

THE SURVEILLANCE AND COMMUNITY SAFETY ORDINANCE

Whereas, the City Council finds it is essential to have an informed public debate as early as possible about decisions related to surveillance technology; and

Whereas, the City Council finds that, while surveillance technology may threaten the privacy of all citizens, throughout history, surveillance efforts have been used to intimidate and oppress certain communities and groups more than others, including those that are defined by a common race, ethnicity, religion, national origin, income level, sexual orientation, or political perspective; and

Whereas, the City Council finds that surveillance technology may also be a valuable tool to bolster community safety and aid in the investigation and prosecution of crimes, while acknowledging the significance of protecting the privacy of citizens; and

Whereas, the City Council finds that surveillance technology includes not just technology capable of accessing non-public places or information (such as wiretaps) but also technology which aggregates publicly available information, because such information, in the aggregate or when pieced together with other information, has the potential to reveal a wealth of detail about a person's familial, political, professional, religious, or sexual associations; and

Whereas, the City Council finds that no decisions relating to surveillance technology should occur without strong consideration being given to the impact such technologies may have on civil rights and civil liberties, including those rights guaranteed by the California and United States Constitutions; and

Whereas, the City Council finds that any and all decisions regarding if and how surveillance technologies should be funded, acquired, or used should include meaningful public input and that public opinion should be given significant weight; and

Whereas, the City Council finds that legally enforceable safeguards, including robust transparency, oversight, and accountability measures, must be in place to protect civil rights and civil liberties before any surveillance technology is deployed; and

Whereas, the City Council finds that if a surveillance technology is approved, data reporting measures must be adopted that empower the City Council and public to verify that mandated civil rights and civil liberties safeguards have been strictly adhered to; now, therefore

THE CITY COUNCIL OF THE CITY OF OAKLAND DOES ORDAIN AS FOLLOWS:

Section 1. Title

This ordinance shall be known as the Surveillance & Community Safety Ordinance.

Section 2. City Council Approval Requirement

- 1) A City entity shall notify the Chair of the Privacy Advisory Commission prior to the entity:
 - a) Seeking or soliciting funds for surveillance technology, including but not limited to applying for a grant; or,
 - b) Soliciting proposals with a non-City entity to acquire, share or otherwise use surveillance technology or the information it provides.

Upon notification by the entity, the Chair shall place the item on the agenda at the next meeting for discussion and possible action. At this meeting, the entity shall inform the Privacy Advisory Commission of the need for the funds or equipment, or shall otherwise justify the action the entity intends to take. The Privacy Advisory Commission may vote its approval to proceed, object to the proposal, recommend that the entity modify its proposal, or take no action. Failure by the Privacy Advisory Commission to act shall not prohibit the entity from proceeding. Opposition to the action by the Privacy Advisory Commission shall not prohibit the entity from proceeding. The City entity is still bound by subsection (2) regardless of the action taken by the Privacy Advisory Commission under this subsection.

- 2) A City entity must obtain City Council approval, subsequent to a mandatory, properly-noticed, germane, public hearing prior to any of the following:
 - a) Accepting state or federal funds or in-kind or other donations for surveillance technology;
 - b) Acquiring new surveillance technology, including but not limited to procuring such technology without the exchange of monies or consideration;
 - c) Using new surveillance technology, or using existing surveillance technology for a purpose, in a manner or in a location not previously approved by the City Council; or
 - d) Entering into an agreement with a non-City entity to acquire, share or otherwise use surveillance technology or the information it provides
- 3) A City entity must obtain City Council approval of a Surveillance Use Policy prior to engaging in any of the activities described in subsection (2)(a)-(d).

Section 3. Information Required

- 1) The City entity seeking approval under Section 2 shall submit to the City Council a Surveillance Impact Report and a proposed Surveillance Use Policy. A Surveillance Use Policy shall be considered a draft proposal until such time as it is approved pursuant to a vote of the City Council.
 - a) Prior to seeking City Council approval under Section 2, the City entity shall submit the Surveillance Impact Report and proposed Surveillance Use

Policy to the Privacy Advisory Commission for its review at a regularly noticed meeting.

