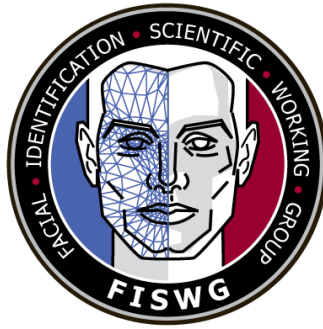




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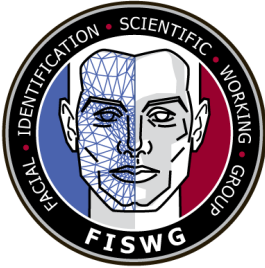
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Guide for Role-Based Training in Facial Comparison

1. Scope

1.1 This guide will provide recommendations for a role-based training to ensure practitioners meet the required level of training as per the role(s) they are expected to fulfill.

1.2 This guide does not purport to address the specific content of an agency's training program but instead provides an overview of the structure of role-based training and levels of training. This document will not address the specific recommendations for role-based training, such as detailed topics or durations of supervised casework/mentorship programs.

1.3 The intended audience of this document is personnel involved in facial comparison.

2. Referenced Documents

2.1 ASTM Documents¹:

¹ For referenced ASTM standards, visit www.nist.gov/osac/astm-launch-code, or the ASTM website, www.astm.org, or contact ASTM Customer Service at service@astm.org for Annual Book of ASTM.

14 E2916 Standard Terminology for Digital and Multimedia Evidence Examination

15 E1732 Standard Terminology Relating to Forensic Science

16 2.2 *FISWG Documents*²:

17 FISWG Facial Comparison Overview and Methodology Guidelines

18 3. Terminology

19 3.1 *Definitions*:

20 3.1.1 *Competency, n*—demonstration that an individual has acquired and
21 demonstrated specialized knowledge, skills, and abilities necessary to conduct
22 examinations in a discipline or category of testing prior to performing independent
23 casework. (modified from E1732 Standard Terminology Relating to Forensic Science)

24 3.1.2 *Facial Assessor, n*—an individual whose role is to perform a facial assessment

25 3.1.3 *Facial Examiner, n*—an individual whose role is to perform a facial
26 examination

27 3.1.4 *Facial Reviewer, n*—an individual whose role is to perform a facial review

28 3.1.5 *Proficiency, n*—ongoing evaluation and assessment of obtained competency

29 3.1.6 *System Administrator, n*—an individual whose role it is to execute the required
30 processes to implement, maintain, and optimize a facial recognition system.

² Available from Facial Identification Scientific Working Group (FISWG), <http://www.fiswg.org/documents>.

3.1.7 *Technical Reviewer, n*—an individual whose role it is to evaluate the work product of a facial comparison.

3.1.7.1 *Discussion:* The work product includes, but is not limited to, supporting records, documentation, and reports.

3.1.8 *Trainer, n*—an individual whose role it is to instruct others in facial comparison methods, tools, and technologies and to develop and administer competency, proficiency, and when necessary, aptitude assessments.

4. Summary of Practice

4.1 The consistent and reliable use of facial comparison methods and facial recognition technologies requires appropriate training of personnel. For a description of the different facial comparison roles, see Section 5.4. The level of training necessary to conduct facial comparison is dependent upon the role of the employee. Agencies may choose to provide additional training beyond what is recommended in this document.

4.2 Practitioners who perform facial comparisons should be familiar with the capabilities and limitations of relevant tools, technologies, and methods. They should be familiar with the procedures commonly followed. Practitioners should also be cognizant of, and adapt to, new developments. Additionally, trainers of those performing facial comparisons need advanced knowledge of these areas. In support of these goals, the following recommendations are offered to personnel engaged in this field:

4.2.1 Undertake validated aptitude testing prior to employment or enrollment in a facial comparison training program or both, when available. When validated aptitude testing is not available, aptitude testing should still be conducted. Validated or non-validated aptitude testing should continue throughout training to evaluate the trainee's ongoing development for the roles of Facial Reviewer, Facial Examiner, and Technical Reviewer.

4.2.2 Adhere to a structured and documented training program for determining levels of competency.

4.2.3 Undertake a period of supervised casework/mentorship.

4.2.4 Maintain competency after training by pursuing applicable courses, undertaking scheduled proficiency/competency testing, maintaining awareness of the current standards, guidance, and research relevant to facial comparison and participating in research when possible.

4.2.5 Define and employ a case management system, where applicable.

4.2.6 Maintain awareness of legal developments relating to the use of facial comparisons.

5. Significance and Use

5.1 There are three broad categories of facial comparison tasks: facial assessment, facial review, and facial examination; and all may involve interface with a facial

recognition system (FRS). The requirement for assessment, review, or examination will depend upon an agency's end-user requirement and the type and quantity of facial comparison cases. The level of training for staff undertaking each of the three tasks differs. In addition, support personnel and managers of persons performing facial comparisons also need to be aware of the capabilities and limitations of specific tools, technologies, and methods.

