

1
2
3
4
5
6
7
8
9
10
11
12
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28
29
30
31

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: FISWG@yahoogroups.com

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.

32

33

34

35

36

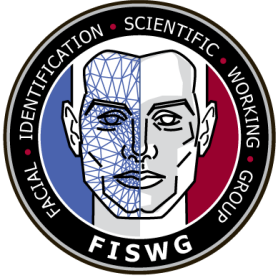
37

38

39

40

41



STANDARD FOR FACIAL IDENTIFICATION AND FACIAL RECOGNITION PROFICIENCY TESTING PROGRAMS (Facial Identification and Facial Recognition)

41 Preamble

42 Proficiency testing is part of a quality assurance program an organization must have in
43 place. A proficiency testing program is a reliable means of measuring each person's ability
44 to perform work and identifies areas where improvements may be needed. Proficiency
45 testing is part of an overall quality assurance program that includes continuing training and
46 education. This document provides a standard for a proficiency testing program, which
47 includes planning, design, administration, evaluation, documentation, and corrective action.

48 1 Scope

49 **1.1** A proficiency test program is intended to evaluate an individual person's
50 application of an FR review or FI examination methodology and the
51 organization's FI or FR procedures.

52 **1.2** Only persons trained to competency will be tested.

53 2 Program Plan

54 An organization must write a plan to encompass the testing program. At a minimum, a
55 proficiency testing program plan must include the following:

- 56 - Who is to be tested
- 57 - Frequency of testing
- 58 - The knowledge, skills, abilities to be tested
- 59 - Test design
- 60 - Test materials
- 61 - Test format
- 62 - Test source
- 63 - Test administration
- 64 - Test validation
- 65 - Analysis of the test results
- 66 - Feedback of the test results to the person tested
- 67 - Corrective actions
- 68 - Documentation
- 69 - Criteria for successful completion

70

71 3 Test Design

72 **3.1** Tests may be developed in-house or obtained from an external source.

73 **3.2** Test material shall be representative of normal business processes or casework and:

- 74 **3.2.1** Include multiple unknown and reference face pairs
- 75 3/2/2 Include multiple unknown probe and .candidate list that may or may not
- 76 contain the match to the probe
- 77 **3.2.2** Be inclusive of all the levels of detail (excellent, typical, and poor
- 78 quality/clarity and quantity of information).
- 79 **3.3** Other considerations
- 80 **3.3.1** Tests should include grayscale and color facial images.
- 81 **3.3.2** Tests should include varying degrees of difficulty level.
- 82 **3.3.3** Tests should include facial images from different persons that bear
- 83 resemblances.
- 84 **3.3.4** Tests should include both match and non match pairs
- 85
- 86 **3.4** Test reporting form:
- 87 **3.4.1** Must include the conclusions.
- 88 **3.4.2** May include the organization's documentation, reporting, and evidence
- 89 handling procedures.
- 90
- 91 **3.5** Test material
- 92 For any given round of proficiency testing all participants must be provided with the
- 93 same materials.
- 94 **3.6** Test Validation
- 95 **3.6.1** The ability of a test to reliably assess individual performance shall be
- 96 validated prior to final production and distribution.
- 97 **3.6.2** Validation is accomplished through pre-distribution testing of three or more
- 98 persons, preferably from different organizations. To validate the test, pre-
- 99 distribution test results shall correspond with the preparer's specifications.
- 1004 **Test Administration**
- 101 **4.1** Each person trained to competency for FR or FI work must be tested at least
- 102 annually.
- 103 **4.2** Undue time constraints should not be imposed.
- 104 **4.3** All conclusions must be those of the examiner without consultation.
- 105 **4.4** Verification, when part of an organisation's procedures is permitted and must be
- 106 documented.
- 107 **4.5** Test location and conditions should reflect a normal working environment.
- 108 **4.6** Tests shall be administered in one of the following three formats:
- 109 **4.6.1** Open. In open testing, examiners are aware they are being tested.

110 **4.6.2** Blind. In blind testing, examiners are not aware they are being tested.

111 **4.6.3** Double-blind. In double-blind testing, the examiner and the unit are not
112 aware they are being tested.

113 **5 Test Evaluation**

114 **5.1** Criteria for successful completion shall be defined in the program plan. Individuals
115 should use their agency approved or standard scale of conclusions. The range of this
116 scale must be included and explained in their report documentation. Decisions that
117 one or more of an image pair are too poor for comparison purposes will be
118 acceptable depending on an agency's policy, test design, and test purpose.

119 **5.2** Corrective actions

120 **5.2.1** Corrective action must be taken when an erroneous individualization or
121 exclusion occurs.

122 **5.2.2** Other departures from the expected results must be reviewed for corrective
123 action.

124 **5.2.3** Administrative and clerical errors must be reviewed for corrective action.
125

126 **6 Documentation** 127

128 The following should be documented:

- 129 - Program plan
- 130 - Program director
- 131 - Test designers
- 132 - Test validation results
- 133 - Test participants
- 134 - Date tested
- 135 - Test materials
- 136 - Test results
- 137 - Test feedback
- 138 - Reviews, inquiries, and corrective actions
- 139 - Test record maintenance