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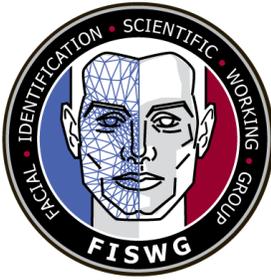
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Section 7

Recommendations for a Training Program in Facial Comparison

Purpose

The consistent and reliable use of facial comparison methods and facial recognition technologies requires the appropriate training of personnel to competence. The purpose of this document is to provide recommendations for training programs. It should be recognized that some agencies may choose to provide additional training beyond what is recommended in this section.

Introduction

Personnel who perform facial comparisons must be familiar with the capabilities and limitations of specific tools, technologies, and methods. Those engaged in facial comparisons should be familiar with the procedures commonly followed. They should also endeavor to 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:

- ▶ Adhere to established methods for determining levels of competency.
- ▶ Maintain proficiency by pursuing applicable courses.
- ▶ Maintain awareness of the current standards, to include the reporting of conclusions.
- ▶ Define and employ quality assurance programs to ensure the implementation of valid and reliable procedures for the task.
- ▶ Maintain awareness of legal developments relating to the use of facial comparisons.

Managers and support personnel of persons performing facial comparisons need to be aware of the capabilities and limitations of specific tools, technologies, and methods. There are several categories that comprise facial comparison training, this is also true of users and consumers. The following three sections address these topics.

Categories of Training

- ▶ Introductory overview: The comprehension of the basics of facial comparison.
- ▶ Skills and techniques: The ability to use applicable facial comparison tools, methods, and technologies.
- ▶ Knowledge of processes and relationships: The ability to select and apply the appropriate skills and techniques.
- ▶ Court preparation and presentation: The ability to prepare and review accurate and reliable facial comparison evidence and/or present reliable facial comparison testimony in court.
- ▶ Instruction: The ability to instruct others in applicable areas of facial comparison processes.

Categories of Users/Consumers

Note that these are not job titles, but instead describe the tasks that the individual is performing.

- ▶ Manager: Sets agency policies and/or makes budget decisions.
- ▶ Supervisor: Supervises and/or directs personnel engaged in the use of facial comparison methods, tools, and/or technologies.
- ▶ Collector: Obtains/captures source images to be used in facial comparisons.
- ▶ Point of entry controller: Performs review of facial image(s) against an individual presented at a location in a high-throughput environment (e.g., border crossing).
- ▶ Facial reviewer: Evaluates one-to-many galleries either manually or with the assistance of an automated facial recognition system. This can be done either in an investigative capacity, where there may be further information available, or in an actionable capacity, where an action may be taken based directly on this review.
- ▶ Facial examiner: Performs a rigorous one-to-one analysis, comparison and evaluation of controlled and uncontrolled images for the purpose of effecting a conclusion.
- ▶ Technical reviewer: Performs quality assurance review of the work product of facial comparison.
- ▶ System administrator: Performs the system administration required to implement, maintain, and optimize the automated facial recognition program.
- ▶ Trainer: Provides instruction to others in facial comparison methods, tools, and/or technologies.

Levels of Assessment

- ▶ Awareness: General acquaintance with the relevant major elements of a given method or technology to include specific capabilities and limitations.
- ▶ Competency: Standardized requirements to perform a specific job.
 - A course should be approved by the agency to provide the skills and information necessary for the agency's personnel to attain competency in those skills. These skill levels should be driven by the requirements of the specific tasks to be accomplished.
- ▶ Proficiency: Includes, but is not limited to, the following components:
 - Documented proof of proficiency, such as a proficiency test, should be developed and administered to assess these skills. This should be determined based on agency and/or position requirements.
- ▶ Certification: The FISWG does not endorse a standard certifying body for facial comparison. However, it is recommended that agencies/organizations developing certifications utilize FISWG standards.

Matrix of Minimum Training Recommendations for Tasks Being Performed:

A – Awareness

C – Competency

P – Proficiency

N/A – Not Applicable

	Introductory Overview	Skills and Techniques	Knowledge of processes and relationship	Court Preparation and presentation	Instruction
Manager	A	A	A	A	N/A
Supervisor	C	A	A	A	A
Collector	A	P	C	C	N/A
Point of entry controller	C	A	A	N/A	N/A
Facial reviewer	P	C	C	A	N/A
Facial examiner	P	P	P	P	N/A
Technical reviewer	P	P	P	P	N/A
System administrator	A	A	A	N/A	N/A
Trainer	P	P	P	P	P

**note: this is subject to agency requirements*

The following provides key elements to include in training for the roles listed.

Manager

- ▶ Legal, liability, privacy, and information quality issues
- ▶ Strengths and weaknesses of biometric systems, capture/collection devices, and current life cycle-cost comparisons and limitations
- ▶ Capabilities of facial comparison versus recognition
- ▶ Actions to avoid and/or lessons learned

Supervisor

- ▶ Training requirements for those engaged in facial comparisons
- ▶ Strengths and weaknesses of biometric systems and image capture/collection devices
- ▶ Capabilities of facial comparison versus recognition

Collector

- ▶ Operation of imaging equipment with an understanding of its capabilities and limitations

- ▶ Image quality standards¹
 - Minimum requirements for image enrollment for the facial recognition system in use
- ▶ Proper preservation of the images
- ▶ Creation and maintenance of applicable chain of custody

Point of entry controller

- ▶ Limitations of the imaging process (e.g., perspective differences)
- ▶ Effects of biological and environmental changes on appearance

Facial image reviewer

- ▶ Job specific training in facial comparison
- ▶ Training on proper use of applicable facial recognition system
- ▶ Capabilities of facial comparison versus recognition
 - Processes of deriving conclusions between facial comparison vs recognition
- ▶ Limitations of the imaging process (e.g., perspective differences)
- ▶ Applicable legal issues

Facial image examiner

- ▶ Job specific training in facial comparison
- ▶ Capabilities of facial recognition versus identification
 - Processes of deriving conclusions for facial comparison
- ▶ Limitations of the imaging process (e.g., perspective differences)
- ▶ Applicable legal issues
 - Proper preparation and presentation of materials
 - Knowledge of relevant judicial decisions
- ▶ Competency demonstration through successful completion of agency defined training
- ▶ Proficiency demonstration through testing

Technical reviewer

- ▶ The technical reviewer should know the relevant topics listed previously for their function (i.e. Facial Review, Facial Examination, Point of Entry Controller, Collectors)

System administrator

- ▶ Status of biometric technology
 - Extent of use and who are the users and vendors
 - Applicable legal issues (e.g., chain of custody)
- ▶ Strengths and weaknesses of biometric systems and image capture/collection devices
- ▶ Image quality standards
 - Minimum requirements for image enrollment for the facial recognition system in use
- ▶ Proper preservation of the images and databases
- ▶ Maintenance of applicable chain of custody procedures

¹ FISWG document, "Capture and Equipment Assessment for Face Recognition Systems"

Trainer

The trainer should know the relevant topics listed previously for their audience, in addition to the following:

- ▶ Development of proficiency exams
- ▶ Development of training evaluation processes
- ▶ Development of continuing education requirements
- ▶ Development of testimony training

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