



**MONTEREY PENINSULA REGIONAL  
SPECIAL RESPONSE UNIT  
Policy Manual**

## **1.1 PURPOSE AND SCOPE**

The Special Response Unit (SRU) is comprised of two specialized teams: the Crisis Negotiation Team (CNT) and the Special Weapons and Tactics Team (SWAT). This regional unit has been established to provide specialized support in handling critical field operations where intense negotiations and/or special tactical deployment methods beyond the capacity of field officers appear to be necessary. This policy is written to comply with the guidelines established in the Attorney General's Commission on Special Weapons and Tactics Report (September 2002) and the POST 2005 SWAT Operational Guidelines and Standardized Training Recommendations (Penal Code § 13514.1).

### **1.1.1 OPERATIONAL AND ADMINISTRATIVE POLICY**

The Policy Manual sections pertaining to the Special Response Unit are divided into Administrative and Operational Policy and Procedures. Since situations that necessitate the need for such a police response vary greatly from incident to incident and such events often demand on-the scene evaluation, the Operational Policy outlined serves as a guideline to SRU personnel allowing for appropriate on scene decision making as required. The Administrative Procedures, however, are more restrictive and few exceptions should be taken.

### **1.1.2 SWAT TEAM DEFINED**

A SWAT team is a designated unit of law enforcement officers that is specifically trained and equipped to work as a coordinated team to resolve critical incidents that are so hazardous, complex, or unusual that they may exceed the capabilities of first responders or investigative units including, but not limited to, hostage taking, barricaded suspects, snipers, terrorist acts and other high-risk incidents. As a matter of SRU policy, such a unit may also be used to serve high risk warrants, both search and arrest, where public and officer safety issues warrant the use of such a unit.

## **1.2 LEVELS OF CAPABILITY/TRAINING**

### **1.2.1 LEVEL I**

A level I SWAT team is a basic team capable of providing containment and intervention with critical incidents that exceed the training and resources available to line-level officers. This does not include ad hoc teams of officers that are formed around a specific mission, detail or incident (e.g. active shooter response). Generally 5% of the basic team's on-duty time should be devoted to training.

### **1.2.2 LEVEL II**

A level II, Intermediate level SWAT team is capable of providing containment and intervention. Additionally, these teams possess tactical capabilities above the Level I teams. These teams may or may not work together on a daily basis, but are intended to respond to incidents as a team. At least 5% of their on-duty time should be devoted to training with supplemental training for tactical capabilities above the Level I team.

### **1.2.3 LEVEL III**

A Level III, Advanced level SWAT team is a SWAT team whose personnel function as a fulltime unit. Generally 25% of their on-duty time is devoted to training. Level III teams operate in accordance with contemporary best practices. Such units possess both skills and equipment to utilize tactics beyond the capabilities of Level I and Level II teams.

### **1.3 POLICY**

It shall be the policy of the Monterey Peninsula Regional SRU to maintain a SWAT team and to provide the equipment, manpower, and training necessary to maintain a SWAT team. The SWAT team should develop sufficient resources to perform three basic operational functions:

- (a) Command and Control
- (b) Containment
- (c) Entry/Apprehension/Rescue

It is understood it is difficult to categorize specific capabilities for critical incidents. Training needs may vary based on the experience level of the team personnel, team administrators and potential incident commanders. Nothing in this policy shall prohibit individual teams from responding to a situation that exceeds their training levels due to the exigency of the circumstances. The preservation of innocent human life is paramount.

#### **1.3.1 POLICY CONSIDERATIONS**

A needs assessment should be conducted to determine the type and extent of SWAT missions and operations appropriate to the SRU. The assessment should consider the team's capabilities and limitations and should be reviewed annually by the SRU Commander or his/her designee.

#### **1.3.2 ORGANIZATIONAL PROCEDURES**

The SRU shall develop a separate written set of organizational procedures which should address, at minimum, the following:

- (a) Locally identified specific missions the team is capable of performing.
- (b) Team organization and function.
- (c) Personnel selection and retention criteria.
- (d) Training and required competencies.
- (e) Procedures for activation and deployment.
- (f) Command and control issues, including a clearly defined command structure.
- (g) Multi-agency response.
- (h) Out-of-jurisdiction response.
- (h) Specialized functions and supporting resources.

