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UNITED STATES
DEPARTMENT OF
COMMERCE
PUBLICATION



NBS TECHNICAL NOTE 730

Manual and Automated Fingerprint Registration

U.S.
DEPARTMENT
OF
COMMERCE

National

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NO. 730
1972

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Manual and Automated Fingerprint Registration

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Technical note no. 730.



U.S. DEPARTMENT OF COMMERCE, Peter G. Peterson, *Secretary*
NATIONAL BUREAU OF STANDARDS, Lawrence M. Kushner, *Acting Director*,

Issued June 1972

National Bureau of Standards Technical Note 730

Nat. Bur. Stand. (U.S.), Tech. Note 730, 26 pages (June 1972)

CODEN: NBTNAE

Manual and Automated Fingerprint Registration

by J.H. Wegstein

A method is described for manually positioning a fingerprint so that manually read minutiae data can be searched by computer against a file of fingerprint data that has been previously read by machine. A procedure is also described whereby a computer can utilize machine-read ridge-direction data in manipulating minutiae data to effect a registration of the fingerprint prior to filing its minutiae data.

Key words: Computerized-fingerprint-identification; fingerprint; pattern-recognition.

1. Introduction

The identification of a fingerprint can be automated by utilizing data associated with two types of minute details in the fingerprint. These minutiae are ridge endings and bifurcations or forks in the ridges. With the fingerprint in the first quadrant of an X-Y coordinate system, data is obtained by reading the abscissa X, the ordinate Y, and the angle θ which the minutia direction makes with the X axis for each minutia in the print. In Figure 1, if the areas marked B are considered as ridges, then point P is the location of a ridge ending and the line GP defines the direction of this minutia. If the areas marked A are considered as ridges, then point P is the location of a bifurcation and the line GP defines the direction associated with this minutia. Once the data is recorded, no distinction is made between ridge endings and bifurcations because, due to variations in inking, a minutia in one impression of the print may appear as a ridge ending, but the same minutia in a different impression of the print may appear as a bifurcation.

From studies of the requirements¹ and the problems² related to automated fingerprint identification using digital data, one can define four major tasks that must be performed:

1. Reading the minutiae data.
2. The registration or placing of the print in some standard position.

3. Classification of the print to determine where its data should be placed in a file.
4. Comparing minutiae data from two prints to determine whether they came from the same finger.

Because (1) reading and (4) matching were the most critical tasks, these were attacked first, and both of these problems have been solved to a degree that makes the automation of a large fingerprint identification system appear feasible.

For matching fingerprints, a procedure³ has been developed at the National Bureau of Standards under the sponsorship of the Federal Bureau of Investigation that can employ either a high speed digital computer or a specially-built integrated-circuit device in determining whether two fingerprints came from the same finger. This procedure can utilize minutiae data that have either been read manually (in a semi-automated system) or read by machine (in a fully automated system).

Under sponsorship of the Federal Bureau of Investigation the Cornell Aeronautical Laboratory has developed a minutiae and ridge direction data reader called FINDER⁴ for installation in a fully automated system at the FBI. Under sponsorship of the New York State Identification and Intelligence System (NYSIIS) the Electro Dynamic Division of General Dynamics is developing a closed-circuit television system⁵ as an aid in manually recording minutiae data.

The problem of automatically classifying single fingerprints appears to be solvable in the near future. However, automated systems may continue to use some manual classification based on techniques drawn from existing or proposed fingerprint identification systems⁶⁻¹¹.

The remainder of this paper is devoted to methods of positioning fingerprints manually when minutiae data are read manually, and registering fingerprints automatically when minutiae data are read by machine.

2. Manual Fingerprint Registration

When minutiae data are to be read manually it is necessary to place the fingerprint in some standard position prior to reading data in order to minimize the amount of computation that a computer must perform when it searches a file in quest of a match. One method of manually obtaining minutiae data is to project the fingerprint on a ground

glass screen using a precision ten-power opaque projector. Upon this ground glass screen is drawn the reticle shown in Figure 2.

The fingerprint is shifted about until the point marked C is on the lowest full ridge that is smoothly convex upward, that is just above the highest core. See examples in Figure 3. At the same time, the print is set at whatever angle causes the slanting lines of the reticle to best coincide with the ridge directions. Figure 4 shows how the reticle will appear on a fingerprint.

A different procedure is used with a plain arch where no core pattern occurs. Here the ridge directions are made to best coincide with the slanting lines of the reticle and at the same time the print must be slid up and down in the Y direction until the slope of the ridges is a maximum along the X axis. Coincident with this, the print must be slid back and forth in the X direction so that the Y axis cuts the highest part of recurving ridges near point 0.

After the fingerprint has been positioned (registered), the minutiae are marked as shown in Figure 1. Instead of marking them on the ground glass, it is convenient to superimpose a piece of transparent plastic and mark both the X-Y coordinates and the minutiae on the plastic. Next, with point 0 of the reticle located at an arbitrary position (200,200), the X, Y, and θ values for each minuta are measured and recorded. The data will appear as shown in Figure 5. With a 10 fold magnification, X and Y are measured in millimeters and θ is measured in degrees. The time required to do this work could be greatly reduced by using a televised fingerprint displayed on a calibrated cathode ray tube. The operator could locate minutiae and automatically record their data with the aid of a stylus controlling an X-Y digitizer⁵.

This manual method of positioning a fingerprint achieves a registration approximating that of the fully automated technique described later in this paper. Accordingly, minutiae data read by hand can be used to search a file generated by the fully automated system.

It is anticipated that even with a fully automated fingerprint identification system it will be desirable to record some minutiae data manually. This will be convenient for training personnel intending to manage the automated systems, for encoding poor quality prints, and most important of all, for encoding latent fingerprints found at the scene of a crime. Figure 6 shows latent prints found at the scene of a crime. Such prints are often faint, blurred, and over-printed by other prints. A considerable portion of the

print may also be missing. Nevertheless, a skilled operator can often locate and encode enough minutiae for a computerized file search. The encircled print in Figure 6 produced data for 23 minutiae. As a preliminary experiment, this print along with 9 other latent prints were manually encoded. They were then searched by computer against a file of data read by machine from 35 inked fingerprint cards that included 10 prints corresponding to the 10 latent prints. The computer successfully identified all of the latent prints. This experiment makes the feasibility of searching latent prints against a computerized file appear very promising for the future.

3. Automatic Fingerprint Registration

A block diagram for a fully automated fingerprint identification system is shown in Figure 7. Here, where minutiae data are to be read by machine, the registration technique is different from that used when minutiae data are read manually. Instead of positioning on the fingerprint itself, the Cornell FINDER positions on the boxes of the fingerprint card. It reads data from each of the ten boxes for rolled prints on a standard fingerprint card. Plotted minutiae data read by an early version of FINDER are shown in Figure 8. A more recent version of the reader eliminates duplicate minutiae and corrects certain errors in angles. In addition to reading minutiae data, FINDER also produces ridge direction data at equally spaced grid-points over the entire print. See Figure 9. A sample of ridge direction data is shown in Figure 11.

As indicated in Box 2 of Figure 7, this ridge direction data is then used to compute a "center point" (XX, YY) of the print and an angle ψ through which the print must be rotated about the point (XX, YY) in order to bring the print into a standard position. These registration parameters (XX, YY, ψ) are then used to translate and rotate both ridge direction data and minutiae data into a standard position (Boxes 3 and 4). A yet-to-be-developed procedure will then use the registered ridge-direction data to compute a classification of the print (Box 5). The ridge direction data is then discarded and the classification is used to locate the registered minutiae data in the file.

4. Registration Procedure

A detailed computer procedure called R25 for computing the registration parameters XX, YY and ψ is given in the flow diagrams, pages 22 and 23. This is a laboratory model of the procedure that includes numerous parameters for tuning and adjusting to get optimum performance. It contains

inefficiencies that can be readily removed after the best values for the various parameters have been determined from processing an adequate set of experimental data. In addition to the standard Fortran integers and reals it contains the declared integers SW, CLU, RR, RX and the declared reals KL, LLX, LMW, LOX, LOY, LY, MLW, MW, MXW, and MYW. Each of the arrays LX, PX, PY, RX, TX, TY, and YW need provision for 50 entries. The data array A_{ij} is interpreted as follows:

$$A_{i2} = X_i \text{ and } A_{i3} = Y_i$$

The largest value of i , called IMS, is the total number of points in an array for a particular print. Values of IMX as large as 680 have been found in large fingerprints. $-90 \leq \psi_i \leq 90$ are the ridge directions measured in degrees.

