

Forensic Face Construction and Recognition

Priyanshi Kushwaha

4th July 2023

“Before we wake up and find that the year 2024 looks like the book “1984”, let’s figure out what kind of world we want to create on facial recognition technology.”

Bradford L. Smith
Executive Vice-President, Microsoft

Abstract

Forensic face construction and recognition play crucial roles in law enforcement investigations, providing valuable tools for identifying individuals involved in criminal activities. This abstract provides an overview of the field, highlighting key techniques and advancements in forensic face construction and recognition methodologies.

The process of forensic face construction involves the creation of facial approximations based on skeletal remains or other incomplete evidence. This technique aims to reconstruct the appearance of an unidentified person, aiding in their identification. Traditional methods involve the manual sculpting of facial features using clay or other materials, guided by anthropological knowledge and artistic skills. However, with the advent of computer technology, digital facial reconstruction techniques have gained prominence, allowing for more accurate and efficient results.

Advancements in computer-aided forensic face construction have led to the development of algorithms and software tools that utilize 3D imaging, craniofacial superimposition, and statistical modelling. These techniques enable forensic artists to generate facial approximations with enhanced precision, incorporating individual-specific features such as skin texture, age, and ethnicity. Additionally, the integration of machine learning and artificial intelligence algorithms has shown promise in automating the facial reconstruction process and improving accuracy.

Forensic face recognition complements the construction process by comparing the generated facial approximations with existing databases of known individuals. This technique employs biometric analysis and pattern recognition algorithms to identify potential matches and provide investigative leads. Facial recognition systems have seen significant advancements, leveraging deep learning models and large-scale training datasets. These advancements have resulted in improved accuracy, robustness to variations in pose and lighting conditions, and faster processing speeds.

In conclusion, face recognition has become an invaluable tool in modern forensic investigations. Continued advancements in deep learning techniques, coupled with robust preprocessing strategies, have significantly improved the accuracy and effectiveness of face recognition systems.

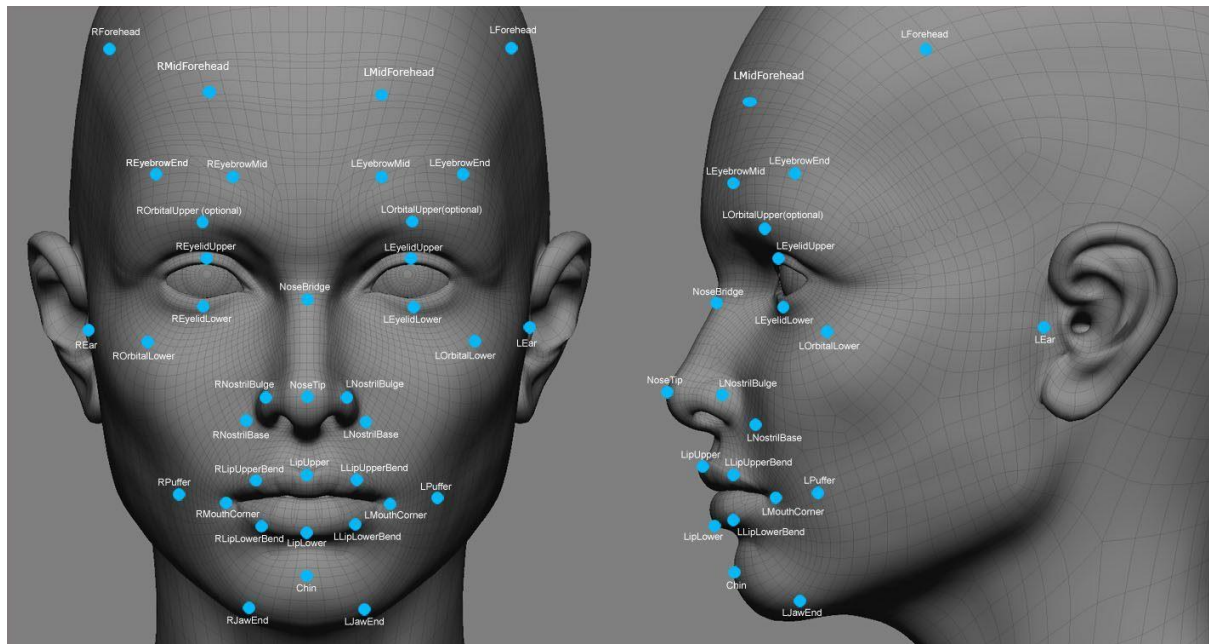
1. Problem Statement

To overcome challenges persisting in forensic face recognition due to variations in lighting conditions, pose variations, image quality, occlusions, and aging effects. Robust preprocessing techniques, such as illumination normalization, pose normalization, and noise reduction, are crucial for enhancing the accuracy of face recognition algorithms under such challenging conditions.

Unlike fingerprints and DNA, which do not change during a person's life, facial recognition has to take into account different factors, such as:

1. Aging
2. Plastic surgery
3. Cosmetics
4. Effects of drug abuse or smoking
5. Pose of the subject

Working with good-quality images is also crucial. Low or medium-quality images may be not searchable in the IFRS system and, if they are, the accuracy of the search and the results themselves can be significantly affected.



