Federal Emergency Management Agency (FEMA)

Logistics Management

Logistics Capability Assessment Tool (LCAT)

v 2.4 - 01.28.10

Table of Contents

Logistics Capability Assessment Tool (LCAT) User Guide

A. Introduction

The Logistics Capability Assessment Tool (LCAT) is a collaborative logistics planning and preparedness tool that improves the common operating picture for local, state, and federal responders. As such, state emergency managers will garner the greatest benefit from its implementation by bringing all public and private planning and response partners together for a two-day workshop. Participants should include state emergency management officials, as well as FEMA logistics personnel, FEMA Regional representatives, local emergency managers, National Guard Bureau, and private sector partners. Bringing together all partners involved in disaster logistics planning and response ensures more complete and accurate answers to the LCAT and promotes discussion, awareness, and cross-flow of information between the various agencies.

B. Purpose

The LCAT is tailored for use by states to evaluate their current disaster logistics readiness, identify areas for targeted improvement, and develop a roadmap to both mitigate weaknesses and further enhance strengths. The tool has been developed from the perspective of state logisticians for their benefit. The LCAT and state responses to questions within the LCAT are, and will remain, confidential and will not be shared with any other states or agencies.

FEMA Regions will facilitate state workshops with FEMA HQ LMD support. The LCAT can also be used by states for regular self-assessments. As such, states can track improvements in particular functional areas from the time a state's baseline score was taken.

C. LCAT Question Summary

- **Logistics Planning (49 Questions)**
  - The development of a set of disaster logistics plans which consider demand recognition, sourcing, acquisition, transportation, warehousing requirements and distribution/management of goods, people, and equipment during a disaster
    - Plans Development
    - Contingency Planning
    - Distribution Planning
    - Training and Compliance
    - Provider Qualification
    - Procurement Procedures and Protocols
    - Solicitation
    - Existing Contracts

- **Logistics Operations (32 Questions)**
  - The procedural side of state logistics. Log Operations ensures SOPs and processes are followed according to a previously created plan of action
    - Identify Requirements
    - Activate Critical Resource Logistics and Distribution
    - Acquire Resources
    - Common Operating Picture
    - Procurement
    - Transportation

- **Distribution Management (14 Questions)**
  - Everything that has to do with the end-to-end movement of people, commodities and equipment. This includes communications with other stakeholders, ordering, order processing, transportation asset identification and dispatch, delivery receipt and delivery confirmation.
    - Order tracking
    - Transportation Coordination
    - Inbound Shipment Management

- **Organizational Functions (19 Questions)**
  - How disaster logistics fits into your State's overall Emergency Management; considers training, credentialing, and acquisition of logistics resources, general administration, and quality management
    - Reporting Structure and Alignments
    - Credentialing and Cross-Functional Team Structure
    - Logistics Quality Management
    - Logistics Knowledge, Skills, and Training
    - Administrative Burden (State legal constraints)

- **Property Management (16 Questions)**
  - Includes the inventory management processes, in-transit visibility activities and maintenance of both capital assets and commodities
    - Property Management Personnel
    - Warehouse and Facility Management
    - Logistics Equipment Management and Maintenance
    - Commodity Inventory Management Process and Enablers

The Logistics Capability Assessment Tool features 130 survey-style questions, which are grouped into subcategories within each of the five functional areas listed above. Participants respond to each question by identifying where the state fits along a range of five capability levels, from Static to Synchronized. Capability levels are defined below:

- **Static** – State has not yet developed and/or implemented a viable strategy within the functional area.

- **Functional** – State has implemented informal plans or processes, but Standard Operating Procedures (SOPs) have not been defined or adopted.

- **Horizontal Integration** – State has developed and implemented formalized, integrated SOPs across the state emergency management organization.

- **External Collaboration** – State has coordinated plans and SOPs with other state, local/tribal, and external partner agencies, organizations, and private vendors.

- **Synchronized** – All local, state, federal, and private partners have fully integrated and synchronized plans, procedures, and operations. All plans and SOPs have been documented and exercised regularly with all participants. State has demonstrated mastery of this capability.

An example LCAT question can be found below in Figure 1 below:

Figure 1

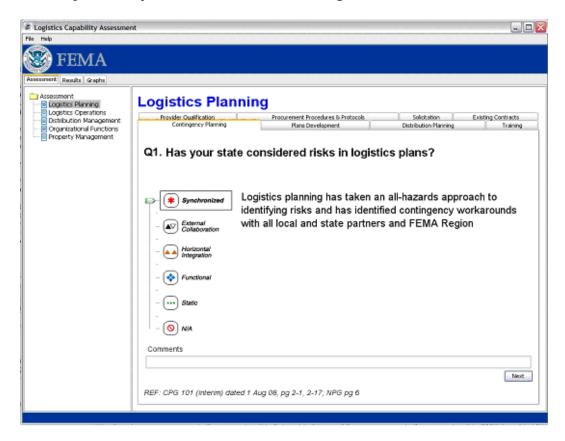After all questions are answered within a category, the LCAT generates a results chart which provides a snapshot of where the state's relative strengths and weaknesses lie within each functional area. After all tabs are complete, the tool generates an executive dashboard summary view of overall capability levels. A snapshot of the executive dashboard summary is below in Figure 2.

Figure 2

D. Recommended Workshop Forum

In order to achieve optimal collaboration, FEMA recommends that the states conduct a two-day workshop to perform the initial assessment. Recommended meeting participants are as follows:

- FEMA State Federal Coordinating Officer (FCO)
- FEMA Regional Logistics Chief
- State Emergency Management Director
- State logistics chief & support staff
- State operations chief & support staff
- State planning chief & support staff
- Other key emergency management agency staff
- State procurement officer(s)
- State finance/accounting officer(s)
- National Guard personnel
- Major private sector contractors
- Key state non-governmental organizations
- County emergency management officials
- City emergency management officials

The more decision-makers who are in attendance at the forum the better, as one of the most beneficial aspects of the LCAT is the inherent educational nature of the tool. The meeting doubles as both an assessment and a training session.

E. Sample Workshop Agenda

The questions in the LCAT may be spread across the two day session should the coordinating team desire. However, the implementation team recommends a forum agenda similar to the following example. The questions will likely generate significant discussion and will require ample time. It is important for the moderator to be diligent about managing time. Furthermore, ample break time should be built in to the agenda.

Time	Description	Key Attendees
DAY ONE		
0830 – 0930	Introductions & Background	All
0940 – 1200	Logistics Planning	• Planning Staff • County, City & Private Partners
1200-1300	Lunch	
1300-1400	Logistics Planning Contd	• Planning Staff • County, City & Private Partners • Procurement
1415-1530	Logistics Operations	• Logistics Ops staff • Operations staff • Procurement • County & City Partners • Private partners
1545-1630	Day 1 Parking Lot Discussion	All
END Day One		
DAY TWO		
0830-0900	Day 1 Recap	All
0900-1000	Distribution Management	• Logistics Planners • Logistics Operations
1015-1130	Property Management	• Inventory & Equipment Mgmt personnel (State and Partner agency)
1130-1230	Lunch	
1230-1400	Organizational Functions	All
1415-1500	Review LCAT Results, Discussion	All
1500-1600	Hot Wash, Lessons Learned	All
End Day Two		

F. Recommended LCAT Workshop Rules of Engagement (ROE)

- The only "right" answer is the honest answer.

- Encourage all meeting attendees to participate. Invitees all have valid opinions and insights, and the group benefits from dialogue and discourse, as it tends to flesh out some of the nuances of disaster logistics processes.

- With only a limited time for each question, it is important that the moderator move issues to the "parking lot" in the event that consensus is not reached in an acceptable time. Parking lot issues can be addressed after all of the other questions have been answered.

- It is advisable to identify a "section captain" for each LCAT section. This person should be responsible for arbitrating disputed answers and if necessary, sending the issue to the parking lot.

- Remaining time in each section (if any) should be used to continue discussions from the parking lot.

- The FEMA LMD team is very interested in your input to the LCAT question content and meeting conduct. Please keep track and note potential improvements to the LCAT; we will conduct a hot wash at the end of the workshop.

- Please refrain from cross talk.

G. LCAT Instructions

Overview

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provide an output of graphs (to provide a visualization of the evaluation), as well as a results pane with numeric scores per area, and an overall capability score.

How to Begin

How to install the LCAT to Your Computer

1. Locate the file named "New Questionnaire <mmddyy>.xml" from the CD provided

2. Save the "New Questionnaire <mmddyy>.xml" to your main My Documents folder

3. Double click the 'LCAT.msi' file. This will begin the install Wizard. Follow the wizard instructions and click on "finish" when complete.

4. Go to your computer's Desktop. There will be a new icon called "LCAT." Double click the icon to start the program.

How to Begin a new LCAT Assessment

1. Once inside the application, go to File > Open in the top left corner. This will prompt with a dialog box

2. Double click on the "New Questionnaire (mmddyy)" file inside your My Documents folder

3. Questionnaire is ready to begin.

4. *If, after loading the CD-ROM, you receive the error message "LCAT Tool cannot be installed on systems with JRE Version smaller than 1.5," go to the java.com website and click the "Free Java Download" button, which will update your existing Java software.*

How to Save an LCAT Assessment

1. When the application opens, navigate back up to the File menu. Click "Save As"

2. Name the file using the following standard nomenclature: "<Your State Name> - Assessment (#) - <mmddyy>.xml." (Example – "Oklahoma – Assessment 1 – 033009.xml")

3. Next, save the LCAT file to your "My Documents" folder.

4. As you work through the LCAT, it is advisable to periodically save your work.

How to Open an Existing LCAT file

1. Double click the 'LCAT' file on your desktop

2. When the application opens, navigate to File>Open

3. Select the .xml file that you want to open

4.   If any changes are made to the file, re-save

Navigation

The LCAT features four tabs at the top of the screen: Assessment, Results, Graphs, and Participants. The following text summarizes usage of each.

Assessment Tab

Once the questionnaire file has been opened, the display presents sets of questions divided according to categories and sub-categories.   The respondents choose the answer on a scale of 1 through 5 (1 being lowest and 5 being highest) that most closely captures the state's process maturity. Respondents may select their answer in half-increment (.5) if their reply falls between two choices. Once each question is answered the respondent must click "next" on the screen until completed and then move on to the next subcategory. It is best to finish all questions in each category before moving on to the next however you can always return to modify your answer. Within each category a count is shown to indicate the number of questions answered (from the total number of questions). In order to correctly view results and the results graphs, all questions will need to be answered first.

"Results" and "Graphs" are stored under separate tabs. These tabs will not be viewable until the application has confirmed that all questions have been answered. Each question consists of a set of multiple-choice answers, as well as a comment box that must be filled in if a state selects the not applicable box. Please note that the assessment cannot proceed unless a choice has been made or an explanation is given (if the answer is N/A). Each answer choice, when selected, displays a detailed description of the choice (Static to Synchronized). Read each answer carefully before selecting which answer most closely describes your organization.

Results Tab

After all the questions have been answered, the Results tab becomes available for view. Each of the categories and sub-categories are processed and a score is derived for each section, with an overall capability score displayed in the top-right of the panel. For each section selected, the bottom pane displays the questions and answers provided for the section for easy viewing.

Graphs Tab

LCA generates multiple graphs based on the answers provided; first, a graph illustrating overall readiness, and then graphs based on each category from the assessment. Each axis of a graph is plotted according to the score for each category; scores are shown from 0 to 5. Visually, each graph denotes readiness based on how filled-in each category is around the circumference of the chart.

