

Racial Bias Audit for the Albany, NY, Police Department

RFP #: 2020-19

July 31, 2020

Submitted to:

City of Albany's Office of Audit and Control
c/o Laura M. Gulfo, Esq.
Assistant Corporation Counsel
City Hall - Room 106
24 Eagle Street
Albany, New York 12207

Submitted by:

CNA
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I, the undersigned, being duly authorized to submit this application on behalf of the CNA Corporation, hereby represent and certify that all required documents have been submitted and, to the best of my knowledge, are true, are complete, and accurately describe the proposed project.

Nicholas W. Hunter

Nicholas W. Hunter

This proposal includes data and intellectual property that shall not be disclosed outside the government and shall not be duplicated, used, or disclosed – in whole or in part – for any purpose other than to evaluate this proposal. If, however, a contract or grant is awarded to this offer or as a result of – or in connection with – the submission of these data and intellectual property, the government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the government's right to use information contained in this proposal if it is obtained from another source without restriction.

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Cover letter

July 30, 2020

Laura M. Gulfo, Esq.
Assistant Corporation Counsel
City Hall - Room 106
24 Eagle Street
Albany, New York 12207

Dear Ms. Gulfo:

CNA is pleased to submit the attached proposal in response to the City of Albany's *Request for Proposals for the Provision of Racial Bias Audit Services*. CNA is a nonprofit research organization with a strong history of delivering high-quality, independent, and objective reviews of police policy, training, operations, and real-world incident response to local jurisdictions and federal agencies. As a leader in the field of justice system research, including racial bias, CNA has played an important role in building innovative and effective policing principles and practices through our research, analysis, and support to national training and technical assistance programs.

Our project team will be led by Zoë Thorkildsen, an expert in analyzing and understanding racial disparities in law enforcement. She serves as project director for the Maricopa County, Arizona, Sheriff's Office traffic stops racial disparity analysis; supported a racial bias audit of the Charleston, South Carolina, Police Department; worked with the Philadelphia Police Department and other Collaborative Reform Initiative sites; and led the after action review for the 2014 ambush of two Las Vegas Metropolitan Police Department officers.

Supporting Ms. Thorkildsen as an advisor is William Taylor, former superintendent of the Lowell, Massachusetts, Police Department, and Bridgette Bryson, an experienced analyst bringing expertise conducting analyses of law enforcement policy and practice.

CNA appreciates the opportunity to participate in this important solicitation. Providing objective, independent analyses is our core mission. We welcome the opportunity to clarify our proposal at any time, and provide additional material (such as full-length resumes of our proposed staff). Please do not hesitate to contact me via email at berest@cna.org or by phone at 703-824-2966 if you have any questions about this submission. Thank you for your consideration.

Sincerely,



Timothy L. Beres
Executive Vice President
CNA Institute for Public Research

1. Statement of Qualifications

The deaths of George Floyd and Breonna Taylor—and the resulting nationwide protests and unrest, including in the City of Albany—have highlighted the urgent need for accountability, transparency, and legitimacy in policing. The City of Albany, also challenged by perceived racial bias and citizen mistrust,¹ has recognized this need and has issued a request for proposals for a racial bias audit of the Albany Police Department (APD), including a thorough review of protocols, practices, and behaviors. This review will culminate in a report to the City that includes findings, observations, and recommendations for policy, procedure, and structural changes to APD to ensure that the department uses best practices and sound policies and procedures in all phases of its work.

The City of Albany, its community members, and the APD will benefit from CNA’s independent, objective, and evidence-based approach to understanding bias and disparities in law enforcement policy and practice. CNA's experience and expertise conducting reviews in collaboration with agencies, local government, and the community ensure that the City of Albany will receive thoroughly researched findings accompanied by practical, actionable recommendations. At this critical juncture for police reform and accountability, it is essential that APD engage with an organization that has sound methodologies, a history of achieving successful reform, and credibility with affected communities. CNA’s Center for Justice Research and Innovation has the qualifications, direct relevant experience, and strong record of leadership and success in police reform that are necessary to produce such a review and report for APD. Additionally, our team is already familiar with Albany and APD from past work with the city and police department, enabling us to build on existing relationships to execute this audit in a timely manner.

1.1 History and description of CNA

CNA is a not-for-profit research and analysis organization with more than 75 years of experience providing objective analysis and strategic consulting services addressing high-profile, challenging, and complex issues for local, state, and federal clients. CNA is headquartered in Arlington, Virginia, with a location in Washington, DC, and staff members located throughout the US. Founded in 1942, CNA pioneered the field of operations research. Originally supporting the Department of Defense, we continue to use field-based applied research principles for our work in law enforcement and justice, public health, emergency preparedness, data and systems analysis, and other diverse topics. CNA employs more than 650 professional staff, including scientists, analysts, technical and support personnel, and experts in law enforcement, policing, homeland security, emergency management, public health, transportation, law, and information technology.

CNA has two operating units: the Institute for Public Research and the Center for Naval Analyses. The APD racial discrimination assessment will be performed under the Institute for Public Research, Center for Justice Research and Innovation (JRI). CNA operates JRI under the leadership of Center Director Dr. James R. “Chip” Coldren, Assistant Director Vivian Elliott, and Chief Scientist Dr. Scott Decker. From our work with over 450 law enforcement agencies nationwide, our team has built up extensive experience in organizational assessment and analysis, as well as specialized topics such as racial bias analysis, policy and

¹ A report from 2019 by the Center for Law and Justice describes the disproportionate criminalization of people of color in Albany, exhibited through arrests, detentions, convictions, and incarcerations. In addition, a recent survey of Albany residents showed strong feelings of mistrust towards the APD and the Albany County District Attorney’s Office.