In searching for the center of a print, the computer works with the ridge directions in a box whose size is determined by parameters DDX and DDY. Although larger boxes would normally be used, box A in the upper left hand corner of Figure 10 will be used in the following explanation. For each row, going from the top of the print downward, the box is slid across the print from left to right. When the average ψ for the leftmost three points (MLW) is positive and the average ψ for the rightmost three points (MXW) is negative, the box stops sliding. At this point the average value of the $|\psi|$ in box A (called LMW) is subtracted from the average value of $|\psi|$ (called MW) of the four points immediately below box A. This difference $TY_\kappa = MW - LMW$ is computed for each row, κ , and saved. In all prints except plain arches there will be a sharp peak in the value of TY_κ near the core of the print. The location where this occurs is shown near the center of Figure 10. Data for this area is given in Figure 11 and the situation is tabulated as follows:

ROW κ	Y_κ	MLW	MXW	MW	LMW	TY_κ
10	148.78	23.00	-1.00	36.25	24.50	11.75 = Z3
11	136.94	15.00	-18.00	73.25	32.50	40.75 = Z2
12	125.09	30.33	-13.33	71.50	73.25	-1.75 = Z1

Once the computer has found this maximum value of TY_k at row $k = 11$, it performs a linear interpolation to get XX

$$XX = X_{146} + \frac{MXW (X_{146} - X_{145})}{MLW - MXW}$$

$$XX = 151.74 + \frac{-18(151.74 - 139.90)}{15 + 18} = 145.28$$

This computation of XX is shown graphically in Figure 12. YY is computed by fitting a parabola to the peak values of TY_k .

$$YY = Y_{11} - \frac{(Y_{10} - Y_{11})(Z3 - Z1)}{2(Z3 - 2 \cdot Z2 + Z1)}$$

$$YY = 136.94 - \frac{11.84(11.74 + 1.75)}{2(11.75 - 2 \cdot 40.75 - 1.75)} = 138.06$$

This is shown graphically in Figure 13.

In the event that the maximum value of TY_k is less than some parametric value $SKK (=12)$, the print is taken to be a plain arch and each value of TY_k is replaced by YW_k . YW_k is the average value of $|\psi_i|$ for the k th row and here again there is a peak value at the center of the print. (By setting SKK to some large value, YW_k can be used as an alternate method for finding YY on all types of prints, but this method has been found to be less accurate than the method using TY_k .)

The angle ψ through which print data are to be rotated is computed using ridge direction data from a horizontal band whose location is determined by the values of XX and YY . Such a band is shown by the broken line in Figure 10. The distribution density of the $|\psi_i|$ to the left of XX is compared with that to the right of XX . Figure 14 gives the distribution density tables corresponding to the data in Figure 11. For example $LX_j = 2$ indicates that there are two grid points to the left of XX where the angle $\psi = 72^\circ$. (In practice a larger band is used and there are many more entries in the table.) The curves representing tables LX_j and RX_j are smoothed out by computing auxiliary tables LL_j and RR_j as follows. The scoring weights shown in the box

at the left of Figure 14 are moved down the table and applied to table LX_j to get table LL_j and to table RX_j to get table RR_j. For example,

$$\begin{aligned} RR_5 &= 1 \times RX_3 + 2 \times RX_4 + 3 \times RX_5 + 2 \times RX_6 + 1 \times RX_7 \\ &\quad + \quad 0 \quad + \quad 2 \quad + \quad 6 \quad + \quad 2 \quad + \quad 0 = 10 \end{aligned}$$

The peak value of LL occurs at JL = $|\psi| = 71^\circ$ and JR = $|\psi| = 59^\circ$. Then

$$\psi = \frac{JR - JL}{2} = -6^\circ$$

An auxiliary parameter

$$K1 = \frac{JR + JL}{2} = 65^\circ$$

is also computed for possible use in print classification.

Registration of the ridge direction data can be completed by first translating all coordinates so that point (XX, YY) is moved to point (200,200). Thus a point formerly at (145.28, 138.06) will now be located at (200, 200). Next, the coordinates of all data points are recalculated to represent a 6° clockwise rotation about the point (200,200). The directions of the new coordinate axes are shown in Figure 10. The same calculations are performed on the minutiae data and this data is then ready to be filed or searched against the file.

5. Performance Measurements

Pairs of fingerprints representing a range of patterns were read by FINDER at Cornell Aeronautical Laboratory to provide data for developing, tuning, and testing the R25 registration procedure. FINDER produces angle data in degrees and coordinate data in units of approximately .002 inch. It will read a print in about 0.5 seconds. In order to make the coordinate data compatible with previous work at NBS, the Cornell English units were converted to NBS metric units of 0.1 millimeter by multiplying each coordinate value by 0.4849. Precision was retained by using real numbers instead of integers.

In one test, the R25 procedure was used to compute XX, YY and \angle for 13 pairs of assorted prints. (Each pair of prints were two different impressions from the same finger read from fingerprint cards.) Each computed center point (XX, YY) was plotted on the plot of the minutiae and the new axes were drawn at the computed angle \angle for each of the 26 prints. Corresponding minutiae plots were then superimposed so that corresponding minutiae coincided as closely as possible. The distance between computed centers was then measured and recorded along with the angular difference in the directions of the coordinate axes. The results are shown in Figure 15. The average angular difference of 2 degrees and the average distance between computed centers of 5.5 units indicate rather good registration. (The average distance between ridges on a fingerprint is about 5 units.)

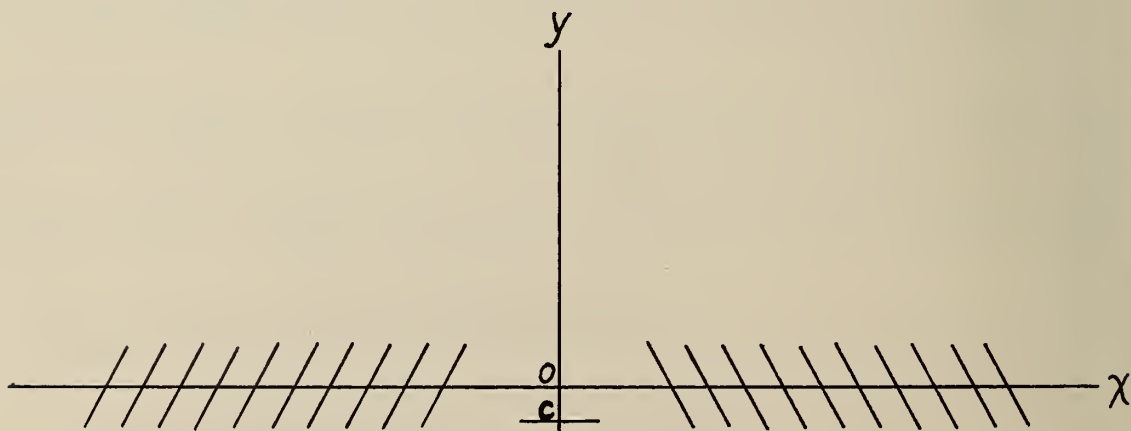
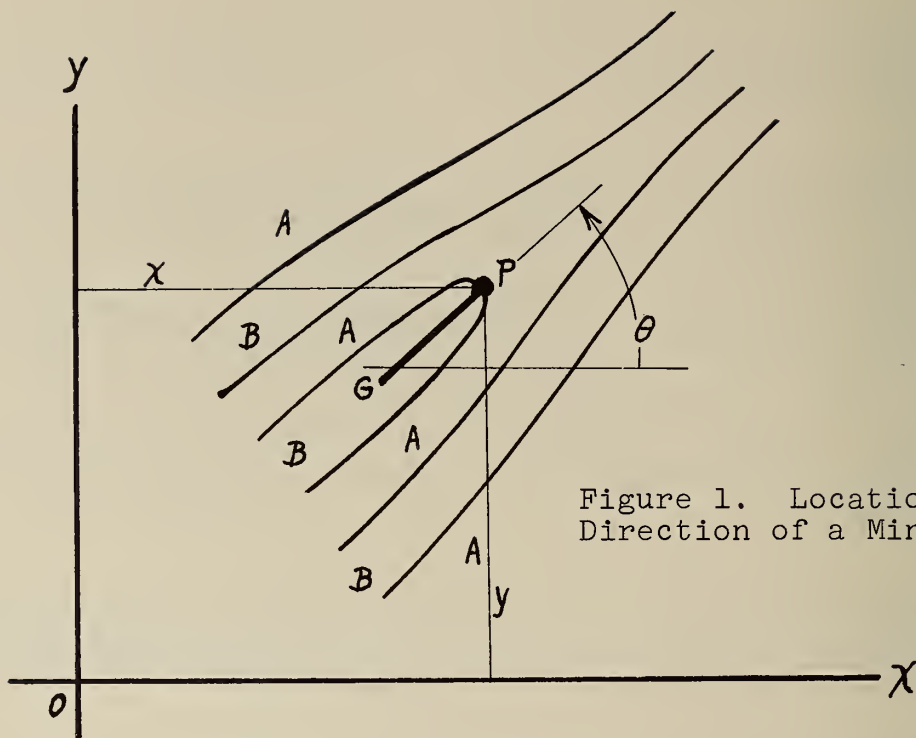
As a further test of reader, registration, and matcher performance, the thirteen machine registered sets of minutiae data were searched against the corresponding thirteen sets of minutiae data as file prints using the M19 matcher³. The resulting RS score matrix is shown in Figure 16. The diagonal scores indicate correct matches. The column at the right labeled AS is the average off-diagonal score times 100 divided by the diagonal score. Column CS indicates the highest off-diagonal score times 100 divided by the diagonal score (the "closed search" score). Of the summary scores at the bottom of Figure 16, WCS (for worst CS score) is the largest of the CS scores. ACS is the average CS score, and AAS is the average AS score. AA is the average off-diagonal scores times 100 divided by the average diagonal score. OS (the "open search" score) is the highest off-diagonal score times 100 divided by the lowest diagonal score.

