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Minimum Guidelines for Facial Image Comparison Documentation

1. Scope

1.1. The purpose of this document is to provide minimum guidelines and a common baseline of information for facial image comparison documentation.

1.1.1. Documentation refers to any hard copy or electronic material that provides official information or serves as a record. Examples include, but are not limited to, notes, images with markups and annotations, narratives, worksheets, investigative lead or forensic reports, or any combination thereof.

1.2. This document does not discuss methods for how to conduct a facial image comparison, opinion scale(s), or details that may be agency specific.

2. Referenced Documents

2.1 ASTM Standards:¹

E3149 Standard Guide for Facial Image Comparison Feature List for Morphological Analysis

2.2 FISWG Standards:²

FISWG Physical Stability of Facial Features of Adults

FISWG Guide for Role-Based Training in Facial Comparison

FISWG Standard Practice/Guide for Image Processing to Improve Automated Facial Recognition Search Performance

FISWG Facial Comparison Overview and Methodology Guidelines

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 Standards volume information, refer to the standard's Document Summary page on the ASTM website.

² For referenced FISWG documents, visit www.fiswg.org.

20 2.3 OSAC Standards: ³

21 OSAC Standard Framework for Developing Discipline Specific Methodology for ACE-V

22 3. Terminology

23 3.1 Definitions:

24 3.1.1 *Forensic Report*: a document whose intent it is to provide information to assist a
25 trier of fact (e.g., judge or jury).

26 3.1.2 *Investigative Lead Report*: a document whose intent it is to provide information
27 to operational personnel to assist them with meeting their objective (e.g., investigator,
28 detective, or analyst).

29 4. Significance and Use

30 4.1 These guidelines should be used as a reference by the practitioner to adequately
31 record the facial image comparison process.

32 4.2 This document outlines the information needed to provide a clear understanding
33 of the process conducted during a facial image comparison to the recipient.

34 4.3 The sections below provide recommended minimum guidelines for
35 documentation, intended to complement agency specific needs/procedures. These are
36 not mandatory documentation or reporting requirements.

37 5. Items to Document for a Facial Image Comparison

38 These items are not presented in order of relative importance or priority.

39 5.1 Case identifier

40 5.2 Date received

41 5.3 Date searched/compared

42 5.4 Date of image capture (if available)

43 5.5 Requestor name and contact information

44 5.6 Relevant case information (if provided)

³ Available from Organization of Scientific Area Committees for Forensic Science (OSAC),
www.nist.gov/organization-scientific-area-committees-forensic-science/digitalmultimedia-scientific-area-committee.

- 45 5.7 Organization conducting examination
- 46 5.8 Practitioner(s) name and contact information
- 47 5.9 Details and scope of the request (if provided)
- 48 5.10 Source of image(s)
- 49 5.11 Filename/identifier of image(s) received
- 50 5.12 Indication of whether a facial recognition (FR) search was conducted and the
51 results
- 52 5.13 Database searched, and any image galleries within the database (if relevant)
- 53 5.14 Disclaimer – agencies should include their own disclaimer identifying the
54 limitations of the comparison method used and the intended usage of the report
- 55 5.15 Reference to comparison method used
- 56 5.16 Description of the disposition of both received and processed image(s), and
57 record of storage and retention

58 **6. Analysis**

- 59 6.1 Determination of image suitability for facial recognition search or facial
60 comparison
- 61 6.2 Image analysis documentation, to include, but not limited to, factors such as
62 lighting conditions, image resolutions, obstructions, and pose
- 63 6.3 Indicate whether or not images meet agency specific requirements for comparison
- 64 6.4 Explanation for determination when images do not meet agency specific
65 requirements
- 66 6.5 Processed image(s) (if applicable)
- 67 6.6 Filename/identifier of processed image(s) (if applicable)
- 68 6.7 Steps taken to process image(s) (e.g., cropping, rotating, adjusting exposure)

69 **7. Comparison**

- 70 7.1 Compare and document features of the face in each image, as defined in the
71 ASTM E3149 Facial Image Comparison Feature List for Morphological Analysis

72 7.2 Observe and document effects of imaging conditions and physical stability of
73 facial components or component characteristics

74 7.3 A visual example of the compared facial images as per agency guidelines

75 **8. Evaluation**

76 8.1 Opinion scale used

77 8.2 Definitions or information and interpretation of what drives an opinion (if
78 applicable)

79 8.3 Opinion reached with reasoning

80 **9. Verification**

81 9.1 Verification in accordance with agency procedures

82 **10. Additional Information**

83 10.1 In accordance with an agency's data retention policies and quality management
84 systems, additional information should be saved (hardcopy/digital). Examples include:

85 10.1.1 Written and verbal correspondence (e.g., email, case notes, reports)

86 10.1.2 Received image(s)

87 10.1.3 Processed image(s)

88 10.1.4 Chain of custody

89 10.2 There should be documentation within the agency on the following:

90 10.2.1 Software, algorithm, tools, or other technology utilized

91 10.2.1.1 Vendor name(s)

92 10.2.1.2 Version(s)

93 10.2.1.3 Specific configuration(s)

94 10.2.1.4 Date(s) implemented

95 10.2.1.5 Validation testing (if applicable)

96 10.3 Agency accreditation
97 10.3.1 Agency comparison method
98 10.3.2 Agency Standard Operating Procedures (SOP)
99 10.4 Practitioner qualifications
100 10.4.1 Training: proficiency and competency testing and results

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

