

CALIFORNIA COMMISSION ON PEACE OFFICER STANDARDS & TRAINING



# S.W.A.T.

Operational Guidelines and Standardized Training Recommendations

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## **FOREWORD**

Penal Code Section 13514.1 directs the Commission to develop and disseminate guidelines and standardized training recommendations for law enforcement officers, supervisors, and administrators, who are assigned to perform, supervise, or manage Special Weapons and Tactics (SWAT) operations.

The guidelines and recommendations contained within this document represent the best thinking of contemporary law enforcement practitioners and serve as a resource for agencies and training presenters. They are intended to provide guidance in the formation, oversight, operation, and training of SWAT teams. While these guidelines encourage standardization, they are deliberately general in construct to accommodate individual agencies' policies regarding the operational deployment of SWAT teams.

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## Definition of SWAT

A Special Weapons and Tactics (SWAT) team is a designated group of law enforcement officers who are selected, trained, and equipped to work as a coordinated team in an attempt to resolve incidents that may exceed the capabilities of first responders or investigative units.

Philosophy of SWAT - The mission of SWAT is to save lives. The primary focus of SWAT is to provide tactical solutions that increases the likelihood of de-escalation and safe resolution of high-risk incidents.

This focus differentiates SWAT teams from specialized units whose assignment requires them to conduct apprehensions, to serve search warrants, to conduct gang enforcement, or other dangerous tasks beyond the traditional assignments associated with line-level officers. Nothing in these guidelines is intended to preclude agencies from utilizing these types of units.





## SWAT Team Components

SWAT teams should develop resources to perform the basic operational functions of:

- Command and control
- Containment
- Entry/Apprehension/Rescue
- Precision Rifle/Observer

### Command and Control Activities

- Planning, organizing, staffing, and directing the overall SWAT operation, including:
  - ▷ Establishing Incident and Tactical Command
  - ▷ Establishing and relaying the operational goals
  - ▷ Continually assessing the situation as it develops and determining the appropriateness of the planned course of action
- Coordination with support resources such as CNT, EOD, UAS, and K-9
- Coordination with allied agencies
- Mission documentation
- Communications
- Medical support

- 
- Mission debriefings
  - After action reports

**Containment activities include:**

- Control of inner perimeter
- Evacuation
- Tactical deliveries (chemical munitions, equipment, etc.)

**Entry/Apprehension/Rescue activities include:**

- Scouting missions
- Breaching
- Enter, search, and secure objective(s)
- Rescue operations
- Subject/suspect detention

**Precision Rifle/Observer activities include:**

- Concealment and camouflage techniques
- Precision shooting capabilities
- Intelligence gathering and reconnaissance



## Policy Considerations

An assessment should be conducted to determine the type and extent of SWAT missions and operations appropriate to the agency. This assessment should consider the team's capabilities and limitations and should be reviewed periodically.

Policies and procedures specific to SWAT organization, training, and operations should be established and maintained by the agency. They should take into consideration the guidelines and standardized training recommendations contained within this document. Policies and procedures should address, at a minimum:

- Locally identified missions the team can reasonably expect to respond to and is capable of performing
- Team organization and function
- Personnel selection, retention, and removal
- Training and required competencies
- Criteria and procedures for activation and deployment
- Command and control issues, including a clearly defined command structure
- Multi-agency response/regional agreements
  - Memorandum of Understanding (MOU)
- Out-of-jurisdiction response
- Integration with specialized units/functions and supporting resources





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## Threat Assessment

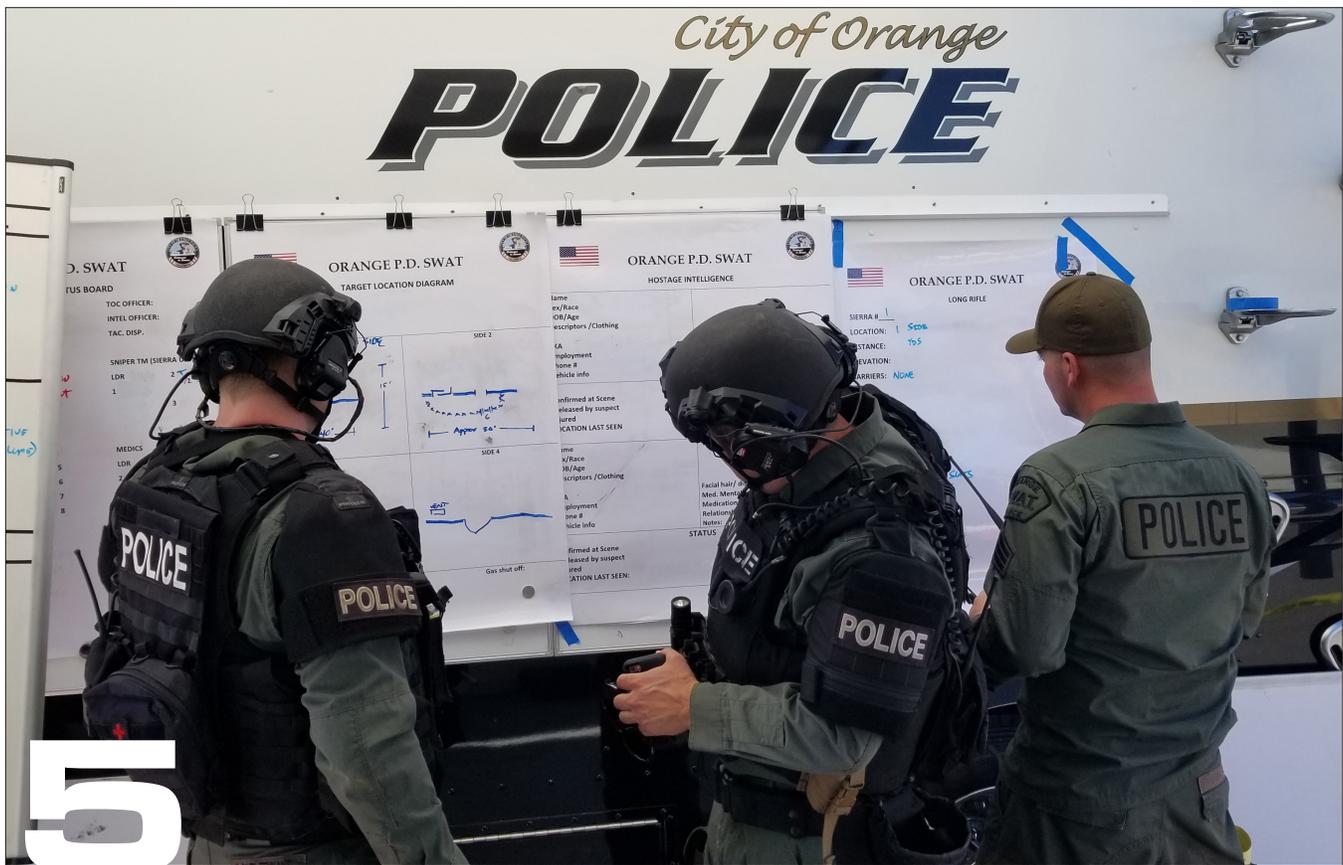
Agencies should have a threat assessment process to research and evaluate risks associated with pre-planned or spontaneous events. The purpose of a threat assessment is to determine when a SWAT deployment would be beneficial to the safety of those involved and reasonable for the circumstances. The use of a standardized threat assessment process helps ensure that decisions to deploy SWAT are made using objective, defensible, and clearly articulated criteria. Threat assessments should be documented and maintained.

The threat assessment should be verified, to the extent possible, and include objective factors such as:

- Nature of the crime
- Location considerations
- Suspect considerations
- Weapons
- Contributing known factors
- Any other reason justifying the use of a SWAT team

**See Appendix A for a Threat Assessment Template**





## Planning

SWAT team policies and training should support planning for spontaneous, rapidly evolving, and planned events.

- All SWAT team members should understand operational and tactical planning as well as its potential impact on the agency and the community.
- Redundancy in the knowledge of planning procedures for SWAT team members improves performance in rapidly developing scenarios.

SWAT teams should designate personnel responsible for developing an operational and tactical plan prior to and during SWAT operations. All operational and tactical plans should be documented and approved.

SWAT teams should incorporate emergency medical contingencies as part of the SWAT operational plan.

- Where resources allow, consideration should be given to integrating Tactical Emergency Medical Support (TEMS) personnel within the structure of the SWAT team.

**See POST publication *Tactical Medicine Operational Programs and Standardized Training Recommendations* and EMSA publication *California Tactical Casualty Care Training Guidelines for further information.* (Links to these documents may be found in Appendix M – Resources)**

Mission briefings should be conducted prior to an operation, unless circumstances require immediate deployment. These briefings should include the operational objective, the overall tactical plan, the role of each team member, and reasonably expected contingencies.

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- When applicable, briefings should include involved specialized units and supporting resources.
  - Agencies should consider including their policies on use of force, deadly force, and pursuits in any operational outline.

SWAT teams that anticipate augmentation by specialized units and supporting resources should incorporate the use of those units/resources into their planning and training.

**Refer to sections 12 through 20 for further guidelines on  
Specialized Functions and Supporting Resources.**



## Practical Issues

Agencies should develop protocols for sustained operations, to include relief, rotation of personnel, and augmentation of resources.

