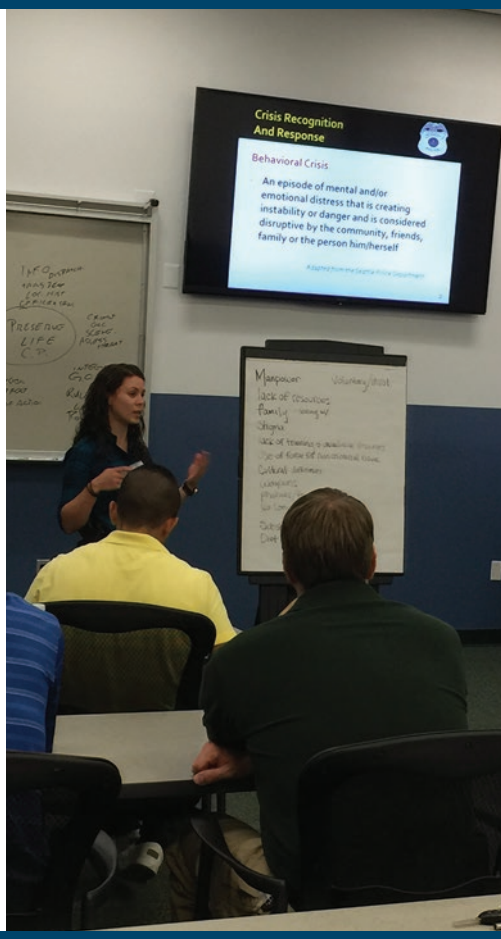
CRITICAL ISSUES IN POLICING SERIES

ICAT

Integrating Communications, Assessment, and Tactics



TRAINING GUIDE

For Defusing Critical Incidents

POLICE EXECUTIVE RESEARCH FORUM

CRITICAL ISSUES IN POLICING SERIES

ICAT

Integrating Communications, Assessment, and Tactics

A Training Guide for Defusing Critical Incidents

October 2016

Police Executive Research Forum

Note: About this ICAT Training Guide

This report is a summary of the Police Executive Research Forum's Training Guide on Use of Force.

The complete Training Guide, with all related materials, is available online at www.policeforum.org/TrainingGuide.

The online Training Guide will be a "living document." Over time, as new materials become available, such as police body-worn camera footage of new incidents that illustrate training principles, they will be added to the online Training Guide.

The information and attachments contained in this Training Guide are designed to be used as a guide to the subject matter covered, and should be thoroughly reviewed by your agency's training academy, legal department and policy unit before implementation in your agency. This substantive agency review is to ensure that the material presented or suggested in this Training Guide conforms to and is consistent with your agency's policies, training and legal guidelines. For maximum impact and effectiveness, PERF recommends that the Training Guide be implemented in a comprehensive manner, and not in a haphazard, arbitrary or piecemeal way. Further, PERF cautions against announcing and implementing changes in training before all relevant policies, equipment, and other operational considerations have been updated, as needed, to support the training. Accordingly, PERF shall have neither liability nor responsibility to any person or entity with respect to any loss or damage caused or alleged to be caused directly or indirectly by the information, in whole or in part, contained in this Guide.

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Members of PERF's Use of Force Working Group—more than 60 training and tactical experts representing more than 30 police agencies and other organizations across the country—outside New York Police Department headquarters, following a meeting with then-Police Commissioner William Bratton. In April 2016, the Working Group spent a week at the New York City Police Academy exploring and discussing the key concepts in this Training Guide.

Acknowledgments

THE CREATION OF THIS TRAINING GUIDE WAS TRULY A TEAM EFFORT by many people, representing dozens of police agencies at the local, state, federal, and international levels as well as private and nonprofit organizations. Throughout this process, we learned from dedicated police professionals *at all ranks*—from police officers to police chiefs—who brought expertise in such diverse areas as tactics, crisis intervention, negotiations, lethal and less-lethal weapons, officer safety and wellness, and training and curriculum development.

We are especially indebted to the nearly 70 individuals who devoted a week of their time in April 2016 to work with us at the New York City Police Academy (see the Appendix for a list of participants). This working group engaged in intense, sometimes heated, but always productive discussions about the content, organization, and presentation of this Training Guide. Their ideas and expertise helped to shape this publication. Our goal was to help police agencies build training programs that will be helpful and meaningful to front-line patrol officers, because they are the ones who most often respond to the challenging and often dangerous calls that are the focus of this guide.

Special thanks go out to recently retired New York City Police Commissioner William Bratton, his successor James O'Neill, First Deputy Commissioner Benjamin B. Tucker, Chief of Staff Kevin Ward, and the entire command staff of the NYPD. Whenever PERF asked for assistance and support throughout this project, they answered the call. Deputy Chief Theresa Tobin and Assistant Chief Terry Shortell were instrumental in making arrangements for our use of the Police Academy for the week-long working group meeting in April, as well as a follow-up day of videotaping at the Academy in July. The men and women of the NYPD Emergency Service Unit have been particularly supportive in helping us understand how the specialized training and tactics that the ESU employs can be applied to patrol officers. We are deeply indebted to Deputy Chief Vincent Giordano, Deputy Inspector Matthew Galvin, Lieutenant Sean Patterson, Sergeant John Flynn, Officer Robert Zajac, Officer Steve Stefanakos, Detective Jim Shields, Officer Kimberly Zarrilli, and their ESU team. Special thanks also go to Detective Jose Otero, who sets the standard for the critically important job of playing the roles of people with disabilities, mental illnesses, or other conditions that can cause them to behave erratically and sometimes dangerously, in the realistic scenario-based training that is at the heart of this guide. We are also indebted to Lieutenant Mark Turner and Detectives Jeff Thompson and Jim Shanahan, who taught us so much about

crisis intervention, communications, and negotiations, and how patrol officers can apply those skills as well.

We are also grateful to the individuals who reviewed an early draft of this Training Guide: Assistant Chief Pam Davis, Anne Arundel County, MD Police; Assistant Commissioner Tatum Fox, Nassau County, NY Police; Sergeant Dan Nelson, Seattle Police; Deputy Assistant Director Ariana Roddini, Federal Law Enforcement Training Center; Detective Jeff Thompson, New York City Police; Laura Usher, National Alliance on Mental Illness; and from Police Scotland, retired Chief Constable Stephen House, Superintendents Alan Gibson and Kirk Kinnell, and Sergeant James Young.

Following peer review of this guide, six police agencies stepped forward to serve as pilot sites for presenting this training to classes of their officers. I am thankful to the chief executives and training staffs of the following agencies: the Bay Area Rapid Transit (BART) Police Department; the Burlington, VT Police Department; the Camden County, NJ Police Department; the Daytona Beach, FL Police Department; the Houston Police Department; and the Prince William County, VA Police Department. These departments provided valuable, real-world feedback on how our materials work in the classroom.

This Training Guide also benefited from the hard work, insights and experience of two individuals who were part of the April working group session in New York City—and then stayed deeply involved in the project over the next six months. Sergeant Bryan Hubbard of the Oakland, CA Police Department, and Michael Schlosser, Director of the Police Training Institute at the University of Illinois at Urbana-Champaign, volunteered countless hours of their time to drafting and reviewing materials, challenging our thinking, and offering practical insights and suggestions. Along with retired Deputy Chief Howard Lodding of the Chicago Police Department, a consultant on the project, Bryan and Mike provided guidance and support at every stage of this process.

Of course, none of our work would have been possible without the continued generous support of the Motorola Solutions Foundation. This is the 31st report in the Critical Issues in Policing Series, which has been supported solely by Motorola for nearly two decades. Just since 2014, the Motorola Solutions Foundation has supported four projects, resulting in four reports, that serve as the foundation of this training guide.[1] Motorola also helped us see this project through to its practical next step: the creation of this Training Guide. Motorola supported the April working group session at the NYPD and a meeting with officials from the six pilot sites that tested this training. In addition, Motorola supported PERF's work in observing the pilot training at each agency, so that we could gather quantitative and qualitative feedback that guided the final product.

Thanks go to Jack Molloy, Motorola's Senior Vice President for Sales, North America; Jim Mears, Senior Vice President; Gino Bonanotte, Executive Vice President and Chief Financial Officer; Cathy Seidel, Corporate Vice President,

1. *Defining Moments for Police Chiefs; Re-Engineering Training on Police Use of Force; Advice from Police Chiefs and Community Leaders on Building Trust;* and *Guiding Principles on Use of Force*. Available at http://www.policeforum.org/free-online-documents.

Government Relations; Matt Blakely, Director of the Motorola Solutions Foundation; and Rick Neal, retired Vice President at Motorola Solutions and now President of the Government Strategies Advisory Group, who continues to assist us with these projects. We are also most grateful to Motorola Solutions Vice President James Munro and Vice President David White, who came to the NYPD Police Academy for our Working Group session.

Finally, I want to thank the talented and dedicated PERF staff. Our work on use-of-force issues has been a top priority for PERF for the past two years, as one of the most important challenges we have addressed in our 40-year history. Development of this Training Guide was an "all-hands-on-deck" undertaking. In addition to organizing meetings, compiling and reviewing materials, and working with dozens of collaborators from across the country and internationally, PERF staff built and tested this Training Guide from the ground up.

Kevin Morison, Director of Program Management, demonstrated phenomenal skill in directing the entire project and developing the Training Guide materials. Kevin and Communications Director Craig Fischer drafted and produced this report. Tom Wilson, Director of Applied Research and Management, was instrumental in content development and organization of the Training Guide, drawing upon his 24-year career with the Anne Arundel County, MD Police Department. Communications Coordinator James McGinty assisted in countless ways, including creating and managing key content—video, audio, and print—for our planning meetings. James also spearheaded the launch of the online Training Guide on our website, and served as an observer at one of the pilot training sites. Research Assistant Matt Harman oversaw logistics and planning for the April 2016 working group meeting and was the on-site staff coordinator in New York City. Research Assistant Sarah Mostyn oversaw logistics and planning for our August meeting with representatives from the six pilot sites. Research Associate Rachael Arietti oversaw development of the Course Feedback Form used by the pilot sites, and the collection and analysis of the feedback we received, with assistance from Christine Litten. Sarah, Rachael and James all assisted with preparations for the working group meeting in New York.

This project had many moving parts, and my Executive Assistant, Soline Simenauer, continued to keep me on track, providing exceptional administrative and planning support. My Chief of Staff, Andrea Luna, provided vital project direction and budget management, in her role of overseeing the entire Critical Issues in Policing series. She also observed and reported on one of the pilot site trainings. PERF's graphic designer, Dave Williams, produced this report—another attractive and easy-to-read publication.

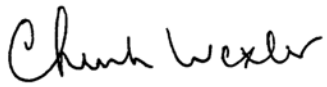
Special thanks also go to Richard Herard, who provided excellent videotaping and editing support for the online Training Guide. Richard's "day job" is as a detective with the Anne Arundel County, MD Police Department.

The report you are holding (or reading online) provides an overview of PERF's latest work on improving training on police use of force and, as a result, on strengthening police-community relations.

However, the real power of this initiative lies in the various materials that make up the online Training Guide. The online ICAT Training Guide

is far more detailed than this report, and it includes links to training videos and other materials. Please to to www.policeforum.org/TrainingGuide to review the Training Guide resources we have created.

If you are a police chief, training director, or otherwise are involved in training of police officers, this ICAT Training Guide will show you how you can incorporate our materials into your own training programs. I am convinced that by working together and providing our police officers with more and better training in this vital area, we can save lives—and we can save officers' careers and advance their well-being as well.



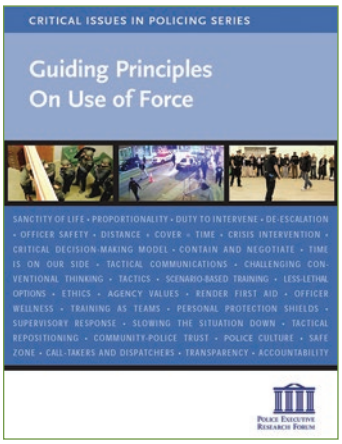
Executive Director
Police Executive Research Forum
Washington, D.C.

Introduction: Filling a Critical Gap in Training

By Chuck Wexler

SINCE 2014, THE POLICE EXECUTIVE RESEARCH FORUM (PERF) HAS been studying developments regarding police use of force, particularly with respect to officer safety and the safety of the people they encounter, and the impact of these issues on police-community relationships. While PERF's research and policy development on use-of-force issues go back decades,[2] our recent efforts have followed a series of highly publicized police use-of-force incidents across the country, many of them captured on video and some resulting in large-scale protests and demonstrations.

There is a growing realization among leaders of the policing profession and members of the public that, in many communities, police use of force has become a critical issue that is setting back community-police relations and may even be impacting public safety and officer safety. It was clear that additional research and new ways of thinking about police use of force were needed, and PERF members and PERF as an organization stepped forward to fill that need.



PERF has convened several national conferences and working groups of police officials from the across the country on these issues. We also have conducted survey research and field visits in the United States and internationally, and have published a series of reports detailing our work. Our most recent publication, *Guiding Principles on Use of Force,* presents 30 recommended best practices in the key areas of use-of-force policy, training and tactics, equipment, and information needs.[3] This ICAT Training Guide should be used in conjunction with the *Guiding Principles* report.

A Critical Need for Training on Certain Types of Encounters

Throughout our research on use of force, one critical issue surfaced repeatedly—the need for better and more consistent training of police officers.

2. See, for example, the groundbreaking study, *Deadly Force: What We Know* (1992). Police Executive Research Forum.

3. *Guiding Principles on Use of Force,* Police Executive Research Forum. 2016. https://perf.memberclicks.net/assets/guidingprinciples1.pdf

Specifically, we found that *training is lacking in many departments for front-line patrol officers about how to respond to a particular set of circumstances, namely:*

- *A person is behaving erratically* and perhaps dangerously;
- The person's behavior is often the result of mental illness, drug or alcohol abuse, post-traumatic stress disorder, intellectual disabilities, developmental disabilities, or conditions such as autism that may *limit the person's ability to understand or respond rationally to a police officer's orders*;
- The person either is *unarmed or has a weapon* ***other than*** *a firearm,* such as a knife, baseball bat, or rocks.

It is the police response to these types of circumstances that have raised the most questions about police training and practices on use of force. Few people second-guess an officer's decision to use lethal force against a criminal or a suspect who is armed with a firearm and is threatening the officer or the public. But incidents involving persons who are *not* armed with a firearm, and who come to the attention of the police because of their mental illness or other condition, not because they have committed a crime, are receiving closer scrutiny.

In these types of incidents, officers should be trained in a wider array of options, including opportunities to "slow the situation down" in order to avoid the need for use of force.

These incidents are the focus of this Training Guide.

It's Unfair to Blame Officers for Doing What They Were Trained to Do

In our discussions with police officials at all ranks, PERF heard that officers often do not have the training that would equip them with options (and alternatives to deadly force) in these types of non-firearms encounters. Use of lethal force in these incidents can have far-reaching implications for everyone involved: the person in the encounter, the officer, the police department, and the entire community.

In researching this issue, PERF has emphasized that it is unfair to blame individual police officers for using force in the ways they have been trained to use it. Our research revealed major shortcomings in the training that most officers currently receive. For example, a 2015 nationwide survey of PERF members found that recruit officers in responding agencies receive substantial training on firearms and defensive tactics, which is appropriate given the firearms threats that officers in the United States face. However, officers receive considerably less training on subjects such as de-escalation, crisis intervention, tactical communications, and less-lethal options such as Electronic Control Weapons (ECWs). A similar imbalance was noted with in-service training.[4]

4. The survey findings are summarized in the PERF report, *Re-Engineering Training on Police Use of Force* (2015), http://www.policeforum.org/assets/reengineeringtraining1.pdf, pp. 11–12.