2. Market/ Customer/ Business Assessment

The global facial recognition market size was valued at \$3.83 billion in 2020 and is projected to reach \$16.74 billion by 2030, growing at a CAGR of 16.0% from 2021 to 2030. Facial recognition is a way of recognizing a human face through technology. A facial detection system uses biometrics to map facial features from a photograph or video. It compares information with a database of known faces to find a match. Moreover, the accuracy of facial recognition systems has improved way better in the last decade. For instance, according to tests by the National Institute of Standards and Technology in April 2020, the best face identification algorithm boasted an error rate of just 0.08%, which is a big improvement from 2014, when the best algorithm had an error rate of 4.1%.

I. Impact of Covid-19 on Face Recognition System

The COVID-19 outbreak had a moderate impact on the growth of the facial recognition market owing to, the rise in the adoption of facial recognition technology among various law and enforcement agencies for detecting various suspicious activities such as border control and criminal identification.

II. Rise in demand over the years

The rise in demand for face detection systems to enhance safety and security and the increase in applications in physical security and intelligent signage propels the growth of the global facial recognition market. In addition, technological advancements such as cloud-based services and 3D-based recognition systems positively impact the growth of the market size. However, the lack of accuracy and high implementation cost of facial recognition technology hampers market growth. On the contrary, an increase in applications in mobile security and drones is expected to offer remunerative opportunities for the expansion of the facial recognition market size during the forecast period.

III. Segment Review

The global facial recognition industry is segmented on the basis of technology, application, industry vertical, and region. Depending on the technology, the market is bifurcated into 2D, 3D, and facial analytics. On the basis of application, it is segregated into access control, attendance tracking & monitoring, emotion recognition, security & surveillance, and others. The industry verticals covered in the study include retail & e-commerce, media & entertainment, BFSI, automobile & transportation, telecom & IT, government, healthcare, and others. Region-wise, it is analysed across North America, Europe, Asia-Pacific, and LAMEA.

Facial Recognition Market Report Highlights

Aspects	Details
<ul style="list-style-type: none">• By Technology	<ul style="list-style-type: none">• 2D• 3D• Facial Analytics
<ul style="list-style-type: none">• By Application	<ul style="list-style-type: none">• Access Control• Attendance Tracking & Monitoring• Emotion Recognition• Security & Surveillance• Others
<ul style="list-style-type: none">• By Industry Vertical	<ul style="list-style-type: none">• Retail & E-Commerce• Media & Entertainment• BFSI• Automobile & Transportation• Telecom & IT• Government• Healthcare• Others
<ul style="list-style-type: none">• By Region	<ul style="list-style-type: none">• North America (U.S., Canada)• Europe (UK, Germany, France, Italy, Spain, Netherlands, Rest of Europe)• Asia-Pacific (China, Japan, India, South Korea, Rest of Asia-Pacific)• LAMEA (Latin America, Middle East, Africa)
<ul style="list-style-type: none">• By Key Market Players	<ul style="list-style-type: none">• 3M• Animetrics Inc.• Cognitec Systems GmbH• Crossmatch• Daon Inc.• FaceFirst, Inc.• IBM Corporation• Microsoft Corporation• NEC Corporation• Nuance Communications Inc.

3. Target Specification

For it or against it, facial recognition is already a part of our civilization, at least in the modern parts of the world. As time goes on, it's reasonable to expect that we will start seeing even more of it and the use cases are likely to grow in numbers and increase in diversity as well.

1. Security-Law Enforcement:

Facial recognition is used when issuing identity documents and, most often, combined with other biometric technologies such as fingerprints (preventing I.D. fraud and identity theft).

2. Identify and track criminals:

Face recognition CCTV can be used to enable police to track and identify past criminals suspected of perpetrating an additional infraction. Police can also take preventive actions. By using an image of a known criminal from a video or an external picture (or a database), operators can detect matches in live video and react before it's too late.

3. Support and accelerate investigations:

Facial recognition CCTV systems can be used to support investigators searching for video evidence in the aftermath of an incident.

The ability to isolate suspects' and individuals' appearances is critical for accelerating investigators' review of video evidence for relevant details. They can better understand how situations developed.

4. Airport Security

An airport's facial recognition system works in a straightforward way. First, it scans the passenger's face to generate a template of the individual's facial features. The computer then compares this template against a database of previously collected templates from known individuals.

5. Security and Surveillance:

Real-time surveilling as a part of security systems driven by facial recognition enables authorities to exclude human errors while verifying a person who enters a facility. Integration of face identification with surveillance tools enhances security measures across industries and contributes to a more secure environment.

6. Time and attendance monitoring:

Time and attendance tracking means badges, pin codes, passwords, and even fingerprints have become obsolete. Facial recognition is one of the biometrics tools that has replaced the traditional modes of monitoring the time workers arrive and leave the office. Many businesses are using time and attendance instruments integrated with facial recognition algorithms to enforce employee accountability.

