Control Number: 1660 – 0127

FEMA Form Number: 008-0-1

Expiration Date: 04/30/2014

Paperwork Burden Disclosure Notice

Logistics Capability Assistance Tool (LCAT)

State Content Guide

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1.0 INTRODUCTION

This guide is designed to assist you in using the Logistics Capability Assistance Tool (LCAT) to assess your disaster response logistics capabilities. The information presented here will assist you during the process of answering a set of questions designed to analyze your response capabilities. This guide provides an explanation of each LCAT question to help you understand its intent and a suggested approach is provided to help you answer each question.

You could respond to the questions during an LCAT workshop or a self assessment. Regardless of whether you are participating in a workshop or a self assessment, your thought process should be the same – a straightforward objective judgment of how your current processes or procedures reflect the capabilities addressed in each question.

1.1 Purpose

Congress directed the Federal Emergency Management Agency (FEMA) to develop a program that could be used to improve readiness, increase response capacity, and maximize both the management and impact of homeland security resources. At the direction of the FEMA Logistics Management Directorate (LMD), the resulting LCAT was developed with a concentration on state and local jurisdictions' ability to determine levels of disaster logistics planning and response capability. The results are also critical to identifying where to focus additional planning efforts.

As a collaborative logistics planning and preparedness tool, LCAT can be used to enhance logistics disaster response capabilities and provide a common operating picture for local, state, regional, and federal responders. It is standardized and transportable.

LCAT was created to be used by states to evaluate their current disaster logistics readiness, identify areas for targeted improvement, and help develop a roadmap to both mitigate shortfalls and limiting factors, and further enhance strengths. The tool has been developed from the logistician's perspective and for the logistician's benefit. Ultimately the state and its citizens gain from the resulting increase in logistics capabilities.

Responses to LCAT questions are restricted information and will not be shared with any other regions, jurisdictions, or agencies. The participating state will determine if the results will be disseminated outside the state and, if disseminated, to whom they will be available.

Emergency managers at all jurisdictional levels will garner the greatest benefit from conducting LCAT workshops by including as many public and private planning and response partners as possible in the actual workshop. A workshop would ideally be conducted in 1.5 days or, if necessary, tailored to meet the state's requirements.

Successful disaster response logistics planning requires all partners to actively contribute to and participate in the workshop. The result will be a more complete and accurate picture of capabilities available for analysis, ensuring a common operating picture that portrays a shared reality. The LCAT process itself should promotes discussion, awareness, and information flow

between the various participants and agencies. Workshops could be used as a baseline to track overall progress and improvements in specific core competencies, to validate successful programs, and to clearly identify where additional attention may be required.

Beginning in fiscal year (FY) 2012, FEMA LMD will transition LCAT execution to the FEMA Regions. Through FY 2012, states can either request a workshop facilitated by FEMA personnel or conduct the self assessment on their own using instructional guides provided by FEMA. After FY 2012, Regional logistics chiefs will work with states to facilitate workshops.

2.0 AUTHORITIES

The following subsections define the roles of the authorities responsible for the LCAT program.

2.1 Federal Emergency Management Agency

FEMA's mission to reduce loss of life and property and protect communities nationwide from all hazards is the impetus for LCAT. To serve disaster survivors and communities more quickly and effectively, FEMA builds on experience, applies lessons learned and best practices from field operations, and gathers feedback from many sources to constantly improve upon its operational core competencies, of which disaster logistics is one.

FEMA implements 21st century logistics and procurement systems to help efficiently and effectively plan, identify, track, and distribute supplies needed by disaster survivors, emergency responders, and other users on the ground. Working with an array of public and private strategic partners, donors, and pre-arranged contractors, FEMA provides improved logistics integration and customer support.

2.2 Logistics Management Directorate

FEMA LMD plans, manages, and sustains national logistics response and recovery operations in support of domestic emergencies and special incidents. LMD establishes national procedures, fosters transparency through collaboration and coordination, and is focused on technology enhancements to expand region and state level logistics capabilities. LMD is organized around the following four core competencies:

Logistics Plans and Exercises - Develops and provides cohesive and synchronized logistics plans and exercises to achieve both short and long term readiness requirements. Ensures deliberate planning efforts result in coordinated concepts of operations (CONOPS) and plans that define repeatable processes. These processes support optimized national logistics response and recovery operations supporting domestic emergencies and special incidents.

Logistics Operations - Manages and executes national logistics command and coordination, tracking, and reporting for all-hazard operations. Stores, maintains, and deploys temporary housing units.

Distribution Management - Manages a comprehensive supply chain, warehouse, and transportation operation using a strategic alliance to effectively and efficiently distribute supplies, equipment, and services to support emergencies.

Property Management - Provides management oversight, internal control, and technical reviews in the areas of property accountability, reutilization, and disposal of disaster operations equipment. Implements an enterprise-wide property accounting and asset visibility system that is designed to ensure best value.

LMD's strategic direction includes people, customers, processes, and systems, outlined as follows.

People - Develop a professional logistics workforce, including regional staff, through hiring, training, credentialing and professional development; foster an accountability and results based culture.

Customers - Develop collaborative relationships with key stakeholders; foster both horizontal and vertical coordination; and develop bottom up requirement processes.

Processes - Modernize and integrate the national supply chain network, institute logistics planning to enhance response capability, develop and document key business policy and processes, perform analyses, and take a systematic approach to task and issue resolution.

Systems - Modernize the logistics system network; upgrade and fully integrate our systems to achieve maximum capability effectiveness.

3.0 LOGISTICS CAPABILITY ASSISTANCE TOOL BACKGROUND

3.1 Logistics Capability Assistance Tool Concept

LCAT features over one hundred survey-style questions, grouped into functional capabilities within five core competencies. You should respond to each question with complete honesty, by identifying your state's abilities along a range of five capability levels, from static to synchronized. In other words, the goal of this workshop is to determine where your range of capability corresponds with the levels defined below:

> Static – The state has not yet developed and/or implemented a viable strategy within the functional area.
>
> Functional – The state has implemented informal plans or processes, but standard operating procedures (SOP) have not been defined or adopted.
>
> Horizontal Integration – The state has developed and implemented formal, integrated SOPs across its emergency management (EM) organization.
>
> External Collaboration – The state has coordinated plans and SOPs with other state, local or 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. The state has demonstrated mastery of this capability.

Using a standardized approach and validated measurement criteria, LCAT objectively evaluates jurisdictional capability to perform basic logistics response and recovery functions and targets specific areas that need improvement. These capability levels should not be equated to a 1-5 scoring system, and the top-most level is not always the best fit for every state. There is a "Not Applicable" option for all questions, so states should not feel compelled to find ways to make capability levels applicable. If the question is not indicative of a capability appropriate for the state, "Not Applicable" could be the most appropriate response.

3.2 Logistics Capability Assistance Tool Objectives

LCAT is designed to improve the common operating picture (COP) for local, state, and federal responders—identifying any gaps between the current state of preparedness and the desired state of preparedness. An added benefit of LCAT and the LCAT workshop concept is the inherent collaboration and common operating picture achieved among state, local, regional, other agency, and private sector partners who participate in the workshops. Stakeholders will gain a more complete understanding of roles, responsibilities, and dependencies; strengthen and build upon existing relationships; and foster new logistics response partnerships. Implementing the tool requires state personnel to work closely with counterparts from other state agencies, the FEMA region, and other stakeholder organizations. Sharing information about logistics plans, SOPs, and federal, public, and private partner roles and responsibilities not only enhances transparency,

but also builds trust among the partners. In addition to the above, the following objectives are also part of the LCAT program:

Develop a standardized, transportable tool to identify logistics response strengths and weaknesses;

Develop a roadmap for continually improving planning and response capabilities;

Serve as a tool to guide further detailed planning;

Serve as a tool to tailor education and training to specific areas that will enhance response capability;

Meet Congressional intent to develop a demonstration program to enhance state disaster response capability and use public private partnerships;

Focus on and evaluate state logistics preparedness, planning, and disaster response functions;

Highlight disaster logistics best practices;

Identify opportunities for tailored education and training;

Identify planning and response capabilities and provide a common understanding of the state's readiness;

Track improvements in particular functional areas; and

Enhance jurisdictional response capability and public-private partnerships.

States of any size can use LCAT to evaluate their current disaster logistics readiness, identify areas for targeted improvement, and develop a roadmap to both mitigate weaknesses and further enhance strengths.

3.3 Logistics Capability Assistance Tool Structure

The source of the workshop is a survey-style question set, comprised of questions grouped by core competencies and further broken down according to the functional capabilities detailed in the following subsections.

3.3.1 Logistics Planning

Questions were developed to consider demand recognition, sourcing, acquisition, transportation, warehousing requirements, and distribution and management of goods, people, and equipment during a disaster. The following functional categories within the logistics planning core competency are addressed:

Plans development
Contingency planning
Distribution planning
Training and compliance
Provider qualification
Procurement procedures and protocols
Solicitation
Existing contracts

3.3.2 Logistics Operations

These questions address logistics procedures. Logistics operations ensure that SOPs and processes support established action plans. The following functional categories within the logistics operations core competency are addressed:

Identify requirements
Activate critical resource logistics and distribution
Acquire resources
Common operating picture
Procurement
Transportation

3.3.3 Distribution Management

The end-to-end movement of people, commodities, and equipment is critical to any disaster response. Response includes communications with other stakeholders, ordering, order processing, transportation asset identification and dispatch, delivery receipt, and delivery confirmation. The following functional categories within distribution management are addressed:

Order tracking Transportation
coordination Inbound shipment
management

3.3.4 Organizational Functions

Disaster response logistics is a key component of emergency management and considers training, credentialing, logistics resource acquisition, general administration, and quality management. The following functional categories within the organizational functions core competency are addressed:

Reporting structure and alignments
Credentialing and cross functional team structure
Logistics quality management
Logistics knowledge, skills, and training
Administrative burden
State legal constraints

3.3.5 Property Management

Property management includes the inventory management processes, in-transit visibility activities, and capital asset and commodity maintenance. The following functional categories within the property management core competency are addressed:

Property management personnel
Warehouse and facility management
Logistics equipment management and maintenance
Commodity Inventory Management Process and enablers

3.4 Logistics Capability Assistance Tool Benefits

Following are several benefits that can be derived from the LCAT process. They should help you stay fully engaged. The benefits are:

Increased transparency, collaboration, and partnership throughout state, territorial, tribal, local, and federal governments;

Improved state relationships with private partners;

Comprehensive analysis reports provided to states;

LCAT analysis reports feed into incident action plans and after-action reports (AAR)—ultimately improving plans and mitigating risks;

Enhanced state and regional common operating picture;

Increased understanding of the logistics mission and best practices for end-to-end supply chain stakeholders; and

By identifying capability gaps and maturity levels, states can improve overall logistics capabilities.

4.0 LOGISTICS CAPABILITY ASSISTANCE TOOL WORKSHOP

If you are participating in an LCAT workshop, you will be part of a team of stakeholders from various functional backgrounds. As a team, you will work together to assess the level of your state's response capabilities.

A facilitator will guide you through several sessions grouped by core competencies.

The workshop will begin with an introductory presentation that will outline the workshop process and the workshop agenda.

4.1 Workshop Conduct Suggestions

Throughout the workshop, keep the following tips and workshop conduct suggestions in mind.

The only right answer is the honest answer.

All attendees are encouraged to participate. Everyone invited to attend the workshop should have valid opinions and insights. The group benefits from dialogue and discourse, as it tends to illustrate some of the nuances of disaster response logistics processes.

Keep conversations focused on the topic of discussion and save cross talk discussions for more appropriate times.

To help you focus your thoughts, you will be asked leading questions rather than questions that can be answered with "yes" or "no."

In the event that consensus is not reached in a reasonable amount of time, unresolved issues will be set aside to the "parking lot," to be addressed later. Using any remaining time to continue discussions, parking lot issues can be addressed after all of the other questions have been answered.

As you conduct the workshop, make sure that everyone fully understands commonly used terms. For example, the term "collaborative planning team" could mean different things to different people. Providing the definition at the beginning of and throughout the workshop will help avoid confusion.

During the hot wash at the end of the workshop, a summary of discussions, responses, action items, and parking lot issues will be reviewed.

Keep track of and note potential improvements to LCAT from your point of view and suggestions from the audience. The FEMA LMD team is very interested in your input and/or suggestions for improving the workshop process.

4.2 Recommended Participants

Participants that should attend the workshop include state emergency management officials, FEMA Regional representatives, local emergency managers, National Guard representatives, and private sector partners. Bringing together all partners involved in disaster logistics planning and response ensures more complete and accurate responses to LCAT and promotes discussion, awareness, and information sharing between the various agencies. The following individuals and organizations are highly recommended to participate in the workshop.

FEMA pre-designated Federal Coordinating Officer
FEMA Regional Logistics Chief
State Emergency Management Director
State logistics chief and support staff
State operations chief and support staff
State planning chief and support staff
State mass care and sheltering support staff
Other key emergency management agency staff
State procurement officer(s)
State finance and accounting officer(s)
National Guard personnel
Major private sector contractors
Key state nongovernment organizations
County emergency management officials
City emergency management officials

The outcome from an LCAT workshop or self assessment will be greatly improved by having more decision makers participating in the process. One of the most beneficial aspects of LCAT is the inherent educational nature of the tool.

5.0 LOGISTICS CAPABILITY ASSISTANCE TOOL USER INSTRUCTION

5.1 Overview

This user guide details the capabilities and instructions for LCAT. The tool consists of a series of multiple choice questions designed to survey each area of jurisdictional logistics readiness. After all the questions have been answered, the tool will provide an output of graphs (to provide a visualization of the evaluation), as well as a results pane with numeric valuations for each area and an overall capability valuation.

5.1.1 Features

LCAT is a Java-based program developed to operate on a desktop or laptop computer.

5.1.2 Interface

Menus, submenus, and dialog boxes are organized by core competency with tabs for each functional capability. When the last question of a functional capability is answered it automatically starts the next functional capability.

5.1.3 Computer Requirements

The size of your screen display will determine the level of screen resolution. The more screen resolution available, the more information will be displayed on the screen.

5.1.4 Installing the Logistics Capability Assistance Tool

To install LCAT on your computer insert the LCAT disk in the CD/DVD drive. Go to **Locate** the file named **–New Questionnaire <mmddyy>.xml‖** from the CD provided.

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

Double select the **LCAT.msi** file. This will begin the install Wizard. Follow the Wizard instructions and select **Finish** when complete.

Go to your computer's desktop. There will be a new icon called **LCAT**. Double select the icon to start the program.

5.1.5 Uninstalling the Logistics Capability Assistance Tool

To uninstall LCAT from your computer, insert the LCAT disk in the CD/DVD drive. Double select the **LCAT.msi** file. This will begin the install Wizard. Select the **Remove** icon. Follow the Wizard instructions and select **Finish** when complete.

5.2 Logistics Capability Assistance Tool Operation

The following steps provide details for accessing and using the LCAT application tool.

5.2.1 Accessing the Questionnaire

Once inside the application, go to **File** > **Open** in the top left corner as shown in Figure 3. This will prompt the My Documents folder to open.

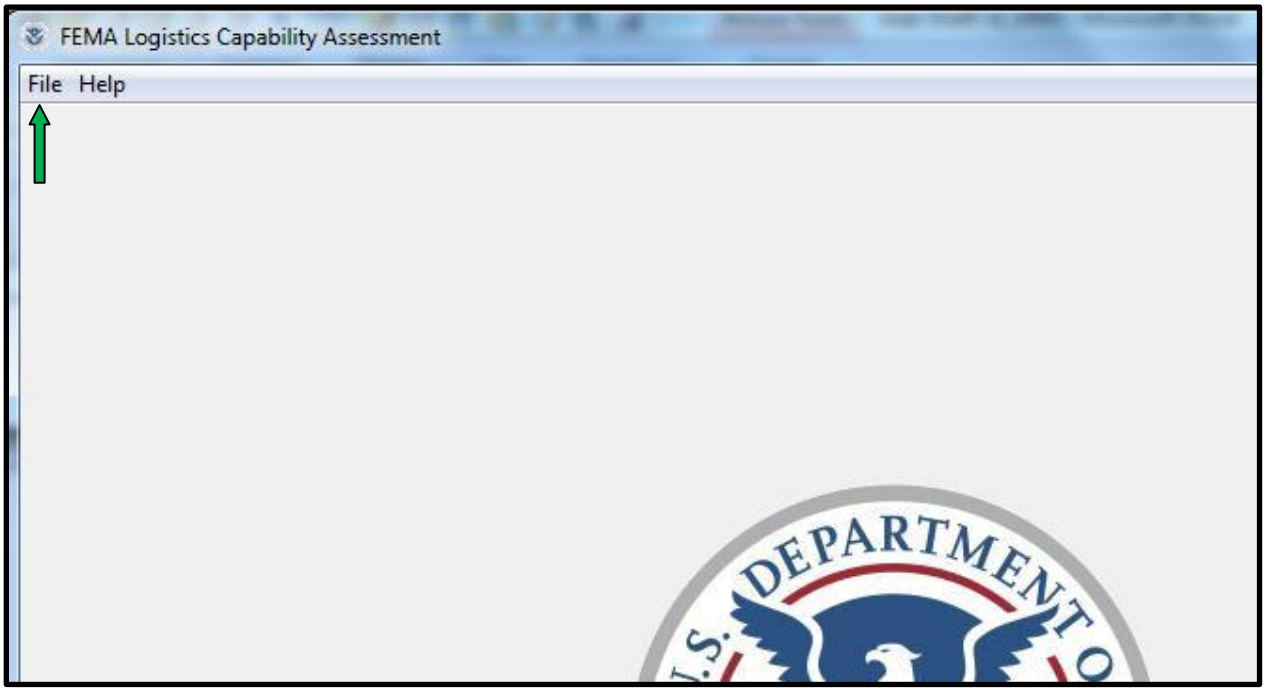


Figure 3: Sample Initial Application Window

Double select the **–New Questionnaire (mmddyy)‖** file inside your My Documents folder or any other place that you may have saved it, and the questionnaire is ready to begin as shown in Figure 4.

Figure 4: Sample New Questionnaire Window

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 select the "Free Java Download" button, which will update your existing Java software.

5.3 Saving an Assessment

When the application opens, navigate back up to the **File** menu. Select **Save As.** Name the file using the following standard nomenclature: "<Your jurisdiction name> - Assessment (#) - <mmddyy>.xml" (Example – **–**Oklahoma – Assessment 1 – 033009.xml‖). Next, save the LCAT file to your My Documents folder. **NOTE:** As you work through LCAT, it is advisable to periodically save your work.

5.4 Opening an Existing Logistics Capability Assistance Tool File

Double select the **LCAT** icon on your desktop. When the application opens, navigate to **File** > **Open**. Select the **.xml file** that you want to open. If any changes are made to the file, re-save.

5.5 Navigation

LCAT features four tabs at the top left of the screen: Assessment, Results, Graphs, and Participants. Instructions for each tab follow.

Though the **Participants** tab, as shown in Figure 5, is listed last, it may be more practical to capture the participant information first and make any changes after the questions are completed. Changes can be made at any time. Therefore, before the workshop or self assessment begins select the **Participants** tab to capture the contact information for each of the participants. If **State/Territory** is annotated, the name and other contact information is required. After a person's contact information has been loaded select **Add User**. To delete the input select **Clear**. This action will move the person's name to the dialog box at the right and clear the Name section so that another participant can be annotated. To remove a name that has been saved to the dialog box select the **Remove** button in the bottom right of the screen.

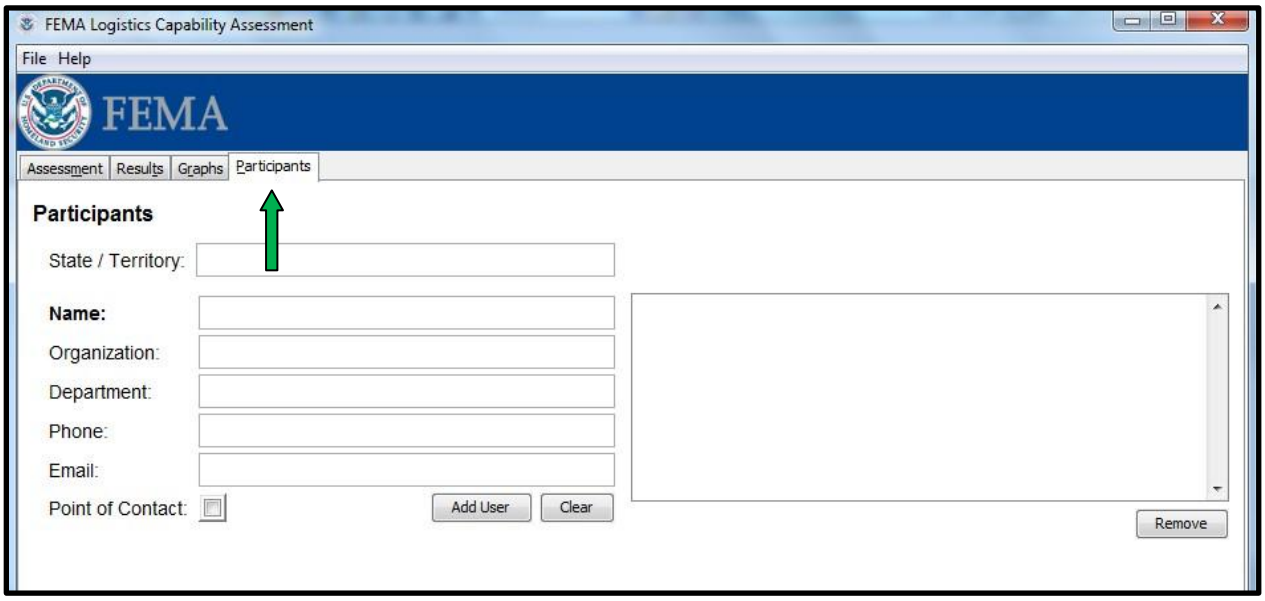


Figure 5: Sample Participants Tab Window

As already noted, upon opening the questionnaire file there will be four navigation tabs (Assessment, Results, Graphs, and Participants) displayed on the left side of the screen as shown in Figure 6.

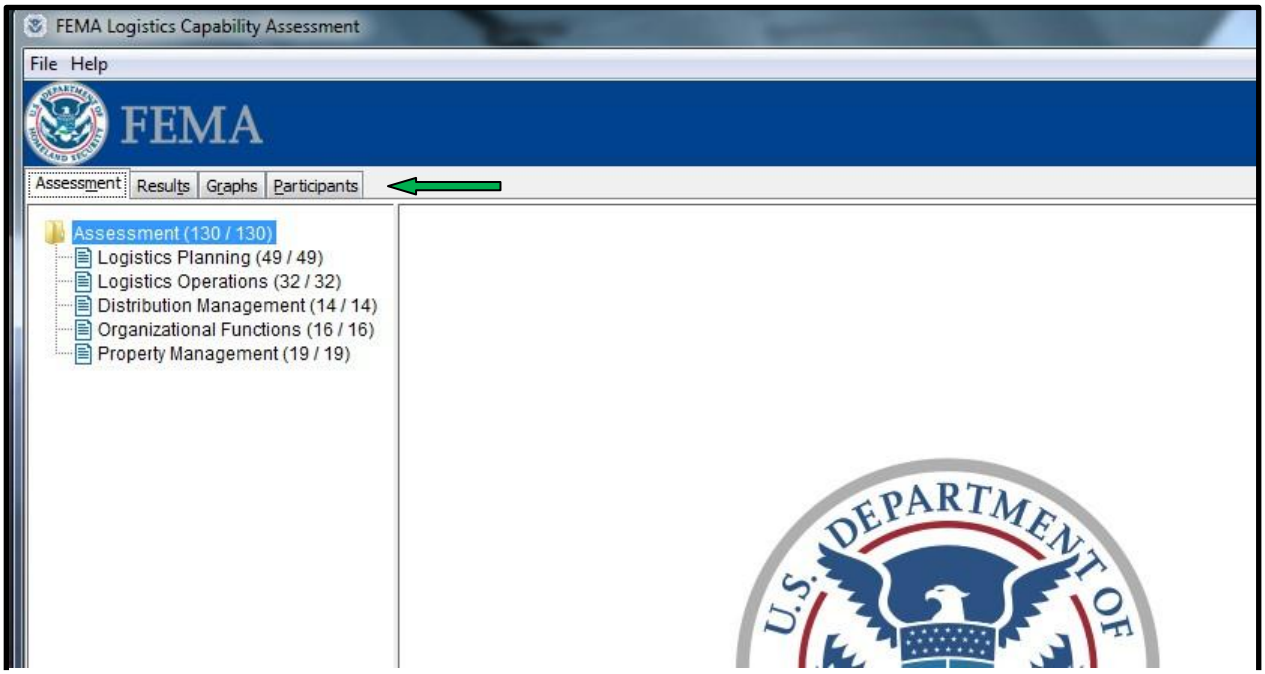


Figure 6: Sample Navigation Tabs Window

5.5.1 Assessment Tab

In parentheses after the title –Assessment‖ and each core competency, will be the total number of questions answered and asked for that area –(0/49).‖ The first number indicates the number of questions answered and the second number is the total number of questions to be asked. Beneath –Assessment‖ will be tabs for each of the five core competencies (Logistics Planning, Logistics Operations, Distribution Management, Organizational Functions, and Property Management). After each title the total number of questions for that area will be listed

Select the desired core competency and a dialogue box will open to the right. The **Assessment** tab will remain to the left of the screen. Each core competency will be listed, with tabs for each functional capability within the core competency as shown in Figure 7.

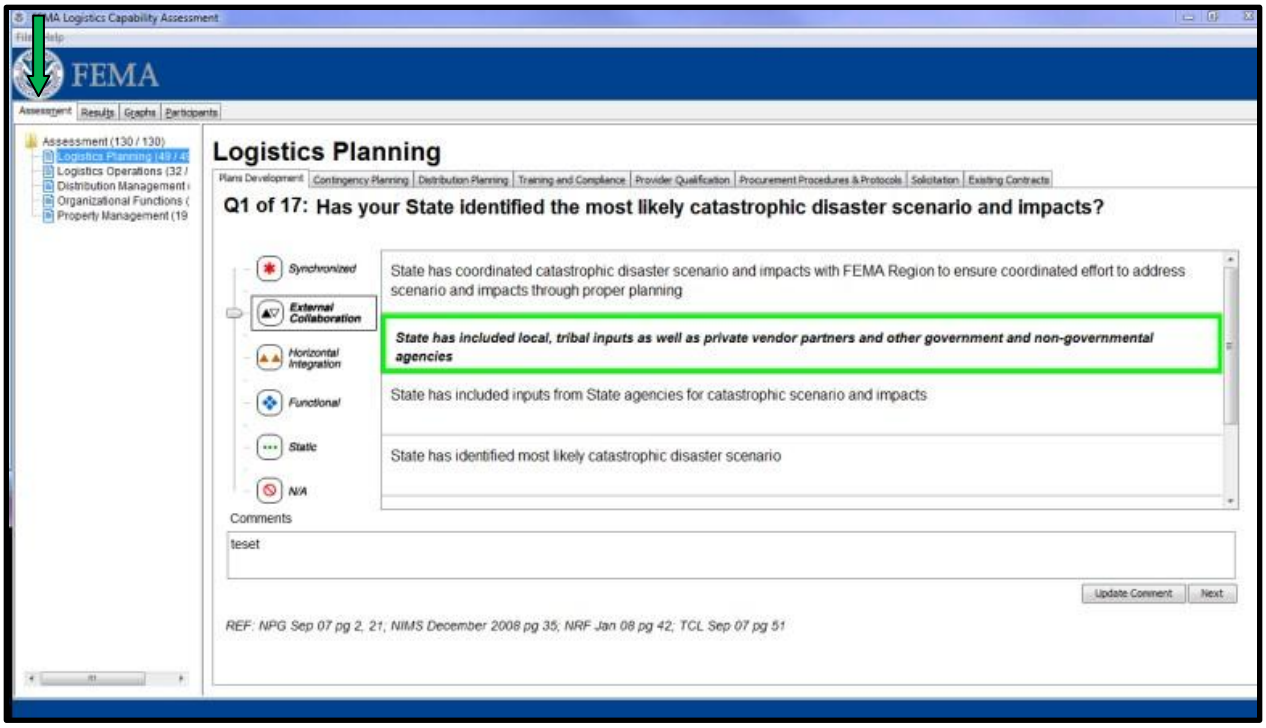


Figure 7: Sample Assessment Tab Window

Each of the core competencies is further decremented by functional capabilities and associated questions as shown in Figure 8. Beneath the functional capability tabs is a question related to the highlighted functional capability listed above it. Each question consists of a set of multiple choice answers, as well as a comment box that must be filled in if a participant selects the not applicable (N/A) box. **NOTE:** The workshop or self assessment cannot proceed unless a choice has been made or an explanation is given if the answer is N/A. Each capability level, when selected, displays a description of the choice (static to synchronized).