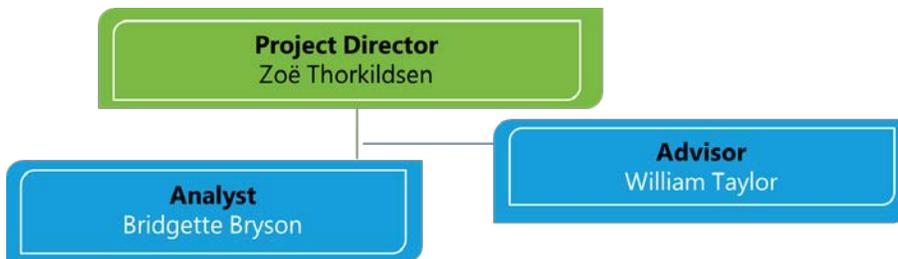
practice review, and policing for the future. We recently conducted a racial bias audit of the Charleston, South Carolina, Police Department, and we provide ongoing support to the Maricopa County, Arizona, Sheriff’s Office (MCSO) analyzing the Office’s traffic stops for evidence of racial disparity. We also serve on the Albuquerque and Chicago Consent Decree Monitoring Teams. Through work of this type, CNA has become a recognized leader in helping police departments run efficiently and effectively while meeting the needs of communities and performing evaluations of policing effectiveness. Our extensive racial bias and policing assessment experience and our familiarity and relationships with APD (having supported the department in enacting 21st century policing principles through a federally funded initiative) will enable CNA to execute the work efficiently and provide the requested services to the City in a timely fashion.

CNA's Center for Justice Research and Innovation is a nationally recognized leader in policing reform, police science and technology, police assessment, and policing effectiveness evaluations, and we excel at transferring research findings into readily usable policies and practices.

1.2 Proposed personnel

Zoë Thorkildsen, an experienced project director and law enforcement analyst, will lead our team. She is an expert in racial bias analysis, having completed racial bias audits for organizations such as the Maricopa County Sheriff’s Office and the Charleston Police Department. William Taylor, the former superintendent of the Lowell, Massachusetts, Police Department will serve as an advisor, providing expert insight on law enforcement operations, policy, and practice, as well as familiarity with the region. Analyst Bridgette Bryson will also support the audit, bringing expertise in qualitative and quantitative data analysis as well as policy review. Each team member is available and committed to executing the audit if CNA is selected for this engagement. In the remainder of this section, we provide more detail on our team’s qualifications as well as resume summaries. Figure 1 presents our team structure. Complete resumes are available upon request.

Figure 1. Team structure



Ms. Zoë Thorkildsen, project director, is an expert in statistical methods for analyzing racial disparities in law enforcement actions. As the project director for the Maricopa County Sheriff’s Office traffic stop analysis project, she leads the development of analytical methodology and offers analytical guidance to identify disparities in traffic stop patterns and outcomes. Ms. Thorkildsen also led the quantitative analysis for a racial bias audit performed for the Charleston Police Department, which aimed to uncover disparate behavior related to race, and she supported analyses of the department’s policies and data systems. Ms. Thorkildsen has conducted extensive analysis of law enforcement data, including analyzing



investigative stops, motor vehicle stops, searches, arrests, use of de-escalation tactics, use of force incidents, internal and external complaints, discipline findings, and recruitment and hiring. She has considerable experience working with law enforcement agencies and other criminal justice stakeholders for both research and training and technical assistance purposes through her work on, for example, the Collaborative Reform Initiative (for which she supported policy and practice reviews for the Fayetteville, Spokane, Las Vegas, and Philadelphia police departments), the National Public Safety Partnership (PSP) (for which she leads assessment, accountability, and sustainability planning), and the Strategies for Policing Innovation (SPI) program. She was also the co-principal investigator for a study on corrections officer safety related to use of safety equipment, which involved a review of correctional facility policies on equipment and safety. Ms. Thorkildsen has a master's degree in economics and is currently pursuing a PhD in public policy and public administration from the George Washington University.

Superintendent (ret.) William “Bill” Taylor, advisor, will provide executive policing expertise and guidance on this project, drawing on his 36 years of law enforcement experience. He served as superintendent of the Lowell Police Department for five years, leading 232 sworn and 98 non-sworn personnel in serving a multicultural population of 106,000. He also served as a uniformed patrol officer, detective, sergeant, lieutenant, captain, and provisional deputy superintendent. Throughout his career, Superintendent Taylor has been known as an innovative leader who is passionate about the welfare of Lowell citizens. As superintendent, he restructured the department into a national model for community policing, based on prevention, problem-solving, and partnerships. Under Superintendent Taylor’s leadership, the Lowell Police Department accomplished three consecutive years of double-digit crime reduction, significantly reduced fear of crime by community members, and expanded police outreach to a diverse community. He conducted a complete review and implementation of all policies and general orders using cloud-based technology, and he improved training including the development of a Sergeants Leadership Course. He also developed the department’s Community Opioid Outreach Program (CO-OP) in response to the devastating opioid overdose epidemic, which received national recognition from the Department of Justice (DOJ) as well as \$1.3 million in federal grant funding. Mr. Taylor currently serves as a law enforcement expert for multiple national Bureau of Justice Assistance programs, including PSP and Project Safe Neighborhoods (PSN) Training and Technical Assistance (TTA) programs.



Ms. Bridgette Bryson will serve as project analyst. Ms. Bryson is experienced in conducting quantitative and qualitative analysis and working alongside law enforcement agencies to support their operations. Ms. Bryson serves as deputy project director for the MCSO traffic stop analysis, for which she analyzes traffic stop patterns and outcomes on an annual basis. Ms. Bryson assisted in the development of analytic methodology to identify trends in stop patterns, while recommending variables that the department should capture. She also developed quarterly reports that provide findings and recommendations for MCSO’s body-worn camera supervisory review process, as well as their review process for their traffic stop contact forms. For the Bureau of Justice Assistance (BJA) PSP, Ms. Bryson supports two cities as an analyst, providing targeted support and evaluation of their organizational processes, and she leads the accountability efforts for these sites. She also serves as an analyst supporting CNA’s work with BJA using analytics to improve officer safety. Ms. Bryson previously supported a PSN district as an analyst in the Mid-Atlantic area, and she served as an analyst



researching law enforcement’s use of common operational picture technology, conducting site visits and authoring the case study for the client.