- MOU's with outside agencies should be developed to relieve or augment personnel during protracted or complex tactical events.

Agencies should develop procedures for post-incident scene management, including documentation and transition to investigations and other units.

Agencies should consider the use of tactically trained personnel for communications, negotiations, and record-keeping during SWAT operations.





## Uniforms, Equipment, and Firearms

SWAT teams should wear standardized uniforms that identify team members as law enforcement officers. Consideration should be given to selecting uniforms specifically designed to meet the demands inherent in SWAT operations.

- It is recognized that certain tactical conditions may require covert movement. Attire may be selected appropriate to the specific mission.

SWAT teams should be adequately equipped to meet the specific mission identified by the agency. This includes essential safety equipment such as helmets, vests, shields, rifles, and less-lethal munitions.

Weapons, ammunition, and equipment used by SWAT, specialized units, and supporting resources should be agency-issued or approved, including any modifications, additions, or attachments.





## **Personnel Selection, Physical Fitness and Core Competencies**

Minimum requirements for initial selection and full deployment with the SWAT team should be established by the agency, consistent with their personnel and risk management policies.

- Agencies should ensure that the SWAT selection process is reasonable, job-related (based on activities a SWAT officer in that agency is likely to engage in), and unbiased.
- The policy should include standards for the removal of SWAT personnel.

Agencies should establish physical fitness standards for the selection and retention of SWAT team members.

- Agencies should ensure that the SWAT fitness test is reasonable, job-related, and unbiased.
- Agencies should consider conducting a physical fitness assessment for SWAT team members at least annually. Policies should be established for failure to comply with these standards.

Agencies should establish SWAT core competency proficiency levels for SWAT team members.

- Agencies should consider conducting core competency assessments of SWAT team members at least annually. Policies should be established for failure to maintain these proficiencies.

**See Appendix B for an expanded list of SWAT Core Competencies.**





## Training

It is essential to recognize that not every circumstance or challenge likely to be present in events requiring a tactical response can be anticipated. To that end, a commitment to principle-based training can provide the foundation needed so tactical concepts may be appropriately applied in tactical operations.

### Training Policy and Documentation

Agency policy should incorporate SWAT training requirements. These policies should address initial, recurrent, and update/refresher SWAT training standards.

Individual and team training should be documented, and records maintained according to agency policy.

- Documentation of individual and team training performance can contribute to long-term reduction of liability and enhanced safety through early identification and resolution of non-proficiencies.

SWAT teams should develop an annual training plan based on a training needs assessment. An annual training plan helps SWAT teams to identify and prioritize training needs and schedule accordingly.

### Initial Training

SWAT team operators and SWAT supervisors/team leaders should complete a POST-certified basic SWAT course or its equivalent (as determined by the agency).

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- Training may be considered equivalent when the hours, topics, and content meets or exceeds POST’s standardized training recommendations.
  - Agencies should consider the role in which they assign SWAT members who have not yet completed a basic SWAT course or its equivalent.

**Appendix D provides training recommendations for the POST Basic SWAT Course.**

Appropriate training should be provided for all specialized SWAT functions and other supporting resources, prior to full deployment.

### **Recurrent Training**

SWAT core competencies are perishable. All SWAT team members should participate in documented monthly training to maintain individual and team core competencies as determined by the type and extent of SWAT missions and operations performed. Documentation should include a roster of participants, topics covered, and lessons learned.

Agencies should incorporate core competency proficiency assessments as part of recurrent training and establish policies for the failure of SWAT personnel to maintain proficiencies.

Ongoing training in the respective core competencies should be provided for all specialized SWAT functions and supporting resources.

SWAT core competencies fall within three general categories:

- Weapons, munitions, and equipment
- Individual and team tactics
- Planning and decision-making

**See Appendix B for an expanded list of SWAT Core Competencies.**

SWAT teams, specialized SWAT functions, and supporting resources should all participate in scenario-based training as part of their recurrent training requirements.

- Scenario-based training that simulates the tactical environment is an established method of improving performance during an actual deployment as well as improving decision-making skills.
- Scenarios should include the use of de-escalation and disengagement tactics.

Agencies are encouraged to provide wellness training and resources to support the physical and emotional health of SWAT team members.

### **Update and Refresher Training**

SWAT team operators, supervisors, and managers who provide tactical oversight should attend a minimum 24 hours of POST-certified SWAT update or refresher training, or its equivalent (as determined by the agency), every 24 months.

- SWAT personnel are encouraged to attend Crisis Intervention Training (CIT) to enhance their ability to de-escalate a situation.

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## **Command Staff Training**

SWAT command personnel should attend a POST-certified SWAT commander or tactical commander course, or its equivalent. Command personnel are strongly encouraged to participate in their agency's scheduled SWAT training.

Command and executive personnel who may function in an incident command role should attend a SWAT or critical incident commander course, or its equivalent.

- This training provides a needed understanding of the purposes and capabilities of the team.

**Appendix E provides training recommendations for a POST SWAT Team Leader/Commander Course.**

## **Training Safety**

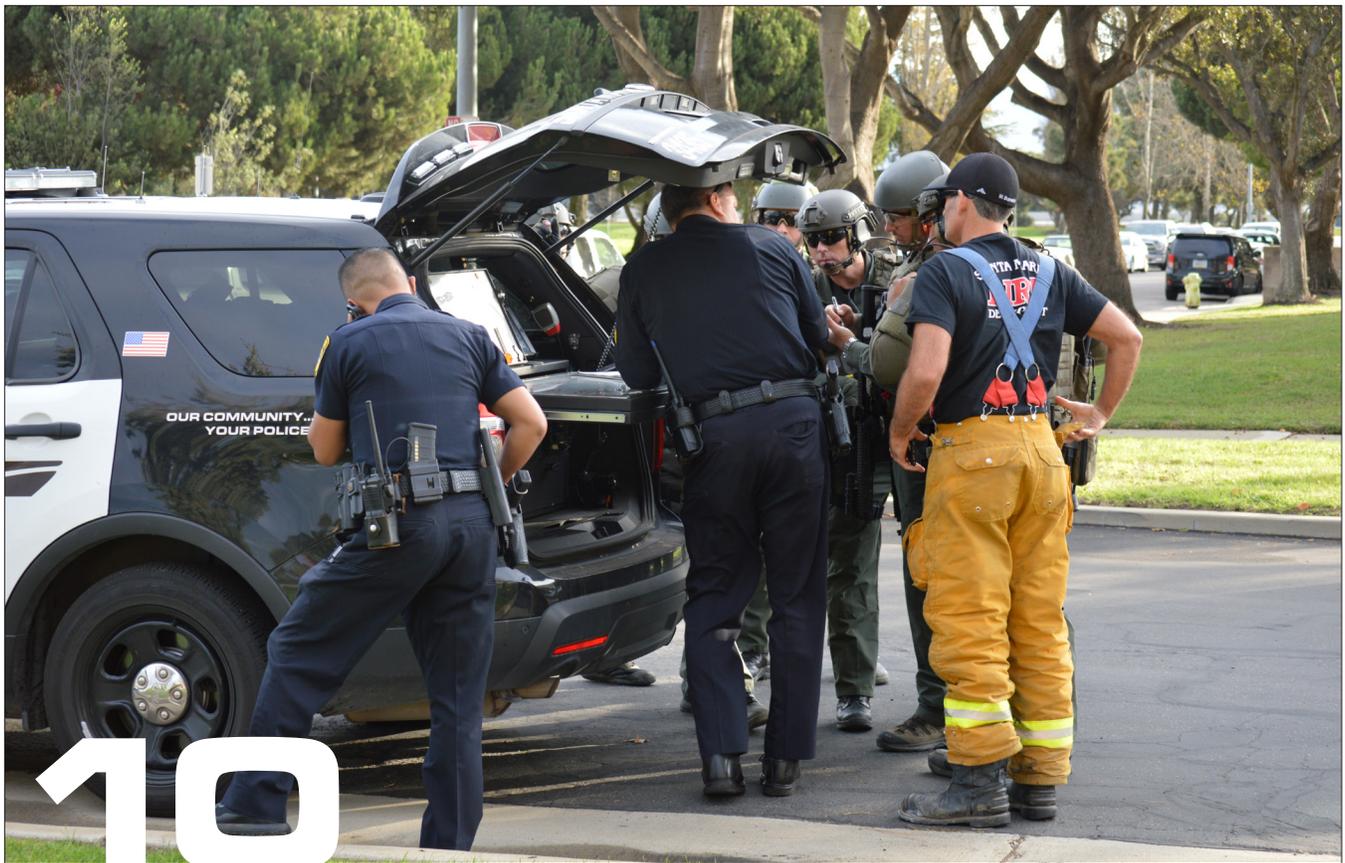
SWAT training involves the active participation of students who are training for high-risk operations.

- To achieve a maximum training effect, some element of risk is inherent in the training.
- Instructors must balance the training value of any given exercise or scenario against the risk of injury.

Primary consideration must be the mitigation of risk. All SWAT training should include a documented safety plan and have a designated safety officer consistent with the POST *Guidelines for Student Safety in Certified Courses*.