4. External Search

A. How does it work?

When a facial image (probe image) is entered into the system it is automatically encoded by an algorithm and compared to the profiles already stored in the system. This results in a ‘candidate’ list of the most likely matches.

We always carry out a manual process – we call this Face Identification – to verify the results of the automated system. Qualified and experienced INTERPOL officers examine the images carefully to find unique characteristics that can lead to one of the following results: ‘Potential candidate’, ‘No candidate’, or ‘Inconclusive’.

This information is then passed on to the countries that provided the images, and to those that would be concerned by the profile or a match. All information is handled in line with INTERPOL’s Rules on the Processing of Data.

B. Literature Survey:

Forensic face recognition is a specialized field that combines the principles of facial recognition and forensic science to assist in criminal investigations, victim identification, and other forensic applications. Conducting an external search can provide additional information and insights into the latest developments, research, and applications in this field. Here are some key sources to consider:

1. Research Papers and Journals:

- a) IEEE Transactions on Pattern Analysis and Machine Intelligence (PAMI)
- b) International Journal of Computer Vision (IJCV)

2. Conferences and Workshops:

- a) International Conference on Biometrics (ICB)
- b) International Conference on Forensic Inference and Statistics (ICFIS)
- c) International Workshop on Biometrics and Forensics (IWBF)

3. Industry and Government Reports

4. Academic and Research Institutions

5. Professional Associations and Organizations:

- a) International Association for Identification (IAI)
- b) International Society for Forensic Genetics (ISFG)

6. Online Forums and Communities

5. Benchmarking

Benchmarking plays a crucial role in evaluating and comparing the performance of forensic face recognition systems. It helps measure the accuracy, efficiency, and reliability of different algorithms and approaches. Here are some common benchmarks used in forensic face recognition:

1. NIST FRVT (Face Recognition Vendor Test):

- a) The National Institute of Standards and Technology (NIST) conducts the FRVT periodically, evaluating the performance of face recognition algorithms from various vendors.
- b) NIST FRVT provides comprehensive benchmarks, datasets, and evaluation metrics for both 1:1 verification (matching a probe image to a claimed identity) and 1:N identification (searching for a match in a gallery of faces).
- c) The FRVT datasets include mugshot databases, visa application photos, and other forensic-oriented datasets.

2. IJB-A (IARPA Janus Benchmark-A):

- a) The Intelligence Advanced Research Projects Activity (IARPA) hosts the IJB-A benchmark, focusing on unconstrained face recognition for identification and verification purposes.
- b) IJB-A includes a large-scale dataset with unconstrained images collected from social media platforms, surveillance videos, and other sources.
- c) The benchmark evaluates algorithms based on face identification, verification, and face clustering tasks.

3. MegaFace:

- a) MegaFace is a benchmark dataset and evaluation protocol specifically designed for face recognition in unconstrained scenarios.
- b) It consists of a large-scale gallery of faces and a probe set of faces captured from the web.
- c) MegaFace evaluates algorithms based on their accuracy in face identification and verification tasks under challenging conditions, including variations in pose, illumination, and occlusions.

4. LFW (Labeled Faces in the Wild):

- a) LFW is a widely used benchmark dataset for face recognition.
- b) It consists of a collection of unconstrained face images obtained from the web, representing a diverse range of identities, poses, and conditions.
- c) The benchmark evaluates algorithms based on their accuracy in face verification, determining if a pair of images belongs to the same person or not.

6. Applicable Patents:

- A. Patents on already developed Machine learning algorithms.
- B. Must provide access to the 3rd party websites to audit and monitor the authenticity and behaviour of the service.
- C. Dataset to be used in the model for training and testing purposes.
- D. Laws controlling data collection: Some websites might have a policy against collecting customer data in the form of reviews and ratings.
- E. Microsoft's IBM patents:
 - i. Controlling privacy in a face recognition application
 - ii. Evaluating the impact of a user's content utilized in a social network
 - iii. Spoof detection for facial recognition
 - iv. Facial feature location using symmetry line

7. Applicable Regulations:

The right to privacy has been included under the ambit of A.21 thus making it a fundamental right after the judgment of the Hon'ble S Supreme Court in the case of Justice K.S. Puttaswamy (Retd.). Facial recognition technology has been more or less unregulated before the Personal Data Protection Bill, of 2019.

1. Information Technology Act, 2000

- Body corporate' possessing, dealing or handling any sensitive personal data or information in a computer resource which it owns, controls or operates is negligent in implementing and maintaining reasonable security practices.

2. The Aadhaar (Targeted Delivery of Financial and Other Subsidies, Benefits, and Services) Act, 2016

The Aadhaar Act was the first legislation in India specifically dealing with the collection, storage, and processing of biometric data.

3. Personal Data Protection Bill, 2019

- Clause 3 (7): 'biometric data' defined which includes 'facial images' as a part of it.
- Clause 3 (36): categorizes 'biometric data' as 'sensitive personal data', as compared to critical or general data.
- Clause 33: It states that 'sensitive personal data' may be transferred outside India, but must be stored in India. Nevertheless, the transfer of 'sensitive personal data' shall be subject to the conditions laid out.

