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# Cross-Resolution Face Recognition Adversarial Attacks

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# ABSTRACT

Face Recognition is among the best examples of computer vision problems where the supremacy of deep learning techniques compared to standard ones is undeniable. Unfortunately, it has been shown that they are vulnerable to adversarial examples - input images to which a human imperceptible perturbation is added to lead a learning model to output a wrong prediction. Moreover, in applications such as biometric systems and forensics, cross-resolution scenarios are easily met with a non-negligible impact on the recognition performance and adversary's success. Despite the existence of such vulnerabilities set a harsh limit to the spread of deep learning-based face recognition systems to realworld applications, a comprehensive analysis of their behavior when threatened in a cross-resolution setting is missing in the literature. In this context, we posit our study, where we harness several of the strongest adversarial attacks against deep learning-based face recognition systems considering the cross-resolution domain. To craft adversarial instances, we exploit attacks based on three different metrics, i.e.,  $L_1$ ,  $L_2$ , and  $L_{\infty}$ , and we study the resilience of the models across resolutions. We then evaluate the performance of the systems against the face identification protocol, open- and close-set. In our study, we find that the deep representation attacks represents a much dangerous menace to a face recognition system than the ones based on the classification output independently from the used metric. Furthermore, we notice that the input image's resolution has a non-negligible impact on an adversary's success in deceiving a learning model. Finally, by comparing the performance of the threatened networks under analysis, we show how they can benefit from a cross-resolution training approach in terms of resilience to adversarial attacks.

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# 1 1. Introduction

2 Face Recognition (Wang and Deng, 2018; Deng et al., 2019) 3 (FR) represents one of the most astonishing applications of Neural Networks (NNs), especially considering Deep Convo-4 lutional Neural Networks (DCNNs), that ultimately overcame 5 standard computer vision techniques such as Gabor-Fisher (Liu 6 7 and Wechsler, 2002) and local binary patterns (Ahonen et al., 8 2006). The study of such a problem began in the early 90s 9 when Turk and Pentland (1991) proposed the Eigenfaces approach, and it only required two decades for Deep Learning 10 (DL) approaches to start to dominate the field reaching recog-11 nition performance up to 99.80% Wang and Deng (2018), thus 12 13 overcoming human ability. DL-based FR systems do not ex-14 ploit the output of a classifier directly. Instead, they leverage the representation power (LeCun et al., 2015) of the learning15models to extract face descriptors, i.e., multidimensional vec-16tors, also called deep features or deep representations, to fulfill17the recognition task.18

Although FR systems obtain very high performance when 19 trained with datasets comprising images acquired under con-20 trolled conditions, e.g., high-resolution, they suffer a drastic 21 drop in reliability when tested against cross-resolution (CR) 22 scenarios (Massoli et al., 2019) that naturally arise, for ex-23 ample, in surveillance applications (Zou and Yuen, 2011; Am-24 ato et al., 2019; Cheng et al., 2018). To counteract such a weak-25 ness, Ekenel and Sankur (2005) and Luo et al. (2019) proposed 26 approaches that were not based on NNs. Instead, only recently 27 such a problem has been tackled in the DL field (Massoli et al., 28 2020; Zhang et al., 2018). 29

To make the situation even worse, recently Szegedy et al. 30 (2013); Biggio et al. (2013) showed that DL models are vulner-

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32 able to the so-called adversarial examples - images to which a 33 specific amount of noise, undetectable to humans, is added to 34 induce a NN to output a wrong prediction. Unfortunately, the 35 ability of an insightful adversary to jeopardize these learning 36 models, considering both the digital (Dong et al., 2019; Song 37 et al., 2018; Qiu et al., 2019; Kakizaki and Yoshida, 2019; 38 Goswami et al., 2018) and physical (Sharif et al., 2016; Kur-39 akin et al., 2016) domains, represents a significant concern in 40 security-related applications such as DL-based biometrics sys-41 tems (Sundararajan and Woodard, 2018) and forensics (Spaun, 42 2011). Thus, limiting their adoption in these fields.