Participants Tab

Lastly, the Participants tab allows for a record of those involved in the assessment. This can be used to track contacts for obtaining additional information pertaining to an assessment. While many of the contact attributes are optional, a name is required in order to add a person as a participant. For easier tracking, the state/territory and assessment date should also be filled-in.

Logistics Capability Assessment Tool (LCAT)

Federal Emergency Management Agency

Logistics Management

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FEMA Logistics Capability Assessment Questionnaire

1 Logistics Planning

1.1 *PLANNING* - **Plans Development**

1.1.1 Has your State identified the most likely catastrophic disaster scenario and impacts?

> *Src:* NPG Sep 07 pg 2, 21; NIMS December 2008 pg 35; NRF Jan 08 pg 42; TCL Sep 07 pg 51

> *1* - State has not identified catastrophic disaster scenario

> *2* - State has identified most likely catastrophic disaster scenario

> *3* - State has included inputs from State agencies for catastrophic scenario and impacts

> *4* - State has included local, tribal inputs as well as private vendor partners and other government and non-governmental agencies

> *5* - State has coordinated catastrophic disaster scenario and impacts with FEMA Region to ensure coordinated effort to address scenario and impacts through proper planning

1.1.2 Does your State have a formalized and up-to-date logistics plan?

> *1* - State has never developed a logistics plan

> *2* - State Emergency Operations Plan (EOP) has a logistics component, but logistics section has not been updated within the past 24 months

> *3* - State has a dedicated, comprehensive logistics plan that has been adopted throughout the state emergency management agency and has been updated within the last 24 months

4 - State has a dedicated, comprehensive logistics plan that has been adopted throughout the State and coordinated with local, state, federal and private partners. The plan has been reviewed and updated within the last 24 months

5 - State has a dedicated, comprehensive logistics plan that has been adopted throughout the State and coordinated with local, state, federal and private partners. It has been reviewed, updated, and exercised within the last 12 months

1.1.3   How does State use modeling to determine logistics support requirements?

Src: CPG 101 dated March 2009, pg 3-11; IPS 2.3

1 - State does not utilize modeling to support development of logistics support requirements

2 - State has engaged modeling sources to develop logistics support requirements

3 - State uses modeling to determine logistics support requirements and identify and prioritize critical commodities, and has coordinated results within State emergency management agency

4 - State logistics support requirement factors, and the identification and prioritization of critical commodities, are based on modeling and collaboration with external partners including local and tribal entities, as well as private partners and non-governmental agencies

5 - State uses modeling such as HAZUS or US Army Corps or Engineers (USACE) to determine logistics support requirements and planning factors (such as identification and prioritization of critical commodities) and to coordinate results and planning factors with FEMA Region

1.1.4 Does your State's logistics support plan support the eight key scenario sets outlined in NRF (Explosive attack, Nuclear attack, Radiological attack, Biological attack, Chemical attack, Natural Disaster, Cyber attack and Pandemic Influenza)?

Src: From NRF dated January 2008, pg 74-75; National Preparedness Guidelines, Sep 07, Annex B, item 2; and CPG 101, March 2009

1 - State does not consider the eight scenario sets when developing plans

2 - State logistics plan addresses some of the eight key scenarios

3 - Logistics plans address or can support all eight key scenario sets

4 - State support plan identifies other plan holders with similar plans with focus on integrating with those plans

5 - State support plan includes regular collaboration with other regional plan holders at the State and Federal level with focus on integrating with those plans

1.1.5 How are your State's logistics plans reviewed?

Src: From TCL Sep 2007, pg 23 and ComA 3.2, pg 24

1 - Plans are not reviewed for logistics support feasibility or updates

2 - Plans are reviewed periodically

3 - State logistics managers have established recurring timelines for plan review

4 - State logistics managers include input from local, tribal, private vendor partners, and other governmental and non-governmental agencies during logistics plans reviews

5 - State logistics plans are reviewed for compliance with governmental regulations and policies at least every 12 months or more often as required by state protocol and evaluated through exercises, training, real-world events and/or after action reports and coordinated with FEMA Regional office

1.1.6   Does your State exercise your logistics support plans?

Src: CPG 101 dated March 2009, pg 5-12; C-4; NPG Sep 07 pg 5, 6; TCL Sep 07 pg 239, 265, 339

1 - Logistics concept of support plans are not exercised

2 - Logistics concept of support plans are exercised periodically

3 - Logistics concept of support plans are exercised at the state level via tabletop or some other form

4 - Logistics plans exercised with local/county and tribal emergency management authorities, private vendors and other outside partner participation

5 - Logistics plans are exercised on a recurring and documented schedule and include FEMA Regional participation. After action reports and lessons learned are produced and used to update and improve plan

1.1.7 How are your State's logistics plans incorporated into the overall Emergency Operations Plan and are plans balanced and feasible?

Src: CPG 101 dated March 2009, pg 6-5, C-11; EMAP Standard, pg 9-10, Sept 2007

1 - Logistics considerations not incorporated into operations planning

2 - Operations aware of logistics considerations including shortfalls, gaps, and/or workarounds

3 - Operations considers logistics planning factors from the onset and develops response plans taking into account logistics capabilities, shortfalls or workarounds, and have exercised plans to ensure feasibility

4 - Emergency Operations Plan considers logistics factors from local, tribal, private vendor partners as well as government and non-governmental support partners. Emergency Operations Plan also reevaluates these factors during routine plans reviews

5 - Logistics aspects of the Emergency Operations Plan are exercised in conjunction with the overall operations plan and include external partner involvement as well as FEMA Regional participation. Exercise results are captured and used as basis to update Emergency Operations Plan. State also adheres to resource management and logistics standards 4.8.2 and 4.8.3 of the Emergency Management Accreditation Program, which call for logistics plans to be incorporated into overall Emergency Operations Plan

1.1.8 Does your State's Emergency Operations Plan (EOP) meet requirements outlined in Comprehensive Planning Guidance (CPG)

101?

Src: CPG 101 dated March 2009, pg 5-1 through 5-14, pg 6-1 through 6-11

1 - Not aware of the CPG 101

2 - Are aware of CPG 101 and have an Emergency Operations Plan (EOP) developed

3 - State has set up operations response functions which fit its CONOPS, governmental functions, policies and resource base

4 - State EOP includes organizational taskings and instructions for accomplishing the actions agreed upon in the State/Region memorandum of understanding

5 - State EOP contains explanations about logistical support for planned operations

1.1.9 Has your State captured logistics response requirements for a catastrophic disaster?

Src: NPG Sep 07 pg 21

1 - State logistics is unaware of requirements for catastrophic scenario response

2 - State logistics has identified some catastrophic event response requirements

3 - State logistics has received input from operational areas (or ESFs) on required logistics support (e.g. equipment/commodity, need date/time, location, etc) in support of catastrophic planning scenario

4 - State logistics has received input from operational areas on required logistics support (e.g. equipment/commodity, need date/time, location, etc) in support of catastrophic planning scenario and coordinated support plan with external source providers including private vendor partners, government and non-governmental agencies

including FEMA Region

5 - State logistics has developed a support plan (e.g. time phased force deployment data listing) and exercised this support plan with FEMA Region and FEMA HQ

1.1.10 If your State has considered catastrophic disaster scenario(s) and impact, have you developed a catastrophic scenario response plan?

Src: TCL Sep 07 pg 51

1 - State has not defined a catastrophic event

2 - Catastrophic scenario developed but no response plan constructed

3 - Catastrophic scenario response plan developed and coordinated within State emergency management agency

4 - Catastrophic scenario response plan developed with collaboration among local and tribal agencies as well as private vendor partners and other government and non-governmental organizations

5 - Catastrophic scenario response plan coordinated with FEMA Region and exercised

1.1.11 Is your State prepared to provide commodities in all-hazard situations?

Src: From TCL Sep 07, pg 55, 56

1 - State has not assessed commodity needs

2 - State has identified commodity needs for an all-hazard planning approach

3 - State has an internal resource management/sourcing group to identify commodity sources and requisition needs

4 - State has identified vendors/suppliers for needed commodities for all-hazard situations and has the procurement capability to engage purchases

5 - State is fully prepared to provide necessary commodities for all-hazard scenarios, has identified sources for commodities, has established the procedures and is staffed to engage in commodity procurement, and has coordinated any remaining commodity shortfalls with FEMA Region

1.1.12 Has State determined the quantity and type of critical commodities it would need to support its population during the first 72 hours of a likely/catastrophic scenario?

Label: Resource Requirements Identification

1 - State has not determined commodity requirements to support its population in a likely scenario

2 - State has calculated commodity requirements based on the impacted population of a likely scenario

3 - State has calculated commodity requirements to support population in likely scenario and has been validated throughout entire State

4 - State has calculated commodity requirements with the aid of a recognized tool (e.g. FEMA Gap Analysis Program, USACE modeling, etc) to support population based on likely/catastrophic modeling and has shared with private vendors and other involved State agencies

5 - State has calculated commodity requirements to support population with the aid of a recognized tool (e.g. FEMA Gap Program, USACE modeling, etc) based on likely scenario/catastrophic modeling, has shared with private sector and other involved State agencies, and has synchronized the plan with the respective FEMA Region

Groups:

SHSGP Critical Emergency Supplies Grant

1.1.13 Do your State's logistics plans address management of donated goods?

Src: From CPG 101 March 2009 pg C-20; EMAP Standard, pg 9-10, Sept 2007

1 - Logistics plans do not address unsolicited donations

2 - Plans identify some means of dealing with unsolicited donations

3 - Plans include minimum steps to manage donations at the State level

4 - Plans for handing donated goods include coordination with local and tribal managers as well as private vendors and non-governmental partners

5 - Logistics plans describe the detailed process used to manage unsolicited donations at all levels and include the use of the National AidMatrix system; State adheres to resource management and logistics standard 4.8.6 of the Emergency Management Accreditation Program

1.1.14 Do your State's logistics plans address the use of volunteers?

Src: From CPG 101 dated March 2009 C-20

1 - Logistics plans do not include volunteer identification or management

2 - Logistics plans include identification of volunteers

3 - Logistics plans describe how to identify and utilize volunteers and the concept for their support

4 - State has worked with external volunteer organizations to plan the use of volunteers

5 - Logistics plans include description of the process used to identify, deploy, utilize, support, and demobilize affiliated and spontaneous unaffiliated volunteers

1.1.15 Have safety equipment and provisions been accounted for in logistics plans and operational activities?

1 - Safety provisions have not been accounted for in-state plans and operational activities

2 - State has informal methods of assuring appropriate safety provisions are available

3 - State has formalized plans and methods of distributing safety provisions to distribution sites

4 - State conducts training for distribution site personnel and exercises with local and tribal organizations to assure safety equipment and provisions are available and accounted for at distribution sites

5 - State conducts regular training for distribution site personnel on safety requirements and conducts regular reviews of safety provisions available to distribution sites

1.1.16 Has the State made necessary provisions to secure distribution points?

1 - State plays no role in assuring distribution points are secure

2 - State has informal review process for assuring necessary personnel is available to secure distribution sites

3 - State police are on hand in the event they are needed to secure distribution points

4 - State police, contracted security officers and other security personnel have been identified and vetted with the local and tribal organizations, as well as the FEMA Region and FEMA HQ

5 - State conducts regular training and exercises to ensure state police, contracted security officers, and other security personnel understand their role in distribution site security. These personnel have been vetted with the local and tribal organizations, as well as the FEMA Region and FEMA HQ

1.1.17 Has your State identified logistics evacuation requirements for evacuation of its own citizens and/or reception of evacuees from

other states?