Table 1. Personnel resume summary

Personnel (Years of Experience)	Professional experience	Education and training
Zoë Thorkildsen (10)	CNA, 2009 – present Senior Research Scientist 2019 – Present Research Scientist 2017 – 2019 Research Analyst 2015 – 2017 Associate Research Analyst 2014 – 2015 Sr. Research Specialist 2013 – 2014 Research Specialist 2009 – 2013	PhD (in progress, expected 2021), Public Policy and Public Administration, George Washington University MA, Economics, University of Maryland, College Park, MD, 2009 BA, Economics, Indiana University of Pennsylvania, Indiana, PA, 2007 BS, Mathematics and Psychology, Indiana University of Pennsylvania, Indiana, PA, 2007
William Taylor (36)	CNA, Senior Advisor, 2020 – present Lowell, MA, Police Department, 1982 – 2018 Superintendent of Police 2013 – May 2018 Captain 2000 – 2013 Lieutenant 1995 – 1999 Sergeant 1993 – 1995 Detective 1984 – 1993 Patrol Officer 1982 – 1984	FBI, National Academy, Quantico, VA, 2012 Harvard University, Kennedy School of Government, Executive Education, “Leadership for the 21st Century: Chaos, Conflict and Courage,” 2011 Massachusetts Police Leadership Institute, 2002 MA, Criminal Justice, Anna Maria College, 1990 BS, Criminal Justice, New Hampshire College, 1989
Bridgette Bryson (6)	CNA Research Specialist, 2019 – Present Graduate Research Assistant, University of Missouri-Kansas City, 2017 – 2019 Legal Assistant, The Harshman Law Firm, 2015 – 2017	MS, Criminal Justice and Criminology, University of Missouri-Kansas City, 2019 BA, Criminal Justice and Criminology, University of Missouri-Kansas City, 2017

1.3 Required licenses

CNA is a non-profit organization headquartered in Arlington, Virginia, and incorporated by law of the Commonwealth of Virginia and maintains all licenses required by federal, state, and local laws. A copy of our Certificate of Good Standing in the Commonwealth of Virginia is provided in Appendix A.

1.4 References

Following please find references for four CNA projects involving similar focus on police reform, bias and disparities in law enforcement policy and practice, and organizational change through actionable recommendations.

Project Title: Racial Bias Audit of the Charleston, South Carolina, Police Department	
Contact Person: Jason Bruder, Lieutenant	Telephone number: 843-720-3026
Email: bruderj@charleston-sc.gov	Dates of Performance: 01/2018-11/2019

Project Title: Maricopa County Sheriff’s Office (MCSO) Traffic Stops Analysis	
Contact Person: Cory Morrison, Deputy Chief	Telephone Number: 602-876-5318
Email: CoryMorrison@MCSO.Maricopa.gov	Dates of Performance: 08/2019-present



Project Title: Las Vegas, Nevada, Metropolitan Police Department Assessment	
Contact Person: Kevin McMahon, Undersheriff	Telephone number: 702-828-3438
Email: K3948m@lvmpd.com	Dates of Performance: 01/2012-12/2013

Project Title: Fayetteville, North Carolina, Police Department Assessment	
Contact Person: James Nolette, Major	Telephone number: 910-433-1760
Email: JNolette@ci.fay.nc.us	Dates of Performance: 01/2015-10/2015

1.5 Cover letter

Please see page one of our response for the enclosed cover letter.

1.6 Summary of experience

CNA is a leader in law enforcement research, management, and administration and has played an important role in building innovative and effective policing principles and practices nationwide. We work with more than 450 large, mid-sized, and small police agencies to support, assess, implement, monitor, and evaluate their justice systems. CNA has direct experience employing comprehensive analyses to guide local agencies through organizational development and change. This includes specialized expertise and experience reviewing and assessing law enforcement agencies for bias and disparities due to race or ethnicity in law enforcement activities including use of force, searches, arrests, charges, and citations. This direct experience includes tailored analyses of use of force incidents, traffic stops, community contacts, police operations and administration, and community policing and engagement efforts. Through such analyses, we identify opportunities for law enforcement agencies to develop or improve policies and procedures, training, and operations in areas such as investigations, community engagement, internal and external accountability mechanisms, and procedural justice. Here we describe four highly relevant projects that demonstrate our ability to successfully and effectively execute a racial bias audit of APD for the City.

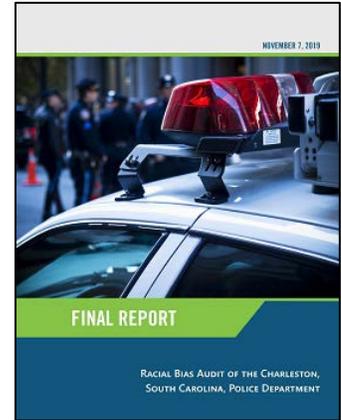
1.6.1 Charleston, SC, racial bias audit

In 2019, CNA conducted a racial bias audit of the Charleston Police Department, in which our team worked closely with the department and community to **assess, monitor, and assist the Charleston Police Department**. We worked to uncover any aspects of implicit bias or systemic and individual racial bias. CNA conducted reviews and analysis of traffic stops (including searches, arrests, and citations), use of force, complaints, community-oriented policing, and recruitment and hiring. We reviewed all departmental policies and general orders, conducted 87 interviews with departmental personnel and community stakeholders, held six community meetings involving over 290 community members, and analyzed five administrative datasets. The purpose of the interviews with the community was to gain a better understanding of Charleston Police Department's policies, training, and operations in relation to racial disparity in use of force, traffic stops, complaints, recruitment and hiring, and interactions with community members. We developed a comprehensive report

Regarding CNA's work in Charleston, Judge Arthur C. McFarland noted:

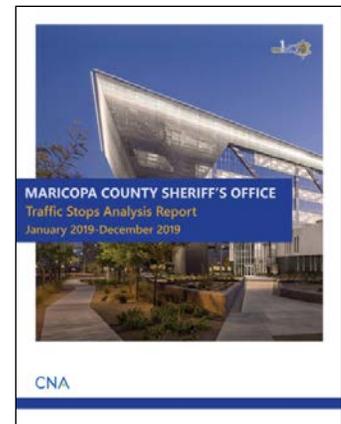
"The bottom line is that in this instance I believe that **we had the right firm for this job**. The diversity of the staff, the expertise and the experience that they brought to the table, I think really made the difference in the outcome of this audit."

detailing 48 findings and associated recommendations for improving community-oriented policing practices, transparency, professionalism, accountability, community inclusion, fairness, effectiveness, and public trust. The CNA team, as part of this project, built consensus among law enforcement, city, and community stakeholders for a series of recommended improvements in policing operations. CNA personnel presented findings from the audit to the Charleston City Council and to the community in a series of three community meetings. The Charleston Police Department established a tracking system to respond to the recommendations in the report. As of December 2019, all recommendations had been assigned to specific personnel and included in the anticipated timeline for implementation.



1.6.2 Maricopa County Sheriff's Office traffic stop analysis

Since 2018, CNA has supported MCSO in analyzing its traffic stop activity. CNA assists MCSO by conducting an annual analysis of its traffic stop activity to identify any evidence of potential bias. CNA developed and wrote the first annual report, releasing it in September 2019. MCSO released the second annual report (developed by CNA staff) in May 2020. CNA's project director, Zoë Thorkildsen, presented findings from the 2019 annual report to office personnel and the community; the community presentation can be found on MCSO's Facebook page. CNA conducted statistical analysis of traffic stop activity within MCSO using the quasi-experimental statistical technique of propensity score matching, an emerging best practice approach to understanding racial disparity in law enforcement activity. CNA analyzed stop outcomes including stop length, citations, arrests, searches, and seizure rates during searches across race of the driver. CNA recently produced a quarterly report including findings and recommendations to improve the consistency of supervisory review of traffic stop body-worn camera footage. To develop this report, CNA personnel observed supervisors conducting reviews and interviewed them about their review processes. CNA will support additional quarterly reports and monthly analyses related to traffic stops in MCSO, including reviews of policies and procedures related to traffic stop data collection and auditing and reviews. In this project, CNA supports MCSO under the auspices of a court-ordered monitoring arrangement, managing demands from multiple stakeholders simultaneously. **As a result of CNA's support to MCSO on the development and publication of the annual report, MCSO has achieved compliance with the relevant paragraph for the first time since the court order was enacted.**



and recommendations to improve the consistency of supervisory review of traffic stop body-worn camera footage. To develop this report, CNA personnel observed supervisors conducting reviews and interviewed them about their review processes. CNA will support additional quarterly reports and monthly analyses related to traffic stops in MCSO, including reviews of policies and procedures related to traffic stop data collection and auditing and reviews. In this project, CNA supports MCSO under the auspices of a court-ordered monitoring arrangement, managing demands from multiple stakeholders simultaneously. **As a result of CNA's support to MCSO on the development and publication of the annual report, MCSO has achieved compliance with the relevant paragraph for the first time since the court order was enacted.**

1.6.3 Collaborative Reform Initiative

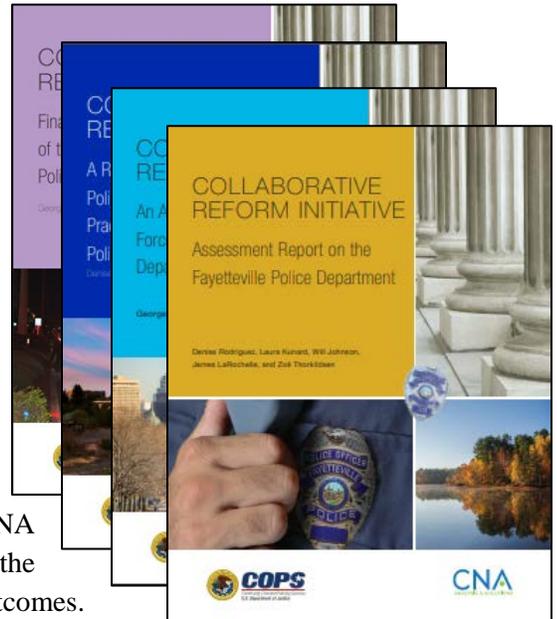
CNA was the inaugural training and technical assistance provider for the Office of Community Oriented Policing Services Collaborative Reform Initiative. We worked with the following four communities and law enforcement agencies on **understanding racial disparities in law enforcement activities and implementing and sustaining reform**: Fayetteville, North Carolina; Las Vegas, Nevada; Philadelphia, Pennsylvania; and Spokane, Washington. CNA's assessment of LVMPD produced 75 findings and recommendations, many of which focused on the department's training on use of force,

oversight mechanisms, use of force policy, and community outreach. For one year after the completion of this assessment, we monitored the department's implementation of the recommendations and provided technical assistance as needed. The outcomes achieved from the department's implementation of our recommendations are impressive, including the following noteworthy features:

Police accountability expert and University of Nebraska professor emeritus Samuel Walker stated that CNA work in Las Vegas is a "good measuring rod for...use of force policies," adding that "people ought to look at this report and learn from it." (*Las Vegas Review Journal*. November 18, 2012)

- The reforms recommended and implemented in Las Vegas have demonstrated incredible staying power because of CNA's focus on policies, procedures, practices, and training—particularly LVMPD's implementation of reality-based training (RBT) for police-citizen encounters, use of force scenarios, and high-stress situations. The RBT in Las Vegas is being replicated by other agencies seeking to benefit from the lessons learned from LVMPD and the independent analysis by CNA.
- LVMPD's implementation of the recommended reforms has given priority attention to community policing and to community involvement in LVMPD, amounting to a total revamping of the department's internal accountability reviews of use of force incidents. LVMPD gives community representatives shared responsibility and power in the review of use of force incidents, which is a forward-thinking and open approach to community policing.