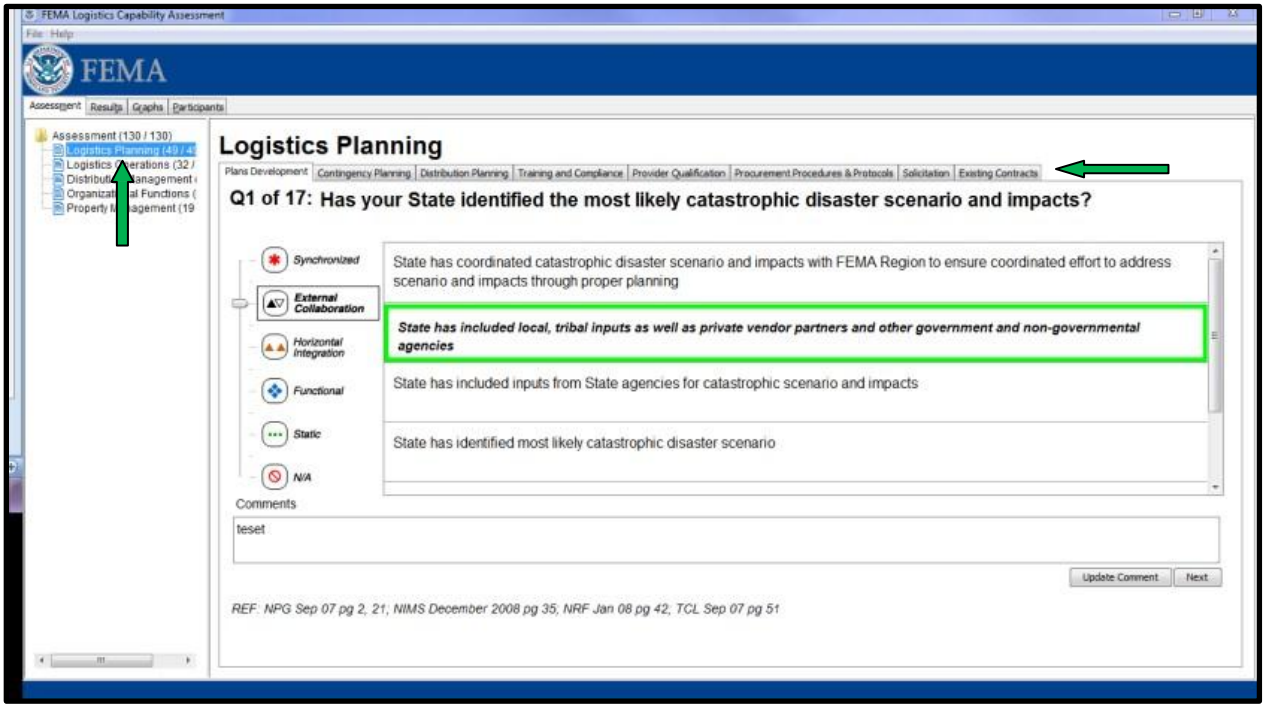


Figure 8: Sample Assessment Window Depicting Core Competencies and Functional Capabilities

On the left side of the core competency dialogue box is a list of five capability level symbols that correspond to descriptions noted in text to the right of the capability level symbol as shown in Figure 9. LCAT will assign values to responses that will be used in analysis results and graphs.

Respondents choose the level of maturity by selecting the arrow and dragging it up or down to indicate the emblem that corresponds with the definition that most closely captures the jurisdiction's process maturity. Release the mouse. Respondents may select a response in half-increments if their reply falls between two choices. The arrow can also be moved by selecting anywhere in the capability level box. Read each answer carefully before selecting which answer most closely describes your organization.

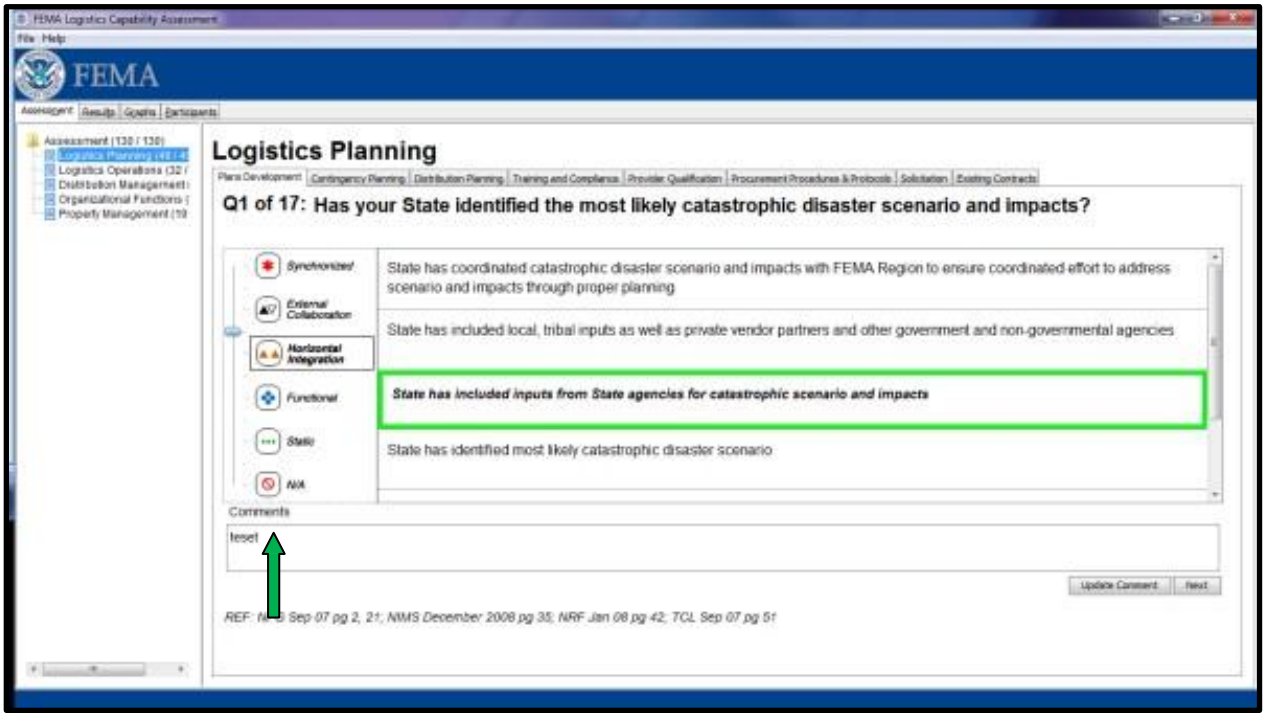


Figure 9: Sample Assessment Window Depicting Capability Levels

If **N/A** is selected as the maturity level, comments are required to advance to the next question. At the bottom of the dialogue box there is a block for comments. This block can also be used to capture comments made by the respondents.

As shown in Figure 10, there is a **Previous** button in the lower left corner of the screen. Select this button to return to questions that have been previously answered.

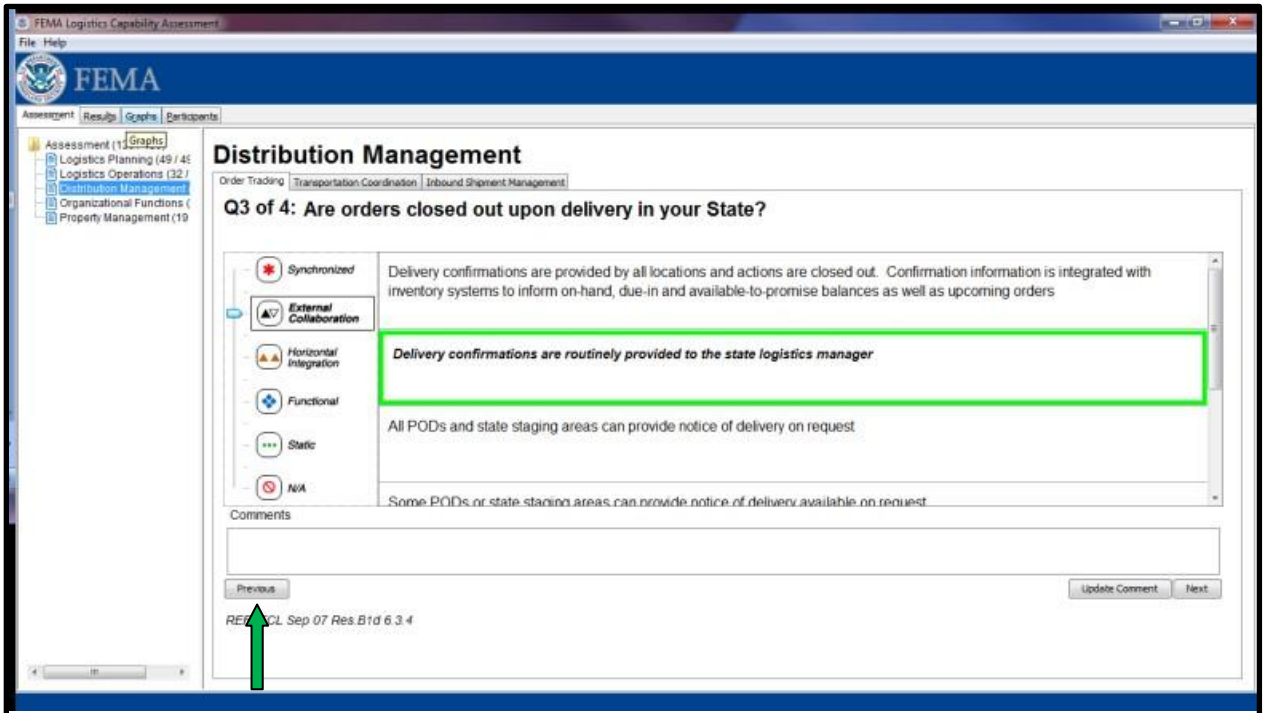


Figure 10: Sample Assessment Window Depicting Previous Button

In the lower right corner of the screen there is an **Update Comment** and **Next** button as shown in Figure 11. Data is automatically saved as it is input in the Comments block so you can select the **Update Comment** button to save changes in the Comments section should you return to make changes to a comment. Select the **Next** button to move forward to the next question. Once each question in a functional capability is answered the respondent must select **Next** at the bottom right of the screen. This process is repeated for each question until the functional capability is completed.

References for each question will be listed in the area beneath the Comments box.

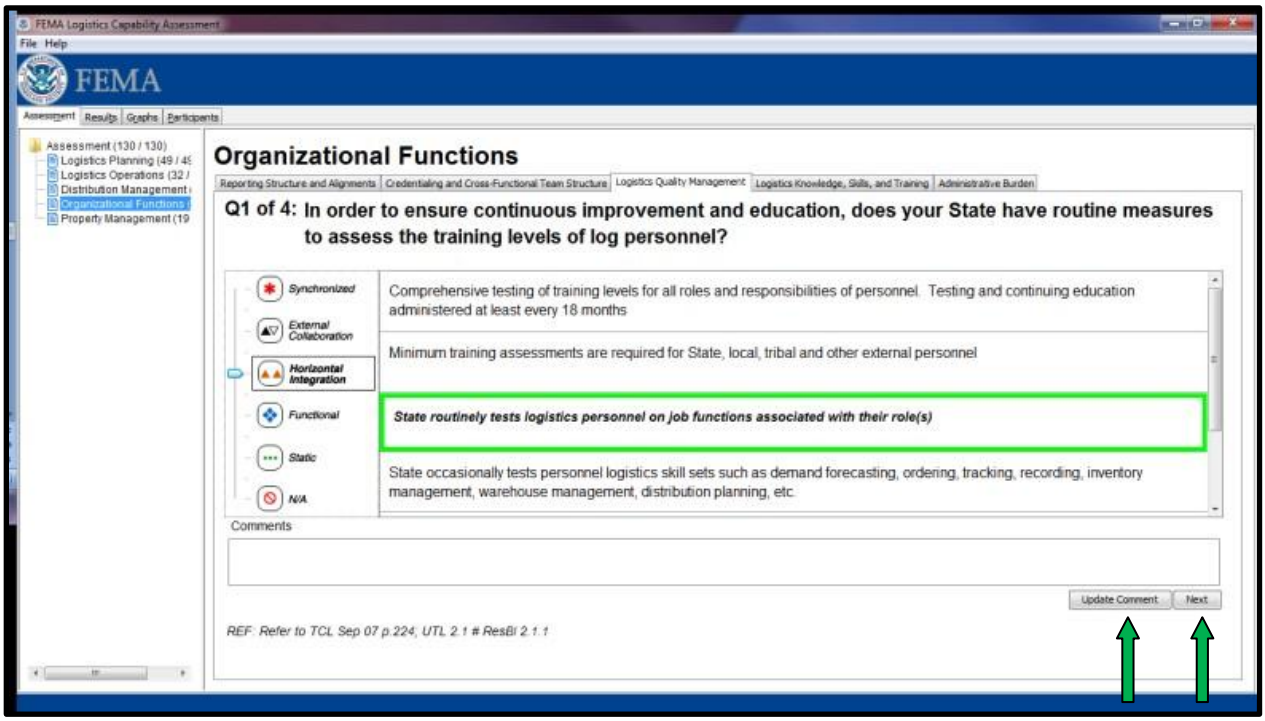


Figure 11: Sample Assessment Window Depicting Update Comment and Next Buttons

After the last question in a functional capability has been answered there will be a **Next Section** button to the right of the **Update Comment** button. Select the **Next Section** button to advance to the next functional capability as shown in Figure 12.

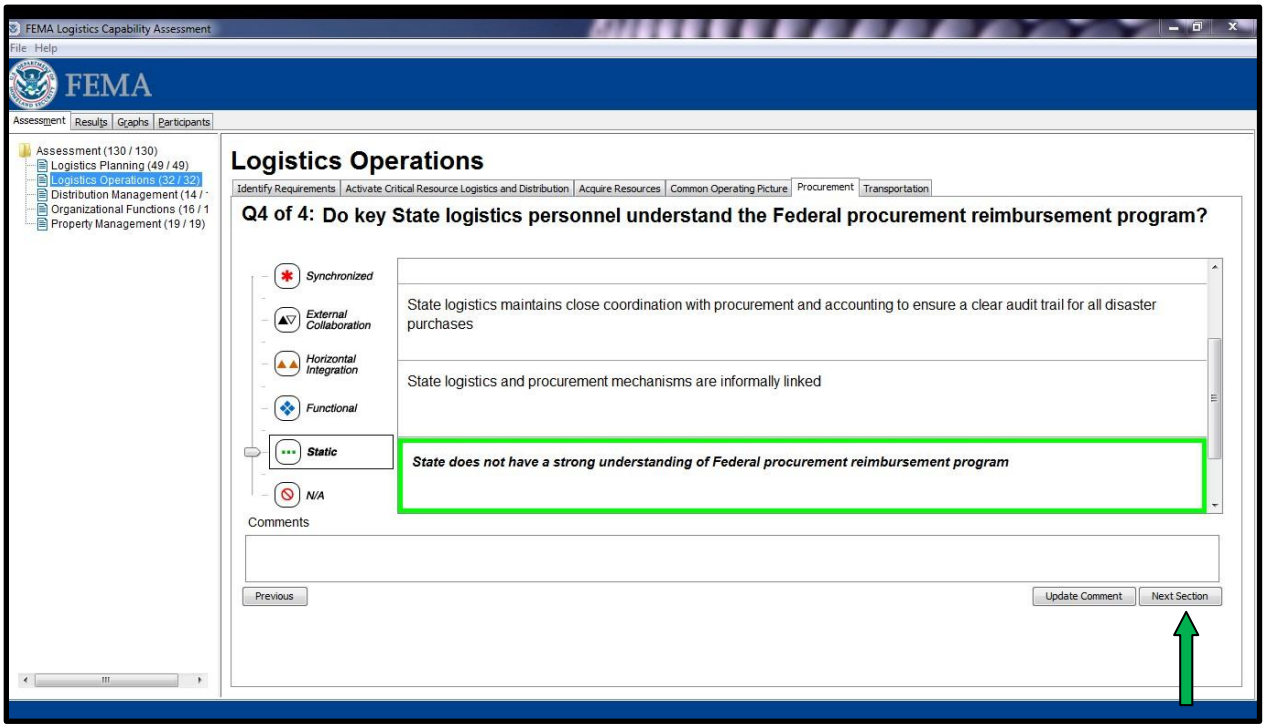


Figure 12: Sample Assessment Window Depicting Next Section Button

When the last question of the last functional capability has been answered only the **Update Comment** button in the bottom right corner will be visible as shown in Figure 13.

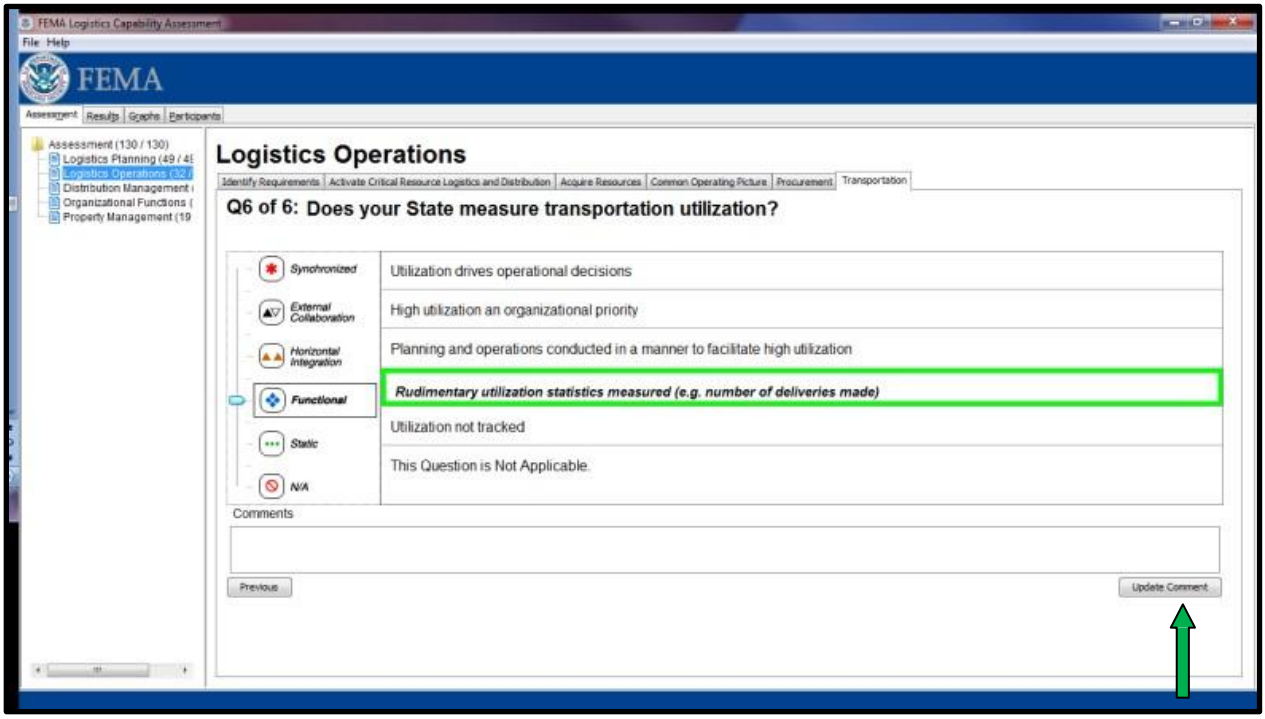


Figure 13: Sample Assessment Window Depicting Update Comment Button

Select the next core competency at the left of the screen to continue the workshop or self assessment. Repeat the process listed above to respond to remaining questions. Figure 14 shows a screen with the logistics planning core competency selected.

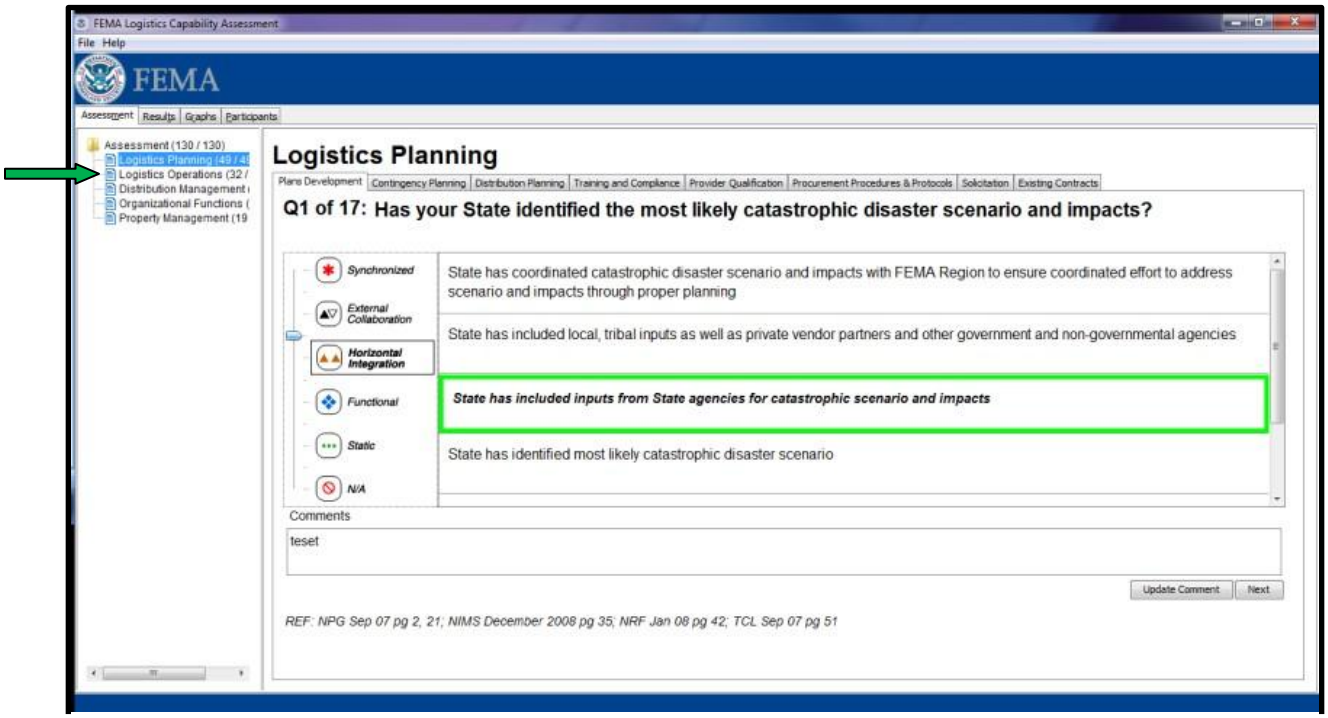


Figure 14: Sample Assessment Window Depicting Selected Core Competency

It is best to finish all questions in each functional capability before moving on to the next. However, answers can be modified by selecting a functional capability and advancing through the question set. Within each functional capability a count is shown to indicate the number of questions answered (as related to the total number of questions asked).

Results and **Graphs** are stored under separate tabs as shown in Figure 15. These tabs will not be viewable until the application has confirmed that all questions have been answered. As a reminder, the workshop or self assessment cannot proceed unless a choice has been made for each question or an explanation is given if the answer is N/A.

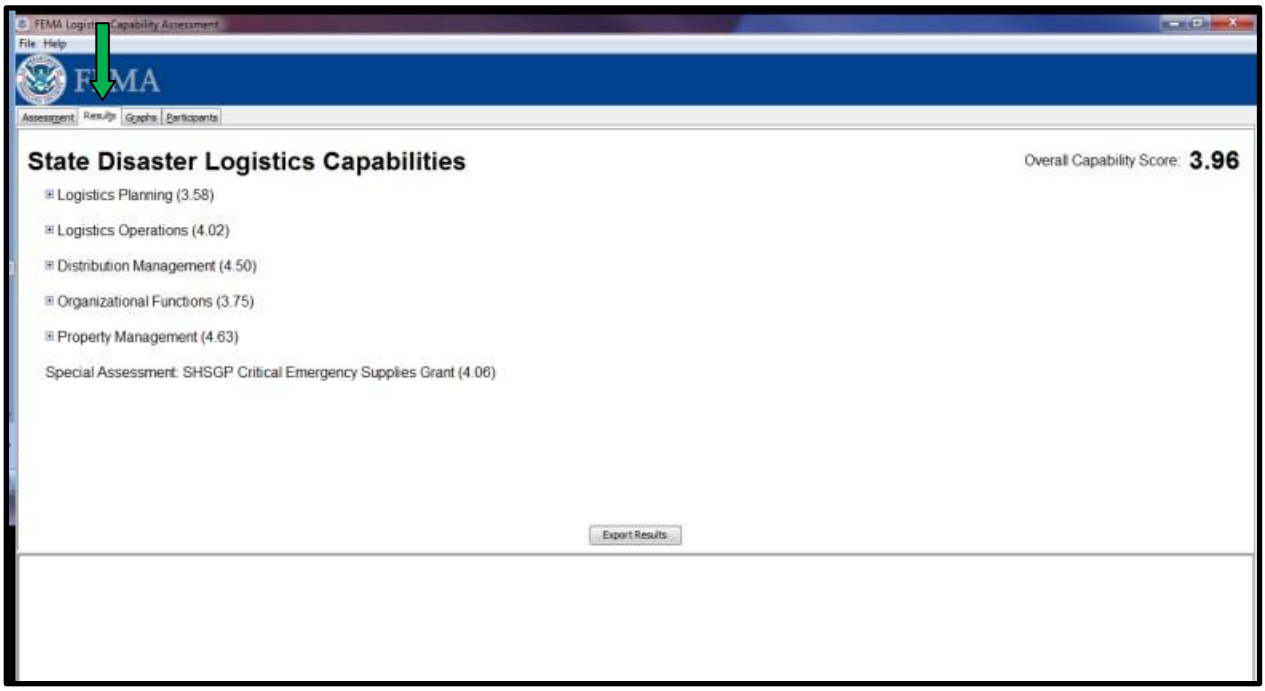


Figure 15: Sample Results Tab Window

5.5.2 Results Tab

After all the questions have been answered, the **Results** tab becomes available for viewing. Each of the five core competencies will be listed to the left of the screen and each is preceded by an expandable icon (the box with a plus sign in it). By selecting on this box each of the functional capabilities will be listed with a bar graph indicating the numerical capability level as shown in Figure 16. The level will also be annotated in parentheses to the right of the bar chart. The functional capability is listed to the right. As you select a functional capability the title will become italicized.

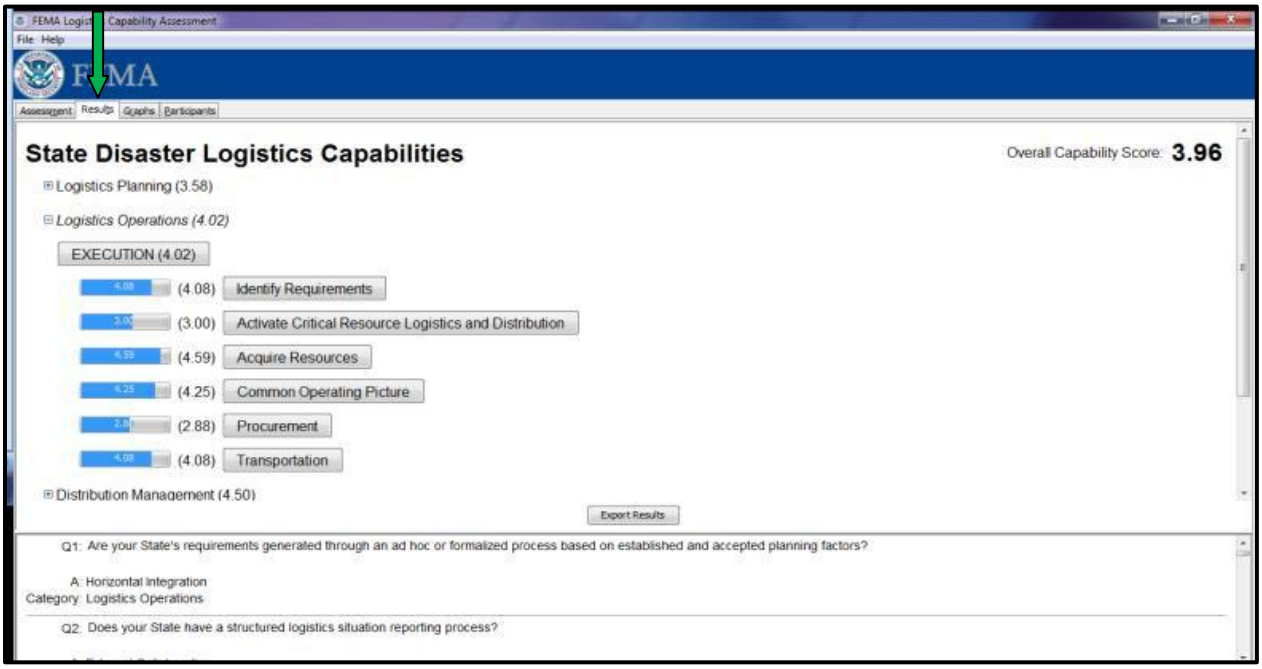


Figure 16: Sample Results Window

Each of the functional capabilities and questions is automatically processed and a valuation is derived for each section, with an overall capability valuation 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. Only the questions for that core competency will be listed. Selecting a functional capability will result in the first question of that functional capability being visible in the question box at the bottom of the page as shown in Figure 17. The remaining questions are listed numerically and can be viewed by toggling up and down from the bar at the right.