Src: TCL Sep 07 pg 231, 377-383

1 - No evacuation logistics requirements identified for evacuating citizens or receiving evacuees from other states

2 - Logistics requirements identified for evacuating citizens and receiving evacuees from other states are identified but not sourced

3 - Logistics requirements for evacuating citizens and receiving evacuees from other states are outlined in evacuation plans

4 - Logistics requirements for evacuating citizens and receiving evacuees from other states are identified, outlined in evacuation plans, and sources or support are identified

5 - Logistics requirements for evacuation identified, contracts in place, and plan has been exercised

1.2 *PLANNING* - **Contingency Planning**

1.2.1 Has your State considered risks in logistics plans?

Src: CPG 101 dated March 2009, pg 3-1, 3-11; NPG dated September 2007 pg 6

1 - No risks associated with logistics planning factors identified

2 - Some risks associated with logistics planning factors have been identified

3 - All foreseeable logistics planning factor risks at the State response level have been identified and workarounds have been devised

4 - Logistics planning risks for local, tribal, private vendor, government and non-governmental partners have been identified and workarounds have been devised and exercised

5 - Logistics planning has taken an all-hazards approach to identifying risks and has identified contingency workarounds with all local and State partners and FEMA Region

1.2.2 Has your State reviewed logistics contingency response shortfalls?

Src: From FEMA's 'Local Multi-Hazard Mitigation Guidance', pg 3-5, dated 1 Jul 08; HMGP Brochure, FEMA Pub L-169; EMAP Standard, pg 9-10, dated September 2007

1 - State has not identified logistics shortfalls

2 - State has identified some logistics shortfalls

3 - State has identified equipment and commodity shortfalls (water, meals, ice, tarps, generators, etc)

4 - State has coordinated with local and tribal agencies as well as private vendors and government and non-governmental agencies to identify shortfalls and address filling shortfalls or developing workarounds

5 - State has worked with FEMA Region to fully identify all foreseeable contingency response logistics shortfalls and has developed an action plan to meet shortfall needs. State also utilizes the Hazard Mitigation Grant Program as a funding avenue for mitigation planning and adheres to resource management and logistics standards 4.8.2 and 4.8.3 of the Emergency Management Accreditation Program

1.3 *PLANNING* - **Distribution Planning**

1.3.1 Does your State Logistics team have access to information on post-disaster damage to transportation infrastructure?

Src: From CPG 101 dated March 2009 pg 5-12, 4-8 and 4-9, B-2, C-11; TCL Sep 07 pg 551, 559

1 - State logistics has no visibility on post-event reconnaissance/assessment of transportation/distribution infrastructure

2 - State logistics has a point of contact or knows where to access post-event transportation/distribution infrastructure information

3 - State logistics can capture information on main artery availability (e.g. interstates, U.S. highways, etc)

4 - Post event assessment of transportation infrastructure is fully captured for all transportation/distribution avenues/methods and methods for workaround and/or re-routing have been developed

5 - Post event assessment capabilities have been validated through exercises demonstrating road hazards overlaid on GIS technology and data coordinated with disaster logistics operations and distribution management

1.3.2 Have your State's staging areas been captured in plans?

Src: From CPG 101 dated March 2009 pg C-20; TCL Sep 07 pg 224, 226

1 - State staging Areas have not been identified in plans

2 - State staging areas have been informally identified

3 - State staging areas identified and captured in plans capable of supporting entire State

4 - State staging area locations identified and management responsibility assigned and coordinated with all affected agencies including personnel, equipment and communication processes

5 - State staging areas have been identified, throughput needs and site layout and operations verified and exercised including FEMA participation

1.3.3   Are your state staging areas located based upon operational requirements?

1 - State staging area locations are chosen arbitrarily

2 - State staging area locations are selected based on geographical considerations

3 - State staging area locations are selected based on operational requirements and capability to project to any affected area. Locations have been socialized with local and tribal organizations

4 - State staging area locations are selected based on operational requirements, and historical records for infrastructure and transportation route damage. Pre-identified locations have been validated with local, tribal, FEMA Region and FEMA HQ

5 - State staging area locations are selected based on operational requirements, and historical records for infrastructure and transportation route damage. Pre-identified locations have been validated with local, tribal, FEMA Region and FEMA HQ and have been exercised to validate the feasibility of the site

1.3.4 Has your State identified staff and material requirements for state staging area operations?

1 - Staffing/material requirements not pre-identified

2 - Some staffing/material requirements and sourcing pre-identified

3 - Expected requirements for supplies and material have been identified and sourced

4 - If staffing is done through state partners (e.g. National Guard), that organization has provided specific units and equipment it will assign to execute the state staging area mission

5 - Staffing/material requirements sourced and identified in advance to individual state staging area level

1.3.5 Has your State disaster logistics organization established minimum buffer (safety) stock levels and restocking protocols for commodities at State and county staging areas?

Src: Refer to NIMS Dec 08 p. 32

1 - No predetermined minimum levels of supply/commodity inventory have been established

2 - Predetermined minimum levels have been set based on forecasted demand on resources at level of staging areas

3 - Predetermined minimum levels of resources and restocking protocols for staging areas have been established but not exercised or implemented

4 - Predetermined minimum levels of resources and restocking protocols for staging areas have been established and implemented per FEMA NIMS guidelines

5 - Minimum buffer stock levels and restocking protocols have been established and validated through modeling victim populations and burn rates from historical disasters

1.3.6 Have PODs been addressed in your State's logistics plans?

Src: From CPG 101 dated March 2009 pg C-20; US Army Corps of Engineers modeling

1 - Points of Distribution (PODs) have not been identified in plans

2 - PODs have been identified in localities under the highest probable threat and captured in plans

3 - PODs have been typed/classified (Type I, II, III) for localities under the highest threat probability

4 - PODs have been identified and typed throughout the entire State

5 - PODs identified and typed throughout State, coordinated with external agencies including FEMA Region, and exercised and/or demonstrated to verify formation, layout, organization and manning responsibility

1.3.7   Does State have methodology in place to identify POD locations?

1 - POD locations are chosen arbitrarily

2 - POD locations are selected based on modeling of population density

3 - POD locations are selected based on modeling of population density and have addressed historical records for infrastructure damage. Locations have been socialized with local and tribal organizations

4 - POD locations are selected based on modeling of population density and have addressed historical records for infrastructure and transportation route damage. Pre-identified locations have been passed to local, tribal, State

5 - POD locations are selected based on modeling of population density and have addressed historical records for infrastructure and transportation route damage. Pre-identified locations have been coordinated with local, tribal, State, and shared with FEMA Region and FEMA HQ. Locations have been exercised to validate the feasibility of the site

1.3.8   Has your State captured POD concept of support in plans?

Src: From CPG 101 dated March 2009 pg C-20

1 - POD support (management, communication, commodity flow) has not been established

2 - POD support concepts captured in plans for local/tribal areas under highest probably threat

3 - POD Support concepts captured in plans for all local/tribal areas throughout the State

4 - POD Support concepts coordinated with local and tribal organizations and responsibility for management and operations of each POD included in logistics plans

5 - POD support captured throughout the State, coordinated with FEMA Region, and operational concepts validated through exercises or other processes

1.3.9   Has your State identified staff and material requirements for POD operations?

Src: TCL Sep 07 Res.B1d 4.2

1 - Staffing/material requirements not pre-identified

2 - Some staffing/material requirements pre-identified

3 - All staffing/material requirements and sourcing pre-identified

4 - If staffing is done through State partners (e.g. National Guard) has that organization provided specific units and equipment it will assign to execute the POD mission

5 - Staffing/materials requirements sourced and identified in advance to individual POD level

1.3.10 Has the State worked with its jurisdictions (county, local, tribal, etc) to identify or determine capabilities of other agencies or the private sector (eg. USDA) to support food distribution?

1 - The State has not considered other agency partners or the private sector in its food distribution plans

2 - The State has informal agreements in place with agencies, such as the USDA Food and Nutrition Services (FNS) program or other partner programs, to support food distribution, but has not coordinated those plans with local, county, and/or tribal jurisdictions

3 - The State has informal agreements in place with agencies (e.g. USDA Food and Nutrition Service program), to support food distribution and has coordinated those plans with local, county, and/or tribal jurisdictions

4 - The State has formalized MOUs in place with other agencies (such as USDA FNS Program or other partner programs), volunteer groups, and/or contractors in support of food distribution efforts and has coordinated those plans with local, county, and/or tribal jurisdictions

5 - The State has formalized MOUs in place with other agencies (such as the USDA FNS program or other partner programs), volunteer groups, and/or contractors to provide complete food distribution support coverage and has coordinated those plans with local, county, and/or tribal jurisdictions, as well as the FEMA Region and Headquarters

1.3.11 How extensive is transportation planning for commodities and assets during an event?

Src: From CPG 101 dated March 2009 pg C-20

1 - State does not have a transportation plan for asset distribution

2 - Transportation plan is notionally developed

3 - State has developed a written asset transportation plan

4 - State transportation plan includes sources for asset movement, movement command and control, tracking and receipt verification and has been coordinated with participating agencies

5 - Transportation plan has been coordinated with FEMA Region and validated through exercise or another method

1.3.12 How is transportation of materials through restricted areas addressed in your State's plans?

Src: From CPG 101 dated March 2009 C-20; TCL Sep 07, pg 227

1 - Logistics plans do not address transportation of materials through restricted areas or checkpoints

2 - Concepts for transportation of materials through restricted areas have been addressed but are not included in plans

3 - Logistics plans include processes for material transportation through restricted areas

4 - Transportation plans for materials through restricted areas have been coordinated with affected agencies and processes to communicate these requirements to transportation providers have been developed

5 - Logistics plans describe strategies for transporting materials through restricted areas, quarantine lines, law enforcement checkpoints, etc have been agreed upon by all affected parties and exercised to some degree

1.4 *PLANNING* - **Training and Compliance**

1.4.1 Does your State participate in the Emergency Management Accreditation Program (EMAP)?

Src: EMAP Standard pg. 9-10, dated September 2009

1 - Do not participate in EMAP

2 - State has begun registration, self-assessment, and application for EMAP

3 - State has hosted on-site EMAP assessor team and is working highlighted issues

4 - State has successfully completed all six EMAP standards identified for logistics

5 - State has received EMAP accreditation

1.4.2 Have your State logistics planners completed mandated NIMS ICS training in-house?

Src: TCL Sep 07, pgs 224-225; CPG 101 dated March 2009 pgs Intro-4 and Intro-5, 1-1 through 1-3, 5-2

1 - State logistics planners have not completed NIMS ICS, or completion has not been documented

2 - Logistics planners have completed Emergency Management Institute (EMI) Independent Study Program (ISP) courses

3 - State has developed in-house training plans and requirements and training objectives are tied to each position

4 - State Emergency managers have completed NIMS ICS compliant courses

5 - Emergency managers have completed the ISP Professional Development Series (PDS) courses and received a Certificate of Completion

1.4.3 Does your State sponsor staging area and/or POD training?

1 - No state staging area and/ or POD training or guidance programs

2 - State trains some staff on state staging area and POD operations

3 - State staging area or POD training is required for all employees and volunteers manning staging areas or PODs at local and tribal levels

4 - State staging area or POD training is required for all employees and volunteers manning staging areas or PODs at local and tribal levels. Training program has been socialized with FEMA Region and FEMA HQ and certificates are provided upon completion

5 - State staging area or POD training is required for all employees and volunteers manning staging areas or PODs at local and tribal levels. Training program includes the FEMA LMD National POD Training Video, and full training regimen has been socialized with FEMA Region and FEMA HQ. Certificates are provided upon completion of coursework

1.4.4 How does your State plan for exercises?

Src: From TCL Sep 07, pg 15; CPG 101 dated March 2009, pg 1-1 through 1-3, C-3 and C-4

1 - State does not conduct logistics exercises

2 - State periodically conducts exercises, with logistics capabilities

exercised at least yearly

3 - State exercises logistics capabilities and/or plans at least semi-annually

4 - State uses a combination of information from capability assessments and training exercises to identify shortfalls. State has developed a strategy to remedy shortfalls through a multi-year training and exercise plan

5 - State's written plan maps out exercises that will be conducted over the next 2-3 years focusing on testing of plans, capturing lessons learned, identifying areas for improvement, with follow-on actions aimed at building the knowledge, skills, and abilities to perform the critical tasks. State has coordinated this plan with all affected agencies including FEMA Region

1.5 *PLANNING* - **Provider Qualification**

1.5.1 Are standard operating procedures (SOPs) in place for vetting potential commodity and service providers in your State?

