

1



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 **Redistribution Policy:**

18

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

21

22 Redistributions of documents, or parts of documents, must retain the FISWG cover
23 page containing the disclaimer.

24

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

27

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

30

31

32



Guide for Facial Comparison Awareness Training of Assessors

33

34 1. Scope

35 1.1 This guide is intended to provide a minimum set of criteria for training of
36 personnel who will conduct facial comparisons at the assessor level.

37 1.2 The task of facial assessment includes but is not limited to a quick comparison of
38 image-to-image or image-to-person typically carried out in screening and access
39 control applications. Due to time constraints, assessment is the least rigorous of
40 all of the facial comparison categories.

41 1.3 Assessors are not specialists in facial comparison but the role requires an
42 awareness of the major elements and limitations of the facial comparison
43 discipline and training in the use of available tools. This task may be conducted
44 by officers during the course of their duties, to generate lines of enquiry or by a
45 point of entry controller for a restricted area.

46 1.4 The intended audience of this document includes agencies and individuals
47 involved in facial comparison at the assessor level.

48 1.5 Assessors who use Facial Recognition (FR) Systems should meet the minimum
49 requirements in FISWG Minimum Training Criteria for Usage of Facial
50 Recognition Systems.

51 **2. Referenced Documents**

52 2.1 ASTM Standards¹:

53 2.1.1 ASTM E2916-13 Standard Terminology for Digital and Multimedia
54 Evidence Examination.

55 2.2 Other References:

56 2.2.1 FISWG Minimum Training Criteria for Usage of Facial Recognition
57 Systems

58 **3. Summary of Practice**

59 3.1 This guide provides the minimum criteria for training of facial assessors and
60 should be read in conjunction with the FISWG Minimum Training Criteria for
61 Usage of Facial Recognition Systems.

62 3.2 Minimum training requirements for facial assessors includes demonstrating
63 awareness of the following:

64 3.2.1 The practical application and operational uses of facial images.

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.

65 3.2.2 The user must understand common terminology and should be able to
66 define human face recognition (familiar/eyewitness) and automated facial
67 recognition as well as explain the differences and their distinction from
68 holistic face processing and unfamiliar face matching.

69 3.2.3 Understand the difficulty in comparing faces and variability in individual
70 aptitude to perform facial comparison.

71 3.2.4 The perception of facial recognition and identification in the legal
72 community and be aware of current public perception.

73 3.2.5 The basics of image science including, but not limited to:

74 3.2.5.1 Vision (e.g., Color, Illumination, Perception)

75 3.2.5.2 Photography (e.g., Distortions, Pose, Expression, Perspective)

76 3.2.5.3 Impact of digital imaging on facial features

77 3.2.6 The principles of comparison. These principles include:

78 3.2.6.1 The differences between class and individual characteristics, as
79 well as those of transient and stable characteristics.

80 3.2.6.2 Approaches to comparisons, including:

81 3.2.6.2.1 Morphological Analysis

82 3.2.7 Facial knowledge, including the following principles:

83 3.2.7.1 General nomenclature of facial features

84 3.2.7.2 The variable nature of the face overtime, the level of permanence
85 of individual features and understand the results of aging

86 3.2.7.3 Other alterations of the face, both temporary and permanent.
87 Examples of temporary changes are: cosmetics, weight changes,
88 hair color changes, wounds, and abrasions. Permanent changes
89 may include: scars, surgical alterations, dental changes, tattoos,
90 and piercings.

91 3.2.8 Basic morphological analysis, to include, but not be limited to:

92 3.2.8.1 Face/head outline and composition

93 3.2.8.2 Hair and hairline

94 3.2.8.3 Eyes and eyebrows

95 3.2.8.4 Nose

96 3.2.8.5 Mouth

97 3.2.8.6 Ears

98 3.2.8.7 Facial lines, marks and scars

99 3.2.9 Relevant legislation and case law relating to facial comparison

100 4. Keywords

101 4.1 Facial Assessor, Training, Facial Identification, Facial Comparison

102

103
104
105
106
107
108
109
110
111
112
113
114

FISWG documents can be found at: www.FISWG.org

DRAFT