8. Applicable Constraints:

Constraints related to budget, space, and expertise in forensic face recognition can impact the implementation and effectiveness of the technology. Here are some applicable constraints in each of these areas:

1. Budget Constraints:

- a) Limited funding:
Insufficient financial resources may restrict the acquisition of state-of-the-art equipment, software, and data storage systems necessary for robust forensic face recognition systems.
- b) Cost of training and maintenance:
Training personnel on facial recognition technologies and maintaining the infrastructure can incur ongoing expenses that may strain limited budgets.

2. Space Constraints:

- a) Physical infrastructure limitations:
Lack of dedicated space or inadequate facilities can hinder the installation and operation of hardware, servers, and storage systems required for facial recognition systems.
- b) Data storage limitations:
The volume of facial data and associated metadata may require substantial storage capacity, which can be limited by space constraints.

3. Expertise Constraints:

- a) Shortage of skilled personnel:
The field of forensic face recognition requires specialized expertise in computer vision, machine learning, and forensic sciences. A shortage of qualified professionals can hinder the development and deployment of effective systems.
- b) Training and knowledge transfer:
Ensuring that personnel have access to training programs and workshops to enhance their skills and stay up-to-date with advancements in the field can be challenging due to limited resources.

These constraints highlight the need for strategic planning, resource allocation, and collaboration with external organizations or experts to mitigate the limitations imposed by budget, space, and expertise. Prioritizing investments, seeking partnerships, and leveraging external support can help address these constraints and enable the successful implementation of forensic face recognition systems within the available resources.

9. Business Model

Face recognition technology already exists in present world. Many scenarios exist where face recognition is being used but the challenge is to overcome the accuracy of these systems. Providing a best-fit accuracy that can predict well and match the outcome over 90% will certainly provide us the edge over existing products.

- a) **Subscription-based Pricing Model:** Offer different subscription plans based on the scale and usage requirements of the customers. This can include tiered pricing options, such as basic, standard, and enterprise plans, with varying features, capabilities, and support levels.
- b) **Pay-per-Use Model:** Provide a flexible pricing structure where customers pay based on their usage of the facial recognition system. This can involve charging per search, per identification, or per facial image processed, allowing customers to align their costs with their specific needs.
- c) **Implementation and Integration Fees:** Charge fees for the initial implementation of the forensic face recognition system, including system setup, customization, and integration with existing forensic workflows and databases. This can involve on-site installation and training to ensure seamless integration with the customer's operations.
- d) **Maintenance and Support Contracts:** Offer maintenance and support contracts, providing customers with ongoing technical assistance, software updates, bug fixes, and access to new features and enhancements. This can be billed as an annual or monthly service fee, ensuring the longevity and reliability of the face recognition system.
- e) **Data Analysis and Reporting Services:** Provide additional value-added services, such as advanced data analysis and reporting capabilities. This can include generating comprehensive reports, statistical analysis, and data visualization tools to assist in criminal investigations, pattern recognition, and trend analysis. Charge fees are based on the complexity and volume of data analyzed.
- f) **Consulting and Training Services:** Provide consulting services to guide customers on best practices for utilizing facial recognition technology effectively. Offer training programs, workshops, and certification courses to empower law enforcement professionals and forensic experts in leveraging the capabilities of the system.

It is crucial to ensure that the pricing is competitive, aligned with market standards, and provides value that justifies the investment for the customers. Regularly assess customer needs, feedback, and market trends to refine the pricing strategy and offerings for optimal monetization of the forensic face recognition technology.

10. Concept Generation

The process of forensic face construction involves the creation of facial approximations based on a combination of research, analysis, and creative thinking. This technique involves the steps to be followed to ensure that the idea generated is up to market standards and is capable of competing with existing products by providing an edge over the accuracy part in both constructions as well as recognition.

a) **Understand the Problem Domain:**

Gain a deep understanding of the challenges and requirements in forensic face recognition. This involves reviewing scientific literature, attending conferences, and staying updated with the latest advancements in facial recognition technology.

b) **Idea Evaluation:**

Evaluate the brainstormed ideas based on their feasibility, potential impact, and alignment with the identified pain points. Prioritize ideas that address critical challenges and have a high potential for solving real-world problems.

c) **Proof of Concept and Validation:** Select a subset of the most promising ideas and develop proof-of-concept prototypes or simulations. Test and validate these prototypes using relevant datasets, benchmarking against existing techniques, and assessing their performance in realistic scenarios.

