



**SCORE CALIBRATION IN FACE  
RECOGNITION**

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# Score Calibration in Face Recognition

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## Abstract

This paper presents an evaluation of the verification and calibration performance of a face recognition system based on inter-session variability modeling. As an extension to calibration through linear transformation of scores, categorical calibration is introduced as a way to include additional information about images for calibration. The cost of likelihood ratio, which is a well-known measure in the speaker recognition field, is used as a calibration performance metric. Results on the challenging MOBIO and SCface databases indicate that linearly calibrated face recognition scores are less misleading in their likelihood ratio interpretation than uncalibrated scores. In addition, the categorical calibration experiments show that calibration can be used not only to improve the likelihood ratio interpretation of scores, but also to improve the verification performance of a face recognition system.

**Keywords:** forensic face recognition, likelihood ratio, calibration, linear score transformation.

## 1 Introduction

Face is one of the common biometric modalities that is used by humans to perform person recognition [1]. Due to advancements of audio-visual recording equipment in recent years, cameras are used regularly in our everyday life. Taking photos or videos of people became popular as camera technology for mobile devices (e. g., smart phones and tablets) rapidly improved. In the security sector, surveillance cameras are often used to monitor public places such as train stations, airports, shopping malls and hospitals. The availability of digital images from these cameras has stimulated the development of technologies to

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process them. One of these technologies is automatic face recognition, i. e., a technology to recognize a person's identity from his or her facial image [2].

Automatic face recognition in biometrics has applications that can be divided into 3 main groups: commercial, governmental and forensic applications [3]. An example of commercial face recognition is the user authentication process that is performed by mobile devices and personal computers. In governmental applications, automatic face recognition systems may be used in biometric passport verification or border control activities. For both commercial and government related applications, the subjects usually cooperate with the system. In forensic applications, digital image evidence can be recovered from surveillance operations that often involve *closed circuit television* (CCTV) cameras. In contrast to commercial applications, subjects in forensic face recognition generally do not cooperate with the system while such evidence is captured. Rather, they are either unaware of the system or are deliberately uncooperative, for example by hiding or disguising themselves with hats, sunglasses or masks.

Sometimes, crime scenes are watched by eyewitnesses, who may later be called upon to identify suspects. One problem of eyewitnesses is that their memory can be influenced by misleading information presented after the crime occurred [4, 5]. In cognitive psychology, this effect is called the *misinformation effect paradigm* [6]. Therefore, eyewitness testimonies should not be taken as the only source of information to decide whether or not the suspect is the perpetrator.

When a crime scene is monitored by a CCTV camera, the captured images are commonly compared to facial images from potential suspects of the crime by forensic experts. On one hand, humans tend to perform better than an automatic based system when recognizing familiar faces [7, 8], but on the other hand it has been shown that automatic face recognition systems surpass human performance when comparing unfamiliar faces in difficult illumination conditions [9]. Hence, automatic systems for forensic face recognition should be used to assist forensic experts.

Several challenges emerge when images captured from mobile devices or CCTV cameras are used for face recognition. Issues that influence recognition performance include low resolution in the captured images, the pose of the subject, partial occlusions of the subject's face and variable illumination [10]. To address these issues, various techniques have been developed including image preprocessing to reduce illumination effects [11], feature normalization [12, 13] and *inter-session variability* (ISV) modeling [14]. Score normalization techniques, such as zero and test score normalization (ZT-norm), have also been shown to improve verification performance [15].

Generally, automatic face recognition systems compute a *similarity score* between a given *probe* sample and a *model* from a known identity. In authentication or verification applications of automatic face recognition, this score is compared to a *threshold* to classify the trial as either a *client* or an *impostor*. In forensic applications, interpreting the score is more complicated because legal decisions cannot be made directly by the automatic face comparison system but rather should be made by a judge

or jury in court, after integrating information including several pieces of evidence. If the outcome of the face comparison should be presented in court, a favorable way to express it is in form of a *likelihood ratio*, i. e., a relative likelihood of the following two competing hypotheses [16]: a) the probe image (e. g., from CCTV) came from the suspect (*prosecution hypothesis  $H_P$* ) or b) it originated from someone else (*defense hypothesis  $H_D$* ). It is reported that uncalibrated likelihood ratios can be misleading in their interpretation for forensics application [17, 18]. The approach that can be taken to tackle this issue is *calibration* [17, 19], a process to transform *raw scores* computed by automatic face recognition systems into *calibrated likelihood ratio* scores.

In the field of speaker recognition, calibration is used in the *speaker recognition evaluation* (SRE) that is regularly held by the American *National Institute for Standards and Technology* (NIST) to verify advances of the technology for speaker detection systems and measuring its performance [20]. In other forensic biometric fields such as fingerprint, earmarks and signature recognition, calibration is used to transform raw scores from biometric systems to likelihood ratios [21, 22, 23]. To our knowledge, there is only limited literature available that discusses calibration for scores produced by automatic face recognition systems [21, 24].

In previous works on face recognition, we proposed a session variability reduction method through ISV modeling [14], and a score normalization technique via ZT-norm implementation [15] to the face recognition system. These works only focus on improving the system verification performance. Unlike the previous works, in this study we also focus on the calibration performance and introducing calibration techniques for face recognition systems. Experiments are carried out using a face recognition system based on ISV modeling, with and without ZT-norm, and on two challenging facial image databases: mobile biometrics (MOBIO) and surveillance camera face (SCface). We evaluate both verification and calibration performances, before and after *linear calibration* is applied to the scores. We then introduce *categorical calibration* as a way to utilize additional information about facial images for calibration. With categorical calibration, we show that not only calibration, but also verification performance can be improved. In the discussion, we examine the effects of calibration on score distributions produced by the face recognition system.

One important aspect of the research in this paper is that we provide the source code for all experiments, evaluations, tables and plots that are shown in Section 7. All experiments solely rely on open source software and are, therewith, entirely reproducible.

The remainder of this paper is structured as follows: the face recognition system is explained in more detail in Section 2, followed by introduction of likelihood ratio calibration in Section 3 and metrics used to evaluate the system performance in Section 4. In Section 5, we present databases and evaluation protocols. The experimental setup is detailed in Section 6. Finally, the results of all experiments are discussed in Section 7, and Section 8 concludes the paper.

## 2 Face recognition

Automatic face recognition is the task of recognizing people from their facial images. There are several challenges that influence automatic face recognition systems, like facial expressions, different illumination conditions, partial occlusions of the face, non-frontal pose and low image resolution.

Before the person shown in an image can be identified, the face has to be detected. Since we want to investigate face recognition, rather than face detection, we use the hand-labeled eye positions that are provided with the databases (cf. Section 5) to geometrically normalize the images. Images are then photometrically enhanced to reduce the influence of illumination, e. g. using the method introduced in [11].