In Spokane, we assessed the department's policies and procedures related to use of force (including training, investigations, and internal and external oversight processes) and community outreach, producing 42 findings and recommendations. In Philadelphia, CNA conducted a comprehensive examination of over 390 officer-involved shooting (OIS) incidents, specifically analyzing the times and locations of OISs, the individuals involved (officers and suspects), and the dynamics of the encounters. CNA also looked into the issues of racial bias and threat perception, examining these factors independently and together. After a 12-month assessment, CNA delivered 48 findings and 91 recommendations. In Fayetteville, CNA conducted an in-depth analysis of FPD's traffic stops and field-initiated contacts. In analyzing over 68,000 traffic stops, CNA conducted a series of descriptive analyses to understand the relationship between citizen race and traffic stop reasons and outcomes.



We compared the races of drivers across different reasons for traffic stops. We also compared the likelihood, based on the driver's race, of a stop resulting in a search and the relative likelihood, again based on the driver's race, of the driver receiving a citation rather than a warning.

1.6.4 Consent decree monitoring

CNA, in partnership with Schiff Hardin LLP, serves on the Independent Monitoring Team for the City of Chicago's consent decree. **Team members collect and analyze data to determine the Chicago Police Department's compliance with consent decree requirements** in 10 topic areas: community

policing; impartial policing; crisis intervention; use of force; recruitment, hiring, and promotion; training; supervision; officer wellness and support; accountability and transparency; and data collection, analysis, and management. Our team bases its evaluations of compliance on multiple data sources, triangulating them when possible. Sources include documents, datasets, interviews, curricula, and roundtables with community members.

CNA participates on the Independent Monitoring Team for the City of Albuquerque, in partnership with Public Management Resources. CNA's work focuses on **assessing the Albuquerque Police Department's requirements regarding crisis intervention**. Our team reviews documents and data, reviews and approves policies and curricula, observes training, participates in ride-alongs, and listens to community members who share their experiences with Albuquerque's police department. CNA personnel focus extensively on community engagement, including the facilitation of listening sessions with the community, and on crisis intervention training and policies.

1.7 Additional distinguishing information

In addition to our specific experience assisting law enforcement agencies with reform, CNA leads, partners, and guides hundreds of agencies nationwide in implementing 21st century policing principles and best practices daily. We achieve this through our expert consulting services to agencies through Department of Justice (DOJ) initiatives that support police agencies across the nation, such as the Safer Neighborhoods through Precision Policing Initiative (SNPPI), the Justice Reinvestment Initiative (JRI), Strategies for Policing Innovation (SPI), the National Public Safety Partnership (PSP), Project Safe Neighborhoods (PSN), and the Body-Worn Camera (BWC) Training and Technical Assistance (TTA) program.

Another distinguishing qualification is that CNA has specific experience working with the APD, which will ensure a smooth project initiation and an efficient, on-budget racial bias audit. Through SNPPI, CNA worked with APD to (1) enhance their strategic communications, (2) learn from a peer agency, and (3) redesign their School Resource Officer (SRO) program.

1. The APD wanted to create a unified strategic message about their programs so that community members would hear the same descriptions from any officer in the department. CNA helped APD develop a three-pronged messaging strategy that included planning, training, and implementation.
2. CNA connected APD with the Cambridge Police Department (CPD) to exchange promising practices. In November 2016, the APD hosted a meeting with members of the CPD's Prevention Services Unit, Department of Communications and Public Relations, Community Services Unit, Police Review and Advisory Board, and Officer Wellness and Resiliency Team. APD benefited from CPD's experience with release of public information and development and expansion of a holistic officer wellness program.
3. To enhance the APD's SRO program, CNA worked with the department to develop a new memorandum of understanding to outline the roles and responsibilities of the SROs, including a renewed focus on youth outreach and mentoring. In early 2018, the Albany school board agreed to provide funding for an additional SRO in a city middle school.

Additionally, CNA recently worked with the APD as one of seven SNPPI agencies to capture the law enforcement agency's response to the COVID-19 pandemic. This work will be highlighted in an

interactive toolkit featuring best practices as well as resources related to COVID-19 response, which will be disseminated nationwide.

Having an established foundation of trust with APD personnel will be critically important for tackling sensitive issues such as racial bias. Our existing and ongoing relationship with APD will ensure our team can quickly make the connections necessary to facilitate the racial bias audit.

1.8 Commitment to a multi-disciplinary approach

Our multi-disciplinary approach will incorporate our direct experience in law enforcement, including policy, practice, training, and direct work with law enforcement personnel, and our understanding of how racial bias (both explicit and implicit) has historically shaped law enforcement's policies, procedures, and practices. Engaging collaboratively with APD will be critical during the racial bias audit because a report that lacks input and context from APD and its personnel will likely be viewed with suspicion and defensiveness. However, our findings will still be developed objectively, using a proven, multi-modal approach to data collection and analysis. CNA excels in both of these tasks, as evidenced by our past performance balancing the needs and inputs of multiple stakeholders in diverse projects—including racial bias audits, support to agencies under court-ordered monitoring, assistance to court-ordered monitoring teams, and work with agencies through the Collaborative Reform Initiative. We look forward to applying these lessons and methods in our work for the City of Albany.

1.9 Audio-visual technology platform(s) to support remote interviews

CNA is accustomed to leveraging remote collaboration and conferencing technology. We have delivered over 100 training and informational sessions through webinars and other virtual means, including holding virtual forums and focus groups, community meetings, breakout sessions, interviews and assessments, national meetings, and report presentations, particularly within the COVID-19 operating environment. We propose to use Zoom for Government (ZoomGov), available at CNA for no additional cost to our clients, to facilitate interviews, data collection, and other small group activities as required during the audit. The ZoomGov platform adds an additional layer of security to the web conferencing platform by using enhanced security measures to protect the information of users. We will use Cisco's WebEx, also available at no additional cost to our clients, for formal presentations or large meetings, since it provides superior moderation control and presentation capabilities.