**See POST publication *Guidelines for Student Safety in Certified Courses* for further information on training safety, instructor qualifications, and instructor-to-student ratios.**  
**(A link to this document may be found in Appendix M – Resources.)**





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## **Multi-Jurisdictional SWAT Operations**

SWAT teams, including relevant specialized units and supporting resources, should develop protocols, agreements, and working relationships to support multi-jurisdictional or regional responses.

Multi-agency and multi-disciplinary joint training exercises are strongly encouraged in order to support operational integration.

Some agencies may choose to consolidate resources into a regional SWAT team concept.





## **After-Action Evaluation**

After-action team debriefings should be conducted after each tactical operation.

Evaluation and analysis of critical incidents allows for individual and team assessment, helps to identify training needs, and reinforces sound risk management practices. When appropriate, the debriefings should include specialized SWAT units and supporting resources.

An after-action report that documents each tactical operation, as well as an evaluation and analysis of the incident, is recommended.





## **SWAT K-9 Teams**

A SWAT K-9 team consists of a handler and canine who are specifically selected, trained, and equipped to work in conjunction with SWAT /tactical teams to assist in tactical operations.

### **Formation and Policy Considerations**

- Agencies should establish policies and procedures for the selection of handlers and canines used as part of a SWAT K-9 team.
  - Not all police canines are suitable for SWAT operations.
- Agencies should establish policies and procedures for the deployment of SWAT K-9 teams.
  - A SWAT K-9 team's suitability for deployment should be evaluated on an ongoing basis.
- SWAT K-9 teams should participate in mission briefings prior to a tactical operation, and after-action evaluations and team debriefings.

### **Training**

- The K-9 handler and canine should participate in a SWAT orientation program that emphasizes basic SWAT procedures, practices, and equipment prior to deployment.
- The SWAT K-9 team should attend a SWAT and K-9 integration training course.
- Agencies may want to consider the value in having their SWAT K-9 handlers attend a basic SWAT school.
- Agencies should establish SWAT K-9 core competencies.

- 
- ▷ Agencies should conduct core competency assessments on an ongoing basis.

**See Appendix F for an expanded list of Core Competencies for SWAT K-9 teams.**

- SWAT teams and SWAT K-9 teams should regularly participate in joint scenario-based training which is consistent with the type of SWAT missions performed, including tactical entries and arrests, to maintain SWAT K-9 team core competencies.
- Both SWAT K-9 handlers and supervisory personnel who are responsible for SWAT K-9 teams should remain current on legal issues pertaining to law enforcement K-9 deployment.

### **Safety Considerations**

- SWAT K-9 handlers should be provided with SWAT-specific safety and communications equipment appropriate to the assigned tactical mission.
- Rescue procedures for the SWAT K-9 team (i.e. handler down) should be developed, trained, and practiced prior to deployment, including the ability for someone other than the handler to manage the canine.
- Medical emergency contingency planning, including for an injured canine, should be incorporated as part of the rescue procedures.



## **Crisis Negotiations Team (CNT)**

A Crisis Negotiations Team is a designated group of personnel specifically selected, trained, and equipped to assist in the resolution of critical incidents by utilizing communication, intelligence gathering, and negotiation with criminal suspects and other persons.

### **Formation**

- Agencies that field a SWAT team, or who participate in a regional or multi-jurisdictional team, should develop a crisis negotiations component for response to critical incidents.
- A crisis negotiations team may be developed as an integral part of the SWAT team/unit, or as a separate entity with an independent command structure.

### **Agencies should develop written operating procedures, that include:**

- Criteria for the activation and deployment of a crisis negotiations team.
- Identification of personnel responsible for operations, training, and equipment maintenance.
- Establishing and running a Negotiations Operations Center in coordination with the Tactical Commander and the Incident Commander.

### **Agencies should develop resources to perform the four CNT operational functions:**

- Communications/Negotiations
- Intelligence

- 
- Tactical Liaison
  - Logistics

### **Training**

- CNT members should complete a POST-certified basic crisis negotiator course or its equivalent.
- CNT members should participate in documented quarterly training that maintains proficiency in core competencies, consistent with the type of SWAT missions identified by agency policy. Periodic scenario-based training, in conjunction with the SWAT team, is encouraged.
- CNT members should remain current on emergency communications and intelligence gathering technologies.
- CNT command personnel should attend a POST-certified SWAT commander or critical incident commander course, or its equivalent, and attain an understanding of crisis negotiations protocols.
- CNT members should receive orientation/familiarization training from their agency's SWAT team.
- CNT members are encouraged to provide crisis negotiation orientation/familiarization training for their agency's SWAT members.

**See Appendix G for an expanded list of Crisis Negotiations Core Competencies. Appendix H provides training recommendations for the Basic Crisis Negotiator Course.**



## Precision Rifle/Observer Teams

Precision Rifle/Observer Teams are designated officers specifically selected, trained, and equipped to work as an element of the SWAT team in the resolution of critical incidents by providing observation, force protection, intelligence gathering, and the employment of precision shooting.

- Precision Rifle/Observer Teams are most often a component of SWAT. However, it is recognized that some agencies train and deploy Precision Rifle/Observer Teams in coordination with, but distinct from, the SWAT team.

Precision Rifle/Observer core competencies fall within three general categories:

- Fundamentals of precision shooting
- Tactics
- Observation/Communication/Intelligence

### Training

- Precision rifle operators should not be deployed until completion of a POST-certified precision rifle course, or its equivalent. This is to provide the necessary foundation for the Precision Rifle/Observer Team to function in support of high-risk law enforcement operations.
  - Basic rifle, long rifle or tactical rifle courses (commonly referred to as the Patrol Rifle course) do not provide adequate training in fundamentals of precision shooting and SWAT tactics.

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- Precision rifle operators should participate in documented training on a monthly basis to maintain individual and team core competencies consistent with the type of SWAT missions performed.

**Appendix I provides training recommendations for the Precision Rifle/Observer Team Course.**



## Explosive Ordinance Details (EOD)

EOD provides support to SWAT operations where the threat of explosive hazards may be present. EOD may additionally support SWAT operations by providing specialized resources such as remotely controlled robotic platforms.

- EOD members should participate in a SWAT orientation program that emphasizes fundamental SWAT procedures, practices, and equipment prior to deployment.
- SWAT teams and EOD should regularly participate in joint scenario-based training.
- Agencies may want to consider the value in having selected EOD members attend a basic SWAT school.
- Agencies should develop strategies/policies for integrating SWAT and EOD operations.





## **SWAT CBRNE Operations**

SWAT teams may be tasked with training, planning and preparing for the tactical component of a governmental response to potential exposure to chemical, biological, radiological, nuclear, or explosive (CBRNE) hazards. Agencies should recognize that tactical operations in a CBRNE environment are highly specialized with distinct training and equipment requirements. SWAT teams may not be prepared to handle these incidents alone, and should consider a coordinated regional response by local, state, and federal agencies.





## SWAT Airborne Operations

Tactical airborne operations refer to the use of air support as a resource in coordination with SWAT to resolve critical incidents. Airborne Operations fall into two categories: Manned and Unmanned.

### Formation and Policy Considerations

- A needs assessment should be conducted to determine the type and extent of SWAT air support missions and operations appropriate to the agency.
- Agencies, in coordination with SWAT and the air support provider, should develop procedures for the tactical use of the aircraft.
- Agencies should develop strategies for information exchange between aircrews, incident command, and tactical teams.
- Agencies should develop policies and procedures for integrating air and ground operations.
- Agencies should develop appropriate mutual aid protocols for regional air support/SWAT joint operations.
- Use of manned and unmanned airborne assets concurrently will require airspace coordination.

### Manned Airborne Operations

#### *Training*

- SWAT teams that anticipate utilizing air support in recurrent missions should complete initial aircraft orientation and training prior to deployment.

- 
- SWAT teams who utilize air support for recurrent missions should incorporate airborne training with the aircraft and aircrew members in their annual training plan.

### *Planning*

- Aircrews should participate in the operational planning of missions that anticipate utilizing air support to ensure appropriate assets are in place.
- Aircrews should participate with SWAT in the after-action evaluation of operations and debriefings.
- Agencies should develop strategies for information exchange between air support, incident command, and tactical teams.
- Agencies should develop policies and procedures for integrating airborne and ground operations.

### *Safety Considerations*

- Prior to commencing air support operations, the aircrew should conduct a safety briefing, including aircraft safety and emergency procedures.

### *Firearms*

- Agencies should develop policies regarding the use of firearms and firearms training in an airborne environment.
- Weapons safety is of extreme importance in airborne operations. SWAT teams involved in airborne weapons utilization should conduct periodic training using the aircraft as a shooting platform.

## **Unmanned Airborne Operations**

Unmanned Aircraft Systems (UAS) offer an observation platform that may assist in facilitating command and control, containment, and entry/apprehension/rescue requirements for SWAT operations. The utilization of UAS can protect team members from direct exposure to lethal threats while accomplishing mission objectives.

Unmanned airborne capabilities can be provided internally (SWAT Team) or externally (Support unit or regional provider) based on the mission requirements and resources available.

- External unmanned airborne support considerations are similar to those for manned airborne operations.
- Agencies should obtain UAS operator certification through the Federal Aviation Administration through 14 CFR Part 107, or through the Public Use Certificate of Authorization process.
- Security should be provided for the UAS operator.
- During a tactical operation, the UAS operator may be attached to the team element or operate from another location.

