

Recommendations Approved by Alameda County Ad Hoc Committee on UASI (unofficial compilation)

I. STRATEGIC DIRECTION

A. Alameda County's strategic aims for UASI-funded programs and other emergency management providers in the region

1. UASI-funded exercises and other emergency preparedness activities in Alameda County should promote a culture of readiness, with measurable and sustainable goals, that serve as an example to the region and to the nation. (5-0)
2. UASI-funded exercises in Alameda County should be based on the whole community approach and focus on and support community-wide preparedness. (5-0)
3. Every neighborhood and community in Alameda County will be ready when disaster strikes. Our measure of readiness will incorporate access and functional needs in all phases of UASI-funded exercises. (5-0)
4. UASI-funded exercises should build neighborhood resilience through equitable engagements with residents, professional first responders, emergency manager practitioners, nonprofits, faith-based organizations, and other government agencies and community leaders. (5-0)

B. Alameda County's guiding principles for UASI-funded programs and other emergency management providers in the region

1. UASI-funded exercises should be designed, implemented, and evaluated based on the whole community approach that is suitable for our region. (5-0)
2. UASI-funded exercises should prioritize activities according to the likelihood and severity of respective disasters, in addition to gaps in preparation for those emergencies, with special attention to risks from earthquakes and fires and the mass displacement of people that may result. (4-1)
3. UASI-funded activities should focus on preparedness for neighborhoods and communities, addressing access and functional needs, and should prioritize activities that address the needs of the most vulnerable populations, for example, homeless, older, undocumented, physically disabled, mentally ill persons, immigrants, and those with limited English proficiency. (4-1)
4. UASI-funded resources should build capacity in Alameda County and the BAUASI region for the prevention of and recovery from critical emergencies. (5-0)
5. UASI-funded personnel should be 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. (5-0)
6. UASI-funded exercises should foster cooperation within and between agencies and jurisdictions. (5-0)

7. Exercises should be sensitive to community concerns related to militarized law enforcement, including military language and appearance. Exercises should not express or reinforce law enforcement tactics that prioritize the use of force or protocols for armed conflict over other means for addressing conflict in civilian contexts. (5-0)
8. UASI-funded exercises and public-private partnerships should be designed, implemented, and evaluated to prioritize public safety and emergency preparedness goals and gaps over private-sector interests, including those of vendors and donors. (5-0)
9. All scenarios will value the sanctity of life and survival of all persons, including suspects, in addition to valuing the survival of those who may be under threat by suspects. (5-0)

C. Alameda County's goals for UASI-funded programs in the region

1. Community Empowerment: Build the capacity of vulnerable populations to have an authentic and meaningful voice in the planning, implementation, and evaluation of UASI-funded exercises. (5-0)
2. Community Engagement and Participation: Appropriately engage the leadership, capacity, and whole membership of diverse populations in our region in all phases of the UASI-funded exercises. (5-0)
3. Community Outreach: Develop and implement a research-based, culturally competent outreach plan that both informs the public and encourages community participation in UASI-funded exercises within the region. (5-0)
4. Project Management/Oversight:
 - a. Involve a broad cross-section of the community in planning, implementing, and evaluating UASI-funded exercises. (5-0)
 - b. Adopt policies and procedures that promote transparency and accountability at all levels. (5-0)
 - c. Seek to schedule training exercises based on need, capacity, anticipated heavy operational periods, and in ways that are sensitive to community concerns, such as regarding the 9/11 anniversary. (4-1)
5. Be innovative in the disaster preparedness field and aspire to be a model in disaster preparedness that is continually learning from and useful to other communities. (5-0)

II. STRATEGIC ACTION

A. Exercise Redesign

1. 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. (5-0)