43 In this context, we posit our contribution that we summarize as follows: i) we threaten two DCNNs by exploiting adversarial 44 attacks based on three different metrics, i.e.,  $L_1$ ,  $L_2$ , and  $L_{\infty}$ ; ii) 45 46 we generate attacks not only towards a classification objective but also against a similarity one. Indeed, FR systems typic-47 48 ally do not exploit a DCNN classification output. Instead, they 49 leverage the ability of NNs to generate discriminative deep rep-50 resentations among which a similarity criterion is evaluated to 51 fulfill the recognition task; iii) we conduct the attacks in a cross-52 resolution domain, thus emulating a real-world scenario for an 53 FR system; iv) we analyze the success rates of the various attacks across resolutions, studying if a DL model can benefit 54 55 from a cross-resolution training procedure in terms of robust-56 ness to adversarial attacks; v) we analyze the robustness of the 57 models through the face identification protocol (Grother et al., 58 2019) considering both the open- and close-set settings.

The rest of the paper is structured as follows. In Section 2, we briefly present some related works, while in Section 3, we describe the attacks algorithms we use. Subsequently, in section 4, we explain our experimental procedure and the dataset we use, while in Section 5, we present the results from the experimental campaign. Finally, in Section 6, we report our conclusions.

# 65 2. Related Works

To the best of our knowledge, this is the first work that tackles the problem of adversarial attacks against FR systems in a CR scenario. For such a reason, in what follows, we briefly cite a few articles related to the topics of the cross-resolution FR and adversarial attacks against an FR system.

### 71 2.1. Cross-Resolution Face Recognition

72 CR scenarios are met whenever images at different resolu-73 tions have to be matched. Such a situation typically happens, 74 for example, in biometric and forensics applications. Super-75 Resolution (SR) techniques are among the most studied solu-76 tions to such a problem, and Singh et al. (2018) proposed to 77 synthesize high-resolution faces from low-resolution ones by 78 employing a multi-level sparse representation of the given in-79 puts. Zangeneh et al. (2020) formulated a mapping of the low-80 and the high-resolution images to a common space by lever-81 aging a DL architecture made by two distinct branches, one for 82 each image. Luo et al. (2019) exploited the dictionary learning approach based on learning multiple dictionaries, each being 83 84 associated with a resolution. The most comprehensive study 92

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and widely tested method to improve an FR system's perform-<br/>ance in a CR scenario was recently proposed by Massoli et al.<br/>(2020). In their work, the authors formulated a training proced-<br/>ure to fine-tune a state-of-the-art model to the CR domain. They<br/>tested their models on several benchmark datasets by showing<br/>their superior performance compared to the results available in<br/>90<br/>the literature.85

### 2.2. Face Recognition Adversarial Attacks

As we mentioned at the beginning of this section, we are 93 the first to study adversarial attacks in a cross-resolution do-94 main. Due to the lack of papers than can be directly compared 95 to our study, in what follows we only briefly cite a few art-96 icles concerning adversarial attacks against FR systems. Sharif 97 et al. (2016) demonstrated the feasibility and effectiveness of 98 physical attacks by impersonating other identities using eve-99 glass frames with a malicious texture. Zhong and Deng (2020) 100 observed the superior transferability properties of feature-based 101 attacks compared to label-based ones. Moreover, they proposed 102 a drop-out method for DCNNs to enhance further the transfer-103 ability of the attacks. Song et al. (2018) proposed a three-player 104 GAN architecture that leveraged a face recognition network as 105 the third player in the competition between generator and dis-106 criminator. Dong et al. (2019) successfully performed black-107 box attacks on FR models and demonstrated their effectiveness 108 in a real-world deployed system. 109