#### **1.3.3 OPERATIONAL PROCEDURES**

The SRU shall develop a separate written set of operational procedures in accordance with the determination of their level of capability, using sound risk reduction practices. The operational procedures should be patterned after the National Tactical Officers Association Suggested SWAT Best Practices. Because such procedures are specific to SRU members and will outline

tactical and officer safety issues, they are not included within this policy. The operational procedures should include, at minimum, the following:

- (a) Designated personnel responsible for developing an operational or tactical plan prior to, and/or during SWAT operations (time permitting).
  - 1. All SWAT team members should have an understanding of operational planning.
  - 2. SWAT team training should consider planning for both spontaneous and planned events.
  - 3. SWAT teams should incorporate medical emergency contingency planning as part of the SWAT operational plan.
- (b) Plans for mission briefings conducted prior to an operation, unless circumstances require immediate deployment.
  - 1. When possible, briefings should include the specialized units and supporting resources.
- (c) Protocols for a sustained operation should be developed which may include relief, rotation of personnel and augmentation of resources.
- (d) A generic checklist to be worked through prior to initiating a tactical action as a means of conducting a threat assessment to determine the appropriate response and resources necessary, including the use of SWAT.
- (e) The appropriate role for a trained negotiator.
- (f) A standard method of determining whether or not a warrant should be regarded as high-risk.
- (g) A method for deciding how best to serve a high-risk warrant with all reasonably foreseeable alternatives being reviewed in accordance with risk/benefit criteria prior to selecting the method of response.
- (h) Post incident scene management including:
  - 1. Documentation of the incident.
  - 2. Transition to investigations and/or other units.
  - 3. Debriefing after every deployment of the SWAT team.
- (a) After-action team debriefing provides evaluation and analysis of critical incidents and affords the opportunity for individual and team assessments, helps to identify training needs, and reinforces sound risk management practices.

- (b) Such debriefing should not be conducted until involved officers have had the opportunity to individually complete necessary reports or provide formal statements.
- (c) In order to maintain candor and a meaningful exchange, debriefing will generally not be recorded.
- (d) When appropriate, debriefing should include specialized units and resources.

(i) Sound risk management analysis.

(j) Standardization of equipment deployed.

#### **1.4 TRAINING NEEDS ASSESSMENT**

The SRU and SWAT Tactical Commanders shall conduct an annual SWAT Training needs assessment to ensure that training is conducted within team capabilities, policy and the training guidelines as established by POST (11 C.C.R. § 1084).

##### **1.4.1 INITIAL TRAINING**

SWAT team operators and SWAT supervisors/team leaders should not be deployed until successful completion of the POST-certified Basic SWAT Course or its equivalent.

- (a) To avoid unnecessary or redundant training, previous training completed by members may be considered equivalent when the hours and content (topics) meet or exceed department requirements or POST standardized training recommendations.

##### **1.4.2 UPDATED TRAINING**

Appropriate team training for the specialized SWAT functions and other supporting resources should be completed prior to full deployment of the team. SWAT team operators and SWAT supervisors/team leaders should complete update or refresher training as certified by POST, or its equivalent, every 24 months.

##### **1.4.3 SUPERVISION AND MANAGEMENT TRAINING**

Command and executive personnel are encouraged to attend training for managing the SWAT function at the organizational level to ensure personnel who provide active oversight at the scene of SWAT operations understand the purpose and capabilities of the teams.

Command personnel who may assume incident command responsibilities should attend SWAT or Critical Incident Commander course or its equivalent. SWAT command personnel should attend a POST-certified SWAT commander or tactical commander course, or its equivalent.

##### **1.4.4 SWAT ONGOING TRAINING**

Training shall be coordinated by the SRU Commander. The SRU Commander may conduct monthly training exercises, coordinated by the SWAT and CNT Commanders, that include a review and critique of personnel and their performance in the exercise in addition to specialized training. Training shall consist of the following:

- (a) Each SWAT member shall perform a physical fitness test twice each year. A minimum qualifying score must be attained by each team member.

