**AD HOC COMMITTEE ON URBAN AREA SECURITY INITIATIVE PROGRAM**

**SUMMARY OF DISCUSSION ABOUT THE FRAMEWORK FOR UASI-FUNDED EXERCISES**

**DECEMBER 14, 2018**

**(revised based on committee dialogue at the meeting on December 7, 2018)**

**PREFACE**

Through its collaboration with the Bay Area Urban Area Security Initiative (BAUASI), the County of Alameda has emerged as a regional leader in the effort to prepare for, protect against, respond to, and recover from catastrophic events. Specifically, Alameda County leads the Training & Exercises work group, a multidisciplinary first-responder team seeking to increase regional capabilities consistent with FEMA’s Homeland Security goals and objectives.

A key provision for all FEMA-funded programs is the whole community approach**.** As designed, whole community entails engaging all members in our community, as individuals and collectively, to build resiliency and enhance security in Alameda County and throughout the 12 counties that make up the BAUASI region.

The recommendations below are intended to provide the Alameda County Board of Supervisors with a deeper understanding of BAUASI-funded exercises, offer a strategic framework to guide the County’s participation in BAUASI-funded exercises and, provide recommendations for how to better integrate the whole community approach into the daily operations of BAUASI-funded exercises in Alameda County.

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|  | **STRATEGIC DIRECTION** |
|  | 1. Visioning

Rationale: The UASI Committee envisions a future where **Alameda County has the capabilities to prepare for, protect against, respond to, and recover from catastrophic events**, both natural or manmade. **Alameda County embraces the** **whole community approach** toemergency management which aligns and integrates the needs, capabilities, and resources across all communities. Our residents, emergency management practitioners, organizational and community leaders, and government officials collectively understand and assess the needs of Alameda County and determine the best ways to organize and strengthen our assets, capacities, and interests.Potential Recommendations:1. UASI-funded exercises and other emergency preparedness activities in Alameda County **promote a culture of readiness,** with measurable and sustainable goals, that serves as an example to the region and to the nation.

1. UASI-funded exercises in Alameda Countyare based on the **whole community approach** and focus on and support community-wide preparedness.
2. Every neighborhood and community in Alameda County is ready when disaster strikes. **Our measure of readiness incorporates access and functional needs** in all phases of UASI-funded exercises.
3. UASI-funded exercises **build neighborhood resilience through equitable engagements** with residents, professional first responders, practitioners, nonprofits, faith-based organizations, government agencies and community leaders.
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|  | **STRATEGIC DIRECTION**1. Guiding principles for UASI-funded programs and other emergency management providers in Alameda County.

Rationale: To deepen their understanding of the assets, challenges, and potential of UASI-funded programs in the region, the **UASI Committee examined a wide array of data and heard testimony from residents, advocates, agencies, and BAUSI practitioners**. Through this process, the UASI Committee identified common principles to guide the work of organizations and agencies responsible for emergency management in Alameda County. From the beginning, UASI Committee members expressed interest in refining and expanding the guidelines adopted in 2018 by the Alameda County Board of Supervisors and Alameda County Sherriff’s Department. Our aim was to **develop a new set of guiding principles for UASI-funded exercises that were consistent with the vision, goals and strategies contained in this report**. The guidelines adopted in 2018 by Alameda County Board of Supervisors and Alameda County Sherriff’s Department should continue to be developed, refined, and utilized in the future. It is **essential that these revised guiding principles be incorporated into the BAUASI/Alameda County Memorandum of Understanding** to realize the full benefit of emergency preparedness across the region. Potential Recommendations1. UASI-funded exercises are designed, implemented, and evaluated based on a **whole community approach** that is suitable for our region.
2. UASI-funded exercises **prioritize activities according to the likelihood and severity of respective disasters** with special attention to risks from earthquakes and fires and the mass displacement of people that may result.
3. (a) UASI-funded exercises **prioritize activities that address the needs of the most vulnerable populations**, for example, homeless, older, undocumented, physically disabled, mentally ill persons and non-English speakers.