From these preprocessed images, features that are useful for face recognition are extracted. Over the last few decades, numerous algorithms have been developed to extract different kinds of features like *eigenfaces* [25], *local binary patterns* [26], *scale invariant feature transform* (SIFT) features [27] and *Gabor features* [28]. In addition, the way to extract features from raw pixel values has also been studied [29]. Using these features, a recognition algorithm is then executed, for example *linear discriminant analysis* [30], the *Bayesian intra-personal/extra-personal classifier* [31], *support vector machines* [32], *elastic bunch graph matching* [33], or *local Gabor binary pattern histogram sequences* [34]. In this work we focus on a face recognition system that was one of the best performing systems in [35], which relies on an *inter-session variability* (ISV) modeling in a *Gaussian mixture model* (GMM) framework using *discrete cosine transform* (DCT) block features.

To ensure reproducibility and comparability of our face recognition system, we strictly follow the evaluation protocols defined by the MOBIO and SCface databases and solely use open source software [36, 35] to run our experiments. The database protocols define the setup of the face verification experiment by dividing the images into three groups: *training set*, *development set* and *evaluation set*. First, facial features are extracted from all images of the database. Next, the images from the training set are used to adapt the face recognition system to the conditions of the database. Then, for each *client* in the development set, the features of one or more of the client’s images are used to enroll a *client model*. The features of the remaining images from the development set are used to *probe* the system by computing similarity *scores* between client models and probe features. Finally, the scores from the evaluation set are computed in a similar way. These scores can be directly used to compute the recognition performance of the system, but they can also be further processed by score normalization, e. g. ZT-norm, or score calibration.

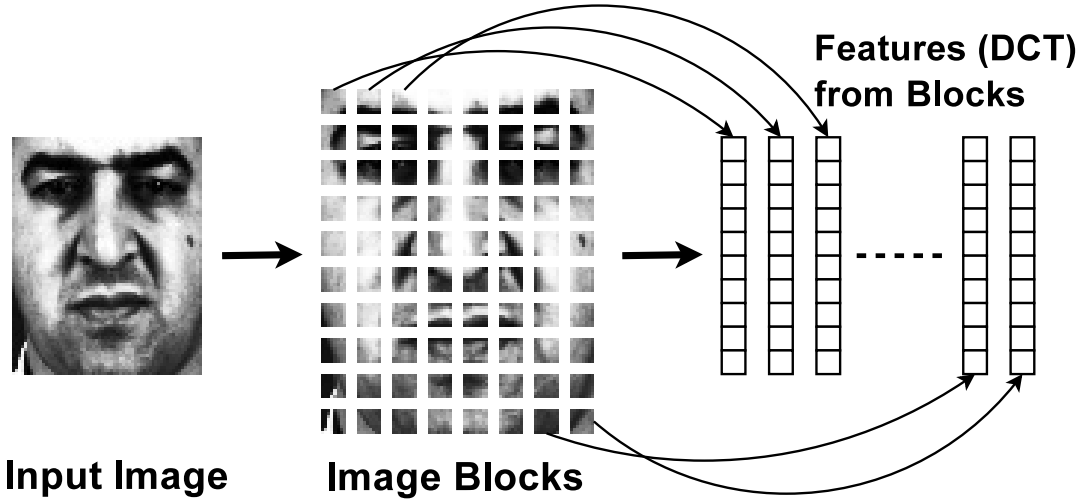


Figure 1: The process of extracting DCT block features from a geometrically normalized image.

## 2.1 UBM-GMM modeling of DCT block features

As in [14], the features extracted from the preprocessed images are DCT block features. After the image is decomposed into several overlapping blocks, DCT features  $\vec{x}_b$  are extracted from each of the blocks. This extraction process is visualized in Figure 1.

In contrast to most approaches to face recognition, these features are not concatenated into a single long feature vector, but each feature is taken to be an independent *observation* of the same person. To enroll a model of a client, the distribution of DCT block features from one or more images from the client is modeled by a *Gaussian mixture model* (GMM). The enrollment process to create the client-specific GMM is twofold. Firstly, a client-unspecific GMM – the so-called *universal background model* (UBM)  $\lambda_{\text{UBM}}$  – models the distribution of features from an independent set of *training* images that does not include images from clients. Secondly, the client-specific GMM  $\lambda_c$  is created by adapting the means of the UBM to the features of the client’s enrollment features [14] while keeping the same covariance matrices as the UBM.

## 2.2 Inter-session variability (ISV) modeling

The ISV modeling technique was originally inspired by the speaker recognition field [37]. This technique involves estimating a linear subspace in GMM supervector space to capture the effects of image variations (due to, e. g., illumination, pose, facial expression, occlusion) and accounts for these variations during client model enrollment. The enrolled client-specific GMMs thereby isolate a client-specific component from image-dependent components in GMM supervector space. This modeling technique has been shown to improve stability against these image-dependent variations. For details, readers are directed to [14].

During the deployment (test) phase, the DCT features  $\vec{x}_p = \{\vec{x}_{p,b}\}_{b=1}^B$  for all blocks  $b$  of a probe image are extracted, and an estimate is made of how well the probe features can be explained by a

certain client model  $\lambda_c$ . Specifically, this is achieved by computing the average *log likelihood ratio* (LLR) score:

$$h(\vec{x}_p, \lambda_c) = \frac{1}{B} \sum_{b=1}^B \log \frac{p(\vec{x}_{p,b} | \lambda_c)}{p(\vec{x}_{p,b} | \lambda_{\text{UBM}})}. \quad (1)$$

This score, thus, compares the likelihood that the client model  $\lambda_c$  generated the observations ( $H_P$ ) versus the likelihood that they were generated by the universal background model,  $\lambda_{\text{UBM}}$  ( $H_D$ ).

### 2.3 ZT score normalization

After score computation, we employ *ZT score normalization* (ZT-norm), which was also adopted from the speaker verification field [38]. ZT-norm incorporates both client-centric Z-norm and probe-centric T-norm [39]. The goal of ZT-norm is to make the score independent of the current client or probe.

Both Z- and T-norm convert a raw score  $h$  to a normalized score  $h'$  by subtracting an average *impostor* score  $\mu$  and dividing it by its standard deviation  $\sigma$ :

$$h' = \frac{h - \mu}{\sigma}. \quad (2)$$

The difference between Z- and T-norm is how impostor scores are computed. For Z-norm, these scores are computed between the currently tested client model  $\lambda_c$  and all probe images from the cohort, whereas for T-norm, scores are computed between the current probe  $\vec{x}_p$  and all cohort client models.

Finally, ZT-norm is a combination of first applying Z-norm and then applying T-norm afterward, which was shown to perform well for face recognition [15]. It should be noted that the ZT-norm score transformation removes any log-likelihood ratio properties that the scores may have had before transformation.