**See Appendix J for an expanded list of Unmanned Aircraft Systems (UAS) Operator Core Competencies.**



## **SWAT Waterborne Operations**

Waterborne operations refer to the deployment of specially trained SWAT operators to engage in tactical operations associated with the waterborne environment.

### **Needs Assessment**

- A needs assessment should be conducted to determine the type and extent of SWAT waterborne missions and operations appropriate to the agency.

### **Training**

- SWAT teams who anticipate utilizing waterborne support in recurrent missions should complete initial vessel orientation and training prior to deployment.
- SWAT Teams who anticipate utilizing waterborne support for recurrent missions should incorporate joint training with applicable marine units in their annual training plan.

**See Appendix K for an expanded list of Tactical Waterborne Core Competencies.**

### **Planning**

- Consideration should be given to the proper selection of equipment in response to locally identified mission profiles.
- Marine unit members should participate in the operational planning of missions that anticipate utilizing waterborne support to ensure appropriate assets are in place.

- 
- Marine unit members should participate with SWAT in the after-action evaluation of operations and debriefings.
  - Agencies should develop strategies for information exchange between the marine unit, incident command, and tactical teams.
  - Agencies should develop policies and procedures for integrating waterborne and ground operations.

### **Safety Considerations**

- Prior to commencing waterborne operations, the marine unit should conduct a safety briefing, including vessel safety and emergency procedures.

### **Multi-jurisdictional Issues**

- Agencies involved in waterborne tactical operations should develop protocols, agreements, and working relationships with other agencies, which may be operationally affected due to statutory, cross jurisdictional, or multi-jurisdictional requirements.



## Tactical Emergency Medical Support (TEMS)

Tactical Emergency Medical Support (TEMS) consists of designated medical personnel, preferably at the advanced life support level, who are specifically selected, trained, and equipped to provide medical care during critical law enforcement incidents. Where resources allow, consideration should be given to integrating TEMS personnel within the structure of the SWAT team.

### Policy Considerations

- Agencies with TEMS programs should establish policies and procedures that address:
  - ▷ Selection, training and equipment standards for TEMS personnel
  - ▷ Medical oversight and coordination with the local EMS agency
  - ▷ Procedures for medical support during tactical operations
- The deployment and assignment of any emergency medical support personnel during a tactical response should be at the sole discretion of the law enforcement agency or department in accordance with established policies and procedures.

### Training

- TEMS programs should adhere to the tactical medicine training guidelines and standards consistent with the POST *Tactical Medicine Operational Programs and Standardized Training Recommendations* and EMSA *California Tactical Casualty Care Training Guidelines*.
- TEMS personnel should participate in a SWAT orientation program that emphasizes basic SWAT procedures, practices, and equipment prior to deployment.

- 
- TEMS personnel should regularly participate in scenario-based training with the SWAT team.

### **Safety Considerations**

- TEMS personnel should be provided with appropriate SWAT-specific safety and communications equipment appropriate to the assigned tactical mission.

### **Firearms**

- The primary focus of TEMS personnel should be patient care. The ultimate decision to arm non-law enforcement TEMS personnel rests with the controlling law enforcement agency. Legal authority and proper training to carry a firearm is a prerequisite. Armed TEMS personnel must have statutory authority to carry a firearm and should be trained and tested to the standard for law enforcement personnel.
- Law enforcement agencies that choose to arm their non-law enforcement TEMS personnel should do so in accordance with legal and statutory authority. Law Enforcement agencies assume responsibility for the use-of-force decision making, firearms proficiency, training, and performance of these personnel. As such, the arming of non-law enforcement TEMS personnel is not encouraged.

**See POST publication *Tactical Medicine Operational Programs and Standardized Training Recommendations* and EMSA publication *California Tactical Casualty Care Training Guidelines* for further information. (Links to these documents may be found in Appendix M – Resources)**



## Tactical Dispatch

Tactical Dispatch refers to the use of communications personnel, specifically selected and trained, to support critical incident command staff by identifying, collecting, mapping, disseminating and documenting operational information during the event.

### Agencies should establish policies and procedures, that include:

- Standards for the selection and training of tactical dispatchers
- Criteria for the activation and deployment of tactical dispatchers
- Identification of personnel responsible for tactical dispatch operations, training, and equipment acquisition and maintenance

### Training

- Agencies should establish core competencies for their tactical dispatchers.
- Tactical dispatchers should participate in a SWAT orientation program that emphasizes basic SWAT procedures, practices, and equipment prior to deployment.
- Tactical dispatchers should regularly participate in joint scenario-based training with the SWAT team.



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## **APPENDIX A**

### **Threat Assessment Template**

*The below threat assessment template is offered as a guide to assist agencies in their SWAT team deployment decision making. The use of a threat assessment template allows for consistency in decision making, as well as allowing the supporting facts to be documented and retrievable when needed for debriefings, legal proceedings or other purposes. A threat assessment is separate from and should precede the development of an operational plan.*

*Agencies may use the below criteria formatted in either a "point-based" or "yes/no" system.*

#### **Threat Assessment Template**

This threat assessment evaluates the risks associated with pre-planned or spontaneous events to determine the appropriate law enforcement response and resources necessary, including the use of SWAT. The primary purpose of a threat assessment is to determine when a SWAT deployment would be beneficial to the safety of those involved and reasonable for the circumstances.

Using a threat assessment ensures that decisions on whether to deploy SWAT are made using objective, defensible, and clearly articulated criteria. The facts which support a decision as to whether to respond, when to respond, and which deployment strategies to utilize should answer three primary questions.

- Why is this operation necessary?
- Why is it necessary to conduct the operation at the proposed time and place?
- Why are these tactics being used?

It is recognized that each situation is unique, and this threat assessment may not completely apply to every circumstance. Operational decision-making is ultimately the responsibility of the on-scene supervisor, watch commander, or incident commander.

#### **Operational Objective**

A threat assessment should begin with a clearly stated operational objective.

#### **Suspect(s)**

- Has the suspect made statements of resistance or violence?
- Is there specific or articulable information that the suspect(s) is armed? If yes, what type of weapon?
- Is there specific or articulable information that the suspect(s) is associated with a criminal organization (gang, cartel, extremist, etc.), which is known or suspected of violent criminal activity?
- Does the suspect(s) have a criminal history involving violence? (Felony assault, robbery, mayhem, etc.)
- Does the suspect(s) have a criminal history involving weapons? If yes, what type?
- Does the suspect(s) have a history of assault on a peace officer?

- 
- Does the suspect(s) have a history of resisting arrest?
  - Is the suspect(s) on probation or parole? If yes, for what?
  - Is there specific or articulable information the suspect is mentally or emotionally disturbed?
  - Does the suspect(s) have a history of alcohol or drug abuse? If yes, does suspect have a history of violence while intoxicated?
  - Does the suspect(s) have a military or law enforcement background? If yes, does the suspect have specialty experience that would present concerns?
  - Does the suspect(s) have a martial arts or similar background?

### **Offense**

- Is the offense a violent felony?
- Was a weapon used in the commission of the offense? If yes, weapon type?
- Were victims injured in the commission of the offense?
- Were officers injured in the commission of the offense?

### **Weapons**

- Is there specific or articulable information that firearms are on the premises?
- Is there specific or articulable information that assault weapons, superior armament (high-powered rifles, scoped weapons, etc.) are on the premises?
- Is there specific or articulable information that ballistic protection (body armor, building fortification, etc.) is on the premises?
- Is there specific or articulable information that explosives are on the premises?
- Is there specific or articulable information concerning other weapons? (crossbows, swords, etc.)

### **Location**

- Is the location heavily fortified? (sally ports, multiple gates, steel doors, etc.)
- Are there security screens/bars on doors, windows, or both?
- Is there counter surveillance? (CCTV, intrusion devices, etc.)
- Does the geographical layout present challenges? (large property, difficult terrain, etc.)
- Does the building configuration present challenges? (multi-storied, adjoining apartment(s), multiple outbuildings, etc.)
- Are children present at location? (check with the school district, social services agencies, etc.)
- Is the location near a school, business, daycare center, etc., which is open during the planned operation? If yes, can the operation occur at another time?
- Are other persons (elderly, emotionally/physically disabled) at the location?
- Is there heavy foot traffic at or near the location?

- 
- Are there vehicular difficulties at location? (located on a busy thoroughfare, narrow one-lane road access, etc.)
  - Is there specific or articulable information that the suspect(s) is dealing narcotics on the premises?
  - Is there specific or articulable information that hazardous materials are on the premises? (clandestine lab, other)
  - Is there specific or articulable information that booby traps are on the premises?
  - Is there specific or articulable information that guard, or vicious dogs are on the premises? (Other than passive family pets)

### **Situational Intelligence/Other Associated Factors**

- Based upon articulable facts, is there a likelihood of a violent/armed confrontation?
- Are hostages believed to be at the location?
- Is destruction of evidence likely and is that evidence critical to the case?
- The number of suspect's associates likely to be present at the location?
- The number of uninvolved adults likely to be present at the location?
- Will the passing of time increase or decrease risk to law enforcement, the public, or both?
- What is the likelihood the suspect will flee if the operation is delayed?

