International Standard

ISO/IEC 9868

Information technology — Design, development, use and maintenance of biometric identification systems involving passive capture subjects

Technologies de l'information — Conception, développement, utilisation et maintenance des systèmes d'identification biométriques appliqués sur des sujets de capture passifs

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Foreword

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This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 37, *Biometrics*.

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Introduction

Recent improvements in biometric systems, and in particular face recognition, have allowed new usage for identification systems. Biometric systems using artificial intelligence (AI) techniques are capable of capturing biometric data in publicly accessible spaces without any deliberate action from the capture subjects and possibly even without their knowledge.

On 13 March 2024, the European Commission adopted a proposal for a regulation laying down a "uniform legal framework in particular for the development, marketing and use of artificial intelligence".[1] This is one of the first-ever proposed horizontal regulations in the field of AI, aiming at building appropriate standards for safe and human-centric AI systems.

The regulation includes a risk-based framework with a tiered approach. The framework prohibits the use of certain systems posing a particularly high risk to the fundamental rights and safety of individuals, sets out requirements for high-risk AI systems and introduces transparency requirements for other AI systems. The regulation defines high-risk systems, which are systems that pose a risk of harm to the fundamental rights, health or safety of individuals. Biometric identification systems involving passive capture subjects (referred to as "remote biometric identification systems" in the words of the proposal) are classified as high-risk in the regulation risk-based framework. Providers and owners of high-risk systems are expected to demonstrate compliance with European Union (EU) regulatory requirements and identify design/operational risks and mitigation measures before they are put on the European market.

With this development in mind, this document is intended to provide international standardization in a sector which requires strong guidelines and harmonized practices in order to respond to concerns related to privacy protection, bias and accurate performance. It establishes requirements for the design, development, evaluation, operation and maintenance of biometric identification systems involving passive capture subjects.

Many of the examples and use cases found in this document focus on face and face-related biometric systems, given that face biometric characteristics are currently the more commonly used biometric characteristic. Gait and voice are other examples of usable biometric characteristics.

Information technology — Design, development, use and maintenance of biometric identification systems involving passive capture subjects

1 Scope

This document provides recommendations and requirements for the design, development, use and maintenance of biometric identification systems involving passive capture subjects, including pre- and post-deployment evaluation.

While the emphasis is on surveillance systems, this document is also applicable to other types of biometric identification systems involving passive capture subjects, regardless of biometric characteristic or sensing technology. This includes systems involving passive capture of subjects where some capture subjects enrolled voluntarily.

This document does not apply to biometric verification systems and biometric identification systems only involving capture subjects deliberately taking part in the capture.

This document does not define specific services, platforms or tools.

2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO/IEC 2382-37, *Information technology — Vocabulary — Part 37: Biometrics*

ISO/IEC 19795-1:2021, *Information technology — Biometric performance testing and reporting — Part 1: Principles and framework*

ISO/IEC 19795-2, *Information technology — Biometric performance testing and reporting — Part 2: Testing methodologies for technology and scenario evaluation*

ISO/IEC 19795-6, *Information technology — Biometric performance testing and reporting — Part 6: Testing methodologies for operational evaluation*

ISO/IEC 19795-10, *Information technology — Biometric performance testing and reporting – Part 10: Quantifying biometric system performance variation across demographic groups*

ISO/IEC 29794-1, *Information technology — Biometric sample quality — Part 1: Framework*

ISO/IEC 30107-3, *Information technology — Biometric presentation attack detection — Part 3: Testing and reporting*

ISO/IEC 29100, *Information technology — Security techniques — Privacy framework*

ISO/IEC 24745, *Information security, cybersecurity and privacy protection — Biometric information protection*

ISO/IEC 22989, *Information technology — Artificial intelligence — Artificial intelligence concepts and terminology*

ISO/IEC 27001, *Information security, cybersecurity and privacy protection — Information security management systems — Requirements*

ISO/IEC 27002, *Information security, cybersecurity and privacy protection — Information security controls*

ISO/IEC 27005, *Information security, cybersecurity and privacy protection — Guidance on managing information security risks*