | 39 |
| Using the Package .....                             | 39 |
| Main Access Point .....                             | 39 |
| UareUException .....                                | 40 |
| Getting a List of Available Readers .....           | 40 |
| Working with Readers .....                          | 40 |
| Capturing Fingerprints .....                        | 41 |
| Streaming Fingerprints .....                        | 41 |
| Accessing the FingerJet Engine .....                | 43 |
| Creating FMDs from images .....                     | 43 |
| Identification and Comparison .....                 | 43 |
| Enrollment .....                                    | 45 |
| 9 The .NET API .....                                | 46 |
| Importing the U.are.U .NET package .....            | 46 |
| Getting Detailed Documentation .....                | 46 |
| Using the Package .....                             | 46 |
| Main Access Points .....                            | 46 |

|   |    |
|---|----|
| SDKException .....  | 47 |
| Serialization .....   | 47 |
| IEnumerables in the .NET Wrapper .....                              | 47 |
| Working with Readers .....  | 49 |
| Capturing Fingerprints .....  | 52 |
| Streaming Fingerprints .....  | 53 |
| Managing Fingerprint Data .....                                     | 54 |
| Analyzing and Managing Fingerprints (FingerJet Engine) .....        | 56 |
| Creating FMDs from images .....                                     | 57 |
| Comparing Fingerprints .....  | 57 |
| Enrollment .....  | 60 |
| Common Data Structures for Results .....                            | 61 |
| Pre-Built Controls for Enrollment and Identification .....          | 62 |
| 10 ActiveX .....  | 63 |
| Importing the U.are.U ActiveX package .....                         | 63 |
| Getting Detailed Documentation .....                                | 63 |
| Using the Package .....   | 63 |
| Main Access Points .....  | 63 |
| SDKException .....  | 64 |
| Serialization .....   | 64 |
| Working with Readers .....  | 65 |
| A Note About Internet Explorer and Process Merging .....            | 65 |
| Class Diagrams .....  | 65 |
| Capturing Fingerprints .....  | 68 |
| Streaming Fingerprints .....  | 68 |
| Managing Fingerprint Data .....                                     | 70 |
| Accessing the FingerJet Engine .....                                | 72 |
| Creating FMDs from images .....                                     | 73 |
| Identification and Comparison .....                                 | 73 |
| Enrollment .....  | 74 |
| Common Data Structures for Results .....                            | 75 |
| Pre-Built Controls for Enrollment and Identification .....          | 76 |
| 11 JavaPOS .....  | 77 |
| Terminology Note .....  | 77 |
| Working with Fingerprint Data in JavaPOS .....                      | 77 |
| Fingerprint Data for Raw Images (Captures) .....                    | 77 |
| Fingerprint Data for Captures and Enrollment Templates (BIRs) ..... | 78 |
| Working with DigitalPersona Record Formats .....                    | 78 |
| Converting to a Different Data Format .....                         | 79 |

|   |     |
|---|-----|
| Getting Device-Specific Information with DirectIOEvent .....        | 79  |
| Implementation Notes .....  | 80  |
| Exceptions .....  | 84  |
| Device-Related Error Codes .....                                    | 84  |
| 12 OPOS .....   | 85  |
| Terminology Note .....  | 85  |
| Working with Fingerprint Data in OPOS .....                         | 85  |
| Fingerprint Data for Raw Images (Captures) .....                    | 86  |
| Fingerprint Data for Captures and Enrollment Templates (BIRs) ..... | 86  |
| Working with DigitalPersona Record Formats .....                    | 87  |
| Converting to a Different Data Format .....                         | 87  |
| Getting Device-Specific Information with DirectIOEvent .....        | 87  |
| Implementation Notes .....  | 91  |
| Exceptions .....  | 97  |
| Device-Related Error Codes .....                                    | 97  |
| 13 Application Notes .....  | 99  |
| General Fingerprint Issues .....                                    | 99  |
| C/C++ Issues .....  | 99  |
| 14 Glossary .....   | 100 |
| General Terms .....   | 100 |
| Fingerprint Data .....  | 100 |
| Fingerprint Devices .....   | 101 |
| Fingerprint Recognition Terms .....                                 | 101 |
| Recognition Accuracy .....  | 102 |

The U.are.U SDK allows you to add fingerprint recognition to your application. Significant features of the U.are.U SDK include:

- Performing 1-to-many fingerprint identification automatically
- Support for multiple data formats, including the existing DigitalPersona data formats as well as ANSI and ISO fingerprint images and minutiae data
- Redesigned API for easier programming
- New FingerJet Engine that has met the PIV performance thresholds for fingerprint minutiae data generation required by NIST, with a faster Matcher.

The SDK provides support for developing with Windows (Visual Studio) and Linux with the following languages/frameworks: (X indicates a supported combination)

| API     | Target Platform Supported |         |            |         |
|---------|---------------------------|---------|------------|---------|
|         | Linux                     | Windows | Windows CE | Android |
| C/C++   | X                         | X       | X          | X       |
| Java    | X                         | X       |            | X       |
| .NET    |                           | X       | X          |         |
| ActiveX |                           | X       |            |         |
| JavaPOS | X                         | X       |            |         |
| OPOS    |                           | X       |            |         |

DigitalPersona supports (and this documentation assumes):

1. development on Windows for target devices based on Windows or Windows CE
2. development on Linux for target devices based on Linux or Android

## What's New in 2.2.x

The 2.2.1 release provides Android support.

New features in version 2.2 include:

- **Support for U.are.U 5100 fingerprint reader**
- **New JavaPOS API** -- a fully JavaPOS-compliant API, an upgrade from the U.are.U UPOS for JavaPOS SDK. The new JavaPOS API implements JavaPOS, but is based on the U.are.U framework and the internal

architecture of the U.are.U SDK. Since the JavaPOS API implements the JavaPOS spec, the terminology and processes of that API are somewhat different than the other APIs in the U.are.U SDK. If you are upgrading an existing application, see *Upgrading from U.are.U UPOS for OPOS/JavaPOS on page 28* for more details. The U.are.U JavaPOS API is described in a new chapter of this developer guide: *JavaPOS on page 77*.

- **New OPOS API** -- a fully OPOS-compliant API, an upgrade from the U.are.U UPOS for OPOS SDK. The new OPOS API is based on the U.are.U framework and the internal architecture of the U.are.U SDK. Since the OPOS API implements the OPOS spec, the terminology and processes of that API are somewhat different than the other APIs in the U.are.U SDK. If you are upgrading an existing application, see *Upgrading from U.are.U UPOS for OPOS/JavaPOS on page 28* for more details. The U.are.U OPOS API is described in a new chapter of this developer guide: *OPOS on page 85*.

## How the U.are.U Manuals are Organized

The U.are.U documentation set consists of a family of books:

- The U.are.U SDK Developer's Guide (this manual) describes the architecture and organization of the SDK plus an overview of language/framework support.
- Platform Guides for Linux, Windows, Windows CE and Android provide details about installation, requirements and code samples for devices based on Linux, Windows, Windows CE and Android operating systems, respectively.

In addition, we provide Javadoc and Doxygen documentation that provides the detail of method parameters and data structures for the .NET, ActiveX and Java APIs.

## Getting Updated Documentation

If you are viewing this developer guide from the download package for the U.are.U SDK, you may want to check online at our website at

<http://www.digitalpersona.com/Support/Reference-Material/DigitalPersona-SDK-Reference-Material/>

for the latest version of this document.

## Target Audience

This manual is aimed at developers who already have a working knowledge of their development environment and their chosen reader platform.

For the C/C++ API, we assume you have a working knowledge of the C++ language.

For .NET developers, we assume that you know how to develop for .NET and understand .NET concepts like static classes, `IDisposable` and `IEnumerable`.



For ActiveX, we assume that you know how to develop with ActiveX.

For Java, we assume a working knowledge of the Java language.

For OPOS and JavaPOS, we assume knowledge of the UPOS (OPOS and JavaPOS) specification version 1.13 and familiarity with Point of Sale applications and developing with OPOS/JavaPOS.

## Chapter Overview

*Chapter 1, Introduction* (this chapter), provides an overview of the features and standards compliance of the U.are.U SDK.

*Chapter 2, Background*, contains a brief introduction to fingerprint recognition and fingerprint biometrics.

*Chapter 3, Developing Applications* describes the context and issues for developing applications using the U.are.U SDK. This chapter shows how data flows among the U.are.U SDK components, and typical workflows.

*Chapter 4, Working with Fingerprint Readers* contains information about working with fingerprint reader hardware.

*Chapter 5, Upgrading from Previous SDKs* discusses how to upgrade your application to use the current API functions and data formats, as well as a mapping between the One Touch terminology and the terminology used in the U.are.U SDK.

*Chapter 6, Using the SDK* provides an overview of the SDK and describes how to generate API documentation using Doxygen.

*Chapter 7, The C/C++ APIs* provides an overview of the functions in the C libraries.

*Chapter 8, The Java API* describes the interfaces for the Java libraries.

*Chapter 9, The .NET API* describes the classes and methods in the .NET libraries as well as the .NET controls.

*Chapter 10, ActiveX* describes the interfaces for the ActiveX libraries and controls.

*Chapter 11, JavaPOS* describes the JavaPOS API including data management, implementation notes, error codes and exceptions.

*Chapter 12, OPOS* describes the OPOS API including data management, implementation notes, error codes and exceptions.

*Chapter 13, Application Notes* provides additional suggestions for getting your application to work.

*Chapter 14, Glossary* lists the terminology specific to fingerprint recognition applications and to the U.are.U SDK.

## Data Formats and Standards

The DigitalPersona U.are.U SDK supports three data types:

- DigitalPersona
- ANSI
- ISO

When fingerprint data is stored in ANSI/ISO format, the following standard formats are supported:

|                                 | <b>ANSI Standard Supported</b> | <b>ISO Standard Supported</b> |
|---------------------------------|--------------------------------|-------------------------------|
| Fingerprint Image Data (FID)    | ANSI INSITS 381-2004           | ISO/IEC 19794-4:2005          |
| Fingerprint Minutiae Data (FMD) | ANSI INSITS 378-2004           | ISO/IEC 19794-2:2005          |

DigitalPersona U.are.U SDK version 2 can process FIDs and raw images generated by other systems as long as they are compliant with the supported ANSI/ISO standards and:

- Are Uncompressed
- Have horizontal and vertical resolutions that are the same (square pixels)
- Have 8 bits per pixel

For multiview image records, we also require:

- No more than 16 views per finger
- All views in a multiview image must have the same resolution and pixel dimensions (Width x Height)
- We do not support unknown finger positions (finger position = 0).

DigitalPersona U.are.U SDK version 2 can process minutiae data generated by other systems as long as they are compliant with the supported ANSI/ISO standards and meet this criterion:

- Horizontal and Vertical resolutions are the same (square pixels)

In this chapter, we discuss the basics of fingerprint recognition. This chapter is not intended to be exhaustive, rather we're going to give you enough background knowledge to develop your own application more effectively.

For a more detailed overview, we recommend **Handbook of Fingerprint Recognition** by D. Maltoni, M. Maio, A. Jain, and S. Prabhakar, published by Springer, 2nd edition, 2009.

## Biometrics

Identifying individuals based on their distinctive anatomical (fingerprint, face, iris, hand geometry) and behavioral (signature, voice) characteristics is called **biometrics**. Because biometric identifiers cannot be shared or misplaced, they intrinsically represent an individual's identity. Biometrics is quickly becoming an essential component of effective identification solutions. Recognition of a person by their body, then linking that body to an externally established "identity", forms a powerful authentication tool.

Biometric identification helps to reduce fraud, and enhance user convenience. Among the different biometric identification methods, fingerprint recognition technology has a good balance of qualities including accuracy, throughput, size and cost of readers, maturity of technology and convenience of use, making it the dominant biometric technology in commercial applications.

## Features of Biometric Technology

Biometric solutions offer many advantages that other technologies cannot provide.

- **Uniqueness** - Fingerprints from each one of our ten fingers are distinctive, different from one another and from those of other persons. Even identical twins have different fingerprints.
- **Convenience** - Users no longer have to remember multiple, long and complex, frequently changing passwords or carry multiple keys.
- **Non-repudication** - Ensures the user is present at the point and time of recognition and later cannot deny having accessed the system.
- **Non-transferable** - Cannot be shared, lost, stolen, copied, distributed or forgotten unlike passwords, PINs, and smart cards.
- **Proven** - Long history of successful use in identification tasks - the U.S. and other countries have extensive real-world experience with fingerprint recognition. Fingerprints have been used in forensics for well over a century and there is a substantial body of scientific studies and real world data supporting the distinctiveness and permanence of fingerprints.

## The Basics of Fingerprint Identification

The skin on the inside surfaces of our hands, fingers, feet, and toes is “ridged” or covered with concentric raised patterns. These ridges are called friction ridges and they provide friction making it easier for us to grasp and hold onto objects and surfaces without slippage. The many differences in the way friction ridges are patterned, broken, and forked make ridged skin areas, including fingerprints, distinctive.

The distinctiveness of fingerprints is well established. The underlying biological persistence of fingerprint characteristics is also a well established fact reported in various fingerprint studies conducted in different scientific fields over the past century.

## Fingerprint Characteristics

Fingerprint ridges are not continuous, straight ridges. Instead, they are broken, forked, interrupted or changed directionally. The points at which ridges end, fork, and change are called **minutiae points** which provide distinctive, identifying information.

The most common properties of fingerprint minutiae points are:

### 1. Type

There are several types of minutiae points, some of which are listed below. The most common are ridge endings and ridge bifurcations.

- Ridge ending – the abrupt end of a ridge
- Ridge bifurcation – a single ridge that divides into two ridges
- Short ridge, or independent ridge – a ridge that commences, travels a short distance and then ends
- Island – a single small ridge inside a short ridge or ridge ending that is not connected to all other ridges
- Ridge enclosure – a single ridge that bifurcates and reunites shortly afterward to continue as a single ridge
- Spur – a bifurcation with a short ridge branching off a longer ridge
- Crossover or bridge – a short ridge that runs between two parallel ridges
- Delta – a Y-shaped ridge meeting
- Core – a U-turn in the ridge pattern.

### 2. Direction

### 3. Position

## Issues in Fingerprint Recognition Technology

In a perfect world, it would be a simple matter to determine whether two fingerprints were from the same finger-- the images would be identical or they would not. However,

- Even though our fingerprints do not change over time, the fingerprint *images* can vary a lot, especially for some people. For example, certain skin conditions and wear due to manual labour can affect fingerprint images. This makes fingerprint recognition a very challenging problem that does not have a perfect solution. As the result, captured fingerprint images are often not a perfect match to the stored image from the same finger.
- Fingerprint images from two different fingers of two different people can look similar, especially when, because of worn fingerprints or temporary creases, there is very little information left about the actual fingerprint. The larger the population your are working with, the more likelihood of similar fingerprint images.

Fingerprint recognition software needs to address these issues. We'll discuss that more in later sections of this guide.

This chapter describes the process of developing fingerprint recognition applications, including:

- An overview of how fingerprint recognition works
- Data structures and data flows among components
- Typical workflows
- Design issues and tradeoffs.

**IMPORTANT:** The JavaPOS and OPOS APIs conform to the UPOS specification and therefore do not have exactly the same data structures and workflow as the other APIs in the U.are.U SDK. See *Chapter 11, JavaPOS* and *Chapter 12, OPOS* for details.

## How Fingerprint Recognition Works

Fingerprint recognition works in two stages:

1. First, users are enrolled with the system--their fingerprints are captured and stored in a database.
2. Next, when a person needs to be given access (e.g., to open a door or to log in to a computer), they simply scan their finger on the fingerprint reader.

In terms of application development, this typically requires the developer to build the following components:

1. An application for people to **enroll**:
  - Captures multiple fingerprints for at least two fingers from a fingerprint reader.
  - Checks image quality to ensure that a good quality scan is obtained.
  - Extracts the fingerprint minutiae.
  - Saves the fingerprint images and/or minutiae in a database.
2. A service(s)/application(s) that **identifies/verifies** people:
  - Captures a fingerprint from a fingerprint reader.
  - Extracts the fingerprint minutiae.
  - Compares fingerprint with enrolled fingerprints to **identify** a user from a list or **verify** a specific user.

This SDK provides fingerprint capture, extraction, enrollment and identification/verification functions to help you develop these components.

## Understanding the Data Flow

When building a fingerprint recognition application, the data flow consists of:

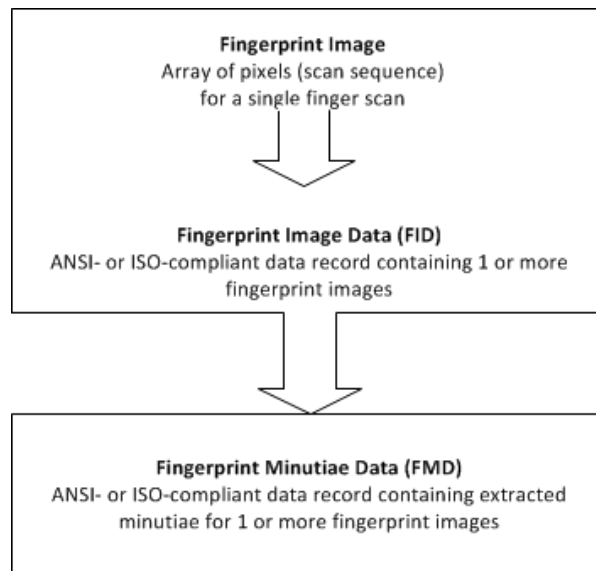
1. Capture a **Fingerprint Image** (scan) from the fingerprint reader. The resulting **Fingerprint Image Data (FID)** contains one or more fingerprint images, called a **Fingerprint Image Views (FIVs)**. A typical FID for fingerprint recognition applications contains only one FIV but we also support multiple views (e.g., if there are multiple fingers from one individual or multiple images from a single finger stored in a single FID).

Each FIV (fingerprint) is approximately 140K in size.

2. Extract the fingerprint features. During extraction, **Fingerprint Minutiae Data (FMD)** is created, with each fingerprint stored in a **Fingerprint Minutiae View (FMV)** in the FMD. An FMV in an FMD takes no more than 1.5K (maybe less depending on the fingerprint). FMDs are used for identifying users in a collection and verifying specific users.

The ANSI and ISO standards permit multiple views but the U.are.U SDK creates only single-view FIDs and FMDs.

This data flow is shown in *Figure 1* below. .



**Figure 1.** Data flow used by U.are.U SDK in fingerprint recognition

A terminology note: in the past, enrollment fingerprints were stored as *templates* and fingerprints to be identified/verified were created as *feature sets*. This data model is still supported when using DigitalPersona data format - that is there are two kinds of FMD, depending on whether the data is for an enrolled fingerprint or for a fingerprint to be identified/verified. When using ANSI and ISO standard data, the template/feature set terminology does not apply since the ANSI/ISO standards do not make that distinction. The data flow for legacy SDK data may be different, as described in *Working with Data Created with Gold and One Touch SDKs* on page 26.

## Workflow - Enrollment Application

During the enrollment process, one or more fingers are scanned for each person. We recommend that you enroll at least two fingers (more is recommended) because in the event of an accident or injury to one finger, another enrolled finger can be used to identify the individual.

The enrollment application needs to perform the following steps to enroll a single finger from a user:

### Step One - Initialization

Initialize the library. Discover the available readers and open a connection to the reader.

### Step Two - Capture, Extract and Enroll

1. Begin the enrollment process.
2. Capture a series of fingerprint scan(s); for each scan,
  - Create an FID,
  - Extract fingerprint minutiae and create the FMD,
  - Add the FMD to the pool of FMDs for enrollment.
3. Continue to capture fingerprints until the enrollment process has enough FMDs to complete the enrollment. (The enrollment functions evaluate the FMDs and select the best image -- typically several scans are required.)
4. Create the enrollment FMD and release resources.

### Step Three - Store Data

Store the enrollment FMD. Many applications keep only the enrollment FMD because of space constraints or policy decisions. You cannot use FIDs for identification, so even if you choose to keep the FIDs, you must also store the FMD for each individual.

### Notes on Enrollment

Before storing, you may want to check for existing entries that match the new entry -- applications like law enforcement, banking or voting registration, may not allow duplicate enrollments.

The capture/extract minutiae part of the enrollment process is the same as for capturing/extracting minutiae for the purpose of verifying/identifying users. If you wish, you can enroll users without using the enrollment functions (by simply capturing, extracting minutiae and storing the resulting FMD). However we recommend that you use the enrollment functions to create the best quality enrollment FMDs.

The enrollment process is slightly different in each API. Consult the chapters that describe the various APIs to determine the specifics for your language. For JavaPOS and OPOS, the enrollment process is described in the specification.



## Workflow - Identifying/Verifying

Fingerprint recognition involves two types of operation:

- **Identification** - Comparing a fingerprint against the database of enrolled fingerprints and confirming that the fingerprint is enrolled (e.g., to open a door there may be many authorized users).
- **Verification** - Comparing a fingerprint against a specific user's enrolled fingerprint(s) to verify a specific person's identity (e.g., when the user types their name and then uses a fingerprint rather than a password).