# 3. Adversarial Attacks

# 3.1. Carlini and Wagner 111

Carlini and Wagner (Carlini and Wagner, 2017) (CW) formulated one of the strongest currently available attacks. The 113 CW- $L_2$  attack is formalized as: 114min  $c \cdot f(\frac{1}{2} \tanh(\mathbf{w}) + 1) + || \frac{1}{2} (\tanh(\mathbf{w}) + 1) - \mathbf{x} ||_2^2$ , 115 where  $f(\cdot)$  is the objective function,  $\mathbf{x}$  is the input image,  $\mathbf{w}$  is 116 the adversarial example in the tanh space, and c is a positive 117 constant which value is set by exploiting a binary search procedure. 119

### 3.2. Elastic Net Attack to DNNs 120

The Elastic Net Attack (Chen et al., 2018) (EAD), leverages 121 the elastic-net regularization which is a well known technique 122 in solving high-dimensional feature selection problems (Zou 123 and Hastie, 2005). It is based on the objective proposed 124 in Carlini and Wagner (2017) and it conceives the CW- $L_2$  attack as a special case. EAD is formulated as: 126 min  $c \cdot f(\mathbf{x}, t) + \beta || \mathbf{x} - \mathbf{x}_0 ||_1 + || \mathbf{x} - \mathbf{x}_0 ||_2^2$ , 127 where  $f(\cdot)$  is the objective as in the CW- $L_2$  attack, *t* is the target 128

class,  $\mathbf{x}_0$  is the input image, t is the target label,  $\mathbf{x}$  is the adversarial instance, c is a parameter found by binary search, and  $\beta$  represents the weight of the  $L_1$  penalty term. 131

#### 132 3.3. Jacobian Saliency Map Attack

133 The Jacobian Saliency Map Attack (Papernot et al., 2016) 134 (JSMA) exploits an "input-perturbation-to-output" mapping. 135 Differently from the backpropagation-based attacks, JSMA 136 leverages the model derivative concerning the classification output rather than the derivative of the loss function. The attack is 137 formalized as: arg min  $\| \delta_x \|$  s.t.  $F(X + \delta_x) = Y^*$ , where 138 **F** is the function learned by the DNN, **X** and  $\mathbf{Y}^*$  are the input 139 140 and output of the model, respectively, and  $\delta_x$  is the adversarial perturbation defined upon the evaluation of the model input sa-141 142 liency map.

#### 143 3.4. Deep Representations Attacks

144 Differently from the previously mentioned attacks, the Deep Representations (Sabour et al., 2015) (DR) attack focuses on 145 146 the manipulation of image features. It is formulated as an optimization problem which aims at finding the closest perturbed 147 148 image, to the original one, whose descriptor is as close as possible to the one of a target image named the "guide image". 149 150 Specifically, the adversarials crafting procedure is the following:  $\mathbf{I}_{\alpha} = \arg \min \| \phi_k(\mathbf{I}) - \phi_k(\mathbf{I}_g) \|_2^2$ ; subject to  $\| \mathbf{I} - \mathbf{I}_s \|_{\infty} < \infty$ 151  $\delta$ , where  $\phi(\cdot)_k$  is the descriptor extracted at layer k of the 152 153 threatened model,  $\mathbf{I}_s$  and  $\mathbf{I}_{\rho}$  are the source and target images, respectively,  $\mathbf{I}_{\alpha}$  is the adversarial example, and  $\delta$  is he maximum 154 155 allowed perturbation in terms of the  $L_{\infty}$  norm.

#### 156 4. Experimental Approach

#### 157 4.1. Dataset and Models

In our experiments, we use the  $\sim$ 2.9M images shared among 158 159 the 8631 identities contained in the training set of the VGG-Face2 (Cao et al., 2018) dataset. To construct the gallery and 160 the queries, we divide the training set into two splits. Concern-161 162 ing the gallery, we evaluate a single template for each identity as the average features vector among all the corresponding face 163 164 images. Regarding the queries, we randomly select 100 iden-165 tities, and for each of them, we randomly pick ten correctly 166 classified images, ending up with 1000 queries.