 OR(b) UASI-funded exercises **focus on preparedness for neighborhoods and communities~~,~~ addressing access and functional needs.**1. UASI-funded resources **target the prevention of and recovery from critical emergencies,** rather than militarized law-enforcement tactics linked to vendor interests.
2. UASI-funded **personnel are proactive in their approach to working with volunteers** on every level and to harvesting the knowledge of diverse communities in the San Francisco Bay Area, other UASI programs, and other regions in the country.
3. Agencies and organizations participating in or observing UASI-funded training and exercises respect the confidentiality of all community members. **Information-gathering or retention of information by law enforcement agencies will not infringe upon the first amendment right of free speech or the right of free assembly.**
4. UASI-funded exercises **foster cooperation** within and between agencies and jurisdictions.
5. UASI-funded **exercises do not express or reinforce militarized law enforcement tactics**, i.e. those that prioritize the use of force over other means for addressing conflict, or mimic military protocols, language, or appearance.
6. UASI-funded exercises and public-private partnerships are designed, implemented, and evaluated to **prioritize public safety and emergency preparedness goals and gaps over private-sector interests**, including those of vendors and donors.
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|  | **STRATEGIC DIRECTION** |
|  | 1. Alameda County’s goals for UASI-funded programs in the region

Rationale: **The primary** **goal of UASI-funded exercises is to build community capacity and capabilities** to prepare for, protect against, respond to, and recover from catastrophic events (manmade or natural) in all neighborhoods and within (non-geographic) communities of interest across the region. To realize this goal, the UASI Committee identified and prioritized a set of strategic actions – knowledge, competencies, skills, and behaviors – with the greatest potential to bring Alameda County closer to the vision for BAUASI (as outlined above).Potential Recommendations1. Community Empowerment

Build the capacity so that **vulnerable populations** **have an** **authentic and meaningful voice** in the planning, implementation, and evaluation of UASI-funded exercises.1. Community Engagement and Participation

**Engage the leadership, capacity, and whole membership of diverse populations** in our region in all phases of the UASI-funded exercises. 1. Marketing
2. Develop and implement **a marketing plan that encourages community participation** in UASI-funded exercises within the region.

OR1. Develop and implement a marketing planto both **inform the public** **and encourage community-wide participation** in UASI-funded exercises within the region.
2. Project Management/Oversight
	1. Involve a **broad cross-section of the community in planning, implementing, and evaluating** UASI-funded exercises.
	2. Adopt policies and procedures that **promote transparency** **and accountability** at all levels.
	3. Schedule training exercises at times outside of anticipated heavy operational periods for each discipline.
3. Leadership

**Be** **a national leader** in the disaster preparedness field and share our approach with other communities around the country.  |

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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Expanding the role non-emergency personnel

Rationale: The UASI Committee discussed the concerns expressed by residents to the Alameda County Board of Supervisors regarding Urban Shield activities. All too often residents and participants in UASI-funded programs have equated Urban Shield exercises with militarization of the police force rather than emergency preparation and response. The UASI Committee discussed changing the focus of UASI-funded exercises from SWAT training, and, **expanding the role of other law-enforcement and non-law enforcement agency personnel as first-responders**. Additionally, by expanding and diversifying law enforcement personnel and multi-disciplinary personnel, UASI-funded activities would **move Alameda County closer to a ‘whole community approach’ to emergency management.**Potential Recommendations *General*1. Conduct training and exercises that **prepare agency personnel who are likely to respond to disasters** but may not be dedicated disaster-response personnel.
2. Require that **community and service agencies have leadership roles** in planning, implementation, participation, and evaluation of those exercises that do not involve law enforcement participation.
3. **Appoint representatives to the group setting priorities for UASI-training and exercises** from public health, social service, and housing agencies, as well as CBOs that work directly with populations most at-risk in disasters, including homeless, older, undocumented, physically disabled, and mentally ill persons, within the BAUASI area.
4. **Involve various law enforcement personnel** in UASI-funded exercises including patrol, detective, and other specialized units.
5. (a) Require that the amount of time in scenarios for non-law enforcement disciplines be as much if not more than that for law enforcement teams.

 OR(b) Require a significant increase in the level of participation of non-law enforcement teams in UASI-funded exercises. 1. Require that the **major components of any exercise are coordinated by the actual sectors** participating in that exercise (e.g., fire exercises should be coordinated by fire and medical exercises should be coordinated by medical).
2. Develop scenarios of sufficient duration to **test and practice capabilities besides immediate tactical response** (e.g., prevention and recovery), as well as de-escalation techniques.

