

## Appendix A — SWAT Operator Role Certification Numerical Worksheets

The following fifteen worksheets have been developed to:

1. Assist role focus groups to identify criteria necessary to receive certification
2. Distinguish mandatory and elective criteria to meet requirements
3. Provide a metric for comparing disparate attributes and efforts while ensuring competence
4. Assist candidates in crafting a personal curriculum to establish competence

These worksheets have been developed after months of research, evaluation and refinement. While they are intended to be intuitive, some conventions were established.

1. Blue backgrounds indicate a criterion that involves formal training
2. Brown backgrounds indicate a criterion that involves personal imitative and/or study
3. Green backgrounds indicate a criterion that involves experience
4. Boxes outlined in black indicate a criterion that is elective.
5. Boxes outlined in red indicate a criterion that is mandatory.
6. Validation refers to the substantiation of a particular criterion
7. Unit of value refers to the relative contribution of a particular criterion based upon the base unit of measurement. (*The base unit of measurement has been established as one hour of subject specific training.*)
8. The instructions refer to the algorithm developed by the Certification Focus Group in estimating the value of a particular criterion.

Domain		Criteria	ID
<b>Knowledge</b>		Successful completion of a basic SWAT course meeting all the requirements for an entry level SWAT operator role	<b>K-1</b>
<b>Validation</b>	Certified by California POST or the equivalent – Any course certified, sponsored or endorsed by CATO		
<b>Comments</b>	At a minimum, a California POST approved SWAT course of 80 hours or more shall be necessary to meet this requirement. Persons who have successfully completed a basic SWAT school prior to January 1, 2005, and have performed satisfactorily in a SWAT operator role, may petition the vetting committee for a waiver to this requirement. Courses provided by other regional tactical associations may be acceptable as determined by validation committee	A <b>1</b>	<b>Unit of Value</b>
		B <b>80</b>	
		C <b>120</b>	

This criterion is mandated. Regardless of successful completion of any other criteria, certification requires that this criterion be successfully completed. This criterion may not be repeated for credit.

This criterion is the “base unit of measurement” and has been determined as one hour of subject specific training. This metric is used to assess the contribution of all other criteria, which are valued in increments of this one.

**INSTRUCTIONS:**

- A — Assign a unit of value of “1” for each hour of a course meeting all the requirements of the specific role.
- B — Determine the minimum number of units of value required for this criterion.
- C — Determine the maximum number of units of value allowed for this criterion.

Domain		Criteria	ID
<b>Knowledge</b>		INTERNAL—Successful completion of any course in which the requirements are relevant to the SWAT operator role	<b>K-2</b>
<b>Validation</b>	Certified by a state commission on POST or the equivalent Provided by any state or federal FEMA agency, or the equivalent Any course sponsored or endorsed by CATO, the NTOA or the IACP Any course provided by the U.S. military		
<b>Comments</b>	Internal refers to a course provided by the candidate’s agency	1 <sup>A</sup>	<b>Unit of Value</b>
	Course lesson plans which specifically include the relevant subject may be required	0 <sup>B</sup>	
	Program of instruction which specifically includes the relevant subject may be required	80 <sup>C</sup>	
	Courses provided by other regional tactical associations may be acceptable as determined by validation committee Identical courses may not be repeated for credit.		

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

This criterion is intended to recognize relevant training and education beyond the entry-level SWAT operator school, for example, a course on high risk search warrants, hostage recovery, or barricaded suspects.

**INSTRUCTIONS:**

- A — Assign a unit of value of “1” for each hour of the portion of a course focused on the specific role.
- B — Determine the minimum number of successful repetitions this section may be repeated for credit.
- C — Determine the maximum number of units of value allowed for this criterion.