2. Proposal

2.1 Technical proposal

CNA offers a proven, yet customized, approach to conducting comprehensive police reviews that combines objective data-driven analysis with subject matter expertise to deliver actionable, transparent, unbiased, and credible recommendations (see Figure 2). Actionable recommendations relate directly to specific APD policies and procedures; are realistically achievable given legal, fiscal, and organizational constraints; and are specifically written so that they can be assessed for quality and compliance at future points in time. The CNA team's approach is based on a number of guiding principles, including the following: (1) providing evidence-based assistance with an emphasis on research, including both academic research and documented lessons learned and best practices from the field; (2) using a multimethod assessment design, including interviews, policy and document review, and data analysis; and (3) having a commitment to conducting a comprehensive review and applying best practices in police settings. In this section, we present our technical approach in detail.

Figure 2. CNA approach to developing findings and recommendations



We will focus our engagement to produce a targeted and cost-effective audit, with the following priority areas at its core:

- A. Police deployments for quality of life complaints, code violations, and instances of violence;
- B. Traffic stops;
- C. The complaint process, internal and external;
- D. Use of force, deadly and non-deadly; and
- E. Community policing practices.

We will begin the engagement by holding a virtual kickoff meeting with appropriate stakeholders and gathering feedback and input on our proposed approach and report development. CNA has gained direct local experience holding these preliminary meetings and information-gathering sessions in our assessment

work with numerous other agencies, including police and sheriff's offices in Charleston, Fayetteville, Las Vegas, Maricopa County, and Philadelphia. It is our experience that holding kickoff meetings reduces challenges and roadblocks during project execution because such meetings set clear expectations, present opportunities for collaboration, and allow the site to provide information about its community. We will also use the kickoff meeting to establish a schedule for regular check-in calls with key stakeholders and an agreement on timelines and other elements of the project plan.

We will then immediately begin data collection and analysis activities to support the drafting of a preliminary report by the end of September, as requested in the RFP. We will execute three specific data collection and analysis tasks (described in the next subsection): performing a document review, conducting interviews, and requesting administrative data. These tasks will ensure we can successfully execute the requested audit, including the four core goals:

- A. Assess and monitor APD's internal operations, policies, procedures, and practices to detect the presence of implicit bias and systemic racial bias.
- B. Collect and analyze data related to traffic stops, use of force, and other police officer/civilian interactions and determine the impact on Black community members.
- C. Assess compliance with existing police reform policies initiated by APD and enacted by the Albany Common Council (e.g., body-worn cameras, Right to Know Identification legislation, and Citizen Police Review Board).
- D. Provide recommendations for reforms that eliminate racial and implicit biases in policing deployments, strategies, policies, procedures, and practices. Such recommendations must:
 1. Promote community engagement transparency, professionalism, accountability, community inclusion, fairness, effectiveness, and public trust; and
 2. Be guided by evidence-based best practices and community expectations.

We highlight how each of these goals relates to our proposed approach in the following sections.

2.1.1 *Data collection and analysis*

Document review. CNA will work with APD to identify the official documents relevant to the topic of the evaluation. These documents typically come from divisions within the agency and include policies, general orders and directives, standard operating procedures, specialized section manuals, bulletins, local ordinances, and training lesson plans. CNA will review and summarize these documents, identifying key elements that relate to the assessment focus. CNA will also conduct comprehensive assessment and content analysis to determine whether written policies and procedures are consistent with national standards and with the best practices we have identified in our work with police departments nationwide. Our comprehensive approach to policy review and gap analysis provides agencies with the support necessary to identify and implement sustainable changes, as well as maintain current best practices.



For the City of Albany, at a minimum, we will review (1) APD's general orders and field guidelines related to the priority areas for the audit, (2) strategic planning reports, and (3) police reform legislation passed by the Albany Common Council (e.g., body-worn cameras, Right to Know Identification legislation,

and Citizen Police Review Board). We will determine whether additional documents should be included in the review in collaboration with the City of Albany and APD.

Focusing on identifying policies that contribute to or increase the likelihood of racial profiling, racial bias, and implicit bias, the team will examine policies to determine whether they may inadvertently result in disparate outcomes for members of racial and ethnic minority groups within the community. In our experience, agencies may unintentionally implement policies such as mandatory actions in particular traffic stops or policies for suspect identification that result in disparate outcomes for some community members. An outside review from an organization such as CNA can help agencies take a fresh look at these policies and their effects in the community.

Our policy review will also focus on community policing and how community policing principles are incorporated into written documents and policy. For example, CNA will evaluate whether community-oriented policing principles and theory are incorporated holistically into department policy and operations, or whether they are largely siloed in specialized policy and training sessions.

Interviews. CNA will conduct semi-structured interviews to develop an understanding of formal policies and procedures, as well as insights into agency culture and community concerns. Our team has extensive experience conducting interviews regarding public safety, police partnerships with the community, and local government. The interviews will provide qualitative data for our assessment of policing practices, culture, leadership, and community policing approaches, expanding our understanding of the agency's culture and unique dynamics.



During this engagement, CNA will interview:

1. City of Albany Mayor;
2. City of Albany Police Chief;
3. City of Albany Common Council Members (President, Public Safety Chair, and Council Members who represent wards predominantly populated by Black community members);
4. City of Albany Citizen Police Review Board Chair;
5. Albany Community Police Advisory Committee Chair;
6. Dr. Alice Green, Center for Law and Justice;
7. NAACP President;
8. Members of the New York State Office of Court Administration; and
9. Additional community leaders/stakeholders to be identified in collaboration with the City of Albany.

We will also identify APD personnel to include in interviews, based on job duty, to ensure we have a complete understanding of departmental operations and practice, going beyond what can be found in written policies alone. These interviews will also allow us to assess personnel's understanding of community policing principles and how these align with formal policy. We will also use these interviews to understand personnel perceptions of deployments for various types of calls, including quality-of-life issues, code violations, and violent crime.