- (b) Any SWAT team member failing to attain the minimum physical fitness qualification score will be notified of the requirement to retest and attain a qualifying score. Within 30 days of the previous physical fitness test date, the member required to qualify shall report to a team supervisor and complete the entire physical fitness test. Failure to qualify after a second attempt may result in dismissal from the team.
- (c) Those members who are on vacation, ill, or are on light duty status with a doctor's note of approval on the test date, shall be responsible for reporting to a team supervisor and taking the test within 30 days of their return to regular duty. Any member, who fails to arrange for and perform the physical fitness test within the 30-day period, shall be considered as having failed to attain a qualifying score for that test period.
- (d) Quarterly, each SWAT team member shall perform the mandatory SWAT handgun and rifle qualification course. The qualification course shall consist of the SWAT Basic Drill for the handgun and rifle. Failure to qualify will require that officer to seek remedial training from a team range master approved by the SRU Commander. Team members who fail to qualify must retest within 30 days. Failure to qualify within 30 days with or without remedial training may result in dismissal from the team.
- (e) Each SWAT team member shall complete the quarterly SWAT qualification course for any specialty weapon issued to, or used by, the team member during SWAT operations. Failure to qualify will require the team member to seek remedial training from the Rangemaster who has been approved by the SRU Commander. Team members who fail to qualify on their specialty weapon may not utilize the specialty weapon on SWAT operations until qualified. Team members who fail to qualify must retest within 30 days. Failure to qualify with specialty weapons within 30 days may result in the team member being removed from the team or permanently disqualified from use of that particular specialty weapon.

#### **1.4.5 TRAINING SAFETY**

Use of a designated safety officer should be considered for all tactical training.

#### **1.4.6 SCENARIO BASED TRAINING**

The SRU should participate in scenario-based training that simulates the tactical operational environment. Such training is an established method of improving performance during an actual deployment.

#### **1.4.7 TRAINING DOCUMENTATION**

Individual and team training shall be documented and records maintained by the SRU Logistics Commander. An SRU training file shall be maintained with documentation and records of all team training.

### **1.5 UNIFORMS, EQUIPMENT, AND FIREARMS**

#### **1.5.1 UNIFORMS**

SWAT Operators from the SRU should wear uniforms that clearly identify team members as law enforcement officers. It is recognized that certain tactical conditions may require covert movement. Attire may be selected appropriate to the specific mission.

### 1.5.2 EQUIPMENT

SRU SWAT team members should be adequately equipped to meet the specific mission(s) identified by the team.

### 1.5.3 FIREARMS

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

### 1.5.4 OPERATIONAL READINESS INSPECTIONS

The SRU Commander shall appoint an SRU supervisor to perform operational readiness inspections of all unit equipment at least quarterly. The result of the inspection will be forwarded to the SRU Commander in writing. The inspection will include personal equipment issued to members of the unit, operational equipment maintained in the SRU facility and equipment maintained or used in SRU vehicles.

### 1.5.5 OPERATION OF BEARCAT VEHICLE

**Purpose and Scope:** The purpose of this policy is to establish procedures for the authorization of deployment, operation, training, supervision and evaluation of the BearCat Rescue Vehicle.

**Vehicle Deployment:** The BearCat vehicle is specialized equipment designed for specific purposes. It is intended for use during critical incidents including, but not limited to:

- (a) Hostage situations
- (b) Barricaded subject incidents
- (c) Active shooter situations
- (d) High risk arrest and search warrants
- (e) Any threat of explosive devices
- (f) Other situations where ballistic protection is necessary for the protection of personnel

The BearCat vehicle will not be deployed for situations such as peaceful protests or demonstrations where violence is not threatened toward the public, property or law enforcement personnel. When deploying the vehicle one must consider how its use or misuse could create fear or distrust in the community and take steps to mitigate those negative effects.

The BearCat may be deployed for exhibition at community based events for the purpose of educating and familiarizing the public with its use and purpose.

Requests for use of the BearCat by outside jurisdictions will be made through the SRU Commander. Once approved, the vehicle will be operated solely by trained SRU personnel for the duration of the event in question. The BearCat shall not be deployed at the request of another agency unless the request meets the deployment criteria defined by this policy.