Domain		Criteria	ID
<b>Knowledge</b>		EXTERNAL—Successful completion of any course in which the requirements are relevant to the SWAT operator role	<b>K-3</b>
<b>Validation</b>	Certified by a state commission on POST or the equivalent Provided by any state or federal FEMA agency, or the equivalent Any course sponsored or endorsed by CATO, the NTOA or the IACP Any course provided by the U.S. military		
<b>Comments</b>	External refers to a course provided by an agency other than the candidate's	<sup>A</sup> <b>1</b>	<b>Unit of Value</b>
	Course lesson plans which specifically include the relevant subject may be required	<sup>B</sup> <b>0</b>	
	Program of instruction which specifically includes the relevant subject may be required	<sup>C</sup> <b>120</b>	
	Courses provided by other regional tactical associations may be acceptable as determined by validation committee Identical courses may not be repeated for credit.		

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

This criterion is intended to recognize relevant training and education beyond the entry-level SWAT operator school, for example, a course on high risk search warrants, hostage recovery, or barricaded suspects.

**INSTRUCTIONS:**

- A — Assign a unit of value of “1” for each hour of the portion of a course focused on the specific role.
- B — Determine the minimum number of successful repetitions this section may be repeated for credit.
- C — Determine the maximum number of units of value allowed for this criterion.

Domain		Criteria	ID
<b>Knowledge</b>		Successful completion of any course, not specific to SWAT, but whose curriculum includes topics relevant to the SWAT operator role	<b>K-4</b>
<b>Validation</b>	Certified by a state commission on POST or the equivalent Provided by any state or federal FEMA agency, or the equivalent Any course sponsored or endorsed by CATO, the NTOA or the IACP Any course provided by the U.S. military		
<b>Comments</b>	Course lesson plans which specifically include the relevant subject may be required	1 <sup>A</sup>	<b>Unit of Value</b>
	Program of instruction which specifically includes the relevant subject may be required	0 <sup>B</sup>	
	Courses provided by other regional tactical associations may be acceptable as determined by validation committee Identical courses may not be repeated for credit.	40 <sup>C</sup>	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

This criterion is intended to recognize the contribution in which a particular role is included as part of another class, to include practical applications, demonstrations, and exercises. As an example, this might occur when a course or exercise on evacuations includes topics like command post operations, containments, fields of fire or other SWAT specific subjects.

**INSTRUCTIONS:**

- A — Assign a unit of value of “1” for each hour of the portion of a course focused on the specific role.
- B — Determine the minimum number of successful repetitions this section may be repeated for credit.
- C — Determine the maximum number of units of value allowed for this criterion.

Domain		Criteria	ID
<b>Knowledge</b>		Teaching a class that includes topics relevant to the SWAT operator role	<b>K-5</b>
<b>Validation</b>	Certified by a state commission on POST or the equivalent Certified by any state or federal FEMA agency, or the equivalent Any class sponsored or endorsed by CATO, the NTOA or the IACP Any class provided by the U.S. military		
<b>Comments</b>	Courses taught on behalf of other regional tactical associations may be acceptable as determined by the validation committee Value of teaching experience will vary depending on whether candidate is the primary or an assisting instructor Credit will only be awarded for those topics specific to the SWAT operator role	<sup>A</sup> <b>2/1</b>	<b>Unit of Value</b>
		<sup>B</sup> <b>0</b>	
		<sup>C</sup> <b>120</b>	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

It has long been recognized that one of the best ways of learning something is to teach it. Teaching requires an individual to be well-versed in the subject, as well as organizing the instructional material and presenting it in a meaningful manner. This criterion recognizes the contribution of gaining knowledge, skills and/or abilities by teaching a specific subject, whether as the primary instructor, a secondary instructor, or an assistant or safety officer.

**INSTRUCTIONS:**

- A — Assign a unit of value of “2” for each hour teaching a course as the primary instructor or “1” for each hour teaching a course as a secondary or assisting instructor or as a safety officer.
- B — Determine the minimum number of successful repetitions this section may be repeated for credit.
- C — Determine the maximum number of units of value allowed for this criterion.

