NDI

National Decertification Index

REQUEST FOR INFORMATION

Title:	NDI Expansion Project
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Responses Due:	**August 20, 2021**

INTRODUCTION

The International Association of Directors of Law Enforcement Standards and Training (IADLEST) is seeking information as outlined in this Request for Information, regarding a project to expand the National Decertification Index (NDI). The purpose of the NDI is to serve as a national registry of certificate or license revocation actions relating to officer misconduct. IADLEST seeks to identify what the information technology and management field, and the greater criminal justice community have to offer to empower NDI stakeholders to contribute to the national database, query its data for possible matches when making employment and/or certification decisions, and to generate a variety of reports regarding NDI content, usage, and effectiveness.

This is a Request for Information (RFI) only. It is issued solely for information and planning purposes. It does not constitute a Request for Proposal (RFP) or a promise to issue an RFP in the future, although RFI respondents will receive direct notification of any subsequent RFPs. Responding to this RFI will not guarantee or require participation in any subsequent RFPs. This RFI does not commit IADLEST to enter into a contract for any supply or service whatsoever. IADLEST, its grantors, or the U.S. Government will not pay for any information or administrative costs incurred in response to this RFI.

IADLEST encourages information technology and management service providers, criminal justice community partners, and law enforcement professional organizations that possess experience, knowledge, skills, or abilities related to this RFI to submit a response in accordance with the submission requirements and deadlines detailed in this RFI.

BACKGROUND

The purpose of this project is to modify and expand the functionality of the NDI pursuant to the requirements of an executive order.

Created and administered by IADLEST, the NDI has been in service in various iterations for nearly 20 years. Every State in the US has a state agency charged with setting the requirements which must be met in order to qualify (certify) a person as a police officer. These agencies are called P.O.S.T. (Police Officer Standards and Training), or similar equivalent names related to their governing boards, commissions, or councils.

There are a variety of situations which can cause an officer to lose his/her certification. Some are technical, such as failing to complete the yearly requirements for on-going

training. We are not concerned with this type of loss of certification, as it does not relate to misconduct.

In other cases, officers are found to have moral flaws, or have committed crimes or serious misconduct. In such a case the POST agency will begin a proceeding which will afford the officer due process. If the POST determines that a certification action is warranted (suspension, revocation, court-ordered relinquishment, etc.), or the officer decides to avoid such action by voluntarily relinquishing their certification, the POST agency will assign a data entry clerk to create a record in the NDI.

The NDI is a computerized database which contains basic information on officers against whom certification action has been taken. The data maintained in the NDI consists only of identifying information on the individual officer, type of action and reason for that action, and contact information for the reporting POST. POSTs hold the complete detailed records with specifics about the type, circumstances, and severity of officer misconduct. Based on information received as a result of an NDI search, the NDI will "point" the user to the POST, where the full records are maintained.

The NDI can be queried by human resources personnel at other police departments as part of their pre-employment screening of new police recruits, or lateral hiring of officers from other jurisdictions. Checking for NDI matches helps prevent the uninformed re-employment of police officers with a history of misconduct in other jurisdictions or States. Basic informational reports are currently available as administrative functions of the NDI database. More information on the NDI program can be found on the IADLEST website at National Decertification Index Website.

THE EXECUTIVE ORDER

In June 2020, the President of the United States issued the *Safe Policing for Safe Communities* Executive Order. The executive order mandates the "creation" of a national database "to coordinate the sharing of information between and among Federal, State, local, tribal, and territorial law enforcement agencies concerning instances of excessive use of force related to law enforcement matters, accounting for applicable privacy and due process rights." As these instances amount to misconduct, the NDI is the ideal database to handle this type of information sharing. The Executive Order may be viewed at Safe Policing for Safe Communities.

SUMMARY OF NDI STAKEHOLDERS AND NEEDS

The purpose of this RFI is to identify options that would allow NDI stakeholders to interact with NDI data in a manner which satisfies three areas of need:

STAKEHOLDERS		NEEDS
Upstream Stakeholders (Administrators)	• IADLEST • US DOJ	The ability to access, control, monitor and extract NDI data for administrative and reporting purposes
Direct Stakeholders (Contributors)	• State POSTs • Federal, Tribal, and territorial law enforcement agencies • Other limited contributors	The ability to enter information into the NDI regarding officer misconduct including the improper or excessive use of force related to law enforcement matters
Downstream Stakeholders (Users)	• All direct stakeholders • Approximately 18,000 Federal State, local, tribal, and territorial law enforcement agencies	The ability to query NDI data and receive sufficient information to follow up on instances of confirmed or reported (under investigation) officer misconduct including the improper or excessive use of force related to law enforcement matters

CURRENT TECHNICAL APPROACH

This overview is a high-level description of the NDI as it exists and operates currently. The NDI database facilitates information sharing which promotes professional accountability in law enforcement hiring and employment nationwide. The NDI Brochure contains a basic description and a case study which illustrates the type of outcomes the database is designed to facilitate. The NDI Brochure may be viewed at NDI Brochure.