To perform these operations, your application needs to do the following steps:

### Step One - Initialization

Initialize the library. Discover the available readers and open a connection to a reader.

### Step Two - Capture and Extract

1. Wait for a fingerprint. When a fingerprint is detected, capture the image and create an FID.
2. Extract fingerprint minutiae and create an FMD.

This sequence is exactly the same as for the capture/extraction process during enrollment.

### Step Three - Identify/Verify

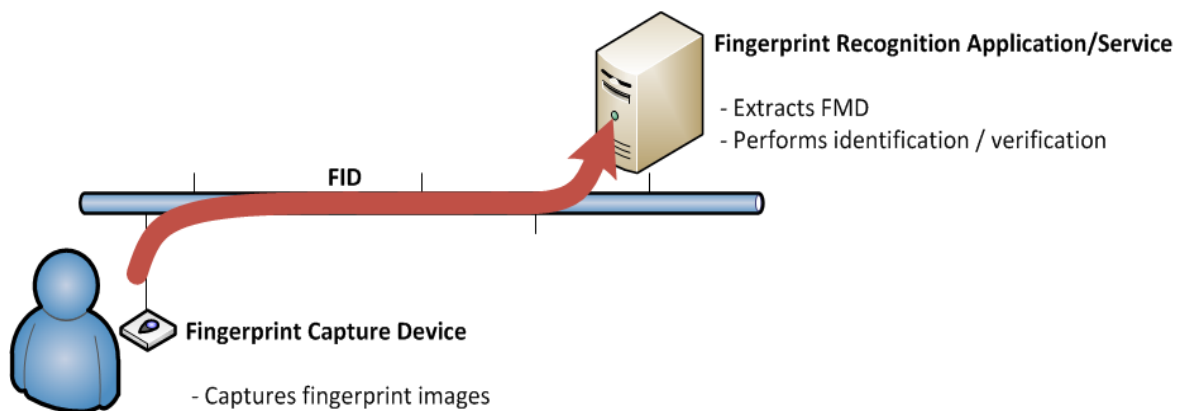
Call the appropriate function to **verify** a specific person OR to **identify** a valid user.

## Design Issues for your Application

### Distributed Processing and Data Flow

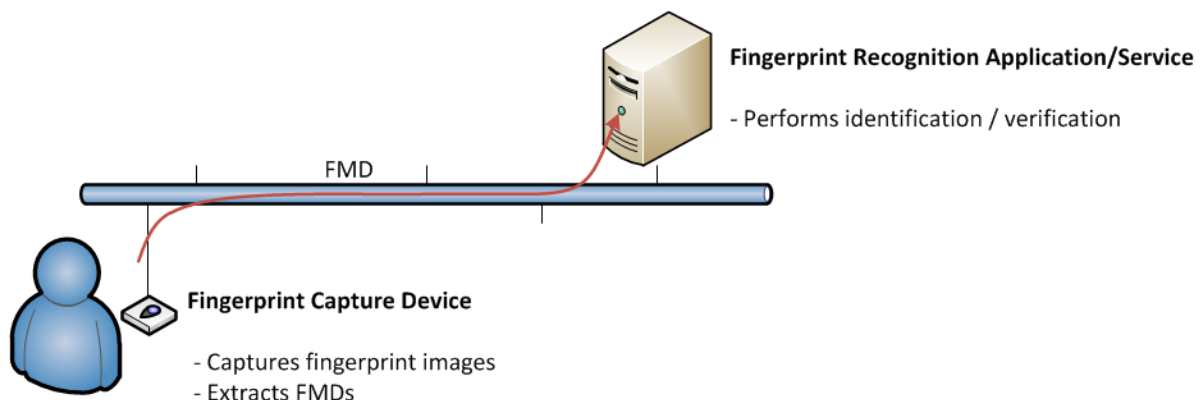
Depending on the capabilities of your fingerprint reader, you can capture FIDs and send them to another machine for processing OR the fingerprint reader can extract the FMD and transmit only the much smaller FMD files. Thus the application can be designed in these two ways:

1. The fingerprint capture device can simply capture a fingerprint image and transmit the image to a server for processing as shown in the image below. Since FIDs are large (around 100K - 140K), this means that you need a faster connection, but there is less computing power required by the fingerprint reader.



Optionally, the fingerprint capture device can compress the image before transmitting it.

2. Another alternative is to develop software for the fingerprint capture device to capture the fingerprint image AND extract the fingerprint features to create an FMD. The FMD is then transmitted to the server for processing, as shown below. FMDs are 1.5K or less and so require less bandwidth and speed.



## Data Compression

If you use compression to save bandwidth or storage space, there are two options:

1. U.are.U provides compression using Wavelet Scalar Quantization (WSQ). WSQ is a wavelet-based compression standard developed by NIST specifically for fingerprint data.
2. You can compress the data using a lossless compression such as JPEG2000.

### WSQ Compression

WSQ compression allows compression of 15:1 to 12:1. For more details, see *Wavelet Scalar Quantization (WSQ) Compression* on page 36.

### JPEG2000 Compression

If you are using JPEG2000 as a compression algorithm, choose 12 as the quality setting. This allows lossless compression at around 10:1. The U.are.U SDK does not support JPEG2000 compression directly, so you would have to capture the fingerprint as a raw image and compress it to JPEG2000. After transmission, you must convert the JPEG2000 file back into a raw image for minutiae extraction and identification/verification.

## NIST Fingerprint Image Quality (NFIQ)

The NFIQ score indicates the quality of a fingerprint sample. The U.are.U SDK provides NFIQ calculation using code developed by NIST. The NFIQ score is in the range 1 – 5, with 1 being the best and 5 being not suitable for feature extraction. For more details, see *NIST Fingerprint Image Quality (NFIQ)* on page 37.

## Determining an Acceptable Level of Error

When identifying fingerprints, you want to identify strictly enough that you do not let unauthorized people have access (false positives) but also do not inconvenience legitimate users by rejecting their fingerprints (false negatives). Note that some people will always experience more false rejections -- the rate of false negatives is a statistical measure, but *individuals* may experience higher rejection rates, based on their specific fingerprint characteristics.

There is a trade-off between the frequencies of false positive and false negative errors. Applications have control over this trade-off by specifying the threshold for the required degree of similarity between two fingerprint images in order to call it a match. **When choosing the identification threshold, note that increasing the false positive error rate by a factor of 100 will reduce the false negative error rate only approximately by a factor of 2.**

**There will always be some false negatives. As the result, every practical fingerprint recognition system should have an alternative means to establish and prove identity, without using fingerprints.**

### Setting the Error Threshold when Identifying a Fingerprint in a Collection

When a fingerprint is scanned, the first step is to identify the fingerprint against a set of stored FMDs.

- If you are trying to confirm that a user is allowed access, you will want to identify the fingerprint against all the valid FMDs that you have stored.
- If you are trying to confirm the identity of a specific person, you must identify against all FMDs for that individual (typically at least two fingers are stored for each user).

The identification function compares an FMV against a collection of FMDs to produce the candidate list. You can specify the maximum desired number of candidates: a smaller number can make the execution faster. The candidate list is sorted by the dissimilarity score, the lower the score the closer the candidate to the beginning of the list. The best match is the first candidate in the list.

Your **threshold** determines the trade-off between false positive and false negative error rates where:

- 0 = no false positives
- `maxint` (#7FFFFFFF or 2147483647) = fingerprints do not match at all
- Values close to 0 allow very few false positives; values closer to `maxint` allow very poor matches (a lot of false positives) in the candidate list. The table below shows the relationship between the threshold values and the false positive identification error rates observed in our test. Note: the actual false positive identification error rates in your deployment may vary.

| Your Threshold               | Corresponding False Positive Identification Rate | Expected number of False Positive Identifications | Numeric Value of Threshold |
|------------------------------|--|---|----------------------------|
| .001 * <code>maxint</code>   | .1%  | 1 in 1,000  | 2147483                    |
| .0001 * <code>maxint</code>  | .01%   | 1 in 10,000                                       | 214748                     |
| .00001 * <code>maxint</code> | .001%  | 1 in 100,000                                      | 21474                      |
| 1.0e-6 * <code>maxint</code> | .0001%   | 1 in 1,000,000                                    | 2147                       |

For many applications, a good starting point for testing is a threshold of 1 in 100,000. If you want to be conservative, then you will want to set the threshold lower than the desired error rate (e.g., if you want an error rate that does not exceed 1 in 100,000, you might set the threshold to 1 in 1,000,000).

## Defining the Data Retention Policy

After a fingerprint scan, an FID is created, which contains the actual image. Each fingerprint image takes roughly 140K of storage. With modern computers, that is not a huge amount, but each enrolled user may have several fingerprints scanned. Multiplied by the number of potential users, this can add up to a fair amount of data.

To identify fingerprints, you must extract the fingerprint characteristics to create an FMD, which is < 1.5K per fingerprint.

Some applications choose to retain the full image records, but other companies discard the image record and retain only the minutiae data in the form of an FMD.

**IMPORTANT:** If you discard the image record, you **cannot** reconstruct the original fingerprint image from the FMD, the FMD is only useful for identifying/verifying fingerprints.

From time to time DigitalPersona may release a new version of the U.are.U SDK that will provide improved accuracy in the feature extraction process. If you do not retain the fingerprint images, you will not be able to redo the feature extraction using the new version of the SDK/runtime in order to take advantage of these improvements.

## Specifying the Fingers to Be Scanned

When you enroll people into your system, you will usually want more than one finger enrolled. This allows for injury and makes it easier for people who have fingerprints that are difficult to recognize. For some applications you may want to scan all ten fingers or take multiple fingerprint impressions for individual fingers.

A typical policy would be to require both index fingers or both thumbs to be scanned. Thumbs are typically the worst in terms of recognition accuracy and thumbs require different capture devices with larger area and different ergonomics. Where possible, avoid any industrial design forcing users to use thumbs.

The preferred approach is to enroll, at a minimum, both index and both middle fingers. Middle fingers are usually the best, probably because people have almost as good dexterity with middle fingers as with index fingers, and yet middle fingers have fingerprints that are typically less worn than index fingers.

Some solutions are ergonomically designed in a way that only the right or only the left hand can be used conveniently. In this case the right hand is better (probably because the majority of people are right handed), and at least three fingers need to be enrolled: index, middle and ring fingers.

Ergonomics and the correct finger placement are extremely important. Poor ergonomics can easily increase the false negative identification rate by a factor of 5 to 10. The system users need to be aware of correct finger placement for best results.

## Optimizing Fingerprint Applications

To identify a fingerprint against a large database can take a considerable amount of time and create unacceptable delays between the fingerprint scan and the user authorization. Identifying fingerprints will be faster if the database of fingerprints is in memory rather than retrieved from disk. If you have a large database of users, you may need to provision your server with an appropriate amount of RAM to handle the searches.

This SDK is not optimized for large scale identification. If you are developing such an application, you may want to contact DigitalPersona to get help selecting the technology that will best fit your needs.

To ensure the fastest response time, you must weigh whether it will be faster to transmit the image record to a server for FMD extraction or whether it is faster to extract the FMD on the reader and transmit only the FMD to the server for identification/verification.

For readers that are used by a limited number of people (e.g., kiosks or pharmacy cabinets), you may have the device identify fingerprints against a limited set of FMDs. However this requires that you keep the FMDs in the device in sync with your central database, to ensure that new employees are able to gain access and departing employees' privileges are revoked quickly.

The U.are.U SDK works with the following fingerprint readers:

- U.are.U 4000B Fingerprint Reader Rev. 100 (all platforms) and Rev. 101 48Mhz (Windows CE only)
- U.are.U 4500 Fingerprint Reader Rev. 103
- U.are.U 5xxx Fingerprint Readers (5100, 5160, 5200 and 5300)

The 4xxx series readers have limited support for streaming. Not all platforms have complete support for all readers -- check the platform guides for more details.

Note that only two 5xxx readers may be used simultaneously, and they must be connected to separate USB controllers.

Fingerprint readers can lose their calibration as a result of changes in temperature, humidity and ambient light. Humidity is the most important environmental factor affecting calibration. U.are.U fingerprint readers are self-calibrating, but you still might want to set up your application to check periodically that no additional calibration is needed.

If the fingerprint reader is not giving clear readings:

- Try cleaning it:
  - For the 4xxx readers, clean the gel surface with sticky tape. Gently dab it with the sticky side of the tape. Do not rub it with paper and do not get it wet.
  - For the 5xxx readers, in addition to sticky tape, you can use a damp wipe. Do not clean with compressed air and do not use industrial cleaners or solvents.
- Make sure that you are touching the fingerprint reader with the pad of your finger, not the tip. The most detail (minutiae) occur roughly midway between the first joint and the tip.
- If your fingers are very dry, try touching your forehead with the pad of the finger you are trying to scan and then rescanning your fingerprint.

Good ergonomics in the mounting of your fingerprint reader can significantly improve the quality of fingerprint scans. Be sure that the reader is mounted in a way that is convenient for users to touch properly, such that the large area of the pad of the finger is captured. The angle at which the reader is mounted as well as the rim around the sensing area can make it difficult for people with large fingers or long fingernails to have proper contact between the pad of the finger and the sensing area.

If your fingerprint reader becomes non-responsive from an electrostatic shock you may need to perform a hardware reset.

Your application should check the reader status between fingerprint scans to ensure that the hardware has not experienced an error condition.





## Overview of Support for Previous SDKs

### Working with Existing Data Created with Previous SDKs

The U.are.U SDKs support DigitalPersona, ANSI, and ISO formats. You may choose your format according to your application requirements. **However, the data formats are not interoperable and only one data format can be used in a single application.** For example, when passing an array of fingerprint templates into the identification function, all the templates in the array must be in the same format. If your application has existing data in a specific format, you must continue to use that format for all of your data.

**IMPORTANT: It is not possible to convert data from one format to another. If you decide to move from one format to another, you must re-enroll your user population.**

### Exchanging Data with Applications Using Previous SDKs

Applications written with the U.are.U SDK APIs can exchange data with applications developed using previous DigitalPersona products. The table below shows which U.are.U APIs may be used to develop applications that will exchange data with existing applications:

| Previous DigitalPersona SDK used by an existing application | U.are.U APIs which are compatible |
|---|-----------------------------------|
| Gold SDK/Fingerprint Recognition Software                   | C/C++, Java, .NET, ActiveX        |
| One Touch SDKs  | C/C++, Java, .NET, ActiveX        |
| U.are.U UPOS for JavaPOS                                    | JavaPOS                           |
| U.are.U UPOS for OPOS                                       | OPOS                              |

The U.are.U SDK does not support the custom encryption keys that are supported by the Gold and OneTouch SDKs.

### Upgrading Applications from Previous SDKs

To convert applications developed using Gold and One Touch SDKs to use U.are.U SDK requires software modifications to use the U.are.U APIs. The U.are.U APIs are described in detail in the other chapters of this manual.

Applications developed with U.are.U UPOS for JavaPOS or UPOS for OPOS can be upgraded to use the JavaPOS and OPOS APIs of the U.are.U SDK, since both the previous and the current product support the UPOS specification. More details are provided below in *Upgrading from U.are.U UPOS for OPOS/JavaPOS on page 28*.

## Converting Applications from One Touch SDK

To convert an application from One Touch SDK, install the U.are.U SDK as described above and use this documentation to modify your applications to use the new API.

**Be sure to install U.are.U SDK in a new folder on your development machine so that your existing files do not get overwritten.**

Note that when you install the U.are.U SDK on the target reader, **the One Touch drivers will be overwritten with new drivers that are compatible with both your existing applications and new applications based on U.are.U SDK.**

The files installed on the target reader include both drivers and SDK files. If you retain the One Touch SDK files on the device, you will need up to an additional 120K for the new U.are.U SDK files. If you retain the old SDK files on the device, you can run applications based on either the old or the new SDK. The two SDKs can coexist and your existing applications can run using the older run-time environment while you update your programs or develop new applications based on the new SDK. Applications based on the old and new SDKs can run on the same hardware, but not simultaneously.

Note that the **data** from existing applications based on One Touch SDK is fully compatible with applications based on U.are.U SDK.

## Working with Data Created with Gold and One Touch SDKs

The DigitalPersona Gold SDK and One Touch SDK products used a different format for minutiae data (which were called feature sets). In the Gold and One Touch formats, there were three different data types for minutiae data which reflected the intended use of the data:

- **Pre-registration features** (Gold SDK), or **Pre-registration Feature Set** to be used for Enrollment (OneTouch SDK); Pre-registration features were intended only for creation of Registration features. An application needed to collect four fingerprints of the finger to enroll, extract pre-registration features, and pass it to the SDK to produce registration features.
- **Registration features** (Gold SDK), or **Fingerprint Template** (OneTouch SDK); Registration features were intended to be stored in a database as an enrolled finger.
- **Verification features** (Gold SDK), or **Feature Set** (One Touch SDK). Verification features are what is compared to the Registration features when a user swipes a finger.

In these previous SDKs, you could not compare two Feature Sets, you could only compare a Feature Set against a Fingerprint Template. The U.are.U SDK removes the distinction between feature sets and templates when using the ANSI/ISO formats. For data created in ANSI/ISO data formats, all minutiae data is stored in an FMD, whether produced by the feature extraction functions or the enrollment functions.

## Changes in U.are.U Terminology from Previous Usage (Gold and One Touch)

This section describes changes in terminology from the One Touch documentation and other DigitalPersona products.

| Old Term  | New Term                   | Explanation  |
|---|----------------------------|--|
| Fingerprint authentication  | Fingerprint verification   | Change in industry standard terminology.   |
| Fingerprint registration  | Fingerprint enrollment     | Change in industry standard terminology.   |
| Fingerprint sensor<br>(referring to a fingerprint capture device) | Fingerprint reader         | Erroneous usage: Sensors are a <i>component</i> of certain types of <i>fingerprint capture devices</i> , they are not themselves <i>fingerprint capture devices</i> .  |
| Match   | Compare                    | Change in industry standard terminology.   |
| Matching  | Comparison                 |  |
| Matching score  | Comparison score           |  |
| Performance   | Recognition accuracy       | More accurate terminology.   |
| Fingerprint feature set<br>Fingerprint template                   | Fingerprint minutiae data  | <i>Fingerprint templates</i> ( <i>fingerprint features</i> stored for enrolled fingers) and <i>fingerprint feature sets</i> (images used for verification and identification) have been replaced with <i>fingerprint minutiae data</i> in the U.are.U family of the SDKs only. With standards-based data formats in the U.are.U SDKs, all <i>fingerprints</i> are stored in the same format. |
| ROC curve   | DET curve                  | More accurate terminology. We have never used ROC curves, however our DET curves were sometimes erroneously called ROC curves in the past.   |
| FAR   | FMR or FNMR as appropriate | The definition of <i>FAR</i> is application-specific.<br><br>In some applications <i>FAR</i> is similar to <i>FMR</i> while in other applications, <i>FAR</i> is similar to <i>FNMR</i> .  |
| FRR   | FMR or FNMR as appropriate | The definition of <i>FRR</i> is application-specific.<br><br>In some applications <i>FRR</i> is similar to <i>FNMR</i> , while in the others <i>FRR</i> is similar to <i>FMR</i> .   |

## Upgrading from U.are.U UPOS for OPOS/JavaPOS

This new U.are.U SDK version of the OPOS and JavaPOS APIs are backward-compatible. However the following new features may or may not affect your existing applications:

- **The default data format has a longer header.** The default data format is now fully compliant with UnifiedPOS 1.13. The default data format is the same as the old format except that the template header has additional bytes of information, i.e., a 45-byte header, instead of the previous 10-byte header for JavaPOS and 12-byte header for OPOS. If you do not update your application to specify a specific format, new templates will be created with 45-byte headers. Enrollment, identification and verification will continue to work with both new templates with 45-byte headers and previous templates that have the shorter headers. See *Working with Fingerprint Data in JavaPOS* on page 77 and *Working with Fingerprint Data in OPOS* on page 85 for more information.
- **New FAR Security Setting.** We have tightened the FAR security setting to align with our current corporate standard. The new standard is 100 times more strict. Please update your code accordingly. We recommend that you allow the FAR setting to be configurable at run-time within your application. See Chapter 3, *Determining an Acceptable Level of Error*, on page 19 for more information on setting FAR.
- **Enrollment no longer stops at four retries.** The previous enrollment process would fail after four unsuccessful scans. If your application is dependent on having exactly four tries, then you may need to adjust your code.
- **Errors and exceptions may be handled differently.** Because of the extensive architectural changes to this version of the OPOS and JavaPOS APIs, exceptions and error codes may not be identical. You should double check carefully that the new API handles errors and exceptions as expected for your application.

For specific details about upgrading your existing application, consult *JavaPOS* on page 77 or *OPOS* on page 85.