## 3 Likelihood ratio calibration

Using an automatic face recognition system for forensic applications, it is important to ensure that scores are output in the form of likelihood ratios. Even if face recognition algorithms are designed to produce likelihood ratio scores, due to various reasons like score normalization or imbalanced training data, this goal might not be directly achieved. One way to give likelihood ratio properties to the face recognition scores is through calibration, which is described as “the act of defining the mapping from score to log-likelihood-ratio” [19].

### 3.1 Likelihood ratios for forensic face recognition

Experts argue that reporting a likelihood ratio is a sound way of presenting scientific evidence to court. A *likelihood ratio* (LR) expresses the ratio of two likelihoods. For forensics, this is the ratio of the



likelihoods of observing the evidence  $E$  in two competing hypothesis: the prosecution hypothesis  $H_P$  and the defense hypothesis  $H_D$ :

$$\text{LR} = \frac{P(E | H_P)}{P(E | H_D)}. \quad (3)$$

For forensic face recognition, these two competing hypotheses can be defined as:

- $H_P$ : probe  $\vec{x}_p$  originates from the client  $c$ , and
- $H_D$ : probe  $\vec{x}_p$  originates from someone else.

For numerical stability reasons, the likelihood ratio is taken in the logarithmic domain, forming the *log likelihood ratio* (LLR).

### 3.2 Linear score transformation

One way to perform calibration in a binary classification process like face verification is through *linear calibration* [40]. This calibration process linearly transforms *raw scores* produced by a face recognition system to *calibrated likelihood ratio* scores. The linear transformation used to calibrate raw scores  $h$  (or  $h'$  after ZT-norm) to calibrated LLR's  $\ell$  is:

$$\ell = w_0 + w_1 h, \quad (4)$$

where  $w_0$  is the offset parameter and  $w_1$  is the scaling parameter. These two parameters are obtained from the scores of the development set of the database via *logistic regression*.

Finally, the trained calibration parameters are applied to the scores of the evaluation set. In this way, calibration transfers knowledge about the whole score distribution from the development set to the evaluation set, in order to improve the interpretability of the resulting calibrated scores.

### 3.3 Categorical calibration

In this paper, we introduce a technique called *categorical calibration* to the face recognition field. This calibration technique is an extension of linear calibration described above that replaces the single offset parameter  $w_0$  with a set of  $N$  category-dependent offset parameters  $w_{0,i}$ . Assuming that there are  $N$  distinct probe image categories  $Q = \{q_i\}_{i=1}^N$  and that, therefore, probe features  $\vec{x}_p$  that produced score  $h$  belong to a certain category  $q$ , scores transformation using categorical calibration can be formulated as:

$$\ell = \sum_{i=1}^N \delta_{q,q_i} w_{0,i} + w_1 h, \quad (5)$$

where  $\delta$  is the Kronecker delta:

$$\delta_{q,q_i} = \begin{cases} 1 & \text{if } q = q_i \\ 0 & \text{if } q \neq q_i \end{cases}. \quad (6)$$

Categorical calibration is motivated by a calibration technique in speaker recognition that employs *side information* [41]. In categorical calibration, the categories can be in the form of *quality measures* [42, 43] of the image such as subject pose, illumination condition, resolution, facial expression, etc. In this paper, we use distance between camera and subject to determine the category of probe images. Unlike conventional linear calibration, an improvement in verification performance is possible through categorical calibration. This is because the rank order of scores is invariant under Equation (4) but not under Equation (5).

## 4 Performance Measures

Two types of metrics are used to measure the verification performance of our face recognition system. The metrics are *verification cost* ( $C_{\text{ver}}$ ) and *probability of false rejection* ( $P_{\text{fr}}$ ), both of which measure performance at different locations in the ROC curves, as well as the *cost of log likelihood ratio* ( $C_{\text{llr}}$ ), which assesses the whole ROC curve. In this section, we introduce these measures in more detail. For all metrics, lower values indicate better system performance.

### 4.1 Verification cost

The verification cost  $C_{\text{ver}}$  is a binary-classification system performance measure, which is defined as:

$$C_{\text{ver}}(\theta) = P_{\text{cli}} \times C_{\text{FR}} \times \text{FRR}(\theta) + (1 - P_{\text{cli}}) \times C_{\text{FA}} \times \text{FAR}(\theta), \quad (7)$$

where  $P_{\text{cli}}$  is the prior probability that the probe image is of the client,  $C_{\text{FR}}$  and  $C_{\text{FA}}$  are the weighted cost of false reject and false alarm errors, respectively, and  $\theta$  is the decision threshold of the system. This metric is analogous to *detection cost* ( $C_{\text{det}}$ ) in the speaker recognition field [44]. It measures the verification cost at a single operating point of the DET-curve [45] or at a certain *false rejection rate* (FRR) or *false acceptance rate* (FAR) point.

If the prior probability  $P_{\text{cli}} = 0.5$  and the same weighting cost for  $C_{\text{FR}}$  and  $C_{\text{FA}}$  are used ( $C_{\text{FR}} = C_{\text{FA}} = 1$ ), Equation (7) becomes:

$$C_{\text{ver}}(\theta) = \frac{\text{FRR}(\theta) + \text{FAR}(\theta)}{2}. \quad (8)$$

This function is identical to the *half total error rate* (HTER), which is a well-known evaluation measure

commonly used in face recognition [15, 46]. In our experiments, we use two different ways to determine a threshold  $\theta$ . First, the optimal threshold  $\theta^*$  is computed based on the development and evaluation set independently, by minimizing:

$$\theta^* = \arg \min_{\theta} C_{\text{ver}}(\theta). \quad (9)$$

In this paper, we refer to the minimum verification cost as  $C_{\text{ver}}^{\min} = C_{\text{ver}}(\theta^*)$ .

To give a more realistic and unbiased evaluation of the verification cost on the evaluation set, we also compute the optimal threshold  $\theta^*$  based on the development set and compute the  $C_{\text{ver}}$  of the evaluation set at that threshold. For brevity, we simply call this value  $C_{\text{ver}}$ .

In addition to the  $C_{\text{ver}}$  measure, we also report the FRR at the threshold, where the FAR = 1% as *probability of false rejection* ( $P_{\text{fr}}$ ) for both development and evaluation set. Both  $C_{\text{ver}}^{\min}$  and  $P_{\text{fr}}$  are solely discrimination performance measures that are insensitive to linear calibration.

## 4.2 Cost of log likelihood ratio

The last performance measure used in this paper is the cost of log likelihood ratio ( $C_{\text{llr}}$ ). Unlike  $C_{\text{ver}}$  and  $P_{\text{fr}}$ , the  $C_{\text{llr}}$  is an *application-independent* verification measure [47]. Usually, in face and speaker verification systems, *hard decisions* are made by thresholding the scores. The  $C_{\text{llr}}$  includes the concept of *expected cost* and *soft Bayes decision*. This metric can be seen as an integral over all cost functions  $C_{\text{ver}}$  in Equation (7) that is parameterized by  $P_{\text{cli}}$ ,  $C_{\text{FR}}$  and  $C_{\text{FA}}$ , thereby assessing calibration at all thresholds  $\theta$ .