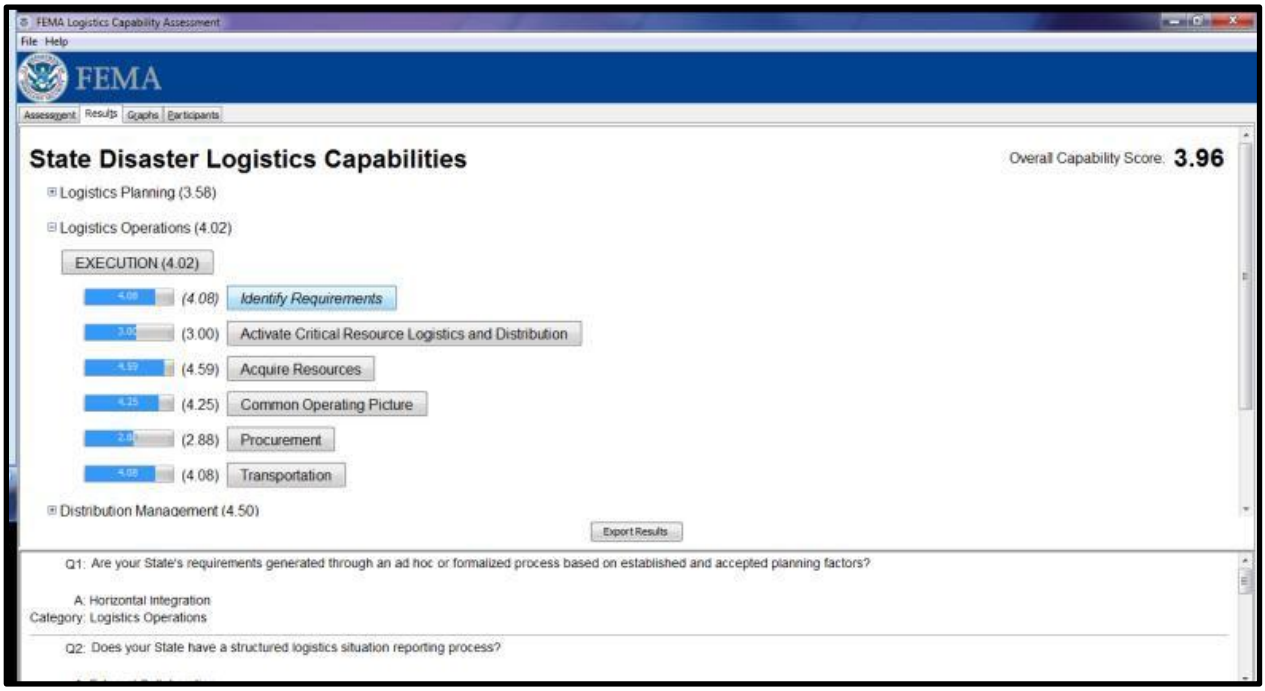


Figure 17: Sample Results Window Depicting a Functional Capability with Question Displayed

To export the results, select the **Export Results** button shown in the bottom center of the screen. An Excel spreadsheet of the numerical valuation will be saved to a location designated by the user.

If the points of contact have not been input prior to this point, a **Confirm Export** screen will appear, notifying you that a point of contact has not been provided and asking if you still want to export the results without the point of contact as shown in Figure 18. It is highly recommended that you include a point of contact. If you want to include point of contact information select **No** and the **Confirm Export** box will be removed.

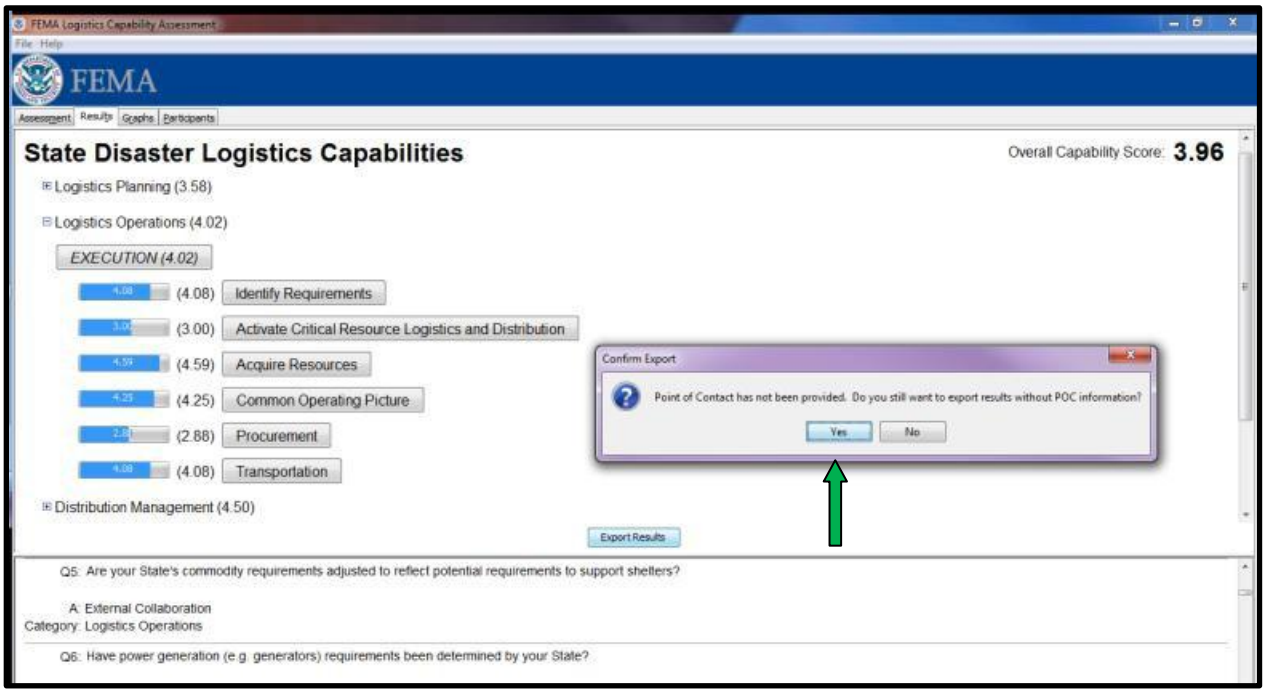


Figure 18: Sample Confirm Export Verification Window

At this time you can go to the **Participants** tab and input participant information. However, if you select **Yes** the screen shown in Figure 19 will appear.

Select **Yes** to save the file to your computer and the **Save As** box, as shown in Figure 19, prompts for a file name under which to save the file and a location in which the file will be saved. Once entered, select the **Save As** button.

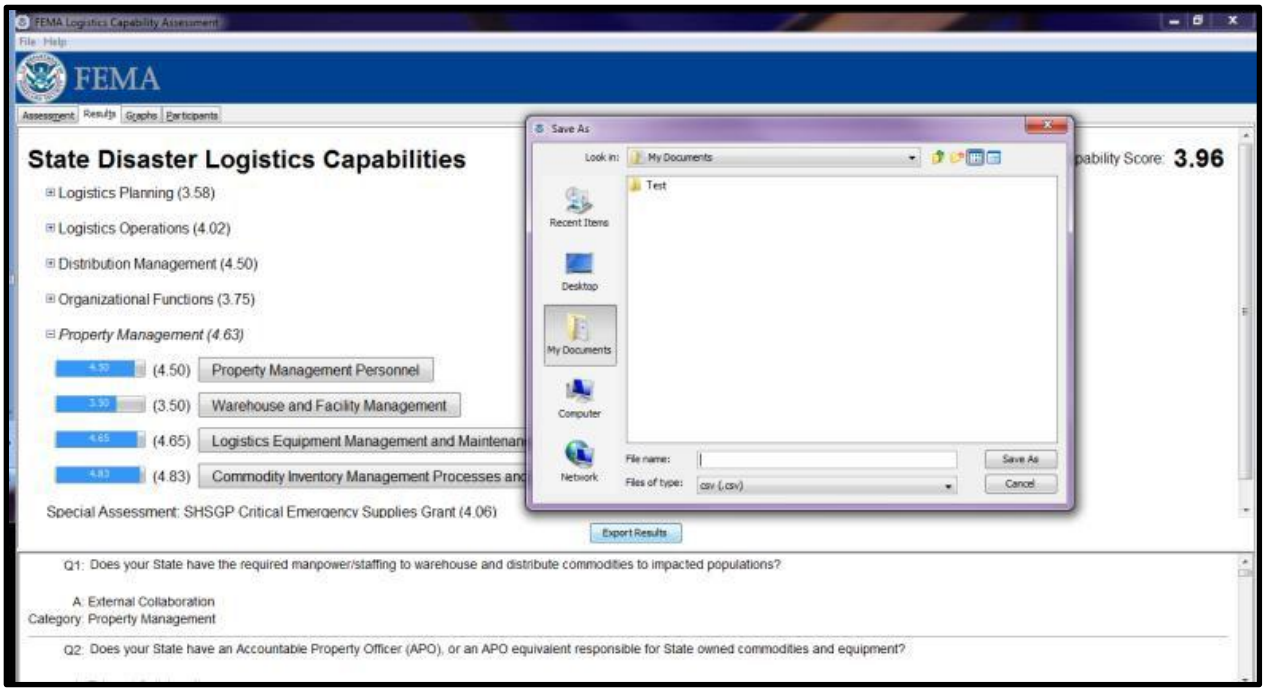
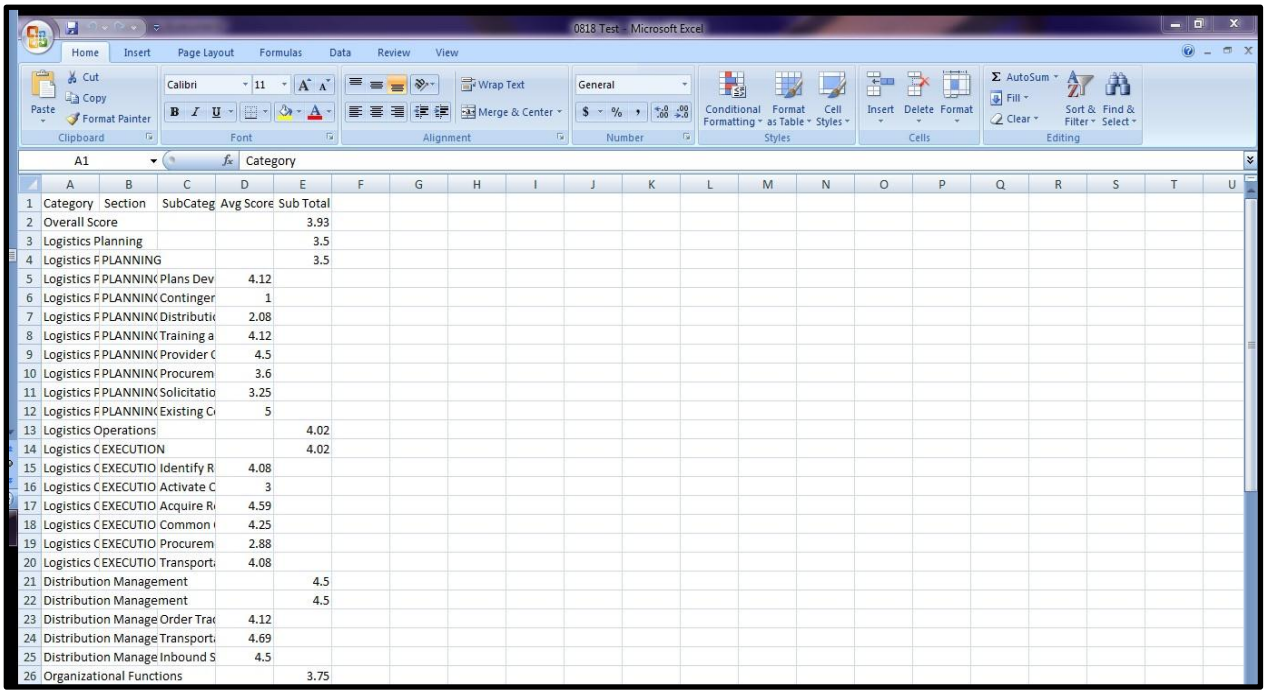


Figure 19: Sample Save As Window

An Excel spreadsheet of the numerical valuation, point of contact information, and date will be saved to a location designated by the user. Figure 20 depicts a sample spreadsheet. After it is saved you can use the data for further analysis purposes.



	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U
1	Category	Section	SubCateg	Avg Score	Sub Total																
2	Overall Score				3.93																
3	Logistics Planning				3.5																
4	Logistics F	PLANNING			3.5																
5	Logistics F	PLANNIN(	Plans Dev	4.12																	
6	Logistics F	PLANNIN(	Continger	1																	
7	Logistics F	PLANNIN(	Distributi(	2.08																	
8	Logistics F	PLANNIN(	Training a	4.12																	
9	Logistics F	PLANNIN(	Provider C	4.5																	
10	Logistics F	PLANNIN(	Procurem	3.6																	
11	Logistics F	PLANNIN(	Solicitatio	3.25																	
12	Logistics F	PLANNIN(	Existing C	5																	
13	Logistics Operations				4.02																
14	Logistics C	EXECUTION			4.02																
15	Logistics C	EXECUTIO	Identify R	4.08																	
16	Logistics C	EXECUTIO	Activate C	3																	
17	Logistics C	EXECUTIO	Acquire R	4.59																	
18	Logistics C	EXECUTIO	Common (	4.25																	
19	Logistics C	EXECUTIO	Procurem	2.88																	
20	Logistics C	EXECUTIO	Transport	4.08																	
21	Distribution Management				4.5																
22	Distribution Management				4.5																
23	Distribution Manage	Order Trac		4.12																	
24	Distribution Manage	Transport		4.69																	
25	Distribution Manage	Inbound S		4.5																	
26	Organizational Functions				3.75																

Figure 20: Sample Excel Spreadsheet as Saved by the System

Only the LCAT administrator has the authority to add special assessment categories. As an example, a group for the State Homeland Security Grant Program (SHSGP) Critical Emergency Supplies Grant could be developed, as shown below. These special assessment valuations will be visible as shown in Figure 21, but the functional capabilities will not be decremented to show individual valuations, neither will interview questions be listed in the question box at the bottom of the page.

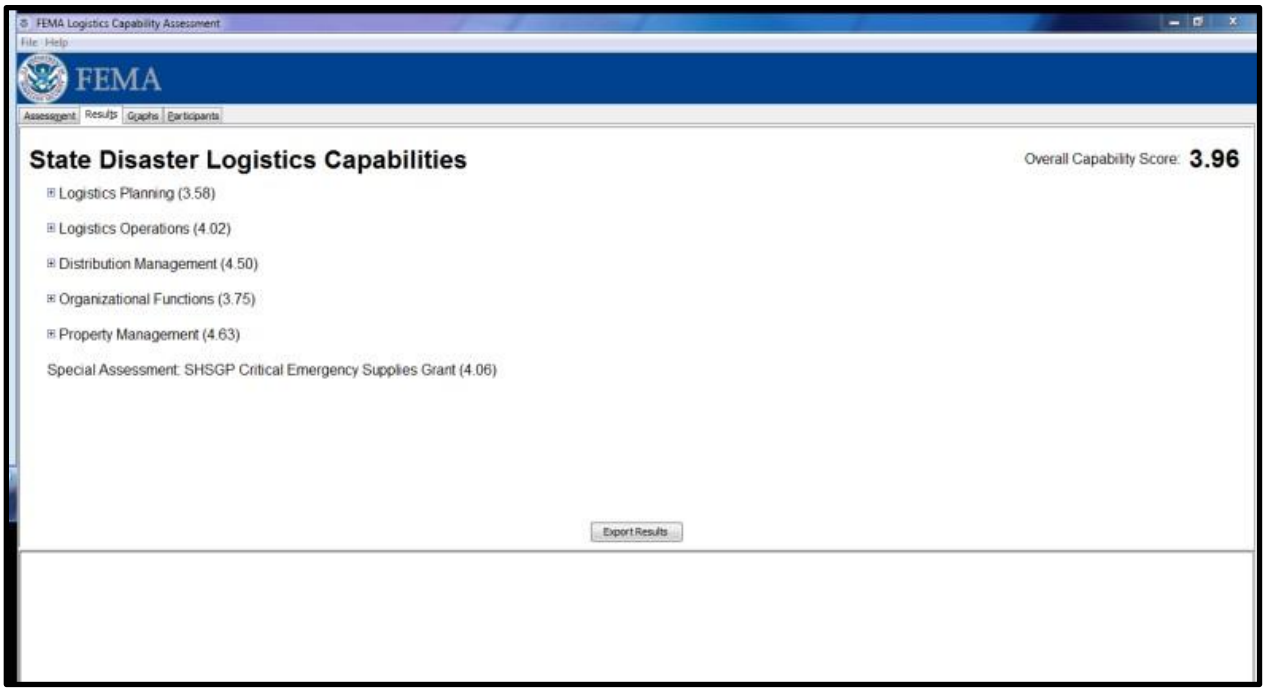


Figure 21: Sample Results Window Depicting a Special Assessment Category

5.5.3 Graphs Tab

LCAT generates multiple graphs based on the responses to LCAT questionnaires. Tabs are listed for a consolidated assessment, for each of the core competencies, and for any special assessment such as the SHSGP Critical Emergency Supplies Grant tab. Each axis of a graph is plotted according to the results for each functional capability; valuations are shown with a numerical depiction from 0 to 5. Visually, the graphs denote a level of readiness with a color coding for each functional capability being mapped to the circumference of the chart as shown in Figure 22. The legend for the corresponding colors is listed at the bottom of the screen.

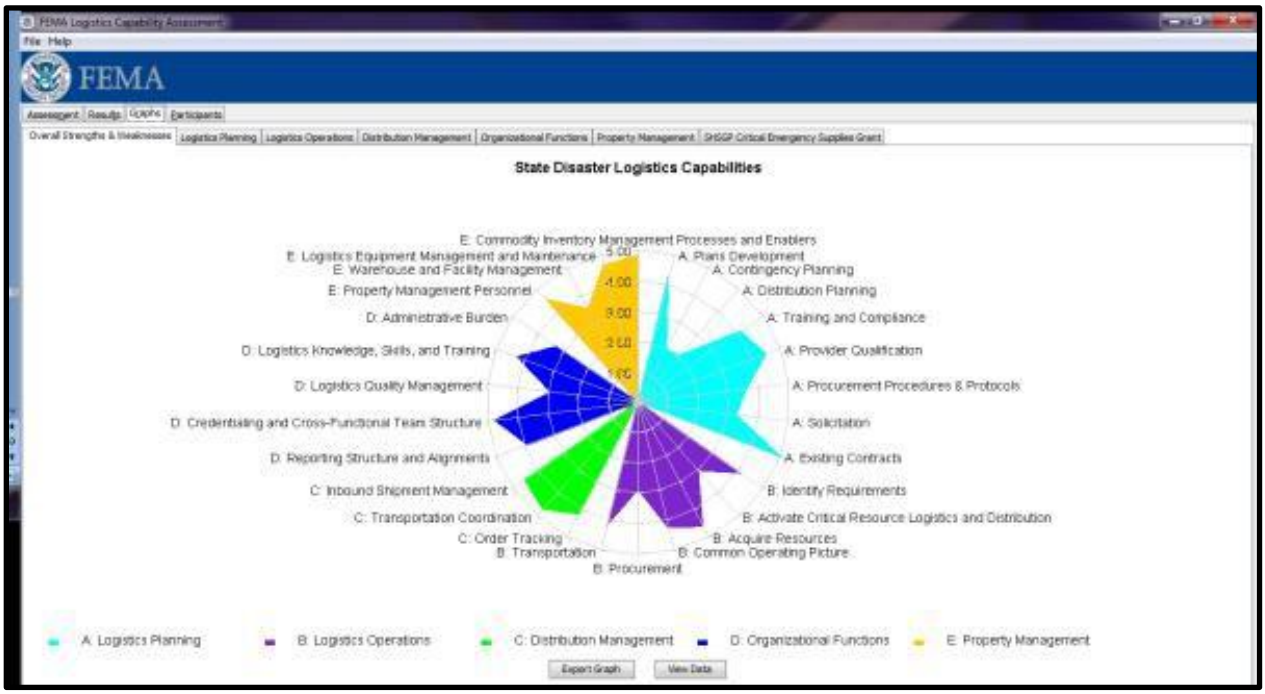


Figure 22: Sample Graphs Window Depicting Executive Dashboard Summary

An assessment breakdown is available for each core competency as shown in Figure 23.

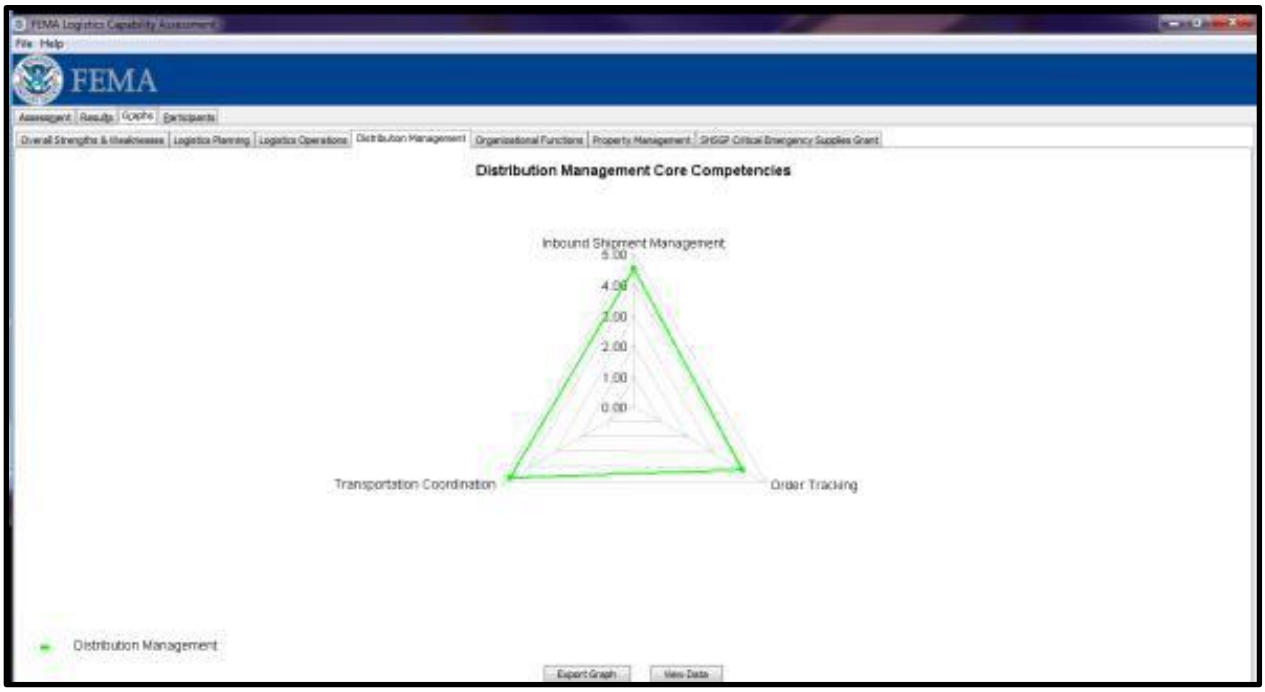


Figure 23: Sample Graphs Window Depicting Core Competency Assessment Breakdown

By selecting on the **View Data** button shown in the bottom center of Figure 24, a chart will appear that lists the results by functional capability and core competencies as shown in Figure 24. Close the box by selecting the X in the upper right corner.

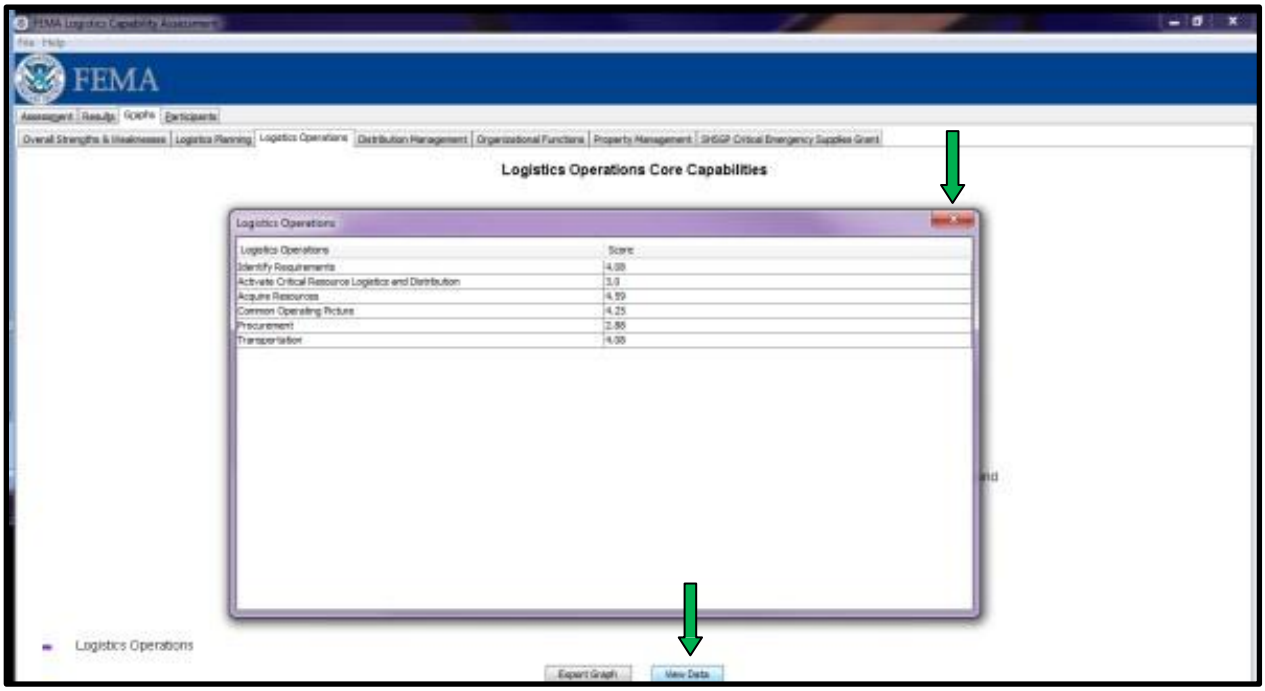


Figure 24: Sample Graphs Window Depicting Assessment Results Chart

Select the **Export Graph** button shown at the bottom of Figure 24 to save the graph to your computer and the **Save** box is displayed as shown in Figure 25. The **Save** box prompts for a file name under which to save the graph and a location in which the graph will be saved. Once entered, select the **Save** button.

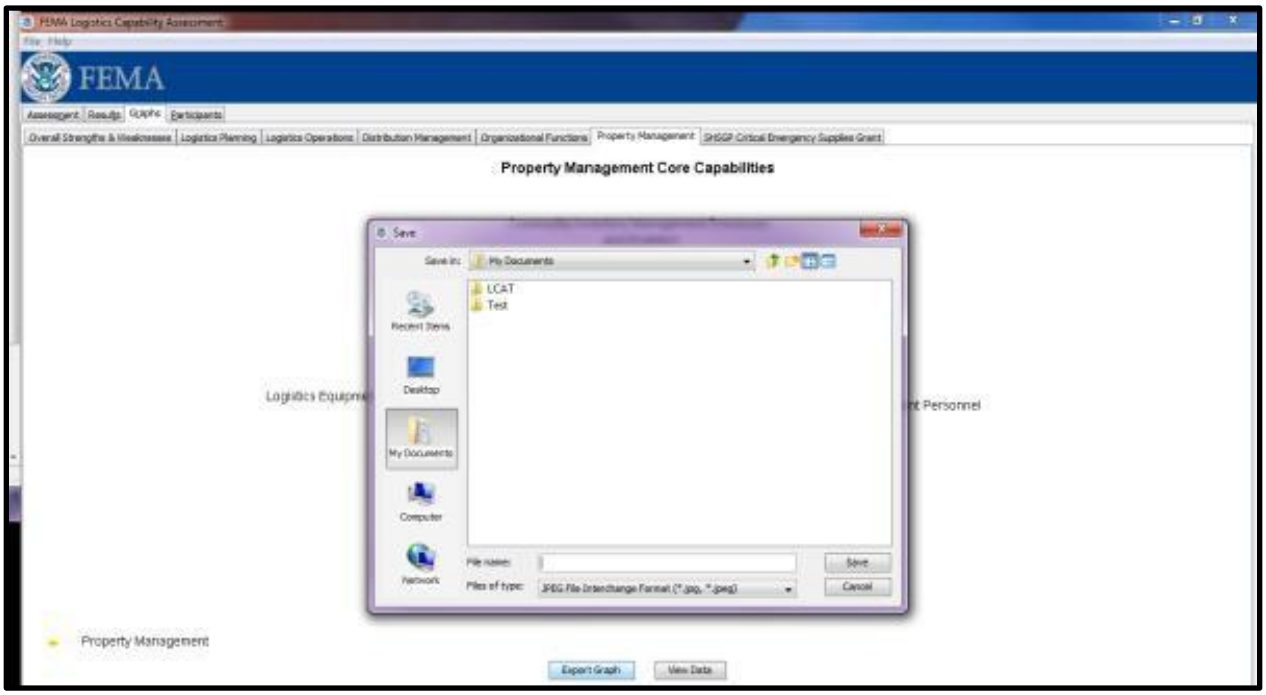


Figure 25: Sample Save Box Window

In the case of this example, the SHSGP Critical Emergency Supplies Grant tab is a functional capability within a core competency. Therefore, the pre-identified questions were pulled from the specific core competencies. The results are listed in a bar graph as depicted in Figure 26.