## What's In the SDK?

The SDK consists of:

1. C/C++ API -- C libraries that conform to ANSI.C99 (<http://en.wikipedia.org/wiki/C99>):
  - **DP Capture API** - for capturing fingerprints
  - **FingerJet Engine API** - for extracting fingerprint characteristics and identifying/verifying fingerprints
2. .NET API -- .NET class libraries
  - **DP .NET API** - for capturing and comparing fingerprints
  - **DP .NET Controls** - simple interface for enrollment and identification, based on OneTouch interface
  - **DP ActiveX Library** - for capturing and comparing fingerprints using the ActiveX wrapper with .NET
  - **DP ActiveX Controls** - simple interface for enrollment and identification, based on OneTouch interface
3. ActiveX API and controls -- ActiveX class libraries
  - `DPXUru.dll` - ActiveX API library
  - `DPctlXUru.dll` - ActiveX GUI controls
4. Java API -- Java class libraries
  - `dpuaru.jar` - library classes and interfaces for working with readers and the FingerJet Engine
5. JavaPOS API -- class libraries that implement a JavaPOS-compliant API (per the JavaPOS 1.13 specification), as a wrapper to the U.are.U Java API:
  - `dpjavapos.jar` - library classes and interfaces for working with readers
  - JavaPOS Device Service object, which can be used with any JavaPOS Device Control for the Biometrics device category
6. OPOS API -- classes that implement an OPOS-compliant API (per the UPOS 1.13 specification), as a wrapper to the U.are.U C/C++ API:
  - `dpServiceObject.dll` - a custom implementation of the OPOS data service
  - **OPOSBiometrics** - a custom implementation of the OPOS biometrics control
7. Run-time components:
  - Capture driver and SDK layer
  - FingerJet Engine run-time

## FingerJet Engine

FingerJet Engine is a module that extracts fingerprint characteristics from image records to create FMDs and compares FMDs to confirm identity. FingerJet Engine has met the PIV performance thresholds for fingerprint minutiae data generation required by NIST.

We support a maximum of 16 views in a single FID or FMD during authentication. All views in a single record must have the same resolution. We do not support unknown finger positions (finger position = 0).

The C/C++ APIs are available for Linux, Windows and Windows CE. This chapter provides an overview of the APIs. For details of using the API on a specific reader platform, consult the appropriate Platform Guide.

Detailed documentation for the API is contained in the header files. You can simply read the header files or you can view the Doxygen files. Consult the platform guide for details of where the Doxygen files are located.

The API is thread-safe.

## DP Capture API

The DP Capture API consists of library management, reader management, capturing and streaming.

### Library Management

**Table 1.** Library management functions

| Function       | Description   |
|----------------|---|
| dpfpdd_init    | Initialize the library (allocate system resources and initialize data). <b>This must be the first function called.</b>  |
| dpfpdd_exit    | Release the library and its resources.  |
| dpfpdd_version | Query the library version. <b>This is the only function that can be called before dpfpdd_init or after dpfpdd_exit.</b><br><br>This returns the DP Capture API library version (not the U.are.U SDK version). This is analogous to the dpfj_version function which returns the version of the FingerJet library file. |

## Fingerprint Capture Device Management

**Table 2.** Hardware management functions

| Function                                    | Description   |
|---|---|
| <code>dpfpdd_query_devices</code>           | Discover connected devices.   |
| <code>dpfpdd_open</code>                    | Open a device. This function establishes an exclusive link to the device; no other processes will be able to use the device until you close it. The application <i>must</i> open the device before use.                           |
| <code>dpfpdd_close</code>                   | Close a device.   |
| <code>dpfpdd_get_device_status</code>       | Get the status for a device. You would normally check the device status between captures to ensure that the device is functioning and there are no error conditions.  |
| <code>dpfpdd_get_device_capabilities</code> | Query a device for information on capabilities.   |
| <code>dpfpdd_set_parameter</code>           | Change a device or driver parameter   |
| <code>dpfpdd_get_parameter</code>           | Query a device or driver parameter  |
| <code>dpfpdd_calibrate</code>               | Calibrate a reader. Some readers are self-calibrating. Ambient light or temperature can affect calibration, for some readers. Calibration can take several seconds.   |
| <code>dpfpdd_reset</code>                   | Do a hardware reset on the reader. Hardware resets are typically needed only after a hardware problem (e.g., the device is unplugged or receives an electrostatic shock). Hardware resets typically only take a few milliseconds. |

## Capturing Fingerprints

The `dpfpdd_capture` function captures a fingerprint image for

- Enrollment (as part of the process described on page 34)
- Identifying users with `dpfj_identify`
- Verifying a specific user identity with `dpfj_compare`



**Table 3.** Fingerprint capture functions

| Function       | Description  |
|----------------|--|
| dpfpdd_capture | Capture a fingerprint image from the reader. This function signals the reader that a fingerprint is expected, and waits til a fingerprint is received. |
| dpfpdd_cancel  | Cancel a pending capture   |

## Streaming Fingerprints

Not all readers support streaming mode. To determine if a specific reader supports this feature, check the value of `can_stream_image` in `DPFPDD_DEV_CAPS`, as returned by `dpfpdd_get_device_capabilities()`.

The streaming methods are:

**Table 4.** Streaming Functions

| Function                | Description   |
|-------------------------|---|
| dpfpdd_start_stream     | Start streaming mode                                |
| dpfpdd_get_stream_image | Capture a fingerprint image from the streaming data |
| dpfpdd_stop_stream      | End streaming mode                                  |

## FingerJet Engine API

The FingerJet API contains functions that extract features from FIDs to create FMDs, identify/verify FMDs and convert FMDs to different formats.

### Library Management

**Table 5.** Library version verification function

| Function     | Description   |
|--------------|---|
| dpfj_version | Query the library version. This returns the FingerJet library version (not the U.are.U SDK version). This is analogous to the dpfpdd_version function which returns the version of the DP Capture API library file. |

### Extract FMD

**Table 6.** Feature extraction functions

| Function                 | Description  |
|--------------------------|--|
| dpfj_create_fmd_from_raw | Creates FMD from raw image                                     |
| dpfj_create_fmd_from_fid | Creates FMD from ANSI, ISO or DigitalPersona legacy format FID |

### Identify Fingerprint

This function is described in detail on page 17 and page 19.

**Table 7.** Fingerprint identify function

| Function      | Description   |
|---------------|---|
| dpfj_identify | Identify an FMD: given an array of FMDs, this function returns an array of candidates that match the original fingerprint (an FMV within an FMD) within the threshold of error. Supported formats are: Gold SDK, One Touch SDK, ANSI and ISO. |

### Enrollment

The enrollment functions allow you to enroll a finger to create an FMD that you can store in your database. For ANSI/ISO formats, the enrollment functions create FMDs. For legacy DigitalPersona format, the enrollment functions create a fingerprint template.

The typical process would be:

1. Call `dpfj_start_enrollment`.
2. Capture a fingerprint scan and extract an FMD, using the standard functions (`dpfpdd_capture` to capture and `dpfj_create_fmd_from_fid` or `dpfj_create_fmd_from_raw` to extract).
3. Call `dpfj_add_to_enrollment` to add the fingerprint to the potential pool.
4. Repeat the previous two steps until `dpfj_add_to_enrollment` returns a flag indicating the pool of FMDs is now sufficient to create an enrollment FMD.
5. Create the enrollment FMD with `dpfj_create_enrollment_fmd` and release resources by calling `dpfj_finish_enrollment`.
6. Store the enrollment FMD in your database. Some applications like voting, banking and law enforcement require that you check for duplicate fingerprints before storing a new fingerprint in the database.

**Table 8.** Enrollment Functions

| Function                                | Description  |
|---|--|
| <code>dpfj_start_enrollment</code>      | Begin the enrollment process and allocate resources.   |
| <code>dpfj_add_to_enrollment</code>     | Add the FMD to the pool of FMDs for enrollment and return a flag indicating that the enrollment is ready (enough FMDs have been received to create the enrollment FMD) |
| <code>dpfj_create_enrollment_fmd</code> | Create FMD for enrolled finger   |
| <code>dpfj_finish_enrollment</code>     | Release resources used during enrollment process   |

## Format Conversion

**Table 9.** Conversion functions to convert FMDs from legacy formats or between supported formats

| Function                         | Description  |
|----------------------------------|--|
| <code>dpfj_fmd_convert</code>    | Convert FMDs from ANSI to ISO format and vice versa.                                   |
| <code>dpfj_dp_fid_convert</code> | Convert legacy DigitalPersona image (Gold SDK and One Touch SDK) to ANSI or ISO images |

## Advanced Diagnostics

The majority of applications should use the `dpfj_identify` function to implement both identification and verification. However, in a few special cases, e.g., using multi-modal biometrics, or doing statistical risk assessment, the `dpfj_compare` function allows you to compare two FMVs to determine their actual degree of dissimilarity. This is useful for accuracy testing and diagnostics and is not intended to be used in final

applications for actual fingerprint recognition. The `dpfj_compare` function returns a **dissimilarity score** with values:

- 0 = fingerprints are NOT dissimilar (i.e., they MATCH perfectly).
- `maxint` (`#7FFFFFFF` or `2147483647`) = fingerprints are completely dissimilar (i.e., DO NOT match).
- Values close to 0 indicate very close matches, values closer to `maxint` indicate very poor matches.

The table below shows the relationship between the scores returned from `dpfj_compare` and the false match error rates observed in our test. The dissimilarity score distribution is estimated based on our internal testing, and may not be representative of the actual rate that will be observed in deployment.

| Dissimilarity Score | False Match Rate |
|---------------------|------------------|
| 2147483             | .1%              |
| 214748              | .01%             |
| 21474               | .001%            |
| 2147                | .0001%           |

**Table 10.**Fingerprint verification

| Function                  | Description   |
|---------------------------|---|
| <code>dpfj_compare</code> | Compare two FMDs; supported formats are: Gold SDK, One Touch SDK, ANSI and ISO. |

## Wavelet Scalar Quantization (WSQ) Compression

The U.are.U SDK provides compression of fingerprint images with the WSQ algorithm. This compression is available in two ways:

1. Using code developed by NIST. This code is included within the U.are.U C/C++ API.
2. Using the WSQ1000 SDK from Aware, Inc. on the target system. If the WSQ 1000 SDK is installed, the U.are.U functions will call the WSQ 1000 functions to do compression and decompression instead of the native NIST-based code.

DigitalPersona does not redistribute the Aware WSQ1000 SDK, it must be acquired and installed separately.

At publication time, the WSQ compression functions are available in the U.are.U SDK for Windows and U.are.U SDK for Linux on x86 and x64 platforms. WSQ compression is not available in the U.are.U SDK for Windows CE and in the U.are.U SDK for Linux on the ARM platform.

The typical sequence to compress an image would be:

- `dpfj_start_compression`
- `dpfj_set_wsq_bitrate` or `dpfj_set_wsq_size` - Set the desired size for the compressed image
- `dpfj_compress_fid` or `dpfj_compress_raw` - Compress the FID or raw image
- `dpfj_get_processed_data` - Retrieve the compressed image
- `dpfj_finish_compression`

The typical process to decompress an image would be:

- `dpfj_start_compression`
- `dpfj_expand_fid` or `dpfj_expand_raw` - Decompress an FID or raw image
- `dpfj_get_processed_data` - Retrieve the expanded image
- `dpfj_finish_compression`

**Table 11.** WSQ compression and decompression functions

| Function  | Description  |
|---|--|
| <code>dpfj_start_compression</code>                                 | Initiates WSQ compression and allocates resources.   |
| <code>dpfj_finish_compression</code>                                | Releases resources.  |
| <code>dpfj_set_wsq_bitrate</code><br><code>dpfj_set_wsq_size</code> | <p>These two specify the same thing: the size of the resulting compressed image, and can be used interchangeably.</p> <p>Setting the bitrate at 0.75bpp to 0.9 bpp allows compression of 15:1 to 12:1.</p> <p>The parameter <code>tolerance_aw</code> sets the tolerance as required by the Aware WSQ1000 SDK and it is ignored when using NIST algorithm.</p> |
| <code>dpfj_compress_fid</code><br><code>dpfj_compress_raw</code>    | Compress an FID or raw image, according to the requested size.   |
| <code>dpfj_get_processed_data</code>                                | Retrieve the image that was just compressed/expanded.  |
| <code>dpfj_expand_fid</code><br><code>dpfj_expand_raw</code>        | Expand a previously compressed FID or raw image.   |

## NIST Fingerprint Image Quality (NFIQ)

The U.are.U SDK calculates NFIQ scores for fingerprint images. This calculation is available in two ways:

1. Using code developed by NIST. This code is included within the U.are.U C/C++ API.

2. Using the WSQ1000 SDK from Aware, Inc. on the target system. If the WSQ 1000 SDK is installed, the U.are.U functions will call the WSQ 1000 functions to do NFIQ calculation instead of the native NIST-based code.

DigitalPersona does not redistribute the Aware WSQ1000 SDK, it must be acquired and installed separately.

The NFIQ calculation functions are available in U.are.U SDK for Windows, U.are.U SDK for Linux on x86 and x64 platforms. NFIQ calculation functions are not available in the U.are.U SDK for WindowsCE and in the U.are.U SDK for Linux on the ARM platform.

**Table 12.**NFIQ Functions

| Function   | Description   |
|--|---|
| dpfj_quality_nfiq_from_fid<br>dpfj_quality_nfiq_from_raw | Calculate the NFIQ score of an FID or raw image.<br><br>NFIQ scores range from 1 to 5 with 1 being the best quality and 5 indicating that the image is not suitable for feature extraction. |

The Java API is built as a wrapper to the C/C++ API. The Java API is available for Linux and Windows. This chapter provides an overview of the API. For details of using the API on a specific reader platform, consult the appropriate Platform Guide.

The Java API is considerably simpler to use than the C/C++ APIs and therefore generally results in:

- Easier data management
- Easier enrollment
- Faster development

## Importing the U.are.U Java package

The U.are.U Java library classes and interfaces are aggregated into `dpuaru.jar`. To use the U.are.U Java library functionality import the `com.digitalpersona.ureu.*` package, and make sure to include `dpuareu.jar` into your classpath.

## Getting Detailed Documentation

This chapter provides an overview of the main methods in the Java API. For a complete description of method parameters, the Javadoc documentation for the Java libraries is provided. Consult the platform guide for details of where the Javadoc files are located.

## Using the Package

### Main Access Point

The main access point to the U.are.U Java library is the `UareUGlobal` class. This is a static class, which allows you to acquire references to the classes related to fingerprint readers and to the FingerJet Engine:

- **To acquire a reference to `ReaderCollection`** use the `GetReaderCollection()` method. To destroy `ReaderCollection`, (release all system resources associated with readers and make readers available for other processes) use the `DestroyReaderCollection()` method.
- **To acquire a reference(s) to individual readers**, use the `ReaderCollection` object, which is a collection of objects of type `Reader`.
- **To acquire a reference to the FingerJet Engine** use the `GetEngine()` method. The engine does not use or allocate any system resources except memory and does not have to be destroyed explicitly.

## UareUException

The `UareUException` interface describes exceptions specific to the U.are.U SDK.

## Getting a List of Available Readers

The `ReaderCollection` interface provides a list of the readers connected to the machine. A list of available readers can be acquired any time with `GetReaders()` method.

## Working with Readers

Each attached reader is represented with a `Reader` object. The `Reader` interface allows:

- Querying reader description and capabilities,
- Acquiring status of the reader,
- Capturing fingerprints,
- Starting and stopping video stream, and
- Resetting and calibrating the reader.

The main methods are:

**Table 13.**Hardware management methods

| Function                    | Description   |
|-----------------------------|---|
| <code>GetDescription</code> | <p>Get the description of a reader. The description is available at any time (even if the device is not open). This is the only method that can be called before the <code>open()</code> method.</p> <p>Returns an object of type <code>Description</code> holding information about the reader hardware.</p> |
| <code>Open</code>           | <p>Open a device and return the device capabilities. This method establishes an exclusive link to the device; no other processes will be able to use the device until you close it. The application <i>must</i> open the device before use.</p>   |
| <code>GetStatus</code>      | <p>Get the status for a device. You would normally check the device status between captures to ensure that the device is functioning and there are no error conditions.</p> <p>Returns an object of type <code>ReaderStatus</code> which describes the current status of the reader.</p>                      |



**Table 13.**Hardware management methods

| Function        | Description   |
|-----------------|---|
| GetCapabilities | Get the capabilities of a device.<br><br>Returns an object of type <code>Capabilities</code> which describes what the reader can do.  |
| Calibrate       | Calibrate a device. Some devices are self-calibrating. Ambient light or temperature can affect calibration, for some devices. Calibration can take several seconds.   |
| Reset           | Do a hardware reset on the reader. Hardware resets are typically needed only after a hardware problem (e.g., the device is unplugged or receives an electrostatic shock). Hardware resets typically only take a few milliseconds. |
| Close           | Close a reader and release the resources associated with the reader.  |

## Capturing Fingerprints

The `Capture` function captures a fingerprint image for

- Enrollment (as part of the process described on page 16)
- Identifying users with `Identify`
- Verifying a specific user identity with `Compare`

The primary fingerprint capture methods are:

**Table 14.**Fingerprint capture functions

| Function      | Description  |
|---------------|--|
| Capture       | Captures a fingerprint image from the open reader. This function signals the reader that a fingerprint is expected, and blocks until a fingerprint is received, capture fails or the reader times out. |
| CancelCapture | Cancel a pending capture   |

## Streaming Fingerprints

Not all readers support streaming mode. To determine if a specific reader supports this feature, get the reader capabilities with the `GetCapabilities` method and check the value of the field `can_stream`.

The streaming methods are:

**Table 15.**Streaming Functions

| Function       | Description  |
|----------------|--|
| StartStreaming | Put the reader into streaming mode. In this mode, the application must call <code>GetStreamImage()</code> to acquire images from the stream.   |
| GetStreamImage | <p>Capture a fingerprint image from the streaming data.</p> <p>After this function returns, the reader remains in streaming mode.</p> <p>Frame selection, scoring and other image processing are not performed by this function.</p> |
| StopStreaming  | End streaming mode   |

## Accessing the FingerJet Engine

The `Engine` interface provides functionality to

- Extract fingerprint features (create FMDs),
- Identify and compare FMDs, and
- Create enrollment FMDs.

Refer to *Understanding the Data Flow* on page 15 for a description of enrollment and comparison terminology and data flow.

## Creating FMDs from images

The `CreateFmd()` method can be used in two ways:

1. Extract fingerprint minutiae from a raw image and create an FMD.
2. Extract fingerprint minutiae from an FID and create an FMD.

The following limitations are applied to the raw images and FIDs:

- 8 bits per pixel
- no padding
- square pixels (horizontal and vertical dpi are the same)

The size of the resulting FMD will vary depending on the minutiae in a specific fingerprint.

## Identification and Comparison

`Identify()` identifies a single FMD against an array of FMDs. This function takes as inputs:

- A single view in an FMD
- An array of FMDs (each FMD can contain up to 16 views) to compare
- The desired number of candidates to return
- The threshold for False Positive Identification Rate (FPIR) that is permitted

Each time a view has a score lower than the threshold FPIR, that view is marked as a possible candidate. Then when all possible candidates are identified (i.e., they meet the threshold), they are ranked by their score. Finally, the function returns as many candidates as requested, based on the candidates with the lowest dissimilarity score. For a discussion of setting the threshold as well as the statistical validity of the dissimilarity score and error rates, consult *NIST Fingerprint Image Quality (NFIQ)* on page 19.

`Compare()` takes two single views from two FMDs and returns a dissimilarity score indicating the quality of the match.

The majority of applications should use the `Identify` method to implement both identification and verification. However, in a few special cases, e.g., using multi-modal biometrics, or doing statistical risk assessment, the `Compare` method allows you to compare two FMVs to determine their actual degree of dissimilarity. This is useful for accuracy testing and diagnostics and is not intended to be used in final applications for actual fingerprint recognition. The `Compare` method returns a **dissimilarity score** with values:

- 0 = fingerprints are NOT dissimilar (i.e., they MATCH perfectly).
- `maxint` (#7FFFFFFF or 2147483647) = fingerprints are completely dissimilar (i.e., DO NOT match).
- Values close to 0 indicate very close matches, values closer to `maxint` indicate very poor matches.

The table below shows the relationship between the scores returned from `Compare` and the false match error rates observed in our test. The dissimilarity score distribution is estimated based on our internal testing, and may not be representative of the actual rate that will be observed in deployment.

| Dissimilarity Score | False Match Rate |
|---------------------|------------------|
| 2147483             | .1%              |
| 214748              | .01%             |
| 21474               | .001%            |
| 2147                | .0001%           |

**Table 16.**Methods for Verifying and Identifying Fingerprints

| Function | Description   |
|----------|---|
| Compare  | Compare two FMDs; supported formats are: Gold SDK, One Touch SDK, ANSI and ISO.   |
| Identify | Identify an FMD: given an array of FMDs, this function returns an array of candidates that match the original fingerprint (an FMV within an FMD) within the threshold of error. Supported formats are: Gold SDK, One Touch SDK, ANSI and ISO. |

## Enrollment

`CreateEnrollmentFmd()` creates and returns an enrollment FMD. It takes as input a reference to an object of type `EnrollmentCallback`. The client must implement `EnrollmentCallback.GetFmd()`. This method acquires and returns an FMD to add to the enrollment. The engine calls `EnrollmentCallback.GetFmd()` as many times as needed in order to create an enrollment FMD.

Normally, the client application will implement `EnrollmentCallback.GetFmd()` to provide the onscreen UI to capture fingerprints from the reader, extract features using `CreateFmd()`, and return an enrollment FMD. If the user wants to cancel the enrollment, `EnrollmentCallback.GetFmd()` should return `null`.