2. Balance the focus of UASI-funded exercises between prevention, protection, mitigation of, response to and recovery from critical emergencies. (4-0)
3. Establish objectives for all scenarios first and design scenarios to meet those objectives. (5-0)
4. Conduct mock evacuation exercises. (4-0)
5. Eliminate the vendor show from the UASI-funded exercise. (3-2)
6. Eliminate the competition aspect of UASI-funded exercises while retaining standards-based evaluation of participants. (3-2)
7. All law enforcement scenarios shall include in the assessment criteria the participants' capacity for de-escalation of risk of violence. (5-0)

B Expanding the role of non-emergency personnel

1. Conduct training and exercises that prepare agency personnel who are likely to respond to disasters but may not be dedicated disaster-response personnel. (5-0)
2. Build in and provide leadership roles for community and service agencies in planning, implementation, participation, and evaluation of those exercises that do not involve law enforcement participation. (5-0)
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, for example, homeless, older, undocumented, physically disabled, mentally ill persons, immigrants, and those with limited English proficiency within the BAUASI area. (5-0)
4. Involve various law enforcement personnel in UASI-funded exercises including patrol, detective, and other units. (4-1)
5. Require that the amount of time in scenarios as a whole for non-law enforcement disciplines be as much if not more than that for law enforcement teams as a whole (3-2).
6. 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). (5-0)
7. 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. (5-0)

SWAT

8. 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 to serve warrants; and that SWAT have had disproportionate participation in UASI-funded exercises over 12 years. (3-2)

9. 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. (3-2)
10. Re-design law enforcement portions of the exercise, so that they are not SWAT deployment scenarios. (3-2)

C. Evaluation

1. 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, when present. (5-0)
2. Require that evaluations of law enforcement include assessment of participants' compliance with best practices and with their jurisdictions' policies and laws for use of force. (3-1, 1 abstained)
3. Conduct professionally facilitated scenario and exercise debriefings with volunteers and other exercise participants to elicit their observations and increase their understanding and report findings to scenario evaluation teams. (5-0)
4. Use an independent academic evaluator to evaluate UASI-funded exercises in a manner consistent with the goals and strategic aims in this report, and provide a final report to the public via the Board of Supervisors. No evaluator shall be used unless it implements and discloses to Alameda County a vetting process to exclude evaluators whose records may create a perception of inconsistency with the goals of whole community preparedness, rewarding de-escalation tactics, transparency, and valuing the survival of all persons. (5-0)
5. Because participants in the exercise include law enforcement observers and evaluators, as well as competing teams, the guideline excluding participation from countries that violate human rights shall apply to evaluators and law enforcement observers as well as teams. (4-1)

D. Project Management & Resources

1. Extend the mandate of the Board of Supervisors' Ad Hoc Committee on Urban Area Security Initiative Program through February 28, 2020 to oversee implementation of recommendations approved by the Board of Supervisors, receive community input on UASI-funded exercises and other emergency preparedness programs, and make new recommendations, as necessary. (5-0)
2. Create a leadership team or standing committee, consistent with Homeland Security grant requirements, with representatives designated by: community-based organizations whose primary mission is to serve populations with access and functional needs; public health, fire, emergency managers, and law enforcement (the latter shall not be a majority of the committee). The committee should have the responsibility and decision-making authority for planning, implementing, evaluating, scheduling, and debriefing UASI-funded exercises in 2019 and subsequent years. The committee shall ensure that the major components of any exercise are coordinated by the actual sectors participating in that exercise (e.g. fire, medical). The leadership team shall provide periodic

reports on UASI-funded exercises to the Ad Hoc Committee and the Board of Supervisors based on real-time input from community members, first responders, UASI, and other key stakeholders. (5-0)

3. To fulfill the principle of prioritizing activities according to the likelihood and severity of respective disasters, the entity that implements these recommendations shall compile a risk assessment, which shall complement documents such as THIRA required under UASI. This assessment shall highlight risks and capability gaps for those with access and functional needs, and it will be conducted through consultation with agencies and community-based organizations that work with populations most at-risk in disasters. (3-1, 1 abstain)