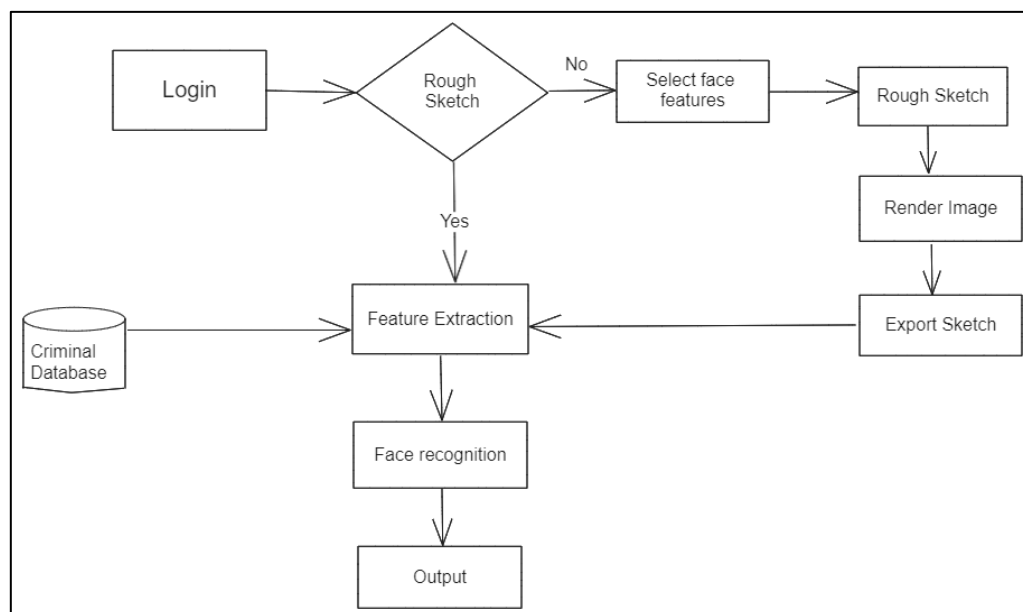


Figure 1: System Flow Diagram

d) Collaboration and Feedback:

Collaborate with experts, researchers, and potential end-users to gather feedback on the ideas and prototypes. Engage in discussions, seek their perspectives, and incorporate their suggestions and insights. This iterative feedback loop helps refine and enhance the ideas further.

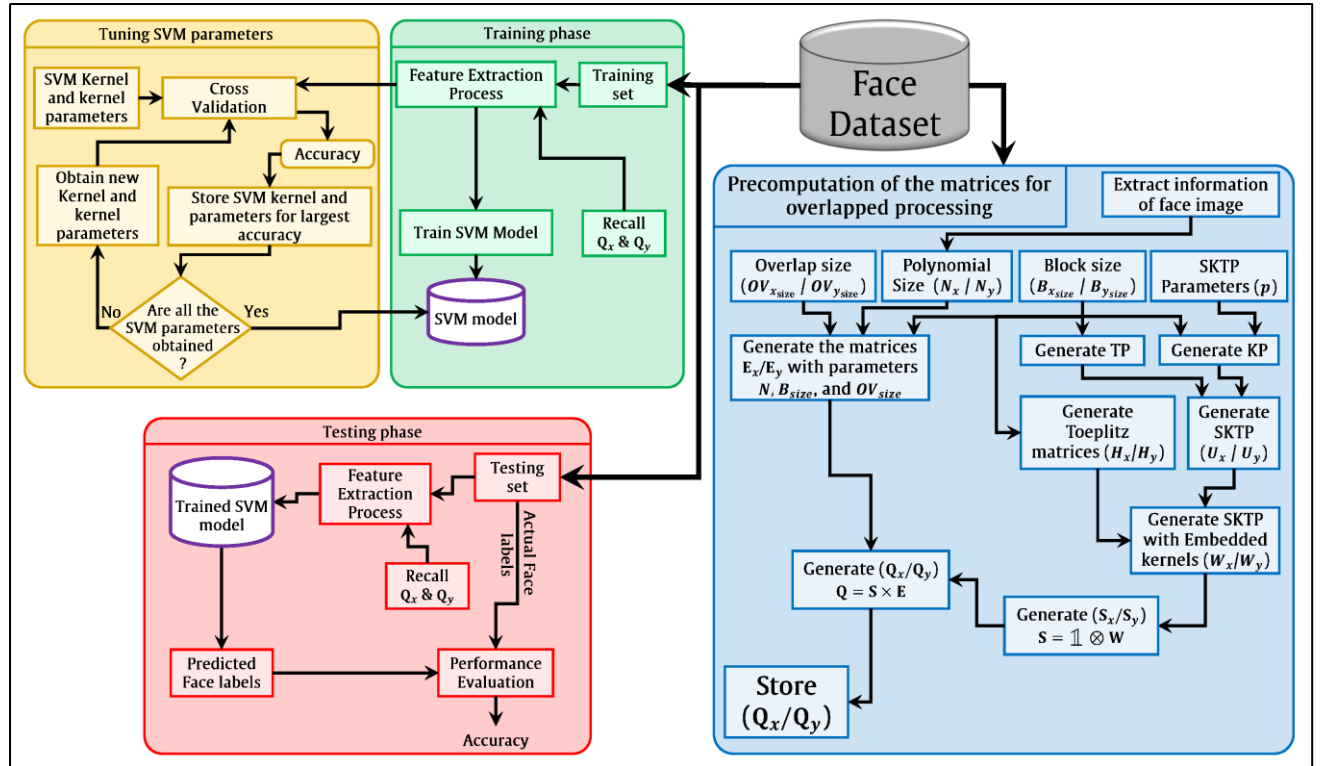


Figure 2: Iterative feedback loop in facial recognition

e) Iterative Development:

Refine and iterate on the selected ideas based on the feedback and insights gained from the validation and collaboration stages. Continuously improve the ideas, considering technical advancements, evolving user requirements, and emerging challenges in forensic face recognition.