The .NET API is built as a wrapper to the C/C++ APIs. The .NET API is available for Windows and Windows CE. This chapter provides an overview of the API. For details of using the API on a specific reader platform, consult the appropriate Platform Guide.

The .NET API is considerably simpler to use than the C/C++ APIs and therefore generally results in:

- Easier data management
- Easier enrollment
- Faster development

The .NET API also implements additional features:

- Serialization
- Pre-built GUI controls for enrollment and identification to quickly get you started

## Importing the U.are.U .NET package

The U.are.U .NET library classes are aggregated into the following class libraries:

- **DP .NET API** - for capturing and comparing fingerprints
- **DP .NET Controls** - simple interface for enrollment and identification, based on OneTouch interface

## Getting Detailed Documentation

This chapter provides an overview of the main methods in the .NET API. For a complete description of method parameters, the Doxygen documentation for the .NET libraries is provided. Consult the platform guide for details of where the Doxygen files are located.

## Using the Package

### Main Access Points

- **To acquire a reference to `ReaderCollection`** use the `GetReaders()` method. To destroy `ReaderCollection`, (release all system resources associated with readers and make readers available for other processes) use the `Dispose()` method.
- **To acquire a reference(s) to individual readers**, use the `ReaderCollection` object, which is a collection of objects of type `Reader`.

- **To work with the FingerJet Engine**, instantiate one of the classes: `Comparison`, `Importer`, `FeatureExtraction` or `Enrollment`. For example, to start enrolling fingerprints using the FingerJet engine, call the static method, `Enrollment.CreateEnrollmentFmd()`. This method takes as input an enumeration that specifies the format the enrollment template should be in, e.g., ANSI or ISO. This method also takes an `IEnumerable<Fmd>` object. See *Enumerables in the .NET Wrapper* on page 47 for more information on `IEnumerable<Fmd>`.

## SDKException

The `SDKException` class describes exceptions specific to the U.are.U SDK.

## Serialization

The .NET API provides the ability to convert an FMD or FID into a format that can be read serially. Serialization allows you to easily transmit and store data as byte strings, streams or XML. This allows you to transmit the data or save it to standard file systems. The XML format can be used within HTML for building browser-based applications.

To return the data to its original format, *deserialization* is also provided.

Note that serialized FMDs and FIDs include the version number of the .NET wrapper that was used for the serialization. If you attempt to deserialize with an older version of the .NET wrapper, the results may not be correct, so when deserializing, the .NET wrapper will throw an `SDKException` if the serialization was done using a later version of the wrapper.

Serialization in the .NET Wrapper occurs using the default `System.Xml.Serialization.XmlSerializer`. The name of the root element of the generated XML is the same as the object type. Each public member of the the object is represented as an XML element. Raw byte data is encoded as a Base-64 string by `XmlSerializer`.

Deserialization uses the same `XmlSerializer`. The XML that was serialized is fed into `XmlSerializer` where the elements with values become object members with values of the same name as the element.

## Enumerables in the .NET Wrapper

The .NET wrapper uses the `IEnumerable<T>` interface (as specified here: <http://msdn.microsoft.com/en-us/library/9eekhta0.aspx>). An `IEnumerable<T>` is a data structure of type T that can be iterated through. An array is one example of `IEnumerable<T>`, because it can be iterated, or looped through.

An advantage of `IEnumerable` is that many different data structures can be used instead of requiring a very specific type of data structure, such as a 1-dimensional array of type T.

Perhaps the most important advantage of `Enumerables` is that whatever is responsible for sending an `IEnumerable` to a method may use special symantics such as 'yield return' to return only a single item at a

time. This helps performance, and also helps programmers simplify their code by allowing .NET wrapper methods to pull only what is necessary for the operation.

For example, `Enrollment.CreateEnrollmentFmd(IEnumerable<Fmd>)` can iterate through a user's FMDs until enough data is captured and then create an enrollment FMD, as opposed to having more data than is necessary. Each iteration can cause a capture workflow to occur which causes 'yield return' to return a single item to Enrollment.

NOTE: The `yield return` feature of `IEnumerable` is available in C# but **NOT** in VB.NET.

For more information on `IEnumerable<T>`, consult the Microsoft documentation pages listed below.

| Topic                             | Microsoft Documentation   |
|-----------------------------------|---|
| <code>IEnumerable&lt;T&gt;</code> | <a href="http://msdn.microsoft.com/en-us/library/9eekhta0.aspx">http://msdn.microsoft.com/en-us/library/9eekhta0.aspx</a>                   |
| Yield                             | <a href="http://msdn.microsoft.com/en-us/library/9k7k7cf0(v=vs.80).aspx">http://msdn.microsoft.com/en-us/library/9k7k7cf0(v=vs.80).aspx</a> |



## Working with Readers

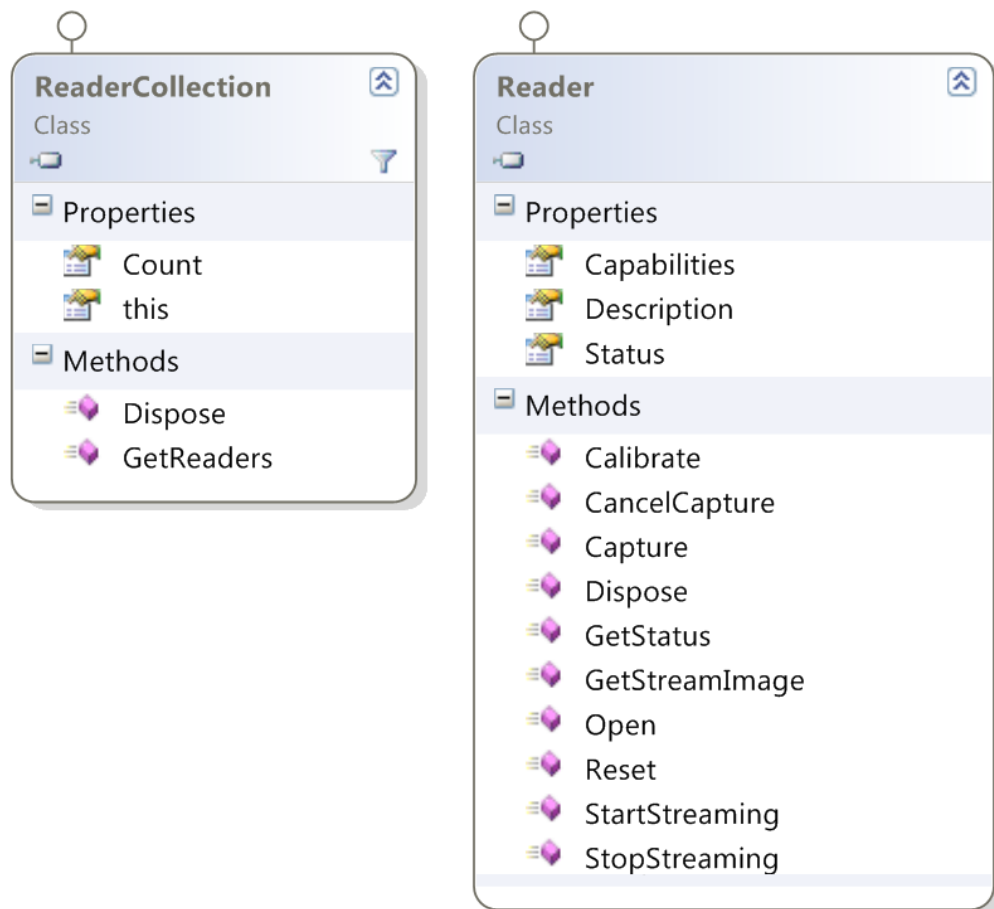
Readers are accessed through the `ReaderCollection` object, which is of type `IEnumerable<Reader>`.

Each attached reader is represented with a `Reader` object. The `Reader` interface allows:

- Querying reader description and capabilities,
- Acquiring status of the reader,
- Capturing fingerprints,
- Starting and stopping image stream, and
- Resetting and calibrating the reader.

**To acquire a reader**, call `ReaderCollection.GetReaders()` which returns the attached readers. Iterate through this list to look at the description object for the desired reader. Once finished with all of the `Reader` objects in the `ReaderCollection`, ensure that you call the `Dispose()` method to un-instantiate the `ReaderCollection` object and release system resources.

The UML diagrams below show the `ReaderCollection` and `Reader` classes.



**ReaderDescription**  
Class

Properties

- Id
- Modality
- Name
- SerialNumber
- Technology
- Version

Nested Types

**ReaderId**  
Class

Properties

- ProductId
- ProductName
- VendorId
- VendorName

**ReaderVersion**  
Class

Properties

- FirmwareVersion
- HardwareVersion

**ReaderCapabilities**  
Class

Properties

- CanCapture
- CanIdentify
- CanMatch
- CanStream
- ExtractFeatures
- HasCalibration
- HasFingerprintStorage
- HasPowerManagement
- IndicatorType
- PIVCompliant
- Resolutions

**ReaderStatus**  
Class

Properties

- FingerDetected
- Status
- VendorData

The main methods for managing reader hardware in the `Reader` class are:

**Table 17.**Hardware management methods

| Function  | Description   |
|-----------|---|
| Open      | Open a device and return the device capabilities. This method establishes an exclusive link to the device; no other processes will be able to use the device until you close it. The application <i>must</i> open the device before use.  |
| GetStatus | Get the status for a device. You would normally check the device status between captures to ensure that the device is functioning and there are no error conditions.<br><br>Returns an object of type <code>ReaderStatus</code> which describes the current status of the reader. |
| Calibrate | Calibrate a device. Some devices are self-calibrating. Ambient light or temperature can affect calibration, for some devices. Calibration can take several seconds.   |
| Reset     | Do a hardware reset on the reader. Hardware resets are typically needed only after a hardware problem (e.g., the device is unplugged or receives an electrostatic shock). Hardware resets typically only take a few milliseconds.   |
| Dispose   | Close device, release memory, remove child objects.   |

## Capturing Fingerprints

The `Capture` function captures a fingerprint image for

- Enrollment (as part of the process described on page 16)
- Identifying users with `Identify`
- Verifying a specific user identity with `Compare`

The primary fingerprint capture methods are:

**Table 18.**Fingerprint capture functions

| Function      | Description  |
|---------------|--|
| Capture       | Captures a fingerprint image from the open reader. This function signals the reader that a fingerprint is expected, and blocks until a fingerprint is received, capture fails or the reader times out. |
| CancelCapture | Cancel a pending capture   |

## Streaming Fingerprints

Not all readers support streaming mode. To determine if a specific reader supports this feature, check the value of the reader property `CanStream`.

The streaming methods are:

**Table 19.**Streaming Functions

| Function       | Description   |
|----------------|---|
| StartStreaming | Put the reader into streaming mode. In this mode, the application must call <code>GetStreamImage()</code> to acquire images from the stream.  |
| GetStreamImage | Capture a fingerprint image from the streaming data.<br><br>After this function returns, the reader remains in streaming mode.<br><br>Frame selection, scoring and other image processing are not performed by this function. |
| StopStreaming  | End streaming mode  |

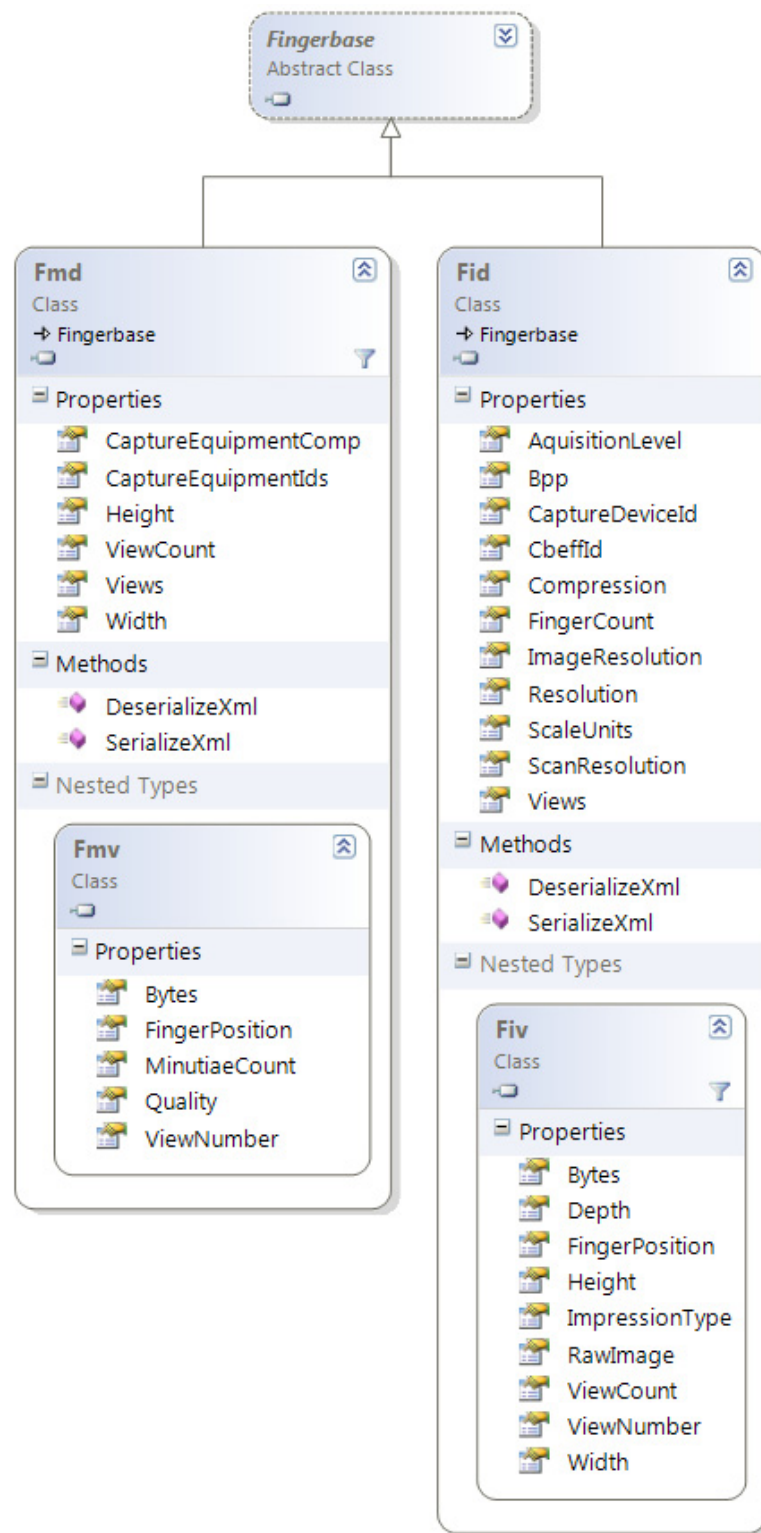
## Managing Fingerprint Data

The .NET API implements fingerprint data as shown in the UML diagram below and on the next page.

In addition to the usual methods for working with data, this class includes the methods below for serializing and deserializing (as described in *Importing the U.are.U .NET package on page 46*).

**Table 20.**Serializing and Deserializing

| Function       | Description  |
|----------------|--|
| SerializeXml   | Static method which serializes FMDs and FIDs into an XML string. Note that raw data is encoded as base-64. |
| DeserializeXml | Static method which de-serializes XML-encoded FMDs and FIDs back into a U.are.U FMD or FID data structure. |



## Analyzing and Managing Fingerprints (FingerJet Engine)

The FingerJet Engine interfaces provide functionality to

- Extract fingerprint features (create FMDs),
- Identify and compare FMDs, and
- Create enrollment FMDs.

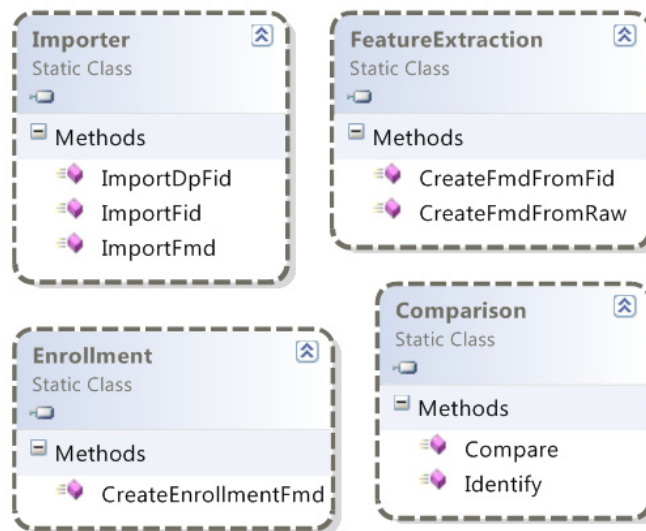
Refer to *Understanding the Data Flow* on page 15 for a description of enrollment and comparison terminology and data flow.

The Classes for working with data (including identify and verify) are:

| Class             | Description   |
|-------------------|---|
| Comparison        | This class allows you to perform: <ul style="list-style-type: none"><li>■ Verification</li><li>■ Identification</li></ul>   |
| Enrollment        | To enroll a user, you must call:<br><br>CreateEnrollmentFMD<br><br>Enrollment is implemented as a static class -- you can provide an <code>IEnumerable&lt;Fmd&gt;</code> or a function that returns such. |
| Importer          | The U.are.U SDK supports multiple formats for FMDs and FIDs. You can import any supported format.   |
| FeatureExtraction | Extract features from an FID or raw image.  |



The UML diagram below provides more detail.



## Creating FMDs from images

The `CreateFmdFromFid()` method can be used in two ways:

1. Extract fingerprint minutiae from a raw image and create an FMD.
2. Extract fingerprint minutiae from an FID and create an FMD.

The following limitations are applied to the raw images and FIDs:

- 8 bits per pixel
- no padding
- square pixels (horizontal and vertical dpi are the same)

The size of the resulting FMD will vary depending on the minutiae in a specific fingerprint.

## Comparing Fingerprints

`Identify()` identifies a single FMD against an array of FMDs. This function takes as inputs:

- A single view in an FMD
- An array of FMDs (each FMD can contain up to 16 views) to compare
- The desired number of candidates to return
- The threshold for False Positive Identification Rate (FPIR) that is permitted

and returns matches as an array of integer pairs which provide the finger index and view index of each match.

Each time a view has a score lower than the threshold FPIR, that view is marked as a possible candidate. Then when all possible candidates are identified (i.e., they meet the threshold), they are ranked by their score. Finally, the function returns as many candidates as requested, based on the candidates with the lowest dissimilarity score. For a discussion of setting the threshold as well as the statistical validity of the dissimilarity score and error rates, consult *NIST Fingerprint Image Quality (NFIQ)* on page 19.

`Compare()` takes two single views from two FMDs and returns a dissimilarity score indicating the quality of the match.

The majority of applications should use the `Identify` method to implement both identification and verification. However, in a few special cases, e.g., using multi-modal biometrics, or doing statistical risk assessment, the `Compare` method allows you to compare two FMVs to determine their actual degree of dissimilarity. This is useful for accuracy testing and diagnostics and is not intended to be used in final applications for actual fingerprint recognition. The `Compare` method returns a **dissimilarity score** with values:

- 0 = fingerprints are NOT dissimilar (i.e., they MATCH perfectly).
- `maxint` (#7FFFFFFF or 2147483647) = fingerprints are completely dissimilar (i.e., DO NOT match).
- Values close to 0 indicate very close matches, values closer to `maxint` indicate very poor matches.