### **After the above questions have been answered, a threat assessment should result in one of three recommendations:**

- Operation is within the capacity of the investigating unit and/or patrol
- Consultation with the SWAT Supervisor/Commander is recommended
- SWAT team deployment is recommended

### **Deployment Strategies/Operational Plan**

Conducting surveillance on pre-planned events, when possible, may provide additional information to assist in the development of the operational plan. The plan should indicate which deployment strategy is initially to be used, contingency strategies, and the parameters and conditions for their use.

- Standard "Knock and Notice" Service
- Surveil and Wait
- Ruse
- Surround and Call-Out
- Breach and Hold
- Dynamic Entry

- 
- Stand-Down
  - The operational plan should include contingencies for:
    - ▷ Cooperation
    - ▷ De-escalation
    - ▷ Refusal to exit or surrender
    - ▷ Hostile action by suspect
    - ▷ Hostage rescue
    - ▷ Fleeing suspect
    - ▷ Officer down
    - ▷ Third party injuries

**Review and Approval (Minimum)**

- Requesting Unit Supervisor
- SWAT Supervisor
- SWAT Commander

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## **APPENDIX B**

### **SWAT Core Competencies**

This list is intended to assist agencies in determining areas of responsibility for individual SWAT teams and in developing an annual SWAT training plan. SWAT team members should maintain proficiency in the identified core competencies.

1. Weapons, Munitions, and Equipment
  - a. Armored rescue vehicle (ARV) operations
  - b. Equipment familiarization and maintenance
  - c. Firearm skills (live fire)
    - i. Handgun
    - ii. Low light/night training
    - iii. Shoulder-fired weapons
  - d. Individual uniform maintenance and wear
  - e. Ladder, rappelling, fast roping and other high angle access
  - f. Lighting systems (personal, weapons, other)
  - g. Mechanical breaching
    - i. Ballistic
    - ii. Explosive
    - iii. Hydraulic
    - iv. Manual
    - v. Mechanical
    - vi. Thermal
  - h. Munitions
    - i. Chemical agents: options and delivery systems
    - ii. Diversionary devices and delivery systems
    - iii. Less-lethal impact munitions and delivery systems
    - iv. Other less-lethal options
  - i. Night vision equipment
  - j. Use of ballistic shields
  - k. Weapons maintenance
2. Individual and Team Movement/Tactics
  - a. Active shooter response

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- i. Contact Team
  - ii. Rescue Team
  - iii. Rescue Task Force
  - b. Aircraft intervention
  - c. Arrest and control
  - d. Barricaded subject operations
  - e. Booby traps
  - f. Camouflage techniques
  - g. Conducting evacuations
  - h. Containment techniques
  - i. Cover and movement
  - j. Downed officer/civilian rescues
  - k. Dynamic entry/clearing
  - l. Emergency deployment techniques
  - m. Entries
  - n. High-risk warrant service
    - i. Contain & call-outs
    - ii. Distraction techniques
    - iii. Dynamic
    - iv. Remote takedowns
    - v. Ruses, etc.
  - o. Homicide bombers
  - p. Hostage rescue
  - q. Immediate action drills
  - r. Linear assaults (planes, trains, buses)
  - s. Night movement
  - t. Precision rifle-initiated assaults
  - u. Rappelling and ascending (rural and urban)
    - i. Airborne (fast-roping, STABO Operations)
    - ii. Static
  - v. Rescue operations – basic

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- w. Rural operations
  - x. Scouting
  - y. Searching techniques
  - z. Slow and deliberate (stealth) entry/clearing
  - aa. Small unit tactics
  - bb. Tactical casualty care
  - cc. Unique demand locations (schools, hospitals, multi-story structures, hazmat manufacturing sites, etc.)
  - dd. Vehicle rescues
3. Planning and Decision-Making
- a. Barricaded subject/suspect
  - b. Command Post
  - c. High risk warrant (dynamic, contain & call-outs, etc.)
  - d. Hostage situations
    - i. Confirmation incident is a hostage situation
    - ii. Criminal vs. Terrorist
    - iii. Hostage rescue
    - iv. Other
  - e. Mission and tactical contingency planning
  - f. Tactical Operation Center
  - g. Training simulations (scenario-based training)

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## **APPENDIX C**

### **Specialized Functions and Supporting Resources**

1. Airborne Operations – Manned and Unmanned
2. Counter-Terrorism
3. Crisis Negotiations
4. Executive Protection
5. Explosive Breaching
6. Explosive Mitigation (EOD)
7. Fire Departments
8. Illegal Marijuana Operations
9. Linear Assaults
10. Precision Rifle/Observer
11. Rappelling
12. Rescue Operations
13. Robotic Operations
14. Surveillance (static, mobile, electronic)
15. SWAT CBRNE Operations
16. SWAT K-9
17. Tactical Dispatch
18. Tactical Emergency Medical Support
19. Waterborne Operations

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## **APPENDIX D**

### **Basic SWAT Course Topics**

The topics address SWAT basic concepts and include practical application and problem-solving simulations as effective learning methods. Typical scenarios would include barricaded subjects, hostage situations, warrant service, active shooters, and other high-risk situations. The course should consider the following topics:

1. Introduction
  - a. Course objectives
  - b. Historical perspective of the SWAT concept
  - c. POST SWAT Operational Guidelines and Standardized Training Recommendations
  - d. SWAT policies and procedures
  - e. Terminology
2. Performance Evaluation of Team Members
  - a. Core competency training and compliance
3. Policy Issues
  - a. Legal issues/civil liability
  - b. Mutual aid procedures
  - c. Use of Force to include de-escalation strategies
4. Basic SWAT Concepts
  - a. Common SWAT responses
  - b. Incident command and direct supervision of the SWAT team
  - c. SWAT activation criteria
  - d. Team composition and duties
5. Psychological Considerations
  - a. Mental conditioning for confrontations
  - b. Post-trauma stress
  - c. Stress management
6. Physical Considerations
  - a. Fitness standards for SWAT team members
  - b. Lifetime fitness recommendations
  - c. Physical training for SWAT team members

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7. Overview of Individual and Team Equipment
    - a. Communications devices
    - b. Emergency medical kits
    - c. Personal protective equipment (PPE)
    - d. Specialized mission-specific equipment and technology
    - e. Specialized vehicles
    - f. Uniforms and equipment
    - g. Weapons and firearms
  8. Operational Planning
    - a. After action reporting
    - b. Contemporaneous planning
    - c. Implementation/resolution
    - d. Importance of planning
    - e. Incident de-briefing
    - f. Intelligence gathering/processing
    - g. Planning formats
    - h. Pre-event planning
    - i. Principles of containment
    - j. Sustained operations planning
  9. Command Post Operations
    - a. Field command post
    - b. Media considerations
    - c. Tactical operations center
  10. Individual and Team Movement
    - a. Bounding techniques
    - b. Cover and concealment
    - c. Open area searches
    - d. Overcoming obstacles
    - e. Team communications
    - f. Practical application

- 
11. Basic Entry and Search Techniques
    - a. Buildings and structures
    - b. Mechanical and explosive breaching
    - c. Open area searches
    - d. SWAT arrest and control
    - e. Practical application
  12. Individual and Team Firearms Training
    - a. Handguns
    - b. Shoulder-fired weapons
    - c. Practical application
      - i. Training courses of fire
      - ii. Qualification courses of fire
  13. Less-Lethal Munitions
    - a. Overview of less-lethal munitions
    - b. Practical application
  14. Chemical Agents in SWAT Operations
    - a. Overview of chemical agents
    - b. Practical application
  15. Diversionary Devices
    - a. Overview of diversionary devices
    - b. Practical application
  16. Crisis Negotiation
    - a. Collaboration between SWAT and crisis negotiation teams
    - b. Negotiation concepts and strategies
  17. Specialized SWAT Functions
    - a. Airborne operations (manned and unmanned)
    - b. Counter-terrorism
    - c. Crisis negotiations
    - d. Executive protection
    - e. Explosive breaching
    - f. Explosive mitigation (EOD)

- 
- g. Illegal marijuana operations
  - h. Linear assaults
  - i. Precision rifle/observer
  - j. Rappelling
  - k. Rescue operations
  - l. Robotic operations
  - m. Surveillance (static, mobile, electronic)
  - n. SWAT CBRNE operations
  - o. SWAT K-9
  - p. Tactical dispatch
  - q. Tactical Emergency Medical Support (TEMS)
  - r. Waterborne operations
18. Training Scenarios and Problem-Solving Simulations
- a. Decision making exercises
  - b. Reality-based exercises
  - c. Table top exercises

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## **APPENDIX E**

### **SWAT Team Leader/Commanders' Course Topics**

These course topic recommendations are designed for supervisory and command level officers who have SWAT team responsibility. The content addresses the employment of SWAT teams, precision rifles, negotiators, containment, command posts, and other special operations resources. Typical training scenarios would include barricaded subjects, hostage situations, warrant service, active shooters, and other high-risk situations. The course should consider the following topics:

1. Introduction
  - a. Course objectives
  - b. POST SWAT Operational Guidelines and Standardized Training Recommendations
2. Definition of a Critical Incident
  - a. History of tactical operations
3. Administrative Duties and Responsibilities
  - a. Core competency training and compliance
  - b. Documentation
  - c. Equipment/new technology
  - d. Personnel selection, retention, and removal
  - e. Policy and procedures update and compliance
4. Legal Issues
  - a. Lawful authority (e.g. High risk warrant service)
  - b. Civil liability/case law
  - c. Use of force
5. Force Options Decision Making
  - a. Articulation of use of force decisions
    - i. Including de-escalation strategies
  - b. Policy considerations
  - c. Safety considerations
6. Mutual Aid Procedures
  - a. Communications
  - b. MOU's
  - c. Policy

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7. Deployment Guidelines
    - a. Department initiated events
    - b. Suspect initiated events
    - c. Threat assessment
  8. Tactical Team Operations
    - a. Barricaded suspect/subject
    - b. Hostage rescue
    - c. Mobile suspect interdiction
    - d. Open area clearing
    - e. Protection details
    - f. Warrant service
  9. Command and Control
    - a. Incident command
    - b. Mutual aid
    - c. Tactical command
    - d. Unified command (ICS)
  10. Command Post Operations
    - a. Communications
    - b. Definition and functions
    - c. Duties and responsibilities
    - d. Incident command post vs. tactical command post
  11. Tactical Operation Procedures
    - a. Briefing
    - b. Capabilities assessment
    - c. Force options
    - d. Medical support
    - e. Operational planning
    - f. Post operational debriefing
    - g. Situation/threat assessment
  12. Tactical Components/Capabilities
    - a. Crisis negotiations team

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- b. Incident scribe
  - c. Precision rifle/observer team
  - d. SWAT team
  - e. Tactical dispatch
  - f. Tactical Emergency Medical Support (TEMS) or Fire/EMS assets
13. Tactical Considerations/Missions
- a. Airborne operations
    - i. Manned
    - ii. Unmanned
  - b. Armored vehicles
  - c. Arrest/reaction team
  - d. Breaching
  - e. CBRNE
  - f. Chemical Agents
  - g. Containment team (SWAT or Patrol)
  - h. Delivery techniques
    - i. EOD
    - j. Evacuation
    - k. Fire
    - l. Hostage rescue
  - m. Less-lethal munitions
  - n. Robotics
  - o. Sustained operations
  - p. Tactical electronics
  - q. Tactical Emergency Medical Support (TEMS)
  - r. Waterborne operations
14. Training Scenarios and Problem-Solving Simulations
- a. Decision-making exercises
  - b. Reality-based exercises
  - c. Tabletop exercises

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## **APPENDIX F**

### **Core Competencies for SWAT K-9 Teams**

This list is intended to assist agencies in determining areas of responsibility for SWAT K-9 teams and in developing an annual SWAT K-9 training plan. SWAT K-9 teams should maintain proficiency in the identified core competencies.

1. Team Movement
  - a. Team and stealth movement techniques (tactical obedience)
  - b. Team approach to objective
  - c. Team entry into objective
  - d. The ability for someone other than the handler to manage the K9 (e.g. handler down situation)
2. Searching
  - a. Ability to recall K-9 during tactical searches
  - b. Alert by K-9 upon locating an inaccessible suspect
  - c. Clearing high-risk areas (entryways, stairwells, hallways, etc.)
  - d. Confined space and limited access insertion and extraction
  - e. Controlled behavior by K-9 during search exercises
  - f. Directed and non-directed tactical searches
  - g. Hand and/or audible down commands for K-9 during tactical searches
  - h. Long-line utilization
  - i. Tactical tracking consistent with agency procedures
3. Suspect Apprehension and Arrest
  - a. Extraction of a non-compliant high-risk subject
  - b. Suspect apprehension
  - c. Suspect containment
  - d. Suspect distraction
  - e. Tactical out and team arrest procedures
4. Firearms and Devices Training
  - a. Controlled behavior by K-9 with the team during live-fire exercises
  - b. Firearms training and qualifications with K-9 near the handler
  - c. Operating in a chemical agent and smoke environment
  - d. Operating in conjunction with diversionary device deployment
  - e. Operating in conjunction with UAS and other devices

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## **APPENDIX G**

### **Crisis Negotiations Core Competencies**

This list is intended to assist agencies in determining areas of responsibility for individual Crisis Negotiation Teams (CNT) and in developing an annual CNT training plan. Crisis Negotiators should maintain proficiency in the identified core competencies.

1. Core Competencies:
  - a. Communications skills
    - i. Active listening
    - ii. Tactical communications
    - iii. Interview and Interrogation skills
  - b. Equipment and technical knowledge
  - c. Homicide/Suicide indicators
  - d. Knowledge of incident management, team roles, and responsibilities
  - e. Risk assessment/incident evaluation
    - i. Behavioral/emotional factors
    - ii. Diminished capacity
2. Expanded Listing - Knowledge of:
  - a. After action/incident reporting
  - b. Critical incident assessment (feedback to Incident Commander)
  - c. Drug/alcohol/medication interactions
  - d. Emerging technology issues
  - e. Extremist groups
  - f. Faith-based awareness
  - g. Joint training with tactical units and other groups
  - h. Juvenile issues
  - i. Language barrier/communication issues
  - j. Legal issues and case law regarding crisis negotiations
  - k. Media influences and issues
  - l. Mental disorders
  - m. Mutual aid protocols
  - n. Prison/jail/holding facility issues
  - o. Social media influence and issues

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- p. Socio-cultural/ethnic awareness
  - q. Special circumstances (negotiation w/known persons, agency personnel, etc.)
  - r. Suicidology (“Suicide by Cop”)
  - s. Third-party intermediary skills

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## **APPENDIX H**

### **Basic Crisis Negotiator Course Recommended Course Topics**

These course topic recommendations are designed for personnel who are assigned to a Crisis Negotiation Team (CNT.) These topics address the basic concepts of crisis negotiations and include practical application and problem-solving simulations as effective learning methods. The course should consider the following topics:

1. Historical Perspective
  - a. Centralized vs. decentralized team concepts
  - b. Modern-day negotiations
  - c. Significant events affecting early negotiations
2. Basic Negotiations Theory
  - a. Three “C’s” of negotiations
    - i. Containment
    - ii. Control
    - iii. Communication
3. Crisis Negotiations Team Structure
  - a. Intelligence
    - i. Interview
    - ii. Subject profile
    - iii. Information sharing
  - b. Logistics
    - i. On-site support – CNT
    - ii. On-site support – Tactical
  - c. Positions, roles, responsibilities
4. Incident Types
  - a. Hostage situations
  - b. Non-hostage/barricade situations
  - c. Special circumstances
    - i. Custodial/corrections incidents
    - ii. Law Enforcement Personnel
    - iii. Repeat Offenders
    - iv. Suicide by Cop

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5. Subject Types
    - a. Alcohol/drug influence
    - b. Domestic violence
    - c. Interrupted crimes
    - d. Mental health issues
    - i. Psychological disorders and diagnosis
    - e. Suicide
    - f. Terrorism
  6. Response Protocol
    - a. Team activation
      - i. First responder and/or team supervisor evaluation
  7. Critical Incident Assessment
    - a. Hostage behavior
    - b. Risk assessment
      - i. Type of incident
      - ii. Appropriate action to resolve
    - c. Stockholm Syndrome
    - d. Victimology
    - e. Walk-away assessment
      - i. To negotiate or not to negotiate
  8. Equipment
    - a. CNT specialized equipment (use and maintenance)
    - b. Technology
  9. Negotiation Techniques
    - a. Verbal Communications
      - i. Electronic communications
      - ii. Face-to-face
      - iii. Third-party communications
  10. Negotiation Strategies
    - a. Communication skills
      - i. Active listening

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- b. Indicators of progress or violence
  - c. Time considerations
11. Surrender Phase
    - a. Tactical / CNT coordination
    - b. Transfer of communications
  12. Debriefing
    - a. Incident Review
      - i. Individual
      - ii. Team
      - iii. Tactical / CNT joint debriefing
    - b. Critical incident stress debriefing
      - i. Incident driven
      - ii. Individual assessment
  13. Post Incident Considerations
    - a. Debriefing
    - b. Documentation
      - i. After-action report
      - ii. Reports and recorded material
  14. Legal Aspects
    - a. Case Law
    - b. Ethics
    - c. Individual negotiators' resumes
      - i. Expert witness
    - d. PC 633.8 (Surreptitious Eavesdropping)
    - e. Risk management
  15. Training Scenarios / Role-Playing
    - a. Debriefing of scenarios
      - i. Student performance evaluations
    - b. Group scenarios
    - c. Safety

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## **APPENDIX I**

### **Precision Rifle/Observer Team Course Topic Recommendations**

These course topic recommendations are designed for officers who are assigned to a Precision Rifle/Observer Team. These topics address basic concepts of Precision Rifle Team functions and include practical application and problem-solving simulations as effective learning methods. The course should consider the following topics:

1. Safety Issues
  - a. Classroom
  - b. Operational
  - c. Range
2. Weapons and Equipment Considerations
3. Roles and Duties
4. Common Mission Profiles
5. Legal Issues
  - a. Case studies/lessons learned
  - b. Documentation
    - i. Training records
  - c. Use of force – policy issues
6. Fundamentals of Precision Shooting
  - a. Data books/proper documentation
  - b. Dim-light shooting, including use of night vision devices and laser designators
  - c. Fundamentals of shooting a scoped rifle
    - i. Zeroing
    - ii. Cold bore zeroing
  - d. Mental and physical preparedness
  - e. Optics
  - f. Position shooting
  - g. Rifle care
  - h. Suppressed weapons
  - i. Wind and range estimation

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7. Ballistics
    - a. External ballistics
      - i. Angle shooting
      - ii. Environmental factors
    - b. Intermediate barrier shooting (i.e., windows, doors, etc.)
    - c. Internal ballistics
    - d. Terminal ballistics
  8. Basic Fieldcraft – Urban and Rural
    - a. Camouflage
    - b. Communication
    - c. Cover and concealment
    - d. Hides
    - e. Movement
    - f. Navigation
    - g. Team member identification
  9. Observation/Communication Skills
    - a. Diagramming
      - i. Field sketching
      - ii. Range cards
    - b. Intelligence gathering
    - c. Observation/retention exercises
    - d. Reporting
      - i. Observation log
    - e. Scouting
    - f. Team member communications
  10. Practical application and evaluation

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## **APPENDIX J**

### **Unmanned Aircraft Systems (UAS) Operator Core Competencies**

This list is intended to assist agencies in determining areas of responsibility for individual UAS pilots and in developing an annual UAS team training plan. UAS pilots should maintain proficiency in the identified core competencies.