The metric  $C_{\text{llr}}$  is a performance measure commonly used in speaker recognition, e.g., in the NIST SRE plan [20]. It can be interpreted as a scalar measure that summarizes the quality of the likelihood ratio scores [48]. The  $C_{\text{llr}}$  is formulated as:

$$C_{\text{llr}} = \frac{1}{2N_{\text{cli}}} \sum_{h_i \in \{h_{\text{cli}}\}} \log_2(1 + \exp(-h_i)) + \frac{1}{2N_{\text{imp}}} \sum_{h_j \in \{h_{\text{imp}}\}} \log_2(1 + \exp(h_j)), \quad (10)$$

where  $N_{\text{cli}}$  and  $N_{\text{imp}}$  are the number of client and impostor trials, respectively. The  $C_{\text{llr}}$  value can be expressed as the sum of a minimum  $C_{\text{llr}}$  value referred to as *discrimination loss*,  $C_{\text{llr}}^{\min}$ , plus *calibration loss*,  $C_{\text{mc}}$ :

$$C_{\text{mc}} = C_{\text{llr}} - C_{\text{llr}}^{\min}, \quad (11)$$

Discrimination loss  $C_{\text{llr}}^{\min}$  and calibration loss  $C_{\text{mc}}$  indicate the verification and calibration performances of a system, respectively [47]. To compute a meaningful value of  $C_{\text{llr}}$ , it is important that the scores are interpretable as likelihood ratios and, therefore, calibration is required before computing this measure.

The  $C_{\text{llr}}$  can also be seen as a validity measure of a biometric system, in that it indicates the quality

Table 1: The interpretations of  $C_{\text{llr}}$  values for system performance and likelihood ratio scores [47].

$C_{\text{llr}}$ value	System performance interpretation	Special LLR properties
0	Perfect verification system.	$\text{LLR} = -\infty$ for impostors and $\text{LLR} = \infty$ for clients.
$0 < C_{\text{llr}} < 1$	Well-calibrated system.	$-\infty < \text{LLR} < \infty$ and LLRs are well-calibrated.
1	Reference verification system.	$\text{LLR} = 0$ for impostors and clients.
$C_{\text{llr}} > 1$	Badly calibrated system.	No LLR interpretation possible.

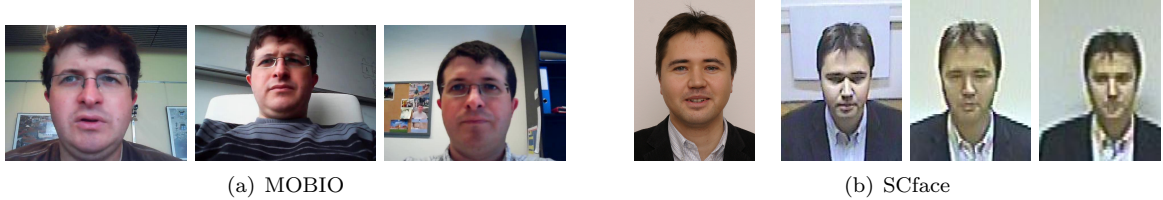


Figure 2: Example images of the (a) MOBIO and (b) SCface databases. In (b) the first image shows an enrollment sample, while remaining images are from the *close*, *medium* and *far* condition, respectively.

and validity of the likelihood ratios produced by the system [49]. The interpretation of  $C_{\text{llr}}$  values are presented in Table 1. A perfect verification system has  $C_{\text{llr}} = 0$ , while a reference system has  $C_{\text{llr}} = 1$ . The perfect verification system always produces  $\text{LLR} = -\infty$  for impostor scores and  $\text{LLR} = \infty$  for client scores. In contrast, the reference system always produces  $\text{LLR} = 0$ , i. e., it does not add any information in the forensic decision process. When a verification system has  $C_{\text{llr}} > 1$ , it is considered to be badly calibrated. The scores produced by this system are misleading if interpreted as likelihood ratios. If the calibration loss  $C_{\text{mc}}$  is removed from the  $C_{\text{llr}}$  value, we find the discrimination loss is  $0 \leq C_{\text{llr}}^{\text{min}} < 1$ .

A well-calibrated system has  $0 \leq C_{\text{llr}} < 1$  and produces well-calibrated likelihood ratios. A well-calibrated likelihood ratio  $\ell$  has the interesting property that “*the likelihood ratio of the likelihood ratio is the likelihood ratio*”, which is referred to as *idempotence* [50, 51]:

$$\ell = \log \frac{P(\ell | H_P)}{P(\ell | H_D)}. \quad (12)$$

This explains that the log likelihood ratio of log likelihood ratio  $\ell$  is the log likelihood ratio  $\ell$  itself. One implication of Equation (12) is that for  $\ell = 0$ , the likelihoods of both  $H_P$  and  $H_D$  are equal.

## 5 Databases and protocols

We evaluate face verification and calibration performance on two challenging image databases. Since we want to evaluate performance in forensic cases and there is no publicly available forensic database, we chose the MOBIO [52] and SCface [53] databases that contain images that are as close as possible to real forensic data. Samples of facial images from the databases are presented in Figure 2. In order to have *unbiased* evaluations (see [54] for effects of *biased* evaluations), the clients of each database are divided into three different sets:

Table 2: Number of client and impostor scores in MOBIO and SCface.

Database	Protocol	(Client / Impostor trials)	
		Development set	Evaluation set
MOBIO	<i>male</i>	(2,520 / 57,960)	(3,990 / 147,630)
	<i>female</i>	(1,890 / 32,130)	(2,100 / 39,900)
SCface	<i>close</i>	(220 / 9,460)	(215 / 9,030)
	<i>medium</i>	(220 / 9,460)	(215 / 9,030)
	<i>far</i>	(220 / 9,460)	(215 / 9,030)
	<i>combined</i>	(660 / 28,380)	(645 / 27,090)

1. A *training* set: images of this set are used to learn the parameters of the face recognition algorithm. Here, model training uses two thirds of this training data, while the remaining third is used as *cohort images* and *cohort clients* for ZT score normalization. In total, we use 9600 and 688 facial images of 50 and 43 identities for MOBIO and SCface, respectively.
2. A *development* set: these images are used to optimize meta-parameters of the algorithm. The scores obtained with this set are also used to train score calibration parameters.
3. An *evaluation* set: these images are used to compute the final verification and calibration performances.

## 5.1 MOBIO

The *mobile biometrics* (MOBIO) database [52] is a multi-modal face and speech database containing video recordings from mobile devices. The database was collected in order to capture real-world scenarios for face and speaker authentication. In this paper, we use image data extracted from the database<sup>1</sup>.