Resource Development

4. Alameda County shall dedicate additional funds for Health Care Services Agency and Social Services Agency staff to participate in the planning, coordination, and implementation of disaster preparedness exercises. (3-1, 1 abstain)
5. The additional funds (referenced in #4) should be approximately equivalent to County expenditures on the 2018 UASI-funded exercises (approximately \$5 million; see Annex). (3-2)
6. Ensure that UASI funding and other County resources dedicated to disaster preparedness support the design goals and the evaluation processes in these recommendations. (4-1)
7. County departments, including Public Health and Social Services, should apply for additional grants from multiple sources to increase capacity to coordinate emergency preparedness activities. (5-0)
8. Identify a County department to serve as a potential applicant and/or lead agency if the Alameda County Sheriff's Office no longer assumes this role. (4-1)

E. Definitions

The oversight committee referenced in II – D – 1 or other body designated by the Board of Supervisors will define the following terms in guidelines adopted by Board of Supervisors in 2017 and in recommendations in this document: “surveillance”; “racist stereotypes”; “human rights”; “crowd control”; “military language and appearance”; “prevention”; “recovery”; “de-escalation”; “vulnerable”; and “community members.” (5-0)

F. Community Engagement

1. Those who coordinate UASI-funded exercises shall develop an outreach strategy and invest resources to engage, empower and support nonprofits, faith organizations and their constituencies in disaster preparedness programs. Such a strategy should be based on learning what community members know and ways to

- best engage community members in disaster preparedness activities regardless of their legal or social status. (5-0)
2. Alameda County should fund a variety of agencies, including Public Health, Social Services Agency, and community-based organizations such as Eden I & R, to conduct community outreach. If funding is available, the Public Health Department and Social Services Agencies should issue a Request for Proposals to develop and implement an outreach strategy. (5-0)
 3. Develop and implement a clear, accessible process for community and press observation of the UASI-funded exercises. (5-0)
 4. 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. (5-0)
 5. Change the name of Urban Shield, rebrand UASI-funded exercises and create outreach materials that take into account all UASI program audiences, including those with functional and access needs. (5-0)

G. Expanding the role of community as first responders

1. Identify and engage community volunteers who represent the diverse demographics, values, and attitudes of the actual community of the impacted areas. (5-0)
2. Involve volunteers so that we can benefit from the diverse knowledge that volunteers bring. (5-0)
3. Provide an orientation to all participants in UASI-funded exercises on the strategic aims, guiding principles and goals for disaster prevention, response, recovery, preparedness, and resilience programs in Alameda County and the Bay Area region. (5-0)
4. Assign community volunteers to active and responder lead roles in disaster scenarios and not solely those of victims acting helpless or being harmed, as appropriate. (5-0)

III. MONITORING AND COMPLIANCE

A. Approval and implementation process for UASI-funded programs

1. Utilize the following criteria for review and approval of grant applications and Memoranda of Understanding submitted by Alameda County to BAUASI and other funding sources: (5-0)
 - a. Fidelity to the strategic aims, guiding principles and goals contained in this report;
 - b. Utilization of the whole community approach;
 - c. Diversity (identity, geography, and vulnerability) of participation in all phases of UASI-funded exercises; and
 - d. Role of non-law enforcement personnel and community members in UASI-funded exercises as defined in this report.