As more data becomes available and numerous tuning runs are made, the lowest summary scores will indicate the best performance of the system. In the meantime, the low summary scores in Figure 16 indicate very promising possibilities for the future of automated fingerprint identification.

The computer programs used in this work were written and managed by J.F. Rafferty of the National Bureau of Standards. The author is indebted to Special Agent Conrad Banner of the Federal Bureau of Investigation for his encouragement and assistance. The work was financially supported by the FBI.

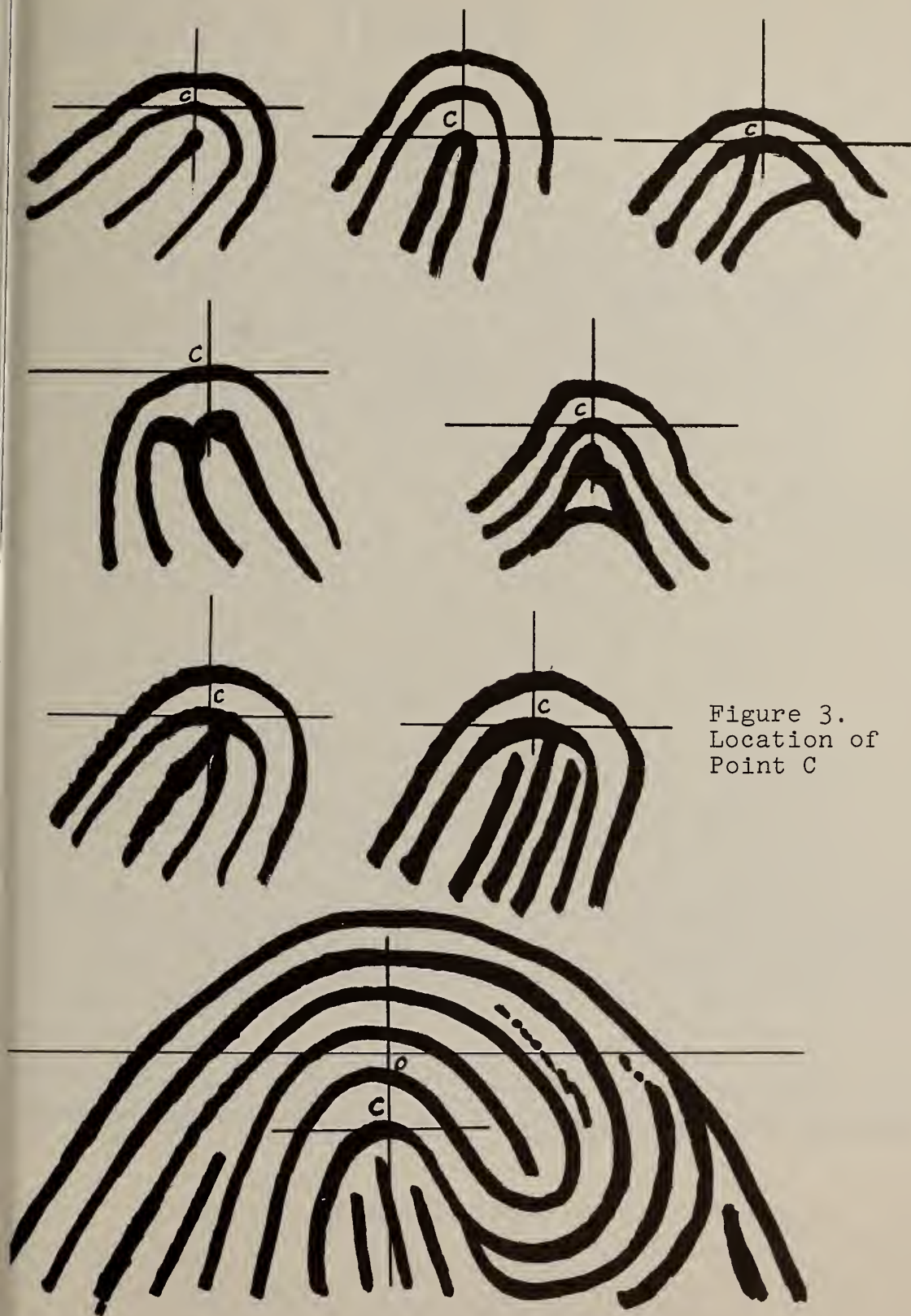
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0 Units 50
Scale

(Note: The distance $OC = 8$ units is determined empirically for best agreement between manual and automated registration.)