The table below shows the relationship between the scores returned from `Compare` and the false match error rates observed in our test. The dissimilarity score distribution is estimated based on our internal testing, and may not be representative of the actual rate that will be observed in deployment.

| Dissimilarity Score | False Match Rate |
|---------------------|------------------|
| 2147483             | .1%              |
| 214748              | .01%             |
| 21474               | .001%            |
| 2147                | .0001%           |

**Table 21.**Methods for Verifying and Identifying Fingerprints

| Function | Description   |
|----------|---|
| Compare  | Compare two FMDs; supported formats are: Gold SDK, One Touch SDK, ANSI and ISO.   |
| Identify | Identify an FMD: given an array of FMDs, this function returns an array of candidates that match the original fingerprint (an FMV within an FMD) within the threshold of error. Supported formats are: Gold SDK, One Touch SDK, ANSI and ISO. |

## Enrollment

`CreateEnrollmentFmd()` creates and returns an enrollment FMD. The method takes as input an enumeration which defines which format to use, e.g., ANSI or ISO. This method also takes as input an `IEnumerable<Fmd>` object type. See *Enumerables in the .NET Wrapper* on page 47 for a brief description. As `IEnumerable<Fmd>` pertains to Enrollment, you may either send an array of FMDs to `CreateEnrollmentFmd()` because simple arrays satisfy the `IEnumerable<Fmd>` interface. You may also send a method which returns `IEnumerable<Fmd>`. Here is an example that uses an `IEnumerable<Fmd>` method. To keep the example simple, error checking is removed:

```
// Create an enrollment Fmd.
DataResult<Fmd> enrollmentResult = Enrollment.CreateEnrollmentFmd(
Constants.Formats.Fmd.ANSI,
CaptureExtractFmd()
);
```

Here is a function which captures and extracts an FMD, then returns `IEnumerable<Fmd>`: (the full version of this code is in the code sample)

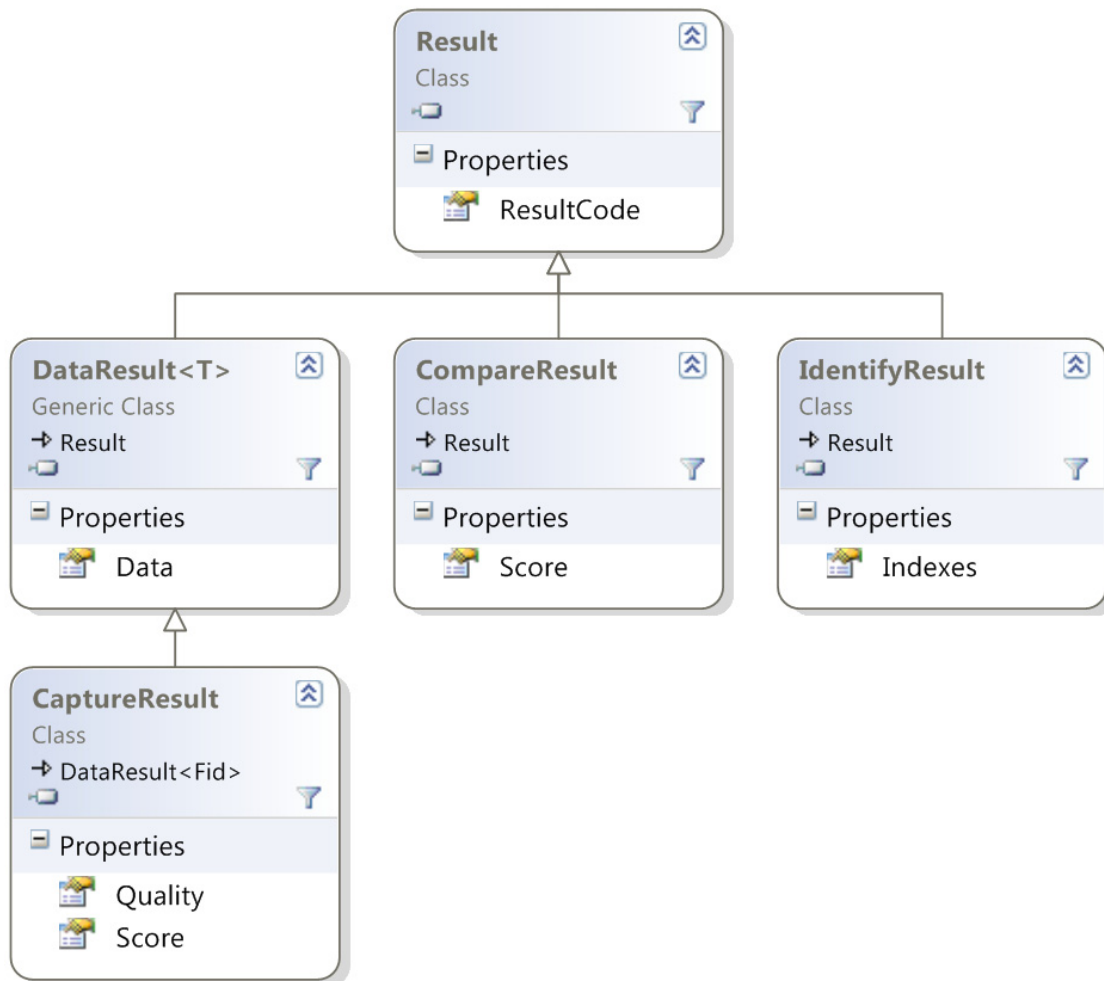
```
// Capture and extract an FMD and return as IEnumerable<Fmd>.
private IEnumerable<Fmd> CaptureAndExtractFmd()
{
    while (true)
    {
        // !!! Get Status and ensure that status is DP_STATUS_READY before continuing
        // Capture a fingerprint.
        CaptureResult captureResult = m_reader.Capture(
            Constants.Formats.Fid.ANSI,
            Constants.CaptureProcessing.DP_IMG_PROC_DEFAULT,
            /* Default processing used. */
            -1,
            /* No timeout. */
            reader.Capabilities.Resolutions[0]
            /* A resolution that is available to reader. */
        );

        // !!! Check for errors, use 'yield return null; or break;' to stop.
        yield return convertResult.Data;
    }
}
```

In VB.NET, the `IEnumerable<T>` class does not exist. The recommended method to enroll FMDs using VB.NET is to send `CreateEnrollmentFmd()` four captured FMDs in an array. If four FMDs is not enough, add a fifth captured and converted FMD to the array and send to `CreateEnrollmentFMD()`, and so on until an FMD is created.

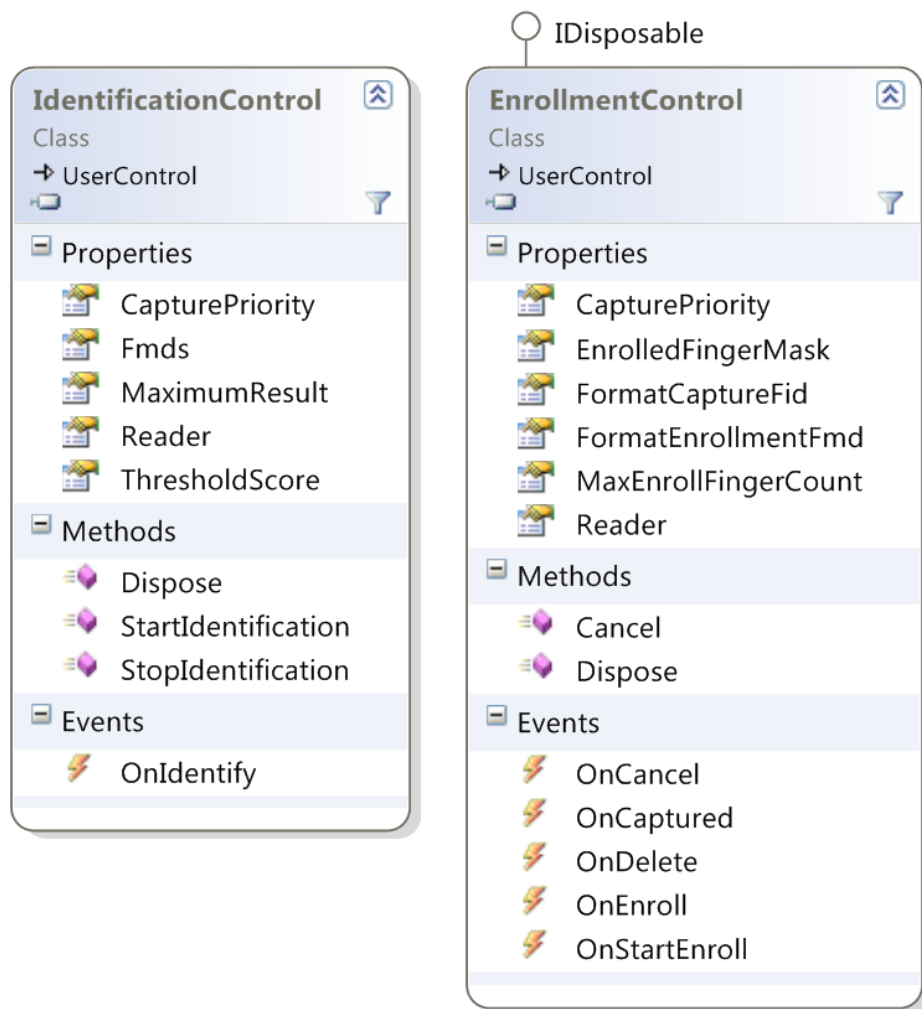
## Common Data Structures for Results

The following classes are used when data is returned as a result of a U.are.U .NET operation.



## Pre-Built Controls for Enrollment and Identification

In addition to the basic API, the SDK contains two pre-built controls that allow you to quickly add enrollment or identification into your application. These controls provide the same functionality as the DigitalPersona One Touch products.



The ActiveX API and controls are built as a wrapper to the C/C++ APIs.

The ActiveX API is available for Windows.

This chapter provides an overview of the API. For details of using the API on Windows-based readers, consult the U.are.U SDK Platform Guide for Windows.

Note that ActiveX is a Microsoft technology and is not supported on Mozilla Firefox and Google Chrome.

## Importing the U.are.U ActiveX package

The U.are.U ActiveX library classes are aggregated into two DLLs:

- **DPXUru.dll** – ActiveX API library
- **DPctlXUru.dll** – ActiveX GUI controls

## Getting Detailed Documentation

This chapter provides an overview of the main methods in the ActiveX API. For a complete description of method parameters, the Doxygen documentation for the ActiveX libraries is provided. Consult the platform guide for details of where the Doxygen files are located.

## Using the Package

### Main Access Points

The main access point to the U.are.U ActiveX library is the `XReaderCollection` class.

- **To acquire a reference to `XReaderCollection`** use the `GetReaders()` method. To destroy `XReaderCollection`, (release all system resources associated with readers and make readers available for other processes) use the `Dispose()` method.
- **To acquire a reference(s) to individual readers**, use the `XReaderCollection` object, which is a collection of objects of type `XReader`.
- **To work with the FingerJet Engine**, instantiate one of the classes: `XComparison`, `XImporter`, `XFeatureExtraction` or `XEnrollment`. For example, to start enrolling fingerprints using the FingerJet engine, call the static method, `Enrollment.CreateEnrollmentFmd()`. This method takes as input an enumeration that specifies the format the enrollment template should be in, e.g., ANSI

or ISO. This method also takes an `IEnumerable<Fmd>` object. See *Enumerables in the .NET Wrapper* on page 47 for more information on `IEnumerable<Fmd>`.

## SDKException

The `SDKException` class describes exceptions specific to the U.are.U SDK.

## Serialization

The ActiveX API provides the ability to convert an FMD or FID into a format that can be read serially. Serialization allows you to easily transmit and store data as byte strings, streams or XML. This allows you to transmit the data or save it to standard file systems. The XML format can be used within HTML for building browser-based applications.

To return the data to its original format, *deserialization* is also provided.

Note that serialized FMDs and FIDs include the version number of the ActiveX API that was used for the serialization. If you attempt to deserialize with an older version of the API, the results may not be correct, so when deserializing, the API will throw an `SDKException` if the serialization was done using a later version of the wrapper.

Serialization in the API occurs using the default `System.Xml.Serialization.XmlSerializer`. The name of the root element of the generated XML is the same as the object type. Each public member of the object is represented as an XML element. Raw byte data is encoded as a Base-64 string by `XmlSerializer`.

Deserialization also uses `XmlSerializer`. The XML that was serialized is fed into `XmlSerializer` where the elements with values become object members with values of the same name as the element.



## Working with Readers

Readers are accessed through the `XReaderCollection` object, which is a collection of `XReader` objects.

Each attached reader is represented with a `XReader` object. The `XReader` interface allows:

- Querying reader description and capabilities,
- Acquiring status of the reader,
- Capturing fingerprints,
- Starting and stopping image stream, and
- Resetting and calibrating the reader.

**To acquire a reader**, first instantiate a `XReaderCollection` object and call `XReaderCollection.GetReaders()` which returns the attached readers. Iterate through this list to look at the description object for the desired reader. Once finished with all of the `XReader` objects in the `XReaderCollection`, ensure that you call the `Dispose()` method to destroy the `XReaderCollection` object and release system resources.

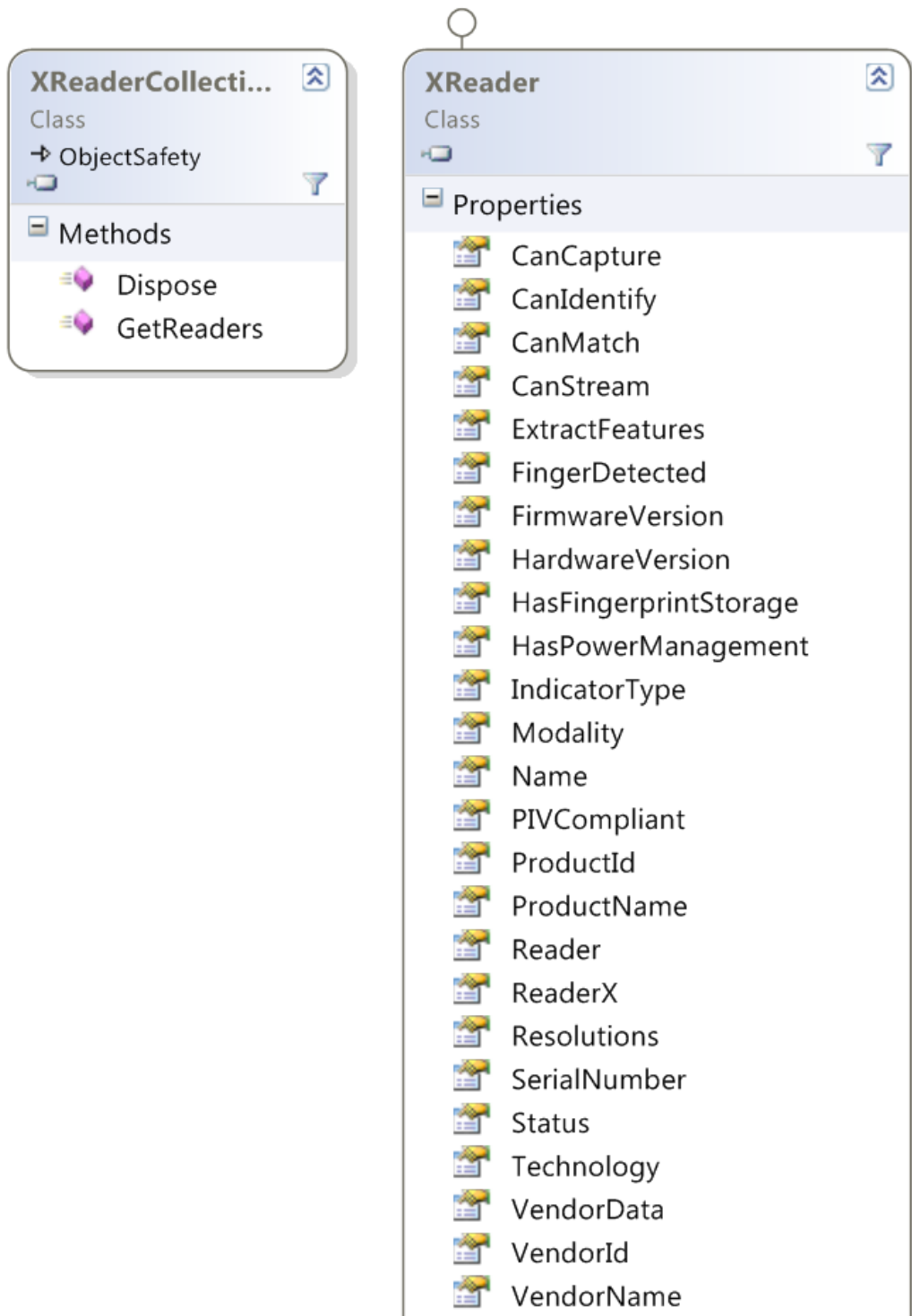
## A Note About Internet Explorer and Process Merging

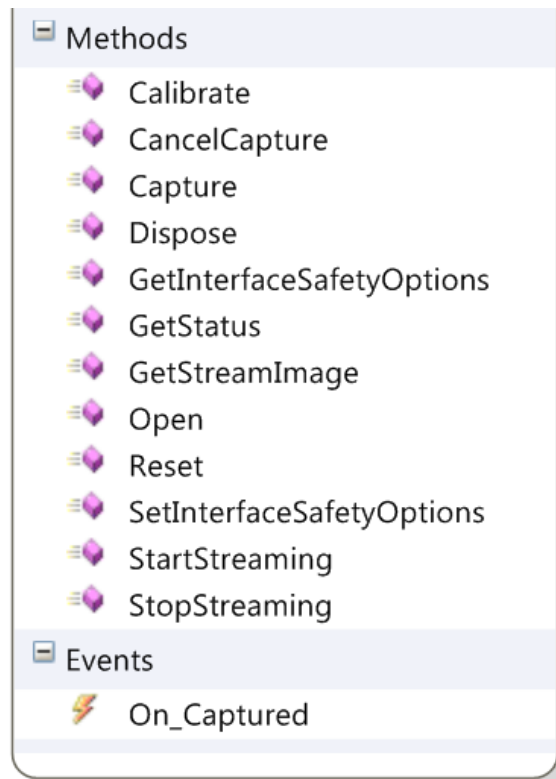
By default, Internet Explorer merges browser processes where it can, beginning with IE8. If your application is open in more than one browser window, users may experience erroneous behavior when your application calls `XReader.Dispose()` from one window.

To prevent this, users can use the **File > New Session** command to open a new window that does not merge processes with existing windows. You can also prevent IE from merging processes by using the **-nomerge** command line option when launching IE OR change the registry setting of `HKEY_CURRENT_USER\Software\Microsoft\Internet Explorer\Main` to set `SessionMerging` to 0. Note however that these options will affect IE's efficiency and startup time.

## Class Diagrams

The UML diagrams below show the `XReaderCollection` and `XReader` classes.





The main reader hardware management methods in the `XReader` class are:

**Table 22.**Hardware management methods

| Function  | Description  |
|-----------|--|
| Open      | Open a device and return the device capabilities. This method establishes an exclusive link to the device; no other processes will be able to use the device until you close it. The application <i>must</i> open the device before use.   |
| GetStatus | Get the status for a device. You would normally check the device status before captures to ensure that the device is functioning and there are no error conditions.<br><br>Returns an object of type <code>ReaderStatus</code> which describes the current status of the reader. |
| Calibrate | Calibrate a device. Some devices are self-calibrating. Ambient light or temperature can affect calibration, for some devices. Calibration can take several seconds.  |

**Table 22.**Hardware management methods

| Function | Description   |
|----------|---|
| Reset    | Do a hardware reset on the reader. Hardware resets are typically needed only after a hardware problem (e.g., the device is unplugged or receives an electrostatic shock). Hardware resets typically only take a few milliseconds. |
| Dispose  | Close device, release memory, remove child objects.   |

## Capturing Fingerprints

The `Capture` function of the `XReader` class captures a fingerprint image for

- Enrollment (as part of the process described on page 16)
- Identifying users with `Identify`
- Verifying a specific user identity with `Compare`

The primary fingerprint capture methods are:

**Table 23.**Fingerprint capture functions

| Function      | Description  |
|---------------|--|
| Capture       | Captures a fingerprint image from the open reader. This function signals the reader that a fingerprint is expected, and blocks until a fingerprint is received, capture fails or the reader times out. |
| CancelCapture | Cancel a pending capture   |

## Streaming Fingerprints

Not all readers support streaming mode. To determine if a specific reader supports this feature, check the value of the `XReader` property `CanStream`.

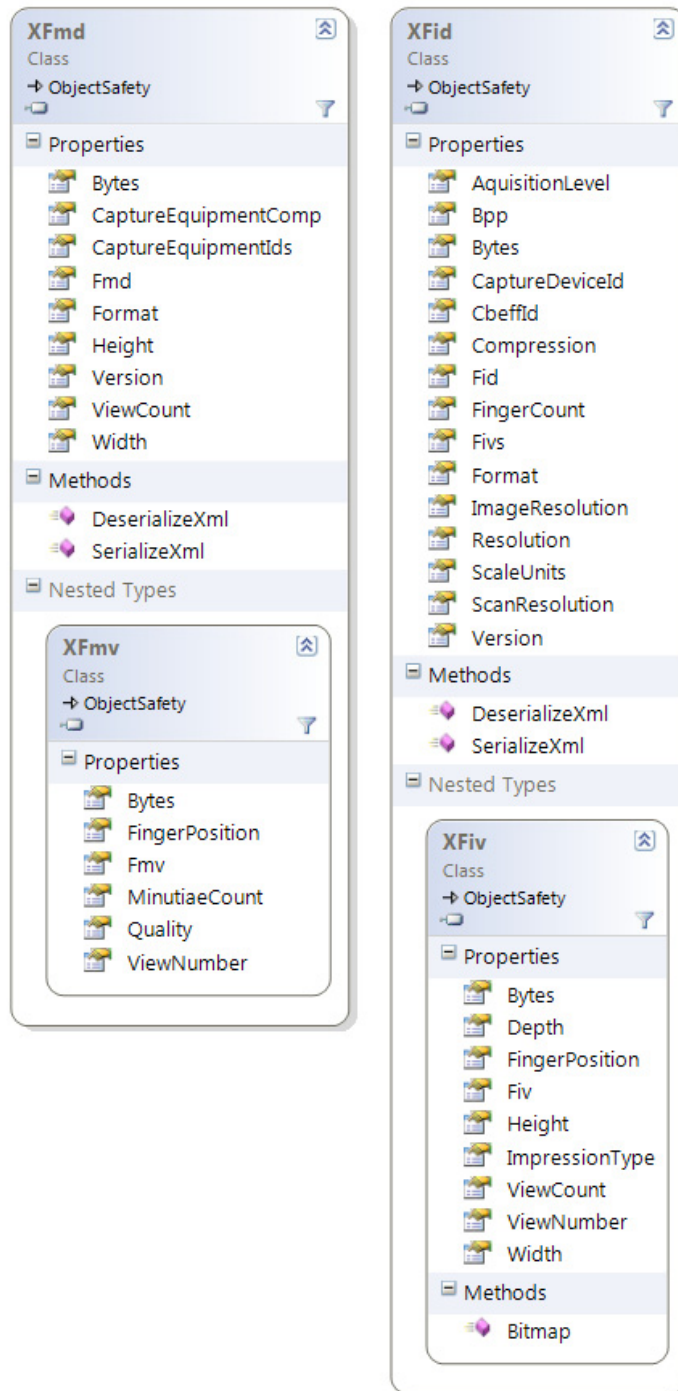
The streaming methods in `XReader` are:

**Table 24.**Streaming Functions

| Function       | Description  |
|----------------|--|
| StartStreaming | Put the reader into streaming mode. In this mode, the application must call <code>GetStreamImage()</code> to acquire images from the stream.   |
| GetStreamImage | <p>Capture a fingerprint image from the streaming data.</p> <p>After this function returns, the reader remains in streaming mode.</p> <p>Frame selection, scoring and other image processing are not performed by this function.</p> |
| StopStreaming  | End streaming mode   |

## Managing Fingerprint Data

The ActiveX API implements fingerprint data as shown in the UML diagram below:



In addition to the usual methods for working with data, this class includes the methods below for serializing and deserializing (as described in *Importing the U.are.U .NET package* on page 46).