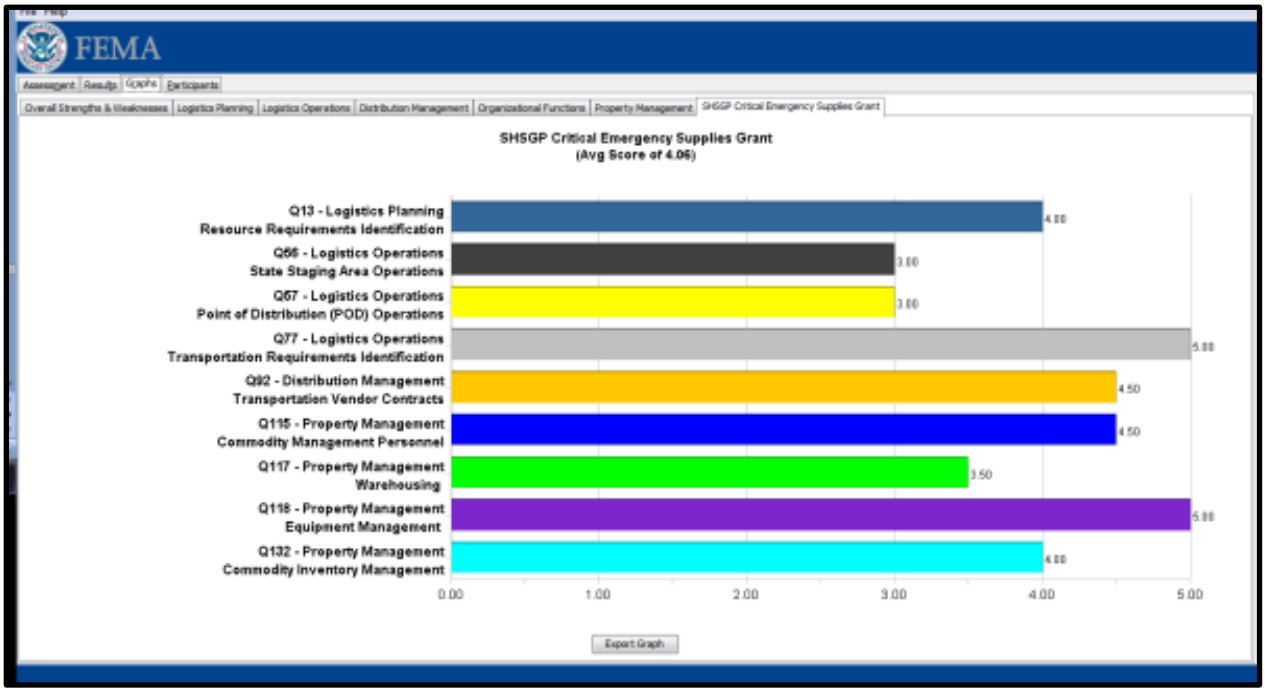


Figure 26: Sample Core Competency Bar Graph

5.5.4 Participants Tab

Lastly, the **Participants** tab provides a record of those involved in the workshop. This can be used to track contacts for obtaining additional information pertaining to a workshop. 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 or territory and date should also be filled in.

To end your LCAT session and save the file, select the **Save** or **Save As** option as shown in Figure 27.

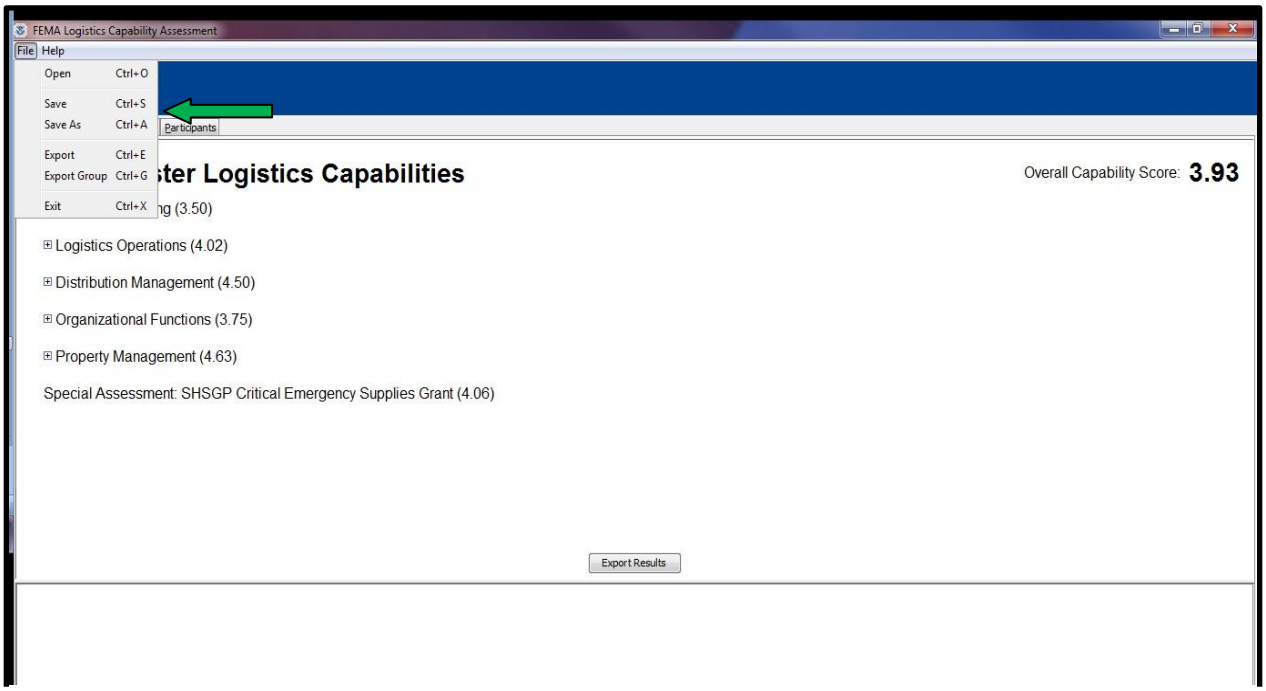


Figure 27: Sample Save and Save As Options

Once the **Save** or **Save As** option is selected the **Save** or **Save As** box is displayed as shown in Figure 28. Follow the directions to name and save the LCAT XML file to a location of your choice.

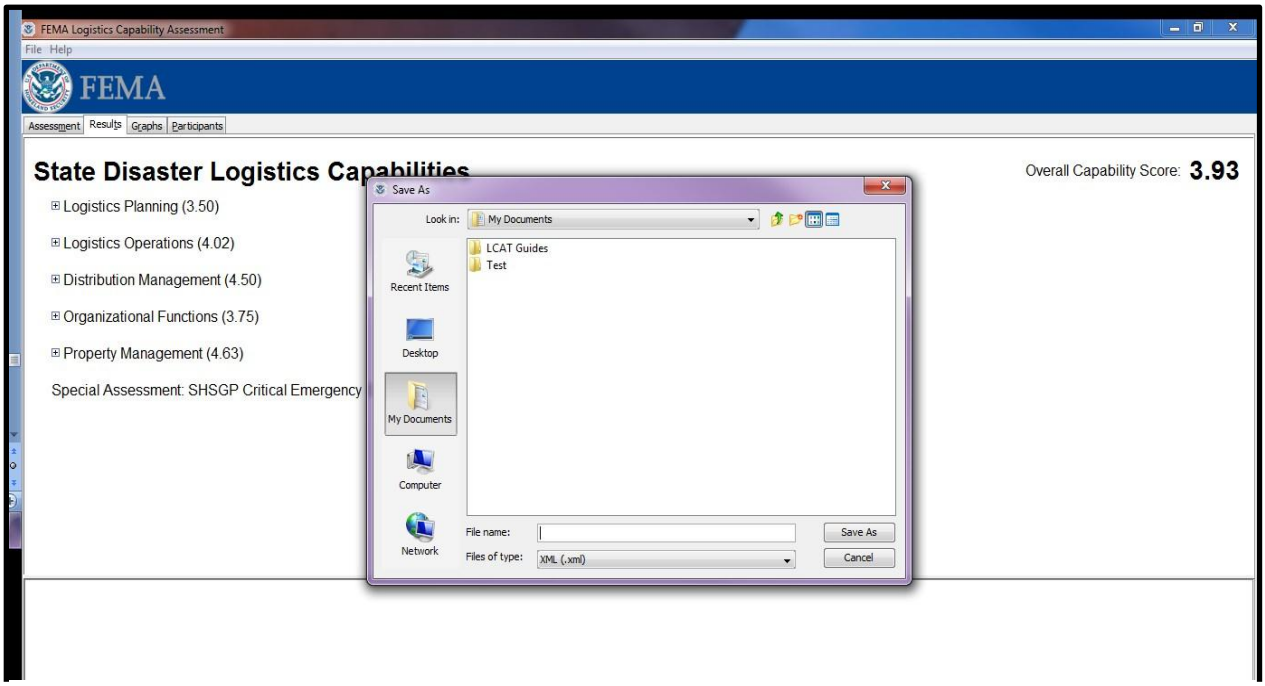


Figure 28: Sample Save Box Window

To export an HTML file of the complete assessment, as shown in Figure 29, select **File** and **Export**. When the Export window opens, select **Export** in the lower right portion of the window. Name and save the LCAT XML file to a location of your choice.

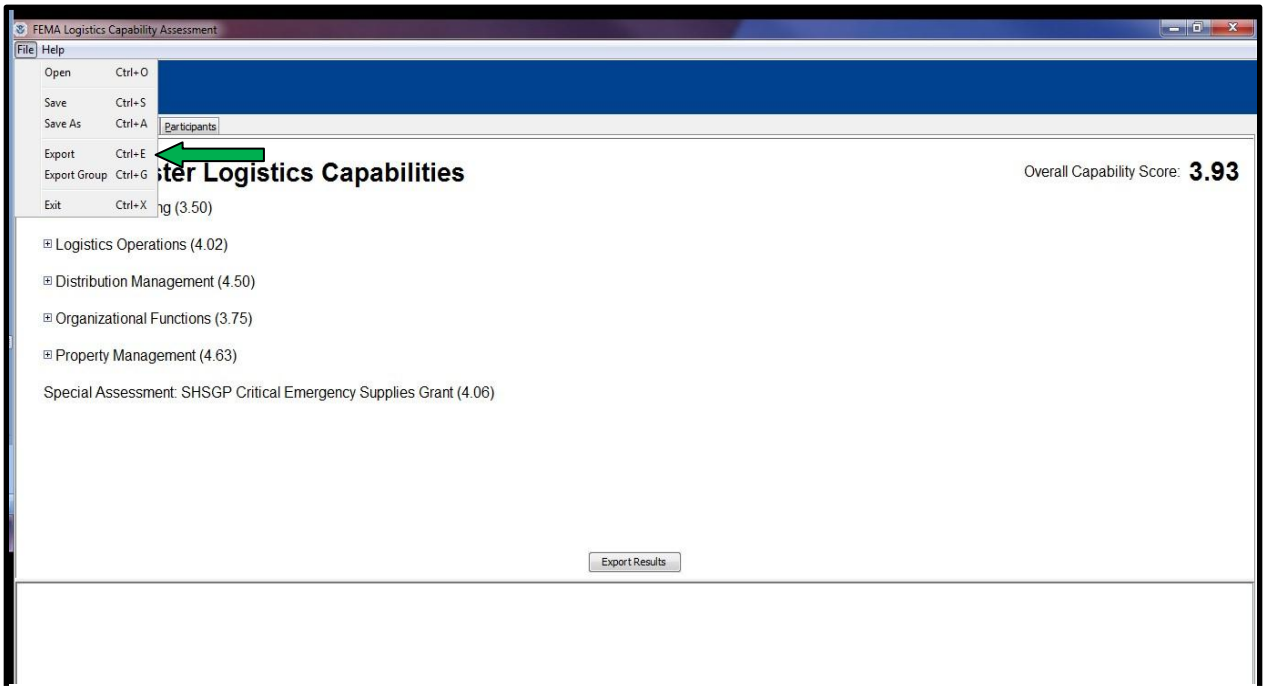
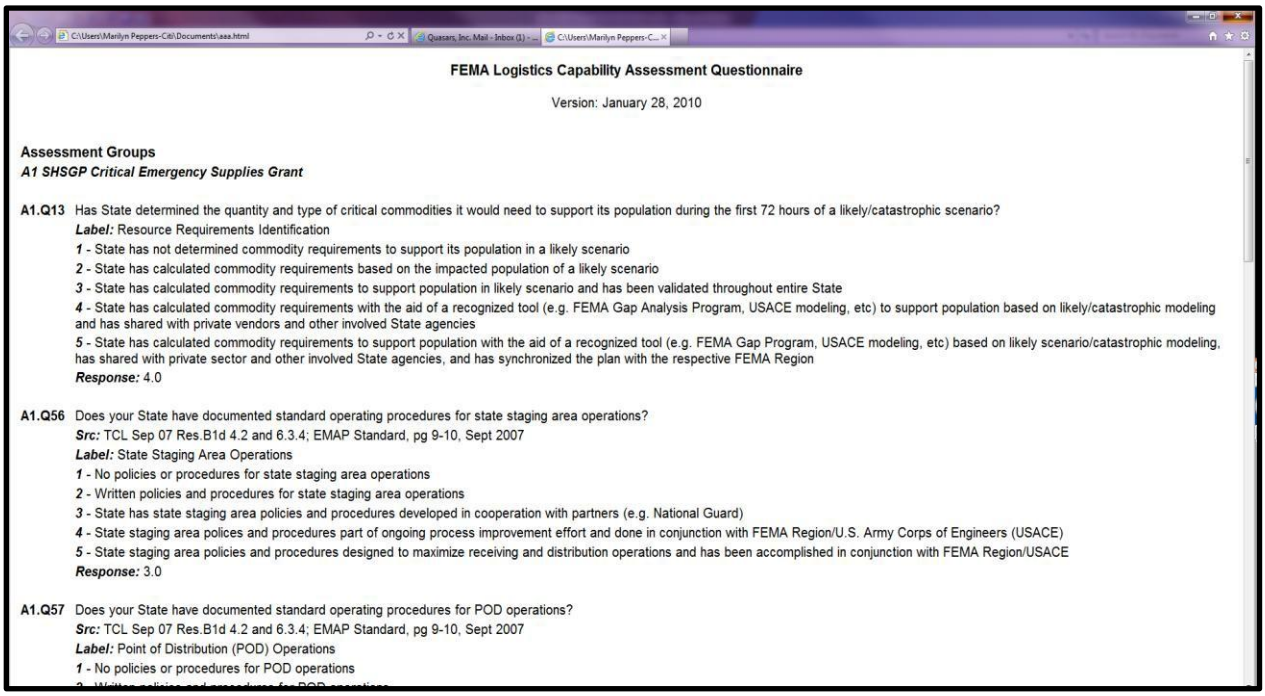


Figure 29: Sample Export Option

To export an HTML file of an assessment group, such as the SHSGP Critical Emergency Supplies Grant tab shown in Figure 30, select **File** and **Export Group**. When the Export window opens, select **Export** in the lower right portion of the window. Name and save the LCAT XML file to a location of your choice.



FEMA Logistics Capability Assessment Questionnaire

Version: January 28, 2010

Assessment Groups

A1 SHSGP Critical Emergency Supplies Grant

A1.Q13 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

Response: 4.0

A1.Q56 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

Response: 3.0

A1.Q57 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

Figure 30: Sample Groups Assessment Window

To close the program, select **File** and **Exit**, as shown in Figure 31.

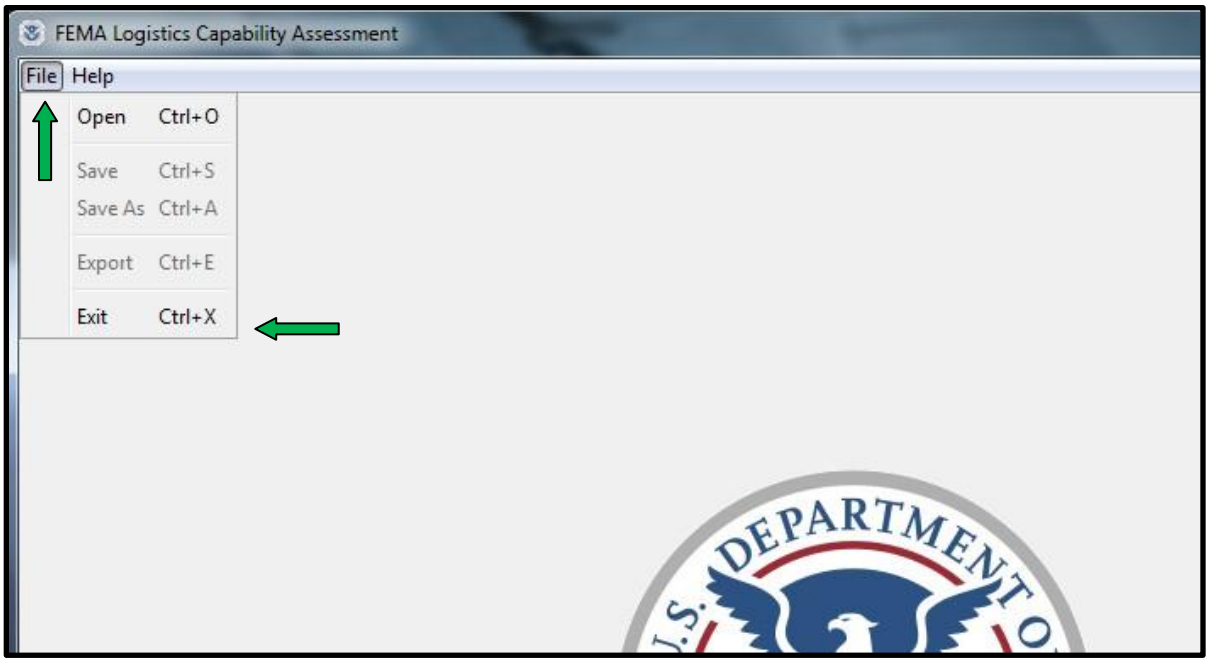


Figure 31: Sample FEMA Logistics Capability Assessment Window Depicting the Process of Exiting the Program

To learn about LCAT and request assistance select **Help** as shown in Figure 32.

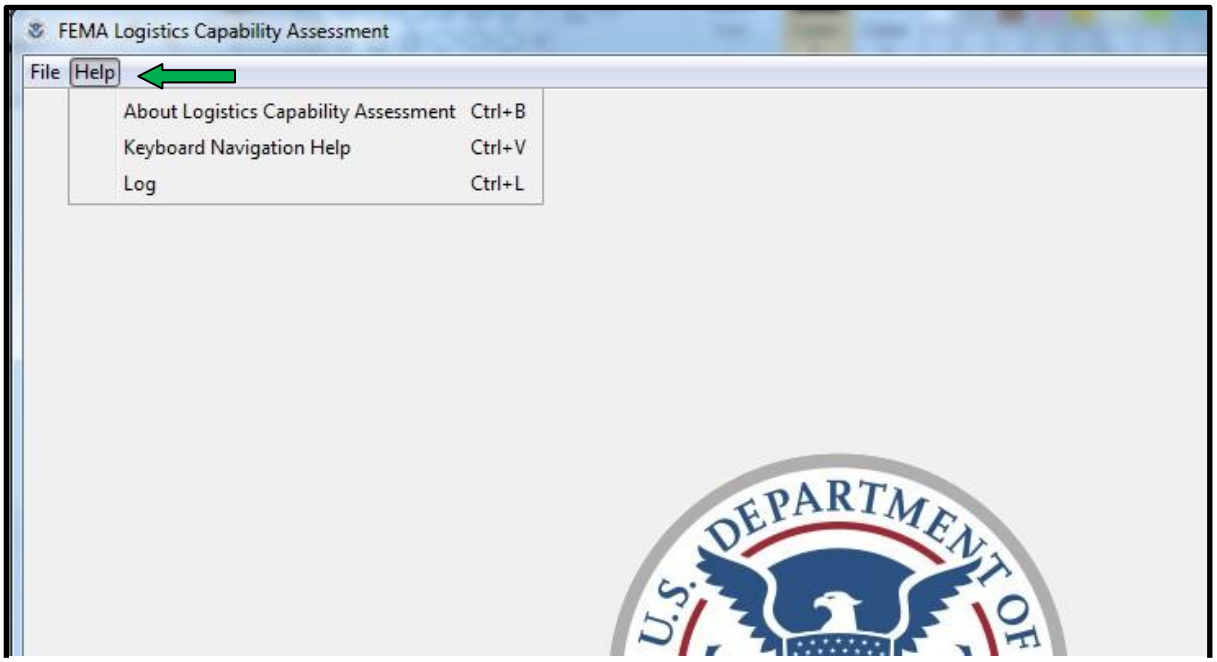


Figure 32: Sample FEMA Logistics Capability Assessment Window Depicting the Help Button

Select **About Logistics Capability Assessment** for copyright information and the version of LCAT that you are using. The About information is displayed as shown in Figure 33.

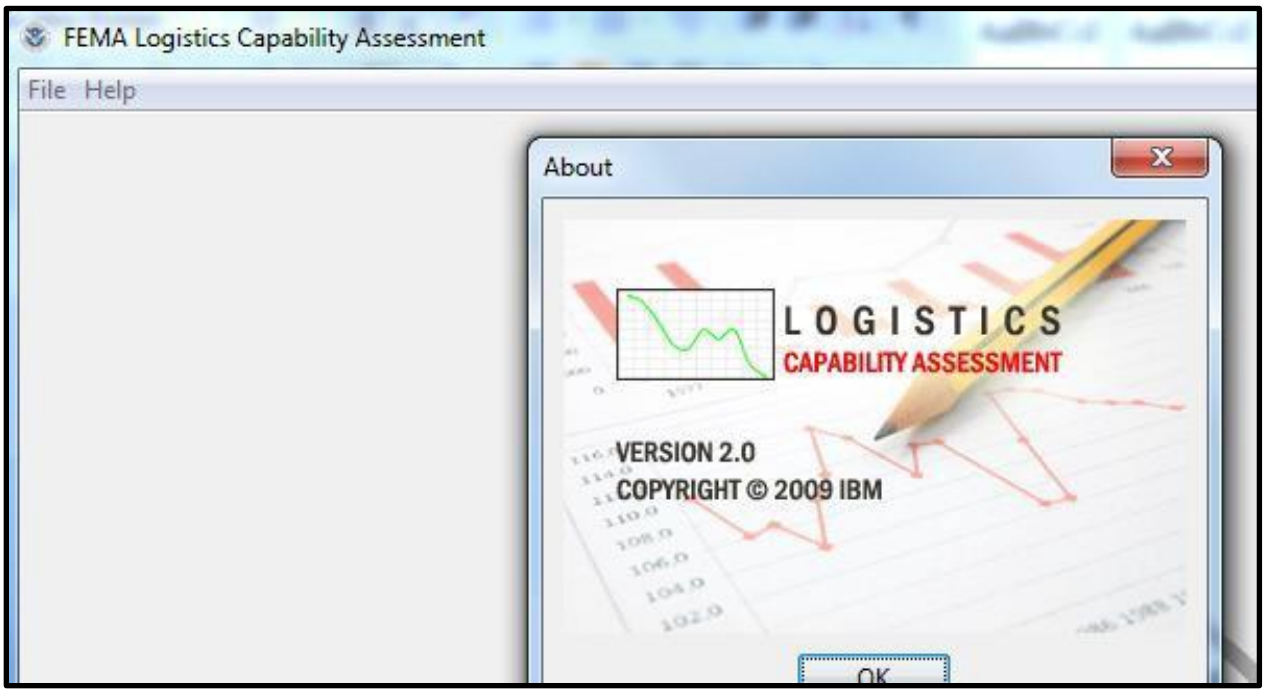


Figure 33: Sample About Information Window

Select **Keyboard Navigation Help** for information on keyboard features that can be used with LCAT, such as function and direction keys. A screen is displayed as shown in Figure 34.

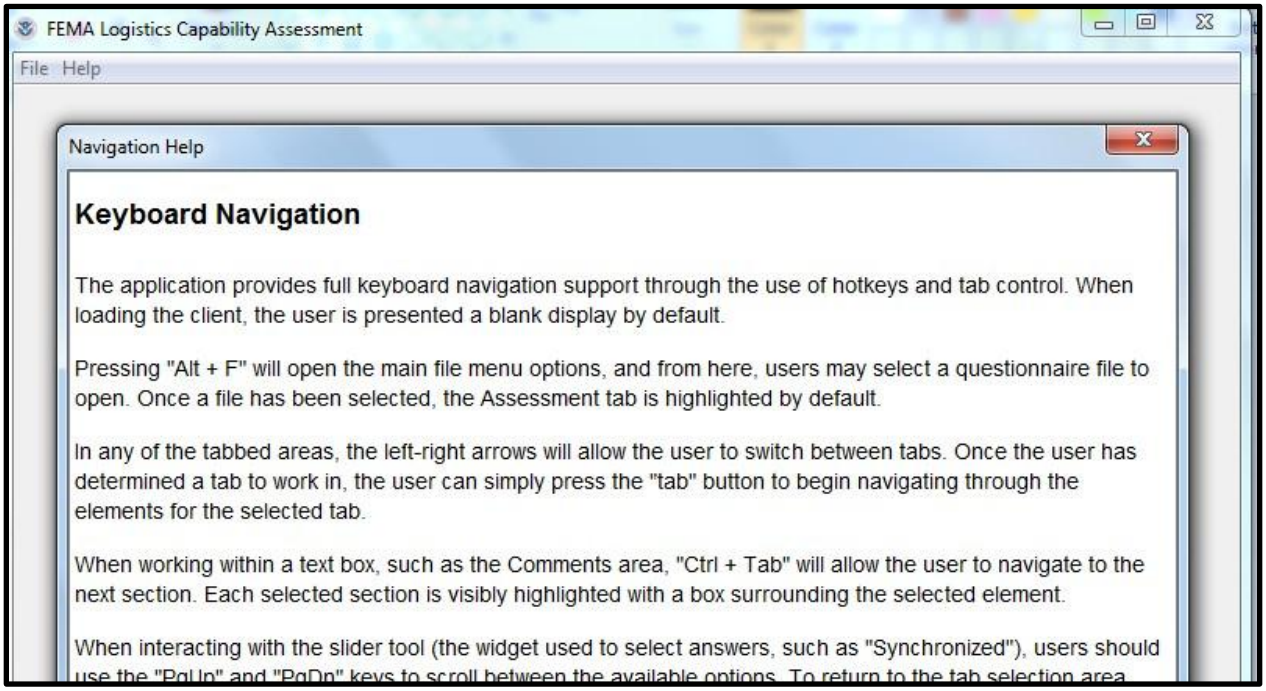


Figure 34: Sample Keyboard Navigation Help Window

Select **Log** to see the Java log statements as shown in Figure 35.

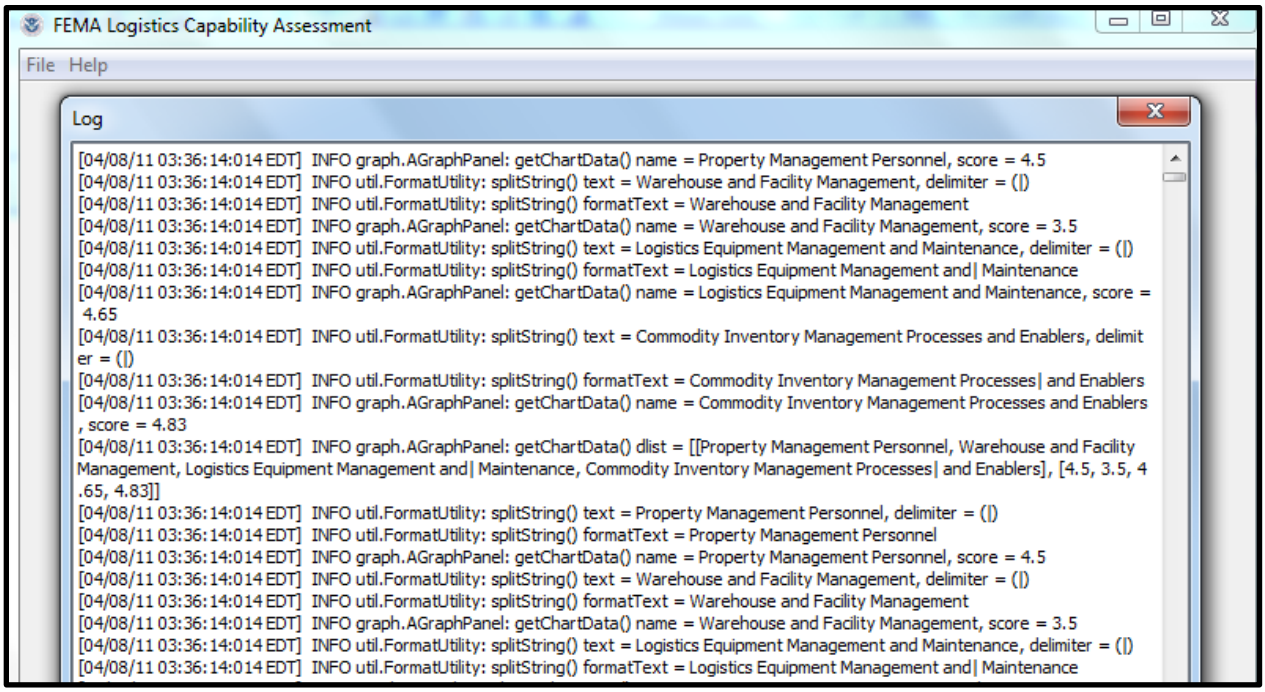


Figure 35: Sample Java Log Statements Window

If you have questions about how to use LCAT, please contact the appropriate state or regional LCAT manager for your organization.

6.0 LOGISTICS CAPABILITY ASSISTANCE TOOL QUESTIONNAIRE

This section addresses each of the questions posed in LCAT. After each question there is an ―intent‖ section that provides background on the question and its context to the relevant logistics core competency. The next section is listed as ―approach‖ and provides suggestions and helpful advice that you can consider when answering the question. Lastly, the ―Reference‖ lists topics or areas where you may find other information that relates to the question.

6.1 Logistics Planning Questions

The following section is comprised of questions taken directly from the Logistics Planning section of the LCAT questionnaire. They are numbered to correlate to the numbering in the questionnaire.

1. Logistics Planning

1.1 Plans Development

1.1.1 (Q1) What has your state identified as the most likely catastrophic disaster scenario and what are the impacts?

Intent: Identifying impacts of catastrophic disasters helps define resource and commodity requirements for specific hazards as well as identify those resources that are common to all hazards.

Capability:

Static	The state has not identified a catastrophic disaster scenario.
Functional	The state has identified the most likely catastrophic disaster scenario.
Horizontal Integration	The state has included input from state agencies for catastrophic scenario and its impacts.
External Collaboration	The state has included input from local and/or tribal, private vendor partners, and other government and nongovernment organizations.
Synchronized	The state has coordinated a catastrophic disaster scenario and impacts with FEMA Region to ensure coordinated efforts to address the scenario and impacts through proper planning.