*SWAT*1. Continue to utilize SWAT members during the tactical portion of the exercise recognizing that they are the subject matter experts within most departments who are relied upon to receive and attend more training allowing them to then assist in shaping departmental policies and procedures.  All SWAT teams are a collateral assignment within Alameda County with members assigned to primary positions throughout the departments to include patrol, detectives, and other specialized assignments.
2. Exclude SWAT teams as such from UASI-funded training exercises, recognizing that non-SWAT law enforcement frequently encounter and must be prepared for emergencies; that SWAT is disproportionately deployed to households of color; and that SWAT have had disproportionate participation in UASi-funded exercises over 12 years.
3. Eliminate the requirement that SWAT Teams participate in UASI-funded exercises, and encourage participation beyond SWAT Team members, but leave the decision up to the participating jurisdiction.
4. Re-design law enforcement portions of the exercise, so that they are not SWAT deployment scenarios, and leave selection of personnel for participation in the exercise to participating jurisdictions.
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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Community engagement

Rationale: The UASI Committee intends for UASI-funded programs in Alameda County to **identify and target people and communities that should be a focus of UASI grant applications in Alameda County**, including who should be trained and for what purposes. In our view, priority should be given to working with the most vulnerable populations, including homeless, older, undocumented, physically disabled, mentally ill persons and non-English speakers. Potential Recommendations1. Define all audiences of UASI-funded exercises and **conduct targeted outreach** to these communities.
2. Develop an outreach strategy and **invest resources to engage. empower and support** nonprofits, faith organizations and their constituencies in disaster preparedness programs.
3. **Fund a variety of agencies** to play a role in the community outreach process (e.g., public health and social services).
4. **Develop a community engagement strategy** to learn what the community knows, what is feared and how to best engage community members in disaster preparedness activities regardless of their legal or social status.
5. **Engage and train both community and traditional media** on the coverage neededto engage people in disaster preparedness programs so everyone is participating and informed.
6. Develop and implement a clear, **accessible process for community and press observation** of all parts of the UASI-funded exercises.
7. Create printed, posted, bulleted objectives with scenario information and make it available at every event (or at appropriate times before or after an event) so **observers can have an informed view of all exercises.**
8. Change the name of Urban Shield, rebrand UASI-funded exercises and **create marketing materials that take into account all UASI program audiences**.
9. **Be transparent** about UASI-funded exercises while preserving their integrity.
10. Ensure that community and service agencies participating in the planning, implementation, and evaluation of UASI-funded exercises **respect confidentiality**.
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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Project Management & Oversight

Rationale. Based on an extensive data collection and review process, the UASI Committee recognizes the potential benefit of **linking** **all county resources that deal with disaster preparedness** and redirecting these resources to support the design, implementation, and evaluation goals in this report. The UASI Committee had extensive discussions about the importance of **expanding the leadership role of non-law enforcement agencies and community members** in UASI-funded exercises. By educating community members through CERT and other activities, residents across neighborhoods and communities are prepared to perform life-saving actions in or after an emergency. Prepared residents can self-mobilize to help safeguard their families and neighbors (e.g. provide medicine, first-aid, food, shelter, transportation) and support professional first-responders when they arrive.The UASI Committee also expressed strong interest in **preventing private vendors from influencing how UASI-funded exercises are conducted** to field-test their equipment. This practice is not consistent with the guiding principles and goals contained in this report. Potential Recommendations*Management*1. Create a **leadership team or standing committee with broad community representation** that has the overall responsibility for planning, implementing, evaluating, scheduling and debriefing UASI-funded exercises.
2. Require that the leadership team **monitor UASI-funded exercises and provide periodic recommendations to the Board of Supervisors** based on real-time input from community members, first responders, UASI, and other key stakeholders.
3. **Engage other units such as fire, EMS or CERT**, **public health** and other agencies that work on disaster preparedness **in designing and leading** UASI-funded exercises.
4. Require that fire, EMS, CERT, and Public Health, including those who work directly with populations most at risk in disasters, participate in designing, leading, and **continue oversight** **of UASI-funded exercises** by the existing multi-sector committee.