DATA ENTRY

When a POST data entry clerk enters a record, the data entry is minimal. The subject of the action is identified only by name and date of birth. An "Action" is selected from a pull-down list, then a "Reason" is selected from another pull-down list. There is an optional, small text field where additional details may be entered.

The POST agency retains the detailed documents regarding the case.

Currently, when an individual is entered in the system, we only identify that individual by First Name, Last Name and Date of Birth. Social Security numbers are NOT an option.

If someone queries the NDI by searching First Name, Last Name and Date of Birth and receives a 'match' on a record, the minimal information entered by the POST data entry clerk is displayed, along with the name of the POST agency that entered the record, as well as contact information for that POST agency.

As a result, the data records are very small, and the database contains no authoritative records on the subject of the query.

USER INTERFACE

The user interface is simple and intuitive. The system is secure but easy to access by authorized users. Strong passwords are enforced by the system.

The current NDI system uses DotNet Nuke as the interface for IADLEST Superuser Admins to interact with the system via DNN user screens and functions.

USER PERMISSIONS AND HIERARCHY

Although IADLEST maintains the NDI database system, it does not control user access to the system. Access is controlled by the POST agency in each State. This is accomplished through user permissions and by limiting parameters for data entry and new user creation. User levels and permissions are as follows:

A. IADLEST Administrators
   a) May create new POST-level agencies
   b) May create any level of system user
   c) May Add, Delete, Read all records in system

B. POST Administrators
   a) May create Level 1 and Level 2 Data Entry Clerks for their State
   b) May Add and Delete records (only for their State)
   c) May Read all records in system.
   d) May review and approve query-only users for their State

C. Level 1 POST Data Entry Clerk
   a) May Add records for their State

    b) May Delete records for their State

    c) May Read all records in system

D. Level 2 POST Data Entry Clerk

    a) May Add records for their State

    b) May NOT Delete records for their State

    c) May Read all records in system

E. Query-only User

    a) Authorized by each State POST

    b) May read all records in system

POST Administrators 'own' all of the records for their State. They may also create Query-only Users, generally human resources personnel and background investigators of the police departments under their jurisdiction.

EMAIL NOTIFICATIONS

Several events will trigger email notifications. For example, when a police department comes to the system and fills out the form requesting access to the system, an email is generated notifying the designated individual at that State's POST that an application is awaiting review. An additional email is simultaneously sent to the supervisor of the requestor, notifying them that their employee has requested access to the NDI. The POST personnel will login to the system and approve/reject the application. The applicant is notified via email of the decision.

If the application has not been processed by the end of the month, another email is triggered reminding the POST agency that applications are still awaiting review. There are several other events which will trigger email notifications to facilitate timely and consistent NDI user interaction.

REPORTS

Multiple reports are defined for use by IADLEST Administrators and others for POST Administrators.

For example, the system will generate a report on the activities of each user under their jurisdiction. This serves as an indication of how the system is being used in their State, as a security measure to prevent and deter any unauthorized use, and as a reminder to POST administrators to delete users who no longer require access or leave their positions.

MAIN GOALS OF THE NDI EXPANSION PROJECT

The NDI has historically contributed to accountability and professionalism within the law enforcement profession. The NDI's vital importance has recently become a focus of urgent attention for US lawmakers, the White House, US DOJ, national news outlets and the citizens of our nation. Accordingly, among the major goal of the NDI Expansion Project are the following:

- To further define the NDI as a nationally available resource that allows for the capture and sharing of information relating to misconduct involving employed or certified public safety officers, or applicants for public safety positions.

- To meet the provisions of Executive Order 13929, Section 3, as it currently exists and as amended in the future. See: Safe Policing for Safe Communities

- To provide a viable, efficient system into which entries can be made to comply with the Executive Order mandates.

- To provide accurate and timely information to agencies seeking to hire public safety personnel.

- To generate reports for the Attorney General or others, as required by the Executive Order to include public posting of anonymized data.

- To develop training and an NDI User Guide for user agencies.

- To provide guidance to employers and certifiers of public safety personnel about when and how to make entry into the NDI to increase the consistency and reliability of the information contained within the NDI.

- To increase the number of agencies contributing data to the system.

- To increase the number of agencies using the system as part of their pre-employment investigation.