5.2 Facial assessment, review, and examination are defined in the FISWG Facial Comparison Overview and Methodology Guidelines document.

5.3 Roles relevant to facial comparison include Facial Assessor, Facial Reviewer, and Facial Examiner. Additional roles may include administrative duties, policy or case management. All relevant roles should be considered when developing a facial comparison training program.

5.4 Below is a list of the different roles in a facial comparison environment. **These are not job titles, but instead roles describing the tasks an individual may perform.** Depending upon the organization of an agency, one individual may perform multiple roles. This list is not exhaustive and other agency specific roles may exist.

5.4.1 **Facial Assessor:** Performs a quick comparison of image-to-image or image-to-person, typically with controlled images, carried out in screening and access control applications or field operations. Due to limitations such as time constraints, Assessors perform the least rigorous of all the facial comparison processes. For example, a person

89 at a port of entry or in the field using a mobile FR system to assist with identity
90 verification.

91 5.4.2 **Facial Reviewer:** Performs a comparison of image(s)-to-image(s) using
92 morphological analysis, generally from an FRS generated candidate list. The
93 comparison results are often used in either investigative and operational leads or
94 intelligence gathering applications.

95 5.4.3 **Facial Examiner:** Performs a comparison of image(s)-to-image(s) using
96 morphological analysis, comparison, and evaluation of images for the purpose of
97 effecting an opinion, often used in a forensic application.

98 5.4.4 **Manager:** Sets agency policies or makes budget decisions or both.

99 5.4.5 **Supervisor:** Supervises or directs personnel engaged in the use of facial
100 comparison methods, tools, technologies, or a combination.

101 5.4.6 **Collector:** Obtains or captures source images to be used in facial
102 comparisons.

103 5.4.7 **Technical Reviewer:** Performs quality assurance review of the work product
104 of facial comparison.

105 5.4.8 **System Administrator:** Performs the system administration required to
106 implement, maintain, and optimize the automated facial recognition program.

107 **5.4.9 Trainer:** Provides instruction in facial comparison methods, tools, or
108 technologies, or a combination of these topics. Designs and implements competency
109 and proficiency testing. Designs and implements aptitude testing when validated
110 aptitude testing is not available.

111 **5.4.10 Case Manager:** Reviews evidence for suitability and handling of contextual
112 information, sets case strategy, or monitors caseload.

113 **5.5 Categories of Training:** A facial comparison training program can be broadly
114 defined as consisting of the following five categories. The specific content for each of
115 these categories will be dependent upon the role and the requirements of an individual
116 agency.

117 **5.5.1 Introductory overview:** The comprehension of the basics of facial
118 comparison.

119 **5.5.2 Skills and abilities:** The ability to use applicable facial comparison tools,
120 methods, and technologies.

121 **5.5.3 Knowledge of processes:** The ability to select and apply the appropriate
122 information, skills and techniques for a given examination, from receipt of evidence
123 through to completion of the report and presentation at court when required.

124 **5.5.4 Court preparation and presentation:** The ability to prepare and review
125 accurate and reliable facial comparison evidence or present reliable facial comparison
126 testimony or both in court.

5.5.5 **Instruction:** The ability to instruct others in applicable areas of facial comparison processes.

5.6 The level of assessment for each of the above categories will be dependent upon an individual's role and type of task being performed. The levels of assessment for a facial comparison training program can be defined as follows:

5.6.1 **Awareness:** General acquaintance with the relevant major elements of a given method or technology to include specific capabilities and limitations.

5.6.2 **Competency:** Demonstration that an individual has acquired and demonstrated specialized knowledge, skills, and abilities necessary to conduct examinations in a discipline or category of testing prior to performing independent casework.

5.6.3 **Proficiency:** The ongoing evaluation and assessment of obtained competency.

6. Minimum Training Recommendations

6.1 Table 1 shows the minimum requirements recommended for each role in the defined categories of training.

AW – Awareness C – Competency P – Proficiency N/A – Not Applicable

	Introductory Overview	Skills and Abilities	Knowledge of Processes	Court Presentation	Instruction
Manager	AW	AW	AW	AW	N/A

Supervisor	C	AW	AW	AW	AW
Case Manager	P	P	P	P	N/A
Collector	AW	P	C	AW	N/A
Facial Assessor	AW	AW	AW	AW	N/A
Facial Reviewer	P	P	P	C	N/A
Facial Examiner	P	P	P	P	N/A
Technical Reviewer	P	P	P	P	N/A
System Administrator	AW	AW	AW	N/A	N/A
Trainer*	P	P	P	P	P

Table 1 - Matrix of minimum training recommendations for roles being performed.

*A trainer needs to be proficient at the role they are instructing.

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