Src: Refer to TCL Sep 07 p. 227; Universal Task List 2.1 ResBld 6.1

1 - No formal procedures in place for identifying and vetting potential vendors and service providers

2 - Developed and implemented SOPs for identifying and vetting all potential vendors and service providers

3 - SOPs have been established and socialized across the emergency management agency

4 - SOPs have been established and implemented, socialized to all state EM functions, and incorporated into state logistics planning and training functions

5 - SOPs in place, potential commodity and service providers in-state

have been vetted with local chambers of commerce, business bureaus, trade associations, FEMA Region, and FEMA HQ

1.5.2 Do your State's logistics plans include public-private engagement?

Src: From CPG 101 dated March 2009, C-11

1 - Logistics plans include no public-private engagement

2 - Logistics plans include some mention of public-private engagement

3 - Logistics plans describe the process used to identify private agencies/contractors that will support resource management issues (e.g., waste haulers, spill contractors, landfill operators)

4 - Logistics plans list current private partners and the support they can/will provide

5 - Logistics plans include methods to engage private partners and identify existing Memorandums of Agreement or Understanding and contingency contracts with these organizations

1.5.3 Has your State identified potential providers for commodities (including jurisdictional priorities), trucking, and evacuee transport?

Src: Refer to TCL Sep 07 p. 227; Universal Task List 2.1 ResBld 6.1

1 - State has not identified potential vendors or service providers

2 - State has identified potential providers for critical resource acquisition and transportation, and has identified bus service providers for disaster evacuees

3 - State has identified vendors for resource needs and evacuee transport requirements and has coordinated with other emergency management functions to ensure coverage. Additionally, State has budgeted yearly to maintain contracts

4 - State logistics has identified all required potential providers of commodities and services, including jurisdictional priorities, and has deconflicted the vendor list with neighboring states and FEMA regions, in order to avoid potential overlaps and conflicts with those vendors. Lists are updated on a regular basis

5 - State logistics has identified all required potential providers of commodities and services, including jurisdictional priorities; and has deconflicted vendor list with states, FEMA regions, and FEMA HQ to avoid overlaps and conflicts with vendors

1.6 *PLANNING* - **Procurement Procedures & Protocols**

1.6.1 Does your State disaster logistics organization minimize risk of nonperformance by vendors and service providers?

1 - No contingency plan in place for risk mitigation of nonperformance by vendors or other external agencies

2 - State has multiple contracts in place for key resources and services but has not considered all inherent risks associated with private sector contract execution

3 - State has considered the types of risks associated with private sector contracts and delivery and has observed lessons learned from historical performance records, in an attempt to contract with multiple providers with reliable reputations. Additionally, State has added a

nonperformance, and/or underperformace, clause in contract

4 - State has considered the types of risks associated with private sector contracts and delivery and has observed lessons learned from other states' historical performance records, in an attempt to contract with multiple providers with reliable reputations. The State has procedures in place to address underperformace

5 - Contingency plan in place that addresses risk of underperformance by private sector or other external agencies through lessons learned and best practice information sharing. And based on that plan, the State has contracted with multiple best-in-class providers for each commodity/service. The State keeps a list of contractor performance and underperformance and shares with Region and FEMA HQ

1.6.2 Are standard operating procedures (SOPs) in place for purchasing resources and services?

Src: Refer to TCL Sep 07 p. 227; Universal Task List 2.1 ResBld 6.1

1 - No established plans and procedures to order and acquire required resources

2 - Siloed plans, procedures, and decision channels that vary based on the service or commodity required

3 - Standardized protocols and approval layers communicated across the State emergency preparedness organization for ordering and acquiring resources

4 - Does not apply

5 - Highly formalized process protocols and approval layers implemented for ordering and acquiring resources and inclusive of reconciliation, accounting, auditing, and inventory processes

1.6.3 Are your State's sourcing decisions tied to a critical resource management plan?

Src: EMAP Standard, pg 9-10,Sept 2007

1 - No critical resource management plan in place

2 - Personnel with resource management responsibilities have considered the urgency of needs for particular equipment/supplies/commodities and whether resources can be produced and delivered quickly enough to meet anticipated need

3 - Established critical resource management plan in place and integrated with overall emergency management organization, with some standing contracts for service or commodities

4 - Well-established resource management plan in place, supported by standing contracts and emergency purchase mechanisms (e.g. debit/credit cards). Have been shared with FEMA Region and FEMA HQ

5 - Resource management plan is well-established with local, State, FEMA region and FEMA HQ partners, and includes modeling, historical burn-rates, delivery lead times, emergency purchasing powers. Critical resource plans are updated regularly based on lessons learned and in adherence to resource management and logistics standard 4.8.5 of the Emergency Management Accreditation Program

1.6.4 Are contracts and emergency purchase procedures linked to State accounting practices and procedures?

1 - No standard practices in place for approval, ordering, receipt, and integration with accounting

2 - SOPs in place and integrated into inventory management and fixed asset accounting

3 - Logistics collaborates with other disaster management departments and ensures proper invoicing, cost/performance validation, and reimbursement

4 - Does not apply

5 - Logistics collaborates with other disaster management functions and ensures an audit trail for all commodities issued and left over

1.6.5 If applicable, does your State utilize GSA for sourcing and contracts with private sector?

1 - State has not (or cannot) utilize GSA for contract negotiation and agreements

2 - State occasionally utilizes GSA for private sector contracts

3 - State regularly directly contracts with GSA for private sector service and/or commodity acquisitions

4 - State regularly directly contracts with GSA for private sector service and/or commodity acquisitions. State coordinates sourcing requirements with local vendors prior to engaging GSA

5 - State regularly directly contracts with GSA for private sector service and/or commodity acquisitions. State coordinates sourcing requirements with local vendors prior to engaging GSA and coordinates contracts with FEMA Region and FEMA HQ

1.7 *PLANNING* - **Solicitation**

1.7.1 What is your state's process for issuing tenders for pre-incident contracts?

1 - No formal solicitation process & protocol

2 - Statements of work developed and sole source solicitations developed on an ad hoc basis

3 - Limited Request For Proposal (RFP) issuance for pre-incident contracts; largely ad hoc negotiation and contracting

4 - Standardized Request For Information (RFI) and RFP process for pre-incident contracts, including detailed statements of work, bid evaluaton, and pricing

5 - RFI and RFP processes for pre-incident contracts are standardized and (if not proprietary) information is shared with FEMA Regions and FEMA HQ

1.7.2 Does your State have a balanced portfolio of vendor contracts, to include local, regional, and national/enterprise-level providers?

1 - Existing contracts do not take into account a need to balance the vendor list

2 - Contracts in place with multiple local or regional vendors, to account for risk of nonperformance

3 - Established contracts in place with local, regional, and national

providers but not vetted for risk of nonperformance

4 - Established local, regional, and national contracts in place, and vendor capability to support has been vetted or proven through a review process

5 - State emergency management agency is ideally positioned in terms of sourcing contracts that include national, regional, and local vendors

1.8 *PLANNING* - **Existing Contracts**

1.8.1 Are private sector liaisons easily accessible to State logistics personnel?

1 - No public-private liaisons available

2 - Primary vendor liaisons available for sourcing opportunity identification and coordination with store openings, available supply, and relevant PODs in those areas

3 - Does not apply

4 - Liaisons available for all existing contracts for opportunity identification and coordination with store openings, available supply, and relevant PODs in those areas

5 - Liaisons available for all existing contracts for opportunity identification and coordination with store openings, available supply, and relevant PODs in those areas; findings are shared with FEMA Region and FEMA HQ

1.8.2 Does your State use performance based contracting for goods and services?

1 - Existing contracts not performance-based

2 - Existing contracts have a few performance incentives

3 - Some existing contracts with vendors consider performance and/or quality

4 - Existing contracts are measured for performance and quality, and measurements are vetted against existing contracts with other states and with FEMA

5 - Existing vendors are continuously quality measured, and contracts are routinely evaluated for performance and compared with other states and FEMA

1.8.3 Are existing trucking contracts linked to a forecasted distribution model and/or do the contracts have provisions for scalability of demand throughout your State?

1 - Not linked to distribution model; no provisions for scalability

2 - State has a distribution model but has not synched with transportation providers

3 - Existing contracts are linked to a high-level distribution model and include provisions for scalability of demand

4 - Integrated commodity distribution models coordinated with trucker capabilities, and existing contracts in place with provision for scalability of demand

5 - Contracts are aligned with commodity distribution models, coordinated with trucker capabilities and have been shared with FEMA Region and FEMA HQ

1.8.4 Are contracts evaluated in conjunction with periodic logistics plans reviews?

1 - Current providers have not been recently risk assessed or tested for capability to meet performance and quality requirements set forth in contracts

2 - Limited table-top, scenario-based capability testing of commodity vendors and transport providers

3 - Vendors have proven delivery capability and have been recently assessed for risk of inability to perform (i.e. vendor not overextended to other states in the event of a multi-state hazard)

4 - Field-tested vendors with proven track records of satisfactory delivery within the State and/or within similar scenarios in other states

5 - Full performance of contractors is shared with FEMA Region and FEMA HQ

2 Logistics Operations

2.1 *EXECUTION* - **Identify Requirements**

2.1.1 Are your State's requirements generated through an ad hoc or formalized process based on established and accepted planning factors?