- b) The Privacy Advisory Commission shall recommend that the City Council adopt, modify, or reject the proposed Surveillance Use Policy. If the Privacy Advisory Commission proposes that the Surveillance Use Policy be modified, the Privacy Advisory Commission shall propose modifications to the City entity and/or City Council in writing.
 - c) Failure by the Privacy Advisory Commission to make its recommendation on the item within 90 days of submission shall enable the City entity to proceed to the City Council for approval of the item.
- 2) After receiving the recommendation of the Privacy Advisory Commission, the City Council shall provide the public notice that will include the Surveillance Impact Report, proposed Surveillance Use Policy, and Privacy Advisory Commission recommendation at least fifteen (15) days prior to the public hearing.
- 3) The City Council, or its appointed designee, shall continue to make the Surveillance Impact Report and Surveillance Use Policy, and updated versions thereof, available to the public as long as the municipal entity continues to utilize the surveillance technology in accordance with its request pursuant to Section 2(1).

Section 4. Determination by City Council that Benefits Outweigh Costs and Concerns

The City Council shall only approve any action described in Section 2, subsection (1) or Section 5 of this ordinance after first considering the recommendation of the Privacy Advisory Commission, and subsequently making a determination that the benefits to the community of the surveillance technology outweigh the costs; that the proposal will safeguard civil liberties and civil rights; and that, in the City Council's judgment, no alternative with a lesser economic cost or impact on civil rights or civil liberties would be as effective.

Section 5. Compliance for Existing Surveillance Technology

Each City entity possessing or using surveillance technology prior to the effective date of this ordinance shall submit a Surveillance Impact Report and a proposed Surveillance Use Policy for each surveillance technology, in compliance with Section 3 (1) (a-c).

- a) Prior to submitting the Surveillance Impact Report and proposed Surveillance Use Policy as described above, each City entity shall present to the Privacy Advisory Commission a list of surveillance technology already possessed or used by the City entity.
- b) The Privacy Advisory Commission shall rank the items in order of potential impact to civil liberties.
- c) Within sixty (60) days of the Privacy Advisory Commission's action in b), each City entity shall submit at least one (1) Surveillance Impact Report

and proposed Surveillance Use Policy per month to the Privacy Advisory Commission for review, beginning with the highest-ranking items as determined by the Privacy Advisory Commission, and continuing thereafter every month until the list is exhausted.

- d) Failure by the Privacy Advisory Commission to make its recommendation on any item within 90 days of submission shall enable the City entity to proceed to the City Council for approval of the item pursuant to Section 4. If such review and approval has not occurred within sixty (60) days of the City Council submission date, the City entity shall cease its use of the surveillance technology until such review and approval occurs.

Section 6. Oversight Following City Council Approval

- 1) A City entity which obtained approval for the use of surveillance technology must submit a written Surveillance Report for each such surveillance technology to the City Council within twelve (12) months of City Council approval and annually thereafter on or before November 1.
 - a) Prior to submission of the Surveillance Report to the City Council, the City entity shall submit the Surveillance Report to the Privacy Advisory Commission for its review.
 - b) The Privacy Advisory Commission shall recommend to the City Council that the benefits to the community of the surveillance technology outweigh the costs and that civil liberties and civil rights are safeguarded; that use of the surveillance technology cease; or propose modifications to the Surveillance Use Policy that will resolve the concerns.
- 2) Based upon information provided in the Surveillance Report and after considering the recommendation of the Privacy Advisory Commission, the City Council shall determine whether the requirements of Section 4 are still satisfied. If the requirements of Section 4 are not satisfied, the City Council shall direct that use of the surveillance technology cease and/or require modifications to the Surveillance Use Policy that will resolve any deficiencies.
- 3) No later than January 15 of each year, the City Council shall hold a public meeting and publicly release in print and online a report that includes, for the prior year:
 - a) A summary of all requests for City Council approval pursuant to Section 2 or Section 5 and the pertinent Privacy Advisory Commission recommendation, including whether the City Council approved or rejected the proposal and/or required changes to a proposed Surveillance Use Policy before approval; and
 - b) All Surveillance Reports submitted.