Concerning the learning models, we analyze the performance 167 of two DCNNs: the face classifier from Cao et al. (2018) and 168 169 the CR-trained one from Massoli et al. (2020). They share the same structure, i.e., a ResNet-50 (He et al., 2016) architecture 170 171 equipped with Squeeze-and-Excitation (Hu et al., 2017) blocks. 172 For both models, we adopt the same preprocessing steps for 173 the images. First, following the same procedure as in Massoli 174 et al. (2020), we synthesize different resolution versions of the 175 input that allow us to evaluate the performance of the models 176 in a cross-resolution scenario. Specifically, in our analysis, we consider images at 16, 24, 64, and 256 pixels (shortest side). 177 178 Next, each image is resized to have the shortest side of 256 179 pixels, and then it is cropped to a square picture of size 224x224180 pixels. Finally, we subtract the channel mean from each pixel.

# 4.2. Adversarial Attacks

Concerning the generation of the adversarial instances, we 182 exploit the five algorithms we described in Section 3. We 183 use the implementations available in the *foolbox* library (https: 184 //foolbox.readthedocs.io/en/stable/), with the only exception of 185 the DR one that we build on top of the L-Broyden-Fletcher-186 Goldfarb-Shanno (L-BFGS) (Szegedy et al., 2013), optimiza-187 tion procedure. More precisely, the L-BFGS algorithm requires 188 a function to optimize. To our aim, we implement such a func-189 tion by employing a k-NN algorithm as guidance in the ad-190 versarial search. We fit the classifier to the gallery templates 191 we mentioned at the beginning of this section. Then, we start 192 the crafting procedure and stop it as soon as the k-NN classifies 193 the malicious image as belonging to the targeted identity. In 194 Figure 1, we report a schematic view of the procedure we just 195 described. 196



Figure 1: Schematic representation of our approach to crafting DR attacks. The colored regions are the k-NN decision boundaries for ten different identity templates (white triangles). The initial location of the green star represents a correctly classified features vector. The adversarial features vector's final position is represented by the red encircled star.

### 4.3. Face Identification Metrics

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FR systems typically deal with sensitive scenarios such as 198 biometric and forensics applications. Hence, different error 199 types have distinct relevance while evaluating system perform-200ance, and a simple accuracy measure is not enough to properly 201 evaluate and compare the performance of FR systems. Instead, 202 as mentioned in Section 1, we focus our study on the face iden-203 tification protocol. Specifically, we consider both the close- and 204 open-set settings. 205

Concerning the close-set setting, we evaluate the Cumulative 206 Match Characteristic (CMC), a metric that represents a sum-207 marized accuracy evaluated on mated searches only, i.e., con-208 sidering queries that correspond to identities already available 209 the gallery. The CMC value at rank one is usually named "hit 210 rate," and it is the most typical summary indicator of an al- 211 gorithm's efficacy. As we mentioned above, we select 100 iden- 212 tities to construct the queries. Thus, we end up with a gallery 213 containing 8631 identities that comprise a hundred mated ones 214 and 8531 un-mated ones acting as "distractors". 215

In the open-set setting, differently from the close-set one, we 216 consider both mated and un-mated queries. To this aim, we re- 217 move half of the queries identities from the gallery, ending up 218 with 50 mated and 50 un-mated persons and a gallery contain-219 ing 8581 templates. With that set, there are two different types 220

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of errors that are usually evaluated, i.e., the False Positive Iden-221 222 tification Rate (FPIR) and the False Negative Identification Rate (FNIR) or "miss rate". Concerning the former, it represents the 223 224 number of un-mated queries that return a positive match at or 225 above a specific similarity threshold. On the other hand, the 226 FNIR represents the number of mated searches that return can-227 didates with a similarity score below the threshold or outside 228 the top R ranks.

The FNIR and FPIR, parametrized by the similarity threshold, can be combined to construct the Detection Error Tradeoff (DET), which is typically used to report the two types of error trade-off. We use the DET to evaluate the performance of the learning models in the experiments.