Src: NIMS Dec 08 p 35-36, para 1 of Identify Requirements. TCL Sep 07 p 225 Res.B1d 3.1.2 and 5.1

1 - Ad hoc requirements generation

2 - Use generic USACE population planning factors

3 - Utilize population based planning factors such USACE adjusted by historical data

4 - Use current commodity burn rates to determine requirements

5 - Use USACE adjusted by historical data initially, and later current burn rates synched to distribution throughput to determine final requirements

2.1.2 Does your State have a structured logistics situation reporting process?

Src: TCL Sep 07 Res.B1d 8.1.1, 4.3 and 6.3.4

1 - Ad hoc reporting

2 - Standardized report formats and time

3 - Logistics reports are shared with State partners

4 - Logistics status reporting integrated with FEMA logistics operations. Local and State authorities provide status reports and requirements to FEMA 24-48 hours prior to required delivery date

5 - Data collected in the logistics situation reports are used to determine requirements and make distribution and/or logistics decisions

2.1.3 Are your State's commodity requirements adjusted to reflect post-evacuation population?

1 - Commodity requirements not adjusted for post-evacuation population

2 - State has scenario-based methodology to determine post-evacuation population

3 - State has scenario-based methodology to determine post-evacuation population and has exercised capability

4 - State has scenario-based methodology to determine post-evacuation populations and has identified external commodity requirements

5 - State has scenario-based methodology to determine post-evacuation population and has adjusted PODs and distribution outlets accordingly

2.1.4 Are your State's commodity requirements adjusted to reflect first responder/base camp populations?

1 - Commodity requirements not adjusted for first responder/base camp operations and support

2 - State has scenario-based methodology to determine first

responder/base camp population

3 - State has scenario-based methodology to determine first responder/base camp population and has exercised capability

4 - State has scenario-based methodology to determine first responder/base camp populations and has identified external commodity requirements

5 - State has scenario-based methodology to determine first responder/base camp population and has adjusted PODs and distribution outlets accordingly

2.1.5 Are your State's commodity requirements adjusted to reflect potential requirements to support shelters?

Src: EMAP Standard, pg 9-10, dated September 2007

1 - Commodity requirements not adjusted to support shelters

2 - State, in conjunction with ESF 6 representatives, has scenario-based methodology to determine shelter population commodity requirements

3 - State has scenario-based methodology to determine shelter population and has exercised capability

4 - State has scenario-based methodology to determine shelter populations and has identified external commodity requirements

5 - State has scenario-based methodology to determine shelter population and has adjusted commodity requirements and distribution outlets accordingly. State also adheres to resource management and logistics standards 4.8.2 and 4.8.3 of the Emergency Management Accreditation Program

2.1.6 Have power generation (e.g. generators) requirements been determined by your State?

1 - Ad hoc requirements generation

2 - Use USACE/HAZUS modeling to determine power requirements, and identify key infrastructure (e.g. hospitals) that will require generators

3 - All key infrastructure and requirements for power during response phase identified. Coordination with USACE for survey to determine exact requirements

4 - Generator requirements thoroughly assessed and locations verified for sufficient pads, hook-ups, exact specifications and maintenance

5 - Generators are tested periodically and proper connections to critical infrastructure are ensured. In addition, generator requirements are addressed through State level contracts and/or coordination with FEMA through a formal method

2.2 *EXECUTION* - **Activate Critical Resource Logistics and Distribution**

2.2.1 Does your State have documented standard operating procedures for state staging area operations?

Src: TCL Sep 07 Res.B1d 4.2 and 6.3.4; EMAP Standard, pg 9-10, Sept 2007

Label: State Staging Area Operations

1 - No policies or procedures for state staging area operations

2 - Written policies and procedures for state staging area operations

3 - State has state staging area policies and procedures developed in cooperation with partners (e.g. National Guard)

4 - State staging area polices and procedures part of ongoing process improvement effort and done in conjunction with FEMA Region/U.S. Army Corps of Engineers (USACE)

5 - State staging area policies and procedures designed to maximize receiving and distribution operations and has been accomplished in conjunction with FEMA Region/USACE

Groups:

SHSGP Critical Emergency Supplies Grant

2.2.2 Does your State have documented standard operating procedures for POD operations?

Src: TCL Sep 07 Res.B1d 4.2 and 6.3.4; EMAP Standard, pg 9-10, Sept 2007

Label: Point of Distribution (POD) Operations

1 - No policies or procedures for POD operations

2 - Written policies and procedures for POD operations

3 - State has POD policies and procedures developed in cooperation with partners (e.g. National Guard)

4 - POD polices and procedures part of ongoing process improvement effort and done in conjunction with FEMA Region/U.S. Army Corps of Engineers (USACE)

5 - POD policies and procedures designed to maximize receiving and

distribution operations and has been accomplished in conjunction with FEMA Region/USACE

Groups:

SHSGP Critical Emergency Supplies Grant

2.2.3 How does your State ramp down PODs as they are no longer needed?

Src: From CPG 101 (Interim) pg D-10; TCL Sep 07 pg 226; EMAP Standard, pg 9-10, Sept 2007

1 - State has no method to determine when PODs are no longer needed

2 - State continues to push commodities to PODs until commodities are no longer needed

3 - State receives forecast input from POD manager to determine need

4 - State works with local POD manager to determine POD need and commodity forecast and informs outside support agencies (Red Cross, Salvation Army, etc) of decreasing POD need

5 - State forecasts POD demand based on information and usage data from POD manager and works to cross level remaining POD assets. State works with FEMA Region to ensure inbound commodities reflect POD need. State adheres to standard 4.8.4 of the Emergency Management Accreditation Program

2.3 *EXECUTION* - **Acquire Resources**

2.3.1 Has your State pre-identified mission requirements?

Src: TCL Sep 07 Res.B1d 7.6; EMAP Standard, pg 9-10, Sept 2007

1 - No pre-identification of mission requirements

2 - Shortfall analysis completed

3 - Pre-identified mission requirements being developed

4 - Pre-identified mission requirements complete

5 - Pre-identified mission requirements completed and vetted with assigned agencies and State adheres to resource management and logistics standards 4.8.2, 4.8.3, and 4.8.4 of the Emergency Management Accreditation Program

2.3.2 Does your State employ standard typing measures to identify required logistics resources (e.g. material handling equipment) by capability?

Src: NIMS Dec 08 p41-42, para b. TCL Sep 07 Res.B1d 5.2

1 - No typing or identifying by capability of required logistics resources

2 - Some typing by capability of critical resources but not standardized

3 - Standardized typing or identifying by capability of critical resources only

4 - Standardized typing and identifying of all logistics resources required

5 - Typing facilitates streamlined request procedures (e.g. "force packages" to man PODs or state staging areas)

2.3.3 Does your State have documented in-state (municipality or county level) mutual aid agreement request policies, procedures and information technology tools?

Src: TCL Sep 07 p.225

1 - No policies or procedures for in-state mutual aid agreement requests

2 - Clearly defined policies, procedures, roles and responsibilities for in-state mutual aid agreement requests

3 - Clearly defined policies, procedures roles and responsibilities for in-state mutual aid agreement requests with some information management technology tools

4 - Clearly defined policies, procedures roles and responsibilities for in-state mutual aid agreement requests fully enabled by information management technology (e.g. WebEOC or similar application)

5 - In-state mutual aid agreement procedures and tools have been optimized to ensure the fast flow of requests, tracking of requests and real time updating of status

2.3.4 Does your State have documented inter-state (State to State level) Emergency Management Assistance Compact (EMAC) request policies, procedures and information technology tools?

Src: TCL Sep 07 p.225

1 - No policies or procedures for EMAC requests

2 - Clearly defined policies, procedures, roles and responsibilities for EMAC requests

3 - Clearly defined policies, procedures roles and responsibilities for EMAC requests with some information management technology tools

4 - Clearly defined policies, procedures roles and responsibilities for EMAC requests fully enabled by information management technology (e.g. WebEOC or similar application)

5 - EMAC procedures and tools have been optimized to ensure the fast flow of requests, tracking of requests and real time updating of EMAC status

2.3.5 Does your State have a clearly defined lead agency coordinator for logistics?

1 - Logistics coordinator not identified

2 - Logistics coordinator and backup identified and State logistics needs are defined

3 - Logistics coordinator has clearly defined assets and procedures to coordinate State logistics requirements during a disaster response

4 - During a disaster response, logistics coordinator directs and controls all State logistics requirements

5 - Logistics coordinator has worked with external partners and private vendors to meet State requirements during a disaster response

2.3.6 Does your State have documented policies, procedures and automation tools for Action Request Form (ARF) submissions to FEMA?

Src: TCL Sep 07 Res.B1d 7.6

1 - No policies, procedures or tools for ARF requests to FEMA

2 - Clearly defined policies, procedures, and tools for ARF submissions

3 - Clearly defined policies, procedures, and responsibilities for ARF requests with some information management technology enablers

4 - Clearly defined policies, procedures roles and responsibilities for ARF submissions fully enabled by information management technology

5 - Policies, procedures and tools have been optimized to provide clear, detailed and justified ARFs in a timely fashion. ARF submissions are tracked and status updates provided to federal, state and local officials

2.3.7 Does your State have personnel trained to prepare and track ARFs?

Src: TCL Sep 07 p.224

1 - State does not have primaries and backups sufficient for 24 hour operations designated for ARF preparation and tracking

2 - State has identified primaries and backups for ARF preparation and tracking

3 - State personnel designated to prepare ARFs are familiar with

policies, procedures and tools for ARF preparation

4 - Those responsible for ARF preparations have trained with FEMA Region staff on ARF preparation

5 - ARFs prepared by the State are clear, detailed and justified and submitted in a timely fashion. Adequate staffing to track and provide updates on ARF status to federal, state and local officials

2.3.8   Does your State have processes and procedures for commodity (supply) management in place?

Src: NIMS Dec 08 pgs 33-34, para 1

1 - No commodity management processes, procedures or personnel identified

2 - Logistics action officers identified, and familiar with commodity management processes, and procedures

3 - Identified logistics action officers familiar with State procurement procedures, commodity management procedures and sources of supply

4 - Logistics action officers have established working relationships with key stakeholders in the State and Federal disaster logistics community, suppliers and other key partners

5 - Management by exception (e.g. check on only purchase orders that have not been closed out within a predetermined period such as 48 hours)

2.3.9 Which of the following best describes your State's documentation process for commodity or equipment orders?

1 - Orders are typically not formally documented throughout the end-to-end process

2 - Orders require an initial order form but shipment legs are not documented through formal approvals, orders processes, receiving, invoicing, and payment

3 - Orders for key resources and equipment are usually documented manually end to end, but neither the documents nor the processes are standardized

4 - Orders are documented end to end and integrated with external stakeholders processes and/or systems

5 - All orders follow a standard set of processes for completion and submission of standard forms. Some or all forms are submitted and/or received electronically

2.3.10 Does your State have automated information technologies (e.g. RFID or satellite) in place to facilitate order status updates?

1 - No automated information technology (AIT) utilized

2 - Some AIT utilized for tracking of State logistics assets

3 - AIT utilized for tracking of all-State logistics assets

4 - AIT requirements written into contracts with private sector suppliers

5 - AIT technologies provide real time status updates that are used in logistics decision making during a disaster response

2.3.11 Absent automated information technologies, (e.g. RFID or satellite) does your State utilize information management to facilitate order status updates?

1 - No management processes exist for order status updates

2 - Some management processes exist for order status updates

3 - State logistics personnel maintain tools such as order logs to maintain and update status of orders and shipments

4 - Order status notification requirements written into contracts with private sector suppliers

5 - All parties involved in the disaster logistics supply chain provide near real time status updates that are used in logistics decision making during a disaster response

2.4 *EXECUTION* - **Common Operating Picture**

2.4.1 Are your State's logistics personnel provided access to the common operational picture so they can have appropriate situational awareness?

