

Adapting the Chumbley Score to Bullet Striations

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April 21, 2018

Objective and Motivation

- ▶ Same Source Matching of Bullet lands
- ▶ Evaluate performance of Chumbley Score method when used for Bullet Striations
- ▶ Bullet striations have curvature, not present in toolmarks
- ▶ Identify Error rates and effect of different parameters on them
(In short finding the best error rates possible)

Structure

- ▶ Data being used
- ▶ What is the Chumbley Score Method?
- ▶ Identifying Best parameter Settings for Bullets
- ▶ Modifications to the Algorithm
- ▶ Results using Hadler and Morris [2017] method and results using Modified method

Variations of Chumbley score method and Error Rates for toolmarks

Research paper	Method	Data Source	False Positives	False Negatives
Faden et al. [2007]	Maximized Correlation	Screwdrivers	-	-
Chumbley et al. [2010] (Same-Surface Same-Angle)	Randomized Chumbley Score	Screwdrivers	2.3%	8.9%
Grieve et al. [2014]	Randomized Chumbley Score	Slip-joint	-	-
Hadler and Morris [2017] (Same-Surface Same-Angle)	Deterministic Chumbley Score	Screwdrivers	0%	6%

Table 1: Error Rates for Toolmarks using variations of the chumbley score method

Digitized Striation Marks

- ▶ Data
 - ▶ Ruger P85s Bullet Lands, or Hamby scans (Hamby et al. [2009]) provided by NIST (85,491 comparisons)
 - ▶ Bullet striation marks $\approx 2\text{mm}$
 - ▶ Screwdriver marks $\approx 7\text{mm}$ (all chumbley score papers)
- ▶ Let $x(t_1)$, $t_1 = 1, 2, \dots T_1$ and $y(t_2)$, $t_2 = 1, 2, \dots T_2$ be two digitized marks (where T_1 and T_2 are not necessarily equal).
- ▶ T_1 and T_2 are the final pixel indexes of each marking. Therefore give the respective lengths of the markings.
- ▶ Signatures/ Profiles (NIST- Hamby) ≈ 1200 pixels (2 mm)
Screwdriver toolmarks (Chumbley Papers) ≈ 9000 pixels (7 mm)

Chumbley Score

Step 0 : Defining a coarseness parameter

- ▶ Used to remove drift and (sub)class characteristics from individual markings
- ▶ Lowess or Loess fit residuals = Signatures
- ▶ Removes topographic structure (curvature)
- ▶ Improve the signal to noise Ratio

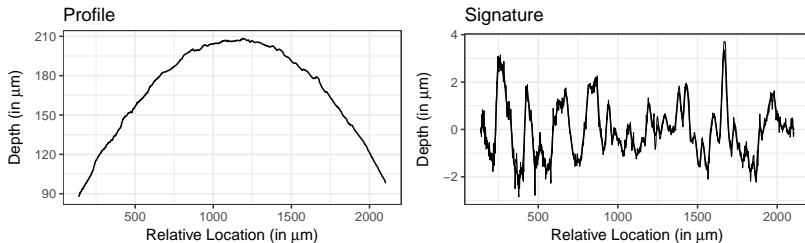


Figure 1: Bullet land profile (left) and the corresponding signature (right).

Algorithm

- ▶ Two steps: Optimization (1st) and Validation (2nd).
- ▶ Windows \implies short segments of the markings
 - ▶ Have *predefined sizes*. (T_1 or $T_2 \gg w_o$ & w_v)
 1. w_o used in the Optimization step
 2. w_v used in the Validation step

Optimization step

- ▶ **Goal** :Align markings horizontally as best as possible
- ▶ Correlation Matrix of all possible windows of size w_o between $x(t_1)$ and $y(t_2)$ computed
- ▶ *Identify lag for horizontal alignment*

Window Pair with maximized correlation \implies

Optimal vertical (in-phase) shift of $t_1^o - t_2^o$

- ▶ For aligning the two markings.

$$(t_1^o, t_2^o) = \arg \max_{1 \leq t_1 \leq T_1, 1 \leq t_2 \leq T_2} \text{cor}(x^{w_o}(t_1), y^{w_o}(t_2))$$

where t_1^o, t_2^o are the respective starting points of w_o in $x(t_1)$ and $y(t_2)$