### 234 5. Experimental Results

235 We dedicate this section to report the results of our experi-236 mental campaigns. As we mentioned in Section 1, we aim to 237 study the behavior of DL-based FR systems when threatened 238 by adversarial attacks in a CR domain. Concerning the FR, 239 as backbone features extractors, we consider the well-known 240 DCNN from Cao et al. (2018) that set the state-of-the-art on 241 the NIST datasets (Klare et al., 2015; Whitelam et al., 2017; Maze et al., 2018) and the CR model from Massoli et al. (2020) 242 that set the state-of-the-art in the cross-resolution domain. 243

To craft adversarial examples, we harness the algorithms we described in Section 3. Moreover, being interested in the CR scenario, we consider input faces at 16, 24, 64, and 256 pixels (shortest side). Concerning the FR task, we keep the gallery at the original resolution.

249 As mentioned in Section 2, to our knowledge, we are the first 250 to conduct this type of study. Thus, a direct comparison with 251 previously published works is not possible. Hence, in what follows, we only report our results. We hope that our study will 252 253 stimulate further researches in this direction. Throughout this section, we refer to the model from Cao et al. (2018) as "Base" 254 255 model and to the one from Massoli et al. (2020) as "Cross-256 Resolution" model.

# 5.1. Threatening the Classification

We report the results from the attacks against the classifica- 258 tion in Table 1. Concerning the attacks, we use the following 259 configurations. For JSMA, we consider 1000 iterations, a per- 260 turbation per pixel equals to 0.1, 0.3, and 0.5 (percentage over 261 the allowed pixel range), and a maximum number of times each 262 pixel can be modified of 10. For CW- $L_2$ , we consider 10 binary 263 search steps and 10 and 100 iterations. Concerning EAD, we 264 use the same parameters as for the CW- $L_2$  attack and a value 265 for the weight of the  $L_1$  penalty term equals to 0.1 and 1. Fur-266 thermore, since the DR (Sabour et al., 2015) attack is the least 267 time demanding compared to the others, we enlarge the set of 268 hyperparameters for it. Thus, we dedicate Figure 2 to report 269 their results. 270

From Table 1, we notice that there is no clear signature for 271 which model is more robust against adversarial attacks. On the 272 other hand, we see that, on average, an adversary's success rate 273 decreases as the resolution increases while keeping the attack 274 configuration fixed. Let us now turn our attention to a single attack, for example, CW- $L_2$ . It is interesting to notice the impact 276 of a different choice of hyperparameters. Indeed, even though 277 from the configuration (10-10), the "Base" model seems to be 278 more resilient compared to the "Cross-Resolution" one, this is 279 not true. Indeed, by just increasing the strength of the attack, 280 i.e., (10-100) configuration for which we grow the number of 281 steps, we reach 100% of attack success rate for both models. 282

From Figure 2 we observe that it is undeniable that the deep 283 features extracted by the "Cross-Resolution" model are much 284 more robust than those extracted from the "Base" NN. Thus, 285 confirming our previous assertion about the benefit of CR train- 286 ing. From the first plot of Figure 2, we see that the success rate 287 of the attack is almost 0% for the "Base" model. Instead, in the 288 second plot, it looks like that both models have the same resi-289 lience. This is not in contrast with our previous conclusions. 290 Indeed, as it has been shown in appendix 1 of Massoli et al. 291 (2020), the "Base" model is not able to generate meaningful 292 deep representation at very low resolutions. Thus, it is almost 293 impossible to craft targeted attacks based on deep features. To 294 sustain even more our assertion, we run a test with untargeted 295 DR attacks in which we easily reach a success rate of 100% for 296

 Table 1: Attack success rate against classification for "Base" and "Cross-Resolution" models. The first column reports the specific configuration used for each attack. The four values reported in the second and third main columns represent the success rate at a resolution of 16, 24, 64, and 256 pixels, respectively.

