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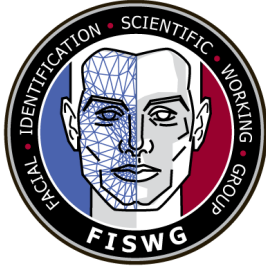
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# Principles for Responsible Use of Facial Recognition Technology

## 1. Scope

1.1 The scope of this document is to provide a set of principles that FRS administrators, developers, integrators, managers, and users can adopt, which will help ensure that facial recognition technology is used in a safe, effective, responsible, and non-discriminatory manner.

1.2 These principles were written with the understanding that FISWG documents are leveraged across the globe. As such, these principles are written in a way that ensures they can be adopted regardless of geographical location.

1.3 These principles are based on subject matter that is important to FISWG. As such, these principles may not be all encompassing. Agencies are encouraged to seek additional guiding documentation as needed.

## 2. Referenced Documents

### 2.1 FISWG Documents:<sup>1</sup>

FISWG Minimum Training Criteria When Using Facial Recognition Systems

FISWG Guide for Facial Comparison Training of Reviewers to Competency

FISWG Guide for Facial Comparison Training of Examiners to Competency

Suite of documents from the Understanding and Testing for Facial Recognition Systems Operation Assurance series.

Suite of documents from the Facial Recognition Systems Operation Assurance series.

## 3. Terminology

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<sup>1</sup> Available from Facial Identification Scientific Working Group, <https://fiswg.org>.

### 3.1 *Definitions:*

3.1.1 *agency, n*—Within this document, an agency will refer to the organization that deploys the FRS, whether the agency is the system owner or user.

3.1.2 *user, n*—Within this document, a user will utilize or support the FRS.

### 3.2 *Acronyms:*

3.2.1 *NIST, n*—National Institute of Standards of Technology.

## 4. Purpose

4.1 This document details a set of principles to support agencies using facial recognition technology in a safe, effective, responsible, and non-discriminatory manner.

4.2 The intended audience is:

- Agencies that are interested in, or in the process of implementing facial recognition technology.
- Facial recognition technology stakeholders, such as, but not limited to, system owners, users, administrators, developers, and integrators.

## 5. Significance and Use

5.1 FISWG creates documentation to support agencies in their development, deployment, management, and use of facial recognition technology.

5.2 FISWG acknowledges that more supporting and guiding documentation is needed to help agencies use the technology in a responsible manner.

5.3 This document is a summary of key principles to ensure that agencies are using the technology in a responsible way.

5.4 The use of facial recognition technology is critical for many use cases and is becoming more widespread throughout the world. Adopting these principles will support the continued use and expansion of this technology.

## 6. Principles

### 6.1 Policy

6.1.1 Facial recognition technology should be developed, deployed, managed, and used in a way that respects relevant legislation, regulations, policies, and best practices.

## 6.2 Procedures

6.2.1 Agencies shall develop detailed procedures that dictate how facial recognition technology is to be used, including acknowledgement of limitations. Procedures shall cover the end-to-end facial recognition process that is specific to the agency.

## 6.3 Risks

6.3.1 Agencies shall have a good understanding of the risks associated with developing, deploying, managing, and using facial recognition technology. Agencies shall document, monitor, and manage risks on an ongoing basis. A risk management strategy shall include aligning with the principles found in this document.

## 6.4 Security

6.4.1 Images and biometric templates shall be adequately protected during all stages of the information life cycle: collection, use, disclosure, retention, storage, and disposal. They shall be treated with a high level of sensitivity, including appropriate safeguards.

## 6.5 Training

6.5.1 Agencies that use facial recognition technology must ensure that system users and administrators are trained in their designated role. Any user of an FRS shall have training that meets or exceeds the requirements in the FISWG Minimum Training Criteria When Using Facial Recognition Systems. Additional training is required for those working as a reviewer or examiner. See FISWG Guide for Facial Comparison Training of Reviewers to Competency and FISWG Guide for Facial Comparison Training of Examiners to Competency for additional guidance.

## 6.6 Data Quality

6.6.1 Research demonstrates that data/image quality can impact the performance of facial recognition technology<sup>2</sup>. As such, agencies should be aware of the quality of their data and should consider monitoring data/image quality on a regular basis to ensure that system performance is maintained at an optimal level.

## 6.7 Testing

6.7.1 Agencies should have a thorough understanding of how their respective facial recognition technology/systems perform in general and across demographics that are specific to the agency. Testing should include assessment of system robustness to threats that can compromise integrity. Agencies should reference NIST testing results

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<sup>2</sup> Torsten Schlett, Christian Rathgeb, Olaf Henniger, Javier Galbally, Julian Fierrez, and Christoph Busch. 2022. Face Image Quality Assessment: A Literature Survey. ACM Comput. Surv. 54, 10s, Article 210 (January 2022), 49 pages. <https://doi.org/10.1145/3507901>

as benchmark and conduct testing on operationally relevant data through their vendor or in-house research teams. Familiarity with the FISWG suite of documents from the Understanding and Testing for Facial Recognition Systems Operation Assurance Series is encouraged.

## 6.8 Access

6.8.1 Agencies shall ensure that facial recognition system access is only granted to individuals in line with regional or agency-specific security policies. Access shall be monitored and updated on a regular basis, and individuals only have access to the system functionality relevant to their roles.

## 6.9 Transparency

6.9.1 Where permitted by agency policy, agencies should strive to be open and transparent about their use of facial recognition technology. This should include releasing information on how the agency uses the technology, training requirements for the users of the technology, and how the agency aligns with relevant legislation, regulations, policies, and procedures – including the principles specified in this document.

## 6.10 Standards Participation

6.10.1 As a complement to the application of the principles described in the document, FISWG highly recommends that agencies involved with the use of FRS actively engage with standards development groups, such as FISWG. Participation in these types of groups gives agencies a voice in the community and allows them to help shape documentation that provides structure and consistency to the use of the technology.

FISWG documents can be found at: [www.fiswg.org](http://www.fiswg.org)