

OSAC 2022-N-0009 Guide for Role Based Training in Facial Comparison

*Facial Identification Subcommittee
Digital/Multimedia Scientific Area Committee
Organization of Scientific Area Committees (OSAC) for Forensic Science*



Draft OSAC Proposed Standard

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GUIDE FOR ROLE BASED TRAINING IN FACIAL COMPARISON

This guide is issued under the fixed designation **X XXXX**; the number immediately following the designation indicates the year of original adoption or, in the case of revision, the year of last revision. A number in parentheses indicates the year of last re-approval. A superscript epsilon (ϵ) indicates an editorial change since the last revision or re-approval.

1. Scope

1.1 This guide will provide recommendations for a role-based training to achieve competency in facial comparison tasks.

1.2 This guide does not purport to address the specific content of an agency's training program but instead provides an overview of the structure of role-based training and levels of training. This document will not address the specific recommendations for role-based training, such as detailed topics or durations of supervised casework/mentorship programs.

1.3 The intended audience of this document is all personnel involved in facial comparison.

2. Terminology

See ASTM E2916-13 Standard Terminology for Digital and Multimedia Evidence Examination.

3. Summary of Practice

3.1 The consistent and reliable use of facial comparison methods and facial recognition technologies requires the appropriate training of personnel to competence. For a description of the different facial comparison roles, see Section 4.4. The level of training necessary to conduct facial comparison is dependent upon the source, quality, quantity, and complexity of the images that are being analyzed and the purpose of the analysis. Agencies may choose to provide additional training beyond what is recommended in this document.

3.2 Personnel who perform facial comparisons should be familiar with the capabilities and limitations of relevant tools, technologies, and methods. Those engaged in facial comparisons should be familiar with the procedures commonly followed. They should also be cognizant of, and adapt to, new developments. Additionally, trainers of those performing facial comparisons need advanced knowledge of these areas. In support of these goals, the following recommendations are offered to personnel engaged in this field:

3.2.1 Undertake validated aptitude testing to gauge innate ability prior to employment and/or enrollment in a facial comparison training program, when available. When validated aptitude testing is not available, aptitude testing should still be conducted. Validated or non-validated aptitude testing should continue throughout training to evaluate the trainee's ongoing development.

3.2.2 Adhere to a structured and documented training program for determining levels of competency.

- 44
45 3.2.3 Undertake a period of supervised casework/mentorship.
46
47 3.2.4 Maintain competency after training by pursuing applicable courses, undertaking
48 scheduled proficiency/competency testing, maintaining awareness of the current standards,
49 guidance and research relevant to facial comparison and participating in research when
50 possible.
51
52 3.2.5 Where applicable, define and employ a quality management system.
53
54 3.2.6 Maintain awareness of legal developments relating to the use of facial comparisons.
55

56 **4. Significance and Use**

57 4.1 There are three broad categories of facial comparison tasks: facial assessment,
58 facial review and facial examination, and all may involve interface with a facial recognition
59 system (FRS). The requirement for assessment, review or examination will be dependent
60 upon an agency's end-user requirement and the type and quantity of facial comparison
61 cases. The level of training for staff undertaking each of the three tasks differs. In addition,
62 managers and support personnel of persons performing facial comparisons also need to be
63 aware of the capabilities and limitations of specific tools, technologies, and methods.
64

65 4.2 Facial assessment, review and examination are defined in the ASTM E2916-13
66 Standard Terminology for Digital and Multimedia Evidence Examination.
67

68 4.3 Roles relevant to facial comparison include facial assessor, facial reviewer and
69 facial examiner. Additional roles may include administrative duties, policy or case
70 management. All relevant roles should be considered when developing a facial comparison
71 training program.
72

73 4.4 Below is a list of the different roles in a facial comparison environment. **These**
74 **are not job titles, but instead roles describing the tasks an individual may perform.**
75 Depending upon the organization of an agency one individual may perform multiple roles.
76 This list is not exhaustive and other agency specific roles may exist.
77

78 4.4.1 **Facial Assessor:** Performs a quick comparison of image-to-image or image-to-
79 person, typically with controlled images, carried out in screening and access control
80 applications or field operations. Due to limitations such as time constraints, assessors
81 perform the least rigorous of all of the facial comparison processes. For example, a person
82 at a port of entry or in the field using a mobile FR system to assist with an identity
83 verification.
84

85 4.4.2 **Facial Reviewer:** Performs a comparison of image(s)-to-image(s) generally
86 resulting from the adjudication of a candidate list generated by an FRS. The comparison
87 results are often used in either investigative and operational leads or intelligence gathering
88 applications.
89

90 4.4.3 **Facial Examiner:** performs a comparison of image(s)-to-image(s) using a rigorous
91 morphological analysis, comparison, and evaluation of images for the purpose of effecting
92 a conclusion, often used in a forensic application.