3. RIGHT MIDDLE

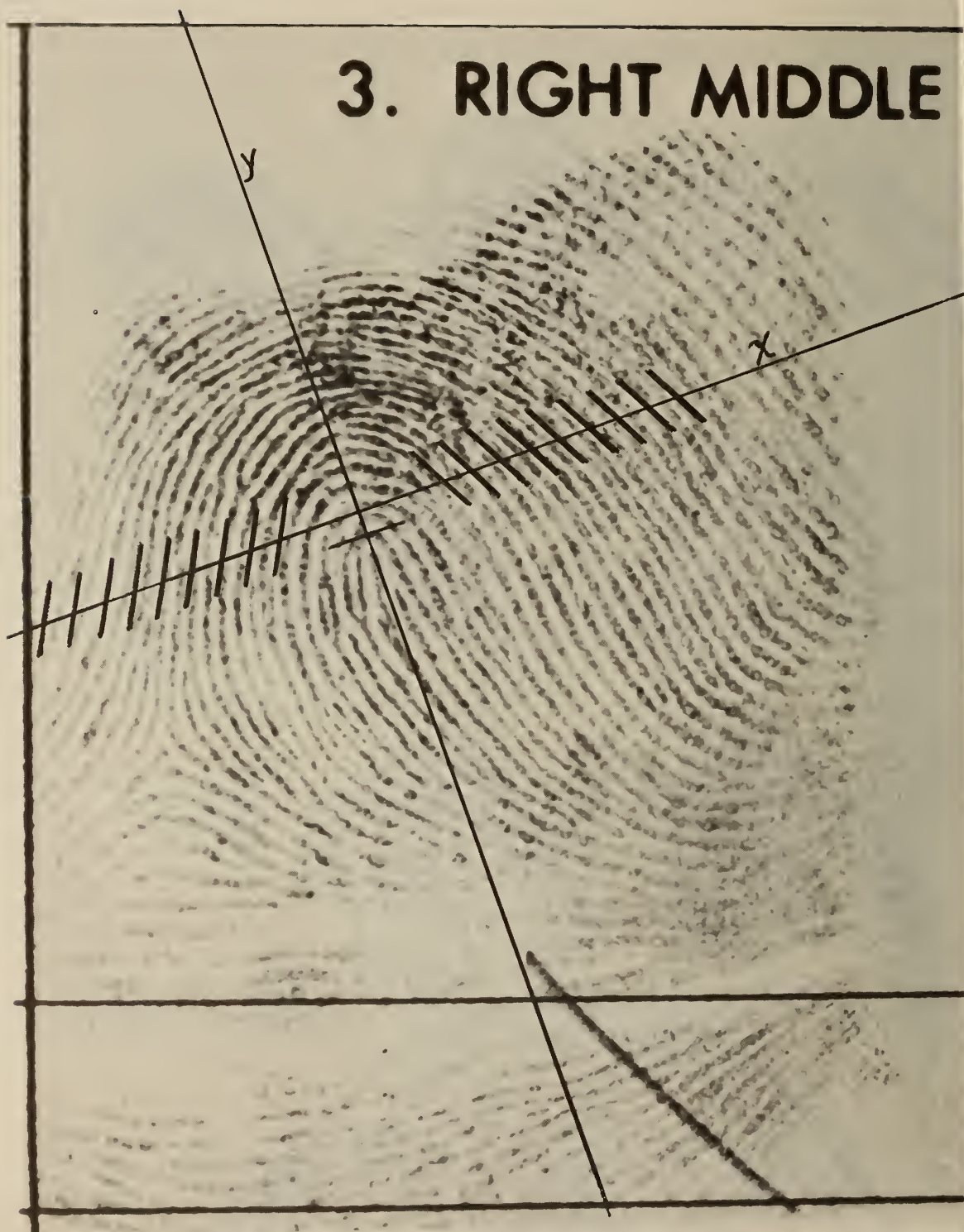


Figure 4. Manual Registration of Fingerprint

X	Y	θ
179	243	327
90	223	48
246	197	121
77	181	61
127	178	20
138	82	207
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Figure 5. A Portion of Minutiae Data Read from Fingerprint