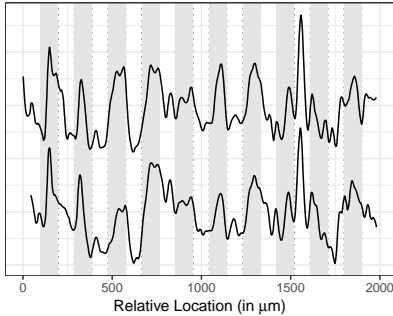
- ▶ Let t_1^* and t_2^* be relative optimal locations, where $t_i^* = t_i^o / (T_i - w_o)$ for $i = 1, 2$, such that $t_1^*, t_2^* \in [0, 1]$.
- ▶ Once (sub-)class characteristics are removed, these locations have uniform distribution in $[0, 1]$

Validation Step

- ▶ Two sets of windows of size w_v chosen from both markings (see Figure 2)
- ▶ First set or **Same Shift**
 - ▶ pairs of windows are extracted from the two markings using the optimal vertical shift. $t_1^o - t_2^o$
- ▶ Second set or **Different Shift**
 - ▶ the windows are extracted using a different (out-of-phase) shift.

In-phase and Out-of-phase

In-phase sample



Out-of-phase sample

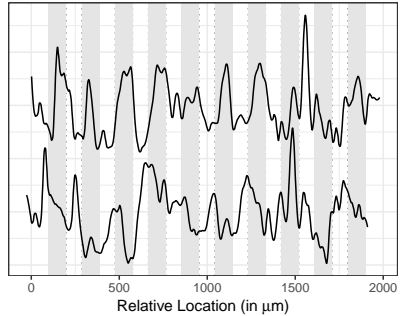


Figure 2: Two markings made by the same source. For convenience, the markings are moved into phase on the left and out-of phase on the right. In-phase (left) and out-of-phase (right) samples are shown by the light grey background. The Chumbley-score is based on a Mann-Whitney U test of the correlations derived from these two sets of samples.

- ▶ Both same- and different-shift pairs correlations between the markings are calculated.
- ▶ For Same-Source markings, correlations
 - ▶ for the in-phase shift should be high
 - ▶ for out-of-phase shift should be low.
 - ▶ Provide a measure for the base-level correlation to which in-phase shift correlations can be compared.
- ▶ The Chumbley score is the Mann Whitney U statistic computed by comparing between in-phase sample and out-of-phase sample.

Block Diagram

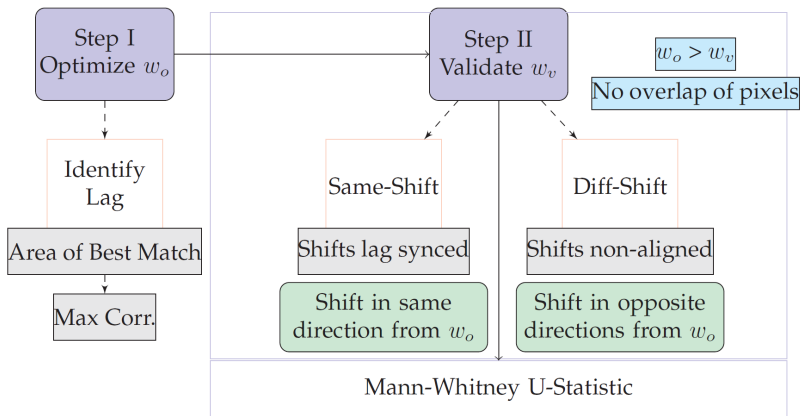


Figure 3: An overview of the adjusted chumpley score method as given by Hadler and Morris [2017]

Starting Points

More precisely, let us define starting points of the windows of validation $s_i^{(k)}$ for each marking $k = 1, 2$ as

$$s_i^{(k)} = \begin{cases} t_k^o + iw_v & \text{for } i < 0 \\ t_k^o + w_o + iw_v & \text{for } i \geq 0, \end{cases} \quad (1)$$

for integer values of i with $0 < s_i^{(k)} \leq T_k - w_v$ where $s \in \mathbb{Z}$

The Hadler and Morris [2017] method (CS1)