Approach: It is recommended that you collect historical data, current incidents, and hazardous analysis for different Local Emergency Planning Committees (LEPC) within the state. From this data call, you should be able to perform a risk assessment for your state. However, remember the unexpected. Logistics planning must consider all hazards and threats. The threats may vary, but many of the effects are similar. Logistics planners should plan for commodities and equipment that is common to all and then look at resources needed to address specific hazards.

The planning process should identify resource needs based on the threats to and vulnerabilities of the state and develop standard and redundant strategies to obtain the needed resources. There are

a number of methodologies that can be used for identifying your risks, but all methodologies should:

Identify possible kinds of incidents and their related threats, risks, or consequences. (What might happen?)
Quantify the likelihood that an incident will occur. (How likely is it to happen?) Assess the most likely magnitude of any given incident. (How bad is it likely to be?) Assess the percent of the population at risk from any given incident. (How many people might be injured or killed?)
Assess the severity of impact or likely consequences of any given incident. (How much damage is there likely to be?)

A comprehensive risk assessment will provide a picture of the most likely incidents, their potential consequences, and needed resources.

Resources you identify should fall into seven general categories:

Personnel: Incident Command System (ICS) overhead or management staff, technical specialists, Emergency Operations Center (EOC) staff, operations staff, etc.
Facilities: Office space, shelters, warehouses, etc.
Equipment: Equipment, with or without the personnel needed to operate them.
Vehicles: Automobiles, buses, etc.
Teams: Groups of specially trained and equipped personnel.
Aircraft: Surveillance platforms, medical evacuation, or cargo configurations.
Supplies: Wide range of items, from potable water to plywood. It may not be possible to develop and maintain complete lists but specific items you identify can facilitate the planning and response processes.

Reference: National Incident Management System (NIMS), 2008, p. 35; National Preparedness Goal, 1st ed., 2011, p. 9; National Preparedness Guidelines (NPG), 2007, pp. 2, 21

1.1.2 (Q2) Does your state have a current formal logistics plan?

Intent: The state logistics plan should be uniform, consistent, and understood by partners throughout the state and the FEMA Region. This can be accomplished when the state reviews and exercises the plan.

Capability:

Static	The state has not developed a logistics plan.
Functional	The state Emergency Operations Plan (EOP) has a logistics component, but the logistics section has not been updated within the past 24 months.
Horizontal Integration	The state has a comprehensive logistics plan that has been adopted throughout the state emergency management agency and has been updated within the last 24 months.
External	The state has a comprehensive logistics plan that has been adopted throughout

Collaboration	the state and coordinated with local, state, federal, and private partners. The plan has been reviewed and updated within the last 24 months.
Synchronized	The state has a 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.

Approach: It is recommended that your logistics plan systematically identify pre-emergency resource requirements, shortfalls, and inventories consistent with a hazard identification risk assessment (HIRA).

Your logistics plan should include objectives and implementing procedures that address how to identify, locate, acquire, store, maintain, text, distribute, and account for services and materials needed to address the hazards identified by your state.

Objectives should be established by conducting periodic gap analyses and exercises. Your logistics plan should be exercised to identify shortfalls or changes within various agencies responsible for responding to situations requiring the plan be activated.

After the plan has been exercised or activated for an actual incident, all participants should provide after action input to be reviewed and used to update and improve your plan.

Resource requirements can be prioritized and addressed through a variety of initiatives that include budgeting, buy-in from senior leaders, mutual aid agreements, memorandums of understanding (MOU), contractual service agreements, or business partnerships and steps necessary to overcome any shortfalls.

The logistics plan includes procedures that address the following:

Activating appropriate processes prior to and during an emergency.
Dispatching resources prior to and during an emergency, including plans for logistics staging areas (LSA), warehouses, and points of distribution (POD) for commodities.
Deactivating or recalling resources during or after an emergency.
Maintaining a system and a plan for obtaining internal and external resources (mutual aid, federal assistance, contractual, and donations)

Logistics plans should also include donations management and address accepting, managing, and distributing solicited or unsolicited donated goods, materials, services, personnel, financial resources, and facilities.

Following plan reviews and exercise, changes to correct problems and shortfalls, plans should be formally approved by an appropriate level of jurisdiction emergency management leadership.

Reference: Planning, Donations and Volunteers, LSA, PODs, 1.1.1

1.1.3 (Q3) How does the state use modeling and/or geographic information system (GIS) analysis to determine logistics support requirements?

Intent: You should determine the amount of commodities (i.e., water and shelf stable meals), supporting staff, and equipment required to meet affected population needs. FEMA does not endorse a specific model to determine how many LSAs should be established during an incident. However, the Logistics section should plan for LSAs to support each area of operation.

Capability:

Static	The state does not utilize modeling to support identifying logistics support requirements.
Functional	The state has used modeling sources to identify logistics support requirements.
Horizontal Integration	The state uses modeling to determine logistics support requirements and identify and prioritize critical commodities. The results are coordinated within the state emergency management agency.
External Collaboration	The state logistics support requirement factors and prioritized critical commodities are based on modeling and collaboration with external partners, including local and tribal jurisdictions, private partners, and nongovernment organizations.
Synchronized	The state uses modeling such as Hazards U.S. (HAZUS) or U.S. Army Corps of Engineers (USACE) tools to determine planning factors (such as identification and prioritization of critical commodities), identify logistics support requirements, and to coordinate results and planning factors with FEMA Region.

Approach: To assess whether the state can adequately determine the amount of commodities and support required to meet affected population needs consider the following:

Determine what resources, such as bottled water or shelf stable meals, are required. These requirements should be based on current and/or historical data.

Determine which modeling source you should use to determine the amount of commodities that may be required during a disaster response.

The modeling source should allow you to determine support requirements, such as the number of LSAs and PODs that may need to be established and the support personnel and equipment required to operate them.

Reference: Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101, 2009, p. 3-11

1.1.4 (Q4) Does your state logistics plan support an all-hazards EOP that addresses the eight key scenarios described in National Response Framework (NRF)? The eight key scenarios are explosive attack, nuclear attack, radiological attack, biological attack, chemical attack, natural disaster, cyber attack and pandemic influenza.

Intent: Using the eight key scenarios as a basis for planning should help identify and define resource and commodity requirements and identify resources that are common to all scenarios.

Capability:

Static	The state does not consider the eight scenarios when developing plans.
Functional	The state logistics plan addresses one or more of the eight key scenarios.
Horizontal Integration	The logistics plan addresses or can support all eight key scenarios.
External Collaboration	The state support plan identifies other organization, agency, region, or state plans that can be a basis of planning integration or mutual support.
Synchronized	The state support plan includes an established collaboration process with other regional plan holders at the state and federal level in order to integrate with those plans.

Approach: The state should conduct various levels of exercises to determine the comprehensiveness of the plan. These exercises should include the assigned staff, required resources, and concepts for deployment, sustainment, and demobilization. The exercises should also address timelines and criteria for achieving state objectives.

Utilizing participant feedback, the state should update and improve the overall plan by developing training based on lessons learned. The training should result in improved response consistency, interoperability, and collaboration for all partners involved.

It is not necessary to have multiple plans specific to each scenario; your logistics plan should be comprehensive enough to address unique and basic aspects of the planning scenarios. The result should be an all-hazards plan.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009; NPG, 2007, Annex B, item 2; National Response Framework, 2008, pp. 74-75;

1.1.5 (Q5) How is (are) your state logistics plan(s) reviewed?

Intent: Logistics plans should be reviewed and updated annually and following any incidents for which the plans apply.

Capability:

Static	The plans are not or are infrequently reviewed or updated for logistics support feasibility.
Functional	The plans are reviewed periodically.
Horizontal	The state logisticians established a recurring timeline to review the plan(s).

Integration	
External Collaboration	The state logisticians include input from local, tribal, private partners, and other government and nongovernment organizations during logistics plan reviews.
Synchronized	The state logistics plan(s) is reviewed for compliance with governmental regulations and policies at least annually or more often as required by state protocol. The plan(s) is evaluated through exercises, training, real world incidents and/or AARs and coordinated with the FEMA Regional office.

Approach: It is recommended that you review your logistics plans to ensure that they are current and feasible and that they meet the needs of all internal and external stakeholders.

In conjunction with scheduled reviews, training and exercises should be conducted to evaluate the plans. After an incident, AARs should be developed based on feedback from incident participants. AARs should identify areas of strength and areas for improvement and include recommendations based on the identified areas.

Reference: National Preparedness Goal, 1st ed., 2011, p. 10

1.1.6 (Q6) How does the state exercise your logistics support plan?

Intent: States conduct exercises to determine operational knowledge, expertise, and experience levels. The state is responsible for determining whether or not it has adequately assessed state logistics capabilities.

Capability:

Static	The logistics concept of support plan is not exercised.
Functional	The logistics concept of support plan is exercised periodically.
Horizontal Integration	The logistics concept of support plan is exercised at the state level.
External Collaboration	The logistics plan is exercised with local, county, and tribal jurisdiction and private, government, and nongovernment partners.
Synchronized	The logistics plan is exercised on a recurring and documented schedule and includes FEMA Region participation. After action reports and lessons learned are produced and use to update and improve the plan.

Approach: Exercising the logistics support plan tests planning assumptions, processes and procedures, and provides practical experience required to support a disaster response operation without the consequences associated with a real incident.

The Homeland Security Exercise and Evaluation Program (HSEEP) model for conducting exercises should be beneficial. Conducting exercises can increase confidence and can be used as a basis to update and improve the logistics support plan.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009, pp. 5-12, C-4; NPG, 2007, pp. 5-6; National Preparedness Goal, 1st ed., 2011, p. 14

1.1.7 (Q7) How is your state logistics plan incorporated into the overall emergency operations plan? Is the plan feasible?

Intent: Incorporating logistics planning with operational planning ensures that operational end states are logistically feasible, supportable, and cost effective.

As an example, an operational objective may be to provide three hot meals per day. However, it may be feasible to provide two meals ready to eat (MRE) per day due to a lack of resources, such as kitchens and transportation.

Logistics feasibility has a direct impact on the how effective the state operations plan is. Therefore, the state logistics plan should be included in state exercises to determine the feasibility of the overall plan. This ensures that all participants understand logistics aspects and roles that local, tribal, private, and federal partners play.

Capability:

Static	Logistics considerations are not incorporated into operations planning.
Functional	Operations staff is aware of logistics considerations, shortfalls, gaps, and workarounds.
Horizontal Integration	Operations staff considers logistics planning factors such as logistics capabilities, shortfalls, or workarounds, when developing response plans. Logistics capabilities are exercised to ensure plan feasibility.
External Collaboration	The EOP considers logistics factors from local, tribal, private, government, and nongovernment support partners. The EOP also evaluates these factors during routine plan reviews.
Synchronized	Logistics aspects of the EOP are exercised in conjunction with the overall operations plan and include external partner and FEMA Region participation. Exercise results are captured and used as the basis to update the EOP. The state also adheres to Resource Management and Logistics Standards 4.8.2 and 4.8.3 of the Emergency Management Accreditation Program..

Approach: It is recommended that your logistics plan be evaluated in the context of operational plan objectives to determine the gap between what the plan requires and actual capabilities and resource availability. This review should be completed on a recurring basis.

You should identify requirements and shortfalls through a comprehensive assessment. As an example, requirements could include feeding the affected population and determining if the plan for providing food and water is feasible. If the objective is to feed an affected population, can you accomplish this goal by establishing an LSA and supporting local PODs with water and shelf-stable meals after the first 24 hours?

Resource requirements and shortfalls should be prioritized, considering a variety of initiatives. Can you buy commodities ahead of time and store them for use? Can you get it through mutual aid such as the Emergency Management Assistance Compact (EMAC)? Can you contract for it or develop private partnerships?

Conduct various levels of exercises from tabletop to functional to full scale, and utilize the lessons learned and participant feedback to update and improve the plans to test the effectiveness of the overall EOP. It should also identify shortfalls and opportunities to correct problems or shortfalls.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009, pp. 6-5, C-11; Emergency Management Accreditation Program (EMAP), Emergency Management Standard (EMS), 2010, pp. 9-10

1.1.8 (Q8) How does the state Emergency Operations Plan (EOP) meet requirements outlined in Comprehensive Preparedness Guidance (CPG) 101?

Intent: CPG 101 provides guidance for developing EOPs, to include resource management formats and annexes. It promotes a common understanding of risk, informed planning, and decision making fundamentals to help planners examine a hazard or threat and produce integrated, coordinated, and synchronized plans. CPG 101 standardizes the planning process across all phases of emergency management and homeland security mission areas to develop and maintain comprehensive all-hazards, all-threats emergency plans.

Capability:

Static	The state is not aware of the CPG 101.
Functional	The state is aware of the CPG 101 and has developed an EOP.
Horizontal Integration	The state has established response functions that support its CONOPS, government functions, policies, and resource base.
External Collaboration	The state EOP includes organizational taskings and instructions to accomplish agreed upon actions in the state or regions.
Synchronized	The state EOP addresses how logistics concept, plans, and procedures support operations.

Approach: CPG 101 integrates key concepts from national preparedness policies and doctrines, and lessons learned from disasters, major incidents, national assessments, and grant programs. The guidance emphasizes that the planning process is as important as the resulting document. Plans are not usually scripts to be followed to the letter, but should be flexible and adaptable to actual situations. Effective plans convey the goals and objectives of the intended operation and the actions needed to achieve them. Successful operations occur when organizations and individuals know their roles, understand how they fit into the overall plan, and are able to execute the plan.

During the planning process you should:

Conduct community based planning that includes all internal and external stakeholders, community leaders and the private sector in the planning process.
Develop a state risk and hazard analysis.
Identify resource demands by evaluating operational assumptions.
Use a process that ensures the overall plan supports a seamless transition from the development phase to the execution phase for any threat or hazard.
Involve all levels of government to insure your plan is integrated and synchronized.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009, pp. 5-1 through 5-14, pp. 6-1 through 6-11

1.1.9 (Q9) How does your state capture logistics response requirements for a catastrophic disaster?

Intent: States should establish resource management procedures and policies that are applicable to all levels of emergencies, including routine emergencies, within their state. A catastrophic (worst case) incident does not mean just working faster and harder than your normal response. Catastrophic logistics planning incorporates support for joint, multi-jurisdictional, and regional operations.

To plan for and assess logistics support required to respond to a catastrophic incident, operational areas or ESFs should identify requirements to accomplish their missions during the incident or scenario. Logistics planners should ensure that to the greatest extent possible, the missions are logistically feasible. Exercises should include appropriate ESFs, nongovernment organizations, volunteer organizations active in disaster (VOAD), private vendors, and FEMA Region personnel.

Capability:

Static	The state logistics organization is unaware of the catastrophic scenario response requirements.
Functional	The state logistics organization has identified some catastrophic incident response requirements.
Horizontal Integration	The state logistics organization is notified of operations or ESF logistics support requirements to support catastrophic planning scenarios, such as, equipment, commodes, required date and time, and location.
External Collaboration	The state logistics organization is notified of operations or ESF logistics support requirements to support catastrophic planning scenarios, such as, equipment, commodities, required date and time, and location. The support plan is coordinated with external partners, including private, government and nongovernment organizations and the FEMA Region.
Synchronized	The state logistics organization developed a support plan and coordinated the plan with the FEMA Region and FEMA Headquarters (HQ).

Approach: It is recommended that you evaluate resource requirements in the catastrophic scenarios based on your hazard analysis. The logistics planning staff should consider regional

cooperation, regional and interstate mutual aid, federal support, pre-incident contracting, and private public partnerships to meet the catastrophic resource needs.

You could coordinate with external resource providers that include private, government and nongovernment partners, and the FEMA Region. Requirements and actions should be prioritized and time phased. Developing a time phased response plan identifies where and where resources are needed, and when to order resources to meet the requirements. The time phased response plan should be incorporated into your catastrophic plan. The logistics planning staff should participate in any regional or catastrophic planning efforts.

Logistics planning should encompass regional cooperation, regional and interstate mutual aid, federal support, pre-incident contracting, and private/public partnerships to meet catastrophic resource requirements.

Planning should be assessed at various levels of training and exercises, from tabletop to full scale exercises and include ESFs, regional partners, nongovernment organizations, VOADs, private sector, and FEMA Region personnel. Plans and roles and responsibilities should be updated using lessons learned during training or exercises.

Reference: NPG, 2007, p. 21

1.1.10 (Q10) If your state has considered a catastrophic disaster scenario(s) and its impact, what type of catastrophic scenario response planning is accomplished?

Intent: Logistics support should be considered in catastrophic response planning. You should determine logistics requirements for catastrophic scenarios that affect your state. Determine support effectiveness by coordinating with adjacent states and regional partners and by conducting various levels of exercises. Lessons learned from exercises should be used to update and improve the plans.

Capability:

Static	A catastrophic incident was not defined.
Functional	A catastrophic scenario was developed, but no response plan was constructed.
Horizontal Integration	A catastrophic scenario response plan was developed and coordinated within the state emergency management agency.
External Collaboration	A catastrophic scenario response plan was developed with collaboration among local and tribal agencies, private partners, and other government and nongovernment organizations.
Synchronized	A catastrophic scenario response plan was developed with collaboration among local and tribal jurisdictions, private partners, government and nongovernment organizations, and the FEMA Region. The plan is exercised.

Approach: It is recommended that you evaluate resource requirements in the catastrophic scenarios based on your hazard analysis. The logistics planning staff should consider regional

cooperation, regional and interstate mutual aid, federal support, pre-incident contracting, and private public partnerships to meet the catastrophic resource needs.

You could coordinate with external resource providers that include private, government and nongovernment partners, and the FEMA Region. Requirements and actions should be prioritized and time phased. Developing a time phased response plan identifies when and where resources are needed, and when to order resources to meet the requirements. The time phased response plan should be incorporated into your catastrophic plan. The logistics planning staff should participate in any regional or catastrophic planning efforts.

Logistics planning should encompass regional cooperation, regional and interstate mutual aid, federal support, pre-incident contracting, and private/public partnerships to meet catastrophic resource requirements.

Planning should be assessed at various levels of training and exercises, from tabletop to full scale exercises and include ESFs, regional partners, nongovernment organizations, VOADs, private sector, and FEMA Region personnel. Plans and roles and responsibilities should be updated using lessons learned during training or exercises.

Reference: National Preparedness Goal, 1st ed., 2011, p. 9

1.1.11 (Q11) How does your state prepare to provide commodities to affected populations in all-hazard situations?

Intent: Answering this question should prompt you to consider requirements for life sustaining commodities, such as water and shelf-stable meals, and supporting staff and equipment that could be required to meet the needs of affected populations.

Capability:

Static	Commodity requirements are not assessed.
Functional	Commodity requirements are identified for an all-hazards planning approach.
Horizontal Integration	A state resource management or sourcing group identifies commodity sources and requisition procedures.
External Collaboration	Vendors are identified through an established procurement process to fulfill commodity requirements for all-hazards situations.
Synchronized	The state is fully prepared to provide required commodities for all-hazard scenarios, has established procedures for identifying commodity sources, is staffed to engage in commodity procurement, and has coordinated commodity shortfalls with the FEMA Region.

Approach: To determine whether or not the state has adequately addressed the resource procurement consider the following:

Identify the likely hazards and threats facing the state.
Determine the populations that could be affected.

Determine requirements needed within the first 72 hours and longer term requirements.
Determine the requirements for warehousing commodities.
Identify internal and external sources that could provide resource requirements.

You should be prepared to provide necessary commodities for all-hazard scenarios. It is recommended that you identify vendors for commodities designated as critical to disaster response and that you be capable of ordering and acquiring resources. You should pre-identify sources and address logistics staging and POD personnel and equipment requirements.

Reference: National Preparedness Goal, 1st ed., 2011, p. 10

1.1.12 (Q12) How does the state determine the quantities and types of critical commodities needed to support affected populations during the first 72 hours of a likely or catastrophic scenario?

Intent: It can take days for the logistics supply chain to support forecasted resource requirements regardless of the type of incident, whether for no notice incidents such as earthquakes or incidents with level of lead time such as hurricanes. The logistician determines, through planning, how to support commodity requirements, especially those critical to the first hours of a response effort. There are various methods the logistician can use to meet initial requirements such as stockpiling specific commodities, mutual aid from neighboring states, vendor managed inventories, or coordination with FEMA logistics.

Capability:

Static	Commodity requirements to support affected populations are not determined.
Functional	Commodity requirements are calculated based support required for the impacted population.
Horizontal Integration	Commodity requirements to support affected populations are calculated and have been validated throughout the state.
External Collaboration	Commodity requirements to support affected populations are calculated using a recognized tool (e.g. FEMA Gap Analysis Program, USACE modeling, etc.). The calculations are based on likely or catastrophic modeling and have shared with the private sector and other involved state agencies.
Synchronized	Commodity requirements to support affected populations are calculated using a recognized tool (e.g. FEMA Gap Analysis Program, USACE modeling, etc.). The calculations are based on likely or catastrophic modeling and have shared with the private sector and other involved state agencies and has synchronized the plan with the respective FEMA Region.

Approach: It is recommended that you determine the state's hazards and risks and use modeling, to determine how populations could be affected. Using USACE modeling, determine the resource requirements to support the first 72 hours. Consider the capability or ability to warehouse all or a portion of the initial requirement. Coordinate pre-incident contracts with commercial providers for requirements and shortfalls that your state cannot support.

Reference: EMAP, EMS, 2010, p. 9

1.1.13 (Q13) How does the state logistics plan address donated goods management?

Intent: Managing unsolicited goods, services, and cash donations after a significant incident occurs is important. These unsolicited donations are resources that can be distributed or could overwhelm the state and cause storage problems. A detailed donations management plan is essential to the planning process.

Capability:

Static	Logistics plans do not address unsolicited donations.
Functional	Plans identify some means of dealing with unsolicited donations.
Horizontal Integration	Plans include basic steps to manage donations at the state level.
External Collaboration	Plans for handing donated goods are coordinated with local and tribal jurisdiction, vendors, and nongovernment partners.
Synchronized	Logistics plans describe the detailed process used to manage unsolicited donations at all levels and include the use of the national Aidmatrix system. The state adheres to the Resource Management and Logistics Standard 4.8.6 of the Emergency Management Accreditation Program.

Approach: It is recommended that you allow volunteer organizations to manage their donations. Form a planning team that includes volunteer agencies, nongovernment organizations (NGO), and other stakeholders to develop a volunteer and donations management support annex to the logistics support plan. The annex should include how to facilitate collecting and tracking offers and how to handle matching offers.

It is recommended that your plan:

Identify and describe actions to collect, sort, manage, and distribute in-kind contributions, including methods for disposing of or refusing unacceptable goods.
Identify and describe actions to coordinate donation management issues with neighboring districts and the state's donations management system.
Describe the process used to tell the general public about the donations program (e.g., instructions on items to bring and not bring, scheduled drop off sites and times, how to donate cash), including a process for issuing routine updates.
Identify and describe actions to handle a spontaneous influx of volunteers.
Identify and describe actions to receive, manage, and distribute cash contributions.
Pre-identify sites that could be used to sort and manage in-kind contributions (e.g., private warehouses and government facilities).

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009, p. C-200; EMAP, EMS, 2010, pp. 9-10

1.1.14 (Q14) How does the state logistics plan address the use of volunteers?

Intent: As with unsolicited donations, spontaneous and unaffiliated volunteers can interfere with recovery if not properly managed and integrated into ongoing operations. Proper planning can be essential in managing unaffiliated and spontaneous volunteers.

Capability:

Static	Logistics plans do not include volunteer identification or management.
Functional	Logistics plans include how volunteers are identified.
Horizontal Integration	Logistics plans describe how to identify and utilize volunteers and the concept for their support.
External Collaboration	The state works with external volunteer organizations to plan how to integrate volunteers.
Synchronized	Logistics plans describe the process to identify, deploy, utilize, support, and demobilize affiliated and spontaneous unaffiliated volunteers.

Approach: It is recommended that donations and volunteer plans are combined into one document. The state should have a method to manage unsolicited donations at all levels and use the national Aidmatrix system to manage unaffiliated volunteers and organizations and how to apply their resources to incident response and recovery activities.

Identify and describe actions required to establish and manage volunteers to include setting up toll free hotlines, creating data bases, and appointing a liaison.
Identify and describe actions that could verify or vet individual volunteers and volunteer organizations (i.e., local churches and civic or social groups).

Having volunteers complete a detailed sign-in sheet listing their past disaster response experiences assists in identifying capabilities within the potential volunteer cadre. Assigning volunteers that have proven experience could be helpful in meeting additional staffing needs. However, volunteers should be monitored by trained staff.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2009, p. C-20

1.1.15 (Q15) Have safety equipment and procedures been addressed in logistics plans and operational activities?

Intent: Maintain a safe work environment for staff and volunteers at the PODs and LSAs. Train a cadre of personnel to serve as safety officers. Review federal, state, and local Occupational Safety and Health Administration (OSHA) safety requirements and ensure that all safety requirements are met. Provide training and licensing renewal as recommended and required.

Capability:

Static	Safety provisions are not addressed in state plans and operational activities.
Functional	The state uses informal methods to assure appropriate safety provisions are

	available.
Horizontal Integration	The state has formal plans and methods for distributing safety related items to distribution sites.
External Collaboration	The state conducts training for distribution site personnel and exercises with local and tribal organizations to assure safety equipment and other items available and accounted for at distribution sites.
Synchronized	The state conducts regular safety training for distribution site personnel and conducts regular reviews of safety resources available to distribution sites.

Approach: It is recommended that you evaluate the risks associated with logistics facilities and determine the level of training needed for staff to safely operate equipment. Training can include printed equipment operating handouts to formal certification and licensing for certain types of equipment, such as, forklifts and certified personal protective equipment (PPE), self contained breathing apparatuses, and scanners.

The FEMA Independent Study (IS) Course, IS-26 FEMA/USACE Guide to Points of Distribution, provides instructions for POD operations. The free course is available through the Emergency Management Institute (EMI).

Reference: National Preparedness Goal, 1st ed., 2011, p. 13

1.1.16 (Q16) What security provisions are made for distribution points?

Intent: PODs are established to provide immediate life sustaining commodities following an incident that leaves the infrastructure incapable of providing water or food to the affected population. The intent of this question is to determine if the state's POD operations are safe and protected.

POD security should be a local responsibility and protecting POD facilities, assets, resources, and staff following an incident is important to the local jurisdiction. Some people may view the incident as an opportunity for personal gain or to profit from the misfortune of others. Commodities could be stolen, leading to more serious problems, such as panic, in a population that perceives supplies could be exhausted or that people are getting preferential treatment.

The disaster incident could also be severe enough that local law enforcement and security resources could be inadequate. Therefore, local jurisdictions should be prepared to request additional security when POD operations start if they are needed.

Capability:

Static	The state does not ensure that distribution points are protected.
Functional	The state has an informal review process to ensure that personnel are available to protect distribution sites.
Horizontal Integration	The state law enforcement is on hand in the event they are needed to protect distribution points.

External Collaboration	State law enforcement, contracted security personnel, and other security personnel are vetted with the local and tribal organizations.
Synchronized	The state conducts regular training and exercises to ensure state law enforcement, contracted security personnel, and other security personnel understand their roles in protecting distribution sites. Personnel are vetted with the local and tribal jurisdictions.

Approach: It is recommended that the local jurisdiction address POD security and traffic concerns as evaluated by local law enforcement in logistics or operations plans. Shortfalls and work arounds should be identified. As the response progresses, security should be continually evaluated and security resources reassigned or additional security resources requested from the state.

Reference: National Preparedness Goal, 1st ed., 2011, p. 9

1.1.17 (Q17) How are logistics requirements identified for evacuating local residents and visitors and receiving evacuees from other jurisdictions or states?

Intent: The state should be prepared for logistical challenges associated with catastrophic mass evacuations including, but not limited to sheltering, mass feeding, and transportation. You should determine if your state has adequate processes and resources to evacuate individuals or to accept disaster survivors from other jurisdictions or states**.**

Capability:

Static	Logistics requirements for evacuating citizens and receiving disaster survivors are not identified.
Functional	Logistics requirements for evacuating citizens and receiving disaster survivors are identified, but not sourced.
Horizontal Integration	Logistics requirements for evacuating citizens and receiving disaster survivors from other states are outlined in evacuation plans.
External Collaboration	Logistics requirements for evacuating citizens and receiving evacuees from other states and sources of support are identified in evacuation plans.
Synchronized	Logistics requirements for evacuations and survivor reception are identified, contracts are in place, and the plan has been exercised.

Approach: There are two types of evacuees, self evacuees and government assisted evacuees. The state should be prepared to handle an influx of both. By working with local government, tribal agencies, the private sector, other government and nongovernment organizations, VOADs, and FEMA Regions, create a task force concept to identify and exercise a mass evacuation plan and include support requirements for the evacuees and survivors. Exercising the long term mass sheltering plan is a critical part of disaster response preparedness. One exercise scenario could be a response following a catastrophic incident within your state or another state, with your state acting as host for large numbers of evacuees.

Identify the projected number of evacuees that you will expect to move and the number that will require care.
Identify the projected number of evacuees from other states that could be expected to arrive in your state and the number that will require care.
Pre-identify locations to stage required resources to support the evacuees and survivors.
Conduct route planning.
Identify staging and mobilization areas and determine how to inform the public of these locations.
Identify transportation requirements and providers.
Identify fuel requirements.
Identify feeding resources (food service or supplies), shelter supplies (cots, blankets, etc.), and equipment.
Identify staff and support requirements.