|                            | Attack Success Rate (%) |      |      |      |                        |      |      |      |  |
|----------------------------|-------------------------|------|------|------|------------------------|------|------|------|--|
| Attack Configuration       | Base Model              |      |      |      | Cross-Resolution Model |      |      |      |  |
| -                          | 16                      | 24   | 64   | 256  | 16                     | 24   | 64   | 256  |  |
| JSMA (1000-0.1-1.0)        | 76.1                    | 61.8 | 25.5 | 11.5 | 65.5                   | 62.8 | 17.1 | 6.9  |  |
| JSMA (1000-0.3-1.0)        | 96.6                    | 92.5 | 75.7 | 61.2 | 96.0                   | 94.7 | 70.0 | 50.1 |  |
| JSMA (1000-0.5-1.0)        | 98.5                    | 95.8 | 86.4 | 76.6 | 97.6                   | 97.0 | 100. | 69.6 |  |
| CW-L <sub>2</sub> (10-10)  | 82.9                    | 72.9 | 45.9 | 32.7 | 86.4                   | 83.3 | 52.8 | 37.4 |  |
| CW-L <sub>2</sub> (10-100) | 100.                    | 100. | 100. | 100. | 100.                   | 100. | 100. | 100. |  |
| EAD (10-0.1-10)            | 95.7                    | 98.2 | 94.5 | 87.0 | 96.7                   | 99.6 | 98.8 | 98.5 |  |
| EAD (10-0.1-100)           | 100.                    | 100. | 100. | 100. | 100.                   | 100. | 100. | 100. |  |
| EAD (10-1.0-10)            | 83.4                    | 85.1 | 50.2 | 27.9 | 72.6                   | 94.4 | 86.9 | 73.8 |  |
| EAD (10-1.0-100)           | 98.5                    | 99.8 | 98.7 | 91.0 | 97.5                   | 99.8 | 100. | 99.6 |  |

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Figure 2: DR (Sabour et al., 2015) attack success rate as function of the maximum allowed perturbation  $\delta$  considering 100 and 1000 iteration steps. Each plot represents a different input resolution.

the "Base" model.

Finally, we can notice that from our results, there is no clear evidence in favor of a specific metric since with the proper hyperparameters, we reached high success rates with the  $L_1$ ,  $L_2$ , and  $L_{\infty}$ .

# 302 5.2. Threatening the Face Recognition

We now turn our attention to DL-based FR systems. We begin our analysis by considering the face identification protocol in the close-set scenario, and we then move the open-set one. We refer the reader to Section 4 for a detailed description of the metrics we use to assess the performance of the systems under analysis.

### 309 5.2.1. Close-set

310 As mentioned in Section 4, we use the CMC to evaluate the 311 performance of the threatened models in the close-set scenario. 312 Specifically, we summarize our results in Table 2 by reporting 313 the hit rate, i.e., the CMC value at a rank equals to one, with the exception of the DR (Sabour et al., 2015) attack to which 314 315 we dedicate Figure 3. From a defensive point of view, the more 316 resilient a model, the lower the hit rate, while from an attacker 317 perspective, it is the other way round.

By looking at Table 2 and Figure 3 we can assert that the DR attack is much more effective in fooling a DL-based FR system than the classification-based ones with respect to any type 320of metric. From the attacker's point of view, this is a funda- 321 mental result. Indeed, by comparing the results from Table 1 322 and Table 2, we see that even though the attacks fool the clas- 323 sification, it is not guaranteed that they can evade a similarity- 324 based system. Thus, deep representation attacks might be a 325 better choice to attack an FR system. Moreover, we see how 326 the "Cross-Resolution"-based system exhibits higher robust- 327 ness than the one based on the "Base" model. Thus, again, we 328 find that DCNNs benefit from a CR training approach (Mas-329 soli et al., 2020) in terms of resilience to adversarial attacks. 330 Indeed, it is undeniable that the "Cross-Resolution"-based sys-331 tem is much more resilient against adversarial attacks than the 332 "Base"-based one across all resolutions. 333

### 5.2.2. Open-set

To report the results for the face identification protocol in 335 the open-set setting, we exploit the DET. Two fundamental aspects differentiate the DET from the CMC. Indeed, the former 337 applies a threshold among the similarity of the features, and it 338 comprises queries of identities that are not present in the gallery. Instead, the latter does not use any threshold, i.e., it does 340 not discern among "weak" and "strong" similarity scores, and 341 it requires queries related to already known identities. 342