Our research also documented how outdated concepts such as the "21-foot rule," "drawing a line in the sand," and never backing away from a threat or repositioning continue to permeate police culture and practice. In some cases, these outdated concepts are presented to recruits in the police academy; in other departments, they are not formally presented but they are discussed by Field Training Officers or generally within the profession, and they continue to influence the actions and behavior of officers.[5]

This ICAT Training Guide provides new options to traditional approaches to police use of force.

Compounding the challenges for today's police officers are increased workloads and complexity caused by the failures of other social service systems, including mental health care, education, public health, and others. While the exact percentage of police encounters that involve people with mental illness is difficult to measure, one study estimated that in the police departments of U.S. cities with populations greater than 100,000, approximately 7% of all police contacts, both investigations and complaints, involve a person believed to have a mental illness.[6]

More recent research suggests that the percentage of time officers spend on situations involving people with mental illness has increased in recent years, as community mental health services have shrunk.[7] In addition, many of these contacts involve subjects who may also be under the influence of drugs or alcohol.

Given how volatile and potentially dangerous these situations can be, first-responding police officers face considerable challenges in trying to maintain the safety of everyone involved, peacefully resolve the incident, and avoid reaching the point where deadly force becomes an option.

Police agencies and their leaders can work to increase the options and tools that are available to their first-responding patrol officers. Agencies can train officers on how to use those options and tools safely and effectively. When agencies focus on increasing options and providing training, both the officers and the communities they serve are safer. Community trust in the police increases, and community willingness to engage with officers in community policing also grows.

Filling the Gap in Training

The ICAT Training Guide attempts to fill the gap in training for these types of dynamic and potentially dangerous encounters. It presents model lesson plans and support materials (including PowerPoint presentations, video recordings of use-of-force incidents, and other resources) in the key areas of decision-making, crisis recognition and response, tactical communications

5. See *Guiding Principles on Use of Force,* Police Executive Research Forum (2016), https://perf.memberclicks.net/assets/guidingprinciples1.pdf, pp. 19–22.

6. Deane, Martha; Steadman, Henry J.; Borum, Randy; Veysey, Bonita; Morrissey, J.P. "Emerging Partnerships Between Mental Health and Law Enforcement." *Psychiatric Services* Vol. 50, No. 1 January 1999: pp.99–101. http://ps.psychiatryonline.org/doi/full/10.1176/ps.50.1.99

7. Biasotti, Michael C. "Management of the Severely Mentally Ill and Its Effects on Homeland Security." Thesis: Naval Postgraduate School, Monterey, California. 2011. http://mentalillnesspolicy.org/crimjust/homelandsecuritymentalillness.pdf

and negotiations, and operational safety tactics. The guide integrates these skills and provides opportunities to practice them through video case studies and scenario-based training exercises.

In recent years, a number of police agencies have launched large-scale training programs focused on crisis intervention, de-escalation, and less-lethal options. In putting together this guide, PERF staff relied on the insights and materials of leading agencies and their training professionals from across the country.

Throughout this research, PERF has involved training experts of all ranks from dozens of local, state, and federal police agencies throughout the country.[8] Most recently, in April 2016 PERF assembled a working group of more than 60 training professionals representing more than 30 local and state law enforcement agencies from across the country, plus Police Scotland[9], for a week-long session at the New York City Police Academy.[10] Top officials from the Federal Law Enforcement Training Center and DHS Customs and Border Protection also participated, along with representatives of the National Alliance on Mental Illness and the Police Training Institute at the University of Illinois.

PERF's April 11–15, 2016 meeting included officers, sergeants, lieutenants, captains, commanders, and higher-ranking officials. They brought a diverse set of skills and expertise, including crisis intervention, negotiations, tactics, firearms and less-lethal weaponry, and curriculum design and development. The working group reviewed the proposed outline and presentation of this Training Guide, and offered feedback, suggestions, and continued assistance. And

NYPD Emergency Service Unit officers demonstrate communication skills and safety tactics in a scenario-based training exercise at the NYPD Police Academy.

8. For a review of PERF research on use of force over the past two years, see *Guiding Principles on Use of Force,* Police Executive Research Forum (2016), http://www.policeforum.org/assets/guidingprinciples1.pdf , pp. 8-13.

9. Police Scotland has contributed expertise to PERF's research for this Training Guide, because the overwhelming majority of Scottish officers do not carry firearms, so they have become expert in de-escalating and resolving the types of incidents that are the subject of this Guide.

10. See Appendix to this report for a list of participants at the April 2016 working group meeting.

NYPD officials conducted demonstrations of their scenario-based training in many of the concepts that were incorporated into the PERF Guiding Principles.

In addition, the working group participants provided PERF staff with many of their agencies' lesson plans and supporting documents in the areas covered in the Training Guide. In developing the model lesson plans included here, PERF reviewed hundreds of documents submitted by more than a dozen participating agencies. Some of these agencies have dramatically overhauled their use-of-force policies, practices, and training in recent years, and PERF was able to benefit from the work these agencies have done. In addition, members of the New York City Police Department staged a scenario-based training exercise during the working group session, which provided a model for the scenarios that are included in this guide.

This guide focuses on the unique training needs of first-line officers, who are usually the first to respond to volatile situations that involve subjects behaving erratically. The guide integrates these components into a cohesive training program that promotes the safety of the public, the officers, and the involved subjects.

Focus of the ICAT Training Guide

This guide is focused on the following key areas:

Patrol officers. In almost every instance involving a subject acting erratically and dangerously, the first police personnel on the scene are front-line patrol officers—"beat cops." Supervisory personnel and more specialized units such as SWAT, emergency services, Crisis Intervention Teams (CIT), K9 teams, and hostage negotiators often are called in as the situation develops. This is a best practice, and this Guide recommends calling in additional resources to help de-escalate situations.

But in the critical first few minutes, often it is up to the responding patrol officer or officers to manage the situation. This ICAT Training Guide is designed to provide those officers with more options and additional tactical and communications skills to safely and effectively manage those situations and resolve conflicts peacefully whenever possible. In many instances, the goal is to buy enough time until additional, specialized resources can get to the scene.

Non-firearms incidents. Like PERF's 30 Guiding Principles report, the ICAT Training Guide is not focused on situations where police officers encounter offenders with firearms. As the *Washington Post* found in its Pulitzer Prize-winning project detailing the circumstances of the 990 fatal officer-involved shootings in 2015 that it identified, incidents in which an offender was shooting or pointing a gun at officers or someone else accounted for the majority of the fatal police shootings.[11] In these situations, officers generally have limited options besides deadly force for stopping that threat.

11. https://www.washingtonpost.com/graphics/national/police-shootings-year-end/

However, the *Washington Post* also found that in 2015 there were several hundred fatal officer-involved shootings that did *not* involve subjects with firearms. Incidents in which subjects had knives (16%), were unarmed (9%), or were trying to use a vehicle as a "weapon" (5%) accounted for approximately 300 fatal shootings in 2015. Furthermore, in approximately 25 percent of the 990 fatal police shootings, the subject displayed signs of mental illness.

Of course, some of these non-firearms situations involve serious imminent threats to police officers or others, and the officers may have had little choice but to take immediate steps to stop the threat, including the use of deadly force. But in many of these non-firearms situations, officers have time and opportunity to consider other options. Helping officers effectively and safely manage these types of encounters is the focus of this Training Guide.

Integration of crisis recognition/intervention, communications and tactics. PERF's research found that in recent years, a growing number of police agencies have been providing their officers with specialized training on how to interact with persons who are in crisis because of mental illness or other conditions. The Crisis Intervention Team (CIT) training program has become a model in this area, and in cities that have embraced the CIT concept, positive results are occurring.[12] Other agencies have developed their own training curricula that, like CIT, focus on crisis recognition (teaching officers how to recognize the nature of a situation and the factors that may be contributing to the subject's behavior), intervention, and communications.

While these efforts are important and promising, PERF also found that there is often a gap between crisis intervention and communications on one hand, and on the other hand, tactics. In many of the officer-involved shootings that PERF reviewed, we found that officers on the scene had been trained in CIT. However, CIT is mainly about communications. So when a situation turns dynamic, officers may forget or downplay their CIT communications skills and instead resort to the basic defensive tactics they had been trained in.

In other words, officers in some cases may use deadly force when other options might have been available because of the gap between communications training and tactical training.

For PERF, the takeaway is that crisis intervention training is important and necessary, but it is not always sufficient to produce the best outcomes in situations involving people who have a mental illness or are otherwise in crisis and are behaving erratically or dangerously, but are not brandishing a firearm. Tactical skills are also necessary. What ICAT does is bridge that gap.

Crisis recognition and response, tactical communications, and operational safety tactics must be integrated in both training and field operations. This Training Guide provides such an integrated approach to training for incidents in which the subject is not threatening anyone with a firearm. The guide presents this integrated approach within the context of a Critical

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12. See, for example, *Guiding Principles on Use of Force,* Police Executive Research Forum (2016), http://www.policeforum.org/assets/guidingprinciples1.pdf, pp. 58–59, which documents the progress being made in Seattle.

Decision-Making Model that is designed to help officers develop and think through their options in these situations.

This Training Guide also presents a number of "micro-skills," especially in the area of tactical communications. For example, the guide explores useful and effective alternatives to repeatedly shouting "Drop the knife!" at persons who are not complying—in many cases, because they are suffering a mental health crisis and cannot understand or process the commands.

Officer safety and wellness—physical, emotional, legal. This Training Guide is centered on PERF's Guiding Principle #1: "The sanctity of human life should be at the heart of everything an agency does." As PERF said in the Guiding Principles report, "Agency mission statements, policies, and training curricula should emphasize the sanctity of all human life—the general public, police officers, and criminal suspects—and the importance of treating all persons with dignity and respect."

Protecting officers from physical threats and harm lies at the heart of all of PERF's work, not just on use of force but on other issues as well. Whether the topic has been handling mass demonstrations, using Electronic Control Weapons (ECWs), or reducing officer fatalities through the negotiation of mandatory-wear policies for body armor and motor vehicle seat belts, PERF has focused on policies and practices that protect officers from danger.

PERF's *Guiding Principles on Use of Force* and this Training Guide continue that focus, and expand it to include officer safety and wellness from an emotional and legal standpoint as well. In recent years, police agencies have begun to dedicate attention and resources to the mental and emotional well-being of officers with regard to use of force and other issues. The San Diego Police Department stands out as a leader in this area.[13]

At its core, this ICAT Training Guide is focused on protecting officers in non-firearms incidents in terms of physical safety as well as wellness. This is accomplished by equipping officers with the tools and techniques needed to slow down some situations, and provide additional specific options for safely resolving them. The goal is to help officers avoid reaching the point where their lives or the lives of others become endangered and the officers have no choice but to use lethal force.

In addition to protecting officers from physical harm, providing officers with more options can minimize the risk of emotional turmoil and legal and media scrutiny that accompany most officer-involved shootings, even those that are clearly appropriate and necessary. This Training Guide is intended to help officers stay out of harm's way physically and to protect their emotional well-being, their family lives, and their careers.

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13. See *Guiding Principles on Use of Force,* Police Executive Research Forum (2016), http://www.policeforum.org/assets/guidingprinciples1.pdf, pp. 23–24. The San Diego Police Department also received the 2016 Agency Officer Wellness award from the National Law Enforcement Officers Memorial Fund: http://www.nleomf.org/newsroom/news-releases/national-officer-safety-and.html.

Approaches to Promoting Officer Safety and Wellness Following an Officer-Involved Shooting

Recognizing that involvement in a police shooting can have detrimental and lasting effects on officers, participants at PERF's April 2016 working group meeting of police training professionals discussed how their agencies are promoting officer safety and wellness in the aftermath of these incidents. Here are some of the ideas that were presented:

Mandatory wellness visits. Most agencies mandate that officers involved in a shooting or other critical incident see medical professionals promptly. The Las Vegas Metropolitan Police Department maintains doctors on staff and requires that officers have regular contact with them. Similarly, the Washington, D.C. Metropolitan Police Department mandates days off to see a clinical psychologist.

Follow-Up Visits. In Miami Beach, officers have follow-up wellness visits at 3, 6, and 12 months following an incident. Multiple visits are required because circumstances and emotions can change over time.

Peer support. Several agencies maintain peer support groups. Officers who have experienced the aftermath of an officer-involved shooting are often in the best position to understand the feelings that fellow officers are experiencing, to help them cope, and to provide referrals to additional resources. In New York City, the peer support structure has been formalized outside the agency. In 1996, various police unions came together to create Police Organization Providing Peer Assistance (POPPA), a private, volunteer peer support group.[14] Moving this function outside the department created a confidential, safe, and supportive environment for officers and their families to discuss a range of issues.

Addressing "collateral stress." Recognizing that the partners of officers involved in shootings and other officers on the scene may be impacted, the Madison (WI) Police Department created a program in which the department reaches out every six months to all officers who were on the scene, to help ensure their safety and well-being.

Keeping officers informed. Several participants noted that for many officers, one of the most stressful aspects of being involved in a shooting is not knowing the status of the legal and administrative review processes. Many agencies have dedicated department liaisons who are tasked with updating officers on their cases. In Nassau County, NY, two supervisors respond to all critical incidents: one is responsible for the investigation; the other is responsible for serving as a liaison for the officer involved. Often, agency Wellness Center personnel also respond to scenes and can make appropriate referrals to the employee assistance program right away.

Seizing training opportunities. Some agencies, such as the Washington, DC Metropolitan Police, have their Academy personnel respond to the scenes of some critical incidents. They use information gathered at the scene (which increasingly includes body-worn camera footage) in order to examine, from a training perspective, the tactics and decision-making that officers used. If better approaches are identified, they can be addressed in future lesson plans. If there are immediate officer safety implications, agencies work to get training bulletins and other information out immediately. In New York City, this is being accomplished quickly and comprehensively through text and video distributed through the smartphone technology that has been issued to officers.

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14. http://poppanewyork.org/

The ICAT Mission Statement

ICAT is anchored by the following mission statement and broad training goals:

Mission Statement

Patrol officers will learn to safely and professionally resolve critical incidents involving subjects who may pose a danger to themselves or others but who are not armed with firearms. Reducing the need to use deadly force, upholding the sanctity of life, building community trust, and protecting officers from physical, emotional, and legal harm are the cornerstones of ICAT.

Training Goals

- Reinforce with patrol officers the core ideal of sanctity of human life—the need to protect themselves, members of the public and, whenever possible, criminal suspects and subjects in crisis from danger and harm.
- Promote public safety and officer safety by learning and integrating skills and strategies related to decision-making, crisis recognition, tactical communications, and safety tactics.
- Provide patrol officers with the skills, knowledge, and confidence they need to assess and manage threats, influence behavioral change, and gain voluntary compliance whenever possible in dynamic and dangerous situations.
- Provide patrol officers with a decision-making model that is intuitive, practical, and effective for safely resolving non-firearms critical incidents and for documenting and explaining actions after the fact.
- Provide patrol officers with basic skills needed to recognize individuals in crisis and to approach and attempt to engage them in a safe and effective manner.
- Provide patrol officers with key communications skills needed to safely engage with, de-escalate, and gain compliance from subjects who are in crisis and/or non-compliant.
- Reinforce with patrol officers effective tactical approaches and teamwork skills needed to safely resolve incidents.
- Provide patrol officers with realistic and challenging scenario-based training which focuses on recognition of persons in crisis, tactical communication, and safe tactics as part of an overall, integrated de-escalation strategy.