- To encourage Federal, State, Local, Tribal and Territorial (FSLTT) law enforcement to utilize the NDI by both reporting actions and searching NDI information prior to hiring individuals into a public safety position.

DESIRED NDI SYSTEM ENHANCEMENTS

These are some of the more important considerations which we expect to be addressed enhanced in the "new" NDI with expanded capabilities.

MAIN DASHBOARD

- Visually appealing, user-friendly, and easy to navigate.

- A home/login/landing page which also serves as a promotional tool for the system, and a resource for individuals coming to the system seeking information about peace officer certifications, training requirements, and qualifications for access to the system. IADLEST Administrators need the access to edit this page to reflect changes in certifications and requirements going forward.

- Integrate dynamic data visualization of the NDI data for viewing on the web.

- Secure, yet user-friendly, login process which recognizes the user's level of access and presents a dashboard which allows authorized transactions only.

- Modern and innovative data management and control, with a user experience-centered design.

FUNCTIONALITY

- The new NDI must be reliable, thoroughly tested, scalable, and capable of handling the anticipated increase in usage and traffic. Currently, approximately 4,000 of 18,000 law enforcement agencies use the NDI, which contains over 30,000 records. The volume and frequency of NDI usage are expected to increase significantly, and the content and types of data are likely to change or expand to comply with future national law enforcement reform requirements.

- Incorporated email automation and functionality must be robust and reliable, and provide timely notifications, reminders, and system status updates as appropriate.

NDI RECORD ENTRY

- The ability to designate levels or categories of NDI contributors (those agencies permitted to make record entries), and the capability to add, delete, merge, or edit NDI contributors' levels, categories, names, contributed content, and other information. For continuity and record integrity, a log of administrator actions should be maintained.

- The automated aggregation of a drop-down list of authorized NDI contributor agencies, and a list of suggested existing agency names upon request to enter a new agency name, or similar features are strongly desired.

- NDI contributors should be presented with a user experience that permits:
  - the designation of an "Action," followed by;
  - a related list of "Reasons" for which the action is being taken, followed by;
  - a mandatory and/or non-mandatory (depending upon the Action/Reason(s)) "Comments" field with contents guidance, followed by;
  - a presentation of the entire draft data record for confirmation, followed by;
  - an affirmative record submission notification.

- Designated "Actions" will trigger a required entry in an "Improper or Excessive Use of Force" check box. Any NDI record associated with improper or excessive use of force will require an affirmative user assertion that the subject has been afforded due process, and whether or not a related court finding has been rendered.

- In cases of severe alleged misconduct, where due process proceedings have commenced but may take many months, the NDI should support the creation of an "Under Investigation" notification record. This record will be similar in configuration to all other NDI records, with the option to be updated by the reporting POST upon the finalization of the Action, and clearly displayed and reported separately from records where due process is complete.

- IADLEST has proposed additions and modifications to some of the "Actions" and "Reasons" now defined in the system. These should be accommodated by the new system.

Each individual who is a subject of NDI record(s) must be uniquely identified. We seek suggestions for other non-sensitive identifiers. Social Security numbers are NOT an option.

- The entry of duplicate or conflicting records should be disallowed, with considerations for the NDI contributors' ability to:
  - delete, or request deletion, of a record;
  - revise or update an existing record;
  - create subsequent record(s) for the same subject.

NDI RECORD QUERIES

- The entry of duplicate or conflicting NDI querier information should be disallowed. (e.g., Boise Police Department, versus Boise Police Dept., versus Boise PD, versus Boise City Police Dept., etc.).

- The automated aggregation of a drop-down list of authorized NDI querying agencies, and a list of suggested existing agency names upon request to enter a new agency name, or similar features are strongly desired.

- Each new NDI user should be assigned to the appropriate unique NDI "POST"-level organization, or Federal agency which oversees their certification, authority, or function.

- The NDI currently has over 3,700 users, most of them are background investigators at law enforcement agencies. However, there are an estimated 18,000 law enforcement departments in the US. Queries will be the most frequently used feature of the NDI, and mechanisms to ensure fast, accurate and complete record search results are a requirement.

- Both match and near match results should be returned for queries. A reliable differentiating unique NDI identifier will serve as a tool for verifying matches with search criteria. As mentioned, we seek suggestions for other non-sensitive identifiers which do not use full or partial Social Security numbers.

REPORTING

- Ability to filter results on any NDI attributes (configurable reporting and data visualization).

  Allow users to create and save custom reports and visualizations that are relevant to their specific analytic needs.

- Provide for the analysis of multiple internal and external data sets based on linked keys. This may include census, demographic, crime statistics, and other data from federal databases.