**Supervision of Use:** Any operation of the BearCat will be conducted under the direction of an SRU supervisor. Any deployment of the BearCat will be authorized by the SRU Commander prior to deployment. If the SRU commander is unavailable in an emergency situation, deployment may be authorized by an SRU supervisor. The SRU Commander will be notified of its use and deployment as well as the scope of its operation as soon as practical.

**Operation and Training:** The BearCat will only be driven by approved personnel who have received training in the vehicle's operation. The training will include both classroom and practical driving exercises. Operators will also receive scenario based training to include the decision making process as to how it should and should not be deployed. Scenario based training will combine constitutional and community policing principles as it relates to BearCat deployment.

Annually, authorized operators will receive training on the 1<sup>st</sup>, 4<sup>th</sup>, and 14<sup>th</sup> Amendments. This training should focus on the importance of protecting civil rights of those in the community as well as constitutional standards for the protection of civil rights and civil liberties. This training is also required to contain elements regarding Community Policing as well as Community Input and Impact Considerations. Training records related to the BearCat will be retained at a minimum by the SRU Logistics Commander for three years.

**After-Action Reporting and Evaluation:** Whenever the BearCat is deployed operationally or for community based events an after-action report will be completed. This report will evaluate and document the effectiveness of the BearCat within the environment it was used. These reports will be used to evaluate the effectiveness and value of the BearCat on an ongoing basis. To the extent possible, these reports will be made available to engage with the community to review significant events. After-Action reports will contain the following:

- (a) Description of the incident/event in which the BearCat was deployed.
- (b) Personnel operating the BearCat.
- (c) Result of the deployment (ie. arrests, use of force, victim extraction, injures).

After-Action reports will be retained for a minimum of three years and maintained by the SRU Logistics Commander.

## **1.6 MANAGEMENT/SUPERVISION OF CRISIS RESPONSE UNIT**

The Commander of the SRU shall be selected by the SRU Board of Chiefs upon recommendation of staff.

### **1.6.1 PRIMARY UNIT MANAGER**

Under the direction of the SRU Board of Chiefs, the Special Response Unit shall be managed by a lieutenant.

### **1.6.2 TEAM SUPERVISORS**

The Negotiation Team and Special Weapons and Tactics Team will be supervised by commanders/lieutenants. The team commanders shall be selected by the Board of Chiefs upon



specific recommendation by staff and the SRU Commander. The following represent the commander responsibilities for the Special Response Unit.

- (a) The Negotiation Team Commander's primary responsibility is to supervise the operations of the Negotiation Team which will include deployment, training, first line participation, and other duties as directed by the SRU Commander.
- (b) The Special Weapons and Tactics Team Commander's primary responsibility is to supervise the operations of the SWAT Team, which will include deployment, training, first line participation, and other duties as directed by the SRU Commander.

### **1.7 CRISIS NEGOTIATION TEAM ADMINISTRATIVE PROCEDURES**

The Crisis Negotiation Team has been established to provide skilled verbal communicators who may be utilized to attempt to de-escalate and effect surrender in critical situations where suspects have taken hostages, barricaded themselves, or have suicidal tendencies. The following procedures serve as directives for the administrative operation of the CNT.

#### **1.7.1 SELECTION OF PERSONNEL**

As openings occur and with the particular agency Chief's approval, interested sworn personnel, who are off probation, shall submit a memo of interest request to their appropriate Division Commander. A copy will be forwarded to the SRU Commander and the Crisis Negotiation Team Commander. Qualified applicants will then be invited to an oral interview. The oral board will consist of a panel chosen by the SRU Commander and the Crisis Negotiation Team Commander. Interested personnel shall be evaluated by the following criteria:

- (a) Recognized competence and ability as evidenced by performance.
- (b) Demonstrated good judgment and understanding of critical role of negotiator and negotiation process.
- (c) Effective communication skills to ensure success as a negotiator.
- (d) Special skills, training, or appropriate education as it pertains to the assignment.
- (e) Commitment to the unit, realizing that the assignment may necessitate unusual working hours, conditions, and training obligations. The oral board shall submit a list of successful applicants to staff for final selection.