How the ICAT Training Guide Was Created

This Training Guide is the next step in PERF's work on use-of-force reforms. Following the publication of *Guiding Principles on Use of Force* in March 2016, PERF assembled a Working Group of more than 60 professionals representing law enforcement agencies and other organizations from across the country (see Appendix, page 60, for a list of participants). The Working Group met in New York City on April 11–15 to discuss the key concepts, review an early draft of this Training Guide, and work on scenarios for the scenario-based training described herein.

PERF then completed a draft of this Training Guide, which was reviewed by a panel of 10 policing experts from across the country. The draft was updated and refined.

Finally, PERF obtained the assistance of police agencies in six jurisdictions for "pilot-testing" of the training. The pilot sites were the Bay Area Rapid Transit Police Department; the Burlington, VT Police Department; the Camden County, NJ Police Department; the Daytona Beach, FL Police Department; the Houston Police Department; and the Prince William County, VA Police Department. These training sessions, based on the key elements of this Training Guide, were conducted in August and September 2016. PERF obtained quantitative and qualitative feedback about the training from police officers and instructors in these six departments, and that feedback is reflected in this final report.

The online version of the ICAT Training Guide, which can be found at www.policeforum.org/TrainingGuide, is more detailed than this summary report, and will continue to be updated and expanded over time.

Commissioner William Bratton addressed the April 2016 Working Group meeting at the NYPD training academy in which 60 officials from all ranks at more than 30 local, state, and federal law enforcement agencies reviewed and commented on a draft of PERF's training guide. Participants also witnessed scenario-based training exercises conducted by NYPD personnel to demonstrate the elements of the training.

How to Use This ICAT Training Guide

PERF HAS LABELED THIS DOCUMENT THE ICAT TRAINING GUIDE (AS opposed to a "lesson plan" or "curriculum") for a reason. This report provides a new approach to incidents that in the past have sometimes ended with a use of force by police, but which in many cases could potentially be resolved peacefully if officers had better options for assessing the situation and using specialized communications skills and tactics to "slow the situation down," while protecting their own safety and public safety.

Because some police agencies and training academies already have curricula on topics like crisis intervention, communications, tactics, and decision-making, it may not be possible to simply drop this ICAT Training Guide into an existing training program. Elements of this Training Guide may duplicate certain aspects of a police department's current training, or in other cases, parts of this Training Guide may contradict existing policy or training. Thus, each agency should review the six Modules of this Training Guide, and decide how to merge new concepts with existing training, or to make adjustments as necessary.

And although the lessons in this ICAT Training Guide are especially pertinent to critical incidents involving subjects who are not armed with a firearm, some of the concepts, approaches, and techniques presented here can also be applied to certain situations in which firearms may be present. For example, if a barricaded subject has a firearm but is not actively shooting or pointing the weapon at an officer or someone else, the same elements covered in this Training Guide—good decision-making, effective communications, officer safety issues, and sound tactics—are still critical parts of a safe and effective response.

This Training Guide will be most effective in agencies and training academies that have reviewed and embraced the 30 guiding principles on use-of-force policy, training and tactics, equipment, and information exchange that are contained in PERF's 2016 report, *Guiding Principles on Use of Force*.[15] That 127-page document provides the context, supporting research, and commentary by

The complete Training Guide, with links to training videos and other materials, can be accessed online at www.policeforum.org/TrainingGuide.

15. http://www.policeforum.org/assets/guidingprinciples1.pdf

At PERF's April 2016 meeting, NYPD officers demonstrated effective approaches for handling a situation in which a woman called police to report that her son is "off his meds," is refusing to cooperate, and is waving a baseball bat.

leading police executives and other experts about how the Guiding Principles and this Training Guide were developed and how the two documents complement each other.

ICAT Is Flexible and Adaptable

PERF encourages police agencies and training academies to be creative in how they choose to use this Training Guide.

Some agencies and academies may decide to present the Training Guide materials as a *stand-alone training program* for the types of situations described above, in which patrol officers encounter a person behaving erratically, possibly because of a behavioral crisis, who is either unarmed or armed with a weapon other than a firearm.

Other agencies or academies may choose to incorporate the modules in this Training Guide into existing training programs on de-escalation, tactical communications, or crisis intervention. Still others may want to take elements of individual modules and create their own lesson plans. This Training Guide is designed to accommodate these and other approaches.

ICAT can be used to support recruit training, in-service training, or both. Again, it will be up to individual agencies and academies to determine how to best integrate this material into their overall training strategies and approaches.

One of the key points raised by the training experts that PERF consulted in the development of this guide[16] is that many skills—in particular, tactical communications skills—are perishable and need to be reinforced and practiced on a regular basis. This guide can be used to provide officers with regular "training booster shots" in a number of areas. Elements of this training can be reinforced during roll call or team training exercises.

16. See "How The ICAT Training Guide Was Created," page 14.

Menu of ICAT Training Modules

This Training Guide is presented in six modules:

Module 1: Introduction. This module explains the purpose and focus of the training, emphasizing that public safety and officer safety lie at the heart of the entire Training Guide.

Module 2: Critical Decision-Making Model (CDM). This module discusses the importance of critical thinking and decision-making for officers responding to the types of incidents that are the focus of this Training Guide. It presents the Critical Decision-Making Model as a training and operational tool for agencies to structure and support officers' decision-making.

Module 3: Crisis recognition and response. This module provides basic information on how to recognize individuals who are experiencing a behavioral crisis caused by mental illness, drug addiction, or other conditions. It also provides techniques on how to respond to such individuals and initiate communications with them.

Module 4: Tactical communications. This module provides more specific and detailed instruction on communicating with subjects who are agitated and initially non-compliant. It focuses on key communications skills, including active listening and non-verbal communication, that are designed to help officers manage these situations and gain voluntary compliance.

Module 5: Operational safety tactics. Using the Critical Decision-Making Model as the foundation, this module reviews critical pre-response, response, and post-response tactics to incidents in which a person in behavioral crisis is acting erratically or dangerously but is not brandishing a firearm. It emphasizes concepts such as the "tactical pause"; using distance and cover to create time; using time to continue communications, de-escalate heightened emotional responses, and bring additional resources to the scene; tactical positioning and re-positioning; and teamwork.

Module 6: Integration and practice. This module pulls the preceding modules together. Using video case studies and scenario-based exercises, it gives officers additional opportunities to practice the concepts and skills learned throughout the training.

These modules, and the material within each module, are presented in a recommended sequence. However, it is not required that the material be delivered in this exact order or format. An agency or instructor may feel it beneficial to transition between modules to more closely represent recent events or challenges particular to the operational environment for that agency.

Different Training Methods for Visual, Auditory and Kinesthetic Learners

ICAT utilizes both lecture/discussion-based training and practical instruction. As such, the guide attempts to accommodate the three basic types of adult

learners: visual, auditory, and kinesthetic. Because traditional, lecture-based classes do not provide kinesthetic learners with an avenue to easily retain the information presented, the guide includes multiple hands-on activities. In addition, some individuals do not have a single learning style. For example, visual/kinesthetic learners will retain more information if it is presented across the two different learning styles. The Training Guide is designed for these types of learners as well.

The material is presented in a basic lesson plan format that should be familiar to police trainers. It is also designed for agencies and academies to customize the modules to match their own policy considerations, training philosophies, state-level requirements, and available training resources.

Course Goals and Learning Objectives

For each module, the Training Guide specifies course goals and specific learning objectives. The guide also provides suggestions about the amount of time that should be devoted to each module, based on the material presented and recommended exercises. However, individual agencies or academies can adjust the material and the amount of time used to cover it.

Lectures and discussions: Each module includes an outline of suggested material to cover during lectures and class discussions. This material is not tightly scripted; rather, individual instructors will be expected to provide additional context and depth to the major learning points that are included. To assist instructors, the guide includes "Instructor Notes" that provide additional explanation and resources. Again, agencies and academies should add to these notes as appropriate.

Suggested Power Point: To support the lectures and class discussions, the Training Guide includes a Power Point presentation for each module. Use of the Power Point files is recommended, but optional. Agencies and academies should customize the presentations to fit their training requirements and philosophies. The format of the Power Point slides is simple, allowing agencies or academies to insert their own logos or other training information, as appropriate.

Video case studies: The Training Guide includes several video case studies that illustrate and amplify the material presented in the various modules. The modules include suggested questions and discussion points for each video case study. Instructors should feel free to augment these discussion points or introduce different or additional videos that cover the same learning objectives as those included in the Training Guide.

Scenario-Based Training (SBT): This guide also includes several scenario-based training exercises. These exercises are presented in two ways: as written scripts and as videos of the recommended scenarios. The scripts are intended to help agencies and academies create and run their own SBT exercises. They provide the background on the scenario and guidance to the role players, as well as key discussion and learning points for the instructors to use. The SBT

Local police officers from various ranks in 30 agencies discussed the organization and content of this Training Guide at the NYPD training academy.

videos can be used in one of two ways. For agencies and academies that want to run their own live SBT exercises, the videos offer a visual guide in how to structure and stage the exercises. For agencies and academies that may not be able to run their own SBT exercises, the videos can be used as case studies to illustrate the same discussion points and learning objectives. It should be noted, however, that to most effectively reach different types of adult learners, running actual scenarios is recommended.

Consider Stepping Outside the Regular Training Academy Structure

The training experts who have advised PERF on this Training Guide emphasized that selecting the right instructors to deliver this type of training is critically important. Some agencies that have rolled out new use-of-force training have decided to go outside their traditional academy structure, and use trusted individuals within their agencies, as well as community leaders or outside experts in some cases. When training challenges conventional thinking and presents innovative new ideas and approaches, it is essential to have trainers who endorse the new approach and who are trusted and respected by members of the organization.

That is the blueprint the Camden County, NJ Police Department followed in rolling out its "Ethical Protector" training—a department-wide initiative that stresses de-escalation, tactical communications, and the sanctity of human life. Rather than simply assigning the new training to regular training personnel, the department identified and recruited approximately 20 informal leaders within the agency. These were people who, regardless of rank, assignment, or patterns of experience, were well known and widely respected by fellow officers. The department provided those personnel with intensive train-the-trainer instruction on the Ethical Protector philosophy and program. These mentors then delivered the Ethical Protector training to the entire department. Department leaders and rank-and-file officers have attributed the effectiveness of the training to this unconventional approach.

>> continued on page 23

Some Tips and Techniques for Conducting Scenario-Based Training

The training experts who have assisted PERF in the development of this Training Guide emphasized the importance of scenario-based training (SBT) for police officers. They said SBT is particularly important for the subject of this training: patrol officers responding to an agitated subject, possibly in crisis, and either unarmed or possessing a weapon other than a firearm. These situations are dynamic, potentially dangerous, and require a mix of communications, tactical, and decision-making skills. SBT provides opportunities for officers to practice and demonstrate proficiency in all of those skills sets, in a realistic, hands-on, and sometimes stressful environment.

What is scenario-based training? (Also referred to as reality-based training, or RBT)

The Dallas Police Department, which helped to pioneer the concept with the creation of a dedicated Reality Based Training Team in 2006, provides this definition:[17]

> *Reality Based Training is training that places the student into a setting that simulates a real-life encounter, in order to test his/her ability to respond to an incident while acting within the law and departmental policy. RBT allows a student to experience various situations under stress before they reach the street and experience them for real. The student can experience these situations while in a safe/sterile environment.*

SBT is designed to complement, reinforce, and extend the other training methods that are used here and in other training. The Dallas Police Department presents the following learning continuum, emphasizing the advantages of RBT, or SBT:

Building officers' skills and confidence

Training experts emphasize that while effective SBT exercises inject physical and mental stress into the scenarios, SBT is ultimately designed to build up officers' skills and confidence. Scenarios should be designed for officers to practice and learn—and to *succeed*. SBT is not effective if the scenarios are seen as "gotcha" exercises that embarrass or shame students for not performing perfectly every time. The training should emphasize that the situations are complex and difficult to navigate until they have been practiced and the critical thinking process starts to become more automatic. The scenarios included in this Training Guide adhere to these principles, and it is important for agencies and academies to conduct their SBT in this same spirit.

How do you select and coach role-players?

A key component of any successful SBT exercise is the selection and coaching of "role players." Role players are the people who portray, for example, the subjects who are acting irrationally, relatives who call the police and may help calm the person down, and bystanders who may interfere and complicate the police response.

Role players must not only understand the parts they are playing; they must immerse themselves in those roles. The training experts who advised PERF emphasized that for SBT to be effective, the role players must be realistic and adept at playing their parts. Police department staff members can be effective role players, but they must demonstrate the ability to carry out the parts in the scenarios. However, it is *not recommended* that police personnel attending the training also serve as role players during that same training session. The roles of students and role players should be kept separate. Some agencies and academies hire professional actors,

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17. "Introduction to Reality Based Training." Dallas Police Department Power Point presentation. (Included as a resource with the online Training Guide.)

where resources are available.[18] Others, including the Metropolitan Police Department of Washington, DC, partner with the theater programs at local colleges or universities to supply student actors at little or no cost.

Stop at key points and discuss? Or complete the entire scenario and then discuss?

PERF's training experts identified two basic approaches for running SBT exercises:

1. Stop the exercise at key points to discuss what is happening and various possible responses, or
2. Run through the entire exercise, and then discuss.

Under option 1, instructors stop the action at key points during the scenario, sometimes to reinforce a successful action or technique by the officer, to point out warning signs, or to amplify an important teaching point. Frequent "cuts" in the action are not intended to indicate that anything is necessarily "wrong." Rather, they represent key decision points at which to explore tactical options (e.g., Where is your cover? What are your options for protecting yourself? Is the nature or severity of any threat posed by the subject changing? How has the threat changed? Is the person becoming more or less compliant? What communications and tactical strategies are warranted given the change in the threat?). Instructors should emphasize these points prior to the scenario starting, so that students understand the purpose behind the frequent breaks in the action.

At the conclusion of a scenario-based exercise, an instructor and participants discuss how officers responded and alternative strategies and tactics that they could have considered.

One other consideration: when conducting this type of training, part of the memory has no recall of the perception of time. By infusing "pauses" into the scenario, the student has more time to come up with the correct answer or action. When recalling the scenario later, the student will likely recall only his or her correct actions, not the pauses. This allows for the student to perform the "perfect rep," which will later be recalled as a template when confronted with a similar scenario, either in training or in the field.

The New York City and St. Paul Police Departments are among the agencies that use this stop-and-discuss approach. The primary advantage is that issues and questions can be addressed right away as they come up. The main disadvantage is that the "cuts" interrupt the flow of the scenario, and thus do not mirror actual events as they would unfold.

Under option 2, instructors allow the scenario to run all the way through, and then debrief and discuss important learning points. Prince William County, VA and Police Scotland, among others, have adopted this approach. The primary advantage here is that the scenarios more realistically mimic the structure and pace of the actual situations that officers will encounter on the street. A potential disadvantage is that some key decision points may not be fully covered in the post-scenario discussion and debrief.

Neither approach is necessarily better than the other. Each has its strengths and drawbacks, and agencies and academies will need to decide which approach works better for them. Agencies may use a mix of options 1 and 2, depending on which works best in a given scenario. In a certain scenario, it may make sense to stop just once to highlight a critically important decision point, but otherwise allow the scenario to run without interruption.

18. For example, for its crisis intervention training, the New York City Police Department hired professional improv actors.

In all scenarios, the purpose is not to render a simple "pass-fail" judgment on individual officers. Rather, SBT is intended to get officers to think about their decision-making, both as the situation unfolds and after the fact, as the officers are called on to explain their actions.

