



## **Disclaimer:**

As a condition to the use of this document and the information contained herein, the Facial Identification Scientific Working Group (FISWG) requests notification by e-mail before or contemporaneously to the introduction of this document, or any portion thereof, as a marked exhibit offered for or moved into evidence in any judicial, administrative, legislative, or adjudicatory hearing or other proceeding (including discovery proceedings) in the United States or any foreign country. Such notification shall include: 1) the formal name of the proceeding, including docket number or similar identifier; 2) the name and location of the body conducting the hearing or proceeding; and 3) the name, mailing address (if available) and contact information of the party offering or moving the document into evidence. Subsequent to the use of this document in a formal proceeding, it is requested that FISWG be notified as to its use and the outcome of the proceeding. Notifications should be sent to: [chair@fiswg.org](mailto:chair@fiswg.org)

## **Redistribution Policy:**

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

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

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

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



# 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:<sup>1</sup>

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

### 2.2 FISWG Standards:<sup>2</sup>

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

### 2.3 OSAC Standards:<sup>3</sup>

<sup>1</sup> For referenced ASTM standards, visit [www.nist.gov/osac/astm-launch-code](http://www.nist.gov/osac/astm-launch-code), or the ASTM website, [www.astm.org](http://www.astm.org), or contact ASTM Customer Service at [service@astm.org](mailto:service@astm.org). For Annual Book of ASTM.

<sup>2</sup> Available from Facial Identification Scientific Working Group (FISWG), <http://www.fiswg.org/documents>.

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

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

## 3. Terminology

### 3.1 Definitions:

3.1.1 *forensic report*—a document whose intent it is to provide information to assist a trier of fact (e.g., judge or jury).

3.1.2 *investigative lead report*—a document whose intent it is to provide information to operational personnel to assist them with meeting their objective (e.g., investigator, detective, or analyst).

## 4. Significance and Use

4.1 Documentation of a facial image comparison is generally performed by practitioners during a review or examination. Assessments are often undocumented due to the nature of the comparison.

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

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

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

## 5. Items to Document for a Facial Image Comparison

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

5.1 Case identifier

5.2 Date received

5.3 Date searched/compared

5.4 Date of image capture (if available)

5.5 Requestor name and contact information

5.6 Relevant case information (if provided)

5.7 Organization conducting examination

5.8 Practitioner(s) name and contact information

5.9 Details and scope of the request (if provided)

5.10 Source of image(s)

5.11 File name/identifier of image(s) received

5.12 Indication of whether a facial recognition (FR) search was conducted and the results

5.13 Database searched, and any image galleries within the database (if relevant)

5.14 Disclaimer – agencies should include their own disclaimer identifying the limitations of the comparison method used and the intended usage of the report

5.15 Reference to comparison method used

5.16 Description of the disposition of both received and processed image(s), and record of storage and retention

## **6. Analysis**

6.1 Determination of image suitability for facial recognition search or facial comparison

6.2 Image analysis documentation, to include, but not limited to, factors such as lighting conditions, image resolutions, obstructions, and pose

6.3 Indicate whether or not images meet agency specific requirements for comparison

6.4 Explanation for determination when images do not meet agency specific requirements

6.5 Processed image(s) (if applicable)

6.6 File name/identifier of processed image(s) (if applicable)

6.7 Steps taken to process image(s) (e.g., cropping, rotating, adjusting exposure)

## **7. Comparison**

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

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

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

## **8. Evaluation**

8.1 Opinion scale used

8.2 Definitions or information and interpretation of what supports an opinion (if applicable)

### 8.3 Opinion reached with reasoning

## 9. Verification

### 9.1 Verification in accordance with agency procedures

## 10. Additional Information

10.1 In accordance with an agency's data retention policies and quality management systems, additional information should be documented or saved (hardcopy/digital).

Examples include:

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

10.1.2 Received image(s)

10.1.3 Processed image(s)

10.1.4 Chain of custody

10.1.5 Software, algorithm, tools, or other technology utilized

10.1.5.1 Vendor name(s)

10.1.5.2 Version(s)

10.1.5.3 Specific configuration(s)

10.1.5.4 Date(s) implemented

10.1.5.5 Validation testing (if applicable)

10.1.6 Agency accreditation

10.1.7 Agency comparison method

10.1.8 Agency Standard Operating Procedures (SOP)

10.1.9 Practitioner qualifications

10.1.10 Training: proficiency and competency testing and results

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