Domain		Criteria	ID
<b>Personal Initiative</b>		Prepared after-action review of an actual incident discussing relevant factors for SWAT operators' role	<b>P-1</b>
<b>Validation</b>	After-action review — a written examination focused on a specific SWAT related incident describing the factors and influences that affected the outcome and the lessons learned		
<b>Comments</b>	<p>Only the sole or principal author may receive credit for this criterion. All prepared papers must cite source material and be presented in an acceptable academic or scientific format.</p> <p>No papers longer than 2,500 words will be considered for credit. Papers will be graded on content, spelling, grammar, citations and coherence</p>	A <b>60</b>	<b>Unit of Value</b>
		B <b>1</b>	
		C <b>75</b>	

This criterion is mandated. Regardless of successful completion of any other criteria, certification requires that this criterion be successfully completed.

All experts are required to demonstrate their expertise at one time or another. This is often in written form and this criterion recognizes the contribution of providing relevant facts to facilitate informed planning and decision-making. This criterion recognizes the contribution of this form of expression as a fundamental and necessary requirement. The candidate must be the sole author or principal author to meet this requirement.

**INSTRUCTIONS:**

- A — Minimum number of points for acceptance
- B — Number of times this criterion can be repeated for credit
- C — The maximum number of points allowed

Domain		Criteria	ID
<b>Personal Initiative</b>		Prepared paper discussing relevant factors for SWAT operators' role	<b>P-2</b>
<b>Validation</b>	Position paper — an essay that presents an opinion on a SWAT related topic Point paper — an essay that identifies and explains critical issues on a SWAT related topic without presenting recommendations or criticisms		
<b>Comments</b>	Only the sole or principal author may receive credit for this criterion. All prepared papers must cite source material and be presented in an acceptable academic or scientific format. No papers longer than 2,500 words will be considered for credit Papers will be graded on content, spelling, grammar, citations and coherence	A <b>60</b>	<b>Unit of Value</b>
		B <b>1</b>	
		C <b>75</b>	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

All experts are required to demonstrate their expertise at one time or another. This is often in written form and this criterion recognizes the contribution of providing relevant facts to facilitate informed planning and decision-making. This criterion recognizes the contribution of this form of expression as a fundamental and necessary requirement. The candidate must be the sole author to meet this requirement.

**INSTRUCTIONS:**

- A — Minimum number of points for acceptance
- B — Number of times this criterion can be repeated for credit
- C — The maximum number of points allowed



Domain		Criteria	ID
<b>Personal Initiative</b>		Published article on subject	<b>P-3</b>
<b>Validation</b>	<p>A copy of an article featuring or focused on the domain specific subject published in any periodical, newspaper, magazine, or trade journal and authored by candidate on byline.</p> <p>A copy of an article featuring or focused on the domain specific subject published as part of a compendium, handbook, guide book, manual, textbook or reference book listing the candidate on the byline.</p> <p>A maximum of two persons may receive credit for a single article.</p>		
<b>Comments</b>			A <b>50</b>
			B <b>2</b>
			<b>Unit of Value</b>

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

Like teaching, writing has proven to be an excellent method for learning a subject because it requires some existing knowledge or research, and then distilling and organizing the material into an understandable format. This criterion recognizes the contribution of gaining knowledge, skills and/or abilities by publishing an article on a specific subject, whether as the sole author, principal author or contributing author.

**INSTRUCTIONS:**

A — Number of points of value awarded

B — Maximum number of times this criterion can be repeated for credit

Domain		Criteria	ID
<b>Personal Initiative</b>		Published article on subject (peer reviewed)	<b>P-4</b>
<b>Validation</b>	<p>A copy of an article featuring or focused on the domain specific subject published in any peer reviewed trade journal or professional magazine and authored by candidate on byline.</p> <p>A copy of an article featuring or focused on the domain specific subject published as part of a peer reviewed compendium, handbook, guide book, manual, textbook or reference book.</p>		
<b>Comments</b>			A <b>150</b>
			B <b>2</b>
			<b>Unit of Value</b>

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

The apex of professional writing is when a manuscript is accepted for publication by a peer reviewed journal. Peer review simply means that one or more subject matter experts have reviewed the manuscript for authenticity, accuracy, currency, readability and other factors. This criterion recognizes the contribution of gaining knowledge, skills and/or abilities by publishing an article on a specific subject, in a peer reviewed publication whether as the sole author, principal author or a contributing author.