Finally, some agencies, including Oakland and Fresno, CA, take their scenarios all the way through to the end of the call for the officer. For example, officers are expected to call for medical backup if appropriate, write reports, and conduct other follow-up activities, as they would in a real-world encounter.

What to do with students not actively engaged in an SBT exercise?

One of the common concerns about SBT is that there is a lot of "down time" for students who are not actively involved in the scenario. The training experts who advised PERF generally recommended that students who had not yet been through the scenario should not be allowed to observe it before their turn. After students have completed the scenario, some agencies allow them to observe subsequent scenarios. In some cases, students are given specific "assignments," such as watching for particular communications techniques or tactical approaches. However, students should never be involved in evaluating or debriefing with other students; those are the job of the instructors.

One other option (recommended in this Training Guide) is to split a class into two groups (or more, depending on the overall size of the class). While one group is performing SBT, the others can be engaged in other practical training activities, such as video case studies.

What type of investment do agencies and academies need to make in SBT?

The training experts who advised PERF on this initiative emphasized that agencies and police academies need to be prepared to invest in their scenario-based training. This investment means devoting resources to create and implement a robust SBT program, with realistic scenarios, high-quality role players, and highly trained instructors. Agencies should also consider investing in video recording and editing equipment to film and play back scenarios for students. Such videos can be useful during one-on-one discussions about an officer's actions during the scenario.

Realistic scenes: Agencies and academies should also work to provide realistic locations for scenario-based training. Some organizations have robust "tactical villages" and similar facilities to stage a wide range of scenarios. Other agencies may need to be creative in finding realistic locations, such as storefronts that are temporarily closed, vacant office space, school facilities after hours, and the like.

Don't rush the scenarios: Devoting time to scenario-based training also means giving individual scenarios the time to play out. One of the key lessons of the PERF Guiding Principles on Use of Force is that police often achieve better outcomes if they can "slow a situation down," in order to give themselves more time to communicate with the subject and establish a rapport, assess the nature of the crisis, thoughtfully consider options for responding, call mental health experts and additional police resources to the scene, and give the person time to calm down and de-escalate. Thus, patience is important in handling these incidents.

It is equally important to have patience and allow time for the scenarios in this training to play out. By giving scenarios the time to evolve and play out, agencies and academies send the message to officers that their goal is to resolve the situation peacefully, which often does not mean quickly, and that officers are encouraged to take the time they need. It is important to emphasize this point, because in many departments, the traditional way of thinking is that officers should resolve every incident as quickly as possible, so the officers can move on to the next call.

Train as a team, if possible: If possible, agencies and academies should also attempt to have units, or at least partners, go through scenario-based training as a team. This approach allows for units and partners to practice team tactics during SBT, which is likely to translate into greater coordination and increased officer and public safety in the field.

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The Chief Must Endorse the Training—Publicly and Internally. Experts said it is critically important for the police chief, sheriff, or other agency top executive to proactively demonstrate support for the training with internal and external audiences. That is why Module 1: Introduction recommends an in-person visit or video message from the agency's chief executive at the very beginning of the program. Beyond just endorsing the training, chief executives and other top leadership can demonstrate their support by either attending the training themselves or spending time getting an overview of the training. In addition, it is important for all instructors to enhance and localize the training using anecdotes and experiences from their community.

Involve Community Partners: Agencies should also look to include other community partners in the training, where appropriate. For example, the National Alliance on Mental Illness (NAMI) is closely involved in the Crisis Intervention Team (CIT) training offered in many agencies. The Training Guide recommends that NAMI's "In Our Own Voice" program could be easily and effectively integrated into Module 3: Crisis Recognition and Response.[19] Other community partners in fields such as mental health, substance abuse, juvenile justice, elder care, and caring for other vulnerable populations could be effectively incorporated into this Training Guide as well. These partners add not only subject matter expertise, but also legitimacy to the training. In the interest of transparency and building community-police relations, agencies should also consider inviting selected community stakeholders, and possibly the news media, to observe the training in action.

Assessment and Testing Protocols

Each agency and academy will need to determine how to present this training within the context of its own assessment and testing protocols. This Training Guide does not include recommended or sample examinations or other assessments. These types of protocols are important in demonstrating that officers have understood and can implement the key ideas presented in the Training Guide. Developing these instruments will be up to the individual agencies, based on their own experiences and preferences.

19. For information on NAMI "In Our Own Voice," visit https://www.nami.org/Find-Support/NAMI-Programs/NAMI-In-Our-Own-Voice.

Training Module 1: Introduction

IN THE FIRST MODULE OF INSTRUCTION, STUDENTS ARE INTRODUCED to the purpose of the training: to improve the response of patrol officers to incidents that involve persons in crisis, who are behaving erratically and perhaps dangerously, but are not brandishing a firearm.

Message from the chief: It is recommended that the training begin with a message from the police chief, sheriff, or other chief executive of the agency, expressing support for the training. It is important for officers to understand that the training is being conducted because the top leaders of the agency consider it important and beneficial. The message from the chief can be delivered in person or in a video recording.

In their introductory message to officers, police chiefs and sheriffs should note that the training advances officers' interests as well as the community's interests. According to the U.S. Justice Department, approximately 63 million residents of the United States age 16 or older—more than one-fourth of the population—have at least one contact with the police over the course of a year. And police make more than 10 million arrests per year. In the vast majority of these millions of encounters, police use no force of any kind.

But in a small fraction of all these encounters, officers have used force in ways that have proved intensely controversial. These cases can have a dramatic impact on police-community relationships. If community members believe that a use of force by an officer was not necessary, it damages the relationships of trust that police have spent decades trying to build. In cases where a use of force is fatal, the stakes could not be higher, not only to the person who dies, but also to his or her family members, and to the entire community.

Furthermore, from police officers' point of view, using force, particularly lethal force, can be traumatic. They may face disciplinary action or criminal charges. And even if a use of lethal force is eventually found to be legally justified, the officer's life may never be the same. Some leave the profession.

The ICAT Training Guide is designed to give police officers more options, and better options, for responding to difficult, complicated situations, with strategies and tactics that are more likely to end with minimal use of force.

Lives can be saved with this approach. It is in everyone's best interest, including officers', to teach strategies and tactics for resolving these incidents peacefully, whenever possible.

Mission Statement: In Module 1, instructors also should review the mission statement of the training program (see previous section, page 13).

Start with a video case study: To start the training in an interesting manner, instructors may begin by showing the students a video case study that demonstrates the type of incident that the training is about.

One option is to show a video that illustrates the dynamic nature of many of these incidents and the challenges that first responding officers face. (There are many options for such videos, obtained from police body-worn cameras or dash cams, community members' cell phone cameras, or security camera footage. The online version of this Training Guide provides examples.)

Rather than playing the video all the way through, instructors can stop the video at certain points to discuss the issues the officer or officers were facing in tactical areas of threat assessment, critical decision-making, crisis intervention, communications, and tactics. This approach can provide a real-world, visually compelling introduction to the training.

What the training is NOT about: Next, instructors can clarify the focus of the training by explaining what it is *not* about:

- The training does *not* instruct officers to walk away from danger.
- The training does *not* tell officers that they cannot use their firearms when necessary.
- The training is *not* about limiting options for officers. Rather, it is about *increasing* officers' options in the types of situations covered in the training.

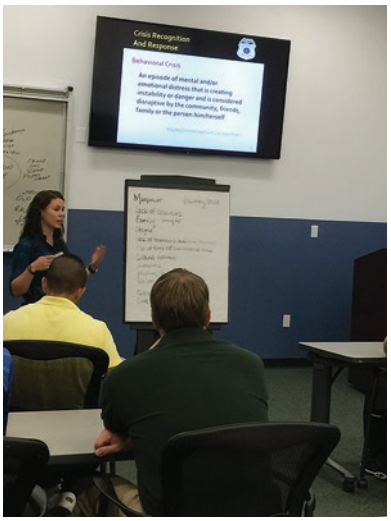
4 Key Areas of Focus: Finally, instructors should explain that the training will focus on four key areas:

1. **Patrol officer response:** The training is about *patrol officers*' response to the types of incidents at issue. Patrol officers almost always are the first officers to respond to a call or happen to be at the scene of such an incident. And the training generally instructs officers to "slow the situation down" whenever possible, in order to buy time to bring additional resources to the scene, such as a supervisor, specially trained Crisis Intervention Teams, and/or other specialized units. However, in the first critical minutes, it is often up to patrol officers to manage the situation safely and effectively.
2. **No firearms:** The major subject matter of the training is incidents in which a person is behaving oddly or dangerously but *does not have a firearm*. One-third of the fatal officer-involved shootings in 2015—approximately 300 incidents—involved subjects who were unarmed or were armed with a weapon other than a firearm. Many of these incidents are dangerous, but at the same time, many of them can be resolved without lethal force.

3. **Integration of different training elements:** The key to the training is the *integration* of several elements, namely Crisis Intervention training, communications, and tactics. In the aftermath of an officer-involved shooting of a person who was not armed with a gun, police agencies often point out that the officer(s) had in fact received Crisis Intervention training, which is about training officers to respond to persons with mental illness. However, CI training is largely about communications, i.e., teaching officers how to speak to people, gather useful information, and convey information to them. But many officers, even those who have received CI training, have not received training in the *tactics* for protecting themselves and the public when they encounter persons with mental illness. The goal is to integrate communications and tactics in order to obtain *voluntary compliance*.

4. **Officer safety and wellness are key:** Officer safety and wellness are at the center of this training. Under the U.S. Supreme Court's landmark ruling in 1985 in *Tennessee v. Garner*, a police officer can justifiably use deadly force if the officer believes that a suspect poses "a significant threat of death or serious physical injury to the officer or others." The training outlined in this document is designed to help officers, whenever possible, to avoid ever reaching that point where there is a significant threat of death or serious injury to themselves or others. By slowing situations down, bringing additional resources to the scene, and using communications skills and tactical skills such as keeping a safe distance from a threat and using cover, officers in many cases can de-escalate the situation peacefully, rather than rushing toward the point of significant danger that would justify lethal force.

   And by reducing incidents in which deadly force may be the only option available to officers, this training can help reduce officers' exposure to the emotional upheaval, and the legal and news media scrutiny, that accompany officer-involved shootings. This training emphasizes both the physical safety and emotional wellness of officers.



Concepts of the ICAT Training Guide were pilot-tested in training sessions in the Prince William County, VA Police Department.

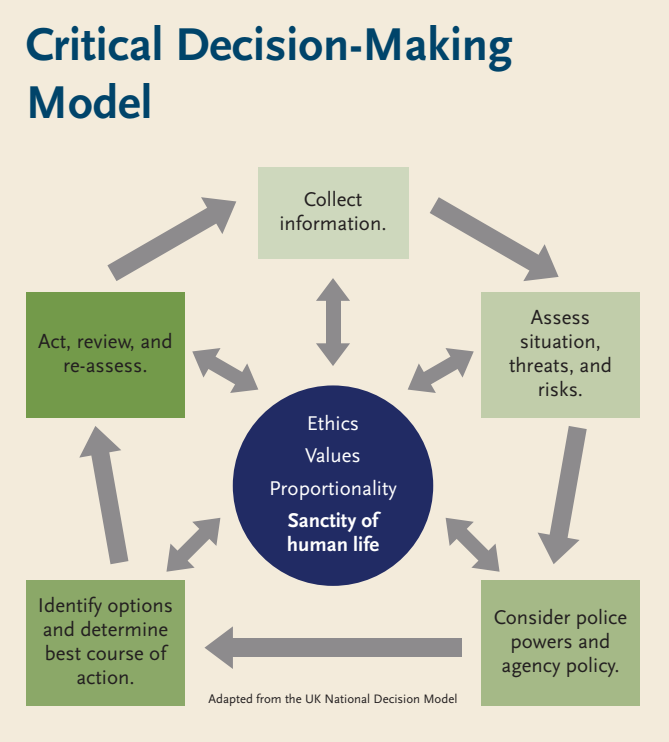
Training Module 2: Critical Decision-Making Model

What is the Critical Decision-Making Model? PERF's Critical Decision-Making Model (CDM) is at the heart of this Training Guide, because it provides officers with an organized way of making decisions about how they will act in any situation, including situations that may involve potential uses of force.

For decades, specialized police tactical units such as SWAT have employed the critical thinking and decision-making processes contained in the CDM to guide their complex, often dangerous work. Prior to taking action, SWAT teams typically take time to collect and analyze information about the situation they are facing, assess risks and threats, consider contingencies, and then act and review the outcome of their actions. Most experienced SWAT members would consider it reckless to approach an assignment without first taking these steps.

ICAT is based on the idea that if a critical thinking process works well for specialized tactical units, it can also help patrol officers do the same thing.

PERF's CDM is based largely on a similar National Decision Model that has been used for a number of years in the United Kingdom. Like the UK model, the CDM is a logical, straightforward, ethically-based thought process that will help American police officers manage a wide range of incidents effectively and safely. While the CDM can be employed in many types of situations, PERF believes it will be especially valuable in managing the types of critical incidents that are the focus of this training: situations involving persons who are behaving erratically or dangerously, often because of a mental illness or other condition, and who either are unarmed or have an edged weapon, rock, or other weapon, but not a firearm.



The Training Guide covers the key elements of the CDM, describes the process of using it, and explains its benefits.

CDM core: At the center of the CDM is an ethical core that provides grounding and guidance for the entire process of using the CDM. In PERF's CDM, there are four elements that guide decision-making:

- Police ethics
- The values of the police agency
- Proportionality[20]
- The sanctity of human life.[21]

However, officials should feel free to adjust the core of the CDM to best match the philosophy and values of their agency. The Nassau County, NY Police Department did that in creating its own decision-making model. While the Nassau County model is quite similar to PERF's CDM, the elements of the core are unique to Nassau County.

The CDM is a circular process, not a linear one: The CDM has 5 steps. It is a circular process, not a linear one. It is important to note that Step 5 is "Act, review, and re-assess." In other words, if the officer takes action but finds that the action does not resolve the situation, the officer restarts the process.

Furthermore, officers may move to any step as needed, as the situation changes. This is sometimes called "spinning the wheel."

For example, in a situation involving a man in a mental health crisis on the street brandishing a knife, an officer may be in Step 4, "Identify options and determine best course of action," and on the verge of deciding to use an Electronic Control Weapon. But if the man's wife arrives at the scene and says, "Let me talk to him, I can calm him down. He's off his medications. I have them, and he will probably calm down," the officer might go back to Step 2, "Assess situation, threats, and risks."

Instructors should explain the 5 steps, and allow time for answering questions at the end of each step.

Step 1: Collect information – This step is the starting point, but collecting information and intelligence is an ongoing process, from the time an officer receives a call all the way through completing the call, report-writing, and debriefing to identify any lessons that can be applied to future situations.

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20. See Guiding Principle #3 in *Guiding Principles on Use of Force*, pp. 38-40. http://www.policeforum.org/assets/guidingprinciples1.pdf

21. See Guiding Principle #1 in *Guiding Principles on Use of Force*, pp. 34-35. http://www.policeforum.org/assets/guidingprinciples1.pdf

Gathering information includes:

- **Asking yourself key questions**, such as: "What do I know about this situation so far? What additional information do I need? What is the best way to get that information? What do my training and experience tell me about this type of incident?
- **Seeking information from others**, including dispatchers, supervisors, other officers, and agency computer networks. This process often begins as the officer travels to the scene. Questions include: Who called the police, and what prompted the call? Who is on the scene? What do we know about the subject? What is the physical environment? Are there weapons at the scene? Are there issues of mental illness or substance abuse involved?

Officers also should ask about **previous incidents** involving the location or the person(s) who are the subject of the call, such as past arrests, past assaults on officers, and uses of force.