Reference: National Preparedness Goal, 1st ed., 2011, pp. 12, 14

1.2 Contingency Planning

1.2.1 (Q18) How are risks associated with logistics plans addressed?

Intent: States should address the risks associated with executing logistics plans. Some examples of risks are contractor non-performance, warehouses in the impacted area, critical infrastructure failure, inaccessible pre-identified POD locations, and communication challenges. States should identify and evaluate similar potential risks prior to an incident and base plans on credible threats, hazards, vulnerabilities, and consequences. States should use risk reduction strategies to minimize exposure to risks.

Capability:

Static	No risks associated with logistics planning factors are identified.
Functional	Some risks associated with logistics planning factors are identified.
Horizontal Integration	Foreseeable state level logistics planning factor risks are identified and workarounds are established.
External Collaboration	Logistics planning risks for local, tribal, private sector, government, and nongovernment partners are identified and workarounds are established and exercised.
Synchronized	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.

Approach: The DHS Lessons Learned Information Sharing Website provides information about best practices and lessons learned. It is recommended that you work with subject-matter experts for each risk scenario, consider alternate and backup actions, and address those actions in your logistics plans. Actions to mitigate risk could be used as interim solutions until primary capability shortfalls or limiting factors are resolved.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-7, 4-11; NPG, 2007, p. 6

1.2.2 (Q19) How does your state identify logistics contingency response resource shortfalls?

Intent: Few, if any, states can afford to acquire every piece of equipment or commodity needed for all incidents. Evaluate resource requirements that might be needed for the hazards recognized in the HIRA, Comprehensive Emergency Management Plan (CEMP) EOP and the eight key scenarios outlined in the NRF.

Capability:

Static	Logistics shortfalls are not identified.
Functional	Some logistics shortfalls are identified.
Horizontal Integration	The state identifies equipment and commodity shortfalls (water, meals, ice, tarps, generators, etc.).
External Collaboration	The state coordinates with local and tribal jurisdictions, the private sector, and government, and nongovernment organizations to identify shortfalls and to address filling shortfalls or developing workarounds.
Synchronized	The state works with the FEMA Region to identify disaster response logistics shortfalls and develops an action plan to meet shortfall needs. The state also utilizes the Hazard Mitigation Grant Program (HMGP) as a funding avenue for mitigation planning and adheres to Resource Management and Logistics Standards 4.8.2 and 4.8.3 of the EMAP.

Approach: It is recommended that logisticians identify the state capabilities using mutual aid and pre-incident contractors, identify required resources, and determine if there will be shortfalls. Using this information, logisticians could request resources from federal agencies, mutual aid, volunteer agencies, or the private sector.

Reference: Local Multi-hazard Mitigation Planning Guidance, 2008, pp. 3-5; EMAP, EMS, 2010, p. 9

1.3 Distribution Planning

1.3.1 (Q20) What access to information on post-disaster damage to transportation infrastructure does your state logistics team have?

Intent: A degraded transportation infrastructure can impact your state's ability to get resources to where they are most needed. To obtain required resources and commodities logisticians should be aware of the effect on transportation and distribution infrastructure, such as, roads, rail, ports, and air facilities. A COP offers a standard overview of an incident, providing incident information that enables logisticians to make effective, consistent, and timely decisions. This information also allows logisticians to forecast delays, communicate with incoming vendors, and

establish alternative delivery or transportation modes. Working with other ESFs can help set priorities for clearing roads and restoring other transportation infrastructure.

Capability:

Static	The state logistics team does not have visibility of transportation infrastructure post-incident reconnaissance or assessments.
Functional	The state logistics team has a point of contact or knows where to access post-incident transportation infrastructure information.
Horizontal Integration	The state logistics team can access information on main artery infrastructure availability e.g., interstates and U.S. highways.
External Collaboration	Transportation infrastructure post-incident assessment information is accessible for all transportation and distribution capabilities and workarounds and or re-routing processes are available.
Synchronized	Transportation infrastructure post-incident assessment capabilities are accessible using Geographical Information System (GIS) technology and data is coordinated with disaster logistics operations and distribution management organizations.

Approach: State logistics staff should have access to the COP and should train and conduct exercises to ensure that they understand how it operates.

The planning section is typically responsible for ensuring that appropriate information is presented to EOC leadership, so the best decisions can be made regarding post-incident transportation and distribution infrastructure reconnaissance and assessment.

Overlaying road hazards on GIS technology and data could be helpful. Additionally, you can coordinate with the state Department of Transportation (DOT) or Port Authority, which often have live cameras or other technology that can view damage or flow impediments and monitor congestion. DOT crews in the field can physically assess the transportation infrastructure, determine what is safe, and report accordingly. Incorporating this data, as well as any data gathered from sensors and other reported status of roads or facilities should provide a more accurate COP.

Traditionally, the plans section prepares maps with various symbols to show resource locations and other relevant information. The COP should be an electronic information management technology system.

Reference: National Preparedness Goal, 1st ed., 2011, p. 13

1.3.2 (Q21) How are state staging areas addressed in plans?

Intent: Finding open ground areas with prepared surfaces for storing material, warehousing, administration, and transportation infrastructure that can support the affected areas in the state can be difficult after an incident has occurred.

Capability:

Static	State staging areas are not identified in plans.
Functional	State staging areas are informally identified.
Horizontal Integration	State staging areas are identified and codified in plans and can support state requirements.
External Collaboration	State staging area locations are identified and management responsibility is assigned and coordinated with affected agencies. Requirements include personnel, equipment, and communication processes.
Synchronized	State staging areas are identified. Throughput needs and site layout and operations verified and exercised and include FEMA participation.

Approach: Pre-identifying staging areas enables logisticians to plan for site support requirements, establish local contacts and contracts to equip and staff staging areas, establish communications plans, determine types of hazards, and develop facility use agreements with owners. Other actions to consider are:

Identify possible areas of operation.
Identify possible staging areas within the area of operation.
Conduct site surveys to determine suitability.
Prepare memorandums of agreement (MOA) with property owners.
Develop site plans that include possible staffing and equipment requirements.
Identify responsible agencies and providers.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-19; National Preparedness Goal, 1st ed., 2011, p. 14

1.3.3 (Q22) How are operational requirements used to determine state staging area locations?

Intent: Staging areas should be selected based on operational requirements and located where they can do the most good. Historical records should also be considered for determining suitability and vulnerability.

Capability:

Static	State staging area locations are chosen arbitrarily.
Functional	State staging area locations are selected based on geographical considerations.
Horizontal Integration	State staging area locations are selected based on operational requirements and the capability to project forward to any affected area. Locations are socialized with local and tribal jurisdictions.
External Collaboration	State staging area locations are selected based on operational requirements and historical infrastructure and transportation route damage information. Pre-identified locations are validated with local and tribal jurisdictions, the FEMA Region, and FEMA HQ.
Synchronized	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 are exercised to validate site feasibility.

Approach: It is recommended that you consider selecting a staging area site based on proximity to historically affected areas. Consider the following:

Staging area footprint,
Quantity of trucks and commodities needed to support the expected affected population, amount of site prep required (electric, phone, fencing, toilet facilities, etc.), and
Road network capacity to facilitate flow and anticipated volume.

Reference: EMAP, EMS, 2010, p. 9

1.3.4 (Q23) How are staff and material requirements for state staging area operations identified?

Intent: Identify who will staff the staging area, equipment required to operate it, and operations shortfalls so they can be mitigated prior to an incident.

Capability:

Static	Staffing and material requirements are not pre-identified.
Functional	Some staffing and material requirements and sourcing are pre-identified.
Horizontal Integration	Expected requirements for supplies and materials are identified and sourced.
External Collaboration	If staffing is done through state partners (e.g. National Guard), that organization has provided mission-capable units and equipment it will assign to execute the state staging area mission.
Synchronized	Staffing and material requirements have been sourced and identified in advance to the individual state staging area level.

Approach: It is recommended that you assign responsibility for LSA operations to an agency and identify the resources and services required to conduct LSA operations.

Establish MOUs and pre-incident contracts as needed. Where shortfalls exist identify additional resource requirements, such as mutual aid with local and tribal jurisdictions, the private sector, other government and nongovernment organizations, VOADs, identified trained volunteers, or Community Emergency Response Team (CERT) members.

Reference: EMAP, EMS, 2010, p. 9

1.3.5 (Q24) To what extent have minimum buffer (safety) stock levels and restock protocols been established for commodities at state and local staging areas?

Intent: Establishing stocking levels provides planning data that can be used to economically order resources at appropriate levels to support the affected population. Excess ordering is avoided which lessens the burden on the supply chain and decreases chances of ordering too many commodities. Stocking levels also provide a reasonable buffer inventory for resupplying or establishing PODs without delays.

Capability:

Static	Predetermined minimum levels of supply and commodity inventory are not established.
Functional	Predetermined minimum levels are set based on forecasted staging area resource demands.
Horizontal Integration	Predetermined minimum levels of resources and restocking protocols for staging areas are established, but not exercised or implemented.
External Collaboration	Predetermined minimum levels of resources and restocking protocols for staging areas are established and implemented in accordance with NIMS guidelines.
Synchronized	Minimum buffer stock levels and restocking protocols are established and validated through modeling victim populations and burn rates from historical disasters.

Approach: Using data from state hazard analysis and the eight key scenarios develop a stocking level for initial requirements for the first 72 hours. USACE modeling can provide this data. Next, determine how much buffer to establish based on modeling, historical data, situation analysis, or potential for change. An example would be, having 20 Type III PODs operating. That means that in the first 72 hours you should need 60 trailers of water and 30 trailers of shelf stable meals. Each day after that, you would likely need 20 trailers of water and 10 trailers of shelf stable meals. However, opening another POD or other requirements could change requirements so you should have some resources on hand to meet that need. Use historical data to determine how many additional resources are required. For example, would a two POD buffer of 10% be sufficient? Requirements are reduced or increased based on how incidents progress.

Reference: NIMS, 2008, pp. 32-33

1.3.6 (Q25) How are PODs addressed in state's logistics plans?

Intent: PODs are established to provide immediate life sustaining commodities following an incident that leaves the infrastructure incapable of providing water and/or food to the affected population. The intent of this question is to determine the level of POD planning throughout the state. At a minimum, the need for PODs is acknowledged and incorporated into plans. At the highest level PODs are not only identified and typed, but they are fully integrated, detailed planning is conducted, on site planning is completed, and the plan is exercised and/or planners have gone through a physical site setup.

Capability:

Static	No predetermined minimum levels of supply and commodity inventory have been established.
Functional	PODs are not identified in localities that have the highest probable threat and are not captured in plans.
Horizontal Integration	PODs are typed or classified (Type I, II, and III) for localities that have the highest threat probability.
External Collaboration	PODs are identified and typed throughout the state.
Synchronized	PODs are identified and typed throughout the state, coordinated with external agencies including FEMA Region, and exercised and/or demonstrated to verify formation, layout, organization, and staffing responsibility.

Approach: To determine whether or not you have adequately addressed PODs in your state, consider the following questions:

Have you identified PODs in your plan? How detailed is the planning?
Is it in an annex to the EOP or a separate plan?
Does your plan acknowledge all hazards or only the highest probable threat?
Have you typed your PODs as Type I, II, or III using the USACE model?
Have you made modifications to the standard PODs?
Are POD sites identified throughout your state and are they typed as Type I, II, and III?
Have you coordinated your identified PODs with external agencies, such as law enforcement and voluntary agencies (VOADs)?
Have you incorporated the ―Adopt a POD‖ program?
Have you provided the state with a copy of your resource management plan?
From the state level, have jurisdictions in your state identified their PODs for your plan?
Have planners conducted detailed planning for PODs such as:

- Developing site sketches of the layout?
- Identifying the staff and equipment requirements for the site?
- Identifying the organization that could be providing the leadership and staffing of each site?
- Identifying the source of material handling equipment (MHE) and other support resources?

Are they reliant on requesting state resources?
Have you conducted POD exercises or incorporated POD operations into other exercises?

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-19; IS-26 U.S. Army Corps of Engineers Guide to Points of Distribution, 2008

1.3.7 (Q26) What is the state methodology for identifying POD locations?

Intent: Ensure that POD sites are established where they will best meet the needs of the impacted population. Ensure the POD types and locations are functional and can be operated in a safe manner. Through POD exercises, the state should be able to identify and correct shortfalls and reduce the possibility of operational conflicts.

Capability:

Static	POD locations are chosen arbitrarily.
Functional	POD locations are selected based on population density modeling.
Horizontal Integration	POD locations are selected based on population density modeling and have addressed historical records for infrastructure damage. Locations are socialized with local and tribal organizations.
External Collaboration	POD locations are selected based on population density modeling and have addressed historical records for infrastructure and transportation route damage. Pre-identified locations are coordinated with local, tribal, and state planners.
Synchronized	POD locations are selected based on population density modeling and have addressed historical records for infrastructure and transportation route damage. Pre-identified locations are coordinated with local, tribal, state planners, and communicated with the FEMA Region and FEMA HQ. PODs have been exercised to validate the site feasibility.

Approach: Estimate the number of people to be served by a POD and the number of POD sites needed. This can be accomplished mathematically using any of several models that can calculate the number of PODs required based on the total number of people without commercial power.

As an example, you can use the USACE model to identify the number of persons potentially affected by a catastrophic incident and the number of Type III PODs needed to support that population where 5,000 is the number of people served by a Type III POD.

(approximate affected population) / 5,000 = (number of PODs needed)

Identify general locations for PODs. POD models can predict the number of people in need. This fact is very important for determining the amount of commodities that may be required; however, this fact is useless if commodities cannot be provided to survivors in a timely manner. The general locations of PODs can be determined by population density and how commodities should be distributed in the state. You can use GIS to produce a dot density map that provides a visual dot for a selected density of population. A dot density map should be produced based on a density of 1 dot for every 12,500 people (40 percent of 12,500 = 5,000 – the number of people served by a Type III POD).

Consider the need for additional PODs if required. It is important to consider factors such as tribal communities, isolated rural communities, and population concentration (for example, high rise apartments and apartment complexes) that might require additional PODs.

Identify potential POD sites within each general location. Once the general location is identified through GIS mapping, the POD planning team should identify and review potential sites for the POD within that general location. Use state parcel-level maps and neighborhood planning details to identify sites within each of the identified general locations.

Coordinating with local and tribal contacts and sharing the proposed locations of PODs reduces the possibility of a site being selected that could become problematic during a live incident.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-19

1.3.8 (Q27) How has the state captured the POD concept of support in plans?

Intent: The concept of support should not be established ad hoc during an incident. Concepts of support to PODs should be established in plans so that agencies can identify and coordinate staffing and equipment requirements and exercise the plan. Counties and the FEMA Region should be included in coordination to ensure all POD concept of operation planning is supported.

Capability:

Static	POD support (management, communication, commodity flow, etc.) has not been established.
Functional	POD support concepts have been captured in plans for local and tribal areas under highest probably threat.
Horizontal Integration	POD support concepts have been captured in plans for local and tribal areas throughout the state.
External Collaboration	POD support concepts have been coordinated with local and tribal organizations and the responsibility for management and operations of each POD has been included in logistics plans.
Synchronized	POD support has been captured throughout the state, coordinated with FEMA Region, and operational concepts have been validated through exercises or other processes.

Approach: It is recommended that you:

Identify POD requirements.
Identify support requirements that will be fulfilled by the local jurisdiction.
Identify shortfalls.
Address shortfall requirements that must be filled from state resources or contracts.
Develop POD reporting and coordination protocols.

The state should exercise the POD plan by conducting various types of exercises, from tabletop to full scale operational exercises in order to identify possible shortfalls, potential problems with equipment, site locations, staffing or partners, and vendors.

The exercise can be used to support and train staff responsible for POD operations during a live incident. Creating staff and partner familiarization of each other's capabilities, needs, and requirements assists in establishing workable partnership relationships. Relationships are further assisted by defining processes and providing required training through different workshops and exercises.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-19

1.3.9 (Q28) How has the state identified staff and material requirements for POD operations?

Intent: Staffing and equipment requirements can be intensive for incidents that would require the use of PODs. Those who could actually staff the PODs need to understand the concept and be trained in conducting operations. Sourcing equipment could also be intensive.

Capability:

Static	Staffing and material requirements are not pre-identified.
Functional	Some staffing and material requirements are pre-identified.
Horizontal Integration	All staffing and material requirements and sourcing are pre-identified.
External Collaboration	Coordinated with state partners (e.g. National Guard), to identify specific units and equipment that will be assigned to execute the POD mission.
Synchronized	Staffing and material requirements are identified and sourced in advance of determining individual POD requirements.

Approach: POD sites are a local requirement. The following steps are recommended:

Identify POD sites in your jurisdiction(s).
Type the POD as Type I, II, or III.
Using USACE modeling, identify the staffing and equipment requirements. Identify an agency and coordinate an MOU to provide staffing to each POD site. Consider city or county agencies, voluntary agencies, ―Adopt a POD‖ program, and the state National Guard to determine availability.
Identify the provider of MHE and establish a pre-incident contract or MOU with that provider.
Provide or procure POD kit(s) in accordance with IS-26.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

1.3.10 (Q29) How has the state worked with jurisdictions (county, local, tribal, etc.) to identify or determine capabilities of other agencies or the private sector to support food distribution?

Intent: There are agencies that maintain food stocks on a daily basis that could be utilized in disasters to provide feeding support. School meal programs under the USDA are one of the sources. Access to these stocks could support shelter operations. Voluntary agencies such as food banks regularly provide food to those in need, which is the population that is more likely to be impacted by the incident. The food bank could be utilized as a source to provide food to others affected by the incident. Grocery chains and large retail stores have established transportation and distribution capabilities that provide food and other commodities daily to the stores and operations they support. Work with them to either get them back in business

(relieving your burden) or request that they work with the jurisdiction in supporting your operation.

Capability:

Static	The state does not consider other agency partners or the private sector in its food distribution plans.
Functional	The state has informal agreements in place, such as the United States Department of Agriculture (USDA) Food and Nutrition Services (FNS) program or other partner programs, to support food distribution, but does not coordinate those plans with local, county, and/or tribal jurisdictions.
Horizontal Integration	The state has informal agreements in place, such as the USDA FNS program, to support food distribution and coordinates those plans with local, county, and/or tribal jurisdictions.
External Collaboration	The state has formal MOUs in place with other agencies (such as USDA FNS), volunteer groups, and/or contractors to support food distribution efforts and coordinates those plans with local, county, and/or tribal jurisdictions.
Synchronized	The state has formal MOUs in place with other agencies (such as the USDA FNS), volunteer groups, and/or contractors to provide complete food distribution support coverage and coordinates those plans with local, county, and/or tribal jurisdictions, as well as the FEMA Region and FEMA HQ.

Approach: The following steps are recommended:

Coordinate with volunteer organizations to work with local food banks and bulk commodity suppliers to support food distribution.
Develop food bank protocols for the plan.
Develop private public partnerships with local grocery and retail stores to provide resources or work to get them back into business.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

1.3.11 (Q30) How extensive is transportation planning for commodities and assets during an incident?

Intent: Visibility of commodities is important. Lost, delayed, and misdirected shipments are costly and can add to the impacted population's suffering. Knowing where the commodities are en route from distribution or mobilization through to staging and delivery provides accountability and saves money in the long run. Transportation planning should include sources to track asset movement, movement command and control, and receipt by the end user. You should ensure that the proper MHE is available to load and off-load shipments when they arrive at their destinations. Having the correct type MHE for off-loading shipments can reduce transportation vehicle down time and overall cost.

Capability:

Static	The state does not have a transportation plan for asset distribution.
Functional	The state transportation plan is developed notionally.
Horizontal Integration	The state has a written asset transportation plan.
External Collaboration	The state transportation plan includes sources for asset movement, movement command and control, tracking, and receipt verification and is coordinated with participating agencies.
Synchronized	The transportation plan is coordinated with the FEMA Region and is validated through exercises or methods.

Approach: The following steps are recommended:

Develop reporting protocols.
Require contracting-vendor reporting.
Consider utilizing a transportation vendor to conduct shipment tracking.
Consider providing radio frequency identification (RFID) or satellite tracking.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-19

1.3.12 (Q31) How do state plans address transporting materials through restricted areas?

Intent: Commodities move from their points of origin, through the state to the LSA, to the end user, which can be an agency or POD. When infrastructure is disrupted or congested, roads closed due to flooding or damage, traffic signals out, etc., the resource flow can be disrupted or delayed. In turn, response and recovery efforts may also be delayed. Plans should address prioritizing transportation assets flow into the area and developing a concept for convoys and escorts through restricted areas. Some restrictions may be geographical or related to physical limitations or restrictions such as local road or bridge restriction associated with the weight, height, or width of the transport vehicles. Local or state laws require specific markings for certain size conveys and have established escort requirements. This should not be limited to state and federal resources, but include resources of the private sector, such as grocery stores and home improvements stores, to help them get operational, relieve some of the pressure on the jurisdiction, and get back to normal operations as soon as possible.

Capability:

Static	The logistics plans do not address transportation of materials through restricted areas or checkpoints.
Functional	The concepts for transportation of materials through restricted areas have been addressed, but are not included in plans.
Horizontal Integration	The logistics plans include processes for material transportation through restricted areas.
External Collaboration	The 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.

Synchronized	The logistics plans describe strategies for transporting materials through restricted areas, quarantine lines, and law enforcement checkpoints have been agreed upon by affected parties and exercised to some degree.

Approach: The following steps are recommended:

Develop a concept to transport materials through restricted areas, to include quarantine lines and law enforcement checkpoints, as well as primary and alternate routing.
Develop priority protocols to get most needed resources in first.
Coordinate this plan with affected agencies and transportation providers.
Develop communication protocols.
Develop escort protocols and identify escort resources.
Coordinate with private businesses to include them into the priority queue, so they can begin to get back to normal and relieve some of your burden.
Coordinate with jurisdictional law enforcement and transportation compliance officials to ensure that local and state restrictions are considered when issuing a Governor's Declaration of Emergency and to allow certain restrictions to be temporarily lifted or suspended following an incident.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-20; National Preparedness Goal, 1st ed., 2011, p. 14

1.4 Training and Compliance

1.4.1 (Q32) How does the state participate in the Emergency Management Accreditation Program (EMAP)?

Intent: The EMAP Emergency Management Standard (EMS) is a tool for continuous improvement as part of a voluntary accreditation process for state and local EM programs. The EMAP process can be used by emergency response stakeholders and is a means for strategic improvement to EM program, culminating in accreditation.

Capability:

Static	The state does not participate in EMAP.
Functional	The state is in the process of registering, conducting self assessments, and applying for EMAP.
Horizontal Integration	The state hosted the on-site EMAP assessor team and is addressing highlighted issues.
External Collaboration	The state successfully completed all six EMAP standards identified for logistics.
Synchronized	The state received EMAP accreditation.

Approach: It is recommended that you get the executive branch of government (i.e., the governor) to agree to the EMAP accreditation. This level of support is critical because the

EMAP process is resource (personnel and time) intensive and requires participation from all agencies. The process requires executive prioritization. It is suggested that you:

Appoint an accreditation team to oversee the process.
Provide training and resource support for the EMAP process.
Gather and review pertinent documentation.

Reference: EMAP, EMS, 2010, pp. 1, 9

1.4.2 (Q33) Have state logistics planners completed NIMS Incident Command System (ICS) training?

Intent: Logistics partners should have a basic understanding of NIMS ICS operations and procedures, and managers should have completed the Independent Study Program (ISP) Professional Development Series (PDS) and should be certified in ICS management.

Capability:

Static	State logistics planners do not complete NIMS ICS or the completion is not documented.
Functional	The logistics planners complete the EMI ISP courses.
Horizontal Integration	The state developed in-house training plans and requirements. Training objectives are tied to each position.
External Collaboration	State emergency managers complete NIMS ICS compliant courses.
Synchronized	Emergency managers complete ISP PDS courses and receive a certificate of completion.

Approach: You should use the NIMS training program to identify job specific logistics and resources management training. Providing in-house training enables the agency to verify that participants receive the proper levels of training and understand ICS. Providing this training opportunity to outside partners helps to improve working relationships between agencies, provides additional training to outside agencies, and increases the pool of trained additional staff that could be available in a disaster response incident. It is recommended that you:

Determine ICS levels for each position; and
Provide ICS training, as determined for the logistics staff and partners.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 2-1, 2-2; National Preparedness Goal, 1st ed., 2011, p. 14; NIMS Training Program, 2011, pp. 11-16, 51-52

1.4.3 (Q34) How does the state sponsor or provide staging area and/or POD training?

Intent: Determine the levels of required training for staff to safely and efficiently operate LSA and PODs and make training available to all staff and other government agencies.

Capability:

Static	The state does not sponsor state staging area and POD training or guidance programs.
Functional	The state trains some staff on state staging area and POD operations.
Horizontal Integration	State staging area and POD training is required for employees and volunteers.
External Collaboration	State staging area and POD training is required for employees and volunteers staffing staging areas or PODs. The training program is socialized with FEMA Region and FEMA HQ and certificates are provided upon completion.
Synchronized	State staging area and POD training is required for employees and volunteers. The training program includes the FEMA LMD National POD Training Video, and a full training regimen is socialized with FEMA Region and FEMA HQ. Certificates are provided upon completion of coursework.

Approach: By providing in-house training the agency could verify that participants and partners have a consistency of training information, have received the proper levels, and have an overall understanding of LSA and POD operations. Providing this training opportunity to outside partners helps improve working relationships between agencies, provides additional nonstandard training to outside agencies, and increases the available additional staff in a disaster response incident.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

1.4.4 (Q35) How does the state plan for exercises?

Intent: Develop a strategy and a schedule of various types of exercises over a multi-year plan. Pre-scheduling these various exercises enables the state to provide additional training and reduce the operational costs for exercises and live incidents. They could identify possible shortfalls in the plans and make corrections to preclude delivery delays for critically needed materials.

Capability:

Static	The state does not conduct logistics exercises.
Functional	The state periodically conducts exercises with logistics capabilities exercised at least yearly.
Horizontal Integration	The state exercises logistics capabilities and/or plans at least semi-annually.
External Collaboration	The state uses a combination of information from capability assessments and training exercises to identify shortfalls. The state has a strategy to resolve shortfalls through a multi-year training and exercise plan.
Synchronized	State plans identify exercises that will be conducted over the next three years. The focus of the exercises is to test plans, capture lessons learned, and identify areas for improvement. Follow on actions aim to build knowledge,

	skills, and abilities to perform the critical tasks. The state coordinates the plan with affected agencies including the FEMA Region.

Approach: It is recommended that the state have a focused, long-term exercise program and ensure they are HSEEP-compliant with practices for exercise program management, design, development, conduct, evaluation, and improvement planning. Various types of exercises should be held within a three year timeframe and include multiple tabletop exercises that address appropriate aspects of the overall plans for each section and agency.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-25, 4-26, C-4; National Preparedness Goal, 1st ed., 2011, p. 7

1.5 Provider Qualifications

1.5.1 (Q36) What standard operating procedures (SOP) are in place for vetting potential commodity and service providers in the state?

Intent: A vetting process for potential vendors and service providers helps to determine their capacity or capability to meet disaster response needs and schedule. What is their past performance and can they perform as called for in the contract?

Capability:

Static	No formal procedures are in place for identifying and vetting potential vendors and service providers.
Functional	The state has SOPs for identifying and vetting all potential vendors and service providers.
Horizontal Integration	SOPs are established and socialized across the emergency management agency.
External Collaboration	SOPs are established, implemented, and socialized to all state EM functions and incorporated into state logistics planning and training functions.
Synchronized	SOPs are in place and potential commodity and service providers in the state vet them with local chambers of commerce, business bureaus, trade associations, or their equivalent, the FEMA Region, and FEMA HQ.

Approach: All contracts should include a noncompliance clause with detailed steps to track and notify vendors when their performance does not meet requirements. Following all incidents and exercises, a detailed report of the vendor's performance is maintained, providing a means to track vendors that do not perform as required**.**

Reference: National Preparedness Goal, 1st ed., 2011, p. 14; Universal Task List (UTL), 2007

1.5.2 (Q37) Do state logistics plans include public-private engagement?

Intent: It is unlikely that states can afford to provide all resources and services needed in a disaster. Logisticians should include private-sector resources and services by establishing MOUs and contracts, if legally authorized, before an incident. Involving the private-sector providers in planning and exercises enhances the overall response and cost effectiveness.

Capability:

Static	The logistics plans do not include public-private engagement.
Functional	The logistics plans include some mention of public-private engagement.
Horizontal Integration	SOPs are established and socialized across the emergency management agency.
External Collaboration	The logistics plans list current private partners and the support they can or will provide.
Synchronized	The logistics plans include methods to engage private partners and identify existing MOAs, MOUs, and contingency contracts with these organizations.

Approach: If pre-disaster contracts are legal in your state, they should be used as much as possible. These contracts can be written so that exercises are included in the deliverables ensuring that the contractors are updated on changes to plans or procedures. The logistics section should keep these vendors informed of pending exercises and include them in training, planning, and exercises that could involve their services.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. C-11

1.5.3 (Q38) How has the state identified potential providers for commodities, trucking, and evacuee transport?

Intent: In widespread or catastrophic incidents, transportation requirements for commercial trucking and passenger transportation, such as buses, will be heavy. There may be multiple states or FEMA vying for the same resources. Waiting to order resources until they are needed could result in not having resources to meet requirements. Pre-planning can deconflict providers and prioritize who needs what and when.

Capability:

Static	The state does not identify potential vendors or service providers.
Functional	The state identifies potential providers for critical resource acquisition and transportation, and identifies bus service providers for disaster evacuees.
Horizontal Integration	The state identifies vendors for resource needs and evacuee transport requirements and has coordinated with other emergency management functions to ensure coverage. Additionally, the state has budgeted yearly to maintain contracts.
External Collaboration	The state logistics planners identify required potential providers of commodities and services, including jurisdictional priorities, and have 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.