- ▶ Same-shift pairs of length w_v are all pairs that start in:

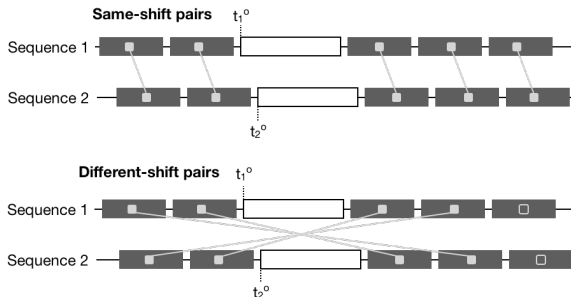
$$(s_i^{(1)}, s_i^{(2)}) \quad \forall i \in \mathbb{Z}$$

for which both $s_i^{(1)}$ and $s_i^{(2)}$ are defined.

- ▶ Different-shift pairs are defined as

$$(s_i^{(1)}, s_{-i-1}^{(2)}) \quad \forall i \in \mathbb{Z}$$

where both $s_i^{(1)}$ and $s_{-i-1}^{(2)}$ are defined (see fig. 4).



Failed Tests

- ▶ By definition (equation 1), some number of tests fail to produce a result
- ▶ Either because the number of eligible same-shift pairs is 0, or the number of different-shift pairs is 0.
- ▶ t_1^o, t_2^o not necessarily independent
 - ▶ **same-source:** Assume high dependence, $\text{corr}(t_1^o, t_2^o) \approx 1$
 - ▶ Example: $w_o = 120$, coarseness (c) = 0.3, $\text{corr}(t_1^o, t_2^o) = 0.85$
 - ▶ **diff-source:** Assume independence of t_1^o, t_2^o
 - ▶ Example: $w_o = 120$, coarseness (c) = 0.3, $\text{corr}(t_1^o, t_2^o) = 0.12$

Failure Rate

$$P\left(t_1^o < w_v \cap t_2^o > T_2 - w_o - w_v\right) + \\ P\left(t_1^o < T_1 - w_o - w_v \cap t_2^o < w_v\right).$$

Same-shift failure

- ▶ Same-source ≈ 0
- ▶ Different-source $\approx 2 P(t_i < w_o)^2 = \frac{2w_v^2}{(T_1 - w_o)(T_2 - w_o)}$

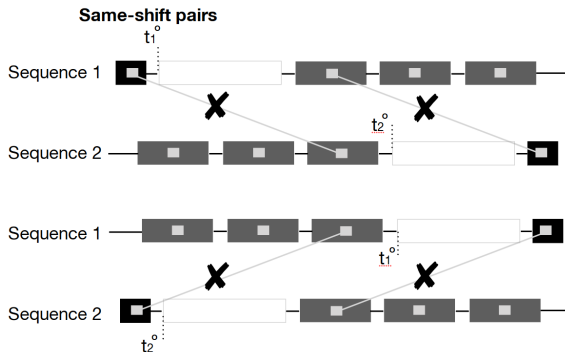


Figure 5: Sketch of same-shift pairings (top) when the lag is too large to accomodate a a vaildation window in either of the two signatures

Different-Shift Failure

► Same-source (Assuming $t_1^o \approx t_2^o \approx 2w_v/(T_i - w_o)$)

$$P(t_1^o < w_v \cap t_2^o < w_v) + P(t_1^o < w_v \cap t_2^o < w_v) = 2P(t_1^o < w_v)$$

► Different-source $\approx 2P(t_i < w_o)^2 = \frac{2w_v^2}{(T_1 - w_o)(T_2 - w_o)}$

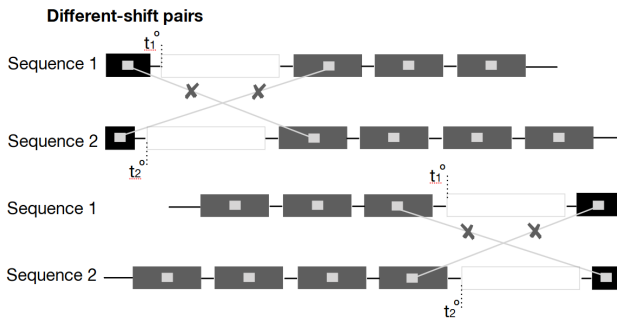


Figure 6: Sketch of diff-shift pairings (top) when the number of diff-shift computations is likely to 0

Proposed Modification

- ▶ Failures due to missing Same-shift pairs unavoidable
- ▶ Failures due to missing different-shift pairs preventable

Define same-shift pairs identical to Hadler and Morris [2017] as pairs

$$(s_i^{(1)}, s_i^{(2)}) \quad \forall i \in \mathbb{Z}$$

where the boundary conditions of both sequences are met simultaneously.