Src: NIMS Dec 08 p 23, para 1

1 - No situational awareness

2 - Situational awareness obtained on a mission-by-mission basis

3 - Partial situational awareness (e.g. Road closures only)

4 - Full situational awareness for all distribution nodes

5 - Situation awareness is integrated into logistics decision making in real time

2.4.2 Is purchasing information integrated into the logistics common operating picture in your State?

1 - No visibility over ordered materials or services

2 - Some visibility of ordered materials or services manually maintained

3 - State logistics personnel have visibility of critical commodities on hand, due-in via procurement and available to promise balances

4 - State logistics personnel have visibility of all commodities on hand, due-in via procurement and available to promise balances

5 - State maintains a database with real time information of on hand, due-in via procurement and available to promise balances

2.5 *EXECUTION* - **Procurement**

2.5.1 Is purchasing training incorporated into your State's disaster logistics?

1 - No purchasing training required for logistics personnel

2 - Purchasing overview incorporated into other logistics training

3 - Training on purchasing SOPs for vendor identification and resource acquisition is required for key resources

4 - Does not apply

5 - Training on purchasing SOPs for vendor identification and resource acquisition is required for all logistics resources involved in the procurement process

2.5.2 Does your State have lead time standards for mission assignments?

1 - No lead time standards for completion of mission assignments

2 - Generally accepted standards for mission assignment completion, but not written into contract SOPs

3 - Mission assignment lead time standards in place and documented for organic and sourced commodities

4 - Mission assignment lead time standards in place and documented for organic and sourced commodities and written in to performace requirements for vendor contracts

5 - Lead time SOPs incorporated into logistics management decision-making

2.5.3 Does your State employ a first-in, first-out (FIFO) commodity sharing and visibility structure with neighboring counties and neighboring states?

1 - No FIFO inventory management

2 - State maintains FIFO inventory system at state-run facilities (state staging areas)

3 - State encourages counties to maintain visibility into on-hand inventories

4 - State has agreements in place with neighboring states to ensure visibility of existing inventories and employ FIFO paradigm

5 - Real-time visibility into county, State, and inter-state systems

2.5.4 Do key State logistics personnel understand the Federal procurement reimbursement program?

1 - State does not have a strong understanding of Federal procurement reimbursement program

2 - State logistics and procurement mechanisms are informally linked

3 - State logistics maintains close coordination with procurement and accounting to ensure a clear audit trail for all disaster purchases

4 - State logistics and procurement departments keep a detailed audit trail and document file for all purchases and has open lines of communication with FEMA reimbursement personnel

5 - State has SOPs in place to maintain manual or electronic audit trails for all disaster purchases, to vet with accounting/procurement, and to ensure proper steps are taken for reimbursement, where applicable

2.6 *EXECUTION* - **Transportation**

2.6.1 Has your State established its transportation requirements for commodity distribution?

Src: EMAP Standard, pg 9-10, dated September 2007

Label: Transportation Requirements Identification

1 - State has not determined requirements

2 - State has completed an analysis of transportation requirements

3 - State has enough transportation assets identified to accomplish delivery of critical commodities in initial response (first 72 hours)

4 - State has enough transportation assets identified to accomplish delivery of all commodities beyond first 72 hours

5 - State has clearly identified all required transportation assets to support response mission with additional contracts in place to meet additional surge requirements

Groups:

SHSGP Critical Emergency Supplies Grant

2.6.2 Has your State established its ground evacuation transportation requirements?

> *1* - Requirements not determined
>
> *2* - A shortfall analysis of transportation requirements completed
>
> *3* - Enough transportation assets (e.g. buses) identified to accomplish evacuation of critical care and special needs populations
>
> *4* - Enough transportation assets identified to evacuate all impacted population unable to self-evacuate
>
> *5* - All required transportation assets identified to support evacuation mission with additional contracts in place to meet unexpected surge requirements

2.6.3 Has your State established its logistics support requirements for the ground evacuation mission?

> *1* - Requirements not determined
>
> *2* - Preliminary survey completed of available staging areas for buses, fueling sites along evacuation route and facilities for processing of evacuees
>
> *3* - State has thoroughly assessed available staging areas for buses, and developed detailed equipment and personnel requirements for fueling sites along evacuation route, facilities for processing of evacuees and the provision of water and meals to evacuees
>
> *4* - State has identified all logistics requirements and coordinated with appropriate agencies for staffing and equipment to support ground evacuation mission
>
> *5* - State has shared all relevant requirements/plans with all the appropriate agencies providing air assets and has pre-existing contracts in place for use of facilities, ground transportation, fuel, meals and water to support the ground evacuation mission

2.6.4 Has your State established its air evacuation transportation requirements?

1 - Requirements not determined

2 - A shortfall analysis of air transportation requirements completed. Efforts made to maximize the use of ground transportation and minimize the use of air assets for evacuation. Preliminary census of those populations requiring air evacuation and the identification of staging areas for them completed

3 - Initial coordination completed with applicable agencies (Air National Guard, Coast Guard, NORTHCOM, USTRANSCOM) for provision of both fixed and rotary wing air assets and associated command and control elements

4 - Enough transportation assets identified to evacuate all impacted population unable to self-evacuate

5 - All required transportation assets identified to support evacuation mission with additional contracts in place to meet unexpected surge requirements

2.6.5 Has your State established its logistics support requirements for the air evacuation mission?

1 - Requirements not determined

2 - Preliminary survey completed of available air fields and their maximum on ground (MOG) capability, fuel bunkering, and facilities for processing of evacuees

3 - State has identified ground transportation needs to move evacuees to their aerial port of embarkation (APOE), fuel requirements for the ground transportation, meals/water requirements for evacuees at the APOE, personnel requirements for the processing and manifesting of evacuees at both the APOE and aerial port of debarkation (APOD), and air asset fuel requirements at both APOE and APOD

4 - State has identified all logistics requirements and coordinated with appropriate agencies for staffing and equipment to support air evacuation mission

5 - State has shared all relevant requirements/plans with all the appropriate agencies providing air assets and has pre-existing contracts in place for use of facilities, ground transportation, fuel, meals and water to support the air evacuation mission

2.6.6 Does your State measure transportation utilization?

1 - Utilization not tracked

2 - Rudimentary utilization statistics measured (e.g. number of deliveries made)

3 - Planning and operations conducted in a manner to facilitate high utilization

4 - High utilization an organizational priority

5 - Utilization drives operational decisions

3 Distribution Management

3.1 Order Tracking

3.1.1 Does your State have an order/commodity tracking system in place?

Src: NIMS Dec 08 p 37 paras 2 and 4, TCL Sep 07 Res.B1d 4.3

1 - No tracking system for on-hand stocks, due-in quantities, due-out quantities and available to promise stocks

2 - Data tracked manually

3 - Data tracked with some technology enablers (e.g. Excel spreadsheet of on-hand, due-in, due-outs)

4 - Near real time tracking information is shared by external partners (e.g. local government, private suppliers) and State logistics personnel

5 - Real-time tracking of commodity and order data across the State supply chain

3.1.2 Does your State receive order status updates?

Src: TCL Sep 07 Res.B1d 6.3.4

1 - No updates on order status

2 - Manual updates on order status

3 - Semi-automated (spreadsheet) updates on order status available to State logistics personnel

4 - Some suppliers provide real-time updates on order status, and

information is shared with local authorities as well

5 - Real-time order status tracking informs logistics management decisions

3.1.3 Are orders closed out upon delivery in your State?

Src: TCL Sep 07 Res.B1d 6.3.4

1 - Delivery confirmation not available

2 - Some PODs or state staging areas can provide notice of delivery available on request

3 - All PODs and state staging areas can provide notice of delivery on request

4 - Delivery confirmations are routinely provided to the state logistics manager

5 - Delivery confirmations are provided by all locations and actions are closed out. Confirmation information is integrated with inventory systems to inform on-hand, due-in and available-to-promise balances as well as upcoming orders

3.1.4 Is transportation scheduling push (a fixed delivery schedule of a set quantity to a set location) driven, pull (demand) driven, or a combination of both in your State?

Src: TCL Sep 07 Res.B1d 7.2

1 - Scheduling is conducted on an ad hoc basis

2 - Schedules are routine varying little from day to day

3 - Schedules will begin to vary based upon daily volumes

4 - Schedules are dynamic and vary based upon daily volumes and demand requirements

5 - Schedules are push driven early on in a disaster but later demand driven, based on POD current on-hand inventory and projected demand balancing

3.2 Transportation Coordination

3.2.1 Are transportation providers (carriers) chosen using multi-factor criteria in your State?

1 - Carrier selection is ad hoc with no documented criteria for selection

2 - Selection is one factor (availability) and a database of carriers exists

3 - Carrier selection criteria are defined and an attempt is made to apply them

4 - Carrier selection criteria are defined and applied in a systematic and routine fashion

5 - Carrier selection criteria and data drive carrier selection

3.2.2 Is there a clearly defined lead agency/coordinator for transportation in your State?

1 - Transportation coordinator not identified (movement control cell)

2 - Transportation coordinator and backup identified and state transportation needs are defined

3 - Transportation coordinator has clearly defined assets and procedures to coordinate State movement requirements during a disaster response

4 - Transportation coordinator has worked with external partners, private vendors to meet State requirements during a disaster response

5 - During a disaster response, transportation coordinator directs and controls all State movement requirements

3.2.3 What function best describes the role of your transportation coordinator?

Src: TCL Sep 07 Res.B1d 7.3

1 - Shipment monitoring and control do not exist

2 - Shipment monitoring and control are fully reactive

3 - Some ability to conduct anticipatory planning

4 - Anticipatory planning over only a 6 to 24 hour time horizon

5 - Dynamic planning over 24 to 48 hour time horizon

3.2.4 Has State established contracts/agreements with transportation providers? Public or Private

Src: TCL Sep 07 Res.B1d 7.1.4

Label: Transportation Vendor Contracts

1 - State has not conducted an analysis of its potential requirements for transportation, Public (i.e. National Guard or Private Sector)

2 - State has no pre-existing contracts/agreements with transportation providers

3 - State has some pre-existing contracts/agreements with transportation vendors

4 - State has pre-existing contracts/agreements for all anticipated transportation needs

5 - State has additional contingency contracts in place to account for major disaster surge requirements

Groups:

SHSGP Critical Emergency Supplies Grant

3.2.5 When do your transportation assets provide you a status/location update?

Src: TCL Sep 07 Res.B1d 7.3

1 - Status updates are not provided

2 - Dispatch only

3 - Dispatch and delivery notification

4 - Dispatch, in route and delivery notification

5 - Status/location updates inform ongoing decision-making and enhance anticipatory planning

3.2.6 How does your State manage the assignment of loads to carriers?

Src: TCL Sep 07 Res.B1d 7.3

1 - Loads are assigned manually by phone with no documentation

2 - Loads assigned via fax/phone with some limited documentation

3 - Load tendering via email with complete documentation

4 - Private vendor systems are updated with load requirements and electronically assigned

5 - Real-time, shared information and data capture for load assignments with logistics partners

3.2.7 Does your State have in-transit visibility capability?

Src: TCL Sep 07 Res.B1d 7.3

1 - No in-transit positional monitoring or reporting requirements

2 - Carrier provides position report on request

3 - Most loads are tracked

4 - All loads are tracked

5 - In-transit visibility allows for rescheduling or diversion based on operational priorities

3.2.8 When required, can security escorts be utilized for critical loads?

1 - No provisions for shipment/convoy security

2 - Security decision included in transportation planning and dispatches

3 - State law enforcement representative assigned to Logistics and accessible in the EOC

4 - State law enforcement and security planning integrated with distribution planning

5 - Does not apply

3.3 Inbound Shipment Management

3.3.1 Is there a measure of coordination between inbound and outbound shipment scheduling at a majority of your distribution locations?