The 150 clients of the MOBIO database are divided into training set (50), development set (42) and evaluation set (58 persons). The training set is further split into 34 clients that are used to train the face recognition system, and 16 persons in the ZT-norm cohort.

The database is accompanied by two protocols, which are based on gender: *male* and *female*. Client models are enrolled using features from 5 facial images per identity. Finally, client and impostor scores are computed by probing all client models with all probe images. The number of client and impostor trials are listed in Table 2. Due to the low number of clients in the training set, the training of the face recognition system and the ZT-norm is always performed *gender-independently*. However, calibration is executed *gender-dependently*, following the gender-split as specified in the protocols.

## 5.2 SCface

The *surveillance camera face* (SCface) database [53] represents an indoor monitoring scenario. The probe images were captured from different surveillance cameras with three subject-to-camera distances:

<sup>1</sup><http://www.idiap.ch/dataset/mobio>

1 meter (*close*), 2.6 meters (*medium*) and 4.2 meters (*far*). With about 10 pixels inter-eye-distance, the *far* condition has the lowest image resolution, while the *close* condition has a viewing angle slightly from above (cf. Figure 2(b)). As is often the case in real surveillance applications, client models are each enrolled from a single high-quality frontal mug-shot photograph.

In total, the number of clients in the SCface database is 130. They are split into sets of 43 subjects for training, 44 for development and 43 for evaluation. The training clients are split up into 29 clients that are used to train the face recognition system and 14 identities in the cohort. There are four protocols defined: *close*, *medium*, *far* and *combined*. The *combined* protocol includes all images from the *close*, *medium* and *far* conditions. Again, all probe images are compared to all client models, leading to the number of client and impostor trials listed in Table 2.

## 6 Experimental setup

In this section, we describe the setup of the face recognition system and calibration. We execute experiments on both databases independently. For each database, the face recognition system is adapted to the training set of the database and the cohort images are taken only from the corresponding training set. The parameters for the face recognition experiments, explained in more detail in this section, are optimized to the development set of each database separately. Here we use the same algorithm configuration as in [15]. Except where stated otherwise, ZT score normalization always uses cohort images across all conditions, i. e., gender-independent for MOBIO and distance-independent for SCface.

Importantly, all results are generated solely using open source software. The face recognition algorithm, the linear calibration of scores, the verification and calibration metrics, as well as the image database interfaces rely on the open source signal-processing and machine learning toolbox Bob [36]<sup>2</sup>. The face recognition and linear calibration experiments are conducted with the FaceRecLib [35]<sup>3</sup> which implements the evaluation protocols for the databases. The calibration module inside Bob is adapted from Bosaris [48], a toolkit for calibrating, fusing and evaluating scores from binary classifiers. All results, figures, tables and plots presented in this paper can be reproduced using the provided software package<sup>4</sup>.

### 6.1 Face recognition

The first step of the image processing chain for face recognition is image preprocessing. After geometrical alignment using the hand-labeled eye positions that are provided with the databases, the eye positions in the resulting gray-scale image are horizontally aligned at 16 pixels from the top and separated by

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<sup>2</sup><http://www.idiap.ch/software/bob>

<sup>3</sup><http://pypi.python.org/pypi/face-reclib>

<sup>4</sup><http://pypi.python.org/pypi/xfacereclib.paper.IET2014>

33 pixels, with a resulting image resolution of  $64 \times 80$  pixels. To reduce the effects of illumination, the images of the MOBIO database are photometrically normalized [11].

The preprocessed images are split into overlapping blocks of  $12 \times 12$  pixels for MOBIO and  $20 \times 20$  pixels for SCface, sampled with the minimum step size of 1 pixel [15]. Thus, a total of  $B = 3657$  or  $2745$  blocks are generated from each image in the MOBIO or SCface database, respectively.

Each image block is normalized such that pixel values have zero mean and unit variance. Then, from each image block a set of DCT features [55] is extracted, and the 45 (MOBIO) or 66 (SCface) lowest frequency components are retained. Finally, the coefficients of all blocks in every image are again normalized to zero mean and unit variance [15].

For the face recognition system, a separate UBM is computed for each of the two databases. To train the linear ISV subspace, we use the same training data as for UBM creation. As in [15], we selected a subspace of 320 dimensions for MOBIO and 80 dimensions for SCface.

## 6.2 Calibration

Two calibration conditions are evaluated in the MOBIO database. These conditions are based on gender division into *male* and *female* subsets. The calibration parameters are computed from the scores of the development set of each gender independently. Afterward, calibration is applied to the scores of the evaluation set with corresponding gender.

Four distance conditions in the SCface database, which are *close*, *medium*, *far* and *combined*, are evaluated. Besides conventional linear calibration, we also apply categorical calibration to the *combined* scores of SCface. In this categorical calibration experiment, additional information about facial images, i. e., the distance between surveillance camera and subject is used. Specifically, the distances *close*, *medium* and *far* are used to form the set of probe image categories  $Q$ .

## 7 Results

This section describes the results of our face recognition and score calibration experiments. Evaluated on the MOBIO and SCface databases, the verification performance of the face recognition system is observed with and without ZT-norm. Afterward, calibration is applied to both raw and ZT-normalized scores. Categorical calibration is shown to be beneficial for both the discrimination and calibration performance of SCface scores. At the end of this section, we present detailed analysis of the effect of calibration on score distributions.

Table 3: Verification performance using raw and ZT-normalized scores, evaluated on MOBIO and SCface.

Dataset (dev/eval)	raw scores					ZT-norm				
	dev. set		eval. set			dev. set		eval. set		
	$C_{\text{ver}}^{\min}$	$P_{\text{fr}}$	$C_{\text{ver}}^{\min}$	$C_{\text{ver}}$	$P_{\text{fr}}$	$C_{\text{ver}}^{\min}$	$P_{\text{fr}}$	$C_{\text{ver}}^{\min}$	$C_{\text{ver}}$	$P_{\text{fr}}$
<b>MOBIO:</b>										
a. <i>male</i>	3.90 %	<b>9.52 %</b>	7.10 %	7.26 %	17.44 %	<b>3.87 %</b>	10.28 %	<b>6.52 %</b>	<b>6.77 %</b>	<b>17.42 %</b>
b. <i>female</i>	<b>5.84 %</b>	<b>13.07 %</b>	11.86 %	<b>12.69 %</b>	37.71 %	6.87 %	18.84 %	<b>10.21 %</b>	14.78 %	<b>35.57 %</b>
<b>SCface:</b>										
a. <i>close</i>	10.66 %	30.91 %	10.57 %	10.82 %	35.81 %	<b>7.14 %</b>	<b>27.27 %</b>	<b>8.10 %</b>	<b>8.74 %</b>	<b>35.35 %</b>
b. <i>medium</i>	11.19 %	38.64 %	8.08 %	8.91 %	33.02 %	<b>9.32 %</b>	<b>36.36 %</b>	<b>6.90 %</b>	<b>7.48 %</b>	<b>32.56 %</b>
c. <i>far</i>	19.39 %	<b>73.64 %</b>	19.99 %	<b>20.45 %</b>	<b>73.95 %</b>	<b>18.40 %</b>	74.55 %	<b>19.66 %</b>	20.51 %	76.28 %
d. <i>combined</i>	17.03 %	52.27 %	16.39 %	16.41 %	51.01 %	<b>12.56 %</b>	<b>45.15 %</b>	<b>12.23 %</b>	<b>12.44 %</b>	<b>44.81 %</b>

Table 4: Verification performance for the SCface database showing the impacts of (a) using all conditions for the ZT-norm cohort and (b) computing the threshold on the *combined* set without ZT-norm.

