

2

3

Disclaimer:

4

5 As a condition to the use of this document and the information contained herein, the
6 Facial Identification Scientific Working Group (FISWG) requests notification by e-mail
7 before or contemporaneously to the introduction of this document, or any portion
8 thereof, as a marked exhibit offered for or moved into evidence in any judicial,
9 administrative, legislative, or adjudicatory hearing or other proceeding (including
10 discovery proceedings) in the United States or any foreign country. Such notification
11 shall include: 1) the formal name of the proceeding, including docket number or similar
12 identifier; 2) the name and location of the body conducting the hearing or proceeding;
13 and 3) the name, mailing address (if available) and contact information of the party
14 offering or moving the document into evidence. Subsequent to the use of this document
15 in a formal proceeding, it is requested that FISWG be notified as to its use and the
16 outcome of the proceeding. Notifications should be sent to: chair@fiswg.org

17

18

Redistribution Policy:

20

21 FISWG grants permission for redistribution and use of all publicly posted documents
22 created by FISWG, provided that the following conditions are met:

23

24 Redistributions of documents, or parts of documents, must retain the FISWG cover
25 page containing the disclaimer.

26

27 Neither the name of FISWG, nor the names of its contributors, may be used to endorse
28 or promote products derived from its documents.

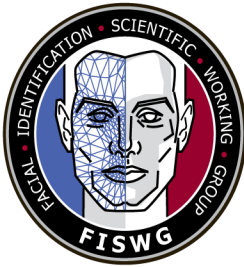
29

30 Any reference or quote from a FISWG document must include the version number (or
31 creation date) of the document and mention if the document is in a draft status.

32

33

34



Investigative Lead Note Taking and Reporting Requirements

35

36

37 1. Scope

38 1.1 The purpose of this document is to provide minimum guidelines on facial
39 comparison note taking and reporting procedures for investigative leads.

40 1.2 This document does not discuss how to conduct a facial comparison, a
41 standardized conclusion scale to be used, or details which may be Organization
42 dependent. Forensic note taking and reporting for facial comparisons will be
43 addressed in a separate document.

44

45 2. Referenced Documents

46 2.1 *ASTM Standards:*

47 E3149 Facial Image Comparison Feature List for Morphological Analysis

48

49

50 3. Terminology

51 3.1 *Definitions:*

52 3.1.1 Forensic Report: a document whose intent it is to provide information to
53 assist a trier of fact (e.g., judge or jury)

54 3.1.2 Investigative Lead Report: a document whose intent it is to provide
55 information to operational personnel to assist them with meeting their
56 objective
57

58 **4. Comparison Notes** – This section refers to elements that are recommended to be
59 included in case notes when an investigative lead facial comparison is being
60 conducted. The items presented below are not in order of importance or priority.

61 4.1 Case Identifier

62 4.2 Dates

63 4.2.1 Date Received

64 4.2.2 Date Searched/Compared

65 4.2.3 Date of Image Capture (if available)

66 4.3 Requestor(s)

67 4.3.1 Contact Information

68 4.4 Any written/verbal correspondence

69 4.5 Examiner(s)

70 4.6 Origin of Images

71 4.7 Filename/Identifier of Images Received

72 4.7.1 Indication of images that meet minimum requirements for comparison

73 4.8 Filename/Identifier of Processed Image(s) (if applicable)

74 4.8.1 Steps taken to Process Image(s)

- 75 4.9 Gallery searched
- 76 4.9.1 Number of candidates returned
- 77 4.9.2 Ranking of returned potential candidate(s)
- 78 4.10 Examination
- 79 4.10.1 Documentation of the comparison
- 80 4.10.1.1 Compare and document all features of the face visible in each
- 81 image, as defined in the E3149 Facial Image Comparison
- 82 Feature List for Morphological Analysis.
- 83 4.11 Documentation of evaluation of comparison
- 84 4.11.1 Consideration of the effects of imaging conditions and physical stability
- 85 of facial features
- 86 4.12 Conclusion
- 87
- 88 **5. Reports** – This section refers to elements that are required to be included in a report
- 89 when an investigative lead facial comparison is being conducted. An Investigative
- 90 Lead Report is only produced when the examiners reached a conclusion that images
- 91 of the unknown person and the candidate display characteristics which are significant
- 92 enough to indicate that they are potentially the same person. The items presented
- 93 below are not in order of importance or priority.

94 5.1 Disclaimer – Agencies should include in all forensic facial comparisons their own
95 disclaimer identifying the limitations of the comparison and the recommended
96 usage of the investigative lead report.

97 5.2 Dates

98 5.2.1 Date Received

99 5.2.2 Date Searched/Compared

100 5.2.3 Date of Image Capture (if available)

101 5.2.4 Date of Report

102 5.3 Requestor(s)

103 5.4 Organization conducting examination to include:

104 5.4.1 Examiner(s)

105 5.4.1.1 If the examination is not verified by a second examiner, a disclaimer
106 that the comparison is not verified must be included in the report.

107 5.4.2 Contact Information

108 5.5 Case Identifier

109 5.6 Example of Images Received

110 5.6.1 Example of Processed Image(s) (if applicable) and/or any steps taken to
111 Process Image(s)

112 5.7 Reference to comparison method used

113 **6. Additional Recommended Best Practices**

114 6.1 In accordance with the Organizations' data retention policies, the following

115 should also be saved (hard/digital):

116 6.1.1 All correspondence (e.g., email, case notes, reports, etc.)

117 6.1.2 Submitted Images

118 6.1.3 Processed Images

119 6.1.4 Chain of custody

120 6.2 There should be documentation within the Organization on the following:

121 6.2.1 Algorithm

122 6.2.1.1 Vendor name

123 6.2.1.2 Version

124 6.2.1.3 Specific configurations

125 6.2.1.4 Date implemented

126 6.2.2 Software

127 6.2.2.1 Vendor name

128 6.2.2.2 Version

129 6.2.2.3 Specific configurations

130 6.2.2.4 Date implemented

131

132

133