The training on Step 1 may include a video case study, such as the body-worn camera video[22] of a 2014 incident in which a Coeur d'Alene police officer encounters a man brandishing two knives after the man's friend said she was "worried about him cutting himself."

Step 2: Assess situation, threats, and risks – In this step, the officer begins to evaluate the information he or she has gathered, particularly with respect to any threats or risks to the public and/or the officer:

- A key question is: "**Do I need to take immediate action**?" Nothing in the CDM prevents an officer from taking immediate action if circumstances dictate.
- Risk assessment includes assessing the subject's **means, ability, opportunity, and intent**. These factors may change as the situation develops.
- Officers should **look beyond the presence of a weapon** such as a knife or rocks, and consider what the subject is doing with the weapon, which can speak to the subject's intent. The subject's intent may be to do harm to someone else, to do harm to himself, or to protect himself. Mental illness may cause a person to perceive threats that do not exist.
- Another factor in threat assessment is "**transfer of malice**." For example, a person may initially be upset with his boss or his spouse. Is he showing signs of transferring those emotions to the police or others? Offices should avoid saying or doing things that could cause the subject to transfer malice to others.
- In Step 2, officers also consider the need for **additional resources** by asking questions such as: "Should I summon my supervisor to this scene? Would specialized resources be helpful, such as a Crisis Intervention Team? Are there other government or private agencies that could offer assistance in understanding or managing the subject?"

22. https://www.youtube.com/watch?v=HnOBfCmled8

- Step 2 is also the stage when the officer begins to develop a **working strategy** for minimizing risks to the public, the officer, and the subject, while providing for the safe detention of the subject.

Step 3: Consider police powers and agency policy – This is a relatively simple, but critically important, step in the process. Officers should ask themselves:

- Under what **legal authority** am I responding here? Is this a matter for the police?
- What **legal powers** do I have to take action, under federal laws, state laws, and local ordinances?
- What **agency policies** control my response, particularly use-of-force policies and de-escalation policies?
- Are there other issues to consider, such as **jurisdictional issues** or mutual aid agreements with other law enforcement agencies?

Step 4: Identify options and determine best course of action – In this step, officers narrow their options and select the most appropriate one:

- Officers should ask themselves: "**What exactly am I trying to achieve**? What are my options? What are the contingencies for each option? Should I act now or wait? Do I have all the information I need to act now?
- In some circumstances, **waiting and collecting more information** may be the best option. "Slowing the situation down" is a key strategy for handling incidents involving persons who do not have a firearm but who are behaving erratically because of mental illness or other conditions.
- **Communicating with the subject** is almost always an option and a key part of the response.
- **Tactical repositioning** (e.g., moving to keep a safe distance from any threat posed by the subject or to obtain a better vantage point for responding) and containment are options in many cases.
- Taking **decisive action** may be required. Nothing in the CDM prevents officers from taking swift and forceful action, if circumstances warrant it. But if time is on your side, the CDM helps officers to use time to everyone's advantage.
- After considering options, the officer selects the best course of action. The goal of **proportionality** is important in this step.[23]

Step 5: Act, review, and re-assess – In this step, the officer takes an action and then assesses whether the action had the desired effect.

- If the action did have the desired effect, the officer should ask, "Is there anything more I need to do or consider? What lessons did I learn that will help me the next time I face a similar situation?"

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23. See Guiding Principle #3 in *Guiding Principles on Use of Force*, pp. 38–40. http://www.policeforum.org/assets/guidingprinciples1.pdf

- If the situation is not resolved, the officer "spins the model" and goes back to an earlier step of gathering additional information; re-assessing the situation, threats, and risks; or considering other options.

The Critical Decision-Making Model may sound complicated, but with practice, it becomes second-nature to officers.

When the CDM is first presented to officers, many officers ask, "You expect me to remember all this and apply it in a tense, potentially dangerous situation?"

However, officers in the United Kingdom who have been using a similar model told PERF that they apply it in many different types of situations they face, not only in situations where use of force may be at issue. And by doing so, they become familiar with the model, and it becomes second-nature to them.

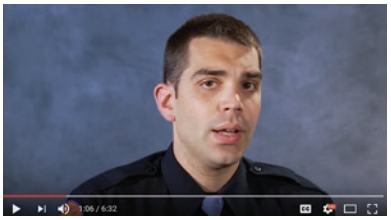
Many officers compare learning the CDM to learning to drive a car. At first, a new driver must think about how hard to step on the accelerator and brake pedal for smooth driving, how quickly to turn the steering wheel to make an even turn, how to scan the field of vision to watch for potential hazards, how closely to follow other cars, how to position the car correctly in a lane, how to check the side mirrors and rear-view mirror often enough, and so on. But within a few weeks or months, the process becomes so automatic that many motorists can drive for miles without actively thinking about what they are doing.

In a similar way, police officers should use the CDM every day as they consider their goals, their options, and their strategies for handling many situations. Not every situation will have the same level of risk as a mentally ill person brandishing a knife, but there are many types of calls and police actions in which it benefits officers to ask most of the questions contained in the CDM, such as: "What exactly is happening here? What do I know so far? What additional information do I need? What prompted the call? What do I know about the subject? Is there a history of past incidents involving this person or this location? What exactly am I trying to achieve? Do I need to take immediate action? Is 'transfer of malice' a potential issue? What is my legal authority in this situation? What are my options? Which option seems to offer the greatest likelihood of success and the least risk of doing harm?"

Officers who use the CDM on a daily basis will find it second-nature to use it when they face a high-risk critical situation.

Benefits of the CDM: By providing a structure for critical thinking, the CDM helps officers to organize their decision-making process and reach better decisions. Officers sometimes say, "I didn't have time to think" in a critical situation, but in many situations, that is not the case. Rather, the problem was that the officers had not received guidance on the key questions to ask themselves in a critical situation.

The CDM not only helps officers to make better decisions; it also helps officers to explain their actions after the fact. An officer who is accustomed to using the CDM will be able to recall and explain his thought processes: "First, I collected the following information about the situation…..Next, I assessed the following threats and risks, and developed a working strategy…. Then, I



Nassau County Officers Discuss The Decision-Making Model

One suggested training element is a video produced by the Nassau County, NY Police Department in which six officers discuss their reactions when they were trained in the Nassau Decision-Making Model. Some of the officers state that they were skeptical at first, but realized that the Decision-Making Model fits well with their own most effective strategies, and that it enlarges their "tool box" of options and "puts a flow chart" on what they already do, in order to help them consider their options, recognize what is happening in a situation, and in some cases get past an obstacle that was blocking a resolution to an incident.

considered the applicable laws and my agency's policies, and then, I decided that the best option was the following…."

This type of structured, rational explanation increases the officer's credibility with supervisors, investigators, and attorneys, judges, and juries in court.

Instructional exercises to explore the lessons of the CDM: The final portion of Module #2 is one or more video case studies, in which instructors and students watch a video of an actual incident, as seen through an officer's body-worn camera and/or other footage, and analyze how the officer's actions fit with the CDM. The PERF online Training Guide will include such videos and will be updated as new videos become available.

This type of case study can be made more instructive by dividing the class into several groups, each of which conducts its own analysis separately. Then, a spokesman for each group presents the group's findings to the entire class, in order to explore any differences in how class members interpret the finer points of the CDM process.

Training Module 3: Crisis Recognition and Response

INCIDENTS INVOLVING PERSONS IN CRISIS REPRESENT A RELATIVELY small percentage of all calls for service to police agencies. How these cases are handled, however, can have significant consequences for these persons and their loved ones, for the responding officers, and for the police agency and the entire community.

Many police agencies nationwide have recognized the importance of these situations and have provided crisis intervention training to officers and/or created Crisis Intervention Teams (CIT), made up of specially trained officers working with mental health workers.

Module 3 is not intended to be a replacement for CIT or other programs. Rather, it is designed to help the first patrol officers arriving at a scene involving a person in crisis to better evaluate the situation, slow the situation down and de-escalate it, whenever possible, with the goal of laying the groundwork for a safe and successful conclusion, often with the assistance of specialized personnel.

Following are the key elements of the Training Guide covered in Module 3.

Recognizing a person in crisis: When someone is in crisis, often there was a precipitating event that made the person unable to resolve the problem using normal coping methods. Emotions and irrational reasoning control the person's actions, and he or she is likely to experience high levels of frustration and aggravation. This crisis may be a result of mental disorders, physical or developmental disabilities, a major incident in one's life, or a combination of factors.

Patrol officers are not expected to be able to clinically diagnose a person in crisis. However, officers are more effective and safer during critical incidents when they can recognize the common signs that a person they encounter may be in crisis.

Definition of "crisis": In this context, a crisis is an episode of mental and/or emotional upheaval or distress that creates instability or danger, and causes

behavior that is considered disruptive by the community, by friends or family members of the person, and/or by the person himself.[24]

The three key factors are:

- It's episodic.
- It creates instability or danger.
- Other people consider it disruptive or in some cases, dangerous.

The elements of disruption and danger are why people call the police in these situations, rather than Emergency Medical Services or mental health agencies.

How does a crisis typically occur? Often there is a precipitating event, such as the death of a loved one, an act of violence, divorce, job loss, or a reaction to medication or a reaction cause by a failure to take medication. The person's perception of the event may be accurate, erroneous, or somewhere in between. Normal methods of coping and solving problems fail, resulting in a breakdown in control, an inability to respond appropriately, and generally feeling "overwhelmed."

A person in crisis, known in some police agencies as an Emotionally Distressed Person (EDP), can be influenced by a number of factors, including the following:

- **Mental illness:** Mental illnesses can cause perception disorders (such as hallucinations); thought disorders (such as delusions), and mood disorders (such as violent swings or extremes in mood).

  It is important for officers to understand that mental illness is a biological illness, like heart disease, cancer, or diabetes. Nobody chooses to develop a mental illness, and one in four families is affected. There is no cure, but many people stabilize to live full, productive lives. Medications often help, but they are not perfect, and there can be side effects or episodes even when people are taking their medications.
- **Substance abuse:** This may include alcohol abuse or abuse of prescription drugs, abuse of illegal drugs, abuse of "synthetic" drugs, or a combination of substances.
- **Medical condition:** This may include a failure to take medication, side effects from medication, or a traumatic brain injury.
- **Situational stress:** A job loss, financial problems, troubled personal relationships, or other situations may contribute to a personal crisis.

Other factors that officers should consider include the following:

- **Developmental disabilities:** There are many types of developmental disabilities—lifelong disabilities that occur before adulthood and require support. Developmental disabilities can result in difficulties in life areas, such as communication, learning, adaptive living skills, self-direction, self-help, and/or

24. Seattle Police Department Crisis Intervention Training (2015).

mobility. In some cases, developmental disabilities are complicated by an intellectual disability. Common examples include autism, cerebral palsy, and epilepsy.

- **Physical disabilities:** There are many types of physical disabilities that also can make it difficult for a person to understand and follow directions and interact with the police, such as deafness or partial loss of hearing, blindness or low vision, muscular dystrophy, multiple sclerosis, stroke, Alzheimer's Disease and other types of dementia, and traumatic neurological disorders. People with physical and/or developmental disabilities may exhibit some of the same unusual or erratic behaviors as Emotionally Distressed Persons.

Persons in crisis may be influenced by a combination of these factors, which can be especially challenging for the police to handle.

What callers say when they call the police about a person in crisis: Often, when police are called to respond to a person in crisis, there is no crime involved. Typically, callers report that the person is "acting weird," is walking into traffic, entering people's homes or looking into windows, wandering, rearranging store displays, following customers around a store, etc. The person may be attracted to shiny objects, or overly sensitive to light, sound or touch. The person may run from the police or display erratic behavior because they fear the police, not necessarily because they committed a crime.

The role of the patrol officer: The training emphasizes that it is not the job of a police officer to diagnose the factors that may be causing a person's behavior, but rather to simply recognize that behavior may be the result of one or more of these factors, and that these types of erratic behavior are usually not intentional or criminal in nature.

Therefore, officers should focus on the subject's *behavior*. Is the person responding to your questions or directions? Is the person coherent? Is the person able to make eye contact? Agitated? Talking to himself?

These behaviors can help an officer to discern whether the person is in crisis or merely has a developmental or physical disability.

For the first responding officer on the scene, the mission is not to diagnose the person, counsel him, or achieve an immediate resolution of the incident. Rather, the mission is to assess the situation and make it safe, de-escalate the situation if possible, "buy time" for specialized resources to arrive, and help the person get to a state where he can make rational decisions that will eventually result in a safe resolution.

A video that shows the point of view of a bipolar person: At this point, instructors may play a 3-minute video[25] in which Paton Blough, a man who has a bipolar disorder and who has been arrested six times while in a delusional state of mind because of his illness, offers his story.

25. PBS News Hour. "This is what it's like to be arrested while suffering mental illness." May 23, 2016. https://www.youtube.com/watch?v=36l5-4k6H-A

"Three of my six arrests went relatively well, with police getting me into custody safely," Mr. Blough explains. "The other three were extremely violent, because in my head, I was fighting for my life."

Blough's recovery has gone well in recent years, and today he participates in Crisis Intervention training for officers. "In my experience, most officers want to help, but often simply lack the training to know what to do in these tough situations," he says on the video. "One time, I was arrested by an officer who I believe naturally possessed many of the things we train. He slowed down and didn't force the issue when I accused him of being an undercover agent. He waited for my brother to come across town to bring my meds. When I accused him of giving me a poisoned bottle of water so I could take my pills, he immediately offered to take a sip to prove it was fine."

Blough said he asks officers to "imagine that the person you're dealing with is your brother, mother, or good friend."

Tips for responding effectively and safely in the first minutes, before additional personnel arrive: Modules 4 and 5 of this Training Guide provide detailed guidance on tactical communications and operational safety tactics for officers. But Module 3 provides general advice and tips for the initial response, including the following:

- Most persons with a mental illness are no more likely to be violent than the general population. In fact, persons with mental illness are much more likely to be victims of crime than perpetrators.
- Jail is usually not a good place for an Emotionally Distressed Person (EDP) to be stabilized. So officers should not approach an encounter with an EDP thinking that it will be "resolved" by taking the person into custody as quickly as possible.
- Crisis intervention is a process to help individuals in crisis find a solution. First responding police officers are part of that process.
- **The subject's first interaction with police is critical. That officer sets the tone and helps chart the course.**
- **But the first responding officer's role is not to diagnose the subject or treat the underlying issues. Officers should not assume they can correctly diagnose a person. Rather, their role is to verbally de-escalate the situation as much as possible, aiming to get the person to a state where he or she can function and reason more clearly.**
- De-escalation does *not* take away or restrict officers' discretion to make an arrest if that is necessary, or to use force against an imminent threat. But arrests and force should generally be considered last resorts in dealing with Emotionally Distressed Persons.
- Request backup and specialized help, such as officers or teams of officers and mental health workers who have received crisis intervention training.
- Don't rush into situations unless immediate action is required. Move slowly, calm the situation, and strive to reduce the stress level.