(a) ZT-norm with <i>combined</i> cohort					(b) Threshold on <i>combined</i> set		
Protocol	$C_{\text{ver}}^{\min}(\text{dev})$	$C_{\text{ver}}^{\min}(\text{eval})$	$C_{\text{ver}}$	$P_{\text{fr}}$	Protocol	$C_{\text{ver}}^{\min}$	$C_{\text{ver}}$
<i>close</i>	7.14 %	8.10 %	8.27 %	29.77 %	<i>close</i>	10.57 %	14.68 %
<i>medium</i>	9.32 %	6.24 %	6.61 %	26.51 %	<i>medium</i>	8.08 %	13.75 %
<i>far</i>	18.40 %	20.07 %	20.78 %	78.60 %	<i>far</i>	19.99 %	20.79 %

## 7.1 Verification performance before calibration

The verification performance of the face recognition system for both MOBIO and SCface is presented in Table 3. The performance is expressed in terms of  $C_{\text{ver}}^{\min}$  and  $P_{\text{fr}}$  for the development and evaluation set. Additionally, the unbiased  $C_{\text{ver}}$  measure is given for the evaluation set, where the optimal threshold  $\theta^*$  from the development set is taken into account.

For the MOBIO database, the verification results for development and evaluation set differ. While in the development set the  $C_{\text{ver}}^{\min}$  values range around 4 % for *male* and 6 % for *female* clients, they are 7 % and 11 %, respectively, in the evaluation set. This is similar to what has been observed in [15, 46]. ZT-norm improves the  $C_{\text{ver}}^{\min}$  values for the evaluation set, but not for the development set of MOBIO *female* data. In this condition, there seems to be shift of scores from development to evaluation set, which causes relatively large differences between  $C_{\text{ver}}^{\min}$  and  $C_{\text{ver}}$ . In addition, ZT-norm seems to only maintain the  $P_{\text{fr}}$  values.

For the SCface database, the four protocols *close*, *medium*, *far* and *combined* are evaluated. In Table 3, ZT-norm is performed using only cohort images from the corresponding distance condition. The *close* and *medium* images with sufficient image resolution provide  $C_{\text{ver}}^{\min}$  error rates in the order of 10 %, while in the *far* condition the error rates are roughly doubled. In general, ZT-norm improves verification performance moderately, especially for the *combined* protocol where error rates are reduced by up to 4 % after ZT-norm. This positive gain of ZT-norm can be observed across all performance measures in Table 3.

Motivated by the last observation, we repeated the ZT-norm experiments using cohort images across all distance conditions. The results of this experiment are shown in Table 4(a). Interestingly, nearly all



Table 5: Calibration performance after linear calibration of the raw and ZT-normalized scores of the evaluation set of MOBIO and SCface.

Dataset condition: (eval. set)	raw scores			ZT-norm		
	$C_{llr}^{\min}$	$C_{llr}$	$C_{mc}$	$C_{llr}^{\min}$	$C_{llr}$	$C_{mc}$
<b>MOBIO:</b>						
a. <i>male</i>	0.254	0.278	0.024	<b>0.236</b>	<b>0.257</b>	<b>0.021</b>
b. <i>female</i>	0.392	<b>0.473</b>	<b>0.080</b>	<b>0.360</b>	0.483	0.122
<b>SCface:</b>						
a. <i>close</i>	0.343	0.378	0.034	<b>0.261</b>	<b>0.287</b>	<b>0.026</b>
b. <i>medium</i>	0.284	0.313	<b>0.029</b>	<b>0.205</b>	<b>0.243</b>	0.038
c. <i>far</i>	<b>0.625</b>	<b>0.659</b>	0.034	0.636	0.664	<b>0.028</b>
d. <i>combined</i>	0.503	0.523	0.020	<b>0.419</b>	<b>0.432</b>	<b>0.013</b>

error rates dropped remarkably, except for the *far* condition, which seems to be little effected. Additionally, we tested how the selection of the threshold influences performance. In Table 3, the threshold is computed for each distance condition independently. In Table 4(b), a single threshold for all conditions is selected. Clearly, the performance on the evaluation set drops seriously, especially for the *medium* and *close* conditions<sup>5</sup>.

The observation from the last two experiments is that integrating additional information about the images, e. g., the subject-to-camera distance into the face recognition system improves verification, but this is apparently not true for all steps of the face recognition tool chain. Therefore, in the following calibration experiments, we use the best setup for the SCface database: ZT-norm uses cohort images across all distance conditions, while the threshold is based on distance-dependent scores.

## 7.2 Calibration performance

In order to study the effect of calibration on face recognition, the system performance is evaluated using the  $C_{llr}$  measure. The evaluated scores are the calibrated likelihood ratios from the evaluation sets of MOBIO and SCface. The  $C_{llr}$  measure is composed of the sum of two metrics: the discrimination loss  $C_{llr}^{\min}$ , which reflects the minimum loss due to verification errors, and the calibration loss  $C_{mc}$ , which reflects the additional cost of miscalibration. The calibration experiment results are presented in Table 5. In general,  $C_{llr}^{\min}$  values after ZT-norm are lower than those of raw scores, which indicates that better verification performance is offered by the ZT-norm scores. In the MOBIO database, for the ZT-norm scores there are 7% and 8% relative improvements in  $C_{llr}^{\min}$  compared to raw scores for *male* and *female* genders, respectively. For SCface, the system with ZT-norm has improved  $C_{llr}^{\min}$  discrimination performance compared to the raw system in most distance conditions. Stable performance is observed in *far* condition, while significant relative improvements are shown for other distance conditions, ranging from 17% in the *combined* condition to 40% for *close*. These observations are in line with the results reported in Section 7.1.

Table 5 shows that ZT-normalization improves  $C_{llr}$  compared to raw scores, except for the *female*

<sup>5</sup>Since  $C_{ver}^{\min}$  is independent of the threshold, its values are identical in Tables 3 and 4(b).