**INSTRUCTIONS:**

A — Number of points of value awarded

B — Maximum number of times this criterion can be repeated for credit

Domain		Criteria	ID
<b>Personal Initiative</b>		Literature Review — Presentation of a paper that focuses on current knowledge and findings, as well as theoretical and methodological contributions on a relevant SWAT topic	<b>P-5</b>
<b>Validation</b>	Paper submitted on a domain specific topic, as approved by the vetting committee, citing source material and summarizing findings supported by no less than five sources.		
<b>Comments</b>	Paper must conform to conventional academic format Subjects may be selected from either an approved list or preapproved by the vetting committee Units of value awarded for article will vary depending on whether candidate is sole author, principal author or contributing author Literature reviews use secondary sources and do not report new or original experimental work.	A	<b>Unit of Value</b>
		<b>80</b>	
		B	
		<b>2</b>	
		C	
		<b>100</b>	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

Research has long been recognized as a valuable method for gaining knowledge, skills and abilities. It not only enhances the expertise of the researcher but contributes to the field by expanding the insight and understanding of others. Accordingly, this criterion recognizes the contribution of research in mastering a particular subject by identifying, organizing and summarizing existing research on the specific role. Candidates seeking to be recognized through this criterion must gain approval of the vetting committee for subject and format. Notwithstanding, the literature review may be in conjunction with an unrelated academic requirement, other formal training, or personal research.

**INSTRUCTIONS:**

- A — Minimum number of points for acceptance
- B — Number of times this criterion can be repeated for credit
- C — The maximum number of points allowed

Domain		Criteria	ID
<b>Personal Initiative</b>		Personal Research — systematic investigation that establishes facts on the domain specific subject	<b>P-6</b>
<b>Validation</b>	<p>Original research on a domain specific subject that conforms to acceptable scientific standards and presented in an academic format</p> <p>A statistical analysis investigating new aspects, correlations, causes, central tendencies or other new information constitutes original research</p> <p>A maximum of five persons may receive credit for a single project.</p>		
<b>Comments</b>	<p>All prepared papers must cite source material, methodology and findings and be presented in an acceptable academic or scientific format</p> <p>Maximum of 5 authors can be awarded credit for the same work</p>	A	<b>Unit of Value</b>
		160	
		B	
		1	
		C	
		200	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

With nearly no exceptions, all expertise begins with and is based upon the experiences, research, writings, opinions and insight of others. These in turn provide new insights and understanding which, in themselves, benefit from investigation. In many cases, some factor became recognized only when it became relevant and so an informed decision was impossible without further research. This criterion recognizes the benefits of conducting original research to determine or verify particular aspects relating to a subject. Likewise, statistical analyses provide a scientific basis for understanding trends, potentials, tendencies, correlations and anomalies related to a specific subject. The candidate may be the sole researcher, principal researcher or contributing researcher to meet this requirement.

#### **INSTRUCTIONS:**

A — Minimum number of points for acceptance

B — Maximum number of times this criterion can be repeated for credit

C — Number of points of value awarded

Domain		Criteria	ID
<b>Experience</b>		Personal participation in actual SWAT operations	<b>E-1</b>
<b>Validation</b>	Verification by first inline senior or higher OR Verification by participant and one sworn peace officer witness		
<b>Comments</b>	Any SWAT activation will suffice, regardless of the nature of the mission or assignment A minimum of ten operations is necessary to complete this requirement. After ten operations, eight points are awarded for each additional operation to a maximum of 80 points. (e.g. 10 additional operations)	8 <sup>A</sup>	<b>Unit of Value</b>
		10 <sup>B</sup>	
		80 <sup>C</sup>	
		160 <sup>D</sup>	

This criterion is mandated. Regardless of successful completion of any other criteria, certification requires that this criterion be successfully completed.

One basic requirement for expertise is experience, which refers to the accumulation of knowledge, skills and abilities as a result of direct participation in events or activities. Successful participation for this criterion requires a candidate to personally demonstrate the knowledge or perform in the operator role in actual conditions in at least ten distinct instances. This criterion may be repeated an additional ten time for credit.