Section 7. Definitions

The following definitions apply to this Ordinance:

- 1) "Surveillance Report" means a written report concerning a specific surveillance technology that includes all the following:
 - a) A description of how the surveillance technology was used, including the type and quantity of data gathered or analyzed by the technology;
 - b) Whether and how often data acquired through the use of the surveillance technology was shared with outside entities, the name of any recipient entity, the type(s) of data disclosed, under what legal standard(s) the information was disclosed, and the justification for the disclosure(s);
 - c) Where applicable, a breakdown of what physical objects the surveillance technology software was installed upon; for surveillance technology software, a breakdown of what data sources the surveillance technology was applied to;
 - d) Where applicable, a breakdown of where the surveillance technology was deployed geographically, by individual census tract as defined in the relevant year by the United States Census Bureau;
 - e) A summary of community complaints or concerns about the surveillance technology, and an analysis of any discriminatory uses of the technology and effects on the public's civil rights and civil liberties, including but not limited to those guaranteed by the California and Federal Constitutions;
 - f) The results of any internal audits, any information about violations or potential violations of the Surveillance Use Policy, and any actions taken in response;
 - g) Information about any data breaches or other unauthorized access to the data collected by the surveillance technology, including information about the scope of the breach and the actions taken in response;
 - h) Information, including crime statistics, that help the community assess whether the surveillance technology has been effective at achieving its identified purposes;
 - i) Statistics and information about public records act requests, including response rates;
 - j) Total annual costs for the surveillance technology, including personnel and other ongoing costs, and what source of funding will fund the technology in the coming year; and
 - k) Any requested modifications to the Surveillance Use Policy and a detailed basis for the request.
- 2) "City entity" means any department, bureau, division, or unit of the City of Oakland.
- 3) "Surveillance technology" means any electronic device, system utilizing an electronic device, or similar used, designed, or primarily intended to collect, retain, analyze, process, or share audio, electronic, visual, location, thermal,

olfactory, biometric, or similar information specifically associated with, or capable of being associated with, any individual or group.

- a) "Surveillance technology" does not include the following devices or hardware, unless they have been equipped with, or are modified to become or include, a surveillance technology as defined in Section 7(3): (a) routine office hardware, such as televisions, computers, and printers, that is in widespread public use and will not be used for any surveillance or law enforcement functions; (b) Parking Ticket Devices (PTDs); (c) manually-operated, non-wearable, handheld digital cameras, audio recorders, and video recorders that are not designed to be used surreptitiously and whose functionality is limited to manually capturing and manually downloading video and/or audio recordings; (d) surveillance devices that cannot record or transmit audio or video or be remotely accessed, such as image stabilizing binoculars or night vision goggles; (e) manually-operated technological devices used primarily for internal municipal entity communications and are not designed to surreptitiously collect surveillance data, such as radios and email systems; (f) municipal agency databases that do not contain any data or other information collected, captured, recorded, retained, processed, intercepted, or analyzed by surveillance technology.
- 4) "Surveillance Impact Report" means a publicly-released written report including at a minimum the following:
 - a) **Description:** Information describing the surveillance technology and how it works, including product descriptions from manufacturers;
 - b) **Purpose:** Information on the proposed purposes(s) for the surveillance technology;
 - c) **Location:** The location(s) it may be deployed and crime statistics for any location(s);
 - d) **Impact:** An assessment identifying any potential impact on civil liberties and civil rights including but not limited to potential disparate or adverse impacts on any communities or groups if the surveillance technology was used or deployed, intentionally or inadvertently, in a manner that is discriminatory, viewpoint-based, or biased via algorithm;
 - e) **Mitigations:** Identify specific, affirmative technical and procedural measures that will be implemented to safeguard the public from each such impacts;
 - f) **Data Types and Sources:** A list of all types and sources of data to be collected, analyzed, or processed by the surveillance technology, including "open source" data, scores, reports, logic or algorithm used, and any additional information derived therefrom;
 - g) **Data Security:** Information about the steps that will be taken to ensure that adequate security measures are used to safeguard the data collected or generated by the technology from unauthorized access or disclosure;