#### **1.7.2 TRAINING OF NEGOTIATORS**

Those officers selected as members of the Negotiation Team should attend the Basic Negotiators Course as approved by the Commission on Peace Officer Standards and Training (POST) prior to primary use in an actual crisis situation. Untrained officers may be used in a support or training capacity. Additional training will be coordinated by the team commander.

A minimum of one training day per quarter will be required to provide the opportunity for role playing and situational training necessary to maintain proper skills. This will be coordinated by the team supervisor.

Continual evaluation of a team member's performance and efficiency as it relates to the positive operation of the unit shall be conducted by the team commander. Performance and efficiency levels, established by the team commander, will be met and maintained by all team members. Any member of the Negotiation Team who performs or functions at a level less than satisfactory shall be subject to dismissal from the unit.

## **1.8 SWAT TEAM ADMINISTRATIVE PROCEDURES**

The Special Weapons and Tactics (SWAT) Team was established to provide a skilled and trained team which may be deployed during events requiring specialized tactics in such situations as cases where suspects have taken hostages and/or barricaded themselves as well as prolonged or predictable situations in which persons armed or suspected of being armed pose a danger to themselves or others. The following procedures serve as directives for the administrative operation of the Special Weapons and Tactics Team.

### **1.8.1 SELECTION OF PERSONNEL**

As openings occur and with the particular agency Chief's approval, interested sworn personnel, who are off probation, shall submit a memo of interest request to their appropriate Division Commander. A copy will be forwarded to the SRU Commander and SWAT Tactical Commanders. Those qualifying applicants will then be invited to participate in the testing process. The order of the tests will be given at the discretion of the SRU Commander. The testing process will consist of an oral board, physical agility, SWAT basic handgun and rifle, and team evaluation.

- (a) Oral board: The oral board will consist of personnel selected by the SRU Commander. applicants will be evaluated by the following criteria:
  - 1. Recognized competence and ability as evidenced by performance;
  - 2. Demonstrated good judgment and understanding of critical role of SWAT member;
  - 3. Special skills, training, or appropriate education as it pertains to this assignment; and,
  - 4. Commitment to the unit, realizing that the additional assignment may necessitate unusual working hours, conditions, and training obligations.
- (b) Physical agility: The physical agility test is designed to determine the physical capabilities of the applicant as it relates to performance of SWAT-related duties. The test and scoring procedure will be established by the SRU Commander. A minimum qualifying score shall be attained by the applicant to be considered for the position.
- (c) SWAT basic rifle/handgun: Candidates will be invited to shoot the SWAT Basic Drill for the rifle and handgun. A minimum qualifying score must be attained.
- (d) Team evaluation: Current team members will evaluate each candidate on his or her field tactical skills, teamwork, ability to work under stress, communication skills, judgment, and any special skills that could benefit the team.
- (e) A list of successful applicants shall be submitted to staff, by the SRU Commander, for final selection.

### **1.8.2 TEAM EVALUATION**

Continual evaluation of a team member's performance and efficiency as it relates to the positive operation of the unit shall be conducted by the SRU Commander. The performance and efficiency level, as established by the team commanders, will be met and maintained by all SWAT Team members. Any member of the SWAT Team who performs or functions at a level less than satisfactory shall be subject to dismissal from the team.

### **1.9 OPERATION GUIDELINES FOR THE SPECIAL RESPONSE UNIT**

The following procedures serve as guidelines for the operational deployment of the Special Response Unit. Generally, the Special Weapons and Tactics Team and the Crisis Negotiation Team will be activated together. It is recognized, however, that a tactical team may be used in a situation not requiring the physical presence of the Crisis Negotiation Team such as warrant service operations. This shall be at the discretion of the SRU Commander.

#### **1.9.1 ON-SCENE DETERMINATION**

The supervisor in charge on the scene of a particular event will assess whether the Special Response Unit is to respond to the scene. Upon final determination by the Watch Commander, he/she will notify the SRU Commander and request an SRU response.