Synchronized	The state logistics planners identify required potential providers of commodities and services, including jurisdictional priorities and have deconflicted vendor list with states, FEMA Regions, and FEMA HQ to avoid overlaps and conflicts with vendors.

Approach: It is recommended that you complete the following actions:

Identify resources needed to conduct response operation, such as bus transportation, commodities, and commercial trucking.
Vet contractors for capability and capacity and have them identify conflicting or competing commitments. In some cases, vendors have contracted with multiple jurisdictions assuming that their resources would not be called upon by these jurisdictions at the same time, only to be caught shorthanded.
Deconflict vendors with other jurisdictions.
Coordinate priorities with FEMA and other jurisdictions.
Exercise your plan with outside jurisdictions, sharing information about possible vendors and identifying possible shortfalls of deliverables from vendors.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

1.6 Procurement Procedures and Protocols

1.6.1 (Q39) How does the state disaster logistics organization minimize risk of nonperformance by vendors and service providers?

Intent: To avoid contracts with underperforming vendors, vendors should be vetted and there should be multiple vendors that provide similar services and commodities, if possible. Procedures to eliminate or mitigate underperforming or nonperforming vendors should be established. This saves time and money in the long run.

Capability:

Static	There is no contingency plan in place for risk mitigation of nonperformance by vendors or other external agencies.
Functional	The state has multiple contracts in place for key resources and services, but does not consider inherent risks associated with private-sector contract execution.
Horizontal Integration	The state considers the types of risks associated with private-sector contracts and delivery and observes lessons learned from historical performance records in an attempt to contract with multiple providers with reliable reputations. Additionally, the state adds a nonperformance, and/or underperformance, clause in its contracts.
External Collaboration	The state considers the types of risks associated with private-sector contracts and delivery and observes 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

	underperformance.
Synchronized	A contingency plan is in place that addresses the risk of private sector and other external agency underperformance through lessons learned and best practice information sharing. Based on that plan, the state contracts with multiple best-in-class providers for each commodity and service. The state keeps a list of contractor performance and underperformance and shares with the FEMA Region and FEMA HQ.

Approach: The following guidelines are recommended when identifying and selecting vendors:

Do not rely on a single provider. Establish redundant vendors to provide greater assurance of being able to obtain the goods and services required.

Review past performance. The vendors should have a proven history of providing requested goods and services and have a good plan for ensuring that they will be able to meet contract requirements. By conferring with other states and jurisdictions you can develop a vendor historical profile.

Review vendors' contingency plans and continuity of operations plans, which should demonstrate how the vendors will ensure resource availability to fulfill the contract and have appropriate redundancy. Note that even with a pre-incident contract, unless there is a full guarantee, states may still have to act quickly or risk losing the resource. The state should review and fully understand assumptions or constraints the vendor includes in the contract. The vendor should also be able to explain how they will address deployment, order receipt, and requests for services.

Use NIMS resource typing where available. NIMS-typed resources ensure that there is no miscommunication about what is being requested.

Consider adding a contract clause allowing other authorized users. Adding a clause that allows other jurisdictional entities to access the provided goods and services may mean there are fewer burdens on EM to procure goods and services on behalf of these organizations.

Use local vendors and service providers, which can help to stimulate the local economy after a disaster, encourage people to return, and reduce overall costs by reducing contractor per diem and travel costs. Consider whether a clause requiring the use of local hires is feasible.

Use turnkey systems where possible. Turnkey systems provide comprehensive solutions with one vendor and include the actual equipment, personnel, assembly, maintenance, disassembly, and transportation of the resources and equipment. A one stop solution is easier and possibly more cost effective.

Reference: Interagency Incident Business Management Handbook 2, 2009

1.6.2 (Q40) What standard operating procedures (SOP) are in place for ordering and acquiring resources and services?

Intent: Assigned staff may have little experience in emergency purchasing and any repetitive action to be performed by personnel with varying levels of experience and training during

disaster incidents should benefit from having SOPs. This is particularly true in purchasing where normal daily ordering and acquisition, including purchasing procedures can be complex. Disasters or emergencies usually require procedures different from the day to day operations.

Capability:

Static	There are no established plans and procedures for ordering and acquiring required resources.
Functional	There are separate plans, procedures, and decision channels in place that vary based on the service or commodity required.
Horizontal Integration	Standardized protocols and approval layers are communicated across the state emergency preparedness organization for ordering and acquiring resources.
External Collaboration	Does not apply.
Synchronized	Highly formal process protocols and approval layers are implemented for ordering and acquiring resources and include reconciliation, accounting, auditing, and inventory processes.

Approach: The following guidelines are recommended when creating SOPs for resources and services acquisition:

Appoint a SOP writing team to include ordering and acquiring of resources, purchasing, logistics, and public assistance specialists.
Develop a comprehensive purchasing SOP that includes day-to-day and emergency ordering, acquisition, and purchasing procedures.
Develop job aids to include position descriptions, forms, and procedures for information management technology systems (i.e., WebEOC).
Conduct training on the SOP and include the various personnel assigned to the purchasing section in the state's training and exercises program.
Reduce the possibility of major errors occurring during disasters or emergency operations.
Use SOPs to ensure that duplication of services is reduced, tracking of expenditures is better maintained, and overall cost is reduced.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

1.6.3 (Q41) How are state sourcing decisions tied to a critical resource management plan?

Intent: Pre-disaster sourcing decisions should identify resource requirements, shortfalls, and inventories to meet objectives; to provide the most cost effective, closest, and most readily attainable resources; and to utilize standing contracts, emergency purchasing procedures for quick access, and known pricing.

Capability:

Static	The state does not have a critical resource management plan in place.
Functional	Personnel with resource management responsibilities considered the urgency

	of needs for particular equipment/supplies/commodities and whether resources can be produced and delivered quickly enough to meet anticipated need.
Horizontal Integration	An established critical resource management plan is in place and integrated with the overall emergency management organization, with some standing contracts for service or commodities.
External Collaboration	An established critical resource management plan is in place, supported by standing contracts and emergency purchase mechanisms (e.g. debit and credit cards). The plan was shared with the FEMA Region and FEMA HQ.
Synchronized	A critical resource management plan is well established with local, state, the FEMA Region and FEMA HQ partners, and includes modeling, historical burn rates, delivery lead times, and 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.

Approach: The following guidelines are recommended for establishing a critical resource management plan:

Integrate it with the overall emergency management organization.
Develop standing contracts and emergency purchase mechanisms (e.g. debit and credit cards).
Coordinate and share the plan with local and state partners, the FEMA Region, and FEMA Headquarters.
Use and include modeling, historical burn rates, known delivery lead times, and emergency purchasing powers.
Update guidelines regularly, at least annually and after incidents, including lessons learned.

Reference: EMAP, EMS, 2010, p. 9

1.6.4 (Q42) How are contracts and emergency purchase procedures linked to state accounting practices and procedures?

Intent: You should not form an ad hoc accounting practice for disasters. Linking approval, ordering, receipt, and integration with accounting or contracts and emergency purchases to standard accounting and audit practices from the beginning of an incident helps in recovery and reimbursement from FEMA, the state, and other agency audits.

Capability:

Static	There are no standard practices in place for approval, ordering, receipt, and integration with accounting.
Functional	SOPs are in place and integrated into inventory management and fixed asset accounting.
Horizontal	Logistics planners collaborate with other disaster management departments

Integration	and ensure proper invoicing, cost and performance validation, and reimbursement.
External Collaboration	Does not apply.
Synchronized	Logistics planners collaborate with other disaster management functions and ensure an audit trail for commodities issued and left over.

Approach: The following actions are recommended:

Develop procedures that incorporate state purchasing practices and procedures with emergency contracts and purchase procedures.
Include the procedures in your purchasing SOP.
Conduct training on the procedures.
Include the procedures in exercises.

Reference: NIMS, 2008, pp. 113-114

1.6.5 (Q43) If applicable, how does the state utilize General Services Administration (GSA) sourcing and contracts with the private sector?

Intent: GSA provides government pricing for certain resources. These prices are negotiated as the best price for the government. However, when using a GSA schedule if the service or commodities are over $1,000,000 or for an extended period of time for services the price is negotiable.

Capability:

Static	The state does not or cannot utilize GSA for contract negotiation and agreements.
Functional	The state occasionally utilizes GSA for private-sector contracts.
Horizontal Integration	Standardized protocols and approval layers have been communicated across the state emergency preparedness organization for ordering and acquiring resources.
External Collaboration	The state regularly directly contracts with GSA for private-sector service and/or commodity acquisitions. The state coordinates sourcing requirements with local vendors prior to engaging GSA.
Synchronized	The state regularly directly contracts with GSA for private-sector service and/or commodity acquisitions. The state coordinates sourcing requirements with local vendors prior to engaging GSA and coordinates contracts with FEMA Region and FEMA HQ.

Approach: If you cannot use the GSA schedule, you can still utilize GSA scheduling as a guide for establishing pricing with contractors or in the long term can you work to get the law in your state changed.

What products and services do you require under the GSA schedule? It is recommended that you develop pre-incident contracts for those services with approved GSA providers.

Reference: EMAP, EMS, 2010, p. 9

1.7 Solicitation

1.7.1 (Q44) What is the state process for issuing requests for proposals (RFP) or other offers for pre-incident contracts?

Intent: Competition between suppliers offers a simple and effective opportunity for savings by allowing a number of suppliers to compete for a given range of equipment and commodities. Issues can arise if there are not clear processes or information on how to issue RFPs.

Capability:

Static	The state has no formal solicitation process and protocol.
Functional	Statements of work and sole source solicitations are developed on an ad hoc basis.
Horizontal Integration	There is limited RFP issuance for pre-incident contracts; largely ad hoc negotiation and contracting.
External Collaboration	There is a standardized Request For Information (RFI) and RFP process for pre-incident contracts, including detailed statements of work, bid evaluation, and pricing.
Synchronized	The RFI and RFP processes for pre-incident contracts are standardized and (if not proprietary) information is shared with FEMA Regions and FEMA HQ.

Approach: The state should issue a RFI for supplies in advance of an incident, if possible. The process should include supplier selection. This enables the state to assess the market place and invite potential candidates to apply before measuring key supplier requirements such as capability, quality, and process. This state should require a questionnaire be sent to suppliers before qualification. The questionnaire should be targeted, concise, and relevant to the requirement being tendered.

Tenders often hinge on disaster requirements, so it is crucial that requirements are clear and precise. Ambiguity can result in different interpretations making the evaluation and award far more complicated than it should be. Provide feedback and create a list of frequently asked questions (FAQ). Ensure that the state has suitable points of contact available for questions and issues that might arise. Ensuring that the state has the correct support structure in place to clarify any details is vital to the RFP success.

Selection criteria should be considered at the beginning of the process – ideally, ensure that suppliers complete their proposals in a standard format that can be easily scored and compared. Requirements should be broken down into appropriate sections (e.g. materials and services) so that they can be considered and weighted appropriately.

Reference: EMAP, EMS, 2010, p. 5

1.7.2 (Q45) How does the state balance its portfolio of vendor contracts, to include local, regional, and national/enterprise level providers?

Intent: Having a balance of local, regional, and national suppliers provides options. For instance, in a small incident local vendors may provide a quicker response, less transportation costs, and a boost to the local economy. In a larger incident the number of vendors should be greater as requirements grow and supersede local vendor capabilities. In catastrophic incidents the pool of vendors grows even larger as federal government and multiple states compete for more and more resources.

Capability:

Static	Existing contracts do not take into account a need to balance the vendor list.
Functional	Contracts are in place with multiple local or regional vendors, to account for the risk of nonperformance.
Horizontal Integration	Established contracts are in place with local, regional, and national providers, but not vetted for the risk of nonperformance.
External Collaboration	Established local, regional, and national contracts are in place, and vendor capability to support has been vetted or proven through a review process.
Synchronized	The state emergency management agency is ideally positioned in terms of sourcing contracts that include national, regional, and local vendors.

Approach: When extending RFPs for commodities and equipment, it is recommended that the state include local, regional, and national providers.

It is also advisable to establish priority lists with a goal to utilize the closest and most cost effective resource provider first, the objective being to work outward from local, to regional, and then national. The further away a resource is the more expensive the cost.

Reference: EMAP, EMS, 2010, p. 5

1.8 Existing Contracts

1.8.1 (Q46) What process is used to make private sector liaisons easily accessible to state logistics personnel?

Intent: The logistician can acquire a more accurate assessment of private resource availability from = the private sector. This could save money, time, and perhaps reduce or eliminate wasted resources.

Capability:

Static	There are no public-private liaisons available.
Functional	Primary vendor liaisons assist in sourcing, identifying, and coordinating store

	openings, available supplies, and relevant PODs in those areas.
Horizontal Integration	Does not apply.
External Collaboration	Liaisons are available for existing contracts for opportunity identification and coordination with store openings, available supplies, and relevant PODs in those areas.
Synchronized	Liaisons assist in sourcing, identifying, and coordinating store openings, available supplies, and relevant PODs in those areas. Information is shared with FEMA Region and FEMA HQ.

Approach: Identify a private sector ESF or liaison(s) with business and industry. Include contracted vendors in the logistics section (if not physically in the EOC) and establish 24/7 communications. Ready access to public sector representatives with knowledge of business activities e.g., local store hours, can help the logistician decide if PODs are warranted or if it is time to demobilize them, and facilitates detailed planning and coordinating.

Reference: EMAP, EMS, 2010, p. 5

1.8.2 (Q47) How does the state use performance-based contracting (PBC) for goods and services?

Intent: Performance-based contracts identify expected deliverables, performance measures or outcomes, and payment is contingent on successful delivery. Performance-based contracts may include consequences and/or incentives to ensure that agreed upon value to the state is received.

Capability:

Static	Existing contracts are not performance based.
Functional	Existing contracts have a few performance incentives.
Horizontal Integration	Some existing contracts consider performance and/or quality.
External Collaboration	Existing contracts are measured for performance and quality, and measurements are vetted against existing contracts with other states and FEMA.
Synchronized	Existing vendors are continuously monitored for quality measured and contracts are routinely evaluated for performance and compared with other states and FEMA.

Approach: PBC has been identified as an effective means to acquire goods and services; is contracting for results, not best efforts; and involves structuring aspects of an acquisition around the purpose of the work to be performed. The essential elements of PBC include: developing effective work statements, performance standards, and quality assurance plans, as well as,

> Describing the task to be performed in terms of measurable outcomes rather than by prescriptive actions to be performed, expressed in either a performance work statement (PWS) or statement of objective (SOO).

Developing measures of performance and defining acceptable performance.
Developing processes for handling performance that exceeds or fails to meet acceptable performance standards.
Defining how the contractor's performance should be measured and assessed against the performance standards (consider a Quality Assurance Plan or Quality Assurance Surveillance Plan).

Reference: EMAP, EMS, 2010, p. 5

1.8.3 (Q48) How are existing trucking contracts linked to a forecasted distribution model and/or do the contracts have provisions for demand scalability throughout the state?

Intent: Trucking contracts should be scalable. Truck requirements can be intense in the first hours of an incident, decrease as the incident proceeds, and then increase when recovering supplies. It may not be cost effective to order a set number of assets for a fixed period of time because you will have to pay for idle assets. Coordinating truck requirements with the distribution model gives the logistician a picture of what trucking assets may be needed over different periods of time.

Capability:

Static	The contracts are not linked to a distribution model; no provisions exist for scalability.
Functional	The state has a distribution model, but does not synchronize support with transportation providers.
Horizontal Integration	Existing contracts are linked to a high level distribution model and include provisions for demand scalability.
External Collaboration	The state has integrated commodity distribution models coordinated with trucker capabilities, and existing contracts in place with provisions for demand scalability.
Synchronized	The contracts are aligned with commodity distribution models, coordinated with trucker capabilities, and have been shared with FEMA Region and FEMA HQ.

Approach: Perform the following steps:

Develop contracts that are aligned with your commodity distribution model.
Include contract provisions for scalable requirements.
Include provisions for the trucking contractor to provide a liaison to work with the logistics section.
Coordinate requirements for trucking assets.
Coordinate this plan with local, regional, tribal and state agencies, and the FEMA Region.

Reference: UTL, 2007

1.8.4 (Q49) How are contracts evaluated in conjunction with periodic logistics plans reviews?

Intent: Vendor contracts should be evaluated periodically – after they are implemented and at least annually. They should be evaluated for their capability and ability to perform, but also pricing. Vendor contracts should be reviewed and included in exercises that the state conducts to ensure that vendors are aware of changes in procedures or policies and to verify that the vendors are capable of fulfilling contract requirements.

Capability:

Static	Current providers are not risk assessed or tested for the capability to meet performance and quality requirements set forth in contracts.
Functional	The state has limited tabletop, scenario based capability testing of commodity vendors and transport providers.
Horizontal Integration	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 incident of a multi-state hazard).
External Collaboration	Field tested vendors with proven track records of satisfactory delivery within the state and/or within similar scenarios in other states.
Synchronized	Full performance of contractors is shared with FEMA Region and FEMA HQ.

Approach: At a minimum, perform annual contract reviews and validate current capability or changes with the vendors. Be sure to include pricing changes. Include private vendors in the various levels of exercises conducted by the state including the tabletop conducted internally by the agency.

Reference: EMAP, EMS, 2010, p. 9

6.2 Logistics Operations Questions

The following section is comprised of questions taken directly from the Logistics Operations section of the LCAT questionnaire. They are numbered to correlate to the numbering in the questionnaire.

2. Logistics Operations

2.1 Identify Requirements

2.1.1 (Q50) How are state requirements generated through an ad hoc or formal process based on established and accepted planning factors?

Intent: The need to pre-identify requirements ensures the logistics section can respond to the incident requirements. Using formal planning factors, such as the USACE model and historical

and U.S. Department of Commerce census data, assists in avoiding over ordering to a point that valuable commodities that cannot be distributed are wasted or not available to other jurisdictions that need them.

Capability:

Static	The state uses ad hoc requirements generation.
Functional	The state uses generic USACE population planning factors.
Horizontal Integration	The state utilizes population based planning factors, such as USACE adjusted by historical data.
External Collaboration	The state uses current commodity burn rates to determine requirements.
Synchronized	The state uses USACE adjusted by historical data initially, and later current burn rates synched to distribution throughput to determine final requirements.

Approach: Estimate the number of people to be served by a POD and the number of POD sites needed. This can be accomplished mathematically using any of several models that can calculate the number of PODs required when the total number of people without commercial power is entered.

Use the USACE model to identify the number of persons potentially affected by a catastrophic incident and the number of Type III PODs needed to support that population where 5,000 is the number of people served by a Type III POD.

(approximate affected population) / 5,000 = (number of PODs needed)

Identify the general locations of PODs. POD models predict the number of people in need. This fact is very important for determining the amount of commodities that may be required; however, this fact is useless if commodities cannot be provided to survivors in a timely manner. The general locations of PODs can be determined by population density and how commodities should be distributed in the state. Use GIS to produce a dot density map that provides a visual dot for a selected density of population. A dot density map should be produced based on a density of 1 dot for every 12,500 people (40 percent of 12,500 = 5,000 – the number of people served by a Type III POD).

Consider adding additional POD general locations. It is also important to consider factors such as tribal communities, isolated rural communities, and concentrations of population (for example, high rise apartments and apartment complexes) that might require additional PODs.

Identify potential POD sites within each general location. Once the general location is identified through GIS mapping, the POD planning team should identify and review potential sites for the POD within that general location. Use state parcel-level maps and neighborhood planning details to identify sites within each of the identified general locations.

Coordinating with local and tribal contacts and sharing the proposed locations of PODs reduces the possibility of a site being selected that could become problematic during a live incident.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14; NIMS, 2008, pp. 35-36

2.1.2 (Q51) What is the state logistics situation reporting process?

Intent: Logistics status and situation reporting is important to providing overall logistics situational awareness. Using standardized forms provides data in a consistent format which can be helpful for developing requirements and making distribution and logistics decisions. Providing a regularly scheduled reporting time assists logistics planners in establishing timetables to complete the logistics functions, such as ordering, distribution, and meeting the reporting requirements of FEMA as well.

Capability:

Static	The state uses ad hoc reporting.
Functional	The state uses standardized report formats and time.
Horizontal Integration	Logistics reports are shared with state partners.
External Collaboration	Logistics status reporting is integrated with FEMA logistics operations. Local and state authorities provide status reports and requirements to FEMA 24-48 hours prior to the required delivery date.
Synchronized	Data collected in the logistics situation reports is used to determine requirements and make distribution and/or logistics decisions.

Approach: The following are general recommendations for logistics situation reporting:

Determine the kinds of information that are needed to manage logistics.
Determine reporting times or frequency.
Develop forms and formats that meet these information needs.
Develop data bases and procedures in an information technology (IT) management system, such as WebEOC.
Develop SOPs.
Conduct training.
Exercise procedures.
Update procedures, policies, and training utilizing lessons learned from incidents and exercises.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.1.3 (Q52) How are commodity requirements adjusted to reflect post-evacuation population?

Intent: If the population is expected to evacuate before or because of an incident, then the initial requirement for commodities in that area may be considerably less. Also, consider the tourist population, if applicable.

Capability:

Static	The commodity requirements are not adjusted for the post-evacuation population.
Functional	The state uses a scenario-based methodology to determine the post-evacuation population.
Horizontal Integration	The state uses a scenario-based methodology to determine the post-evacuation population and has exercised this capability.
External Collaboration	The state uses a scenario-based methodology to determine the post-evacuation population and identifies external commodity requirements.
Synchronized	The state uses a scenario-based methodology to determine the post-evacuation population and adjusts POD and distribution requirements accordingly.

Approach: In addition to the standard POD planning steps, determine the transient population, tourists, and commuters in addition to residents. Determine scenarios that would change the population.

Reference: EMAP, EMS, 2010, p. 9

2.1.4 (Q53) How are the state's commodity requirements adjusted to reflect first responder and base camp populations?

Intent: Additional resources should be factored in to account for the influx of first responders and mutual aid resources. Commercial providers for responder support camps (RSCs), if contracted, should provide bottled water to support meal service and the lunch meal (which is usually a shelf-stable meal or bag lunch issued with the breakfast meal).

Capability:

Static	Commodity requirements are not adjusted for first responder and base camp operations and support.
Functional	The state uses a scenario-based methodology to determine first responder and base camp populations.
Horizontal Integration	The state uses a scenario-based methodology to determine first responder and base camp populations and has exercised camp capabilities.
External Collaboration	The state uses a scenario-based methodology to determine first responder and base camp populations and identifies external commodity requirements.
Synchronized	The state uses a scenario-based methodology to determine first responder and base camp populations and adjusts PODs and distribution requirements accordingly.

Approach: Based on the numbers of reported, expected, or fielded first responders, adjust commodity ordering appropriately. Plan to distribute commodities to first responders, by pickup by a first responder or by delivery to RSC or other locations.

Reference: EMAP, EMS, 2010, p. 9

2.1.5 (Q54) How are estimated shelter support requirements included in the state's overall commodity requirements?

Intent: In conjunction with the state agency responsible for ESF-6 operations, the American Red Cross with other partners provides statewide shelter locations and coordinates with the logistics section. ESF-6 agencies and partners are included in the EOP and participate in local and statewide exercises and training.

Capability:

Static	The commodity requirements are not adjusted to support shelters.
Functional	The state, in conjunction with ESF-6 representatives, has scenario-based methodology to determine shelter population commodity requirements.
Horizontal Integration	The state uses a scenario-based methodology to determine shelter population and exercises this capability.
External Collaboration	The state uses a scenario-based methodology to determine shelter populations and identifies external commodity requirements.
Synchronized	The state uses a scenario-based methodology to determine shelter population and adjusts commodity requirements and distribution requirements accordingly. The state also adheres to Resource Management and Logistics Standards 4.8.2 and 4.8.3 of the Emergency Management Accreditation Program.

Approach: Adjust commodity ordering based on the number of reported, expected, or open shelter residents and staff. Plan for distributing commodities to shelters, whether it is a pickup by shelter operators or delivery to the shelter locations. Have disaster contracts in place to assist ESF-6 personnel and partners with resources (i.e., cots, bulk food, blankets, laundry, etc.) that may be needed to operate shelters during and following major incidents.

Reference: EMAP, EMS, 2010, p. 9

2.1.6 (Q55) How are generator requirements determined by your state?

Intent: Generators are critical requirements in almost any significant incident. However, generators require significant preliminary work before they can be installed. Key critical facilities that may require generators have to be assessed prior to their installation. Assessing facilities for the proper power requirements and establishing hook ups is time consuming and should be accomplished prior to an incident.

Capability:

Static	The state uses ad hoc requirements for generation.
Functional	The state uses USACE/HAZUS modeling to determine power requirements, and to identify key infrastructure (e.g. hospitals) that will require generators.
Horizontal Integration	Key infrastructure and requirements for power during the response phase are identified. The state coordinates a survey with USACE to determine exact

	requirements.
External Collaboration	Generator requirements are thoroughly assessed and locations verified for sufficient pads, hook ups, exact specifications and maintenance.
Synchronized	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.

Approach: In the long term, it is advisable to consider laws requiring identified critical facilities to have generators installed as part of any facility improvement or new constructions. Pre-identify critical infrastructure that may require generators and survey those locations for required size and hook ups. Include commercial generator providers in determining power assessments. Facility managers may look to have contracts in place with commercial providers. The survey should also determine power and hook up requirements. You may also need to establish turnkey contracts which include installation, maintenance, fueling, and demobilization procedures. States attempting to acquire generators following a major incident should expect delays in locating, delivering, and installing the generators and increased costs. Identifying contract support requirements before an incident could alleviate these problems.

Reference: EMAP, EMS, 2010, p. 9

2.2 Activate Critical Resource Logistics and Distribution

2.2.1 (Q56) What documented standard operating procedures does the state have for state staging area operations?

Intent: The LSA SOP or standard operating guide (SOG) should be a complete reference document that provides the purpose, authorities, duration, and details of the preferred method for uniformly performing a number of staging area operations. LSA SOPs and SOGs may include: set up, concept of operations, demobilization, equipment and staffing requirements, roles and responsibilities, position descriptions, job aids, checklists, forms, call-down rosters, safety, resource listings, maps, and charts.

Capability:

Static	The state has no policies or procedures in place for state staging area operations.
Functional	The state has written policies and procedures for state staging area operations.
Horizontal Integration	The state has state staging area policies and procedures in place, which have been developed in cooperation with partners (e.g., National Guard).
External Collaboration	The state staging area policies and procedures are part of an ongoing process improvement effort, which is done in conjunction with the FEMA Region and the USACE.

Synchronized	The state staging area policies and procedures are designed to maximize receiving and distribution operations and are accomplished in conjunction with the FEMA Region and USACE.

Approach: Develop state staging area SOPs or SOGs that:

Designate the agency or organization responsible for the command and control structure that oversees receiving, accounting for, securing, storing, and distributing supplies, equipment, and commodities and include procedures to distribute emergency relief supplies at the local level to disaster survivors.

Describe roles and responsibilities.

Include job aids to receive, inventory, store, and dispatch commodities and equipment, which were developed for each position within the LSA.

Integrate the state stakeholder (including vendors) capabilities into procedures.

Include demobilization procedures for reducing or ending LSA operations when they are no longer needed. These demobilization procedures should address unused supplies, surplus commodities, and the return of accountable property.

Procedures should be the basis for annual review and maintenance.

Reference: EMAP, EMS, 2010, p. 9; National Preparedness Goal, 1st ed., 2011, p. 14

2.2.2 (Q57) What does your state have as documented standard operating procedures for POD operations?

Intent: The POD SOP should be a complete reference document that provides the purpose, authorities, duration, and details of the preferred method for uniformly performing POD functions. LSA SOPs and/or SOGs may include: set up, concept of operations, demobilization, equipment and staffing requirements, roles and responsibilities, position descriptions, job aids, checklists, forms, call-down rosters, safety, resource listings, maps, and charts.

Capability:

Static	The state has no policies or procedures for POD operations.
Functional	The state has written policies and procedures for POD operations.
Horizontal Integration	The state has POD policies and procedures developed in cooperation with partners (e.g., National Guard).
External Collaboration	State POD policies and procedures are part of an ongoing process improvement effort, which is done in conjunction with the FEMA Region and the USACE.
Synchronized	State POD policies and procedures are designed to maximize receiving and distribution operations and are accomplished in conjunction with the FEMA Region and the USACE.

Approach: The following is suggested:

SOPs for state POD operations should be developed, utilizing IS-26 as a guide. These SOPs should provide a command and control structure to oversee receiving, accounting for, securing, storing, and distributing supplies, equipment, and commodities and include procedures to distribute emergency relief supplies to disaster survivors at the local level.

Include job aids, to receive, inventory, store, and dispatch commodities and equipment, which were developed for each position within the LSA.

Integrate the jurisdictional agencies stakeholders (including vendors) capabilities into these procedures.

Include demobilization procedures for reducing or ending LSA operations when no longer needed. These demobilization procedures should address unused supplies, surplus commodities, and the return of accountable property.

Procedures should provide for an annual review and maintenance.

Reference: EMAP, EMS, 2010, p. 9; National Preparedness Goal, 1st ed., 2011, p. 14

2.2.3 (Q58) How does your state demobilize PODs?

Intent: POD demobilization planning assists in effectively managing resources. As power is restored stores begin to open and drinking water becomes available, then POD operations should be reduced and incidentally brought to a close. Remaining commodities should be returned to local warehouses and/or restaged for redistribution to remaining open PODs or distributed to voluntary agencies.