**INSTRUCTIONS:**

- A — Number of points per incident
- B — Maximum number of times this criterion can be repeated for credit
- C — Minimum number of points to attain credit
- D — Maximum number of points attainable

Domain		Criteria		ID
<b>Experience</b>		Direct observation of an actual SWAT operation		<b>E-2</b>
<b>Validation</b>	Verification by first inline senior or higher OR Verification by participant and one sworn peace officer witness			
<b>Comments</b>	Any SWAT activation will suffice, regardless of the nature of the mission or assignment		<sup>A</sup> 4	<b>Unit of Value</b>
			<sup>B</sup> 9	
			<sup>C</sup> 4	
			<sup>D</sup> 40	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

The value of observing a particular role being performed cannot be overestimated. For most candidates, it is the first occurrence which combines the requisite knowledge with some physical activity. Accordingly, personally observing someone performing in a particular role under actual conditions is exceeded in value only by personally participating. This criterion recognizes the value of personal observation in actual conditions for enhancing knowledge, understanding and insight in accomplishing the specific role.

**INSTRUCTIONS:**

- A — Number of points per incident
- B — Maximum number of times this criterion can be repeated for credit
- C — Minimum number of points to attain credit
- D — Maximum number of points attainable

Domain		Criteria	ID
<b>Experience</b>		Counterpart training — conducted with an experienced SWAT operator with the same role, assignment or function	<b>E-3</b>
<b>Validation</b>	Verification by counterpart OR Verification by first inline senior or higher OR Verification by participant and one sworn peace officer witness		
<b>Comments</b>	Training providers may be another law enforcement agency or a U.S. military unit performing duties relevant to the SWAT Operator's Role. A statement from the training provider explaining the nature of the training and lessons learned may be required. Credit is given only for instances of training of two-hours or more in duration.	A 4	<b>Unit of Value</b>
		B 9	
		C 4	
		D 40	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

Many experts and craftsmen learn their skills directly from a practitioner who has already mastered a specific role. Doctors have interns, tradesmen have apprentices and police have rookies. This criterion recognizes the contribution toward learning a role by coaching and mentoring. Counterpart training is simply the exchange of information between individuals performing the same or similar roles under corresponding conditions.

**INSTRUCTIONS:**

- A — Number of points per incident
- B — Maximum number of times this criterion can be repeated for credit
- C — Minimum number of points to attain credit
- D — Maximum number of points attainable

Domain		Criteria	ID	
<b>Experience</b>		Expert Testimony — statement or declaration under oath for the purpose of providing evidence and/or insight on a SWAT related topic	<b>E-4</b>	
<b>Validation</b>	Verification by attorney, bailiff or other officer of the court OR Verification by supervisor OR Verification by participant and one sworn peace officer witness OR Submission of a transcript or court minutes identifying the candidate’s testimony			
<b>Comments</b>	Expert testimony may include testimony as a recognized court expert, expert testimony as part of a deposition, or some other formal hearing (e.g. civil service, amicus curiae, court-martial, etc.)		<sup>A</sup> <b>8</b>	<b>Unit of Value</b>
			<sup>B</sup> <b>4</b>	
			<sup>C</sup> <b>8</b>	
			<sup>D</sup> <b>40</b>	

This criterion is optional. It is not necessary for a candidate to complete this particular criterion for certification.

Given the *voire dire* procedures for courts, a person called to testify as an expert has already been acknowledged as an expert. Notwithstanding, the study and preparation necessary to render accurate and reliable opinions in a court of law serve to sharpen the focus and increase the knowledge of relevant factors in a particular role. Accordingly, this criterion recognizes the contribution of expert testimony to increasing the knowledge, understanding and insight of individuals regarding a specific role.

**INSTRUCTIONS:**

- A — Number of points per incident
- B — Maximum number of times this criterion can be repeated for credit
- C — Minimum number of points to attain credit
- D — Maximum number of points attainable