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29 creation date) of the document and mention if the document is in a draft status.

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Forensic Face Note Taking and Reporting Requirements

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34 1. Scope

35 1.1 The purpose of this document is to provide minimum guidelines on note taking
36 and reporting procedures for forensic facial comparisons.

37 1.2 This document does not discuss methods for how to conduct a facial image
38 comparison, conclusion scale(s), or details that may be Agency-dependent.

39 Note taking and reporting for the generation of investigative leads are
40 addressed in a separate document.

41 2. Referenced Documents

42 2.1 ASTM Standards¹:

43 E3149 Facial Image Comparison Feature List for Morphological Analysis

44 2.2 Other references:

45 2.2.1 FISWG Image Processing to Improve Automated Facial Recognition
46 Search Performance

¹ For referenced ASTM standards, visit the ASTM website, www.astm.org, or contact ASTM Customer Service at service@astm.org. For Annual Book of ASTM Standards volume information, refer to the standard's Document Summary page on the ASTM website.

47 **3. Terminology**

48 3.1 Definitions:

49 3.2 Forensic Report: a document whose intent it is to provide information to assist a
50 trier of fact (e.g., judge or jury).

51 3.3 Investigative Lead Report: a document whose intent is to provide information to
52 assist operational personnel (e.g., investigator, detective, or analyst).

53 **4. Comparison Notes** – This section refers to elements that should be included in
54 case notes when a forensic facial comparison is conducted. The items presented
55 below are not in order of importance or priority.

56 4.1 Case Identifier

57 4.2 Dates

58 4.2.1 Date Received

59 4.2.2 Date Searched/Compared

60 4.2.3 Date of Image Capture (if available)

61 4.3 Requestor(s)

62 4.3.1 Contact Information

63 4.4 Details and Scope of the Request (if provided)

64 4.5 Determination of image applicability in the context of the question (e.g.,

65 Question asked is: are these two people the same? However, the images of the

66 two persons display a large age difference and were taken days apart, then the
67 persons cannot be same.)

68 4.5.1 Documentation of Reasoning for Determination

69 4.6 Any Written/Verbal Correspondence

70 4.7 Examiners

71 4.8 Origin of Images

72 4.9 Filename/Identifier of Images Received

73 4.9.1 Indication of images that meet agency specific requirements for
74 comparison

75 4.10 Filename/Identifier of Processed Image(s) (if applicable)

76 4.10.1 Steps taken to Process Image(s)

77 4.11 Examination

78 4.11.1 Documentation of the Comparison

79 4.11.1.1 Compare and document features of the face visible in each
80 image, as defined in the E3149 Facial Image Comparison
81 Feature List for Morphological Analysis.

82 4.11.1.2 A screenshot containing marked-up features

83 4.11.2 Documentation of Evaluation of Comparison

84 4.11.3 Consideration of the effects of imaging conditions and physical stability
85 of facial components or component characteristics

86 4.12 Conclusion

87 **5. Reports** – This section refers to elements that should be included in a report when a
88 forensic facial comparison has been conducted. The items presented below are not
89 in order of importance or priority.

90 5.1 Disclaimer – Agencies should include in all forensic facial comparisons their
91 own disclaimer identifying the limitations of the comparison and the
92 recommended usage of the forensic report.

93 5.2 Title of the Report

94 5.3 Dates

95 5.3.1 Date Received

96 5.3.2 Date Searched/Compared

97 5.3.3 Date of Image Capture (if available)

98 5.3.4 Date of Report

99 5.4 Requestor(s)

100 5.5 Organization conducting examination to include:

101 5.5.1 Examiners

102 5.5.1.1 If the examination is not verified by a second examiner, a
103 disclaimer that the comparison is not verified must be included in
104 the report.

105 5.5.2 Contact Information

106 5.6 Case Identifier

107 5.7 Details and Scope of the Request (if provided)

108 5.8 Origin of Images

109 5.9 Example of Images Received

110 5.10 Filename/Identifier of Images Received

111 5.11 Indication of images that meet minimum requirements for comparison

112 5.12 Example of Processed Image(s)

113 5.13 Filename/Identifier of Processed Image(s) (if applicable)

114 5.13.1 Steps taken to Process Image

115 5.14 Reference to Comparison Method Used

116 5.15 Analysis Documentation

117 5.16 Comparison Documentation

118 5.16.1 A screenshot containing marked-up features

119 5.17 Interpretation of Comparison

120 5.18 Conclusion Scale Used

121 5.18.1 May include definitions/information of what drives a conclusion.

122 5.19 Conclusion Reached

123 **6. Best Practices for Mark-Ups** – this section refers to the best practices for examiners
124 when marking up compared facial features in a forensic facial comparison.

125 6.1 Examiners should utilize the following types of mark-ups to clearly indicate
126 noteworthy facial features that were assessed and evaluated during the
127 comparative analysis process. Mark-ups between the probe and candidate
128 should be clearly visible, consistent, and annotated. It may be beneficial to
129 include a unique identifier (e.g., numbers or letters) to correlate a mark-up with
130 the corresponding annotation. The type, color, and amount of mark-ups used
131 will be agency specific but should fall within the below guidelines.

132 6.1.1 Circles or boxes – to outline specific features such as facial marks (e.g.,
133 scars, moles, etc.)

134 6.1.2 Brackets – to illustrate relative distance between facial features (e.g.,
135 spacing between nasion, length of the nose, etc.) or to highlight a
136 grouping of features (e.g., striae or facial marks)

137 6.1.3 Arrows, numbers, or dots – to indicate specific facial features

138 6.2 Examiners shall not utilize the following types of mark-ups, as doing so would
139 introduce contextual bias or obstruction of facial features within the report.

140 6.2.1 Draw or trace on facial features

141 6.2.2 Apply text or text boxes over the head, face, or neck

142 6.2.3 Obstruct facial features via mark-up

143 6.2.4 Clutter or overlap mark-ups

144 **7. Best Practices for Anatomical Annotation** – this section refers to the best

145 practices for examiners when annotating compared facial features in a forensic facial
146 comparison. An anatomical write-up must accompany a forensic facial comparison
147 and should fall within the below guidelines.

148 7.1 Examiners must use anatomically correct language per the E3149 Facial Image
149 Comparison Feature List for Morphological Analysis Guideline. Examiners may
150 use layman's terms in addition to anatomically correct language.

151 7.1.1 Examiners shall not use words such as unique, significant, same,
152 identical, or exact to describe a specific feature. This language would
153 suggest that the features are derived from the same source which is not
154 scientifically or statistically supported.

155 **8. Additional Recommended Best Practices**

156 8.1 In accordance with the Organizations' data retention policies, the following
157 should also be saved (hard/digital):

158 8.2 All Correspondence (e.g., email, case notes, reports, etc.)

159 8.3 Submitted Images

160 8.4 Processed Images

161 8.5 Chain of Custody

162 8.6 Disposition (if applicable)

163 8.6.1 The examination report must include a description of the disposition of
164 original and derivative works (e.g., destroyed, returned, or retained).

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