Figure 6. Latent Fingerprint from the Scene of a Crime

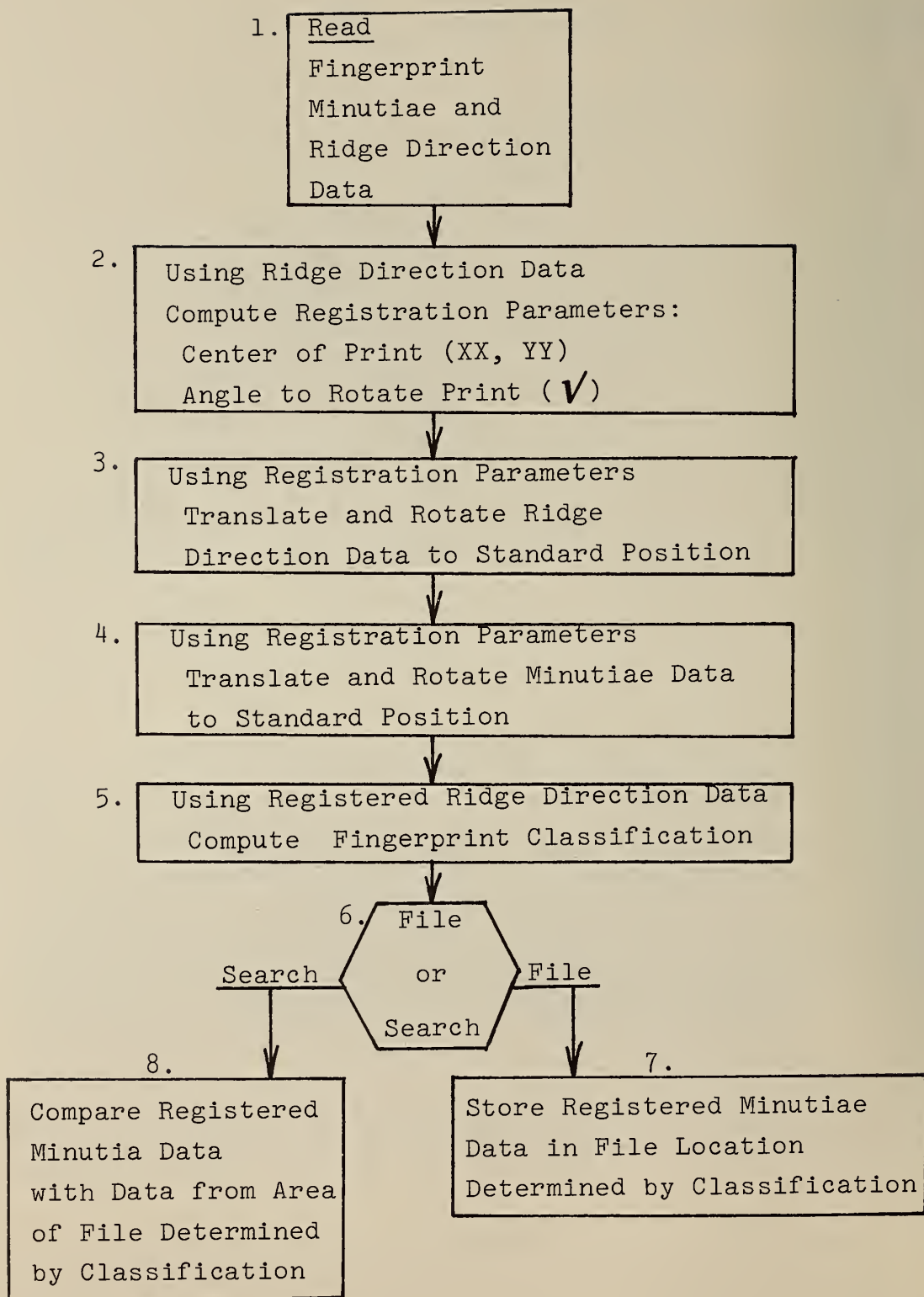


Figure 7. Fully Automated Fingerprint Identification System

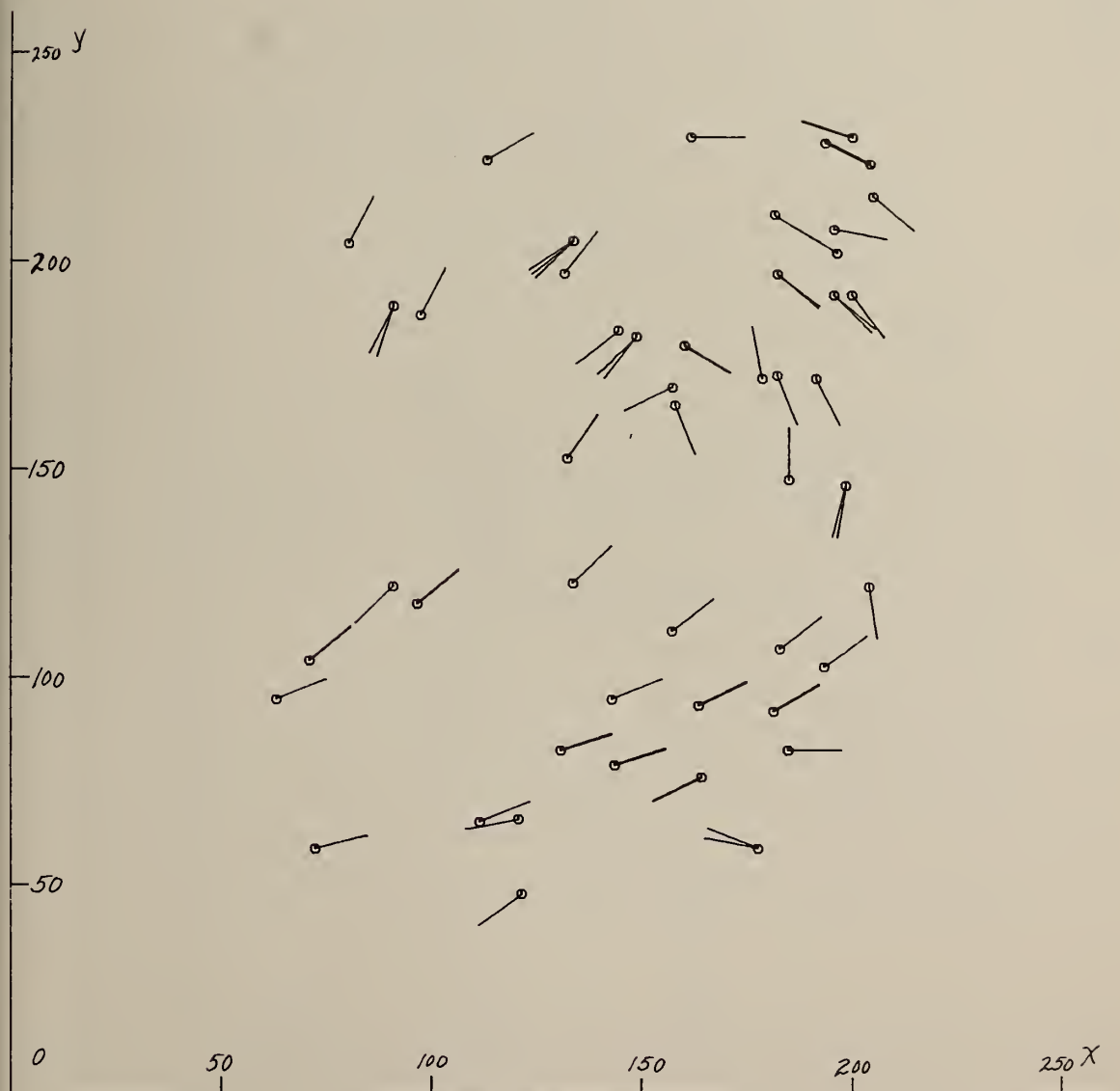


Figure 8. Plot of Minutiae Read by FINDER

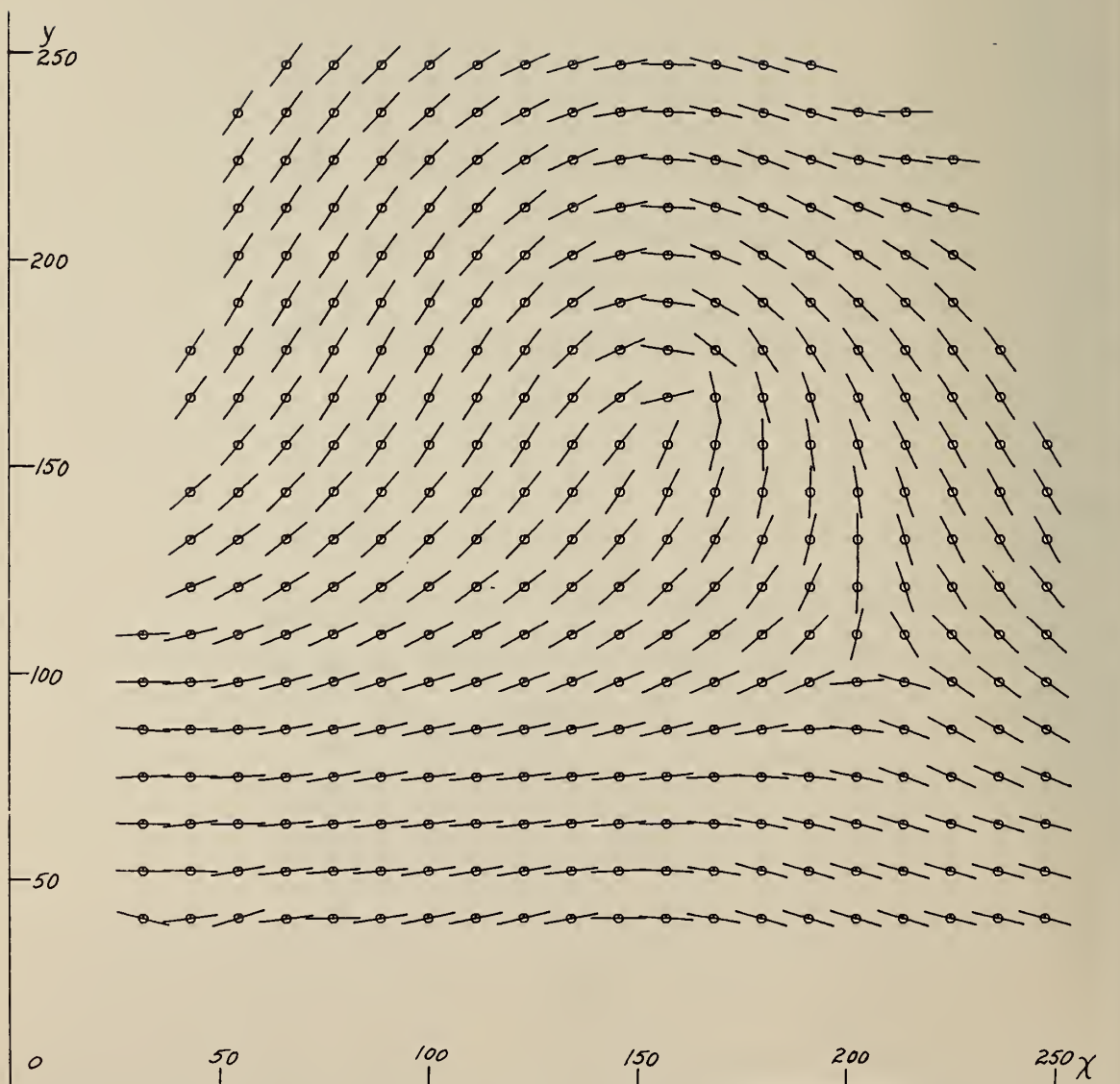


Figure 9. Plot of Ridge Directions Read
by FINDER

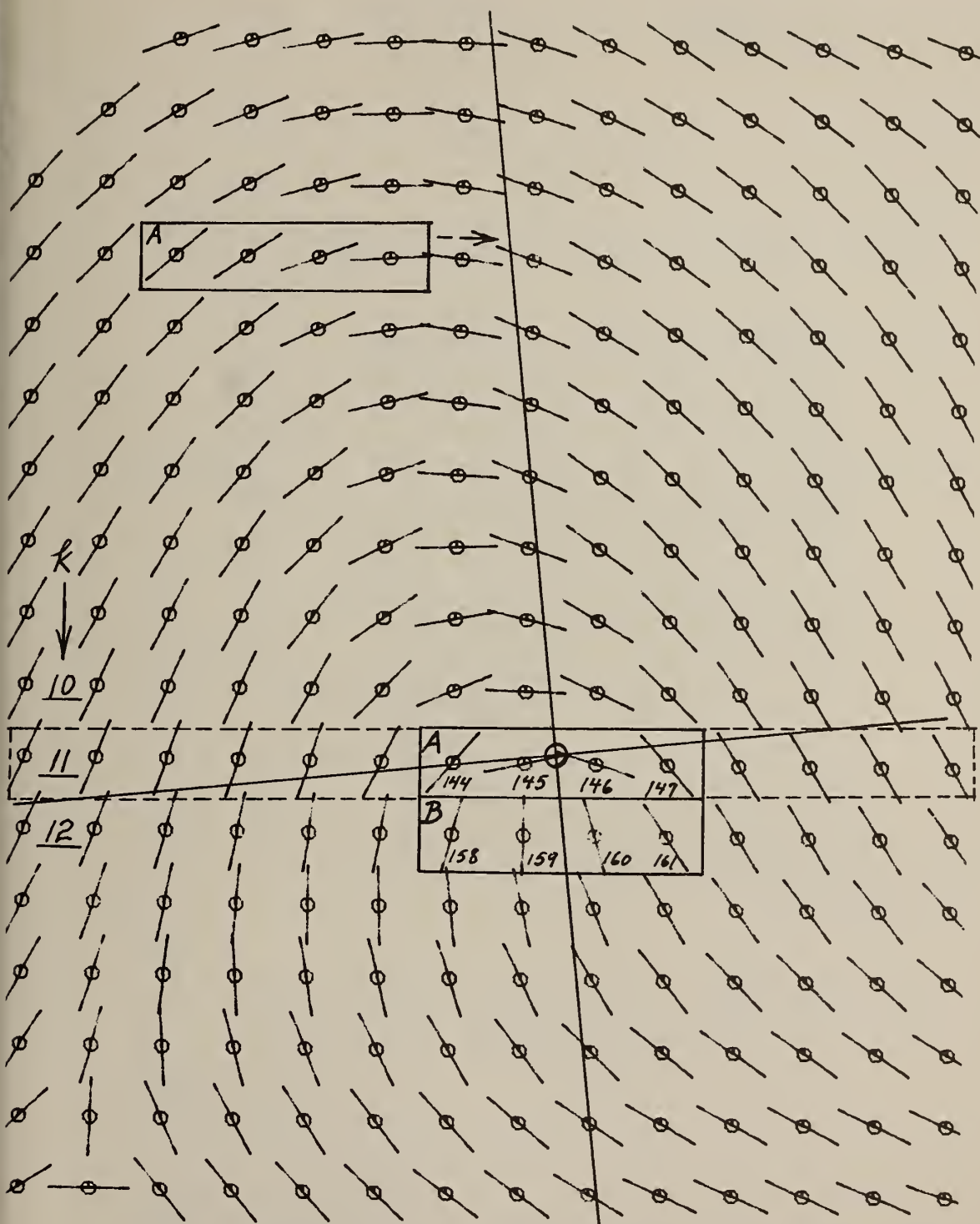
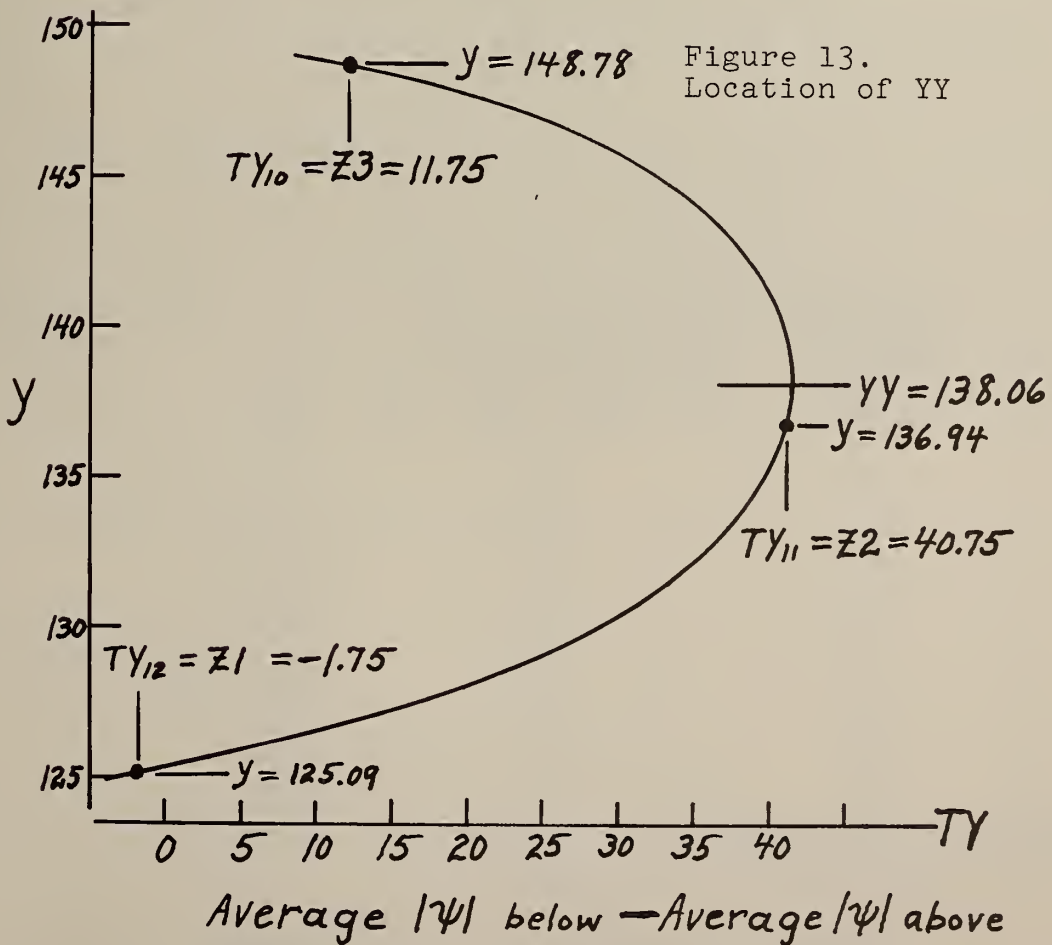
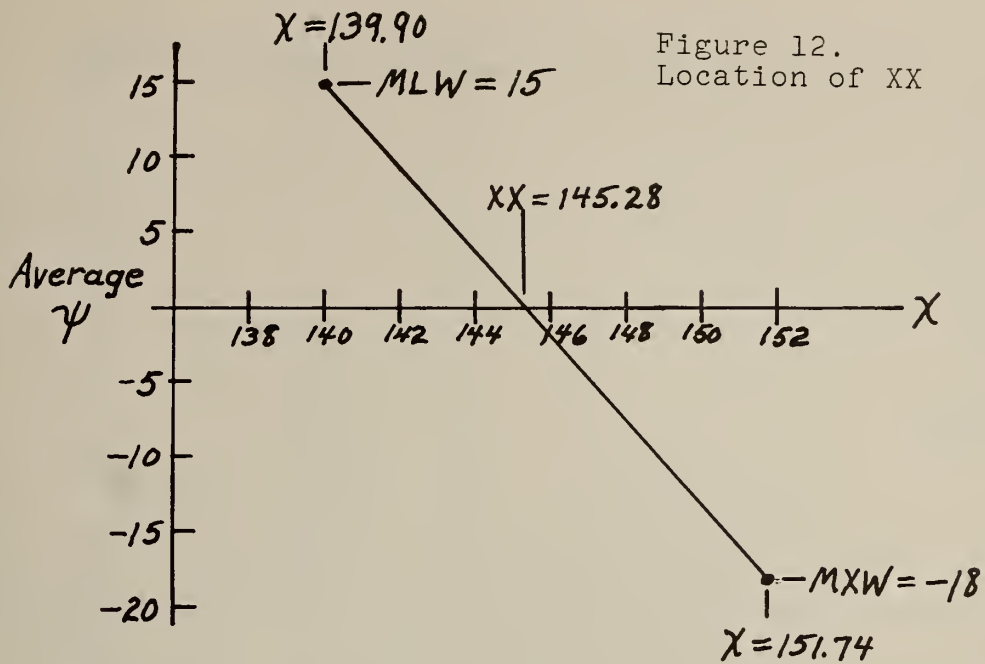


Figure 10. Automated Fingerprint Registration

i	x	y	ψ	
138	57.00	136.94	66	Left Side Row k=11
139	68.84	136.94	69	
140	80.68	136.94	71	
141	92.52	136.94	72	
142	104.37	136.94	72	
143	116.21	136.94	64	
144	128.05	136.94	50	Box A
145	139.90	136.94	13	
146	151.74	136.94	-18	
147	163.58	136.94	-49	
148	175.43	136.94	-58	Right Side Row k=11
149	187.27	136.94	-59	
150	199.11	136.94	-59	
151	210.96	136.94	-60	
---	---	---	---	
158	128.05	125.09	75	Box B
159	139.90	125.09	89	
160	151.74	125.09	-73	
161	163.58	125.09	-56	