As we mentioned in Section 4, the DET represents the er- 343

Table 2: Attacks hit rate. The first column reports the configuration for each attack. The four values reported in the second and third main columns are the results at a resolution of 16, 24, 64, and 256 pixels, respectively As a reference, we report in the first row the hit rate for the authentic images.

|                            |                            |      |      |      | Hit Rate (%)           |      |      |      |      |
|----------------------------|----------------------------|------|------|------|------------------------|------|------|------|------|
| Attack Configuration       | k Configuration Base Model |      |      |      | Cross-Resolution Model |      |      |      | el   |
| _                          | 16                         | 24   | 64   | 256  |                        | 16   | 24   | 64   | 256  |
| Auth                       | 79.5                       | 95.3 | 99.8 | 99.9 |                        | 96.7 | 98.8 | 99.4 | 99.7 |
| JSMA (1000-0.1-1.0)        | 12.1                       | 10.7 | 12.9 | 12.2 |                        | 11.9 | 9.8  | 9.4  | 13.0 |
| JSMA (1000-0.3-1.0)        | 14.0                       | 9.3  | 10.7 | 10.6 |                        | 9.8  | 10.0 | 7.4  | 8.9  |
| JSMA (1000-0.5-1.0)        | 13.6                       | 10.6 | 10.0 | 10.3 |                        | 10.0 | 10.2 | 3.0  | 6.8  |
| CW-L <sub>2</sub> (10-10)  | 10.9                       | 6.5  | 6.1  | 3.7  |                        | 10.8 | 9.3  | 5.5  | 5.1  |
| CW-L <sub>2</sub> (10-100) | 7.6                        | 4.1  | 6.1  | 2.3  |                        | 9.2  | 9.3  | 3.6  | 4.6  |
| EAD (10-0.1-10)            | 31.8                       | 32.6 | 27.8 | 25.1 |                        | 19.2 | 16.8 | 19.4 | 19.7 |
| EAD (10-0.1-100)           | 17.5                       | 9.7  | 6.3  | 6.2  |                        | 13.8 | 11.6 | 6.8  | 5.3  |
| EAD (10-1.0-10)            | 44.8                       | 38.0 | 26.7 | 25.5 |                        | 20.8 | 25.7 | 20.1 | 21.7 |
| EAD (10-1.0-100)           | 34.8                       | 30.3 | 20.7 | 16.8 |                        | 17.3 | 16.5 | 17.4 | 17.2 |

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Figure 3: DR (Sabour et al., 2015) hit rate as function of the maximum allowed perturbation  $\delta$  considering 100 and 1000 attack steps. Each plot represents a different input resolution.

ror trade-off between the FNIR and the FPIR. To summarize 344 the performance of the FR systems, we report the FPIR at a 345 reference value of the FNIR equals to  $1.e^{-2}$ . Compared to the 346 close-set settings, the adversary's goal is to lower the curve as 347 348 much as possible, while from a defensive point of view, a higher 349 curve represents a more resilient model. The results are repor-350 ted in Table 3 with the exception of DR (Sabour et al., 2015) to which we dedicate Figure 4. 351

Analyzing the results reported in Table 3 and Figure 4 we obtain the same conclusions we report for the close-set setting. Specifically, by comparing the results from Table 3 to the ones in Figure 4 we see that the DR attack is much more effective in fooling the FR system compared to others and that the "Cross-Resolution"-based system is much more resilient than the "Base"-based one against adversarial attacks.