- h) **Fiscal Cost:** The fiscal costs for the surveillance technology, including initial purchase, personnel and other ongoing costs, and any current or potential sources of funding;
 - i) **Third Party Dependence:** Whether use or maintenance of the technology will require data gathered by the technology to be handled or stored by a third-party vendor on an ongoing basis;
 - j) **Alternatives:** A summary of all alternative methods (whether involving the use of a new technology or not) considered before deciding to use the proposed surveillance technology, including the costs and benefits associated with each alternative and an explanation of the reasons why each alternative is inadequate; and,
 - k) **Track Record:** A summary of the experience (if any) other entities, especially government entities, have had with the proposed technology, including, if available, quantitative information about the effectiveness of the proposed technology in achieving its stated purpose in other jurisdictions, and any known adverse information about the technology (such as unanticipated costs, failures, or civil rights and civil liberties abuses).
- 5) "Surveillance Use Policy" means a publicly-released and legally-enforceable policy for use of the surveillance technology that at a minimum specifies the following:
- a) **Purpose:** The specific purpose(s) that the surveillance technology is intended to advance;
 - b) **Authorized Use:** The specific uses that are authorized, and the rules and processes required prior to such use;
 - c) **Data Collection:** The information that can be collected by the surveillance technology. Where applicable, list any data sources the technology will rely upon, including "open source" data;
 - d) **Data Access:** The individuals who can access or use the collected information, and the rules and processes required prior to access or use of the information;
 - e) **Data Protection:** The safeguards that protect information from unauthorized access, including encryption and access control mechanisms;
 - f) **Data Retention:** The time period, if any, for which information collected by the surveillance technology will be routinely retained, the reason such retention period is appropriate to further the purpose(s), the process by which the information is regularly deleted after that period lapses, and the specific conditions that must be met to retain information beyond that period;
 - g) **Public Access:** How collected information can be accessed or used by members of the public, including criminal defendants;

- h) **Third Party Data Sharing:** If and how other City or non-City entities can access or use the information, including any required justification or legal standard necessary to do so and any obligations imposed on the recipient of the information;
- i) **Training:** The training required for any individual authorized to use the surveillance technology or to access information collected by the surveillance technology, including any training materials;
- j) **Auditing and Oversight:** The mechanisms to ensure that the Surveillance Use Policy is followed, including internal personnel assigned to ensure compliance with the policy, internal recordkeeping of the use of the technology or access to information collected by the technology, technical measures to monitor for misuse, any independent person or entity with oversight authority, and the legally enforceable sanctions for violations of the policy; and
- k) **Maintenance:** The mechanisms and procedures to ensure that the security and integrity of the surveillance technology and collected information will be maintained.

Section 8. Enforcement

1) Any violation of Resolution No. 85638 (DAC Surveillance Use Policy adopted June 2, 2015), Resolution No. 85807 (FLIR Surveillance Use Policy adopted October 6, 2015), Resolution No. 86505 (Cell Site Simulator Use Policy adopted February 7, 2017), this Ordinance, or of a Surveillance Use Policy promulgated under this Ordinance, constitutes an injury and any person may institute proceedings for injunctive relief, declaratory relief, or writ of mandate in any court of competent jurisdiction to enforce this Ordinance. An action instituted under this paragraph shall be brought against the respective city agency, the City of Oakland, and, if necessary to effectuate compliance with this Ordinance or a Surveillance Use Policy (including to expunge information unlawfully collected, retained, or shared thereunder), any third-party with possession, custody, or control of data subject to this Ordinance.