*Resource Development*1. **Re-direct UASI funding** and other County resources dedicated to disaster preparedness **to support the design goals and the evaluation processes** in these recommendations.
2. Have **other departments apply for UASI grants** **from multiple sources** and coordinate emergency preparedness activities.
3. **Identify a County department to serve as applicant and lead agency** if the Alameda County Sheriff’s Office no longer assumes this role.
4. Stop using UASI-funded exercises to assess the utility of equipment of private vendors.
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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Expanding the role of community as first responders

Rationale: Learnings from the 1989 Loma Prieta earthquake in the Bay Area helped to inform FEMA’s whole community approach to emergency management, representing a fundamental shift in the way the government approaches preparedness and response to disasters. FEMA has now adopted a **community-centric model which relies on community and volunteers as vital partners in every stage of disaster preparation and response**.The UASI Committee acknowledged that families, neighborhoods, and CBOs, often the first to respond during an emergency, have not been engaged in emergency preparedness at the levels needed to enhance resiliency and security in our region. The committee seeks to **build partnerships between professional first-responders and a diverse** (identity, geography, and vulnerability) **multicultural group of community volunteers** during all phases of UASI-funded exercises and increase capabilities in the entire region.Potential Recommendations1. Require that community **volunteers represent the diverse demographics, values, and attitude**s of the actual community of the impacted areas.
2. Post volunteers differently so that **we can benefit from the diverse knowledge that volunteers bring**.

 1. **Provide an orientation to all participants** in UASI-funded exercises on the vision, guiding principles and goals for disaster prevention, response, recovery, preparedness, and resilience programs in Alameda County and the Bay Area region.
2. Conduct a **professionally facilitated debriefing** with volunteers after each scenario as determined by exercise planning teams.
3. Require that **community volunteers are assigned active and responder lead roles** in disaster scenarios and not solely those of victims often acting helpless or being harmed.
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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Evaluation

Rationale: The UASI Committee reviewed available evaluation data to determine if UASI-funded exercises fell below, met, or exceeded the standards of the whole community approach. In subsequent discussions, the UASI Committee revealed both **areas of success and immediate action steps** for the Board of Supervisors to consider.The UASI committee also recognized the need to create additional standards and measures to ensure a more transparent and comprehensive evaluation process. The UASI Committee considered the following recommendations to ensure our community can **measure the impact** of UASI-funded exercises on overall community preparedness and the efficacy of the new program design. The UASI Committee anticipates that these refinements will **add more transparency about UASI-funded exercises, while preserving the integrity of the exercises.**Potential Recommendations1. **Conduct an assessment at the end of each UASI funded exercise** of all the sectors participating in order to harvest the lessons while still fresh in everyone’s mind and support the planning for the next year.
2. **Conduct evaluations** that address how well agency teams and participants worked with those in roles of community members, including those who show leadership or have information related to the disaster or impacted people.
3. Ensure that evaluation and debrief teams include **assessment of respect demonstrated for community and non-law enforcement actors**, including those who exhibit leadership or knowledge of situations or of persons involved.
4. Utilize **community-led facilitation of exercise debriefings** to foster greater understanding and engagement in disaster preparedness by the diverse communities in our region.
5. Develop similar purposes and **guidelines for debriefings** after specific scenarios as well as for evaluation of an overall UASI-funded exercise.
6. **Shift the focus** of UASI-funded exercises from response t**o prevention and recovery**.
7. **Establish objectives** for all scenarios first and design scenarios to meet those objectives.
8. Conduct more mock evacuation exercises and stress **test more than just SWAT** (e.g., fire, hospitals).
9. Develop new guidelines for designing, implementing, and evaluating UASI-funded exercises that **focus on de-escalation** and law-enforcement’s role in prevention and recovery as well as response.
10. Require that at least one half of scenarios **assess teams’ capacity for de-escalation of risk of violence**.
11. **Assign positive value to survival of all persons in scenarios**, including suspects, in addition to value to survival of those who may be under threat by suspects.
12. Require that **team evaluations include assessment of teams’ compliance with their jurisdictions' policies and laws for use of force**.
13. **Eliminate the competition aspect** of UASI funded exercises.
14. a. **Eliminate the** **vendor show** from the UASI-funded exercise.

OR b. Require that there **be transparency in the testing and evaluation of equipment** at UASI-funded exercises.  |

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|  | **STRATEGIC ACTION / TARGET AUDIENCES** |
|  | 1. Definitions

Rationale: The UASI Committee requested more information and clarity about terminology used in the in guidelines adopted by Board of Supervisors and Sheriff’s Department. During our discussions, it was noted, for example, that **surveillance technology was applied differently across sectors, stakeholder groups and participants** in UASI-funded programs. Potential Recommendations1. (a) Define “surveillance technology” and the role of this technology and establish a monitoring group for ongoing evaluation of the use of surveillance technology in UASI-funded exercises.