#### **1.9.2 APPROPRIATE SITUATIONS FOR USE OF SPECIAL RESPONSE UNIT**

The following are examples of incidents which may result in the activation of the Special Response Unit:

- (a) Barricaded suspects who refuse an order to surrender.
- (b) Incidents where hostages are taken.
- (c) Cases of suicide threats.
- (d) Arrests of dangerous persons.
- (e) Any situation that could enhance the ability to preserve life, maintain social order, and ensure the protection of property.

#### **1.9.3 OUTSIDE AGENCY REQUESTS**

Deployment of the Special Response Unit in response to requests by other agencies outside of the participating law enforcement agencies must be authorized by the SRU Board of Chiefs, with input from the SRU Commander. If an exigent situation exists, the SRU Commander may make the determination to activate the team, notifying the Board of Chiefs as soon as practical.

#### **1.9.4 MULTI-JURISDICTIONAL SWAT OPERATIONS**

The SRU, including relevant specialized units and supporting resources, should develop protocols, agreements, MOU's, or working relationships to support multi-jurisdictional or regional responses.

- (a) If it is anticipated that multi-jurisdictional SWAT operations will regularly be conducted; SWAT multi-agency and multi-disciplinary joint training exercises are encouraged.
- (b) Members of the SRU shall operate under the policies, procedures and command of the SRU when working in a multi-agency situation.

#### 1.9.5 MOBILIZATION OF SPECIAL RESPONSE UNIT

The On-Scene supervisor at an incident shall make a request to the SRU Commander for the Special Response Unit. If unavailable, an SRU Tactical Commander shall be notified. A current mobilization list shall be maintained with County Dispatch by the SRU Commander. The SRU Commander will then notify the SRU Board of Chiefs of the call-out as soon as practical.

The Watch Commander should advise the SRU Commander with as much of the following information which is available at the time:

- (a) The number of suspects, known weapons and resources.
- (b) If the suspect is in control of hostages.
- (c) If the suspect is barricaded.
- (d) The type of crime involved.
- (e) If the suspect has threatened or attempted suicide.
- (f) The location of the command post and a safe approach to it.
- (g) The extent of any perimeter and the number of officers involved.
- (h) Any other important facts critical to the immediate situation and whether the suspect has refused an order to surrender.

The SRU Commander or supervisor shall then call selected officers to respond.

#### 1.9.6 FIELD UNIT RESPONSIBILITIES

While waiting for the Special Response Unit, field personnel should, if safe, practical and sufficient resources exist:

- (a) Establish an inner and outer perimeter.
- (b) Establish a command post outside of the inner perimeter.
- (c) Establish an arrest/response team. The team actions may include:
  - 1. Securing any subject or suspect who may surrender.
  - 2. Taking action to mitigate a deadly threat or behavior.
- (d) Evacuate any injured persons or citizens in the zone of danger.
- (e) Attempt to establish preliminary communication with the suspect. Once the SRU has arrived, all negotiations should generally be halted to allow the negotiators and SWAT time to set up.
- (f) Be prepared to brief the SRU Commander on the situation.
- (g) Plan for, and stage, anticipated resources.

#### **1.9.7 ON-SCENE COMMAND RESPONSIBILITIES**

Upon arrival of the SRU at the scene, the Incident Commander shall brief the SRU Commander and team supervisors about the situation. Upon review, it will be the Incident Commander's decision, with input from the SRU Commander, whether to deploy the SRU. Once the Incident Commander authorizes deployment, the SRU Commander will be responsible for the tactical portion of the operation. The Incident Commander shall continue supervision of the command post operation, outer perimeter security, and support for the SRU. The Incident Commander and the SRU Commander (or his or her designee) shall maintain communications at all times.

#### **1.9.8 COMMUNICATION WITH SPECIAL RESPONSE UNIT PERSONNEL**

All of those persons who are non-Special Response Unit personnel should refrain from any non-emergency contact or interference with any member of the unit during active negotiations. Operations require the utmost in concentration by involved personnel and, as a result, no one should interrupt or communicate with Special response Team personnel directly. All non-emergency communications shall be channeled through the Negotiation Team Commander or his or her designee.