Table 6: The  $C_{\text{ver}}(\theta_0)$  values before and after calibration is applied to the ZT-normalized scores in the evaluation set of MOBIO and SCface.

Dataset	$C_{\text{ver}}^{\min}$	$C_{\text{ver}}$	$C_{\text{ver}}(\theta_0)$	
			before calibration	after calibration
MOBIO:				
a. <i>male</i>	6.52 %	6.77 %	35.93 %	6.65 %
b. <i>female</i>	10.21 %	14.78 %	38.08 %	13.64 %
SCface:				
a. <i>close</i>	8.10 %	8.27 %	26.37 %	8.22 %
b. <i>medium</i>	6.24 %	6.61 %	26.22 %	6.42 %
c. <i>far</i>	20.07 %	20.78 %	30.13 %	20.62 %
d. <i>combined</i>	12.23 %	12.44 %	27.57 %	12.64 %

Table 7: Verification and calibration performance of the ZT-normalized scores of the SCface *combined* protocol before calibration and after linear and categorical calibration.

Calibration technique	$C_{\text{llr}}^{\min}$	$C_{\text{llr}}$	$C_{\text{mc}}$	$C_{\text{ver}}^{\min}$	$C_{\text{ver}}$	$C_{\text{ver}}(\theta_0)$	$P_{\text{fr}}$	# param
None	0.419	0.736	0.317	12.23 %	12.44 %	27.57 %	<b>44.81 %</b>	0
Linear	0.419	0.432	<b>0.013</b>	12.23 %	12.44 %	12.64 %	<b>44.81 %</b>	2
Categorical	<b>0.392</b>	<b>0.406</b>	0.014	<b>11.59 %</b>	<b>12.11 %</b>	<b>11.83 %</b>	47.13 %	5

condition in MOBIO. Apparently, applying ZT-norm results in an improved  $C_{\text{llr}}^{\min}$ , but not necessarily an improved  $C_{\text{mc}}$ . This means that applying ZT-norm reduces discrimination loss, while the effect of calibration loss ( $C_{\text{mc}}$ ) results in an inferior  $C_{\text{llr}}$  for the *female* subset of MOBIO compared to the raw scores.

Table 6 presents the verification cost  $C_{\text{ver}}$  at threshold  $\theta_0 = 0$ , which is computed before and after calibration for the ZT-normalized scores from the evaluation set of MOBIO and SCface. Threshold  $\theta_0 = 0$  is selected as it represents the application-independent threshold for well-calibrated likelihood ratio scores. In Table 6, it is clearly shown that the  $C_{\text{ver}}(\theta_0)$  values after calibration are far lower than before calibration. Mostly,  $C_{\text{ver}}(\theta_0)$  values are in the order of the  $C_{\text{ver}}$  values or even lower, which shows that calibration can produce well-calibrated likelihood ratios from the ZT-normalized scores that are produced by our face recognition system.

From our evaluation using  $C_{\text{llr}}$ , it has been found that ZT-norm is favored to increase face recognition performance in general. Through calibration, raw scores from the face recognition system have been successfully converted into log likelihood ratio scores so that  $\theta_0 = 0$  becomes a valid threshold as measured by the verification performance metric  $C_{\text{ver}}$ .

### 7.3 Categorical calibration in SCface

In the experiment with categorical calibration, we include the distance information of SCface images as categories  $Q = \{\textit{close}, \textit{medium}, \textit{far}\}$  to improve calibration and verification performance of the face recognition system. For categorical calibration, the scores from the *combined* distance condition with ZT score normalization are used.

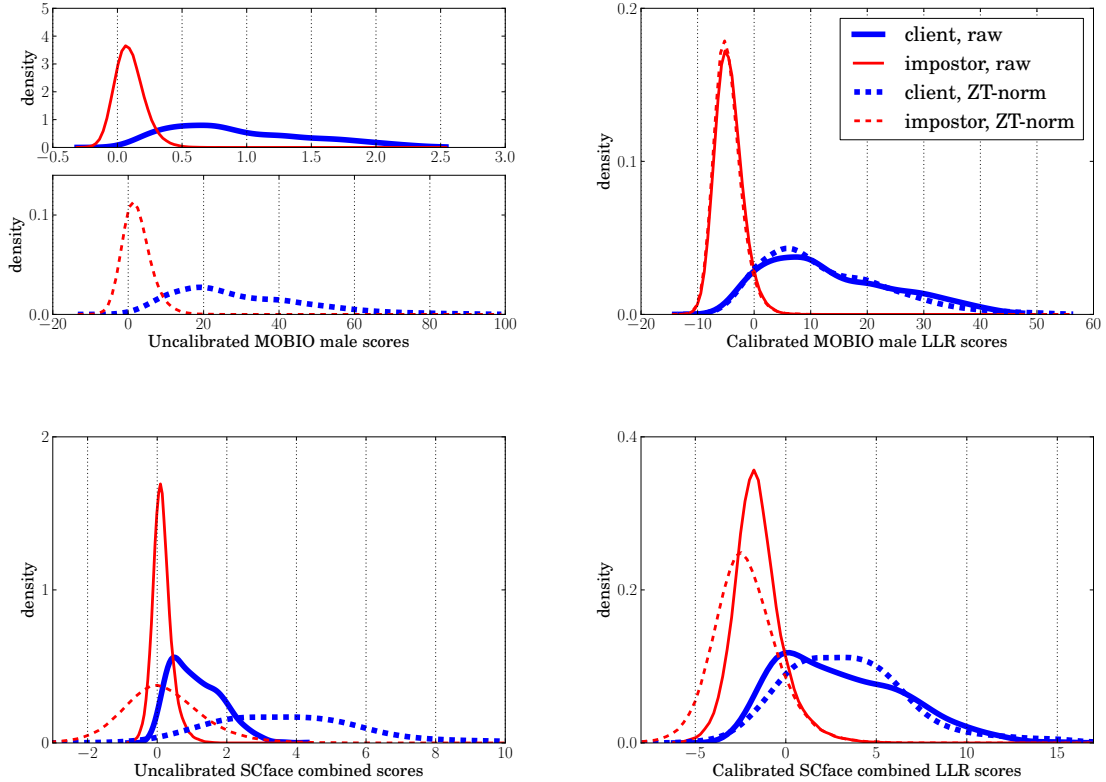


Figure 3: Score distributions for MOBIO *male* and SCface *combined* before and after calibration, both before (raw) and after ZT score normalization (ZT-norm).

The results of this categorical experiment are presented in Table 7. In the first row, the values of  $C_{llr}$  and  $C_{mc}$  are presented for uncalibrated scores for the sake of completeness. The reader should bear in mind that the metric  $C_{llr}$  is only meaningful for evaluating scores with a likelihood ratio interpretation.