- **Communicate, communicate, communicate. Shouting commands is often counterproductive. Ask questions. Do not make threats. Make one request or ask one question at a time.** Ask open-ended questions to initiate dialogue and gather information about the subject's state of mind. Use "active listening" techniques. Verify that the person understands what you are saying. Don't take it personally if the person does not respond to you; he may not hear or understand you.
- Be careful with your body language. People in crisis may not understand your words, but they can "read" your tone and body language, and can sense whether you care about them. Be sincere and compassionate.
- Be aware of "hot buttons"—topics that agitate the subject. Avoid them.
- Be aware of "hooks"—topics that engage or help to calm the subject. Use these topics to establish rapport.
- Always be respectful. Never be dismissive. Do not say things like, "Just take your meds." Do not diminish the subject by whispering or laughing. Do not lie or deceive. If you are caught in a lie, you may never recover your level of trust with the subject.
- Do not automatically view non-compliance as a threat. There are many reasons why a subject may not hear or comprehend your directions.
- Manage your own reactions. When faced with a person in crisis, officers may experience some of the same physiological changes the subject is experiencing, such as rapid breathing and a rapid heart rate. It is important for officers to consciously stay as calm as possible, breathe slowly, and move slowly and smoothly.

Americans with Disabilities Act: Finally, the training includes material regarding the American with Disabilities Act (ADA), a comprehensive federal law that prohibits discrimination against individuals with mental or physical disabilities. The ADA covers many police activities, including enforcing laws; interrogating witnesses; arresting, booking, and holding suspects; operating 911 systems; and receiving citizen complaints.

The ADA does not prohibit officers from taking enforcement actions against persons with disabilities, but it does envision that officers will be trained in the behaviors of individuals that may be mistaken for a sign of criminal activity but actually are a result of a disability.

"In Our Own Voice" presentation: Following discussion of the topics listed above, the Training Guide recommends a "group engagement exercise" in which a person with mental health issues makes a presentation to the students and then has a Q-and-A discussion with them. The National Alliance on Mental Illness (NAMI) offers a free program called "In Our Own Voice," in which local NAMI affiliates arrange for persons with mental health conditions to share their stories. Local mental health departments or service providers also may help arrange such a presentation.

Another option is for police agencies to involve local mental health professionals in co-teaching the entire module with police or academy instructors.

These community partners can provide valuable experience and insights into police encounters with persons in crisis, and they, in turn, can learn about police protocols and polices.

Training Module 4: Tactical Communications

Why tactical communications can increase safety for everyone, including officers: Through classroom instruction, exercises, and scenario-based training, students will learn the basic principles and concepts of tactical communications in this module. Students will develop skills for safely and effectively communicating with people in a variety of difficult situations. They will learn "active listening" skills, as well as verbal and non-verbal "micro skills," that help to de-escalate tense situations and gain voluntary compliance from subjects.

Today's police officers have better equipment and technology than ever before, but the fact remains that nearly every encounter between a police officer and a member of the public starts and ends with words. Officers are more effective—and safer—when they can use communication skills to their tactical advantage. The goal is to obtain voluntary compliance and resolve a situation without use of force, which makes the encounter safer for everyone, including the officer. These tactical communication skills are especially important in dealing with persons who are in crisis due to mental illness or other conditions.

Warm-up activity: Instructors can launch Module 4 with a brief exercise in which they divide the class into small groups. Each group will brainstorm for approximately 10 minutes and list the attributes of a police officer they know who is an effective communicator. Each group then chooses a spokesperson who will present the group's findings to the entire class. Then, during the rest of Module 4, the attributes of good communicators that were cited by each group will likely be reinforced and placed in a larger context.

Active listening skills

Many people don't actually listen very well; during a conversation, when they are silent, they are simply waiting for their turn to talk. "Active listening" is the opposite of this. Active listing means paying close attention to what others are saying as well as what they may be communicating non-verbally, through gestures or body language. Active listening takes effort, and it is vitally important

that police officers know how to be active listeners when they are trying to communicate with a person in crisis.

The concepts of active listening covered in this module include the following:

80-20 rule: A simple way of thinking about active listening covered in this module is that you are on the right track if 80 percent of your time is spent listening, and only 20 percent talking.

Listen to understand and learn, not to respond: In listening, your goal is to understand and gather information about what the person is thinking and feeling. As the subject speaks, he may give you important information about his intentions, his capabilities, his mental health history and any medications he is taking or should be taking, any history he may have with the criminal justice system, any history of violence he may have, any "hot button" topics he may have that you should avoid talking about because they may escalate tensions, and any "hooks" he may have that may provide you with an opportunity to make a connection and establish rapport (e.g., maybe he will mention having attended a school that you are familiar with). The more the subject talks to you, the more you may learn and the more likely it will be that you may develop understanding and empathy. Furthermore, the longer you can keep the person talking, the more time you have to bring additional resources to the scene, if necessary.

Avoid distractions: In situations where there are multiple officers on the scene, one officer takes the role of talking to the subject (contact officer) while others focus on ensuring safety (cover officers), establishing perimeters, and other roles. The contact officer should stay focused on the person he or she is communicating with. Try to avoid being distracted by additional officers arriving, by persons who may be video-recording you, and other environmental factors.

***Show* the subject that you are listening carefully:** There are many ways to demonstrate to the subject that you are listening, that you are empathetic, and

NYPD officers conduct a scenario-based demonstration of the police response to a potentially suicidal woman holding a knife to her neck.

that you care. Make eye contact. Nod your head to show you understand. Say things like "Yes, I see," etc. Use your body language to convey calmness. When you speak, summarize the last few words the subject said, in order to show you are listening ("So you are upset with your boss….") And acknowledge that the subject's problems are important to him or her; never belittle or dismiss their concerns. Be respectful, fair, and non-opinionated.

Use silence to your advantage: Don't interrupt, or feel the need to respond immediately to everything the subject says. If there is no immediate threat and the subject seems comfortable with silence, don't be in a hurry to speed up the conversation. Silence may prompt the subject to talk more.

Non-Verbal Communication Skills

Much of "spoken" communication is actually non-verbal in nature. Facial expressions and gestures, and vocal elements such as "tone of voice" can be equally important to the words that are said. In many situations, the listener trusts and believes the non-verbal cues more than the actual words. Understanding these non-verbal elements can make police officers more effective in communicating, which can help to de-escalate volatile situations.

Following are some of the concepts covered in this module:

Project the right body language: Do not cross your arms; that can suggest you are not interested in what the subject has to day.

Make eye contact and use open-handed gestures. These techniques present you in a strong, stable manner, and also project concern and understanding. At the same time, they support a quick tactical response if needed.

Modulate your tone of voice: Your tone of voice can entirely change how your words are perceived; for example, words can mean the opposite of their literal meaning if they are delivered with a sarcastic tone. Avoid any tone that suggests you are annoyed or exasperated with the subject. Speak calmly and in a moderate volume whenever possible. Don't respond to a raised voice by raising your own voice. Try to bring the subject down to your tone, rather than vice-versa. Yelling sends a signal that you are not in control. However, understand that persons with hearing impairments may need you to speak more loudly. And when appropriate, you can speak assertively, in a strong "command voice," without being aggressive.

Verbal Communication Skills

Precise and professional verbal communications have always been important in policing, especially with respect to de-escalating tense encounters and obtaining voluntary compliance with persons who have a mental illness or other condition that can cause erratic behavior. Careful use of language is important for another reason today: Many police interactions are recorded by members of the public and posted online. Ill-considered remarks by a police officer can

quickly "go viral" and damage police-community relationships not only in the police agency for which the officer works, but in all agencies.

This module covers a number of verbal communications techniques and skills.

Use the team concept — One officer should do the talking: If multiple officers and other responders are present, one officer should take the role of being the contact officer, and that officer should do all the talking, in order to avoid confusing the subject or sending mixed messages. Other officers should take other roles, such as providing cover, managing bystanders, and responding if the subject begins to behave threateningly. However, *all* officers should be actively listening, so they will be ready to respond appropriately if necessary. If the contact officer is not able to engage the subject, officers may switch roles, and another officer should be the contact officer and try to establish a connection with the subject.

Establish rapport: Introduce yourself. Ask the subject for his or her name, and then use the name as you converse. Use the vernacular of the subject; speak in terms they understand, and avoid police jargon. Be patient and tolerant. Let people work through their range of emotions. Always be truthful. If you are caught in a lie, you may not be able to recover credibility.

Ask questions or make requests clearly, and one at a time: If you give multiple commands, the subject may only be able to process the last one. For example, do not say, "Take your hands out of your pockets and move away

Scenario-based training by the Burlington, VT Police Department.

PHOTO CREDIT: BURLINGTON, VT POLICE DEPARTMENT

from the vehicle." The subject may only do the latter, creating a safety risk. Say one thing at a time. Expect that you may have to repeat questions or commands, because mental illness or other conditions often interfere with the ability to understand or process information. Whenever possible, communicate your actions in advance. ("I am going to handcuff you now because….")

Ask open-ended questions, especially "what" and "how" questions: These types of questions generate discussion and provide you with more information. ("What is your name? What happened? How are you feeling? How can I help you? Why are you holding a knife? I can see that you are upset. Tell me about it….") Avoid "yes or no" questions, unless you are trying to elicit a specific piece of information, such as, "Are you supposed to be taking medication? Are you currently taking your medication?"

Encourage conversation, but do not dominate it: Remember the 80-20 rule. Encourage conversation, but try not to steer it or dominate it. You are trying to obtain information, not win an argument. After the subject answers a question, follow up with acknowledgments, "encouraging" remarks, clarifications, and empathetic responses. If you don't understand the subject's response, ask more questions to clarify ("I hear you saying _____. Is that correct?")

Provide options: Don't talk yourself into a corner or give ultimatums, such as "Drop the knife or I will shoot you." The person may not understand or be able to comprehend what you are saying, so ultimatums are counter-productive. Offer reassurance ("No one is going to hurt you.") and allow the subject to save face. Give the subject options ("If you sit down on that bench, we can talk about what's bothering you.").

Emotional contagion: A person with a mental illness or other condition may not understand all of the words you say, but he or she probably will be able to sense your tone and attitude, and may respond accordingly. So ask yourself which direction you wish to take the encounter—toward tension and chaos, or toward voluntary compliance and a peaceful resolution? Remember that you are the person in control, so exercise that control, with your words, actions, and attitude, in order to take the situation to the resolution you want.

Large Group Exercise—Discovering Productive Ways of Speaking

At this point, instructors can work with the entire class to think of alternatives to hostile-sounding phrases for situations that often occur in policing.

Using a large pad of paper on an easel and markers, the instructor should write a phrase at the top of the page, ask the class what's wrong with the phrase, and write down good alternatives proposed by class members. This exercise can be done fairly quickly, spending only a few minutes on each phrase.[26]

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26. This exercise is modeled on the concept of "anti-peace phrases" that should be avoided, developed by Dr. George Thompson and the Verbal Judo Institute. Examples of anti-peace phrases are "I'm not going to tell you again" and "You people."

For example:

Adversarial phrase: "What's your problem?"
Alternatives: "What can I do to help you?"

Adversarial phrase: "Calm down!"
Alternatives: "I see that you are upset. Please tell me about it."

Adversarial phrase: "Drop the knife! Drop the knife! Drop the knife!"
Alternatives: "Why are you holding a knife? I'm concerned that you might hurt someone. What can I do for you? I want to help you."

Learning Activity: Scenario-Based Exercise

The online Training Guide provides plans for a scenario-based exercise in which police respond to a 911 call about a woman who is pacing in front of an apartment building and holding a knife. Two students play responding officers. The woman appears to be crying and talking to herself, threatening to commit suicide, and occasionally holding the knife to her throat. One student is expected to take the role of contact officer, and the other student takes the role of cover officer. The students are encouraged to use active listening and communication skills with the objective of stabilizing the situation until a CIT team and other resources can be brought to the scene, and/or getting the woman to put down the knife and agree to be taken to a medical or mental health facility for an evaluation.

Learning Activity: Video Case Study

In this activity, the instructor would play a 2009 video from an Appleton, WI officer's body-worn camera[27], which shows the officer's response to a woman who called police because her son was behaving strangely, removing his clothes and yelling that he was dying. The dispatcher relayed detailed information to the responding officer. Upon arriving at the scene, the officer spoke calmly and quietly to the man and worked with medics to strap him to a stretcher so he could be taken to a hospital.

The instructor would facilitate a discussion of the officer's skills in crisis recognition, tactical communications, and tactical response, as well as any ways in which the officer could have improved his response.

27. YouTube video. "Excited Delirium." May 23, 2012. https://www.youtube.com/watch?v=HfEepVOQrpE

Training Module 5: Operational Safety Tactics

RESOLVING CRITICAL INCIDENTS REQUIRES STRONG SKILLS IN (1) recognizing the nature of the incident and knowing about effective responses for different types of incidents, (2) communicating well with the subject of the incident and with other officers and persons who are in involved in the response, and (3) sound tactics. All three elements must work in unison. Good crisis intervention and communications skills coupled with flawed tactics, or sound tactics paired with poor crisis intervention and communications, are unlikely to produce the desired result of a safe resolution through voluntary compliance.

Particularly in situations involving persons in crisis, police tactics must support, complement, and enable the crisis intervention and communications approaches to take hold and succeed. This combination of skills promotes the safety of everyone involved: the public, the officers, and the subject.

Because no two critical incidents are exactly the same, it is not possible to teach officers a standard set of tactics that can be applied in every situation. There is no one-size-fits-all approach. But key concepts can be learned through discussion and scenario-based exercises. This module focuses on a number of sound tactical considerations that can be applied to most non-firearms incidents.

Learning Activity: Assess Officers' Expectations

Module 5 can begin with a brief exercise to explore officers' current thinking on the topics that will be addressed in the training. The class should break into small groups and brainstorm how officers would manage a sample scenario, such as a person with a mental illness on a city street, holding a knife and talking to himself, but not making verbal threats or taking notice of passersby. Each group should appoint a spokesperson who will take notes about what officers say they would do as they travel to the scene, during the response, and after the incident is resolved. The spokespersons would then present the findings to the class.

Pre-Response Considerations

Information is at the core of any tactical response. As detailed in Step 1 of the Critical Decision-Making Model (see Module 2), it is essential that responding officers collect as much information as possible, from Dispatch and other sources, while en route to a critical incident. It is also important for responding officers and supervisors to share information with each other and begin developing a plan for responding, if possible.

As always, circumstances dictate tactics, and officers must be prepared to act as soon as they arrive at the scene, if necessary. But if there is no immediate threat and officers have time to "slow the situation down," they should use that time to their tactical advantage.

Video Case Study: This section of training can be based on a comparison of two video clips: (1) the fatal police shooting of Tamir Rice in Cleveland in November 2014[28], and (2) the response by police in Pharma, Ohio to a similar incident in February 2016[29]. Both incidents involved boys in a park with Airsoft or BB guns that resembled firearms. In Cleveland, the 911 caller said that the gun was "probably fake" and that the suspect was "probably a juvenile," but that information was not given to the responding officers. In Parma, the officers were told that the gun might not be a real firearm. In Cleveland, officers pulled right up to Rice and shot him almost immediately. In Parma, officers kept their distance, initiated communications, slowed the situation down, and took the youths into custody after they voluntarily complied with the officers' orders.

Collect information: Step 1 of the Critical Decision-Making Model calls on officers to "collect information." In the pre-response time frame, officers may collect information from dispatchers, fellow officers or supervisors, police department databases, online sources, or other sources. The goal is to know as much as possible about the subject of the call, about the location, about whether there have been previous calls to the police about the subject or from the same location, about the reason for the call, about whether the subject is known to be brandishing any weapons or to possess weapons, about other persons at the scene, etc.

As the responding officers gather information, they should also consider the importance of the information in the context of their own experience and training. For example, if a 911 caller says that the call is about a domestic violence disturbance and that police have been called before to the same address, that is critically important information for the officers to know, because they may already be familiar with the subject of the call.

When officers think about the nature of the call as they travel to the scene, it reinforces their readiness and guards against complacency or being caught off-guard. This increases officer safety.