Goal A
&
Goal B

Administrative data. CNA will request administrative data on traffic stops, use of force, and other police officer-civilian interactions to conduct statistical analysis. We will also request calls-for-service and self-deployment data to understand how APD officers' time is allocated, particularly among quality-of-life concerns, code violations, and violent and property crime. Following preliminary discussions with the department to learn what data systems are in use, we will request administrative data, such as data from the records management system and other administrative databases. By collecting these data, we will not only develop departmental statistics and time trends but also evaluate the suitability of data collection mechanisms and data collection systems. We will use administrative data to conduct quantitative analysis to, among other things, understand disparities in law enforcement actions experienced by community members by race.

The administrative data component of the assessment will provide critical quantitative insight regarding patterns and practices related to police interactions with the public. CNA uses established best practices in our analysis of law enforcement data to understand racial bias and disparities. We will begin by understanding the data through descriptive analysis. This step is critical to uncovering basic patterns and trends in police-community member interactions as well as reviewing the data for statistical abnormalities or data cleanliness issues that require correction before proceeding to more advanced techniques.

To understand disparities in law enforcement activity, we will analyze each set of interaction data (use of force, traffic stops, and other interactions). Disproportionality in outcomes is often expressed in terms of compound ratios: ratio of the percentage of police interactions with Black individuals involving use of force to the corresponding percentage for white individuals. This can be expressed with the following formula:

$$\frac{\text{Use of force}_B / \text{Total interactions}_B}{\text{Use of force}_W / \text{Total interactions}_W}$$

This compound ratio provides a clear and compelling interpretation: it measures how much more likely police interactions with Black individuals are to result in the use of force compared to interactions with white individuals. However, it does not take into account any information about the specific incidents that involved use of force.

To fully account for incident, officer, and community member characteristics, CNA will execute propensity score matching analysis on these incidents. Propensity score matching is a quasi-experimental technique that compares incidents that are otherwise extremely similar, but differ in terms of the race of the involved community member. In simplified terms, in reviewing traffic stops, the propensity score matching method would attempt to match two traffic stops: one involving a white driver and one involving a Black driver. We will then compare these matched stops (that have occurred in roughly the same location, at roughly the same time, and involved the same reason for stop). Since the two stops are otherwise very similar, absent disparate treatment or bias, we would expect to see both stops result in the same outcome (e.g., a citation). Although propensity score matching cannot establish that racial bias exists with certainty, it provides stronger evidence than past techniques, such as correlational analysis or compound ratios alone.²

² One limitation of propensity score matching is that it requires large volumes of data; in most medium-sized or large agencies, five years of administrative data provides ample incidents to support propensity score matching. If these data are not available, CNA will implement other techniques as needed.

CNA acknowledges the response to questions about the RFP, which notes that traffic stop data collected by APD does not include race data. We will work with APD to determine if there are other data sources that we can use to add race data to the traffic stops dataset. If not, we will collaboratively develop an alternate methodology to assess disparities in traffic stops. For example, we might consider stop locations and association with underlying community demographics.

CNA will also analyze citizen and officer complaint data (i.e., external and internal complaint data), including case processing and outcomes, including discipline. These analyses will be descriptive in nature and help agencies understand the patterns and trends in citizen and officer complaints over time and by geography, as well as other variables of interest. CNA will use exploratory quantitative analysis approaches for complaints, since little is known before the fact about the expected findings from citizen and officer complaints. In this approach, our team begins by conducting descriptive analyses of the complaint data. We also calculate these measures over time to explore time trends. Next, we conduct cross-tabulations across different variables of interest, including demographics such as race and age for the subject of the complaint and the complainant. We consider factors such as complaint type and outcome. When appropriate, we conduct bivariate and multivariate comparisons to establish any statistically significant differences in the complaint process (length) or outcome based on underlying characteristics of the complaint itself or of the complainant or target of the complaint. CNA then analyzes the complaint case process, particularly focused on the timeline of complaints. In our experience, the length of time between the incident and the ultimate adjudication of the complaint has a large effect on the complainant's perception of justice. Analyzing case processing timelines can uncover underlying causes for delays during the process. CNA couples quantitative analysis with qualitative inquiry during this portion of our review to fully understand the complaint case process.

2.1.2 Development of findings, recommendations, and the report

CNA has working knowledge of best practices and innovations in a wide variety of agencies nationwide through our work on numerous technical assistance and assessment programs. Many of these programs primarily serve medium-sized departments like Albany, New York. CNA will collate best practices and innovative practices based on our working knowledge of the field as well as our research on specialized topics, as needed.



Based on the best practices and findings uncovered from the organizational assessment, CNA will tailor recommendations to APD and the community. Our recommendations will focus on reforming the agency in a way that meets community expectations and reflects evidence-based practices, professional standards, and emerging cutting-edge practices. CNA will provide tailor-made innovative approaches, as a result of extant research literature, subject matter expert opinions, and findings from the organizational assessment. Recommendations will also be actionable and capable of producing institutionalized change, such as incorporating new training practices and strategies, refining programs, instituting new technologies, modifying resources, adjusting oversight, and adding disciplinary and rewards systems to increase accountability. For example, in our interviews with officers from the Spokane Police Department, CNA discovered that many newly assigned sergeants and lieutenants were unsure of their new responsibilities as supervisors. This gap created inconsistencies in personnel management and, ultimately, tension among line officers. CNA recommended that the Spokane Police Department institute training programs specifically

geared towards newly assigned supervisors and mentorship programs for officers seeking promotion. As a result, the Spokane Police Department established a formal training and mentoring program for supervisors.

**Sample recommendations
from past CNA work**

“Charleston Police Department should establish a formal compliance and auditing process to ensure that officers comply with the BWC policy and properly tag BWC videos.”

“Spokane Police Department should develop a data collection and evaluation capacity for training conducted in the department.”

“In addition to community watch meetings, Fayetteville Police Department should engage in regularly scheduled community trust-building activities, such as ‘Coffee with a Cop.’”

CNA understands that assessment recommendations cannot be applied universally to agencies across the country. What works well in one agency may not be suitable for another. Variances in agency demographics, community characteristics and expectations, departmental culture, and technological capacity have significant effects on the extent to which an agency is able to influence change. CNA is committed to working closely with APD and the community as it develops its recommendations to ensure that the recommendations are actionable and will be sustained beyond CNA’s engagement.