1. Remote Pilot:
  - a. Certification
    - i. 14 CFR Part 107 certification and/or
    - ii. Public Use Certificate of Authorization
  - b. Environmental considerations
    - i. Interior operations
      1. Operate in first person view mode
      2. Determine the range of aircraft
    - ii. National airspace
      1. Identify airspace requirements
      2. Identify obstacles and sources of interference
    - iii. Night flying
      1. Identify night physiological effects and visual illusions associated with night flying
2. Aircraft Selection
  - a. Account for latency issues during operations
  - b. Determine the center of gravity for the aircraft in question
  - c. Differentiate between Analogue and Digital Signals
  - d. Identify the useful load associated with an aircraft
3. UAS Tasks
  - a. Direct Support
    - i. Clear areas parallel to team movement
    - ii. Conduct search operations
    - iii. Maintain contact with the suspect
    - iv. Resupply
  - b. Indirect support
    - i. Security (External)

- 
1. Determine suspect's actions
  2. Evaluate containment
  3. Recommend employment of capabilities (i.e., identify the position for precision rifles, etc.)
- ii. Safety (Internal)
    1. Additional resources
    2. Identify potential friendly fire conflicts
    3. Identify possible threats
4. Agencies and UAS pilots should be aware of legal requirements regarding privacy, civil rights, and civil liberties, as they pertain to the use of UAS.

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## **APPENDIX K**

### **Tactical Waterborne Core Competencies**

This list is intended to assist agencies in determining areas of responsibility for tactical waterborne operations and in developing an annual SWAT training plan. SWAT team members should maintain proficiency in the identified core competencies.

1. If limited to boat operations:
  - a. Basic water safety techniques
  - b. Boarding techniques and tactics
  - c. Familiarization with vessel operations, including safety briefing
  - d. Night and dim light conditions
  - e. Small boat tactics
    - i. Shooting platform
    - ii. Weapon considerations
  - f. Use and maintenance of a personal flotation device
2. If conducting surface swimmer operations:
  - a. Agency-approved swim test, to include water tread
  - b. Boarding and offloading techniques
  - c. Self-rescue techniques
3. If conducting sub-surface operations:
  - a. Cal OSHA regulations as they pertain to underwater operations
  - b. Certification from a recognized certifying agency, including NAUI, PADI, the military or equivalent.
  - c. Medical exam and certification for SCUBA as per Cal OSHA guidelines

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## APPENDIX L

### Glossary

**Active Killer** - An armed suspect who is actively killing or attempting to kill civilians and/or law enforcement and continues to do so while having access to additional victims. Also known as Active Shooter and Active Assailant.

**After-Action Report** - A document to be completed following a debriefing or after-action review, of a planned or spontaneous operation to include the actions taken (or failures to act and omissions) by personnel, mission results and any pertinent and relevant information related to the same operation. The report should include lessons learned and any training recommendations identified. It should be supported with the operational plan, related reports, and any other written or photographic material associated with the operation.

**After-Action Review** - A structured process for analyzing a particular operation or exercise and usually includes subject matter experts or superiors, not assigned to the team, specifically tasked with identifying areas for improvement.

**Armored Rescue Vehicle** - A vehicle that is or has been hardened to protect the occupants from small arms fire and fragmentation. Also known as an "ARV."

**Arrest Team** - A team of operators established to contact, control and detain suspect(s). The primary function is to safely and effectively receive anyone exiting a location. May also serve as the Immediate Reaction Team or Emergency Reaction Team depending on personnel available.

**Barricaded Subject** - A barricade situation may be defined as the standoff created by an armed or potentially armed suspect in any location, whether fortified or not, who is refusing to comply with lawful orders for surrender.

**Breach and Hold** - A tactical technique by operators to maintain and hold their positions near the entry point of an incident location after breaching that entry point. Also known as "breach and delay."

**Brief Back** - The formal process after an operational briefing (or as part of that process) wherein an operator recites back to the team leader or operational leader his/her specific assignment(s) and tactical/equipment responsibilities for a pending operation.

**Casualty Collection Point** - Designated secure location for the collection of injured persons.

**Chemical Agents** - Any liquid, solid, or gas compound that works psychologically and/or physiologically to create discomfort in humans.

**Command and Control** - The exercise of authority, direction, and delegation by a properly designated commanding officer over law enforcement personnel in the accomplishment of the mission.

**Compromise Authority** - Direct action authority granted by the Incident Command/Tactical Commander to a team leader authorizing the initiation of specific action and or series of actions in response to actions taken by the suspect(s).

**Containment** - Pre-designated perimeter positions of incident location(s) to control and contain suspect movements.

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**Contain and Call Out** - A technique associated with a tactical element surrounding and establishing containment of an incident location before contact with occupants to facilitate a subsequent callout of those occupants in a controlled manner to a secured and safe area. Also known as “Surround and Call Out.”

**Crisis Negotiation Team (CNT)** - Responsible for developing actionable intelligence regarding any negotiations/tactical problem, contribute to a threat assessment, open lines of communication with a suspect, and use active listening and bargaining techniques to negotiate a surrender. Also known as a Hostage Negotiation Team.

**Diversion** - A physical or psychological tactic used to draw a suspect away from the principal point of contact, used to draw attention away from the primary action.

**Dynamic Tactics** - Tactics comprised of a group of techniques that are characterized by continuous productive activity and not specifically by the speed of movement.

**Emergency Entry/Rescue** - Making an emergency entry into a location with little or no intelligence when there is an imminent threat of death or serious bodily injury to civilians or law enforcement personnel.

**Entry** - Any procedure to gain entrance to any tactical threat environment, such as structures, conveyances, or property.

**Explosive Breaching** - Use of explosives to breach entry/access points and porting. The precise application of measured amounts of explosive compounds to affect an opening.

**Flash Sound Diversionary Device (FSDD)** - A device creating a bright flash and loud report designed to temporarily divert the attention of persons in the immediate vicinity, giving tactical teams a window of opportunity to exploit to their advantage. May also be referred to as a Noise Flash Diversionary Device (NFDD).

**Hard Target Weapon System** - A weapon system, which due to its unique kinetic energy and terminal penetration qualities, is capable of defeating armored locations and/or vehicles that pose a threat to public safety.

**High-Risk Apprehension** - The search for or arrest of a suspect in any environment that is characterized by hazards and risks to such a degree that it exceeds the capabilities of the normal patrol and investigative functions.

**High-Risk Warrant** - A search or arrest warrant characterized by hazards and risks to such a degree that service of the warrant exceeds the capabilities of the normal patrol and investigative functions.

**Hostage** - A person held by force or fear by a hostage taker who intends to harm the person or use them as security so that specified terms of an ultimatum are met.

**Hostage Rescue** - Deployment of a tactical team in defense of life, to save and rescue hostages.

**Improvised Explosive Device (IED)** - A homemade explosive device.

**Immediate Reaction Team** - A team prepared to respond to unplanned events at the crisis site. This team may also be tasked with arrest team responsibilities based upon personnel available.

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**Incident Commander** - The individual responsible for all incident activities, including the development and/or approval of strategies and tactics and the ordering and the release of resources. The IC has overall authority and responsibility for conducting incident operations and is responsible for the management of all incident operations at the incident site.

**Incident Command Post/ICP** - The field location at which the primary tactical-level, on-scene incident command functions are performed.

**Inner Perimeter** - A proximity boundary maintained initially by first responding officers, later transferred to the tactical team and designed to contain the situation and suspect(s) to the smallest possible area and control access to the area of operation.

**Knock & Announce Entry** - Verbal notice, to include identity and purpose, required by law before entering a building during service of a search or arrest warrant. Also known as Knock and Notice.

**Last Cover and Concealment (LCC)** - A specific area related to the operational site, which provides the team or individuals from the team cover and concealment before being exposed to specific threats while on approach.

