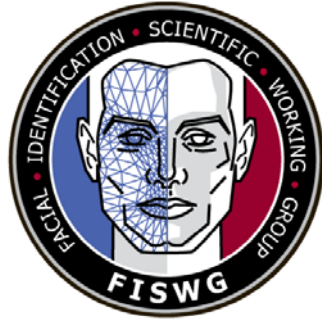


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3 **Disclaimer:**

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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
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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.

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Minimum Guidelines for Facial Image Comparison Documentation

33

34 1. Scope

35 1.1 The purpose of this document is to provide minimum guidelines and a common
36 baseline of information for facial image comparison documentation.

37 1.1.1 Documentation may be in the form of notes, annotated images,
38 narratives, worksheets, electronic records, investigative lead or forensic
39 reports, or any combination of these methods.

40 1.2 This document does not discuss methods for how to conduct a facial image
41 comparison, conclusion scale(s), or details that may be agency specific.

42

43 2. Referenced Documents

44 2.1 American Society for Testing and Materials (ASTM) International Standards
45 E3149 Facial Image Comparison Feature List for Morphological Analysis

46 2.2 FISWG Physical Stability of Facial Features of Adults

47 2.3 FISWG Guide for Role-Based Training in Facial Comparison

48 2.4 FISWG Standard Practice/Guide for Image Processing to Improve Automated
49 Facial Recognition Search Performance

50 2.5 FISWG Facial Comparison Overview and Methodology Guidelines

51 2.6 OSAC Standard Framework for Developing Discipline Specific Methodology for
52 ACE-V

53
54 **3. Terminology**

55 3.1 Definitions

56 3.1.1 Forensic Report: a document whose intent it is to provide information to
57 assist a trier of fact (e.g., judge or jury).

58 3.1.2 Investigative Lead Report: a document whose intent it is to provide
59 information to assist operational personnel (e.g., investigator, detective, or
60 analyst).

61
62 **4. Significance and Use**

63 4.1 These guidelines should be used as a reference by the practitioner to
64 adequately document the facial image comparison process

65 4.2 This document outlines the information needed to provide a clear understanding
66 of the process conducted during a facial image comparison to the recipient

67 4.3 The sections below provide the recommended minimum guidelines for
68 information that should be documented in accordance with the type of report
69 and agency specific needs

70

71 **5. Items to Document for a Facial Image Comparison** – These items are not presented
72 in order of importance or priority.

73 5.1 Administrative Data

74 5.1.1 Case Identifier

75 5.1.2 Dates

76 5.1.2.1 Date Received

77 5.1.2.2 Date Searched/Compared

78 5.1.2.3 Date of Image Capture (if available)

79 5.1.3 Requestor(s)

80 5.1.3.1 Contact Information

81 5.1.4 Any Written/Verbal Correspondence

82 5.1.5 Relevant Case Information (if provided)

83 5.1.6 Organization Conducting Examination

84 5.1.6.1 Contact Information

85 5.1.6.2 Practitioner(s)

86 5.1.7 Details and Scope of the Request (if provided)

87 5.1.8 Origin of Images

88 5.1.9 Filename/Identifier of Images Received

89 5.1.10 Indication of whether a facial recognition (FR) search was conducted and
90 results (if applicable)

91 5.1.10.1 Gallery Searched

92 5.1.10.2 Number of Candidates Returned (based on maximum number
93 returned or threshold used)

94 5.1.10.3 Ranking of returned potential candidate(s) if returned list is not
95 randomized

96 5.1.11 Disclaimer – Agencies should include in all facial image comparison
97 reports their own disclaimer identifying the limitations of the comparison
98 method used and the recommended usage of the report.

99 5.1.12 Reference to Comparison Method Used

100 5.1.13 Description of the disposition of original and derivative works (e.g.,
101 returned, or retained)

102 5.2 Analysis

103 5.2.1 Determination of image applicability in the context of the question (e.g.,
104 Question asked is: are these two people the same? However, the
105 images of the two persons display a large age difference and were taken
106 days apart, then the persons cannot be same.)

107 5.2.2 Indication of images that do or do not meet agency specific requirements
108 for comparison

109 5.2.2.1 Explanation for determination that images do not meet agency
110 specific requirements

111 5.2.3 Image Analysis Documentation (e.g., lighting conditions, image
112 resolution, etc.)

- 113 5.2.4 Processed Image(s) (if applicable)
- 114 5.2.4.1 Filename/Identifier of Processed Image(s) (if applicable)
- 115 5.2.4.2 Steps Taken to Process Image(s)
- 116 5.3 Comparison
- 117 5.3.1 Documentation of the Comparison
- 118 5.3.1.1 Compare and document features of the face visible in each
- 119 image, as defined in the E3149 Facial Image Comparison
- 120 Feature List for Morphological Analysis.
- 121 5.3.1.2 A written account of the compared features
- 122 5.3.2 Observed effects of imaging conditions and physical stability of facial
- 123 components or component characteristics
- 124 5.3.3 A visual example of the compared facial images
- 125 5.4 Evaluation
- 126 5.4.1 Conclusion Scale Used
- 127 5.4.1.1 Definitions or information and interpretation of what drives a
- 128 conclusion (if applicable)
- 129 5.4.2 Conclusion Reached
- 130 5.5 Verification
- 131 5.5.1 Verification Notation

132 5.5.2 If the examination is not verified by a second examiner, a disclaimer that
133 the comparison is not verified must be included in the report.

134
135 **6. Additional Information**

136 6.1 In accordance with the Agency's data retention policies, the following should also
137 be saved (hard/digital):

138 6.1.1 All Correspondence (e.g., email, case notes, reports, etc.)

139 6.1.2 Received Images

140 6.1.3 Processed Images

141 6.1.4 Chain of Custody

142 6.1.5 Disposition (if applicable)

143 6.2 There should be documentation within the agency on the following:

144 6.2.1 Algorithm

145 6.2.1.1 Vendor Name

146 6.2.1.2 Version

147 6.2.1.3 Specific Configurations

148 6.2.1.4 Date Implemented

149 6.2.2 Software

150 6.2.2.1 Vendor Name

151 6.2.2.2 Version

152 6.2.2.3 Specific Configurations

153 6.2.2.4 Date Implemented

154 6.3 Agency Accreditation

155 6.3.1 Reference to Agency Comparison Method

156 6.3.2 Reference to Agency Standard Operating Procedures (SOP)

157 6.4 Practitioner Qualifications

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161

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FISWG documents can be found at: <https://www.fiswg.org>

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