### 359 6. Conclusions

DCNN-based FR systems leverage the representation power
of learning models. Unfortunately, they also share their weaknesses. Indeed, it has been recently shown that these systems
suffer a drastic drop in their performance when tested in a crossresolution domain. The situation becomes even worse when
an adversary comes into play. Indeed, an FR system can be
deceived by adversarial examples. These weaknesses pose a

severe limit to the spread of these systems to sensitive realworld applications such as biometric systems and forensics. 368

In such a context, we proposed our analysis in which we 369 compared the resilience to adversarial attacks of FR systems 370 based on the deep features extracted by NNs in a CR scenario. 371 We studied two different DCNN models: a former one, trained 372 only on high-resolution images and a latter one, trained on a 373 cross-resolution domain. To generate adversarial instances, we 374 harnessed several algorithms based on different metrics and ob- 375 jectives, and we craft malicious samples considering input im- 376 ages at a resolution of 16, 24, 64, and 256 pixels. Concerning 377 the measures of the performance of the FR systems, we adopted 378 the face identification protocol. Specifically, we considered the 379 close- and open-set settings for which we evaluated the CMC 380 and DET. 381

From our analysis, we notice that, given a specific configuration, the attack success rate is higher at lower resolutions, for example, at 16 and 24 pixels, than at higher ones, such as 64 and 256 pixels. Such behavior was somehow expected since, at a very low-resolution part of the face information can be lost, thus simplifying the effort of an adversary. 382

By looking at the results from the FR systems, it is evident 388 that a DCNN benefits from a CR training procedure since it 389 empowers the learning model to extract more robust deep representations. Moreover, we observed that DR attacks represent 391

**Table 3:** FPIR@FNIR=1. $e^{-2}$ . The first column reports the configuration for each attack. The four values reported in the second and third main columns are the results at a resolution of 16, 24, 64, and 256 pixels, respectively. As a reference, we report in the first row the results for the authentic images.

|                            | $\overline{\text{FPIR}@\text{FNIR}=1.e^{-2}}$ |      |      |      |      |                        |      |      |  |  |
|----------------------------|---|------|------|------|------|------------------------|------|------|--|--|
| Attack Configuration       | Base Model                                    |      |      |      |      | Cross-Resolution Model |      |      |  |  |
| -                          | 16  | 24   | 64   | 256  | 16   | 24                     | 64   | 256  |  |  |
| Auth                       | 75.0  | 40.8 | 0.8  | 1.0  | 38.6 | 20.2                   | 3.6  | 3.2  |  |  |
| JSMA (1000-0.1-1.0)        | 99.3  | 99.1 | 100. | 95.1 | 99.1 | 98.4                   | 100. | 98.1 |  |  |
| JSMA (1000-0.3-1.0)        | 99.0  | 99.1 | 97.2 | 99.7 | 97.8 | 98.6                   | 99.0 | 100. |  |  |
| JSMA (1000-0.5-1.0)        | 98.0  | 98.1 | 98.2 | 97.0 | 99.4 | 98.6                   | 99.0 | 98.7 |  |  |
| CW-L <sub>2</sub> (10-10)  | 99.5  | 98.1 | 99.5 | 97.4 | 99.0 | 98.1                   | 98.9 | 98.9 |  |  |
| CW-L <sub>2</sub> (10-100) | 100.  | 99.0 | 99.5 | 99.4 | 99.6 | 98.1                   | 99.6 | 99.2 |  |  |
| EAD (10-0.1-10)            | 95.3  | 93.2 | 98.7 | 99.5 | 98.4 | 98.8                   | 96.0 | 97.6 |  |  |
| EAD (10-0.1-100)           | 98.0  | 99.4 | 99.4 | 99.0 | 100. | 98.8                   | 98.6 | 99.2 |  |  |
| EAD (10-1.0-10)            | 95.6  | 96.3 | 98.3 | 95.3 | 96.3 | 98.1                   | 96.7 | 96.7 |  |  |
| EAD (10-1.0-100)           | 98.8  | 97.9 | 97.1 | 98.6 | 98.6 | 98.1                   | 99.0 | 97.7 |  |  |

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Figure 4: FPIR@FNIR=1. $e^{-2}$  for the DR (Sabour et al., 2015) attack as function of the maximum allowed perturbation  $\delta$  considering 100 and 1000 attack steps. Each plot represents a different input resolution.

392 a much greater menace to an FR system than the ones based 393 on the classification output of the threatened models for each of 394 the considered metrics, i.e.,  $L_1$ ,  $L_2$  and  $L_{\infty}$ . Such a result held

395 for the close- as well as for the open-set settings.

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