Throughout this process, maintain an open and inquisitive mindset, actively seeking inspiration from diverse sources such as academic research, industry innovations, and real-world case studies. Embrace continuous learning, collaboration, and adaptation to foster creative thinking and generate novel ideas for advancing forensic face recognition technology.

11. Concept Modelling

Concept modelling for forensic face recognition involves designing a framework or system that encompasses various components and processes necessary for the accurate and efficient identification of individuals based on facial features. Here's a conceptual model for forensic face recognition:

1. Data Acquisition:

- **Image/Video Capture:** Obtain facial images or videos from diverse sources, including surveillance cameras, social media, forensic databases, or crime scenes.
- **Preprocessing:** Apply preprocessing techniques to enhance image quality, correct for lighting variations, and remove noise or artifacts.

2. Feature Extraction:

- **Facial Landmarks Detection:** Identify key facial landmarks, such as eyes, nose, mouth, and eyebrows, to establish the spatial configuration of the face.
- **Feature Encoding:** Extract relevant features from facial regions using techniques like Local Binary Patterns (LBP), Histogram of Oriented Gradients (HOG), or Convolutional Neural Networks (CNN).

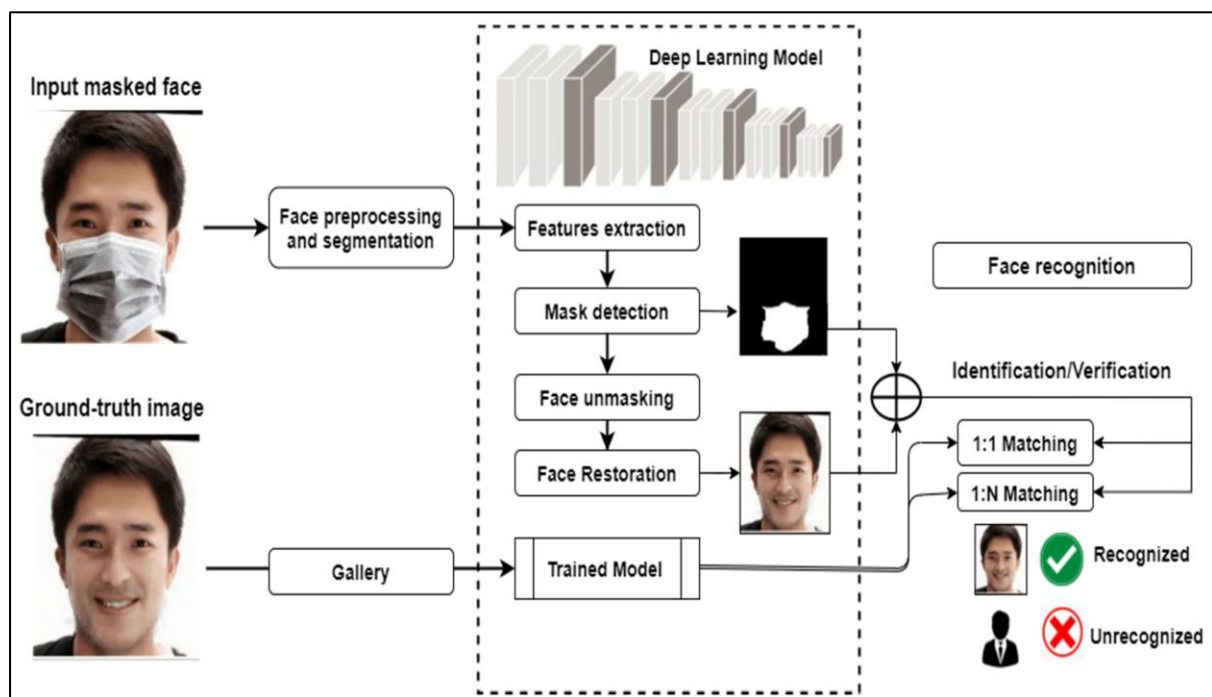


Figure 3: Feature Extraction and Validation

3. Matching and Recognition:

- **One-to-One Matching:** Compare the facial features of a probe image with those of a known reference image to verify the identity of an individual.

- **One-to-Many Matching:** Conduct a search across the database to find potential matches for an unknown individual by comparing their facial features against multiple reference faces.

4. Decision and Analysis:

- **Confidence Thresholding:** Set a threshold to determine whether a match is considered significant enough to confirm identity or warrant further investigation.
- **Forensic Expert Review:** Involve human experts to validate the results, provide contextual information, and make final judgments based on their expertise.