Figure 11. X Y ψ Ridge Direction Data
Corresponding to Figure 10



scoring weights

j	$ \psi $	LX_j	RX_j	LL_j	RR_j
1	55				
2	56				1
3	57				4
4	58		1		8
5	59		2		10 ← JR=59
6	60		1		8
7	61				4
8	62			1	1
9	63			2	
10	64	1		4	
11	65			4	
12	66	1		4	
13	67			3	
14	68			3	
15	69	1		4	
16	70			6	
17	71	1		8	← JL=71
18	72	2		7	
19	73			5	
20	74			2	
21	75				

$$\nu = \frac{JR - JL}{2} = -6^\circ$$

Figure 14.
Calculation of ν

$$K1 = \frac{JR + JL}{2} = 65^\circ$$

Print Pair	Distance Between Computed Centers	Angular Difference Between Computed Coordinate Positions	Print Pattern
1	2.2	0.5	Loop
2	3.9	0.8	Plain Arch
3	4.4	1.0	Tented Arch
4	9.2	0.5	Central Pocket Loop
5	1.7	4.0	Plain Whorl
6	3.5	6.6	Loop
7	6.2	1.1	Central Pocket Loop
8	1.6	2.5	Loop (High Delta)
9	9.2	1.5	Loop (Low Delta)
10	11.1	0.5	Plain Arch
11	0.8	2.2	Loop
12	7.8	1.3	Loop
13	10.0	4.0	Double Loop
Average	5.5	2.0	
	NBS Units	Degrees	

Figure 15. Registration Performance

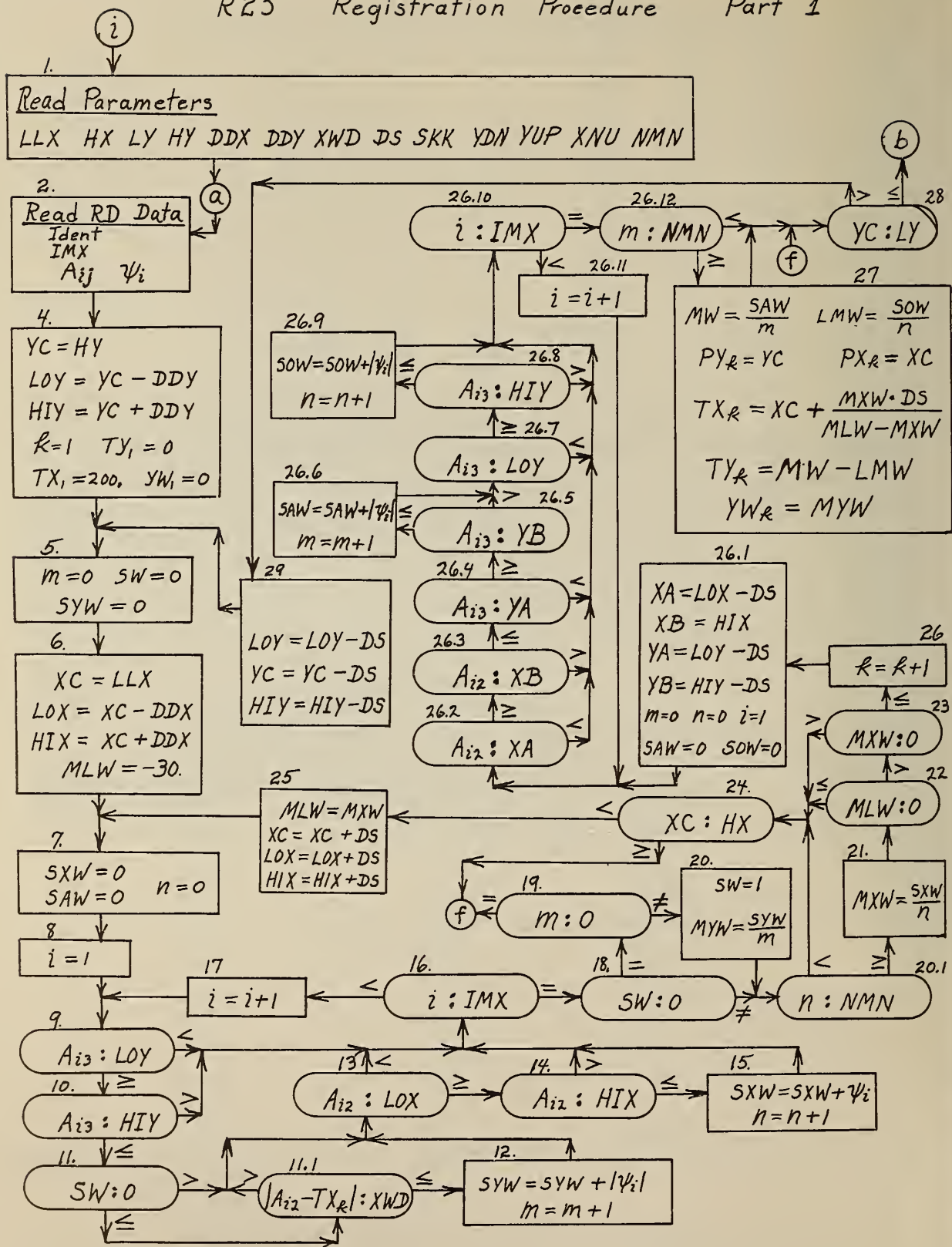
M19 Parameters LTHETA LS SM KR
 10. 10. 0 10.

	1.	2.	3.	4.	5.	6.	7.	8.	9.	10.	11.	12.	13.	AS	CS
1.	127	23	21	3	1	28	3	16	2	14	22	14	10	10	22
2.	17	150	12	3	9	8	10	23	7	33	21	12	7	9	22
3.	15	19	126	11	0	18	15	16	9	26	16	8	0	10	21
4.	12	0	13	59	23	24	17	15	9	1	7	38	20	25	65
5.	3	3	0	11	112	12	9	2	9	5	16	18	11	7	16
6.	32	7	23	20	7	78	17	20	13	6	29	10	12	21	41
7.	5	13	24	16	23	22	139	6	10	2	7	34	2	10	24
8.	14	8	19	4	12	19	0	85	2	13	10	15	5	12	23
9.	3	5	3	5	3	11	13	2	87	2	10	3	0	6	16
10.	16	23	13	4	4	8	3	6	16	121	21	6	12	9	19
11.	33	35	22	9	13	30	12	12	21	15	205	18	18	10	17
12.	16	20	9	9	13	18	21	19	9	10	24	151	4	9	16
13.	17	9	8	11	10	9	2	5	0	9	9	17	65	14	26