- Automatic and on-demand administrator and POST auditing of the activities of each user under their jurisdiction. This will serve as an indication of how the system is

being used in each State and as a security measure to prevent and deter unauthorized use.

- Automated reports should be suitable to meet the administrative needs of IADLEST and the US DOJ in keeping with the requirements of the Executive Order: "The Attorney General shall regularly and periodically make available to the public aggregated and anonymized data from the [NDI]…as consistent with applicable law."

SECURITY

- The NDI must be tamper-proof and operate in accordance with modern data security standards, including industry standards and current Federal data security requirements.

- The NDI platform should be a FedRAMP authorized security platform, and NDI access should require two-factor authentication (2FA).

- Security events should automatically trigger email notifications to designated administrators, and initiate protocols to prevent any system compromise.

- The NDI's security features should not create undue delay or effort for administrators, contributors, or users.

- The NDI activity log must record all data transactions including record creations, revisions, and deletions; and query activity including numbers and frequency of inquiries and matches. Real-time automatic data transaction auditing with "red-flag" notifications of suspicious activity is highly desirable.

DATA MIGRATION

The system currently contains approximately 40,000 records and 3,700 users. The new NDI system must accommodate migration of this data with 100% fidelity into the new system, while preserving or updating previous data fields to match the new data configuration.

New NDI contributor States, Federal agencies, and organizations with oversight of law enforcement functions and jurisdictions not currently contributing to the NDI may have historical records. Suggestions on systems or process protocols which can provide a mechanism for automated batch data migration into the NDI with error mitigation are welcome.

SUBMITTAL INFORMATIONCON

RESPONSES

Interested parties, information technology and management service providers, criminal justice community partners, and law enforcement professional organizations are encouraged to submit their thoughts, approaches, and innovative ideas in narrative form, not to exceed sixteen (16) pages in accordance with the section/topic limits in the OPTIONAL response template provided.

Whether you use the template or not, please supply all of the requested information, in the order presented, and within the section/topic page limitations. Responses should be formatted with one-inch margins and using Times Roman 12-point font. Screen shots, diagrams or technical spec. attachments are not included in the page limits but should not exceed 5 pages total. **Responses are due August 20, 2021, at 5 PM ET** and should be submitted electronically to:

Victor McCraw
NDI Project Manager
IADLEST
602-757-1766
victor@iadlest.org

The subject line of the email should say, "**NDI RFI Response**." IADLEST will acknowledge the receipt of all response submissions.

RFI QUESTION AND ANSWER SESSION

The second week after publication/release of the RFI, there will be a conference call Zoom session to answer questions from potential responders. If you would like to participate in this call, you must send an email to Victor McCraw, (e-mail listed above) so that call-in and Zoom URL login information can be provided. This meeting date will be posted on the IADLEST NDI website at National Decertification Index Website.

REQUEST FOR INFORMATION RESPONSE: NDI EXPANSION PROJECT	
Company Name and Address:	
Primary Point of Contact Name:	
Primary Point of Contact Phone, Fax, and Email:	

INTRODUCTORY STATEMENT

Description:	*This section is an introductory statement about your organization, and your experience with projects similar in function and scope as the IADLEST NDI*

[Insert introductory statement (1 page max.)]

RESPONSE TO REQUEST FOR INFORMATION

Description:	*This section is for providing the information requested in the RFI.*

[Briefly explain your recommended strategy or high-level plan, and reasonable expected timeline, for accomplishing the work effort described in this RFI. (1 page max.)]

DESIRED NDI SYSTEM ENHANCEMENTS

MAIN DASHBOARD

[Insert information in reference to the desired NDI Main Dashboard system enhancements explained in the RFI (2-page max.)]

FUNCTIONALITY

[Insert information in reference to the desired NDI system Functionality enhancements explained in the RFI (2-page max.)]

NDI RECORD ENTRY

[Insert information in reference to the desired NDI system Record Entry enhancements explained in the RFI (2-page max.)]

NDI RECORD QUERIES

[Insert information in reference to the desired NDI system Record Query enhancements explained in the RFI (2-page max.)]

REPORTING

[Insert information in reference to the desired NDI system Reporting enhancements explained in the RFI (2-page max.)]

SECURITY

[Insert information in reference to the desired NDI system Security requirements explained in the RFI (1 page max.)]

DATA MIGRATION

[Insert information in reference to the desired NDI system Data Migration requirements explained in the RFI (1 page max.)]

ADDITIONAL CONSIDERATIONS

[Insert information regarding any addition considerations for the NDI expansion project based on your experience, capabilities and industry standards or trends. (2-page max.)]