1 - No visibility of reverse logistics opportunities and no attempt to balance inbound and outbound shipment scheduling

2 - Limited visibility to reverse logistics opportunities, inbound and outbound shipments scheduled independently

3 - Some balancing of inbound and outbound

4 - Add inbound/ reverse logistics to outbound planning

5 - Synchronization of inbound and outbound planning (Ex: loads in, backhaul of empties)

3.3.2 Are inbound shipments to your State scheduled or managed to control the flow into distribution points to prevent queues and backlogs?

1 - No inbound scheduling (i.e. when the load arrives, it arrives) and no consideration of distribution point throughput considerations

2 - Some inbound loads scheduled, distribution point throughput capability is known

3 - Most major inbound shipments scheduled

4 - All inbound shipments are scheduled

5 - Inbound shipments are scheduled based on throughput capacity of individual distribution point to prevent queues and backlogs

4 Organizational Functions

4.1 Reporting Structure and Alignments

4.1.1 How are disaster logistics aligned with disaster planning, response, and recovery functions in your State?

1 - No linkage between logistics and other disaster planning, response, and recovery functions

2 - Informal linkage between logistics and other disaster response functions

3 - Coordination between logistics and other disaster response functions through exercises and cross-functional training

4 - Coordination between internal disaster response functions, as well as external entities, including local, county, tribal, other states and/or federal disaster authorities

5 - Logistics fully integrated into overall internal concept of support/operations and with all relevant external authorities

4.1.2 Which of the following best describes the condition of your State's disaster logistics personnel staffing?

1 - Logistics functions assigned as ad hoc duty

2 - Dedicated resources, but understaffed to fulfill all anticipated needs; no staffing plan in place

3 - Staffing diagram based on scale of events

4 - Trained and dedicated logistics cadre with staffing schedule; State plan to bring in logistics personnel from other State agencies

5 - Staffing schedule and requirements integrated with FEMA and National Guard

4.1.3 Overall, how is disaster logistics strategically positioned within your State's Emergency Management organization?

1 - Logistics and supply chain management not addressed at State level

2 - Modest recognition of logistics within the EM structure

3 - State is beginning to recognize emergency logistics and supply chain management in a strategic view

4 - State has a recognized and dedicated disaster logistics staff

5 - State disaster logistics has a strategic role in overall State EM planning and execution

4.1.4 Does your State logistics have a communications plan in place that ensures effective reporting horizontally and vertically (State, local, and federal)?

1 - State has no communication plan in place for reporting at all levels

2 - State EOC has ad-hoc communication plan with JFO; state staging areas receive ad hoc requests from PODs, and communicate requirements up the logistics chain in an unsynchronized, as needed basis

3 - SOPs in place and implemented for communications between state

EOC and JFO as well as with state staging areas and PODs

4 - SOPs in place and implemented for communications between state EOC and JFO as well as with state staging areas and PODs and integrated into overall communications plan with FEMA, private sector, and other external agencies

5 - SOPs in place and implemented for communications between state EOC and JFO as well as with state staging areas and PODs and integrated into overall communications plan with FEMA, private sector, and other external agencies and vendors

4.2 Credentialing and Cross-Functional Team Structure

4.2.1 Have clearly defined roles been established for your State's logistics personnel, which include standard processes and procedures?

1 - No standards in place for logistics roles

2 - State has identified roles for critical logistics personnel

3 - State has identified roles and associated processes and procedures for all logistics personnel

4 - State has training requirements and "job book" assigned to each role and resources identified to meet those requirements

5 - All logistics personnel must complete some training/certification programs as part of role prerequisites

4.2.2 How does your state logistics organization generate requirements for staffing (roles and number of personnel)?

Src: Refer to TCL Sep 07

1 - No standard process for generating personnel requirements

2 - Personnel requirements are notional and not based on real-world events

3 - Personnel requirements and responsibilities based on historic events, state modeling, and exercises

4 - Does not apply

5 - Personnel requirements based on DHS Target Capabilities List and lessons learned from state historical events, modeling, exercises, and best practices from other states

4.3 Logistics Quality Management

4.3.1 In order to ensure continuous improvement and education, does your State have routine measures to assess the training levels of log personnel?

Src: Refer to TCL Sep 07 p.224; UTL 2.1 # ResBl 2.1.1

1 - No methodology in place to measure the level of personnel training

2 - State occasionally tests personnel logistics skill sets such as demand forecasting, ordering, tracking, recording, inventory management, warehouse management, distribution planning, etc.

3 - State routinely tests logistics personnel on job functions associated

with their role(s)

4 - Minimum training assessments are required for State, local, tribal and other external personnel

5 - Comprehensive testing of training levels for all roles and responsibilities of personnel. Testing and continuing education administered at least every 18 months

4.3.2 How does your State assess its disaster logistics preparedness/ capabilities?

1 - Limited ability to assess logistics preparedness levels through self assessment, outside review, compliance monitoring, or actual major events

2 - Occasional assessment though self evaluation, but no formalized methodology

3 - Self-assessment conducted on relatively regular basis to evaluate logistics preparedness level

4 - Self-assessment and other State or FEMA peer reviews conducted on a regular basis to assess logistics preparedness levels

5 - State has combined internal and external preparedness assessments with risk assessment and resource prioritization in order to best suit the needs of the State

4.3.3 How does your State capture logistics best practices and lessons learned?

1 - No monitoring or implementation of state emergency logistics management best practices

2 - Occasional monitoring of recent historical events and utilization of lessons learned by other similar events profiled as high-risk to the State

3 - Periodic monitoring of recent historical events and utilization of lessons learned by other similar events profiled as high-risk to the State, attending of hot washes, and after-action reviews

4 - Continuous monitoring of recent historical events, utilization of lessons learned by other similar high-risk-level events, attending of hot washes, and after-action reviews

5 - Lessons learned captured and integrated into logistics and overall state emergency management planning and operations functions. FEMA facilitates sharing of logistics best practices amongst states

4.3.4 Does your State have institutional procedures in place to incorporate lessons learned and shortfalls into logistics planning?

1 - No formalized continuous improvement plan in place

2 - Informal evaluation of past performance and best practices captured from past events and exercises

3 - Utilize lessons learned, evaluation, and exercises conducted in-state to identify areas needing improvement

4 - Utilize lessons learned, evaluation, and exercises conducted in-state and externally in other states to identify areas needing improvement

5 - Utilize lessons learned, best practices, self- and peer-evaluations,

continuous training, credentialing, exercises, to identify and take corrective actions on areas of improvement. Capability for real time adjustments to plans during actual event response

4.4 Logistics Knowledge, Skills, and Training

4.4.1 Does your State have an ongoing logistics training and exercise plan in place?

Src: Refer to TCL Sep 07 p. 15

1 - No training and exercise plan in place to build and assess logistics capabilities

2 - Cursory training and exercise program with some emphasis on rudimentary logistics functions

3 - Established training and exercise plan specifically designed for building and assessing logistics capabilities

4 - Does not apply

5 - Established and implemented training and exercise plan for building and assessing log capabilities. Shortfalls are identified and incorporated into the State budget

4.4.2 Does your State have standard methodology in place for collecting and storing real logistics data from past events and exercises?

1 - State has not yet begun to capture lessons learned from real-world events or exercises

2 - State key personnel have attended after action reviews and hot washes from past events and exercises and maintain documentation

3 - Meeting notes or briefs are created, collected, and journalized in a common, shared location accessible by other logistics personnel

4 - Knowledge capital (whether paper-based or electronic) is stored in a location easily accessible by all logistics and other department personnel and is shared with other federal, states, and local disaster agencies

5 - Electronic knowledge capital is stored in a location easily accessible by all logistics and other department personnel and is shared with other federal, states, and local disaster agencies

4.4.3 What types of disaster logistics exercises does/has your State conducted?

Src: UTL 2.1 ResBld 2.2.1

1 - No logistics exercises conducted

2 - Occasional planning and/or tabletop exercises of resource logistics and distribution plan

3 - Periodic tabletop and/or full-scale exercises of resource logistics and distribution plans

4 - Periodic tabletop and full-scale exercises of resource logistics and distribution plans include State personnel as well as local / other external disaster response personnel

5 - Validation of resource logistics, distribution plans, and training programs using both tabletop and full-scale exercises on at least an

annual basis

4.4.4 Which of the following statements best describes your State disaster logistics organization's familiarity and adoption of guidelines and principles set forth by DHS and FEMA in the following documents:
- FEMA National Incident Management System
- DHS National Response Framework
- DHS National Preparedness Guidelines
- DHS Target Capabilities List

1 - State disaster logistics not at all familiar with FEMA and DHS doctrinal documents

2 - State disaster logistics key planning and strategy personnel have a basic understanding of concepts and guidelines outlined in FEMA and DHS documents

3 - State disaster logistics have adopted FEMA and DHS doctrine, and key personnel are trained and educated on existing documents, updated versions of existing docs, and newly published documents

4 - Does not apply

5 - All logistics personnel have been trained on principles and guidelines

4.5 Administrative Burden

4.5.1 Which of the following best describes the level of disaster logistics automation within your State?

1 - Extensive paper-based, manual processes for order, tracking, billing, reimbursement, etc

2 - Some automation of tasks, but in large part, heavy burden remains on manual workload

3 - Fewer paper processes, electronic exchange of information; some automation, but high degree of re-keying and redundancy

4 - External stakeholders integrated with State information systems

5 - Internal and external stakeholders highly integrated through automated, electronic information exchange with end-to-end shipment visibility and little redundancy

4.5.2 Do your State's laws restrict pre-incident private vendor contracts for commodities and/or logistics services, early commodity acquisition, and warehousing?

1 - State laws prevent pre-incident private vendor contracts for commodities and/or logistics services, early commodity acquisition, and warehousing

2 - Does not apply

3 - State laws limit pre-incident private vendor contracts for commodities and/or logistics services, early commodity acquisition and warehousing

4 - Does not apply

5 - No laws constraining pre-incident private sector engagement or stockpiling commodities

5 Property Management

5.1 Property Management Personnel

5.1.1 Does your State have the required manpower/staffing to warehouse and distribute commodities to impacted populations?

Label: Commodity Management Personnel

1 - State does not have any warehouse personnel or capability

2 - State has limited warehouse capabilities to store/manage critical commodities and can tap into transportation contracts to move assets in the event of a disaster

3 - State has full-time staff of trained warehouse personnel that manage commodities. Between in-house state transportation and contracts, State can move commodities to impacted populations. State has visibility of load arrival to Points of Distribution (PODs)/ state staging areas

4 - State has full-time staff of trained warehouse personnel that manage commodities. Between in-house state transportation and contracts, State can move commodities to impacted populations to support likely scenarios. State has real-time, in-transit visibility and scalability of operations to support catastrophic events

5 - State has full-time staff of trained warehouse personnel that manage commodities. Between in-house state transportation and contracts, State can move commodities to impacted populations to support likely scenarios. State has real-time, in-transit visibility and scalability of operations to support catastrophic events and have coordinated with FEMA Region and HQ

Groups:

SHSGP Critical Emergency Supplies Grant

5.1.2 Does your State have an Accountable Property Officer (APO), or an APO equivalent responsible for State owned commodities and equipment?