**Table 25.**Serializing and Deserializing

| Function       | Description  |
|----------------|--|
| SerializeXml   | Static method which serializes FMDs and FIDs into an XML string. Note that raw data is encoded as base-64. |
| DeserializeXml | Static method which de-serializes XML-encoded FMDs and FIDs back into a U.are.U FMD or FID data structure. |

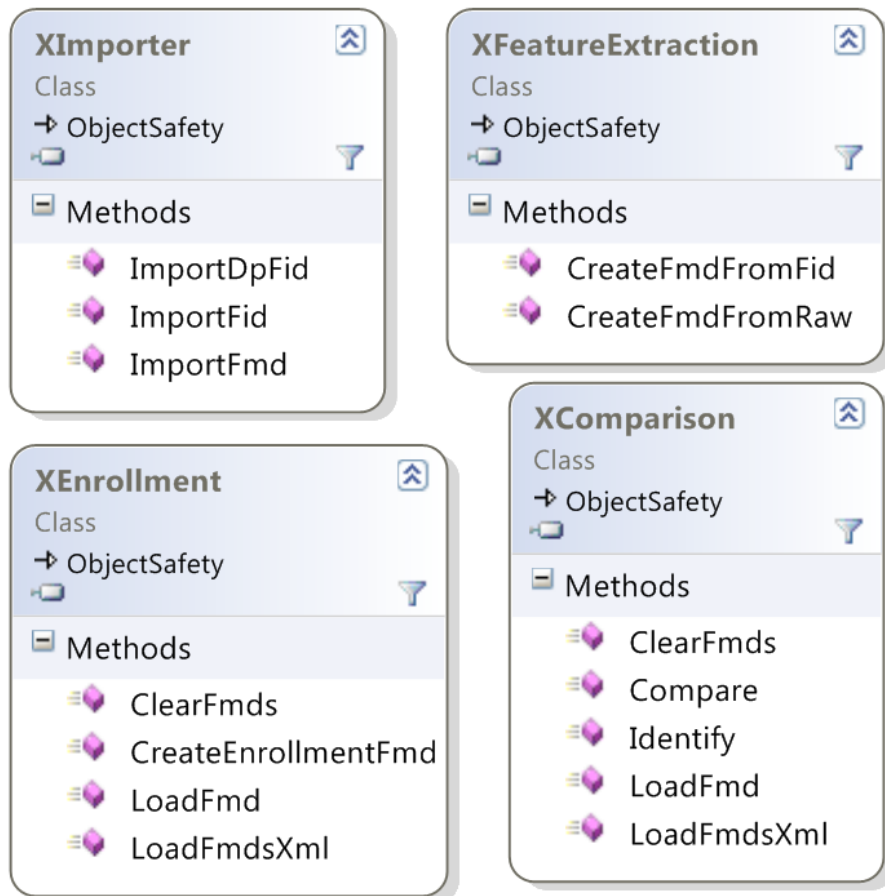
## Accessing the FingerJet Engine

The FingerJet Engine interfaces provide functionality to

- Extract fingerprint features (create FMDs),
- Identify and compare FMDs, and
- Create enrollment FMDs.

Refer to *Understanding the Data Flow* on page 15 for a description of enrollment and comparison terminology and data flow.

The UML diagram below shows the relevant classes:





## Creating FMDs from images

The `CreateFmdFromFid()` method can be used in two ways:

1. Extract fingerprint minutiae from a raw image and create an FMD.
2. Extract fingerprint minutiae from an FID and create an FMD.

The following limitations are applied to the raw images and FIDs:

- 8 bits per pixel
- no padding
- square pixels (horizontal and vertical dpi are the same)

The size of the resulting FMD will vary depending on the minutiae in a specific fingerprint.

## Identification and Comparison

`Identify()` identifies a single FMD against an array of FMDs. This function takes as inputs:

- A single view in an FMD
- An array of FMDs (each FMD can contain up to 16 views) to compare
- The desired number of candidates to return
- The threshold for False Positive Identification Rate (FPIR) that is permitted

and returns matches as an array of integer pairs which provide the finger index and view index of each match.

Each time a view has a score lower than the threshold FPIR, that view is marked as a possible candidate. Then when all possible candidates are identified (i.e., they meet the threshold), they are ranked by their score. Finally, the function returns as many candidates as requested, based on the candidates with the lowest dissimilarity score. For a discussion of setting the threshold as well as the statistical validity of the dissimilarity score and error rates, consult *NIST Fingerprint Image Quality (NFIQ)* on page 19.

`Compare()` takes two single views from two FMDs and returns a dissimilarity score indicating the quality of the match.

The majority of applications should use the `Identify` method to implement both identification and verification. However, in a few special cases, e.g., using multi-modal biometrics, or doing statistical risk assessment, the `Compare` method allows you to compare two FMDs to determine their actual degree of dissimilarity. This is useful for accuracy testing and diagnostics and is not intended to be used in final applications for actual fingerprint recognition. The `Compare` method returns a **dissimilarity score** with values:

- 0 = fingerprints are NOT dissimilar (i.e., they MATCH perfectly).

- `maxint` (#FFFFFFFF or 2147483647) = fingerprints are completely dissimilar (i.e., DO NOT match).
- Values close to 0 indicate very close matches, values closer to `maxint` indicate very poor matches.

The table below shows the relationship between the scores returned from `Compare` and the false match error rates observed in our test. The dissimilarity score distribution is estimated based on our internal testing, and may not be representative of the actual rate that will be observed in deployment.

| Dissimilarity Score | False Match Rate |
|---------------------|------------------|
| 2147483             | .1%              |
| 214748              | .01%             |
| 21474               | .001%            |
| 2147                | .0001%           |

**Table 26.**Methods for Verifying and Identifying Fingerprints

| Function | Description   |
|----------|---|
| Compare  | Compare two FMDs; supported formats are: Gold SDK, One Touch SDK, ANSI and ISO.   |
| Identify | Identify an FMD: given an array of FMDs, this function returns an array of candidates that match the original fingerprint (an FMV within an FMD) within the threshold of error. Supported formats are: Gold SDK, One Touch SDK, ANSI and ISO. |

## Enrollment

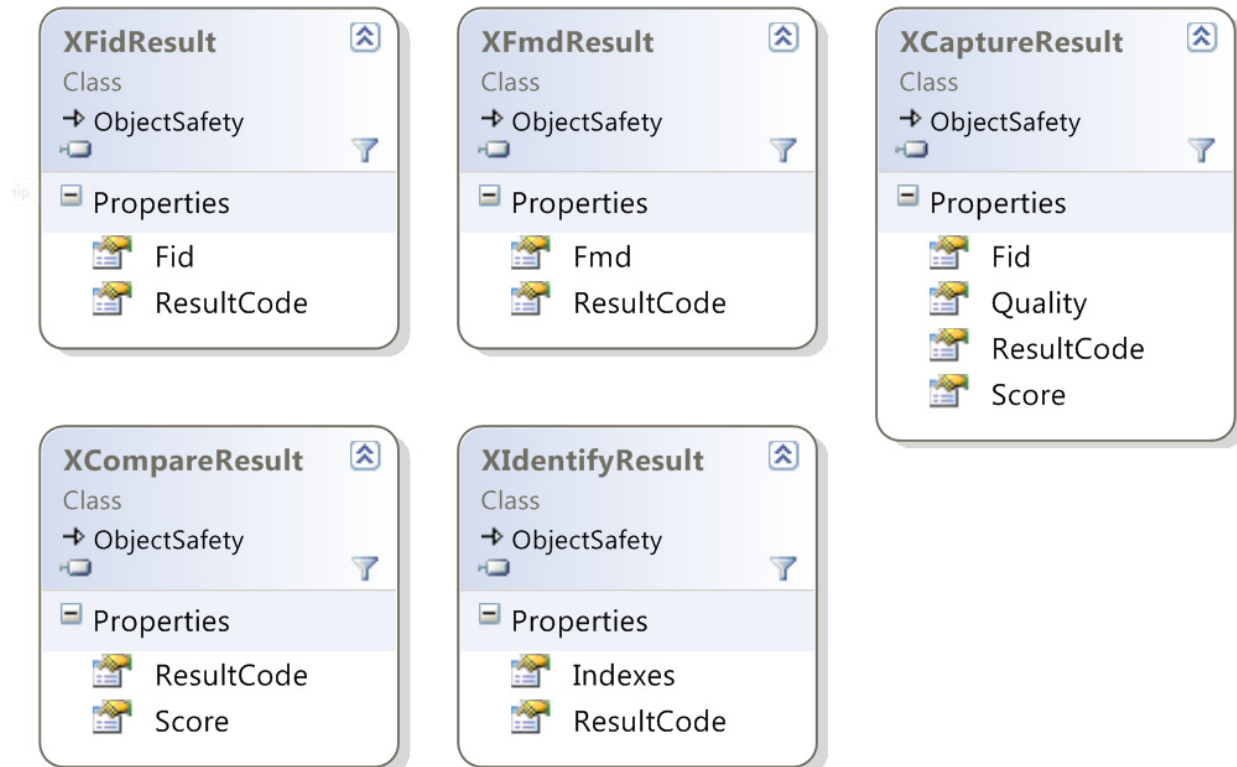
`CreateEnrollmentFmd()` creates and returns an enrollment FMD. The method takes as input:

- Which format to use, e.g., ANSI or ISO
- An `ArrayList` object containing the FMDs to enroll

The recommended sequence in which to enroll FMDs is to send `CreateEnrollmentFmd()` four captured FMDs in an array. If four FMDs is not enough, you can capture an FID, convert it to an additional FMD, add it to the array and call `CreateEnrollmentFMD()` again. If `CreateEnrollmentFMD()`, fails again, you can continue to add FMDs to the array and call `CreateEnrollmentFMD()` until an enrollment FMD is created successfully.

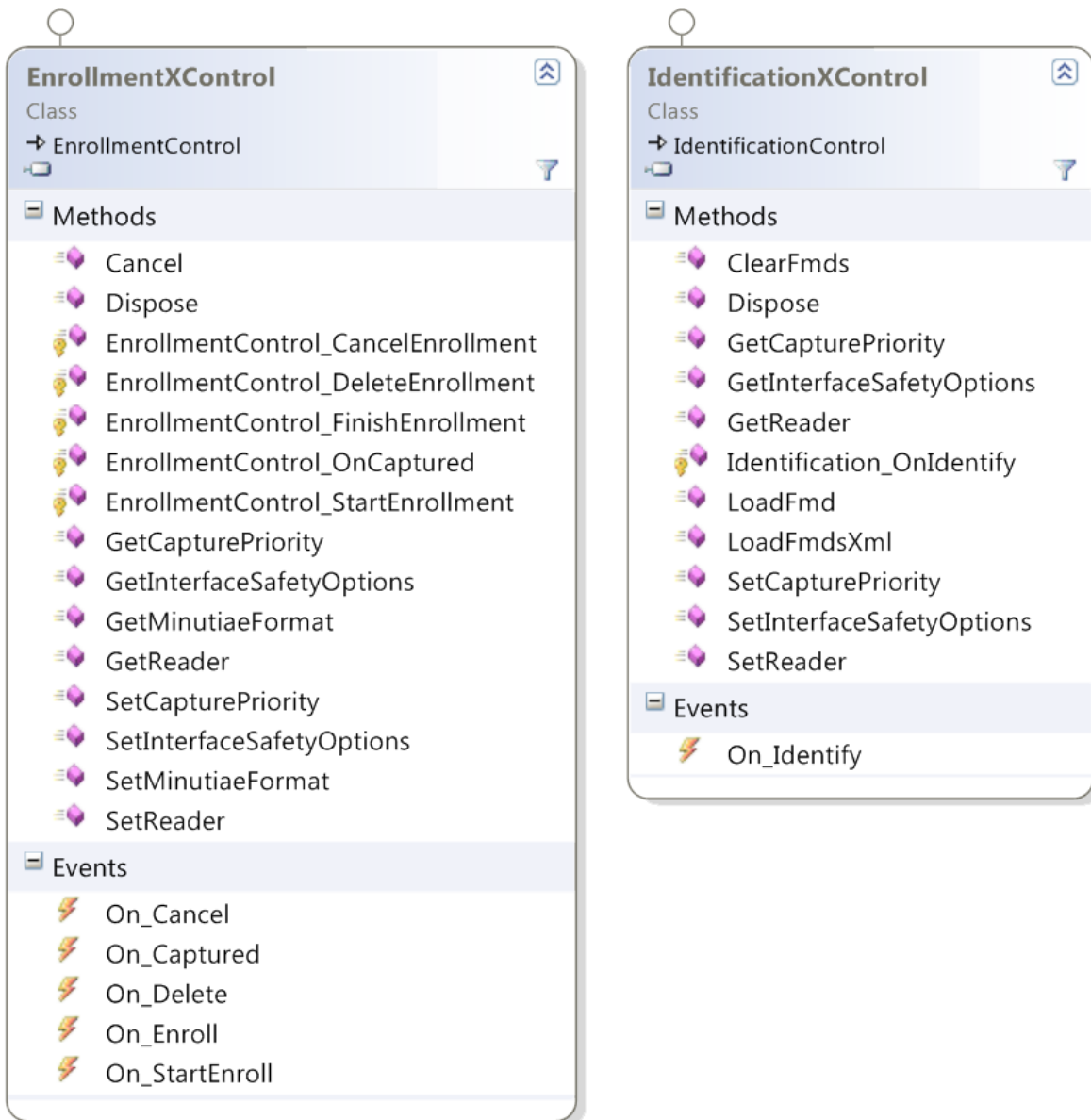
## Common Data Structures for Results

The following classes are used when data is returned as a result of a U.are.U ActiveX operation.



## Pre-Built Controls for Enrollment and Identification

In addition to the basic API, the SDK contains two pre-built controls that allow you to quickly add enrollment or identification into your application. These controls provide the same functionality as the DigitalPersona One Touch products.



The U.are.U JavaPOS API is built on the U.are.U Java API. This JavaPOS API is geared for Point of Sale applications and has the following features:

- **Fully compliant with JavaPOS 1.13.** The U.are.U JavaPOS API conforms to the specifications for the Biometrics device category in Chapter 5, “Biometrics,” of the *UnifiedPOS Retail Peripheral Architecture*, Version 1.13 (July 15, 2009). The complete UPOS documentation is available at <http://www.nrf-arts.org/UnifiedPOS/default.htm>.
- **Backward compatible with DigitalPersona’s previous JavaPOS product (U.are.U UPOS for JavaPOS SDK),** with only a few caveats. This new API is the result of merging the previous JavaPOS SDK with the U.are.U SDK - the internal architecture has been completely rewritten. For users of the previous SDK, the updated SDK means an upgraded internal architecture for more robust performance -- up to ten times faster for identification. If you are upgrading an existing application, see *Upgrading from U.are.U UPOS for OPOS/JavaPOS* on page 28 for more details.
- **In addition to the JavaPOS API, the U.are.U SDK includes a JavaPOS Device Service object,** which can be used with any JavaPOS Device Control for the Biometrics device category.
- **Because the JavaPOS API is built as an adjunct to the Java API, applications can use both the JavaPOS standard operations AND use the U.are.U Java API** (described in *The Java API* on page 39). Java methods can be used to access streaming features or to import data.

## Terminology Note

The U.are.U JavaPOS API conforms to the standard terminology used by the JavaPOS spec from 2009 whereas the other APIs in the U.are.U SDK generally use terminology that matches evolving industry standards. If you are going to use the U.are.U Java API along with JavaPOS, you need to note that in JavaPOS, the extracted fingerprint data (template) is stored in a biometric information record (BIR). The templates created through enrollment and capture are equivalent to Fingerprint Minutiae Data (FMD) records in the other APIs of the U.are.U SDK. Note that JavaPOS templates include a 10- or 45-byte JavaPOS header in addition to the data itself.

## Working with Fingerprint Data in JavaPOS

The U.are.U JavaPOS API provides two types of fingerprint data: raw images and fingerprint templates. The data flow for JavaPOS applications is the same as described in Chapter 3, *Understanding the Data Flow*, on page 15 except that JavaPOS data has additional JavaPOS headers and JavaPOS does not use the FID/FMD terminology used by U.are.U. Note that there is no easy method provided in the API for converting data from JavaPOS BIRs to FMDs.

### Fingerprint Data for Raw Images (Captures)

Per the JavaPOS spec, raw fingerprint scans (images) are available in the **RawSensorData** property when **StatusUpdateEvent** triggers.

## Fingerprint Data for Captures and Enrollment Templates (BIRs)

The U.are.U JavaPOS API now supports four different JavaPOS biometric information record (BIR) formats, as set by the *Algorithm* property:

| Value | Meaning   |
|-------|---|
| 0     | Default (Same as 1)   |
| 1     | DigitalPersona format with 45-byte header that conforms to JavaPOS 1.13 spec. New captures and enrollments will be done in DigitalPersona format with 45-byte headers. Verify and identify will correctly compare with BIRs that have 45-byte headers, the previous 10-byte headers or a mixture.   |
| 2     | ANSI INSITS 378-2004. New captures and enrollments will be created in ANSI format with a 45-byte JavaPOS header. Verify and identify will require that all BIRs be in ANSI format.  |
| 3     | ISO/IEC 19794-2:2005. New captures and enrollments will be created in ISO format with a 45-byte JavaPOS header. Verify and identify will require that all BIRs be in ISO format.  |
| 4     | JavaPOS 1.x compatible. This is the previous DigitalPersona format with 10-byte header. This format was the default (and only) format used in the U.are.U UPOS for JavaPOS SDK. New captures and enrollments will be created in DigitalPersona format with 10-byte headers. Verify and identify will correctly compare with BIRs that have 10-byte headers. |

**Identification and verification require that all BIRs be in the same format.** Stored enrollment BIRs can be in four formats:

1. DigitalPersona format (10-byte headers, 45-byte headers or a mixture),
2. ANSI (with 45-byte headers)
3. ISO (with 45-byte headers)
4. JavaPOS 1.x compatible (DigitalPersona format with 10-byte headers).

For example, if the *Algorithm* property is set to ANSI and you receive ANSI captures, those fingerprints cannot be matched against templates that are stored in a DigitalPersona format.

The value of the *Algorithm* property must be set before the device is enabled (i.e., after the device is opened and claimed, but before it is enabled).

## Working with DigitalPersona Record Formats

The format for the new default 45-byte headers is provided in the JavaPOS spec. The first 10 bytes of the 45-byte header are the same as the previous 10-byte header except for the header version number.

In both 10-byte and 45-byte headers, the 5th byte specifies the header format:

- The 5th byte is 0x10 for a 10-byte header
- The 5th byte is 0x20 for a 45-byte header

## Converting to a Different Data Format

If you wish to convert to a different data format, you must re-enroll users with the new format. There is no way to convert data between formats.

## Getting Device-Specific Information with DirectIOEvent

The **DirectIOEvent** event is fired by a Service Object to deliver vendor-specific events to the application. The U.are.U JavaPOS API uses DirectIOEvent events to notify the application about device connection and disconnection and intermediate events such as finger touch or removal.