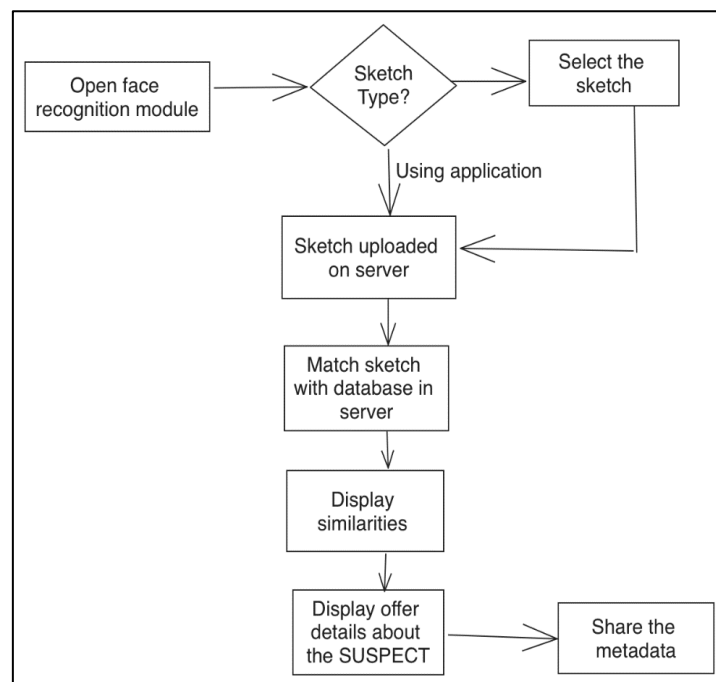


Figure 3: Recognizing sketch in application

6. Reporting and Integration:

- **Result Presentation:** Generate comprehensive reports that include match scores, potential matches, identification confidence, and relevant metadata.
- **Integration with Other Systems:** Integrate the forensic face recognition system with existing law enforcement databases, surveillance systems, or case management platforms to facilitate information sharing and collaboration.

7. Continuous Improvement:

- **Feedback Loop:** Collect user feedback, including misidentifications or false positives/negatives, to improve the system's performance through iterative updates and enhancements.
- **Algorithmic Refinement:** Explore advanced algorithms, deep learning techniques, or ensemble models to enhance accuracy, handle challenging scenarios, and adapt to emerging threats.

12. Final Product Prototype:

The components involved in facial recognition and construction for facial recognition and construction can be altogether set up to build a small prototype to declare the working of the application. An overview of the components and features that can be included in a final product prototype for facial forensic recognition is below:

A) Hardware:

1. Camera or image/video capture device: A high-resolution camera capable of capturing clear facial images or videos.
2. Processing unit: A powerful computer or server for performing complex facial recognition algorithms and computations.
3. Storage: Sufficient storage capacity to store facial images, extracted features, and associated metadata.

B) Software:

1. User Interface: A user-friendly interface for interacting with the system, performing searches, and viewing results.
2. Facial Detection and Alignment: Algorithms to detect and align faces in images or videos, ensuring consistent positioning for accurate feature extraction.
3. Feature Extraction: Advanced algorithms for extracting facial features such as landmarks, textures, or mathematical representations.
4. Matching Algorithms: Robust algorithms for comparing query features with database features, calculating similarity scores, and ranking potential matches.
5. Threshold Determination: Methods to establish decision thresholds for positive identification or verification based on similarity scores.
6. Result Presentation: Clear and concise display of identification results, including matched identities and associated confidence scores.

C) Key Features:

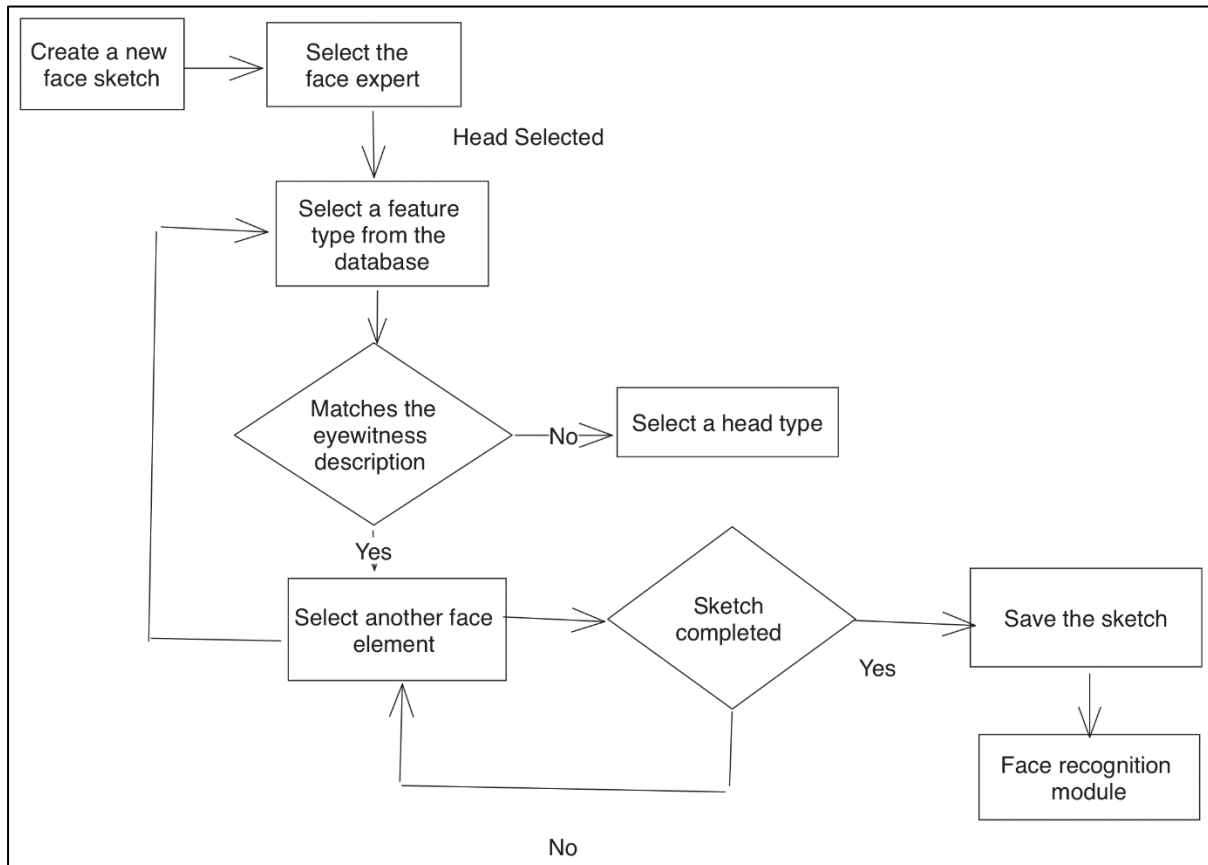
1. Search and Identification: The ability to search a database of facial images for the identification of unknown individuals.
2. Verification: Perform one-to-one matching to verify the identity of an individual against a specific reference.
3. Real-time Processing: Capabilities for real-time face detection, feature extraction, and matching, allowing for quick results.

It's important to note that developing a final product prototype for facial forensic recognition involves a combination of hardware, software, and advanced algorithms. The actual implementation would require expertise in computer vision, machine learning, and forensic sciences.

13. Product Details:

Forensic recognition and construction are an advanced application specifically designed for recognizing faces during forensic with the functionality of constructing new faces. It utilizes cutting-edge computer vision and machine learning algorithms to assist law enforcement agencies and forensic laboratories in accurately reconstructing facial appearances and conducting facial recognition analysis for criminal investigations.

A. Facial Reconstruction:



B. Facial Recognition and Analysis:

1. Robust Facial Recognition: Perform accurate face matching and identification by comparing facial features extracted from crime scene images or surveillance footage with known individuals in a forensic face database.
2. Real-time Processing: Enable rapid facial recognition processing, allowing investigators to quickly identify potential matches and narrow down suspect lists.

The product revolutionizes the field of forensic face construction and recognition, empowering investigators with advanced tools for accurate facial reconstruction and identification. By leveraging state-of-the-art algorithms, user-friendly interfaces, and robust security measures, the application enhances the efficiency and effectiveness of forensic investigations, contributing to improved outcomes and justice.

14. Conclusion:

In conclusion, forensic face recognition technology plays a crucial role in law enforcement and forensic investigations. It offers the capability to identify individuals based on their facial features, aiding in criminal investigations, locating missing persons, and enhancing public safety. By leveraging advanced algorithms, real-time processing, and comprehensive databases, forensic face recognition systems provide accurate and efficient identification capabilities.

Forensic face recognition technology has several key benefits. It allows for the comparison of facial features from captured images or videos with reference faces stored in databases, enabling law enforcement agencies to quickly identify potential suspects or victims. It helps in narrowing down the pool of suspects, establishing links between individuals and criminal activities, and providing valuable evidence in court proceedings. Moreover, it can assist in identifying missing persons or unknown individuals in forensic investigations.

However, it is important to consider the ethical and privacy implications associated with forensic face recognition. Safeguarding the privacy of individuals and ensuring the responsible use of the technology is crucial. Proper protocols and regulations should be in place to protect the collected biometric data, prevent misuse, and address concerns regarding potential biases and errors.

As technology advances, future developments in forensic face recognition are expected to focus on improving accuracy, handling challenging scenarios (e.g., pose variations, low-quality images), and addressing privacy concerns. Ongoing research and advancements in deep learning, computer vision, and pattern recognition will continue to enhance the capabilities of forensic face recognition systems, making them more reliable and effective in real-world scenarios.

Overall, forensic face recognition technology offers significant potential to enhance law enforcement efforts and forensic investigations. With careful consideration of ethical considerations, privacy protection, and continuous improvements in accuracy and reliability, forensic face recognition will continue to be a valuable tool in the field of criminal justice.