Comparing the performance of linear and categorical calibration, the latter provides a relative reduction in  $C_{llr}^{\min}$  and  $C_{llr}$  of around 6%. In general, including category information through categorical calibration improves verification performance. Based on the  $C_{ver}$  values in Table 7, categorical calibration has successfully improved verification performance compared to linear calibration, by 5.2% in  $C_{ver}^{\min}$  and 2.7% in  $C_{ver}$ . Similarly, categorical calibration performs well in terms of  $C_{ver}(\theta_0)$  with relative improvement of 6.4%. In terms of  $P_{fr}$ , however, the categorical calibration can only maintain the system verification performance. This effect might be explained by the fact that categorical calibration focuses on the overlapping part of the score distributions, and not on the tail belonging low FAR values.

The findings in this categorical calibration experiment show that the categorical calibration technique, in general, offers better face recognition performance in both verification and calibration compared to the linear calibration technique.

## 7.4 Discussion

In the previous sections, we analyzed the verification and calibration performance of the face recognition system with regards to the use of ZT-norm. It was shown that ZT-norm, in general, helps to improve the verification performance. Furthermore, both linear and categorical calibration were applied to the scores, resulting in improved calibration performance. In this section, we further analyze the effect of calibration with respect to the distribution of client and impostor scores.

The score distributions for the evaluation set of both MOBIO and SCface before and after calibration are presented in Figure 3. The distributions are depicted for the *male* gender in MOBIO and the *combined* distance condition in SCface. ZT-norm affects distribution of uncalibrated scores for both MOBIO and SCface (first column of Figure 3). Generally, both raw and ZT-normalized impostor scores assemble around score value 0 before calibration. For SCface, the raw scores show a high peak compared to the ZT-normalized uncalibrated scores.

Depicted in the second column of Figure 3, the distributions of calibrated LLR scores represent the behavior of well-calibrated log likelihood ratios. One indicator is the intersection between the score distribution of clients and impostors, which lies near the likelihood ratio  $\ell = 0$ . This corresponds to the properties of well-calibrated log likelihood ratio  $\ell$  explained in Equation (12).

In addition to the analysis of score distributions before and after linear calibration, we present the score distributions after categorical calibration. In Figure 4, the score distributions for the SCface evaluation set with ZT-norm are depicted before calibration, after linear calibration and after categorical calibration. Both linear and categorical calibration scale and shift the score distributions such that the intersection of the client and impostor distributions lies closer to  $\ell = 0$ . Especially for the categorical calibration, all three different distance conditions intersect exactly at  $\ell = 0$ . This shows that both calibration techniques have successfully produced well-calibrated likelihood ratios from the ZT-normalized scores. As described previously, a common scaling parameter  $w_1$  is utilized in Equation (5) for all categories, *close*, *medium* and *far*, while a different offset  $w_{0,i}$  is used for each category. Figure 4 illustrates how this extra information and flexibility in calibration results in improved separation and distribution of scores, ultimately leading to improved verification and calibration performance.

## 8 Conclusion

In this paper, we presented evaluations of calibration of a face recognition system based on inter-session variability modeling on the MOBIO and SCface databases. Calibration produces scores in the form of likelihood ratios. We performed categorical calibration on the SCface database with subject-to-camera distance as a category. We showed that categorical calibration improves face recognition performance in terms of calibration and verification compared to a system with linear calibration, by incorporating

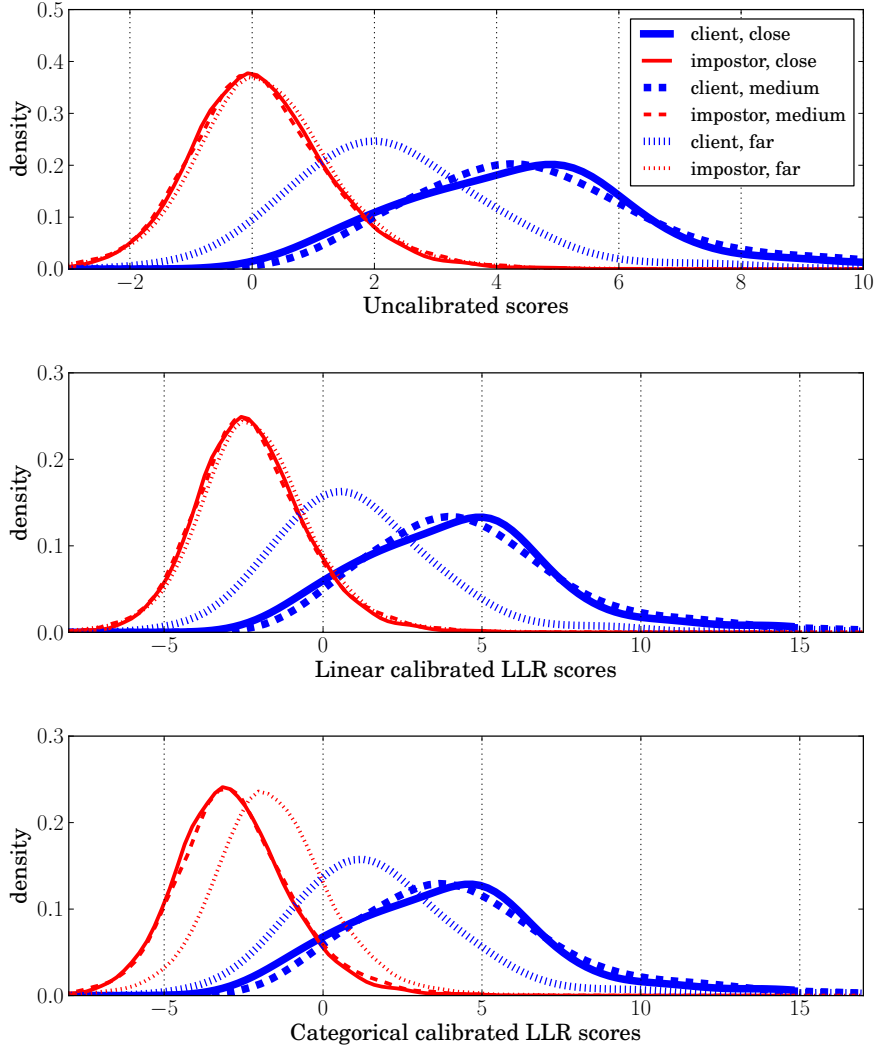


Figure 4: Distributions of scores from SCface with ZT-normalization before calibration, after linear calibration and after categorical calibration.

additional information about the probe images in the calibration process.

Through this paper, we hope to encourage further research in the area of calibration for face recognition using the categorical calibration technique, since it can be applied to other categories such as pose, illumination and expression to reduce the impact of these image variations from the face recognition process. Researchers are encouraged to utilize our open source software package, which is easily understandable, well-documented and tested.

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