CNA will produce a preliminary report by September 30, 2020, as requested in the RFP. We will then engage with the City of Albany and APD to review the findings and recommendations to

ensure accuracy and feasibility. During this stage, we will also solicit public feedback through an open comment mechanism so that community input can be incorporated in the final report. CNA typically administers this mechanism by establishing a CNA-hosted email address so that community members can feel comfortable sharing their feedback openly.

At the completion of the review process, CNA will submit the detailed final report and an Executive Summary to the City of Albany. CNA will also brief the community and members of the government and law enforcement agency on the report’s findings. These briefings can be accomplished virtually or in-person, depending on what is safe and feasible in light of COVID-19. The presentation of findings by an impartial non-profit organization committed to operations research supports transparency and community engagement principles, as well as the promotion of both internal and external procedural justice.

Before finalizing the report, CNA will submit it through our rigorous internal quality assurance process. As a nonprofit organization, we focus on quality as the ultimate measure of our success. CNA’s mature quality management processes are designed to prevent technical errors and have sufficient flexibility to meet the client’s specific requirements. We also engage in a collaborative development process in which we provide our clients numerous opportunities to review findings and recommendations before the completion of reports. In addition, CNA has an established internal peer review process such that all deliverables are reviewed by experts who were not involved in the report development process to ensure that they meet the highest quality standards for research methodology and presentation of findings. CNA also has a cadre of expert editors who strive to ensure that all deliverables are error free and adhere to stylistic standards that include clarity and readability. Finally, the CNA Communications Department will ensure that all graphics are easy to read and visually appealing.



2.2 Cost proposal

CNA acknowledges the scope of work detailed in Section 4 of the request for proposals, and we commit to executing each element of the stated scope of services within the budget allocation displayed in Table 2.

Table 2. Cost proposal

Personnel	Rate	Hours	Total
Zoë Thorkildsen	\$206.73	200	\$41,345.29
William Taylor	\$161.12	100	\$16,112.47
Bridgette Bryson	\$84.24	250	\$21,059.20
Subtotal			\$78,516.96

Travel	Rate	Quantity	Total
BWI to Albany	\$460.74	1 roundtrip	\$460.74
Lodging – Albany, NY	\$151.39	3 nights	\$454.16
M&IE – Albany, NY	\$80.30	3.5 days	\$281.05
Parking/ground transportation	\$39.49	3 days	\$118.48
Subtotal			\$1,314.44
Total			\$79,751.10

Our cost proposal is valid for a one-year period of performance, starting as early as August 1, 2020. Our timeline is in accordance with the City’s requested scheduled for deliverables and is presented in Table 3.

Table 3. Proposed timeline

Major task	Sub-tasks	Completion date
Data collection and analysis	Conduct initial audit meeting with Albany points of contact	Within 1 week of award
	Produce initial data request (documents, administrative data, interview scheduling)	Aug. 15, 2020
	Conduct policy review	Sept. 15, 2020
	Analyze administrative data	Sept. 15, 2020
	Hold interviews	Sept. 15, 2020
	Assess compliance with reform policies	Sept. 15, 2020
	Develop analysis across all data sources	Sept. 22, 2020
Preliminary written report	Draft preliminary findings	Sept. 22, 2020
	Draft preliminary recommendations	Sept. 22, 2020
	Preliminary report internal review and editing	Sept. 28, 2020
	Deliver preliminary written report	Sept. 30, 2020
Final written report	Compile feedback from preliminary report	Oct. 7, 2020
	Conduct additional data collection and analysis, as needed	Oct. 15, 2020
	Revise findings, analysis, and recommendations	Oct. 22, 2020
	Final report internal review, editing, and formatting	Oct. 29, 2020
	Deliver final written report	Nov. 1, 2020



Major task	Sub-tasks	Completion date
Presentation of findings and recommendations	Virtual or in-person presentation to City of Albany Mayor and Common Council Leadership and other stakeholders, as requested Ongoing availability for support or further services, potentially incurring additional costs	By Dec. 31, 2020 Through end of contract

Our cost estimates and timeline are subject to the following assumptions:

- The scope of work as described in Section 4 of the request for proposals remains unchanged during project execution.
- Data requests for policy, administrative data, and interview availability are facilitated promptly (i.e., no more than a one-week turnaround for documents, no more than a two-week turnaround for administrative data, and no more than a two-week turnaround from interview request to scheduling).
- Documents are available in a standard accessible format, such as PDFs or Microsoft Word.
- Interviewees are available within one week of contact to schedule an interview and are able to participate virtually—preferably through a video call, though phone interviews can be conducted if needed.
- Community input will largely be facilitated via the local advocacy groups and interviewees noted in Section 4.2.B of the request for proposals.
- Administrative data from APD regarding traffic stops, use of force, and other police officer/civilian interactions are available in an Excel-compatible format and do not require extensive data cleaning to be usable for analysis.
- CNA has allocated costs for our project director, Zoë Thorkildsen, to travel to Albany, New York, to present findings and recommendations. We will work with the City of Albany, in light of COVID-19, to determine if this is appropriate. Ms. Thorkildsen lives in the DC area within overnight driving distance, which may allow more flexibility. If the trip is undertaken via personal vehicle, we will invoice at the GSA-approved mileage rate. Our total requested funding amount will not increase.

Appendix A. Certificate of Good Standing

Commonwealth of Virginia



State Corporation Commission

CERTIFICATE OF GOOD STANDING

I Certify the Following from the Records of the Commission:

That The CNA Corporation is duly incorporated under the law of the Commonwealth of Virginia;

That the corporation was incorporated on September 12, 1990;

That the corporation's period of duration is perpetual; and

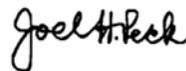
That the corporation is in existence and in good standing in the Commonwealth of Virginia as of the date set forth below.

Nothing more is hereby certified.



Signed and Sealed at Richmond on this Date:

May 8, 2020



Joel H. Peck, Clerk of the Commission

CERTIFICATE NUMBER : 2020050814436390