Src: Chief Property Management Division Logistics Management Directorate

1 - No APO equivalent at State level

2 - No APO equivalent at State level but other State EM employee(s) has (have) received informal training on property procedures

3 - State has EM employee(s) who are trained to be APOs but are double hatted in competing functional areas

4 - State has trained APOs available during disaster time, but not part of regular logistics staff

5 - Full-time, dedicated APO in State logistics/emergency management

5.2 Warehouse and Facility Management

5.2.1 Has State determined warehousing requirements to support impacted population?

Label: Warehousing

1 - State has not determined required warehouse needs, nor selected a

location

2 - State has determined optimal locations for its warehouse but does not have a lease, or ownership, of the warehouse

3 - State has leased warehouse space available in a location that was selected based on operational requirements. Lease (or ownership) is funded through life-cycles of commodities

4 - State has leased (or owns) warehouse space available that can sufficiently store critical commodities. Lease is funded through the life-cycles of commodities. The site was selected based on ease of moving commodities to high risk/dense population density zones using available transportation assets

5 - State has sufficient warehouses to store required commodities. Warehouse(s) locations were selected based on high risk/ dense population, transportation modes, pop density, etc, as well as size needs and estimated costs. Lease(s) (or ownership) of facilities are periodically reviewed with FEMA Region and FEMA HQ and are funded through the life-cycle of commodities

Groups:

SHSGP Critical Emergency Supplies Grant

5.3 Logistics Equipment Management and Maintenance

5.3.1   Does your State have the equipment necessary (including Material Handling Equipment) to warehouse commodities and deploy commodities to impacted populations during the first 72 hours post-event?

Label: Equipment Management

1 - State does not own/lease any equipment or contracted capabilities

2 - State has equipment and/or contracted capabilities to support very

limited warehousing/ distribution functions

3 - State has sufficient equipment and/or contracted capabilities to support warehousing/ distribution functions primarily for day-to-day operations but not sufficient for disaster distribution operations associated with a major event response. Contracts are in place to perform regular maintenance on equipment based on requirements to keep them operational

4 - State has sufficient equipment and/or contracted capabilities to support warehousing/ distribution functions for all levels of event/response. Contracts are in place to perform regular maintenance on equipment based on requirements to keep them operational. Any limitations have been addressed with FEMA Region

5 - State has sufficient equipment and/or contracted capabilities to support warehousing/ distribution functions. Contracts are in place to perform regular maintenance on equipment based on requirements to keep them operational. Capabilities are scalable and can support likely disaster scenarios. Capabilities have been shared with FEMA Region. There are no known limiting factors

Groups:

SHSGP Critical Emergency Supplies Grant

5.3.2   What method best describes the level of visibility your State has over organic logistics equipment?

Src: Chief Property Management Division Logistics Management Directorate

1 - No process to track state-owned equipment

2 - Equipment management is accomplished on an ad-hoc basis and is done using spreadsheets

3 - Either organically or through contractor support, equipment management processes are documented and standardized and

provide the general location of state-owned equipment to state logistics personnel

4 - Either organically or through contractor support, equipment management processes are documented. A common operating picture is provided to all state personnel

5 - Either organically or through contractor support, equipment management processes are documented, standardized and provide specific location of state-owned equipment. A common operating picture is provided to all state personnel, FEMA Region, and FEMA HQ LMD

5.3.3 Is State owned equipment (e.g. Material Handling Equipment) maintenance status and operational status actively documented and monitored in your State?

1 - No visibility over availability/status of State-owned equipment

2 - Status/availability of equipment is on a case by case basis

3 - Equipment status/availability is tracked in comprehensive system and is updated regularly

4 - Equipment status/availability is tracked in a comprehensive system and is shared with local, State and private partners

5 - Status/availability is documented for all equipment and is shared with local, State, private and federal partners including FEMA Region

5.3.4 What method best describes the level of visibility your State has over leased (contracted) logistics equipment?

1 - No visibility over leased equipment

2 - Visibility of leased equipment is stovepiped and provided by vendors only when requested

3 - All leased equipment is visible to State personnel through a comprehensive system and vendor "pushes" changes to State

4 - Equipment visibility data is centralized and shared with local and State partners. A common operating picture is shared with all partners and FEMA Region

5 - Equipment visibility data is centralized and shared with local and State partners. A common operating picture is shared with all partners and FEMA Region and is updated in real-time

5.3.5 What method best describes the State's maintenance requirements for leased (contracted) logistics equipment?

1 - No requirements

2 - Contracts require that equipment is operational upon receipt by the State

3 - Contracts require that the equipment be maintained periodically during post-event operations by the contractor

4 - Contracts require that the equipment be maintained periodically during post-event operations by the contractor with provisions made for emergency maintenance. Contracts specify the time period in which the contractor must reply on a service/maintenance call

5 - State has instituted performance based contracting in which the contractor is required to maintain a pre-negotiated level of operational

availability for the equipment covered in the contract. (e.g. maintain 95% operational availability for all forklifts provided within the contract.)

5.3.6 How does your State track the scheduling, maintenance status, and operational status of organic (State-owned) fixed generators?

Src: Chief Property Management Division Logistics Management Directorate

1 - No process or system to track regular or preventative maintenance of State-owned fixed generators

2 - Tracking occurs on a case by case basis, either organically or through contractor support, and is documented post-maintenance

3 - Maintenance is tracked for all State-owned fixed generators on a case by case basis organically or through contractor support, records are updated in real-time and can be viewed by all State personnel

4 - Maintenance is tracked for all State-owned fixed generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State and local personnel

5 - Maintenance is tracked for all State-owned fixed generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State, local, FEMA and OFA (e.g. USACE) personnel

5.3.7 How does your State track the scheduling, maintenance status, and operational status of organic (State-owned) portable generators?

Src: Chief Property Management Division Logistics Management Directorate

1 - No process or system to track regular or preventive maintenance of State-owned portable generators

2 - Tracking occurs on a case by case basis, either organically or through contractor support, and is documented post-maintenance

3 - Maintenance is tracked for all State-owned portable generators on a case by case basis, either organically or through contractor support, records are updated in real-time and can be viewed by all State personnel

4 - Maintenance is tracked for all State-owned portable generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State and local personnel

5 - Maintenance is tracked for all State-owned portable generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State, local, FEMA and OFA (e.g. USACE) personnel

5.3.8 What method best describes the level of visibility your State has over leased (contracted) generators?

1 - No process or system to track regular or preventive maintenance of generators

2 - Tracking occurs on a case by case basis, either organically or through contractor support, and is documented post-maintenance

3 - Maintenance is tracked for all leased generators on a case by case

basis either organically or through contractor support, records are updated in real-time and can be viewed by all State personnel

4 - Maintenance is tracked for all leased generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State and local personnel

5 - Maintenance is tracked for all leased generators, either organically or through contractor support. Maintenance records are updated in real-time and can be viewed by all State, local, FEMA, and OFA (e.g. USACE) personnel

5.3.9 What method best describes the maintenance requirements for leased (contracted) generators?

1 - No requirements

2 - Contracts require that generators are operational upon receipt by the State

3 - Contracts require that the equipment be maintained periodically during post-event operations by the contractor

4 - Contracts require that generators be maintained periodically during post-event operations by the contractor with provisions made for emergency maintenance. Contracts specify the time period in which the contractor must reply on a service/maintenance call

5 - State has instituted performance based contracting, in which the contractor is required to maintain a pre-negotiated level of operational availability for the generators covered in the contract. (e.g. maintain 95% operational availability for all generators provided within the contract)

5.3.10 What statement best describes the scalability of your State equipment management and maintenance capabilities?

1 - Capabilities cannot be expanded (scaled) to meet post-event requirements

2 - Capabilities are sufficient to adequately manage and maintain equipment pre-event and post event for minor hazard responses

3 - Capabilities are sufficient to adequately manage and maintain equipment pre-event and post event for all but major hazard responses

4 - Capabilities are sufficient to adequately manage and maintain equipment pre-event and post event for all hazard responses with some degradation in the accuracy, reliability, and timeliness of data in the event of a major or catastrophic response

5 - Capabilities are fully scalable so that accurate, reliable, and timely data is available to decision makers post event for a major or catastrophic hazard response

5.4 Commodity Inventory Management Processes and Enablers

5.4.1 What method best describes the level of visibility your State provides over organic commodity inventory?

1 - No visibility over inventory

2 - Visibility of inventory is stovepiped

3 - All state owned inventory is visible to State personnel through a comprehensive system

4 - Integrated inventory management is shared with local and State partners through a comprehensive system. A common operating picture is shared with all partners and FEMA Region

5 - Integrated inventory management is shared with local and State partners through a comprehensive system. A common operating picture is shared with all partners and FEMA Region and is updated in real-time

5.4.2 Is inventory availability reflected in your State's commodity inventory management database?

Src: Chief Property Management Division Logistics Management Directorate

1 - No inventory database to capture on-hand, due-in, due-out and promised-out inventory

2 - Inventory database updated periodically with status of inventory

3 - On-hand inventory, due-out and some due-in data updated regularly and is visible/shared throughout State logistics community

4 - On-hand inventory, due-out and some due-in data updated regularly and is visible/shared with local, State and private partners

5 - On-hand inventory, due-out and some due-in data updated regularly and is visible/shared with local, State and private partners including FEMA Region and FEMA LMD

5.4.3 What method best describes the level of visibility your State has over vendor managed commodity inventory?

Src: Chief Property Management Division Logistics Management Directorate

1 - No visibility over inventory

2 - Visibility of inventory is stovepiped

3 - All vendor managed inventory is visible to State personnel through a comprehensive system

4 - Integrated inventory management is shared with local and State partners through a comprehensive system. A common operating picture is shared with all partners and FEMA Region

5 - Integrated inventory management is shared with local and State partners through a comprehensive system. A common operating picture is shared with all partners and FEMA Region and is updated in real-time

5.4.4 Is vendor managed inventory availability reflected in your State's commodity inventory management database?

Src: Chief Property Management Division Logistics Management Directorate

1 - No inventory database to capture on-hand, due-in, due-out and promised-out inventory

2 - Inventory database updated periodically with status of vendor managed inventory

3 - On-hand, due-out and some due-in data is updated regularly with vendor managed inventory data and is visible/shared throughout State logistics community

4 - On-hand, due-out and some due-in data is updated with vendor managed inventory information and is visible/shared throughout local, State and private partners

5 - On-hand, due-out and some due-in data is updated with vendor managed inventory information and is visible/shared throughout local, State and private partners including FEMA Region and FEMA HQ

5.4.5 What statement best describes the scalability of your State commodity management capabilities?

Src: Chief Property Management Division Logistics Management Directorate

1 - Capabilities cannot be expanded (scaled) to meet post-event requirements

2 - Capabilities are sufficient to adequately manage and maintain inventory pre-event and post event for minor hazard responses

3 - Capabilities are sufficient to adequately manage and maintain inventory pre-event and post event for all but major hazard responses

4 - Capabilities are sufficient to adequately manage and maintain inventory pre-event and post event for all hazard responses with some degradation in the accuracy, reliability and timeliness of data in the event of a major or catastrophic response

5 - Capabilities are fully scalable so that accurate, reliable and timely data is available to decision makers post event for a major or catastrophic hazard response

5.4.6 Does State conduct periodic/routine inventories and shelf-life inspections of commodities? State-managed or Vendor-managed

Label: Commodity Inventory Management

1 - No state routine inspections are conducted

2 - State conducts annual inventories of on-hand commodities

3 - State conducts semi-annual inventories and shelf-life inspection of on-hand commodities and rotation of stock

4 - State conducts quarterly inventories and shelf-life inspection of on-hand commodities and rotation of stock

5 - State conducts monthly/random inventories, manages shelf-life and rotates stock or requires vendor to do the same

Groups:

SHSGP Critical Emergency Supplies Grant