2) Any person who has been subjected to a surveillance technology in violation of this Ordinance, or about whom information has been obtained, retained, accessed, shared, or used in violation of this Ordinance or of a Surveillance Use Policy promulgated under this Ordinance, **or Resolution No. 85638 (DAC Surveillance Use Policy adopted June 2, 2015), Resolution No. 85807 (FLIR Surveillance Use Policy adopted October 6, 2015), Resolution No. 86505 (Cell Site Simulator Use Policy adopted February 7, 2017),** may institute proceedings in any court of competent jurisdiction against any person who committed such violation and shall be entitled to recover actual damages (but not less than liquidated damages of \$1,000 or \$100 per day for each day of violation, whichever is greater) and punitive damages.

3) A court shall award costs and reasonable attorneys' fees to the plaintiff who is the prevailing party in an action brought under paragraphs (1) or (2).

4) In addition, for a willful, intentional, or reckless violation of this Ordinance, a Surveillance Use Policy promulgated under this Ordinance, or Resolution No. 85638 (DAC Surveillance Use Policy adopted June 2, 2015), Resolution No. 85807 (FLIR Surveillance Use Policy adopted October 6, 2015), Resolution No. 86505 (Cell Site Simulator Use Policy adopted February 7, 2017), an individual shall be deemed guilty of a misdemeanor and may be punished by a fine not exceeding \$1,000 per violation.

Section 9. Secrecy of Surveillance Technology

It shall be unlawful for the City of Oakland or any municipal entity to enter into any contract or other agreement that conflicts with the provisions of this Ordinance, and any conflicting provisions in such contracts or agreements, including but not limited to non-disclosure agreements, shall be deemed void and legally unenforceable. Conflicting provisions in contracts or agreements signed prior to the enactment of this Ordinance shall be deemed void and legally unenforceable to the extent permitted by law. This section shall not apply to collective bargaining agreements and related memorandums of agreement or understanding that pre-date this Ordinance.

Section 10. Whistleblower Protections.

1) Neither the City nor anyone acting on behalf of the City may take or fail to take, or threaten to take or fail to take, a personnel action with respect to any employee or applicant for employment, including but not limited to discriminating with respect to compensation, terms and conditions of employment, access to information, restrictions on due process rights, or civil or criminal liability, because:

a) The employee or applicant was perceived to, about to, or assisted in any lawful disclosure of information concerning the funding, acquisition, or use of a surveillance technology or surveillance data to any relevant municipal agency, municipal law enforcement, prosecutorial, or investigatory office, or City Council Member, based upon a good faith belief that the disclosure evidenced a violation of this Ordinance; or

b) The employee or applicant was perceived to, about to, or assisted or participated in any proceeding or action to carry out the purposes of this Ordinance.

2) It shall be grounds for disciplinary action for a City employee or anyone else acting on behalf of the City to retaliate against another City employee or applicant who makes a good-faith complaint that there has been a failure to comply with any Surveillance Use Policy or Administrative Instruction promulgated under this Ordinance.

3) Any employee or applicant who is injured by a violation of Section 10 may institute a proceeding for monetary damages and injunctive relief against the City in any court of competent jurisdiction.

Section 11. Severability

The provisions in this Ordinance are severable. If any part of provision of this Ordinance, or the application of this Ordinance to any person or circumstance, is held invalid, the remainder of this Ordinance, including the application of such part or provisions to other persons or circumstances, shall not be affected by such holding and shall continue to have force and effect.

Section 12. Construction

The provisions of this Ordinance, including the terms defined in Section 7, are to be construed broadly so as to effectuate the purposes of this Ordinance.

Section 13. Effective Date

This Ordinance shall take effect on [DATE].