### Syntax

```
upos::events::DirectIOEvent
    EventNumber: int32 { read-only }
    Data: int32 { read-write }
    Obj: object { read-write }
```

### Properties

This event contains the following attributes:

| Property           | Type          | Description  |
|--------------------|---------------|--|
| <i>EventNumber</i> | <i>int</i>    | Constants whose specific values are assigned by the Service Object |
| <i>Data</i>        | <i>int</i>    | Not used   |
| <i>Obj</i>         | <i>object</i> | Name of the fingerprint reader                                     |

### EventNumber Return Values

These constants are defined in the `com.digitalpersona.javapos.services.biometrics.dpfconstants` class.

| EventNumber             | Description                              |
|-------------------------|--|
| DP_EVENT_DISCONNECT     | The fingerprint reader was disconnected. |
| DP_EVENT_RECONNECT      | The fingerprint reader was reconnected.  |
| DP_EVENT_FINGER_TOUCHED | The fingerprint reader was touched.      |

|                         |   |
|-------------------------|---|
| DP_EVENT_FINGER_GONE    | The finger was removed from the fingerprint reader.   |
| DP_EVENT_COMPLETED      | Capture completed.                                    |
| DP_EVENT_IMAGE_READY    | Raw image (from a capture) is available.              |
| DP_EVENT_SAMPLE_QUALITY | Information about quality of the sample is available. |

## Implementation Notes

The following table provides information about how UPOS and JavaPOS properties, methods, and events are implemented in the U.are.U JavaPOS API.

| Name                             | Implemented | Notes about Implementation  |
|----------------------------------|-------------|---|
| <i>UPOS Common Properties</i>    |             |   |
| <b>AutoDisable</b>               | No          | This property is initialized to <b>false</b> in the <b>open</b> method. Changing its value will have no effect.                                       |
| <b>CapCompareFirmwareVersion</b> | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since firmware comparison is not supported.                                    |
| <b>CapPowerReporting</b>         | Yes         | This property is initialized to <b>JPOS_PR_NONE</b> in the <b>open</b> method since power reporting is not supported.                                 |
| <b>CapStatisticsReporting</b>    | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since statistics reporting is not supported.                                   |
| <b>CapUpdateFirmware</b>         | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since firmware updating is not supported.                                      |
| <b>CapUpdateStatistics</b>       | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since statistics updating is not supported.                                    |
| <b>CheckHealthText</b>           | Yes         | This property is initialized to an <b>empty string</b> in the <b>open</b> method. It is never modified since device health checking is not supported. |
| <b>Claimed</b>                   | Yes         |   |
| <b>DataCount</b>                 | Yes         |   |
| <b>DataEventEnabled</b>          | Yes         | Has value <b>true</b> when an enroll or capture or verify capture is in progress.   |
| <b>DeviceEnabled</b>             | Yes         | Has value <b>true</b> when when the service will return device events. The Algorithm property cannot be changed when the device is enabled.           |



| Name                             | Implemented | Notes about Implementation   |
|----------------------------------|-------------|--|
| <b>DeviceServiceDescription</b>  | Yes         | This property is set to "U.are.U Biometrics Device Service for JavaPOS, (c) 2007-2012 DigitalPersona, Inc."                      |
| <b>DeviceServiceVersion</b>      | Yes         | This property is set to 1013000.   |
| <b>FreezeEvents</b>              | Yes         |  |
| <b>PhysicalDeviceDescription</b> | Yes         | This property contains the product name, serial number, and vendor name for the DigitalPersona device.                           |
| <b>PhysicalDeviceName</b>        | Yes         | This property contains the product name of the DigitalPersona device.  |
| <b>PowerNotify</b>               | Yes         | This property is initialized to <b>JPOS_PN_DISABLED</b> in the <b>open</b> method since power reporting is not supported.        |
| <b>PowerState</b>                | Yes         | This property is initialized to <b>JPOS_PS_UNKNOWN</b> in the <b>open</b> method since power reporting is not supported.         |
| <b>State</b>                     | Yes         |  |
| <b>Specific Properties</b>       |             |  |
| <b>Algorithm</b>                 | Yes         | Specifies the data format used. See <i>Fingerprint Data for Captures and Enrollment Templates (BIRs)</i> on page 78 for details. |
| <b>AlgorithmList</b>             | Yes         | See <i>Fingerprint Data for Captures and Enrollment Templates (BIRs)</i> on page 78 for details.                                 |
| <b>BIR</b>                       | Yes         |  |
| <b>CapPrematchData</b>           | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since pre-matching is not supported.                      |
| <b>CapRawSensorData</b>          | Yes         |  |
| <b>CapRealTimeData</b>           | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method.  |
| <b>CapSensorColor</b>            | Yes         | This property is initialized to <b>BIO_CSC_GRAYSCALE</b> in the <b>open</b> method.  |
| <b>CapSensorOrientation</b>      | Yes         | This property is initialized to <b>BIO_CSO_NORMAL</b> in the <b>open</b> method.   |
| <b>CapSensorType</b>             | Yes         | This property is initialized to <b>BIO_CST_FINGERPRINT</b> in the <b>open</b> method.  |
| <b>CapTemplateAdaptation</b>     | Yes         | This property is initialized to <b>false</b> in the <b>open</b> method since template adaptation is not supported.               |

| Name                          | Implemented | Notes about Implementation  |
|-------------------------------|-------------|---|
| <b>RawSensorData</b>          | Yes         | Unknown OR contains raw sensor data. The data in this property exists when <b>CapRawSensorData</b> is set to <b>true</b> , and <b>StatusUpdateEvent</b> triggers. |
| <b>RealTimeDataEnabled</b>    | Yes         | This property is initialized to <b>false</b> in the <b>open</b> .   |
| <b>SensorBPP</b>              | Yes         | This property is initialized to <b>8</b> in the <b>open</b> method. No other value is supported.  |
| <b>SensorColor</b>            | Yes         | This property is initialized to <b>BIO_CSC_GRAYSCALE</b> in the <b>open</b> method. No other value is supported.  |
| <b>SensorHeight</b>           | Yes         | This property is initialized to <b>0</b> in the <b>open</b> method. No other value is supported.  |
| <b>SensorOrientation</b>      | Yes         | This property is initialized to <b>BIO_SO_NORMAL</b> in the <b>open</b> method. No other value is supported.  |
| <b>SensorType</b>             | Yes         | This property is initialized to <b>BIO_ST_FINGERPRINT</b> in the <b>open</b> method.  |
| <b>SensorWidth</b>            | Yes         | This property is initialized to <b>0</b> in the <b>open</b> method. No other value is supported.  |
| <b>UPOS Common Methods</b>    |             |   |
| <b>Open</b>                   | Yes         |   |
| <b>Close</b>                  | Yes         |   |
| <b>ClaimDevice</b>            | Yes         |   |
| <b>ReleaseDevice</b>          | Yes         |   |
| <b>CheckHealth</b>            | Yes         | Only internal health check is supported. Attempts to perform an external or interactive check cause an exception to be thrown.                                    |
| <b>ClearInput</b>             | Yes         |   |
| <b>ClearInputProperties</b>   | Yes         |   |
| <b>ClearOutput</b>            | No          | This method is not supported by the Biometrics device category.   |
| <b>DirectIO</b>               | Partial     | An exception is thrown since device direct I/O is not supported.  |
| <b>CompareFirmwareVersion</b> | Yes         | An exception is thrown since <b>CapCompareFirmwareVersion</b> is set to false.  |
| <b>ResetStatistics</b>        | Yes         | An exception is thrown since <b>CapUpdateStatistics</b> is set to false.  |

| Name                       | Implemented | Notes about Implementation   |
|----------------------------|-------------|--|
| <b>RetrieveStatistics</b>  | Yes         | An exception is thrown since <b>CapStatisticsReporting</b> is set to false.  |
| <b>UpdateFirmware</b>      | Yes         | An exception is thrown since <b>CapUpdateFirmware</b> is set to false.   |
| <b>UpdateStatistics</b>    | Yes         | An exception is thrown since <b>CapUpdateStatistics</b> is set to false.   |
| <b>Specific Methods</b>    |             |  |
| <b>beginEnrollCapture</b>  | Yes         |  |
| <b>beginVerifyCapture</b>  | Yes         |  |
| <b>endCapture</b>          | Yes         |  |
| <b>identify</b>            | Yes         |  |
| <b>identifyMatch</b>       | Yes         |  |
| <b>processPrematchData</b> | Yes         | An exception is thrown since <b>CapPrematchData</b> is set to false.   |
| <b>verify</b>              | Yes         |  |
| <b>verifyMatch</b>         | Yes         |  |
| <b>UPOS Events</b>         |             |  |
| <b>DataEvent</b>           | Yes         | The following event types are supported:<br>BIO_DATA_ENROLL - Enrollment template created<br>BIO_DATA_VERIFY - Verification template created   |
| <b>DirectIOEvent</b>       | Yes         | See <i>Getting Device-Specific Information with DirectIOEvent</i> on page 79 for details.  |
| <b>ErrorEvent</b>          | Yes         | <b>resultCode</b> - Standard JavaPOS Result Code<br><b>resultCodeExtended</b> - DigitalPersona Result Code - see <i>Device-Related Error Codes</i> on page 84 for details<br><b>errorLocus</b> - EL_INPUT<br><b>errorResponse</b> - ER_CLEAR |
| <b>OutputCompleteEvent</b> | No          | This event is not supported by the Biometrics device category.   |
| <b>StatusUpdateEvent</b>   | Yes         | Only occurs when <b>RawSensorData</b> has received a raw image from a capture.   |

## Exceptions

The files `jpos.Const.*` contain the JavaPOS standard exception codes. The following exceptions are thrown by the U.are.U JavaPOS API:

- JPOS\_E\_FAILURE
- JPOS\_E\_ILLEGAL
- JPOS\_E\_NOHARDWARE
- JPOS\_E\_TIMEOUT

## Device-Related Error Codes

For the device-related result codes returned by *EventNumber* after the **DirectIOEvent** event, see *EventNumber Return Values* on page 79.

The following error codes are returned in the *ResultCodeExtended* property of the **ErrorEvent** object.

**IMPORTANT:** You should always use the names of the return codes, such as `FT_OK`, rather than the numeric values because these values may change at any time, without notice. The numbers are provided as a reference for the error codes in the sample application.

| Value | Result Code              | Description  |
|-------|--------------------------|--|
| -1    | FT_ERR_NO_INIT           | The fingerprint feature extraction module or the fingerprint comparison module is not initialized. |
| -2    | FT_ERR_INVALID_PARAM     | One or more parameters are not valid.  |
| -4    | FT_ERR_IO                | A generic I/O file error occurred.   |
| -7    | FT_ERR_NO_MEMORY         | There is not enough memory to perform the action.  |
| -8    | FT_ERR_INTERNAL          | An unknown internal error occurred.  |
| -10   | FT_ERR_UNKNOWN_DEVICE    | The requested device is not known.   |
| -11   | FT_ERR_INVALID_BUFFER    | A buffer is not valid.   |
| -33   | FT_ERR_UNKNOWN_EXCEPTION | An unknown exception occurred.   |

The U.are.U OPOS API is built on the U.are.U C/C++ API. The OPOS API is geared for Point of Sale applications and has the following features:

- **Fully compliant with OPOS 1.13.** The U.are.U OPOS API conforms to the specifications for the Biometrics device category in Chapter 5, “Biometrics,” of the *UnifiedPOS Retail Peripheral Architecture*, Version 1.13 (July 15, 2009). The complete UPOS documentation is available at <http://www.nrf-arts.org/UnifiedPOS/default.htm>.
- **Backward compatible with DigitalPersona’s previous OPOS product (U.are.U UPOS for OPOS SDK),** with a few minor caveats. This new API is the result of merging the previous OPOS SDK with the U.are.U SDK. For users of the previous SDK, the updated SDK means an upgraded internal architecture for more robust performance -- up to ten times faster for identification. If you are upgrading an existing application, see *Upgrading from U.are.U UPOS for OPOS/JavaPOS* on page 28 for more details.
- **The OPOS API is a set of COM objects** that acts as an extension to the DigitalPersona fingerprint reader driver, providing an OPOS-compliant application interface to DigitalPersona products. It consists of a Control Object (CO) (an ActiveX® Control) for the OPOS Biometrics device category and a Service Object (SO).
- **Because the OPOS API is built as an adjunct to the C/C++ API, applications can use both the OPOS standard operations AND use the U.are.U C/C++ API** (described in *The C/C++ APIs* on page 31). C/C++ methods can be used to access streaming features or to import data.
- A complete reference to the controls, properties, methods and events of the OPOS interface is provided in Appendix A of the UnifiedPOS specification, a PDF document titled “UnifiedPOS Retail Peripheral Architecture.” Download the current version (1.14) from <http://www.nrf-arts.org/content/unifiedpos>.

## Terminology Note

The U.are.U OPOS API conforms to the standard terminology used by the OPOS spec from 2009 whereas the other APIs in the U.are.U SDK generally use terminology that matches evolving industry standards. If you are going to use the U.are.U C/C++ API along with OPOS, you need to note that in OPOS, the extracted fingerprint data (template) is stored in a biometric information record (BIR). The templates created through enrollment and capture are equivalent to Fingerprint Minutiae Data (FMD) records in the other APIs of the U.are.U SDK. Note that OPOS templates include a 12- or 45-byte OPOS header in addition to the data itself.

## Working with Fingerprint Data in OPOS

The U.are.U OPOS API provides two types of fingerprint data: raw images and fingerprint templates. The data flow for OPOS applications is the same as described in Chapter 3, *Understanding the Data Flow*, on page 15 except that OPOS data has additional OPOS headers and OPOS does not use the FID/FMD terminology used by U.are.U. Note that there is no easy method provided in the API for converting data from OPOS BIRs to FMDs.

## Fingerprint Data for Raw Images (Captures)

Per the OPOS spec, raw fingerprint scans (images) are available in the **RawSensorData** property when **StatusUpdateEvent** triggers.

## Fingerprint Data for Captures and Enrollment Templates (BIRs)

The U.are.U OPOS API now supports four different OPOS biometric information record (BIR) formats, as set by the *Algorithm* property:

| Value | Meaning   |
|-------|---|
| 0     | Default (Same as 1)   |
| 1     | DigitalPersona format with 45-byte header that conforms to OPOS 1.13 spec. New captures and enrollments will be done in DigitalPersona format with 45-byte headers. Verify and identify will correctly compare with BIRs that have 45-byte headers, the previous 12-byte headers or a mixture.  |
| 2     | ANSI INSITS 378-2004. New captures and enrollments will be created in ANSI format with a 45-byte OPOS header. Verify and identify will require that all BIRs be in ANSI format.   |
| 3     | ISO/IEC 19794-2:2005. New captures and enrollments will be created in ISO format with a 45-byte OPOS header. Verify and identify will require that all BIRs be in ISO format.   |
| 4     | OPOS 1.x compatible. This is the previous DigitalPersona format with 12-byte header. This format was the default (and only) format used in the U.are.U UPOS for OPOS SDK. New captures and enrollments will be created in DigitalPersona format with 12-byte headers. Verify and identify will correctly compare with BIRs that have 12-byte headers. |

**Identification and verification require that all BIRs be in the same format.** The BIRs can be in four formats:

1. DigitalPersona format (12-byte headers, 45-byte headers or a mixture),
2. ANSI (with 45-byte headers)
3. ISO (with 45-byte headers)
4. OPOS 1.x compatible (DigitalPersona format with 12-byte headers).

For example, if the *Algorithm* property is set to ANSI and you receive ANSI captures, those fingerprints cannot be matched against templates that are stored in a DigitalPersona format.

The value of the *Algorithm* property must be set before the device is enabled (i.e., after the device is opened and claimed, but before it is enabled).

## Working with DigitalPersona Record Formats

The format for the new default 45-byte headers is provided in the OPOS spec. The first 12 bytes of the 45-byte header are the same as the previous 12-byte header except for the header version number.

In both 12-byte and 45-byte headers, the 5th byte specifies the header format:

- The 5th byte is 0x10 for a 12-byte header
- The 5th byte is 0x20 for a 45-byte header

## Converting to a Different Data Format

If you wish to convert to a different data format, you must re-enroll users with the new format. There is no way to convert data between formats.

## Getting Device-Specific Information with DirectIOEvent

The **DirectIOEvent** event is fired by a Service Object to deliver vendor-specific events to the application. The U.are.U JavaPOS API uses DirectIOEvent events to notify the application about device connection and disconnection and intermediate events such as finger touch or removal.

This chapter contains specific information about the U.are.U SDK implementation of the OPOS Control.

## DataEvent

### Syntax

```
<< event >> upos::events::DataEvent
    Status: int32 { read-only }
```

### Description

This event is fired to provide input data from the fingerprint reader to the application. The actual input data is placed in one or more device-specific properties.

### Attribute

This event contains the following attribute:

| Attribute     | Type         | Description  |
|---------------|--------------|--|
| <i>Status</i> | <i>int32</i> | BIO_DATA_ENROLL if enroll capture is completed.<br>BIO_DATA_VERIFY if verify capture is completed. |

## DirectIOEvent

### Syntax

```
<< event >> upos::events::DirectIOEvent
    EventNumber: int32 { read-only }
    Data: int32 { read-write }
    Obj: object { read-write }
```

### Description

This event is fired by the Service Object (SO) to communicate directly with the application. **DirectIOEvent** is used in the U.are.U SDK to notify the user of the image-capturing status, fingerprint reader connection status, and image quality, etc., whenever required.

### Attributes

This event contains the following attributes:

| Attribute          | Type          | Description   |
|--------------------|---------------|---|
| <i>EventNumber</i> | <i>int32</i>  | Event number whose specific values are assigned by the SO.                          |
| <i>Data</i>        | <i>int32</i>  | Additional numeric data. Specific values vary by the <i>EventNumber</i> and the SO. |
| <i>Obj</i>         | <i>object</i> | Additional data whose use varies by the <i>EventNumber</i> and the SO.              |

### EventNumber Return Values

| EventNumber | Description   |
|-------------|---|
| 1           | The fingerprint reader was disconnected.  |
| 2           | The fingerprint reader was reconnected.   |
| 3           | The fingerprint reader was touched.   |
| 4           | The finger was removed from the fingerprint reader.                                 |
| 5           | A fingerprint image is ready for processing.  |
| 6           | Provides information about the quality of the fingerprint image.                    |
| 7           | A supplied fingerprint credential was added to the fingerprint enrollment template. |
| 8           | The fingerprint capture operation was stopped.                                      |



## Data Return Values

| EventNumber <sup>1</sup> | Data                                      | Description  |
|--------------------------|---|--|
| 6                        | DP_QUALITY_GOOD,<br>DP_QUALITY_NONE, etc. | Can be any value from the DP_SAMPLE_QUALITY enumeration in the table on the next page. |
| 7                        | 1, 2, 3, etc.                             | Holds the number of images added.  |

1. For every other *EventNumber* (1 through 5 and 8), *Data* holds the value 0 (Not Supported).

**DP\_SAMPLE\_QUALITY Enumeration**

| <b>Value</b>                | <b>Meaning</b>                                 |
|-----------------------------|--|
| DP_QUALITY_GOOD (0)         | The image is of good quality.                  |
| DP_QUALITY_NONE (1)         | There is no image.                             |
| DP_QUALITY_TOOLIGHT (2)     | The image is too light.                        |
| DP_QUALITY_TOODARK (3)      | The image is too dark.                         |
| DP_QUALITY_TOONOISY (4)     | The image is too noisy.                        |
| DP_QUALITY_LOWCONTR (5)     | The image contrast is too low.                 |
| DP_QUALITY_FTRNOTENOUGH (6) | The image does not contain enough information. |
| DP_QUALITY_NOCENTRAL (7)    | The image is not centered.                     |

**Obj Return Values**

| <b>EventNumber</b> | <b>Object</b>   |
|--------------------|---|
| 1                  | The fingerprint reader was disconnected.  |
| 2                  | The fingerprint reader was reconnected.   |
| 3                  | The fingerprint reader was touched.   |
| 4                  | The finger was removed from the fingerprint reader.                                 |
| 5                  | NULL (Not Supported).   |
| 6                  | Provides information about the quality of the fingerprint image.                    |
| 7                  | A supplied fingerprint credential was added to the fingerprint enrollment template. |
| 8                  | The fingerprint capture operation was stopped.                                      |

## StatusUpdateEvent

### Syntax

```
<< event >> upos::events::StatusUpdateEvent
    Status: int32 { read-only }
```

### Description

This event is used in the U.are.U SDK to notify the user that a raw image is available for use.

### Attribute

This event contains the following attribute:

| Attribute     | Type         | Description   |
|---------------|--------------|---|
| <i>Status</i> | <i>int32</i> | The <i>Status</i> parameter notifies the user that raw image data is available. |

### Status Return Values

| StatusUpdateEvent | Value            | Meaning                      |
|-------------------|------------------|------------------------------|
| 1                 | BIO_SUE_RAW_DATA | Raw image data is available. |

## Implementation Notes

The following table provides information about how UPOS and JavaPOS properties, methods, and events are implemented in the U.are.U JavaPOS API.