93
94 4.4.4 **Manager:** Sets agency policies and/or makes budget decisions.

95
96 4.4.5 **Supervisor:** Supervises and/or directs personnel engaged in the use of facial
97 comparison methods, tools, and/or technologies.

98
99 4.4.6 **Collector:** Obtains/captures source images to be used in facial comparisons.

100
101 4.4.7 **Technical reviewer:** Performs quality assurance review of the work product of
102 facial comparison.

103
104 4.4.8 **System administrator:** Performs the system administration required to implement,
105 maintain, and optimize the automated facial recognition program.

106
107 4.4.9 **Trainer:** Provides instruction in facial comparison methods, tools, and/or
108 technologies. Designs and implements competency and proficiency testing. Designs and
109 implements aptitude testing when validated aptitude testing is not available.

110
111 4.5 **Education Requirements:** In addition to an agency's own training and testing
112 programs the following may be desirable for facial examiners.

113
114 4.5.1 **Facial Examiners:** Agencies should consider recruiting facial examiners with a
115 minimum undergraduate degree or equivalent qualification, preferably in a relevant
116 scientific or technical subject such as human anatomy or imaging science, or, individuals
117 with substantial relevant work experience.

118
119 4.6 **Categories of Training:** A facial comparison training program can be broadly
120 defined as consisting of the following five categories. The specific content for each of these
121 categories will be dependent upon the role and the requirements of an individual agency,
122 but a high degree of consistency should exist between different agencies.

123
124 4.6.1 **Introductory overview:** The comprehension of the basics of facial comparison.

125
126 4.6.2 **Skills and abilities:** The ability to use applicable facial comparison tools, methods,
127 and technologies.

128
129 4.6.3 **Knowledge of processes:** The ability to select and apply the appropriate
130 information, skills and techniques for a given examination, from receipt of evidence
131 through to completion of the report and presentation at court when required.

132

133 4.6.4 Court preparation and presentation: The ability to prepare and review accurate and
134 reliable facial comparison evidence and/or present reliable facial comparison testimony in
135 court.

136
137 4.6.5 Instruction: The ability to instruct others in applicable areas of facial comparison
138 processes.

139
140 4.7 The level of assessment for each of the above categories will be dependent upon an
141 individual's role and type of task being performed. The levels of assessment for a facial
142 comparison training program can be defined as follows:

143
144 4.7.1 Awareness: General acquaintance with the relevant major elements of a given
145 method or technology to include specific capabilities and limitations.

146
147 4.7.2 Competency: Demonstration that an individual has acquired and demonstrated
148 specialized knowledge, skills, and abilities necessary to conduct examinations in a
149 discipline or category of testing prior to performing independent casework.

150
151 4.7.3 Proficiency: The ongoing evaluation and assessment of obtained competency, for
152 example by proficiency testing (ref ASTM glossary 2916).

153
154

155 **5. Minimum Training Recommendations**

156

157 5.1 Table 1 shows the level of assessment recommended for each role in the defined
158 categories of training. This table should be considered the minimum requirements for a
159 facial comparison training program.

160

161 Table 1 - Matrix of minimum training recommendations for roles being performed

162

163

	AW – Awareness	C – Competency	P – Proficiency	N/A – Not Applicable	
	Introductory Overview	Skills and Abilities	Knowledge of Processes	Court Presentation	Instruction
Manager	AW	AW	AW	AW	N/A
Supervisor	C	AW	AW	AW	AW
Collector	AW	P	C	AW	N/A
Facial Assessor (non-FR user)	AW	AW	AW	AW	N/A
Facial Assessor (FR user)	C	C	C	AW	N/A
Facial reviewer	P	P	P	C	N/A
Facial examiner	P	P	P	P	N/A
Technical reviewer	P	P	P	P	N/A
System administrator	AW	AW	AW	N/A	N/A
*Trainer	P	P	P	P	P

164

*A trainer needs to be proficient at the role they are instructing.

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166 **6. Keywords**

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Training, Facial Identification, Facial Comparison, Proficiency Test