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28. http://www.cleveland.com/metro/index.ssf/2016/02/the_tamir_rice_effect_parma_po.html#8

29. http://www.cleveland.com/metro/index.ssf/2016/02/the_tamir_rice_effect_parma_po.html#9

"Tactical pause": Some incidents, including those in which a subject is posing an imminent threat of harm to officers or the public, require an immediate response by the police. However, in many other situations, responding officers have time to take a "tactical pause," in which they "huddle up" (in person or over the radio), share information, and begin developing a strategy. Taking time to create a "team" mindset and to think more methodically results in a better response. The goal is to obtain voluntary compliance whenever possible, which reduces risks to everyone, including the officers.

In a 2016 study of the Palm Beach County, FL Sheriff's Office (PBSO), PERF commended the agency for implementing a "tactical pause" concept in its training in 2014. "While tactical pause is largely a training and operational tool, it appears to be sparking a larger cultural change within the PBSO," PERF said. "Personnel are approaching situations with a different mindset that focuses on up-front information gathering, planning, teamwork, and sound tactics.… Early figures suggest this new approach may be having a positive impact on the overall number of deputy-involved shootings, which declined from nine per year in 2012-2014 to three in 2015."

Preparing yourself: Officers should be taught to understand how their bodies will react to a stressful situation, and how managing their reactions can help them maintain control over the situation and resolve it effectively. An emotional or angry response by an officer can cause the incident to escalate, which makes it more difficult to resolve. Officers should be taught to separate their own reactions from those of others. For example, if the subject of the call or bystanders are yelling loudly, that does not mean that the officer should do the same. The goal for the officer is to control the situation, not to let the situation or other persons be in control.

Effective Response

The circumstances of an incident always dictate police tactics. That's why it's important for officers to accurately analyze and understand the circumstances they face.

For example, if officers respond to a call and find a person with a knife attacking a victim, they will use tactics designed to immediately neutralize the threat. However, if police respond to a call and find a person with a knife pacing up and down the sidewalk, talking to himself, taking little notice of anyone else, holding the knife defensively, and not actively threatening anyone, that presents a different set of circumstances that will require a different tactical response. In the latter scenario, the officers may be able to take some time to assess the situation, try to communicate with the person, bring additional resources to the scene, and otherwise formulate a response designed to obtain voluntary compliance.

This module emphasizes how information gathering, teamwork, and flexibility in considering different options are key to identifying and executing the most appropriate and safest tactical response.

Continue gathering information: When officers respond to an incident that does *not* require the immediate neutralization of an active threat, the first step is to continue gathering information—from their own observations, from witnesses, and from the subject, who is often the best source of information about what is going on and why he is behaving in a certain way.

Collecting information is an ongoing process that helps the officer to refine his or her threat assessment. Assessing a threat requires officers to analyze the subject's means, ability, opportunity, and intent to cause harm. By negating one or more of those elements, the officer can reduce or neutralize the threat.

Respond as a team: Many situations, particularly those involving persons with mental illness or other conditions that cause them to behave erratically, can be handled more effectively if responding officers call for additional personnel—such as a supervisor, officers who have received a higher level of crisis intervention training, special teams of officers and mental health workers who may have had previous contacts with the person, or SWAT officers.

In any situation with multiple officers responding, it is important that everyone should have a defined role, and everyone should know what their role is.

If there are only two officers at the scene, one officer should be the contact officer and the other should be the cover officer. The contact officer should communicate with the subject, while the cover officer focuses on protecting the safety of both officers and any bystanders. It is preferable that only one officer communicate with the subject, in order to ensure that messages are consistent. Persons with mental illness or other conditions may have trouble comprehending what people are saying, a situation that is made worse if multiple officers are speaking.

However, if the contact officer does not seem to be establishing any connection with the subject, the two officers can switch roles. In some cases, it just happens that one officer can reach a subject and establish rapport, while another officer cannot.

As additional officers arrive, they can take on additional roles in providing cover, using less-lethal weapons, establishing perimeters and managing/containing the scene, and internal communications and coordination.

Having a supervisor at the scene often has the effect of slowing the incident down, which can be very helpful. If there is no supervisor at the scene, a senior officer should step up and take the role of managing the overall response.

Video case study: A case study of the importance of assigning particular roles to officers is the fatal shooting by San Francisco police of Mario Woods in December 2015. The incident was captured from several angles on cell phone videos.[30]

Distance + Cover = Time: Police officers, especially those in busy urban departments, often respond to one call after another. This can result in a feeling

30. New York Daily News. "Multiple videos capture fatal San Francisco shooting by cops." Dec. 4, 2015. https://www.youtube.com/watch?v=BolqWQ4iIY4

of pressure to resolve calls quickly, so they can move on to the next one. Police agency leaders in some departments may need to issue new guidance in order to assure officers that there are some incidents that call for a more deliberate response, and that officers are not expected to resolve all calls quickly. **Rather, agencies should establish clear expectations that officers will *take as much time as they need, perhaps many hours in some cases,* to handle certain calls.**

The types of calls that require a slower, more careful response are those that have the potential to turn into incidents in which police will be required to use force, particularly lethal force. Often, these calls involve persons with a mental illness, developmental disability, drug addiction, or other condition that causes them to behave erratically. And if the call involves a weapon such as a knife, or a person who is throwing rocks or other objects, the chances increase that the officer may use lethal force if the police response is not carefully considered.

Slowing down the response is not only a question of providing a greater likelihood of safety for the subject of the call; it is a matter of officer safety as well. It is better for everyone at the scene if police can de-escalate the incident and *avoid ever reaching a point* where the use of lethal force is necessary.

Here is what the expression "Distance + Cover = Time" means to an officer responding to a situation of a person on a street in a mental health crisis, holding a knife and speaking somewhat incoherently: If the responding officer immediately moves in close to the person, he may create a situation in which he must use deadly force to protect himself. But depending on whether there are bystanders nearby and other circumstances, officers may be able to keep their distance from the person, and use cars, fences, or other objects as cover, in order to protect themselves. If officers can use these tactics to protect themselves and if there is no threat to bystanders, the officers can buy time. And they can use this time to communicate with the person, establish rapport and trust, strategize, and get additional resources to the scene—all of which increases the chances that the police will be able to convince the person to set down the knife and comply with officers' instructions voluntarily.

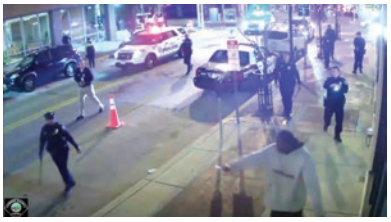
In other words, when officers are in close quarters with a potential threat and they feel pressed for time, options quickly dwindle. But when officers have distance, cover, and time, their options multiply.

Officers sometimes ask, "How long are we supposed to let this situation go on?" The answer from trainers and police agency leadership should be "as long as it takes."

Tactical positioning and repositioning: In the aftermath of a controversial use of force by police, an officer or police spokesman is sometimes quoted as saying, "We had to draw a line in the sand." That is an unhelpful concept in many of the types of situations that ICAT focuses on. "Drawing a line in the sand" is arbitrary and meaningless if the person you are dealing with cannot comprehend what you are saying, has no understanding of where you drew your line, and is unaware of the consequences for crossing the line.

Instead of drawing a line, officers should be taught to *maintain a position of advantage* and a safety zone. Maintaining a zone may require an officer to move sideways or backwards at times. The size of the zone is not an arbitrary

distance such as the so-called "21-foot rule." Rather, it is the amount of space needed to ensure that the officer cannot be caught off-guard if the person suddenly moves to attack.



Video case study: The concepts of "Distance + Cover = Time" and tactical positioning and repositioning are illustrated in a video of an incident in November 2015 in Camden, NJ, in which police responded to a man on the street with a knife.[31] Body-worn camera footage as well as security camera videos show more than a dozen officers following the man down a street. While it may be possible to find fault with particular aspects of almost any video of a police response to a difficult encounter, Camden County Police Chief J. Scott Thomson described what went well during this incident:

> *Our Camden officers didn't rush toward this man or rigidly put themselves in a position where they had to use deadly force. Instead, they maintained flexibility to reposition themselves throughout the entire incident, until they were eventually able to safely arrest him when he dropped the knife. No shots were fired, and no one was injured. We enveloped him with officers, we protected the public, and we were willing to walk with him as far as he wanted to walk that night.*[32]

Put yourself in a winnable situation: Some of the operational safety tactics described in Module 5 can be summarized as follows:

1. Isolate, contain, hold, assess.
2. Call out for additional resources.
3. Use tactical communications.
4. Identify options and develop a plan.
5. Intervene only if there is an immediate threat to life/safety
6. Remember that you don't have to succeed on your first try. Trying again or trying a new tactic is not only allowed; it may be the best approach. There may be multiple routes to success.
7. Do not put yourself in an unwinnable situation through your actions, such as closing the distance unnecessarily or rushing to action if you don't need to act.

Post-Response Considerations

Critical incidents can involve a number of possible outcomes, including voluntary compliance, arrest, referral to mental health treatment, and/or use of some level of force. Everyone involved in a critical incident should participate in an After-Action Review (AAR) process. This debriefing should cover the actions taken, the agency policies and procedures governing the situation,

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31. "Broadway & Mickle man with a knife incident." Camden County Police You Tube channel. https://www.youtube.com/watch?v=YtVUMT9P8iw

32. Police Executive Research Forum. *Guiding Principles on Use of Force*. 2016. Page 31. http://www.policeforum.org/assets/guidingprinciples1.pdf

and the decision-making behind the actions. By fully capturing the strengths and shortcomings during the incident, agencies can continuously improve the response to future incidents. This module demonstrates how the Critical Decision-Making Model provides a useful structure for the AAR process.

Basics of After-Action Reviews: Whenever possible, AARs are conducted immediately after a critical incident. They are conducted to uncover and document strengths and weaknesses of the response to an incident. AARs are not "Monday-morning quarterbacking." Rather, they are part of a continuous learning and improvement process. No one, regardless of rank, position or strength of personality has all the answers; AARs incorporate the ideas and experiences of a wide range of people. The sole purpose of AARs is to improve future performance, not to grade an incident as a "success" or "failure."

AAR ground rules: The AAR process must be inclusive; anyone who has an insight or question should be encouraged to provide input. Any information that can identify and correct deficiencies or sustain strengths should be solicited. Facilitators are central to the process; the facilitator should ask open-ended questions to bring out relevant information. Participants should be asked to "leave their egos at the door." Participants must feel free to express honest opinions, but views should be articulated in a professional and respectful manner. Professional disagreements during the AAR process should be encouraged.

Critical Decision-Making Model: The CDM, which officers use to guide their thinking during a critical incident, also serves as a useful tool for examining the decision-making after the fact. AARs are designed to answer the questions contained in the CDM: What information did officers request and receive? How did they assess the situation? Did the assessment change as new information came in? Did the officers consider their police powers and agency policies in formulating a response? How did they identify and narrow their options? Did they select the best course of action? After acting, did the officers review the outcome and re-assess? Did they "spin the model" if appropriate?

Learning Activity: Scenario-Based Exercise

The online Training Guide provides for a scenario-based exercise in which police respond to a call from a parent reporting a son with mental health issues who is off his medications and is swinging a baseball bat wildly in the home. The scenario focuses on how officers responding to the scene should gather important information from the parent outside the home, and then develop a safe, tactically sound response based on their analysis of the information collected.

Training Module 6: Integration and Practice

IN THE FINAL MODULE OF TRAINING, INSTRUCTORS USE VIDEO CASE studies and scenario-based training to help officers integrate their understanding of several concepts covered in earlier modules: how to recognize a critical incident and respond effectively, how to use crisis communication skills, and how to use operational safety tactics that are designed for the types of situations that are the focus of this training. The entire process is presented in the context of the Critical Decision-Making Model.

The course is designed to be flexible, depending on the amount of time and resources available in a given department or training academy. The Training Guide provides three videos to be used as case studies, taken from incidents in Appleton, WI;[33] Shenandoah County, VA;[34] and Camden County, NJ.[35] And the Guide provides two additional scenarios beyond those included in Modules 4 and 5: "man with a knife" and "attempted suicide by cop."

The video case studies included in ICAT are designed to promote discussion and learning. They are not intended to judge the officers' actions or render a "pass" or "fail" grade. In every video, there are examples of how the officers exemplified ICAT concepts and approaches, as well as examples of how the officers might have done things differently.

Video case studies: The video case studies will offer students an opportunity to demonstrate their understanding of the key concepts in Modules 2 through 5. For example, the Shenandoah County video consists of five minutes of body-worn camera footage from a 2015 incident in which deputies responded to a call about a man with a knife in a rural back yard.

The video demonstrates the deputies' crisis communications skills. One deputy takes the role of contact officer and does all of the talking. He constantly

33. YouTube. "Excited Delirium." Published May 23, 2012. https://www.youtube.com/watch?v=HfEepVOQrpE&feature=youtu.be

34. YouTube. "Bodycam Shows Police Subdue Man With Knife." Published December 14, 2015. https://www.youtube.com/watch?v=NrrJj2D8TL0

35. Ibid.

calls the subject by his name, generally speaks in a normal tone of voice, and repeatedly says things like, "Just tell us what's going on. Talk to us a little bit, buddy. What's wrong today?" When the man says, "Shoot me," the deputy says, "No, we don't want to shoot you!"

The video also demonstrates deputies' tactical skills and communications with each other. For example, they speak to each other about their positioning to avoid potential cross-fire, and they constantly used an "ebb and flow" approach to positioning to maintain a reaction gap.

Other discussion points include: issuing clear, simple commands; establishing rapport; demonstrating empathy; threat assessment; not rushing the situation; and tactics, including the use of an Electronic Control Weapon (ECW). The video shows that the deployment of the ECW angered the subject. The contact deputy quickly directed the subject's attention away from the deputy who had used the ECW, saying, "Talk to *me*, man, talk to *me*." But moments later, the subject dropped his knife as he removed an ECW prong, which provided an opportunity for deputies to rush in and subdue him.

On some points, there is room for discussion about whether the deputies' actions were the best option. For example, students may have different views about whether the use of an ECW was appropriate. The ECW angered the subject, which could have escalated the tensions, but as it happened, the subject dropped his knife while removing the ECW prong, which ended the encounter.

Scenario-based training: In the video case studies, students review and discuss other officers' actions, but in the scenario-based training exercises, officers are given an opportunity to demonstrate how they would put the concepts of the training into practice, in realistic scenarios of the type they are likely to encounter on the job.

For example, in one of the scenarios laid out in the online Training Guide, students are told that they are responding to a call about an agitated man walking in a residential street, yelling and slashing at the air with a knife. The 911 caller reported that the man had just had another argument with his wife, who is threatening to leave him. Two officers respond. The subject is pacing excitedly, and he tells the officers to leave him alone.

The officers are expected to establish tactical positions to contain the subject and begin communications. The goal is to get the subject to voluntarily drop the knife and agree to be transported to a medical/mental health facility for an evaluation.

The subject is played by a role-player. Some police agencies seek out local actors from community theater groups or colleges to play these roles; other agencies look for acting talent among their own employees. Role-players are given information in advance about the characters they play. Some or all of this information may come out during the exercise, depending on the skills of the students in asking questions and gathering information.

In the scenario described here, the subject is a 42-year-old Marine Corps veteran who has been treated for PTSD for years, but who recently stopped taking medication because it made him feel bad. He is suspicious of one of the officers, thinking that the officer beat him the last time police were called to

his address. He has been drinking heavily for several days. He has several "hot buttons"—issues that make him angry, including any comments about his wife, positive or negative, and anything he perceives as a challenge to his military service or patriotism. (If the officers happen to touch on one of the "hot buttons," they should change the subject.) The subject also has several "hooks"—things that he likes—including jazz music and military history. (If the officers are able to find out about these "hooks," it may provide an opportunity to make a connection and establish rapport.)