- ▶ Let us assume that this results in I pairs.
- ▶ Let $s_{(j)}^{(k)}$ to be the j th starting location in sequence $k = 1, 2$,
i.e. $s_{(1)}^{(k)} < s_{(2)}^{(k)} < \dots < s_{(I)}^{(k)}$.

We then define the pairs for different-shifts as

$$\left(s_{(j)}^{(1)}, s_{(l-j+1)}^{(1)}\right) \text{ for } j = \begin{cases} 1, \dots, l & \text{for even } l \\ 1, \dots, (l-1)/2, (l-1)/2 + 2, \dots, l & \text{for odd } l \end{cases} \quad (2)$$

- ▶ For an odd number of same-shift correlations
 - ▶ We skip the middle pair for the different-shift correlations (see fig. 7).
- ▶ This pairing ensures that the number of different-shift pairings is the same or at most one less than the number of same-shift pairings in all tests.

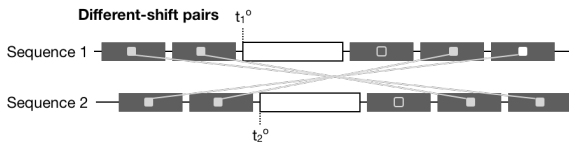


Figure 7: Sketch of adjusted different-shift pairings. At most one of the same-shift pairings can not be matched with a different-shift pair.

Case where CS1 fails but CS2 does not fail

CS1 Hadler and Morris [2017] algorithm

CS2 the suggested modified algorithm

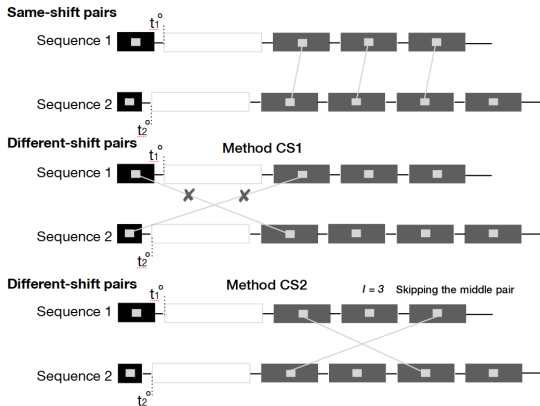


Figure 8: Sketch of a case where CS1 fails but CS2 does not fail

Results Failed Tests

Conclusions Failed Tests

- ▶ The number of failed tests is highly dependent on the size of the comparison windows and is correlated to the ground truth,
- ▶ Higher for known same-sourced lands than for known different sourced lands.
- ▶ The **CS1** algorithm fails to conduct a test about 8 to 13 % of the time for known same-source lands, and 2 to 6% of the time for known different source lands.
- ▶ number of failed tests for CS1 is always higher than the corresponding theoretical number of failed tests.
- ▶ Using CS2, the case with **largest** # of failed tests is still **lower** than the case where CS1 gives the **lowest** # of failed tests
- ▶ Even when the coarseness is high, CS2 will have lower number of failed tests than CS1, Making it more robust.
- ▶ CS2 performs better for both same and different-sources
- ▶ Solves a critical issue of CS1 known same-source matching, by having a negligible number of Known same-source failed tests

Coarseness

- ▶ Remove (sub-)class characteristics from profiles before comparisons for matching.
- ▶ Hadler and Morris [2017] suggest a coarseness parameter of 0.25 for toolmark comparisons.
- ▶ For bullet lands, coarseness might need to be adjusted because of the strong effect bullet curvature has on profiles.
- ▶ Optimal locations are distributed uniformly once (sub-)class characteristics are removed.
- ▶ Distinct boundary effects: $c > 0.20$ optimal locations t^* are found at the very extreme ends of a profile more often than one would expect based on a uniform distribution. -smaller coarseness value of $c = 0.15$ to be suitable