The following table provides information about how UPOS properties, methods, and events are implemented in the DigitalPersona U.are.U SDK.

| Name                          | Implemented <sup>1</sup> | Comment   |
|-------------------------------|--------------------------|---|
| <b>UPOS Common Properties</b> |                          |   |
| <b>AutoDisable</b>            | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since it is not required to automatically disable the device when data is received. |

| Name                             | Implemented <sup>1</sup> | Comment  |
|----------------------------------|--------------------------|--|
| <b>BinaryConversion</b>          | Partial                  | This property is initialized to OPOS_BC_NONE in the <b>open</b> method and is not modified during execution of the application.  |
| <b>CapCompareFirmwareVersion</b> | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since firmware version comparison is not supported.  |
| <b>CapPowerReporting</b>         | Partial                  | This property is initialized to OPOS_PR_NONE in the <b>open</b> method. It is not modified during execution of the application since power reporting is not supported.   |
| <b>CapStatisticsReporting</b>    | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since statistics reporting is not supported.   |
| <b>CapUpdateFirmware</b>         | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since firmware updating is not supported.  |
| <b>CapUpdateStatistics</b>       | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since statistics updating is not supported.  |
| <b>CheckHealthText</b>           | No                       |  |
| <b>Claimed</b>                   | Yes                      | This property is initialized to false in the <b>open</b> method. It is set to true on claim and set to false again on release.   |
| <b>ControlObjectDescription</b>  | Yes                      |  |
| <b>ControlObjectVersion</b>      | Yes                      |  |
| <b>DataCount</b>                 | Partial                  | This property is initialized to 0 in the <b>open</b> method and is not modified during execution of the application.   |
| <b>DataEventEnabled</b>          | Partial                  | This property is initialized to false in the <b>open</b> method and is set to true after a successful claim operation.   |
| <b>DeviceDescription</b>         | Yes                      |  |
| <b>DeviceEnabled</b>             | Partial                  | This property is initialized to false in the <b>open</b> method and is set to true after a successful claim operation. Since the <b>AutoDisable</b> property is never set to true, <b>DeviceEnabled</b> always remains true. |
| <b>DeviceName</b>                | Yes                      |  |
| <b>FreezeEvents</b>              | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since it is not required to freeze events.   |

| Name                            | Implemented <sup>1</sup> | Comment  |
|---------------------------------|--------------------------|--|
| <b>OpenResult</b>               | Yes                      |  |
| <b>OutputID</b>                 | No                       | This property is not supported by the Biometrics device category.  |
| <b>PowerNotify</b>              | Partial                  | This property is initialized to OPOS_PN_DISABLED in the <b>open</b> method. It is not modified during execution of the application since power reporting is not supported.   |
| <b>PowerState</b>               | Partial                  | This property is initialized to OPOS_PS_UNKNOWN in the <b>open</b> method. It is not modified during execution of the application since power reporting is not supported.  |
| <b>ResultCode</b>               | Yes                      |  |
| <b>ResultCodeExtended</b>       | No                       |  |
| <b>ServiceObjectDescription</b> | Yes                      |  |
| <b>ServiceObjectVersion</b>     | Yes                      |  |
| <b>State</b>                    | Partial                  | This property is initialized to OPOS_S_IDLE in the <b>open</b> method and is set to OPOS_S_CLOSED in the <b>close</b> method.  |
| <b>Specific Properties</b>      |                          |  |
| <b>Algorithm</b>                | Yes                      | See <i>Fingerprint Data for Captures and Enrollment Templates (BIRs)</i> on page 86 for details.   |
| <b>AlgorithmList</b>            | Yes                      | See <i>Fingerprint Data for Captures and Enrollment Templates (BIRs)</i> on page 86 for details.   |
| <b>BIR</b>                      | Yes                      | This property holds the biometric data that is captured and returned to the application.   |
| <b>CapPrematchData</b>          | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during execution of the application since the MOC (Match-on-Card) SmartCard technology needed to generate a processed <b>BIR</b> based on pre-match data stored on a SmartCard is not supported. |
| <b>CapRawSensorData</b>         | Yes                      | This property is initialized to true in the <b>open</b> method and is not modified during execution of the application.  |
| <b>CapRealTimeData</b>          | Partial                  | This property is initialized to false in the <b>open</b> method and is not modified during execution of the application.   |
| <b>CapSensorColor</b>           | Yes                      | This property is initialized to BIO_CSC_GRAYSCALE in the <b>open</b> method and is not modified during execution of the application.   |

| Name                         | Implemented <sup>1</sup> | Comment   |
|------------------------------|--------------------------|---|
| <b>CapSensorOrientation</b>  | Yes                      | This property is initialized to BIO_CSO_INVERTED in the <b>open</b> method and is not modified during execution of the application.                                     |
| <b>CapSensorType</b>         | Yes                      | This property is initialized to BIO_CST_FINGERPRINT in the <b>open</b> method and is not modified during execution of the application.                                  |
| <b>CapTemplateAdaptation</b> | Partial                  | This property is initialized to false in the <b>open</b> method. It is not modified during the execution of the application since template adaptation is not supported. |
| <b>RawSensorData</b>         | Yes                      | This property holds the raw biometric data that is captured and returned to the application.  |
| <b>RealTimeDataEnabled</b>   | Partial                  | This property is initialized to false in the <b>open</b> method and is not modified during execution of the application.  |
| <b>SensorBPP</b>             | Yes                      | This property is initialized by invoking the DigitalPersona function that defines the image resolution, in pixels.  |
| <b>SensorColor</b>           | Yes                      | This property is initialized by invoking the DigitalPersona function that defines the image type.   |
| <b>SensorHeight</b>          | Yes                      | This property is initialized by invoking the DigitalPersona function that defines the image height, in pixels.  |
| <b>SensorOrientation</b>     | Yes                      | This property is initialized to BIO_SO_INVERTED in the <b>open</b> method and is not modified during execution of the application.                                      |
| <b>SensorType</b>            | Yes                      | This property is initialized to BIO_ST_FINGERPRINT in the <b>open</b> method and is not modified during execution of the application.                                   |
| <b>SensorWidth</b>           | Yes                      | This property is initialized by invoking the DigitalPersona function that defines the image width, in pixels.   |
| <b>Common Methods</b>        |                          |   |
| <b>Open</b>                  | Yes                      |   |
| <b>Close</b>                 | Yes                      |   |
| <b>ClaimDevice</b>           | Yes                      |   |
| <b>ReleaseDevice</b>         | Yes                      |   |
| <b>CheckHealth</b>           | No                       |   |
| <b>ClearInput</b>            | No                       |   |

| Name                          | Implemented <sup>1</sup> | Comment   |
|-------------------------------|--------------------------|---|
| <b>ClearInputProperties</b>   | No                       |   |
| <b>ClearOutput</b>            | No                       | This method is not supported by the Biometrics device category. |
| <b>DirectIO</b>               | No                       |   |
| <b>CompareFirmwareVersion</b> | No                       |   |
| <b>ResetStatistics</b>        | No                       |   |
| <b>RetrieveStatistics</b>     | No                       |   |
| <b>UpdateFirmware</b>         | No                       |   |
| <b>UpdateStatistics</b>       | No                       |   |
| <b>Specific Methods</b>       |                          |   |
| <b>beginEnrollCapture</b>     | Yes                      |   |
| <b>beginVerifyCapture</b>     | Yes                      |   |
| <b>endCapture</b>             | Yes                      |   |
| <b>identify</b>               | Yes                      |   |
| <b>identifyMatch</b>          | Yes                      |   |
| <b>processPrematchData</b>    | No                       |   |
| <b>verify</b>                 | Yes                      |   |
| <b>verifyMatch</b>            | Yes                      |   |

| <b>Events</b>    |     |  |
|------------------|-----|--|
| <b>DataEvent</b> | Yes | Valid values for <i>Status</i> parameter are<br>1- BIO_DATA_ENROLL if enroll capture is completed.<br>2- BIO_DATA_VERIFY if verify capture is completed. |

| Name                       | Implemented <sup>1</sup> | Comment  |
|----------------------------|--------------------------|--|
| <b>DirectIOEvent</b>       | Specific                 | Return values are<br>1 - DP_DIOE_DISCONNECT<br>2 - DP_DIOE_RECONNECT<br>3 - DP_DIOE_FINGER_TOUCHED<br>4 - DP_DIOE_FINGER_GONE<br>5 - DP_DIOE_IMAGE_READY<br>6 - DP_DIOE_SAMPLE_QUALITY<br>7 - DP_DIOE_ENROLL_FEATURES_ADDED<br>8 - DP_DIOE_OPERATION_STOPPED |
| <b>ErrorEvent</b>          | Yes                      | <b>ResultCode</b> - Standard OPOS Result Code  |
|                            | Specific                 | <b>ResultCodeExtended</b> - DigitalPersona Result Code   |
|                            | Yes                      | <b>ErrorLocus</b> - EL_INPUT   |
|                            | Yes                      | <b>ErrorResponse</b> - ER_CLEAR  |
| <b>OutputCompleteEvent</b> | No                       | This event is not supported by the Biometrics device category.   |
| <b>StatusUpdateEvent</b>   | Partial                  | Valid values for <i>Status</i> parameter are<br>1 - BIO_SUE_RAW_DATA   |

1. Yes = Fully implemented  
 No = Not implemented  
 Partial = Implemented, but not all features are available  
 Specific = Implemented with device-specific features or data



## Exceptions

The files `jpos.Const.*` contain the JavaPOS standard exception codes. The following exceptions are thrown by the U.are.U JavaPOS API:

- JPOS\_E\_FAILURE
- JPOS\_E\_ILLEGAL
- JPOS\_E\_NOHARDWARE
- JPOS\_E\_TIMEOUT

## Device-Related Error Codes

For the device-related result codes returned by *EventNumber* after the **DirectIOEvent** event, see *EventNumber Return Values* on page 88.

The following error codes are returned in the *ResultCodeExtended* property of the **ErrorEvent** object.

**IMPORTANT:** You should always use the names of the return codes, such as `FT_OK`, rather than the numeric values because these values may change at any time, without notice. The numbers are provided as a reference for the error codes in the sample application.

| Value | Result Code              | Description  |
|-------|--------------------------|--|
| -1    | FT_ERR_NO_INIT           | The fingerprint feature extraction module or the fingerprint comparison module is not initialized. |
| -2    | FT_ERR_INVALID_PARAM     | One or more parameters are not valid.  |
| -4    | FT_ERR_IO                | A generic I/O file error occurred.   |
| -7    | FT_ERR_NO_MEMORY         | There is not enough memory to perform the action.  |
| -8    | FT_ERR_INTERNAL          | An unknown internal error occurred.  |
| -10   | FT_ERR_UNKNOWN_DEVICE    | The requested device is not known.   |
| -11   | FT_ERR_INVALID_BUFFER    | A buffer is not valid.   |
| -33   | FT_ERR_UNKNOWN_EXCEPTION | An unknown exception occurred.   |

HERE IS THE TABLE FROM PREV OPOS DOC:

The table below defines DigitalPersona device-related result codes returned to the *ResultCodeExtended* parameter of the **ErrorEvent** event.

| Value | Result Code               | Description  |
|-------|---------------------------|--|
| 0     | FT_OK                     | The function succeeded.  |
| 1     | FT_WRN_NO_INIT            | The fingerprint feature extraction module or the fingerprint comparison module are not initialized.                      |
| 8     | FT_WRN_INTERNAL           | An internal error occurred.  |
| 9     | FT_WRN_KEY_NOT_FOUND      | The fingerprint feature extraction module or the fingerprint comparison module could not find an initialization setting. |
| 11    | FT_WRN_UNKNOWN_DEVICE     | The fingerprint reader is not known.   |
| 12    | FT_WRN_TIMEOUT            | The function has timed out.  |
| -1    | FT_ERR_NO_INIT            | The fingerprint feature extraction module or the fingerprint comparison module is not initialized.                       |
| -2    | FT_ERR_INVALID_PARAM      | One or more parameters are not valid.  |
| -3    | FT_ERR_NOT_IMPLEMENTED    | The called function was not implemented.   |
| -4    | FT_ERR_IO                 | A generic I/O file error occurred.   |
| -7    | FT_ERR_NO_MEMORY          | There is not enough memory to perform the action.  |
| -8    | FT_ERR_INTERNAL           | An unknown internal error occurred.  |
| -9    | FT_ERR_BAD_INI_SETTING    | Initialization settings are corrupted.   |
| -10   | FT_ERR_UNKNOWN_DEVICE     | The requested device is not known.   |
| -11   | FT_ERR_INVALID_BUFFER     | A buffer is not valid.   |
| -16   | FT_ERR_FEAT_LEN_TOO_SHORT | The specified fingerprint feature set or fingerprint template buffer size is too small.                                  |
| -17   | FT_ERR_INVALID_CONTEXT    | The given context is not valid.  |
| -29   | FT_ERR_INVALID_FTRS_TYPE  | The feature set purpose is not valid.  |
| -32   | FT_ERR_FTRS_INVALID       | Decrypted fingerprint features are invalid. Decryption may have failed.  |
| -33   | FT_ERR_UNKNOWN_EXCEPTION  | An unknown exception occurred.   |

This chapter describes some suggestions for troubleshooting your application.

## General Fingerprint Issues

It is very important that you test your application with multiple and diverse people. The readability of fingerprints is affected by many factors including wear and tear, skin dryness, and age.

The middle finger often gives better scans than the index finger because the middle finger is typically less worn. We recommend that you enroll more than one finger for each user, preferably at least the index and middle fingers.

## C/C++ Issues

The `dpfj_identify` function returns `DPFJ_SUCCESS` if it is able to do identification (i.e., the FMDs are valid and correctly formed). However that does not mean that a candidate was found. You must check the number of returned candidates to see if any actual matches were found.

The `dpfj_compare` function returns `DPFJ_SUCCESS` if it is able to do the requested comparison (i.e., the FMDs are valid and correctly formed). However that does not mean that the fingerprints matched. To check whether they matched, you must look at the dissimilarity score (0=no match, `maxint`=perfect match, `maxint-threshold`=acceptable match).

## General Terms

### ***Fingerprint***

The impression left from the friction ridges of a human finger.

### ***Fingerprint characteristics***

The biological finger surface details that can be detected and from which distinguishing and repeatable *fingerprint features* can be extracted.

### ***Fingerprint minutiae***

The *fingerprint characteristics* commonly used in fingerprint recognition systems. *Fingerprint minutiae* include:

- Ridge ending – the abrupt end of a ridge
- Ridge bifurcation – a single ridge that divides into two ridges
- Short ridge, or independent ridge – a ridge that commences, travels a short distance and then ends
- Island – a single small ridge inside a short ridge or ridge ending that is not connected to all other ridges
- Ridge enclosure – a single ridge that bifurcates and reunites shortly afterward to continue as a single ridge
- Spur – a bifurcation with a short ridge branching off a longer ridge
- Crossover or bridge – a short ridge that runs between two parallel ridges
- Delta – a Y-shaped ridge meeting
- Core – a U-turn in the ridge pattern.

## Fingerprint Data

### ***Fingerprint sample***

An analog or digital representation of a *fingerprint* obtained from a *fingerprint capture device*. See also *fingerprint image*.

### ***Fingerprint image***

A digital representation of a *fingerprint sample* encoded as a spatially mapped array of pixels. A *fingerprint image* is the only representation of a *fingerprint sample* supported by DigitalPersona products, thus the terms *fingerprint image* and *fingerprint sample* are used interchangeably.

### ***Fingerprint features***

The digital representation of *fingerprint characteristics*.

### ***Fingerprint Image Data (FID)***

The binary data containing one or more *fingerprint images* from one or multiple fingers of the same person.

### ***Fingerprint Image View (FIV)***

The part of an *FID* that contains a *fingerprint image* from a single impression of a single finger.

In the majority of cases, an *FID* contains only one *FIV*.

### ***Fingerprint Minutiae Data (FMD)***

The digital representation of *fingerprint minutiae*, and optionally other *fingerprint characteristics*, from one or multiple fingers of the same person.

### ***Fingerprint Minutiae View (FMV)***

The part of an *FMD* that contains *fingerprint features* from a single impression of a single finger.

Typically *FMDs* contain only one *FMV*.

### ***Fingerprint template***

The *fingerprint minutiae data* that is stored as a result of the *enrollment* process.

## Fingerprint Devices

### **Fingerprint capture device**

A device that collects a signal of *fingerprint characteristic* and outputs a *fingerprint sample*. This device can consist of one or more components, including hardware and supporting software. For example, a *fingerprint capture device* may include a camera, photographic paper, a printer, and/or a digital scanner.

### **Fingerprint reader**

A *fingerprint capture device* that obtains a *fingerprint image* by direct interaction with a finger.

## Fingerprint Recognition Terms

### **Capture**

The process of acquiring a *fingerprint image* from a *fingerprint reader* or *fingerprint capture device*.

### **Enrollment**

The process of *capturing a fingerprint image(s)* for an individual, extracting *fingerprint features*, optionally checking for duplicates, and storing the *fingerprint features* (*fingerprint template*). See also *FMD*, *Fingerprint Template*.

### **Comparison**

The function which, given two *fingerprints* computes a *comparison score*.

### **Comparison score**

A *comparison score* is a numerical value resulting from the comparison of the *fingerprint features* of two *fingerprints*. *Comparison scores* are of two types: *similarity scores* and *dissimilarity scores*.

*Comparison scores* are calculated using algorithms that are specific to the fingerprint recognition system and, optionally, can be normalized in order to maintain a

constant score distribution of *impostor verification attempts* or *open set identification attempts*.

### **Similarity Score**

See *comparison score*.

### **Dissimilarity Score**

See *comparison score*.

### **Fingerprint Recognition**

*Verification* or *identification*.

### **Verification**

The process of

1. *Capturing a fingerprint image* from an individual,
2. Extracting *fingerprint features*,
3. *Comparing* the captured image's *fingerprint features* with the *fingerprint template(s)* of the enrollee this individual claims to be and
4. Making the *match/non-match decision*.

### **Verification Threshold**

The maximum degree of dissimilarity that is allowed between a *fingerprint image* and a *fingerprint template* in order to make the *match decision* during the *verification* process.

### **Match decision or match**

A decision that two *fingerprints* are from the same finger (meet the *verification threshold*).

### **Non-match decision or non-match**

A decision that two *fingerprints* are not from the same finger (do not meet the *verification threshold*).

### **Identification**

The process of

1. *Capturing a fingerprint image* from an individual,
2. Extracting *fingerprint features* and

3. Comparing the captured image's *fingerprint features* with the *fingerprint templates* from multiple individuals in order to create a candidate list of fingerprints that meet the *identification threshold*.

## Identification Threshold

The maximum degree of dissimilarity that is allowed between a *fingerprint image* and a *fingerprint template* in order to call the *fingerprint template* a *candidate* in the *identification process*.

## Candidate

A *fingerprint template* that is determined to be similar to a given *FMD* during identification.

# Recognition Accuracy

The terminology below is used when discussing testing processes and reporting accuracy for fingerprint-enabled applications.

## Genuine verification attempt

An attempt to compare *fingerprint features* with a *fingerprint template* where the *fingerprint features* and *fingerprint template* are from the same individual, and the *fingerprint features* and *fingerprint template* were captured at different times (recommended at least 2-3 weeks apart).

## Impostor verification attempt

An attempt to compare *fingerprint features* with a *fingerprint template*, where the *fingerprint features* and *fingerprint template* are from two different people.

## False match rate (FMR)

The ratio between the number of *impostor verification attempts* that produced a *match decision* and the total number of *impostor verification attempts*. See also *FAR*.

## False non-match rate (FNMR)

The ratio between the number of *genuine verification attempts* that produced a *non-match decision* and the total number of *genuine verification attempts*. See also *FRR*.

## False Accept Rate (FAR)

The application-specific measure of how often the application falsely grants a request.

In authentication applications, *FAR* is used in place of *FMR*.

## False Reject Rate (FRR)

The application-specific measure of how often the application falsely rejects a request.

In authentication applications, *FRR* is used in place of *FNMR*.

## Verification Detection Error Trade-off (DET) curve

A parametric curve that plots *FMR* on the x-axis and *FNMR* on the y-axis as a function of the *verification threshold*.

## Probe

In simulation tests, a *fingerprint* used in searches (analogous to the user *fingerprint* used by a real application for searching).

## Gallery

In simulation tests, a set of enrolled *fingerprints* (*fingerprint templates*) used for comparison purposes (analogous to the database of enrolled *fingerprint templates* used by a real application).

## Open set identification attempt

For the purpose of testing, an attempt to compare a *probe* against a *gallery* that does not contain any impressions from any finger of the individual whose finger was used as the *probe*.

***Closed set identification attempt***

For the purpose of testing, an attempt to compare a *probe* against a *gallery*, where the *gallery* includes a *fingerprint template* from the same finger (from the same person) as used for the probe. The *probe* and the corresponding *fingerprint template* should be captured at different times (recommended at least 2-3 weeks apart).

***False positive identification rate (FPIR)***

Proportion of *identification* requests that return a *candidate* even though the person is not enrolled.

More precisely, for the purpose of recognition accuracy testing, the ratio between the number of *open set identification attempts* that returned one or more *candidates* and the total number of *open set identification attempts*.

***False negative identification rate (FNIR)***

Proportion of *identification* requests by enrollees that do not return the correct *candidate*.

More precisely, for the purpose of recognition accuracy testing, the ratio between the number of *closed set identification attempts* that did not return the correct *candidate* and the total number of *closed set identification attempts*.

***Identification detection error trade-off (DET) curve***

A parametric curve that plots *FPIR* on the x-axis and *FNIR* on the y-axis as a function of the *identification threshold*. The *Identification DET curve* depends on the *gallery* size. Typically, multiple *identification DET curves* are shown on the same plot, one for each *gallery* size.