2. Ensure that the strategic aims, goals, principles, guidelines, and other recommendations of this committee are utilized as the framework for redesigning, implementing, and evaluating UASI-funded activities and are incorporated as much as is legally permissible into the Memorandum of Understanding between Alameda County and BAUASI for regional training and exercise in 2019 and future years. (3-1, 1 abstain)

B. Accountability Guidelines

1. Revise current monitoring and compliance practices to address the following priorities:
 - a. Create mechanism(s) and process(es) to include the whole community in the oversight of all UASI-funded programs in Alameda County; (5-0)
 - b. Increase transparency of UASI-funded exercises in Alameda County by engaging the press and the public in all phases of emergency management; (5-0)Establish policies and processes to ensure confidentiality of records and recordkeeping for all community participants. (5-0)

2. Expand the scope of the compliance team to address the recommendations contained in this report. (5-0)

Recommendations submitted to vote and failed:

Identify a County department to serve as applicant and lead agency to administer the UASI-funded exercise and phase out the Alameda County Sheriff's Office in this role in 2020. (2-2, 1 abstain)

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. (2-3)

Annex: Estimated Costs for annual Urban Shield exercise¹

Most discussion of funding for Urban Shield has focused on the annual Urban Areas Security Initiative (UASI) grant to Alameda County of just over \$5 million, of which \$1.7 million is earmarked for conducting the exercise.

Of the \$1.7 million in UASI funding for the exercise in 2018, \$466,000 was budgeted for equipment and services from outside suppliers; \$200,000 for running the emergency management Yellow Command exercise; \$150,000 for the regional fire exercise; \$364,000 to the Alameda County Sheriff's Office (ACSO) for managing scenarios; \$250,000 to non-ACSO agencies for managing scenarios; and \$62,500 for the "regional exercise fund."² Of the remaining \$3.4 million in the UASI grant to Alameda County, \$400,000 is compensation to the ACSO captain who serves as UASI Training and Exercise Project Manager, according to Bay Area UASI documents.

The Alameda County Sheriff's Office (ACSO) provided the Ad Hoc Committee on UASI with information on estimated Overtime expenses for Urban Shield in 2018 and on number of personnel who received salary increases for participation on their own time in Urban Shield from 2015 through 2018. ACSO estimated OT cost for participation in 2018 Urban Shield commands at **\$1,425,437**, of which \$72,000 was part of the UASI exercise budget.

According to the County's Memorandum of Understanding (MOU) with Deputy Sheriff's Association for 2012-2020,³ the salary increase was 2.5% for staff with an Intermediate POST Certificate and 6% for staff with an Advanced POST Certificate. While other coursework could not be counted for a salary increase more than once in a five-year period, Urban Shield participation could be used repeatedly without limit for an increase. During the four-year period 2015-2018, a total of 1,150 personnel from ACSO participated in Urban Shield and received a salary increase. These increases are renewable on an annual basis, unless participants fail physical fitness standards, according to the MOU. While personnel may receive salary increases for participation in other programs, increases for participation in Urban Shield represent, at the very least, an opportunity cost in lieu of other programs.

According to data available at Transparent California, the average base pay for ACSO deputies in 2017 was \$96,536, while overtime and other pay brought average pay to \$133,178.⁴ (Higher-ranking ACSO personnel have higher average salaries, and increased base pay probably also increased the cost of benefits for all personnel. Some participants with Advanced POST Certificates likely received 6% increases.) If we conservatively estimate costs of increases of 2.5% in average pay to Sheriff's Deputies, then $1,150 \times \$133,178 \times .025 = \mathbf{\$3,828,867}$ in **annual payments of salary** increases as a result of participation in Urban Shield during 2015-2018.

In short, the \$1.7 million in UASI grant funding for the Urban Shield exercise is tied to additional annual expenditures by Alameda County of more than \$5.1 million for participation and coordination by ACSO personnel.

¹ Written by Ad Hoc Committee member John Lindsay-Poland

² 2018 Urban Shield budget, provided to Ad Hoc Committee by ACSO.

³ "Memorandum of Understanding, Deputy Sheriff's Association of Alameda County and the County of Alameda, June 24, 2012-June 13, 2020, pp. 37-39, at:

https://www.acgov.org/hrs/documents/Deputy_Sheriffs_Association_June_24_2012_June_13_2020.pdf

⁴ See <https://transparentcalifornia.com/salaries/search/?a=alameda-county&q=Deputy&y=2017>.