**Limited Penetration** - A tactical maneuver where forward access by an entry team is limited to a measured and partial entry into an incident location rather than fully entering the location. Suspects and other occupants can be detained at the point of the entry and/or be called out from other places within the location to the area controlled by the entry team.

**Linear Assaults/Takedowns** - A planned approach to clear a linear-shaped confined space, conveyance or elongated areas such as a bus, train, subway, airplane, or close-quarter hallway.

**Limit of Exploitation (LOE)** - A separation of areas within the operational site where team members can advance to but not cross. Also known as Limit of Advancement (LOA).

**MACTAC** - Multi-Assault, Counter-Terrorism Action Capabilities. Multiple deadly force incidents occurring simultaneously or concurrently; a terrorist attack involving explosives (IED), high-powered weapons; or a hostage siege where the armed persons have used deadly physical force or are preparing to use deadly force on other persons, and it is an ongoing dynamic incident.

**Mass-Casualty Violence** - An act or acts of violence resulting in multiple casualties when committed by a subject or subjects (active killer), by any means that may or may not be conventionally classified as a weapon.

**No-Knock Entry** - Any tactical operation in which law enforcement officers have been legally exempted from the usual requirements of knocking, identifying themselves, and demanding entry. Circumstances and justifications must be documented.

**Objectives** - The desired result or outcome of a tactical operation. It is used to provide a focal point for directing the efforts to attain it without requiring excessive instructions or careful supervision.

**Operator** - A sworn law enforcement officer trained, equipped, and assigned to a tactical law enforcement operations unit or team.

**Operational Plan** - A plan which seeks to achieve an acceptable resolution by allocating resources and affixing responsibility to members of the organization.

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**Performance Standards** - Levels of performance required for planning and carrying out missions or tasks, used to evaluate individual and team performance, serve as a guide for evaluating a training session and as a basis for debriefing an operation.

**Personal Protection Detail** - Perform duties associated with protecting dignitaries, VIP's, witnesses, or other protectees. Also known as Executive or Dignitary Protection.

**Port and Cover** - Breaching and/or removal of all obstructions or barriers within a window, door, wall or similar opening, to allow operators to enter the location, deploy diversionary devices and safely observe and cover a room's interior and any occupants from outside the location after porting.

**Precision Rifle** - A highly-trained operator whose missions include intelligence gathering, observation and the capability of delivering precision fire with a rifle. An operator with precision rifle capability is historically referred to as a sniper and commonly deployed with an observer as a Precision Rifle team.

**Precision Rifle-Initiated Takedown** - The tactic of initiating a coordinated approach on a building or vehicle immediately after the precision rifle operator takes a dedicated pre-planned or spontaneous precision shot.

**Rapid Deployment** - The immediate deployment of law enforcement resources to life- threatening situations where the delay in such deployment could result in death and/or great bodily harm to persons.

**Reactionary Authority** - Unless otherwise specified during a SWAT mission, SWAT officers should react to deadly threats according to their agency policy governing the use of force. Officers are cautioned that the use of the sound tactical judgment is to be utilized when reacting to deadly threats, and the safety of innocent victims is paramount.

**Ruse** - A psychological tactic, which is intended to distract or deceive someone to gain a tactical advantage.

**Safety Priorities** - A decision-making process which provides the framework for making tactically sound decisions, utilizing objective criteria based on an individual's current or likely risk of suffering serious bodily injury or death and their direct ability to remove themselves from that danger. Those exposed to the greatest potential of injury with the least ability to escape the situation are placed at the top of the priorities, (i.e. a hostage is at grave danger of injury when held against his or her will and has little ability to control the situation). On the other end of the continuum is the suspect, who has little threat of injury and absolute control over the situation. The safety priorities value all life and their sole intent is to assist law enforcement in making tactical decisions to assist in saving lives.

**Scouting** - The systematic observation and documentation of the physical characteristics of an objective and the surrounding area. Also known as Reconnaissance.

**Slow and Deliberate** - Movement technique characterized by stealth and without regard for time.

**SMEAC** - Acronym used for operational planning: Situation, Mission, Execution, Administration/ Logistics, and Command/Signal.

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**Standard Operating Procedures/SOPs** - Established or prescribed methods followed routinely for the performance of designated operations or in designated situations in accordance with agency policy.

**SWAT** - Acronym for Special Weapons and Tactics team. A designated law enforcement team whose members are recruited, selected, trained, equipped, and assigned to resolve critical incidents involving a threat to public safety, which would otherwise exceed the capabilities of traditional law enforcement first responders and/or investigative units.

**Tactical Commander** - The designated individual(s) responsible for the management, operation, and deployment of a tactical team. Also known as Team Commander.

**Tactical Emergency Medical Support (TEMS)** - The mission-preplanning, preventative care, and medical treatment rendered during mission-driven, high-risk, large-scale, and extended law enforcement operations. The TEMS scope of practice includes medical interventions that are intended to reduce the incidence of injury, illness, disability, and death of any person associated with police operations. TEMS adapts and incorporates sound medical practices, with law enforcement tactics, for use in operations characterized by competing mission objectives, diagnostic uncertainty, limited resources, and performance decrement under stress, to permit the delivery of effective medical care in an unfolding law enforcement mission. The needs and operating environment of the SWAT team determine the medical capabilities of the TEMS element.

**Tactical Medic** - A tactical medic is a licensed medical practitioner, with specialized training and a demonstrated ability to work in and provide medical care, within an active law enforcement operation.

**Tactical Operations Center (TOC)** - The location that supports tactical command decision-making processes by analyzing, assessing, and evaluating information on, and activities of, the suspect(s). In doing so, the TOC documents activities and processes of the commander and team leader(s). The four primary activities of the TOC include operations, intelligence, negotiations liaison, and precision rifle control. Also known as Tactical Command post.

**Target-Specific Directed Fire** - Controlled gunfire that is directed at the suspect, reducing the suspect's ability to return fire while a tactical team, element, or individual movement is conducted. It is also known as "suppressive fire," "cover fire," and "return fire."

**Team Leader** - A team member, regardless of rank, with an appropriate level of experience and competence who works directly with team members. He or she acts in an administrative, tactical and operational capacity under the team commander, to coordinate and supervise training, planning and deployment activities.

**Terrorism** - The calculated use of violence, or the threat of violence, to create fear, intended to coerce or to intimidate governments or societies, in the pursuit of goals that are generally political, religious or ideological.

**Threat Assessment** - The process of evaluating and determining the presence of any or all potential hazards or dangerous conditions to law enforcement personnel and the public that may be present or may occur during an operation or training to determine the appropriate risk level of that pending action. Also known as Risk Assessment.

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**Vehicle Assault/Takedown** - Perform duties associated with approaching an armed suspect contained within a stationary vehicle. Also known as “High-Risk Vehicle Takedown.”

**Warrant Service** - Performing or carrying out an arrest or search warrant on a location.

**Window of Opportunity** - A set of favorable circumstances that offer an advantage during a tactical operation, if appropriately and promptly exploited.

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## **APPENDIX M**

### **Resources**

#### **DOCUMENTS**

Law Enforcement K-9 Guidelines – CA Commission on POST

[https://post.ca.gov/Portals/0/post\\_docs/publications/K-9.pdf](https://post.ca.gov/Portals/0/post_docs/publications/K-9.pdf)

Tactical Medicine Operational Programs and Standardized Training Recommendations - CA Commission on POST

[https://post.ca.gov/Portals/0/post\\_docs/publications/Tactical\\_Medicine.pdf](https://post.ca.gov/Portals/0/post_docs/publications/Tactical_Medicine.pdf)

California Tactical Casualty Care Training Guidelines - CA Emergency Medical Services Authority (EMSA)

[https://emsa.ca.gov/wp-content/uploads/sites/71/2017/07/EMSA\\_TCC\\_Guidelines\\_approved\\_062117.pdf](https://emsa.ca.gov/wp-content/uploads/sites/71/2017/07/EMSA_TCC_Guidelines_approved_062117.pdf)

Guidelines for Student Safety in Certified Courses - CA Commission on POST

[https://post.ca.gov/Portals/0/post\\_docs/publications/Student\\_Safety.pdf](https://post.ca.gov/Portals/0/post_docs/publications/Student_Safety.pdf)

Tactical Response and Operations Standard for Law Enforcement Agencies - National Tactical Officers Association

<http://ntoa.org/pdf/swatstandards.pdf>

National Special Weapons and Tactics (SWAT) Study: A National Assessment of Critical Trends and Issues from 2009 to 2013 – International Association of Chiefs of Police

<https://www.theiacp.org/sites/default/files/2018-10/swatstudy.pdf>

#### **WEBSITES**

California Association of Tactical Officers (CATO)

<https://catonews.org/> \*Membership required to access portions of website

California Association of Hostage Negotiators (CAHN)

[https://cahn.us/default.aspx/MenuItemID/186/MenuGroup/\\_Home.htm](https://cahn.us/default.aspx/MenuItemID/186/MenuGroup/_Home.htm)

National Tactical Officers Association (NTOA)

<https://www.ntoa.org/> \*Membership required to access portions of website

National Council of Negotiations Associations

<https://ncna.us/default.aspx?>

U.S. Department of Homeland Security (FEMA) Counterterrorism First Responder Training - Energetic Materials Research and Testing Center at New Mexico Tech

<http://www.emrtc.nmt.edu/training/>