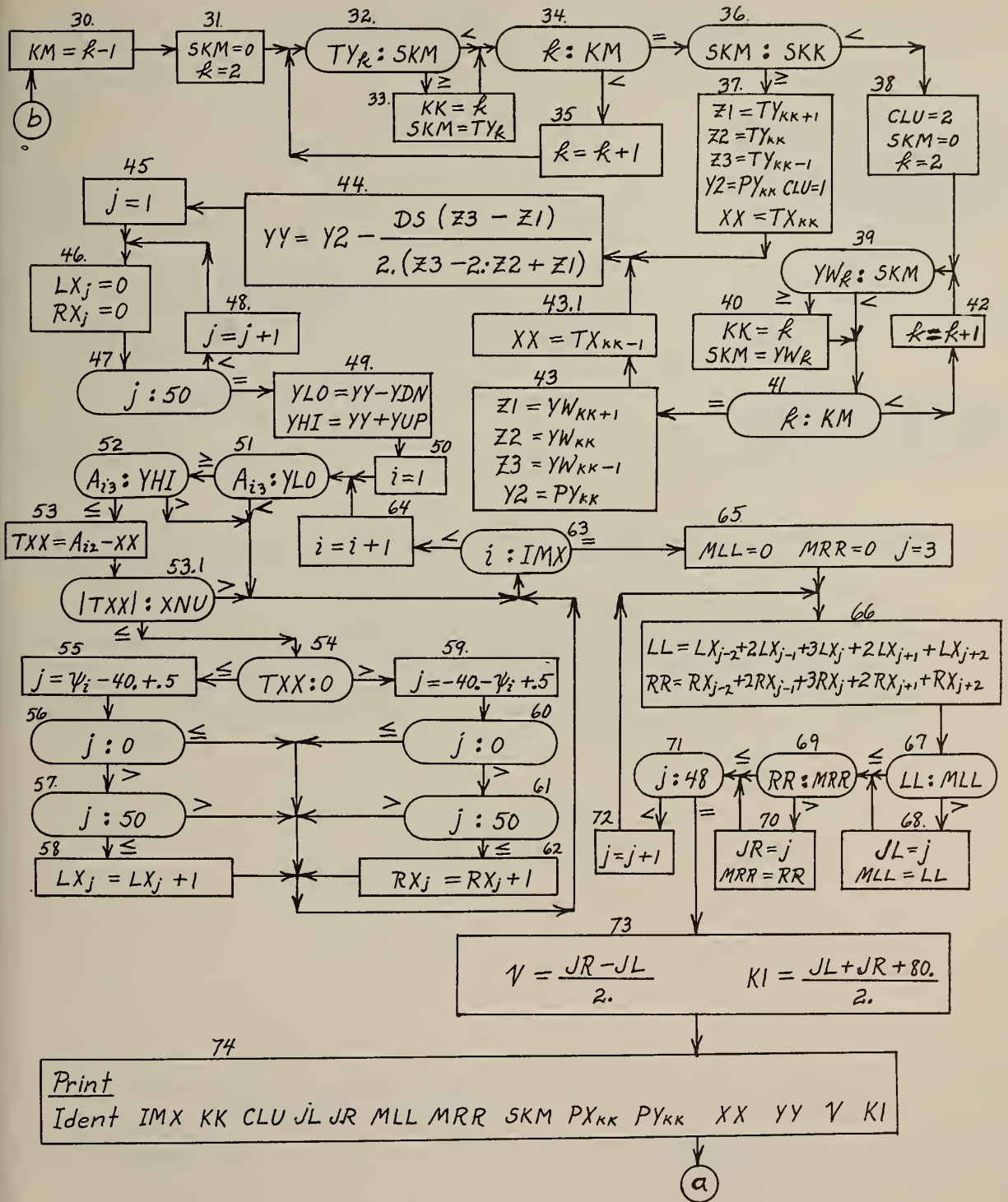
Summary WCS OS AA ACS AAS
 Scores 65 65 11 25 12

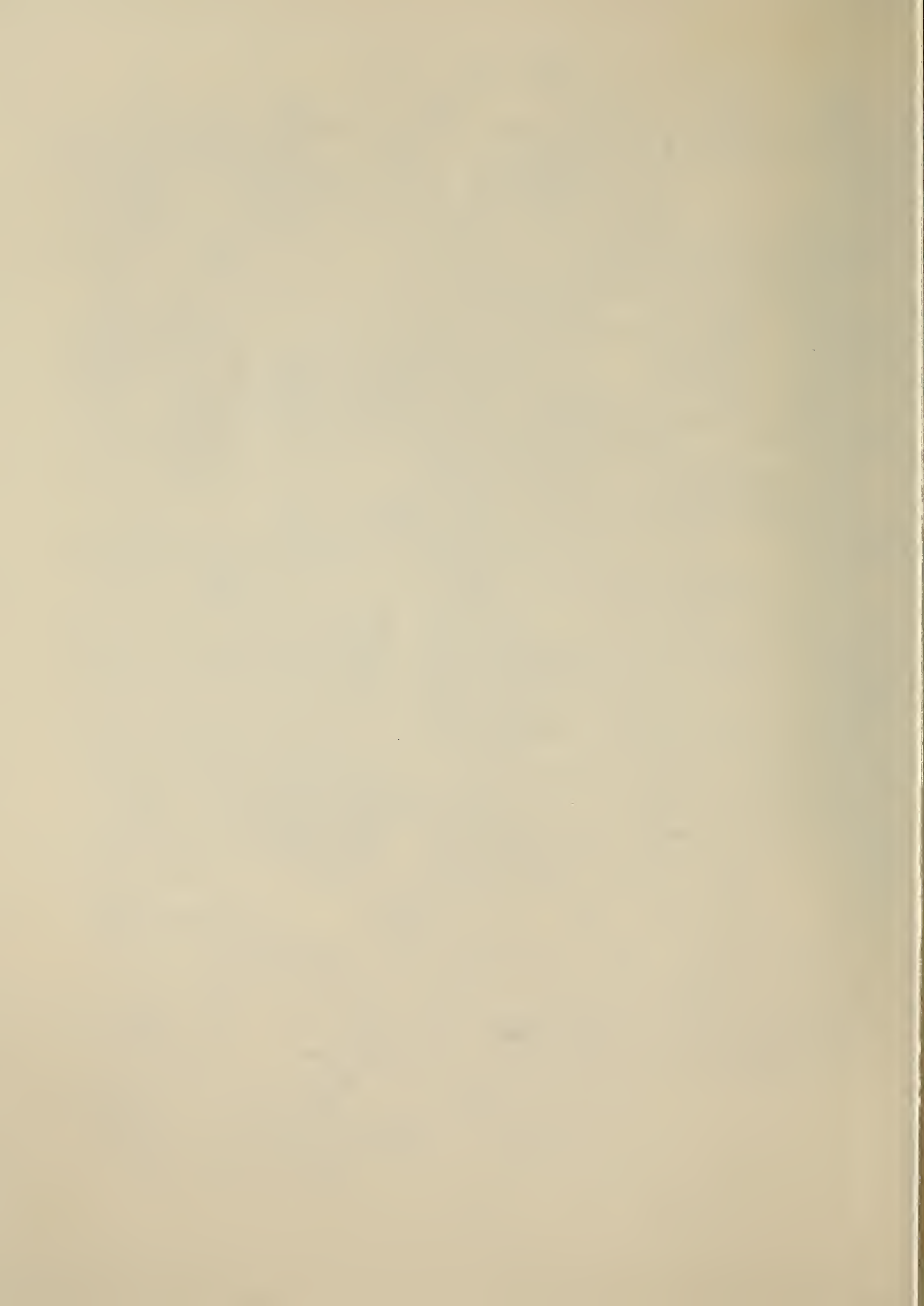
Figure 16. Score Matrix

R25 Registration Procedure Part 1



Part 2





U.S. DEPT. OF COMM. BIBLIOGRAPHIC DATA SHEET	1. PUBLICATION OR REPORT NO. NBS TN-730	2. Gov't Accession No.	3. Recipient's Accession No.
4. TITLE AND SUBTITLE Manual and Automated Fingerprint Registration		5. Publication Date June 1972	
		6. Performing Organization Code	
7. AUTHOR(S) J.H. Wegstein		8. Performing Organization	
9. PERFORMING ORGANIZATION NAME AND ADDRESS NATIONAL BUREAU OF STANDARDS DEPARTMENT OF COMMERCE WASHINGTON, D.C. 20234		10. Project/Task/Work Unit No. 6004400	
		11. Contract/Grant No.	
12. Sponsoring Organization Name and Address Federal Bureau of Investigation Washington, D.C. 20537		13. Type of Report & Period Covered Final	
		14. Sponsoring Agency Code	
15. SUPPLEMENTARY NOTES			
16. ABSTRACT (A 200-word or less factual summary of most significant information. If document includes a significant bibliography or literature survey, mention it here.) A method is described for manually positioning a fingerprint so that manually read minutiae data can be searched by computer against a file of fingerprint data that has been previously read by machine. A procedure is also described whereby a computer can utilize machine-read ridge-direction data in manipulating minutiae data to effect a registration of the fingerprint prior to filing its minutiae data.			
17. KEY WORDS (Alphabetical order, separated by semicolons) Computerized-fingerprint-identification; fingerprint; pattern-recognition.			
18. AVAILABILITY STATEMENT <input checked="" type="checkbox"/> UNLIMITED. <input type="checkbox"/> FOR OFFICIAL DISTRIBUTION. DO NOT RELEASE TO NTIS.	19. SECURITY CLASS (THIS REPORT) UNCLASSIFIED	21. NO. OF PAGES 26	
	20. SECURITY CLASS (THIS PAGE) UNCLASSIFIED	22. Price \$.35	



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