 OR1. Define “surveillance technology” and the role of this technology within the training exercise.  This can be accomplished by the current county committee exploring this topic.  The committee includes the Alameda County District Attorney’s Office, Alameda County Fire, and Alameda County Sheriff’s Office.
2. Define the following terms in guidelines adopted by Board of Supervisors in 2017: “surveillance”; “racist stereotypes”; “human rights” and “crowd control”. In March 2018, the Board of Supervisors instructed the Sheriff to report on the definitions used for these terms, but this did not occur. In the absence of definitions provided by the Sheriff or county committee on surveillance, the definitions used for these terms should be drawn from Webster’s Dictionary.
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|  | **MONITORING AND COMPLIANCE** |
|  | 1. Transparent approval process for UASI-funded programs

Rationale:In its report to the Board of Supervisors the UASI Committee is seeking to **calibrate recommendations in this report to future UASI grant cycles**. Additionally, the Committee wants to develop criteria to **support all training and exercises personnel** (professional and volunteer) **in their efforts to monitor real-time programming** and to provide periodic updates to the Board of Supervisors, as requested. Potential Recommendations1. Ensure that the **goals and criteria for design and evaluation** adopted by the Board of Supervisors **are incorporated in full into the Memorandum of Understanding** between Alameda County and BAUASI for regional training and exercise.
2. Further **define the role of the compliance team** and expand its focus to address community concerns related to the training.
3. Establish a **rotating core of UASI-funded exercises**.
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|  | **MONITORING AND COMPLIANCE** |
|  | 1. Develop community accountability guidelines for the UASI-funded exercises

Rationale: To be completed One of the charges of the UASI Committee is to “develop community accountability guidelines” for the UASI framework. In a previous meeting, committee members shared the following recommendations which were placed in this section of the draft framework. However, after careful review, the facilitation team has determined that most of the below statements (#1-6) should be placed in other, more appropriate sections of this report. Thus, the following *italicized* statements have been moved to other parts of the document.For this reason, the facilitation team requests that the UASI Committee revisit this topic and develop a new set of recommendations on “community accountability guidelines” for this section of the report.Potential Recommendations1. *Form a standing committee that works on disaster issues, monitors UASI/Urban Shield and provides periodic recommendations to the Board of Supervisors based on real-time input from community members, first responders, UASI, Urban Shield and other key stakeholders. (Moved to Project Management & Oversight, Potential Recommendations 1 and 2)*
2. *Conduct an assessment at the end of each UASI funded exercise of all the sectors participating in order to harvest the lessons while still fresh in everyone’s mind and support the planning for the next year. (moved to Evaluation, Potential Recommendation 1)*
3. *Develop and implement a clear, accessible process for community and press observation of all parts of the Urban Shield exercises. (Moved to Community Engagement, Potential Recommendation 6)*
4. *Conduct evaluations that address how well agency teams and participants worked with those in roles of community members, including those who show leadership or have information related to the disaster or impacted people. (Moved to Evaluation, Potential Recommendation 1)*
5. *Ensure that community and service agencies participating in the planning, implementation, and evaluation of Urban Shield respect confidentiality. (Moved to Community Engagement, Potential Recommendation 11)*
6. *Require that team evaluations include assessment of teams’ compliance with their jurisdictions' policies and laws for use of force. (Moved to Evaluation, Potential Recommendation 12)*
7. Ensure that there is no information gathering or retention of information by law enforcement agencies.
8. Develop other community compliance mechanisms that are binding and involve a much broader set of stakeholders.
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Other Emerging Ideas[[1]](#footnote-1)

1. Continue the momentum for what has been created.
2. Keep improving the work but don’t jeopardize the time and resources Alameda County has invested in and led.
3. Develop a threat assessment process that is not fear-based.
4. Redefine how risk assessment is determined and give high priority to non-law enforcement factors. Our understanding of the threat assessment process – THIRA - is limited. Can we create another complementary process?
1. There was no revision of the section titled “Other Emerging Ideas”. [↑](#footnote-ref-1)