The exercise does not have any fixed ending. The role-players are given limited instructions to "stay in character" and to react to what the officers say and do. But because mental illness and other conditions are key elements of many of these scenarios, the scenario may take unexpected turns.

At the conclusion of each exercise, the instructors debrief with officers, reviewing their decision-making, communications, and tactical approaches.

Trainers may also use an optional element of making a video recording of the exercise, so that instructors and students can replay some or all of the exercise for purposes of the discussion.

Summary and Next Steps for Implementing ICAT

PERF'S ICAT TRAINING GUIDE IS DESIGNED TO HELP POLICE AGENCIES challenge conventional ways of responding to certain situations that in the past have ended with a police use of force. ICAT is a model that integrates officer safety tactics, communication skills, critical thinking and assessment tools, and other elements in an effort to resolve situations with minimal use of force, whenever possible. Building polices and training centered on the sanctity of human life can increase officer safety as well as public safety.

Many of the incidents cited in the ICAT Training Guide involve persons with mental illness or other conditions who are not brandishing a firearm. However, in certain situations, the concepts and techniques presented in the ICAT Training Guide can be applied even when firearms may be present. For example, if a mentally ill or suicidal person is barricaded in a room and has a firearm but is not pointing it at anyone, and if officers can maintain protective cover and ensure that the subject is not a threat to the public, the officers may be able to "slow the situation down" in order to give themselves more time to talk to the person, assess his mental state, utilize negotiators, and develop a plan to resolve the incident. Officers should be taught to understand that they need not feel pressure to resolve all situations quickly; in many cases, slowing it down and bringing in additional resources, as necessary, can result in a better and safer outcome for everyone.

In many police departments, this Training Guide should not simply be dropped into an existing recruit training or in-service training program, because ICAT involves communications, assessment, tactics, critical thinking, decision-making skills, crisis intervention, operational safety considerations, and other elements, many of which may already be covered to varying degrees in existing training curricula.

Therefore, top agency officials should read this summary of the ICAT Training Guide (as well as the more detailed online version of the guide), absorb its content, and decide where it fits best in their training program, and whether adjustments to existing training need to be made, so that the final result is integrated and internally consistent.

ICAT also should be considered a companion to PERF's March 2016 report, *Guiding Principles on Use of Force*. The ICAT training is based in large part on the 30 Guiding Principles in that earlier report.

This ICAT Training Guide is available online at PERF's website because it will be a "living document." Over time, as new materials become available, such as body-worn camera footage of actual incidents that demonstrate key concepts and lessons learned, these materials will be continually added to the online Training Guide.

PERF invites police officials to submit materials that are instructive and can be added to the ICAT Training Guide resources. For details, please contact PERF Director of Program Management Kevin Morison at kmorison@police-forum.org.

As stated in the Acknowledgments section of this report, PERF is grateful to the hundreds of police officials at all ranks, from departments across the country, who have contributed to this work. We believe strongly that ICAT will help saves lives and will save officers' careers as well.

About the Police Executive Research Forum

THE POLICE EXECUTIVE RESEARCH FORUM (PERF) IS AN INDEPENDENT research organization that focuses on critical issues in policing. Since its founding in 1976, PERF has identified best practices on fundamental issues such as reducing police use of force; developing community policing and problem-oriented policing; using technologies to deliver police services to the community; and developing and assessing crime reduction strategies.

PERF strives to advance professionalism in policing and to improve the delivery of police services through the exercise of strong national leadership; public debate of police and criminal justice issues; and research and policy development.

The nature of PERF's work can be seen in the titles of a sample of PERF's reports over the last decade. Most PERF reports are available without charge online at http://www.policeforum.org/free-online-documents.

To learn more about PERF, visit www.policeforum.org.

- *Guiding Principles on Use of Force (2016)*
- *Advice from Police Chiefs and Community Leaders on Building Trust: "Ask for Help, Work Together, and Show Respect" (2016)*
- *U.S. Attorney General's Summit on Violent Crime: Summary of Key Factors, Promising Strategies, and Additional Steps (2016)*
- *Promising Practices for Using Community Policing to Prevent Violent Extremism (2016)*
- *Identifying and Preventing Gender Bias in Law Enforcement Response to Sexual Assault and Domestic Violence (2016)*
- *Re-Engineering Training on Police Use of Force (2015)*
- *Gun Violence: Regional Problems, Partnerships, and Solutions (2015)*
- *Constitutional Policing as a Cornerstone of Community Policing (2015)*
- *Defining Moments for Police Chiefs (2015)*
- *Implementing a Body-Worn Camera Program: Recommendations and Lessons Learned (2014)*
- *Local Police Perspectives on State Immigration Policies (2014)*
- *New Challenges for Police: A Heroin Epidemic and Changing Attitudes Toward Marijuana (2014)*
- *The Role of Local Law Enforcement Agencies in Preventing and Investigating Cybercrime (2014)*
- *The Police Response to Active Shooter Incidents (2014)*
- *Future Trends in Policing (2014)*
- *Legitimacy and Procedural Justice: A New Element of Police Leadership (2014)*
- *Social Media and Tactical Considerations for Law Enforcement (2013)*

- *Compstat: Its Origins, Evolution, and Future in Law Enforcement Agencies (2013)*
- *Civil Rights Investigations of Local Police: Lessons Learned (2013)*
- *A National Survey of Eyewitness Identification Procedures in Law Enforcement Agencies (2013)*
- *An Integrated Approach to De-Escalation and Minimizing Use of Force (2012)*
- *Improving the Police Response to Sexual Assault (2012)*
- *How Are Innovations in Technology Transforming Policing? (2012)*
- *Voices from Across the Country: Local Law Enforcement Officials Discuss the Challenges of Immigration Enforcement (2012)*
- *2011 Electronic Control Weapon Guidelines (2011)*
- *Managing Major Events: Best Practices from the Field (2011)*
- *It's More Complex than You Think: A Chief's Guide to DNA (2010)*
- *Guns and Crime: Breaking New Ground By Focusing on the Local Impact (2010)*
- *Gang Violence: The Police Role in Developing Community-Wide Solutions (2010)*
- *The Stop Snitching Phenomenon: Breaking the Code of Silence (2009)*
- *Violent Crime in America: What We Know About Hot Spots Enforcement (2008)*
- *Promoting Effective Homicide Investigations (2007)*
- *"Good to Great" Policing: Application of Business Management Principles in the Public Sector (2007)*
- *Police Management of Mass Demonstrations: Identifying Issues and Successful Approaches (2006)*
- *Strategies for Intervening with Officers through Early Intervention Systems: A Guide for Front-Line Supervisors (2006)*
- *Managing a Multi-Jurisdiction Case: Identifying Lessons Learned from the Sniper Investigation (2004)*
- *Community Policing: The Past, Present and Future (2004)*
- *Racially Biased Policing: A Principled Response (2001)*

In addition to conducting research and publishing reports on our findings, PERF conducts management studies of individual law enforcement agencies; educates hundreds of police officials each year in the Senior Management Institute for Police, a three-week executive development program; and provides executive search services to governments that wish to conduct national searches for their next police chief.

All of PERF's work benefits from PERF's status as a membership organization of police officials, who share information and open their agencies to research and study. PERF members also include academics, federal government leaders, and others with an interest in policing and criminal justice.

All PERF members must have a four-year college degree and must subscribe to a set of founding principles, emphasizing the importance of research and public debate in policing, adherence to the Constitution and the highest standards of ethics and integrity, and accountability to the communities that police agencies serve.

PERF is governed by a member-elected President and Board of Directors and a Board-appointed Executive Director.

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MOTOROLA SOLUTIONS

MOTOROLA SOLUTIONS FOUNDATION

MOTOROLA SOLUTIONS CREATES INNOVATIVE, MISSION-CRITICAL COMMUnication solutions and services that help public safety and commercial customers build safer cities and thriving communities.

Our solutions, including devices, infrastructure, software and services, help people be their best in the moments that matter. We serve public safety and commercial customers in industries including law enforcement, fire, emergency medical services, utilities, mining, manufacturing and education. Customers in more than 100 countries around the world depend on our radio networks and devices, as well as our managed and support services. We are also continuing our rich history of innovation by creating "smart public safety solutions," which are technology-driven software, systems and applications that provide critical intelligence to public safety users, improving safety and efficiency.

The Motorola Solutions Foundation is the charitable and philanthropic arm of Motorola Solutions. With employees located around the globe, Motorola Solutions seeks to benefit the communities where it operates. We achieve this by making strategic grants, forging strong community partnerships, and fostering innovation. The Motorola Solutions Foundation focuses its funding on public safety, disaster relief, employee programs and education, especially science, technology, engineering and math programming.

Motorola Solutions is a company of engineers and scientists, with employees who are eager to encourage the next generation of inventors. Hundreds of employees volunteer as robotics club mentors, science fair judges and math tutors. Our "Innovators" employee volunteer program pairs a Motorola Solutions employee with each of the nonprofits receiving Innovation Generation grants, providing ongoing support for grantees beyond simply funding their projects.

For more information on Motorola Solutions Corporate and Foundation giving, visit www.motorolasolutions.com/giving.

For more information on Motorola Solutions, visit www.motorolasolutions.com.

APPENDIX
Participants at the ICAT Working Group Meeting on Lesson Plan Development

April 11–15, 2016
New York City Police Academy, Flushing, NY

Major Darin Schierbaum
ATLANTA POLICE DEPARTMENT

Deputy Commissioner Darryl DeSousa
BALTIMORE POLICE DEPARTMENT

Sergeant Wade Labrecque
BURLINGTON, VT POLICE DEPARTMENT

Sergeant James Trieb
BURLINGTON, VT POLICE DEPARTMENT

Lieutenant Kevin Lutz
CAMDEN COUNTY, NJ POLICE DEPARTMENT

Ret. Deputy Chief Howard Lodding
FORMERLY WITH CHICAGO POLICE DEPARTMENT

Noble Wray
COPS OFFICE, U.S. DEPT. OF JUSTICE POLICING PRACTICES AND ACCOUNTABILITY INITIATIVE

Assistant Deputy Commissioner Paul Baker
CUSTOMS AND BORDER PROTECTION U.S. DEPARTMENT OF HOMELAND SECURITY

Director Mike Brown
CUSTOMS AND BORDER PROTECTION U.S. DEPARTMENT OF HOMELAND SECURITY

Deputy Chief Jeff Cotner
DALLAS POLICE DEPARTMENT

Major Paul Junger
DALLAS POLICE DEPARTMENT

Sergeant Todd McBride
DAYTONA BEACH POLICE DEPARTMENT

Commander Patrick Phelan
DENVER POLICE DEPARTMENT

Captain Paul Norton
FAIRFAX COUNTY, VA POLICE DEPARTMENT

Master Police Officer Pete Davila
FAIRFAX COUNTY, VA POLICE DEPARTMENT

Deputy Assistant Director Ariana Roddini
FEDERAL LAW ENFORCEMENT TRAINING CENTER

Deputy Assistant Director Carl Milazzo
FEDERAL LAW ENFORCEMENT TRAINING CENTER

Lieutenant Joey Alvarez
FRESNO, CA POLICE DEPARTMENT

Assistant Chief Charles Vazquez
HOUSTON POLICE DEPARTMENT

Lieutenant Colonel Sean Cormier
ILLINOIS STATE POLICE

Captain Charles Huth
KANSAS CITY, MO POLICE DEPARTMENT

Lieutenant Ted Glaude
LAS VEGAS METROPOLITAN POLICE DEPARTMENT

Captain Keith Stephens
METROPOLITAN NASHVILLE POLICE DEPARTMENT

Commander Daniel Hickson
METROPOLITAN POLICE DEPARTMENT (WASHINGTON, DC)

Assistant Chief Kimberly Chisley-Missouri
METROPOLITAN POLICE DEPARTMENT (WASHINGTON, DC)

Major Rick Clements
MIAMI BEACH POLICE DEPARTMENT

Lieutenant Dan Morgalo
MIAMI BEACH POLICE DEPARTMENT

Sergeant Allen Groszczyk
MILWAUKEE POLICE DEPARTMENT

Commander Troy Schoenberger
MINNEAPOLIS POLICE DEPARTMENT

Captain Mark Plazinski
MONTGOMERY COUNTY, MD POLICE DEPARTMENT

CIT Program Manager Laura Usher
NATIONAL ALLIANCE ON MENTAL ILLNESS (NAMI)

Note: Participants' titles and affiliations are those at the time of the January 29 meeting.

Lieutenant Adam Scheiner
NASSAU COUNTY, NY POLICE DEPARTMENT

Sergeant George Larosa
NASSAU COUNTY, NY POLICE DEPARTMENT

Sergeant Mike Savino
NASSAU COUNTY, NY POLICE DEPARTMENT

Detective Jeff Thompson
NEW YORK CITY POLICE DEPARTMENT

Detective Jim Shanahan
NEW YORK CITY POLICE DEPARTMENT

Lieutenant Jack Cambria (Ret.)
NEW YORK CITY POLICE DEPARTMENT

Deputy Inspector Matt Galvin
NEW YORK CITY POLICE DEPARTMENT

Sergeant John Flynn
NEW YORK CITY POLICE DEPARTMENT

Lieutenant Sean Patterson
NEW YORK CITY POLICE DEPARTMENT

Officer Robert Zajac
NEW YORK CITY POLICE DEPARTMENT

Officer Steve Stefanakos
NEW YORK CITY POLICE DEPARTMENT

Deputy Chief Theresa Tobin
NEW YORK CITY POLICE DEPARTMENT

Assistant Chief Terry Shortell
NEW YORK CITY POLICE DEPARTMENT

Deputy Chief Vincent Giordano
NEW YORK CITY POLICE DEPARTMENT

Lieutenant Mark Turner
NEW YORK CITY POLICE DEPARTMENT

Detective Jose Otero
NEW YORK CITY POLICE DEPARTMENT

Detective Jim Shields
NEW YORK CITY POLICE DEPARTMENT

Detective Mike O'Brien
NEW YORK CITY POLICE DEPARTMENT

Detective Patrick DeCanio
NEW YORK CITY POLICE DEPARTMENT

Sergeant Bryan Hubbard
OAKLAND, CA POLICE DEPARTMENT

Captain John Prieschl
PALM BEACH COUNTY, FL SHERIFF'S OFFICE

Major William Brannin
PALM BEACH COUNTY, FL SHERIFF'S OFFICE

Chief Inspector
Christopher Werner
PHILADELPHIA POLICE DEPARTMENT

Sergeant Jim Young
POLICE SCOTLAND

Superintendent Alan Gibson
POLICE SCOTLAND

Superintendent Kirk Kinnell
POLICE SCOTLAND

Director Mike Schlosser
POLICE TRAINING INSTITUTE
UNIVERSITY OF ILLINOIS

Sergeant William Gleason
PRINCE GEORGE'S COUNTY, MD
POLICE DEPARTMENT

Captain Philip Cecere
PRINCE WILLIAM COUNTY, VA
POLICE DEPARTMENT

Director Julie Maidment
SAINT PAUL POLICE DEPARTMENT

Sergeant Larry Hall
SAN DIEGO POLICE DEPARTMENT

Officer Kevin Moylan
SAN FRANCISCO POLICE DEPARTMENT

Sergeant John Brooks
SEATTLE POLICE DEPARTMENT

Sergeant Dan Nelson
SEATTLE POLICE DEPARTMENT

Captain Angela Coonce
ST. LOUIS METROPOLITAN POLICE DEPARTMENT

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