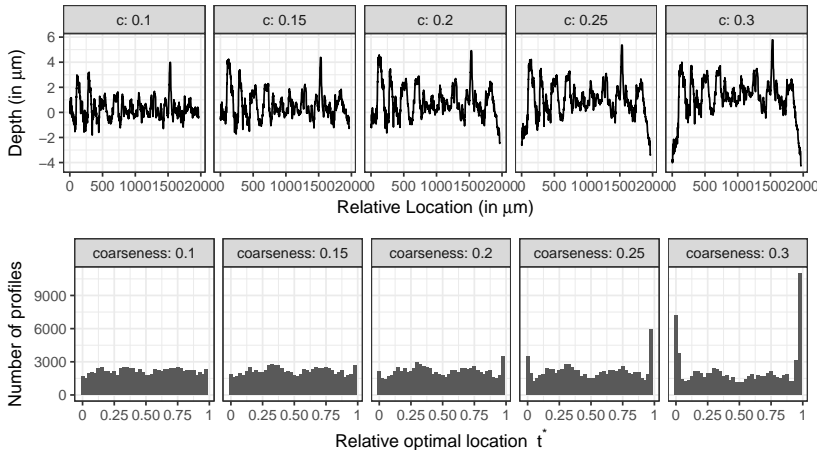


Figure 9: Overview of the effect of different coarseness parameters c on the profile shown in Figure 1 (top). The bottom row shows histograms of the (relative) optimal locations t^o identified in the optimization step for different values of the coarseness parameter c .

Type II error rates

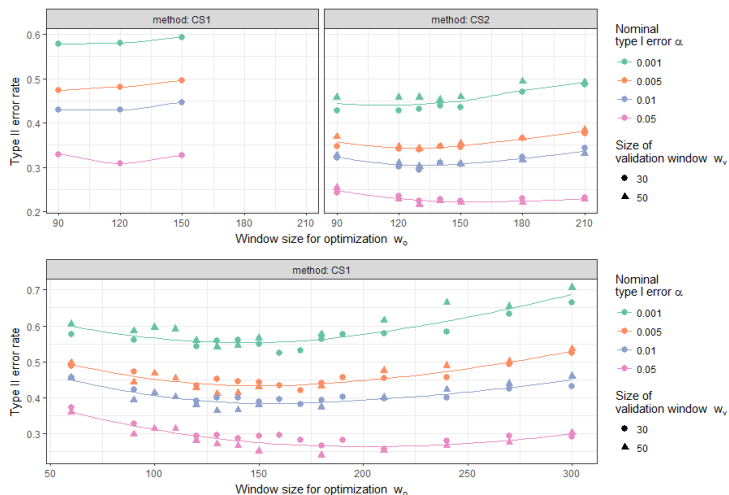


Figure 10: Type 2 error of methods CS1 and CS2 across a range of different optimization windows w_o . Top two figures are for a **coarseness** ≈ 0.15 and the bottom one is for 0.3

Conclusions for Type II Error

CS1

- ▶ Best works for w_o of ≈ 130 to 160 and w_v 50 when the smoothing is $c \approx 0.3$.
- ▶ The Type II rate is lowest for a nominal α of 5%, with type I error rate of 6.2% and the Type II error rate of 24%.
- ▶ For lower nominal alpha levels of 1%, 0.5% and 0.1% the lowest type II error rate increases to about 36.4%, 41% and 52.5% respectively.
- ▶ Gets worse for coarseness 0.15

CS2

- ▶ For a window size of $w_o = 130$ we see a minimum in type II error rate across all type I rates considered.
- ▶ Smaller validation sizes w_v are typically associated with a smaller type II error.
- ▶ CS2 shows an increase in the power of the test.
- ▶ Fix in CS2 will also improve power for matching toolmarks.
- ▶ While significantly reduced over CS1, CS2 still has type 2 error rates on bullet lands that are higher than the error rates achieved on the -much larger- toolmarks.
- ▶ Might be able to get more power out of the test by adapting C2 in a bullet-to-bullet comparison.

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