Capability:

Static	The state has no method to determine when PODs are no longer needed.
Functional	The state continues to push commodities to PODs until commodities are no longer needed.
Horizontal Integration	The state receives forecast input from POD managers to determine need.
External Collaboration	The state works with local POD managers to determine POD needs and commodity forecasts and informs outside support agencies (Red Cross, Salvation Army, etc.) of decreasing POD need.
Synchronized	The state forecasts POD demand based on information and usage data from POD managers and works to cross level remaining POD assets. The state works with FEMA Region to ensure inbound commodities reflect POD need. The state adheres to Standard 4.8.4 of the Emergency Management Accreditation Program.

Approach: Ensure a demobilized plan or annex is incorporated into the LSA and POD SOPs.

Coordinate with voluntary agencies. Develop a detailed checklist to follow when demobilizing to ensure all aspects of the operation are covered, it should include, but not be limited to:

Who needs to be notified,

When do they need to be notified,

To where is equipment returned,
Who is responsible for non-utilized commodities,
Where do they go, and
When to release staff.

Reference: EMAP, EMS, 2010, p. 9; National Preparedness Goal, 1st ed., 2011, p. 14

2.3 Acquire Resources

2.3.1 (Q59) How does the state pre-identify mission requirements?

Intent: The state should look at likely missions that may come up during incidents and identify logistical requirements to accomplish those missions, such as establishing a forward command post, establishing an LSA, conducting evacuation operations or flood fight. By identifying possible mission resources during planning you can save time and develop rapid responses to facilitate and standardize the approach.

Capability:

Static	The state has no pre-identification of mission requirements.
Functional	State shortfall analysis is completed.
Horizontal Integration	State pre-identified mission requirements are being developed.
External Collaboration	State pre-identified mission requirements are complete.
Synchronized	State pre-identified mission requirements are completed and vetted with assigned agencies and the state adheres to Resource Management and Logistics Standards 4.8.2, 4.8.3, and 4.8.4 of the Emergency Management Accreditation Program.

Approach: You should identify the likely missions that have a logistical impact requiring personnel, vehicles, other equipment and supplies. Be sure to:

Identify requirements for the number and type of resources.
Identify internal resources from state agencies that can fulfill requirements.
Identify shortfalls that can be filled with mutual aid or commercial resources.
Identify costs involved with deploying your own resources and bringing in commercial resources for that mission.

Maintain a system and a plan for obtaining internal and external resources. To manage resources effectively your system should include procedures that address:

Activating those processes prior to and during a disaster;
Dispatching resources prior to and during a disaster;
Deactivating or recalling resources during or after a disaster;

Establishing predetermined deployment costs, thereby allowing you to estimate possible initial response expenditures for a disaster; and
You could geocode your available inventory, thus ensuring the response and resource adequacy and built-in efficiency for deployment operations.

To assist in this process the Mission Ready Packages (MRP) developed by EMAC could be used to develop the state's requirements, as well as, develop packages to be used in interstate and intra-state mutual aid. States should identify mission requirements and develop the EMAC resource-typed MRPs as an established method for building capacity.

MRPs are specific response and recovery resource capabilities that are organized, developed, trained, and exercised prior to an emergency or disaster. They are based on known facts and historical data, and represent the next logical step after NIMS resource typing. NIMS resource typing has been developed in cooperation with numerous resource providers and coordinated with other state emergency management agencies and FEMA.

MRP components are:

A NIMS-typed resource (if applicable)
Pre-scripted mission statement(s) (What is the scope of the mission that is to be accomplished?)
Limitations (What can the resource not do or a time limitation, etc.?)
Required support (Does this resource require refueling capability or feeding, etc.?)
Footprint needed (For instance what kind of space would they need to conduct their mission at the LSA?)
Time to readiness (How long does it take to get this resource? Mobilization, travel, etc.)
Estimated cost (A good cost estimate results in a good reimbursement package. Also one can make an informed decision if the resource is cost effective to the real mission for which it is requested.)

Detailed information is available at the EMAC Website. http://www.emacweb.org

Reference: EMAP, EMS, 2010, p. 9; National Preparedness Goal, 1st ed., 2011, p. 14

2.3.2 (Q60) What standard typing protocols does your state use to identify required logistics resources by capability?

Intent: Resource typing enhances emergency readiness and response at all levels of government through a system that allows an overwhelmed state to augment its response resources during an incident. Standard resource typing definitions help responders request and deploy the resources they need through the use of common terminology. They allow emergency management personnel to identify, locate, request, order, and track outside resources quickly and effectively, and facilitate the movement of these resources to the jurisdiction that needs them.

Capability:

Static	The state does not type or identify required logistics resources by capability.
Functional	The state types or identifies some critical resources, but the process is not standardized.
Horizontal Integration	The state uses standardized typing or identifying for critical resource capabilities only.
External Collaboration	The state uses standardized typing and identifying for all required logistics resources.
Synchronized	State typing facilitates streamlined request procedures (e.g., force packages to staff PODs or state staging areas).

Approach: Designate a committee or team to type resources in accordance with widely accepted standards. Those resources that were previously typed should be evaluated, and, if required, flagged for future typing. Resource typing is categorizing and describing response resources that are commonly exchanged in disasters through mutual aid agreements. The National Integration Center (NIC) has developed and published over 120 resource typing definitions. Utilize these definitions as much as possible when requesting resources. Avoid developing your own typing system for continuity and conducting mutual aid coordination with other states. If you have a unique piece of equipment or capability then the state should work with the NIC to develop a standard.

Reference: NIMS, 2008, pp. 41-42; National Preparedness Goal, 1st ed., 2011, p. 14

2.3.3 (Q61) What documented in-state (municipality or county level) mutual aid agreement request policies, procedures and information technology tools does your state have?

Intent: NEMA developed Model Intrastate Mutual Aid Legislation that allows states, counties, and municipalities to assist one another in responding to natural and man-made disasters. Each state should clearly define policies and procedures to utilize intrastate mutual aid and incorporate information management technology tools to facilitate timely requests, tracking, and updates.

Capability:

Static	The state has no policies or procedures for in-state mutual aid agreement requests.
Functional	The state has defined policies, procedures, roles, and responsibilities for in-state mutual aid agreement requests.
Horizontal Integration	The state has defined policies, procedures, roles, and responsibilities for in-state mutual aid agreement requests with some information management technology tools.
External Collaboration	The state has defined policies, procedures, roles, and responsibilities for in-state mutual aid agreement requests fully enabled by information management technology (e.g. Xebec or similar application).
Synchronized	In-state mutual aid agreement procedures and tools are optimized to ensure a fast request flow, request tracking, and real time sates updates.

Approach: The Model Intrastate Mutual Aid Legislation was produced by NEMA in concert with the DHS and FEMA and a cross section of emergency response disciplines to facilitate intrastate mutual aid among participating political subdivisions in a state.

Areas that should be addressed are:

Preamble;
Emergency responders defined;
Participating political subdivisions' responsibilities;
Implementation;
Limitations;
License, certificate, and permit portability;
Reimbursement, disputes regarding reimbursement;
Development of guidelines and procedures;
Workers' compensation;
Immunity; and
Severability.

Keys to developing mutual aid agreements:

Closely tie legislation and agreement to EMAC member states' legislation and SOPs for seamless escalation of disaster response and execution of mutual aid.

Encourage participation by a broad range of emergency responders. Include other definitions as appropriate. Consider global perspective, e.g., public works, private entities, medical personnel, public transportation, and others.

Make legislation opt out. Most states have several hundred municipalities and other jurisdictions within their borders. To attempt to get everyone on board on an opt in agreement could take years and never achieve a plurality of participation. By making legislation opt out, everyone is a part of the system the day it becomes law.

Develop forms to facilitate requests for aid, recordkeeping regarding movement of equipment and personnel, and reimbursement.

Require use of a standardized incident command and management system consistent with that used by the state.

In addition to not affecting any existing agreements, also allow for supplemental agreements between participants.

For full information on the Model Intrastate Mutual Aid Legislation go to:
http://www.emacweb.org

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.3.4 (Q62) What documented interstate (state-to-state level) Emergency Management Assistance Compact (EMAC) request policies, procedures, and information technology tools does your state have?

Intent: EMAC is an interstate mutual aid agreement that allows states to assist one another in responding to natural and manmade disasters. Clearly define policies and procedures to utilize EMAC and incorporate those procedures into your information management technology tools to facilitate the flow of requests, tracking, and updating requests in real time.

Capability:

Static	The state does not have policies or procedures for EMAC requests.
Functional	The state has clearly defined policies, procedures, roles, and responsibilities for EMAC requests.
Horizontal Integration	The state has clearly defined policies, procedures, roles, and responsibilities for EMAC requests with some information management technology tools.
External Collaboration	The state has clearly defined policies, procedures, roles, and responsibilities for EMAC requests fully enabled by information management technology tools (e.g., WebEOC or similar application).
Synchronized	EMAC procedures and tools are optimized to ensure the fast flow of requests, tracking of requests, and real time updating of EMAC status.

Approach: EMAC procedures and policies are well documented on the EMAC Website. It is suggested that you use the standards to incorporate them into SOPs, plans, and information technology management. Ensure that all partners within the jurisdiction include the various ESFs, nongovernment organizations, and VOADs, which should have at least a basic understanding of EMAC and its procedures.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.3.5 (Q63) What organization is defined as the state's lead agency coordinator for logistics?

Intent: Logistics is not something that should be arbitrarily assigned to an agency or an individual during a disaster. Even the most detailed plans cannot replace the experience and knowledge of an assigned and dedicated Logistics Chief and agency.

Capability:

Static	The state does not have a logistics coordinator identified.
Functional	The state has a logistics coordinator and backup identified and the state logistics needs are defined.
Horizontal Integration	The state has established a logistics coordinator who has clearly defined assets and procedures to coordinate state logistics requirements during a disaster response.
External Collaboration	During a disaster response, the logistics coordinator directs and controls all state logistics requirements.

Synchronized	The state's logistics coordinator has worked with external partners and private vendors to meet state requirements during a disaster response.

Approach: Assign an agency to be the state logistics lead. If not the emergency management agency, then an agency responsible for logistics or procurement.

Assign a dedicated logistics chief. At the state level the true time commitment of developing logistics SOPs, pre-incident contracts, and resources, and working with private vendors and external partners, etc. is most likely a full time responsibility, not just a disaster requirement.

Additional staff could be required for any incident having a dedicated agency or agencies to fulfill that requirement.

Reference: Task Book for the Position of Logistics Section Chief Type 1 and Type 2, 1993

2.3.6 (Q64) What documented policies, procedures, and automation tools does your state have for Action Request Form (ARF) submissions to FEMA?

Intent: The Action Request Form (FF 90-13) is used to request federal assistance and should be the next step in acquiring resources after exhausting state and mutual aid capabilities. Your clearly defined policies and procedures should integrate the FEMA ARF process and procedures with the state's processes and procedures and you should incorporate those procedures in your information management technology tools to facilitate the flow of requests, tracking, and status update requests in real time.

Capability:

Static	The state does not have policies, procedures, or tools for submitting ARF requests to FEMA.
Functional	The state has clearly defined policies, procedures, and tools for ARF submissions.
Horizontal Integration	The state has clearly defined policies, procedures, and responsibilities for ARF requests with some information management technology enablers.
External Collaboration	The state has clearly defined policies, procedures, roles, and responsibilities for ARF submissions fully enabled by information management technology.
Synchronized	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.

Approach: Having predesigned and partially completed ARFs for those items that normally are requested from the federal government could reduce the time lag in acquiring approval. Having staff that is thoroughly trained and familiar with the procedures for requesting federal assistance with ARFs, could also reduce costs and possible miscommunications in identifying the required resources during the response.

Reference: National Preparedness Goal, 1st ed., 2011, p. 6

2.3.7 (Q65) How does your state train personnel to prepare and track ARFs?

Intent: Develop a trained staff that can specialize in the preparing and tracking ARFs requested by a state during an incident, thus reducing the possibility of duplication of requests, incorrect routing, and increased costs.

Capability:

Static	The state does not have primaries and backups sufficient for 24 hour operations designated for ARF preparation and tracking.
Functional	The state identifies primaries and backups for ARF preparation and tracking.
Horizontal Integration	State personnel designated to prepare ARFs are familiar with the policies, procedures, and tools for ARF preparation.
External Collaboration	The staff responsible for ARF preparations are trained by the FEMA Region staff on ARF preparation.
Synchronized	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 is provided.

Approach: Develop procedures for preparing and tracking ARFs. Train and certify staff in ARF procedures, preparations, and tracking. Consider just-in-time training for additional staff, such as financial officers from other states that have been deployed as part of an EMAC mission or personnel from other agencies utilized as additional staff during the incident.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.3.8 (Q66) What are the state's resource management processes and procedures?

Intent: You should have SOPs and/or SOGs in place and personnel identified and trained to carry out the logistics function, particularly commodity management.

Capability:

Static	The state does not have commodity management processes, procedures, or personnel identified.
Functional	The state identifies logistics action officers who are familiar with commodity management processes and procedures.
Horizontal Integration	The state identifies logistics action officers familiar with state procurement procedures, commodity management procedures, and sources of supply.
External Collaboration	The state logistics action officers establish working relationships with key stakeholders in the state and federal disaster logistics community, suppliers, and other key partners.
Synchronized	Common protocols exist for stakeholders to use. Exceptions can be resolved through an established process and results are communicated horizontally and vertically.

Approach: It is suggested that you:

Develop supply management as part of overall logistics procedures.
Develop procedures, job aids, forms, and job descriptions.
Identify personnel to fill logistics action officer positions.
Train identified personnel in supply management procedures.
Exercise with other state and federal partners, as well as vendors and other key stakeholders to develop working relationships.

Reference: NIMS, 2008, pp. 33-34

2.3.9 (Q67) How does the state document commodity or equipment orders?

Intent: Use manual or automated standard documentation, processes, standard forms, and formats.

Capability:

Static	The state does not have commodity management processes, procedures, or personnel identified.
Functional	Orders require an initial order form, but shipment legs are not documented through formal approvals, ordering processes, receiving, invoicing, and payment.
Horizontal Integration	Orders for key resources and equipment are usually documented manually end-to-end, but neither the documents nor the processes are standardized.
External Collaboration	Orders are documented end-to-end and integrated with external stakeholders' processes and/or systems.
Synchronized	Orders follow a standard set of processes for completion and submission of standard forms. Some or all forms are submitted and/or received electronically.

Approach: Ensure that staff is familiar with procedures for ordering key resources and equipment. Purchase orders should be documented manually and/or electronically end-to-end and the processes should be standardized. Ordering procedures are integrated with external stakeholder's processes and/or systems. As many forms as practicable should be submitted and/or received electronically and integrated into information management technology systems.

Reference: EMAP, EMS, 2010, p. 9

2.3.10 (Q68) What automated information technology does your state use to facilitate order status updates?

Intent: Ensure that you have highly trained personnel familiar with automated informational technologies and be able to track resource orders and updates in real time. They should be

knowledgeable of written contracts with private sector vendors, thereby reducing possible shortfalls during an incident.

Capability:

Static	The state does not utilize automated information technology (AIT).
Functional	Some AIT is utilized for tracking of state logistics assets.
Horizontal Integration	AIT is utilized for tracking state logistics assets.
External Collaboration	State AIT requirements are written into contracts with private sector suppliers.
Synchronized	AIT technologies provide real time status updates that are used in logistics decision making during a disaster response.

Approach: Develop training policies and maintain a trained staff familiar with automated technologies for placing vender orders and tracking delivery of those orders. Exercise this training during local and statewide exercise(s) to identify and correct any shortfalls prior to an incident.

Reference: EMAP, EMS, 2010, p. 9

2.3.11 (Q69) If the state does not use automated information technologies, (e.g., RFID or satellite), how is information management used to facilitate order status updates?

Intent: To have highly trained personnel familiar with non-automated, informational technologies and who are able to track resource orders and updates in real time. This same group is extremely knowledgeable with written contracts with private-sector vendors, therefore reducing possible shortfalls during an incident.

Capability:

Static	No management processes exist for order status updates.
Functional	Some management processes exist for order status updates.
Horizontal Integration	State logistics personnel maintain tools, such as order logs to sustain and update the status of orders and shipments.
External Collaboration	Order status notification requirements are written into contracts with private-sector suppliers.
Synchronized	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.

Approach: Develop a knowledgeable and trained staff familiar with written contracts for placing vender orders and tracking delivery of those orders. This staff should be able to track expenditures by agency during an incident and be able to manage those expenditures. Exercise this training during local and statewide exercise(s) to identify any shortfall in the system and correct those identified prior to an incident.

Reference: EMAP, EMS, 2010, p. 9

2.4 Common Operating Picture

2.4.1 (Q70) What is the process for ensuring that state logistics personnel have access to the common operational picture (COP) so that they have appropriate situational awareness?

Intent: A COP offers a standard overview of an incident, thereby providing incident information that enables the Incident Commander or Unified Command and any supporting agencies and organizations to make effective, consistent, and timely decisions. Compiling data from multiple sources and disseminating the collaborative information facilitates situational awareness. Situational awareness gained through a COP ensures that responding entities have the same understanding and awareness. WebEOC and other methods can be used to build the information base needed for a COP. The logistics staff should train and conduct exercises to ensure that they understand and are familiar with COP. State logistics personnel should have access to the COP to facilitate logistics operations situational awareness on distribution nodes such as rail, air, and ground transportation that may affect resupply. They should also have visibility of commodity inventory on-hand and in warehouses and LSAs to assist with real time decision making.

Capability:

Static	The state does not provide access to the common operation picture for situational awareness.
Functional	Personnel obtain situational awareness on a mission-by-mission basis.
Horizontal Integration	The state provides partial situational awareness (e.g., road closures only).
External Collaboration	The state provides for full situational awareness for distribution nodes.
Synchronized	The state provides for situational awareness to be integrated into logistics decision making in real time.

Approach: A COP is a single display of relevant (operational) information (e.g., position of staff and facilities, such as PODs; LSA, and single resources; position and status of important infrastructure, such as bridges, roads, etc.) shared by the state EOC, FEMA, and local EOCs. A COP facilitates collaborative planning and assists all levels to achieve situational awareness.

The planning section is typically responsible for ensuring that the appropriate information is presented to the EOC leadership. Traditionally, the plans section prepares maps with various symbols to show the locations of resources, and other relevant information with the logistics sections input. The COP should be an electronic system maintained by the state's information technology organization.

Reference: NIMS, 2008, p. 23

2.4.2 (Q71) How does the state integrate purchasing information into the logistics common operating picture?

Intent: Purchasing information should be integrated into the logistics COP. This should provide visibility over materials and services ordered, visibility of critical commodities on-hand, due-in via procurement, and available for use. Visibility of commodities, services, and resource status are features of a logistics COP.

Capability:

Static	The state has no visibility over ordered materials or services.
Functional	The state manually maintains some visibility of ordered materials or services.
Horizontal Integration	State logistics personnel have visibility of critical commodities on hand, due-in via procurement, and available-to-promise balances.
External Collaboration	State logistics personnel have visibility of all commodities on-hand, due-in via procurement, and available-to-promise balances.
Synchronized	The state maintains a data base with real time information of commodities on-hand, due-in via procurement, and available-to-promise balances.

Approach: Conduct a needs assessment to determine visibility requirements. Analyze requirements and create goals and objectives to meet the data and user requirements. Develop a business case with process steps to accomplish collective requirements. Validate the business case through workshops and tabletop exercises. Establish a pilot program, train stakeholders, and run a functional exercise to validate assumptions and processes. Implement corrective actions and lessons learned. Conduct a full scale exercise to assess the status of the program. Incorporate lessons learned and complete a corrective action implementation plan.

Reference: EMAP, EMS, 2010, p. 9

2.5 Procurement

2.5.1 (Q72) How is purchasing training incorporated into the state disaster logistics process?

Intent: To incorporate best purchase ideas when training logistical staff on locating and securing resources during an incident, develop SOPs and/or SOGs to pre-identify vendors and maintain an up-to-date listing of possible vendors and materials available. Purchasing training should be incorporated into the state's disaster logistics program. Training in the purchasing SOP and understanding of purchasing procedures during disasters, as well as day-to-day, for vendor identification and resource acquisition of key resources is advised.

Capability:

Static	No purchasing training is required for logistics personnel.
Functional	A purchasing overview is incorporated into other logistics training.

Horizontal Integration	Training on purchasing SOPs for vendor identification and resource acquisition is required for key resources.
External Collaboration	Does not apply.
Synchronized	Training on purchasing SOPs for vendor identification and resource acquisition is required for all logistics resources involved in the procurement process.

Approach: Identify possible and potential vendors and their resources. Survey these identified stakeholders for training needs at various credentialing and qualification levels. Develop the training curricula in cooperation with stakeholder groups. Conduct and evaluate training for stakeholders on how to identify these resources by kind and type and maintain a current listing of materials, possible equipment, and reliability. Exercise resources during the scheduled statewide and local exercises.

Reference: EMAP, EMS, 2010, p. 11

2.5.2 (Q73) How do lead time standards affect the state mission assignments process?

Intent: States should incorporate lead time standards for mission assignments and include these standards in vendor contracts. Lead time standards give the logistics staff and customers realistic expectations of when supplies and resources can be delivered to points throughout the supply chain.

Capability:

Static	The state has no lead time standards for completing mission assignments.
Functional	The state has generally accepted standards for completing mission assignments, but they are not written into contract SOPs.
Horizontal Integration	The state has mission assignment lead time standards for organic and sourced commodities.
External Collaboration	Established and documented mission assignment, lead time standards for organic and sourced commodities are included in contract performance requirements.
Synchronized	Commodity lead time standards are included in contract performance requirements and training is provided to ensure that the procurement stakeholders adhere to state acquisition processes.

Approach: Consider working closely with logistics partners at all levels to develop lead time standards for different types of missions your state may experience. Vendors and other supply chain partners should be able to provide standard delivery times based on the required time needed to mobilize, deploy, travel, and setup for a mission. These time lines should be incorporated into performance requirements for vendor contracts (i.e., when ordering a RSC you cannot expect it to be operational 24 hours after being ordered). The vendor will require time to mobilize, deploy, and travel to the site and set up, and depending on the size of the camp additional setup time may be required. The same can be said for buses, commodities, staff, etc.

Reference: EMAP, EMS, 2010, p. 9

2.5.3 (Q74) What first in, first out (FIFO) commodity sharing and visibility structure does your state use with neighboring counties and states?

Intent: Is for the state to employ a FIFO commodity sharing and visibility structure with neighboring counties and states to ensure that commodities that have been in the inventory the longest are the first to be consumed.

Capability:

Static	The state does not use FIFO inventory management.
Functional	The state maintains a FIFO inventory system at state run facilities (state staging areas).
Horizontal Integration	The state encourages counties to maintain visibility into on-hand inventories.
External Collaboration	The state has agreements in place with neighboring states to ensure visibility of existing inventories and employ the FIFO paradigm.
Synchronized	The state has real time visibility into county, state, and interstate systems.

Approach: It is important to use FIFO or some other standardized process for minimizing loss through expiration thus insuring that consumable supplies are used before they lose their value. Using FIFO in mutual aid with other states is a technique where states or counties that maintain stocks of consumable supplies provide those supplies to each other with the agreement that the first in will be sent to the state or county they are assisting and they will in turn replenish the providing state with a new inventory. This process ensures that a fresh inventory is maintained. The key to FIFO is maintaining visibility of existing inventories. Maintaining visibility in real time for county, state, and interstate systems should be the ultimate goal.

Reference: EMAP, EMS, 2010, p. 9

2.5.4 (Q75) How does the state ensure that key state logistics personnel understand the Federal procurement reimbursement program?

Intent: Each state agency should have staff trained in federal reimbursement procedures and policies that can process expenditures during an incident.

Capability:

Static	The state does not have a strong understanding of the federal procurement reimbursement program.
Functional	The state logistics and procurement mechanisms are informally linked.
Horizontal Integration	The state logistics department maintains close coordination with procurement and accounting to ensure a clear audit trail for all disaster purchases.
External	The state logistics and procurement departments keep a detailed audit trail and

Collaboration	document file for all purchases and have open lines of communication with FEMA reimbursement personnel.
Synchronized	The state has SOPs in place to maintain manual or electronic audit trails for all disaster purchases, to vet with accounting and/or procurement, and to ensure proper steps are taken for reimbursement, where applicable.

Approach: Ensure that all agencies have individuals assigned with knowledge of the federal procurement reimbursement program and its policies and procedures; this should ensure that the proper documentation and receipts can be maintained during an incident resulting in faster reimbursement.

Key state logistics personnel should understand the federal procurement reimbursement program. Logistics and procurement should be formally linked with a strong understanding of the federal procurement reimbursement program. SOPs and/or SOGs are used to maintain manual or electronic audit trails for all disaster purchases to vet with accounting and/or procurement, and ensure proper steps are taken for reimbursement. This understanding should help avoid procurement mistakes, such as purchasing an item that the federal system will only reimburse at the rental rate. The close coordination with procurement and accounting and maintaining a detailed document file for all purchases ensures a clear audit trail.

These individuals should work closely with other state and federal finance officers to ensure that proper documentation and receipts are maintained and submitted for reimbursement. Also these staff members should work closely with other agencies during exercises to identify and correct misconceptions and shortfalls in the process.

Reference: EMAP, EMS, 2010, p. 5

2.6 Transportation

2.6.1 (Q76) To what extent has the state determined transportation requirements for commodity distribution?

Intent: The state should conduct an analysis of transportation requirements to deliver critical commodities during the initial response phase (first 72 hours) and beyond. The analysis should ensure enough government or contractual transportation assets have been identified to accomplish delivery of all state support and meet additional surge requirements.

Capability:

Static	The state did not determine transportation requirements.
Functional	The state completes an analysis of transportation requirements.
Horizontal Integration	The state has enough transportation assets identified to accomplish delivery of critical commodities in the initial response (first 72 hours).
External Collaboration	The state has enough transportation assets identified to accomplish delivery of all commodities beyond the first 72 hours.

Synchronized	The state identifies all required transportation assets to support the response mission with additional contracts in place to meet additional surge requirements.

Approach: It is suggested that you:

Determine the number of internal assets available.
Use USACE modeling to determine transportation requirements.
Evaluate other trucking and transportation needs, such as smaller trucks (26 ft.) and vans.
Prepare pre-incident contracts to meet unmet transportation requirements.
Continually evaluate transportation requirements during an incident.

Reference: EMAP, EMS, 2010, pp. 9-10

2.6.2 (Q77) To what extent has the state determined ground evacuation transportation requirements?

Intent: By identifying at risk populations the state should be able to estimate the required transportation needs to evacuate an effected population prior to a real incident.

Capability:

Static	The state's evacuation transportation requirements have not been determined.
Functional	A shortfall analysis of transportation requirements has been completed.
Horizontal Integration	Enough transportation assets (e.g. buses) are identified to accomplish evacuation of critical care and special needs populations.
External Collaboration	Enough transportation assets are identified to evacuate all impacted population unable to self evacuate.
Synchronized	All required transportation assets are identified to support the evacuation mission with additional contracts in place to meet unexpected surge requirements.

Approach: Determine whether your state has adequate means of transporting an impacted population from a threatened area within the state to a safe location and to determine what internal transportation resources you can utilize. Develop pre-disaster contracts with transportation and special transportation (i.e., medical) vendors to meet unmet requirements. Conduct exercises with local and state government agencies to identify potential and possible shortfalls prior to a real incident. Coordinate requirements with other states and your FEMA Region to establish priorities and deconflict resources.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-19

2.6.3 (Q78) To what extent have logistics support requirements for the ground evacuation mission been established?

Intent: An analysis of transportation requirements is conducted in order to determine ground support requirements such as fuel, evacuee processing facilities, and other support required to accomplish the ground evacuation mission.

Capability:

Static	The state did not determine requirements for the ground evacuation mission.
Functional	A preliminary survey is completed of available staging areas for buses, fueling sites along the evacuation route, and facilities for processing of evacuees.
Horizontal Integration	The state thoroughly assessed available staging areas for buses, and developed detailed equipment and personnel requirements for fueling sites along evacuation route(s), facilities for the processing of evacuees, and the provision of water and meals to evacuees.
External Collaboration	The state identifies all logistics requirements and coordinated with appropriate agencies for staffing and equipment to support the ground evacuation mission.
Synchronized	The state shares all relevant requirements and plans with all of 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.

Approach: Support requirements could include:

Fuel,
Staging areas for buses,
Debarkation sites,
Reception and processing facilities, and
Support services such as feeding, drinking water, portable toilets, first aid, etc.

Determine staffing requirements and:

Assign responsibilities to agencies.
Establish pre-incident contracts as required.
Establish MOUs with facility owners.

Conduct operational exercises for the proposed locations to be used to process evacuees, identify shortfalls or potential hazards associated with mass evacuation, ensure that pre-disaster contracts are in place, and that location(s) are adequate for safe operations. Ensure that the vendors can provide the required ground transportation, fuel, meals, water, and other requirements to support the operations.

Reference: National Preparedness Goal, 1st ed., 2011, p. 12

2.6.4 (Q79) To what extent has the air evacuation transportation requirements for your state been established?

Intent: It is important for the state to conduct an analysis of air transportation requirements to be able to accomplish the air evacuation mission.

Capability:

Static	The state does not determine air evacuation requirements.
Functional	A shortfall analysis of air transportation requirements is completed. Efforts are made to maximize the use of ground transportation and minimize the use of air assets for evacuation. A preliminary census of those populations requiring air evacuation and the identification of staging areas for them is completed.
Horizontal Integration	Initial coordination is completed with applicable agencies (Air National Guard, Coast Guard, United States Northern Command (NORTHCOM), and United States Transportation Command (USTRANSCOM)) for provision of both fixed and rotary wing air assets and associated command and control elements.
External Collaboration	Enough transportation assets are identified to evacuate all impacted population unable to self evacuate.
Synchronized	All required transportation assets are identified to support the evacuation mission with additional contracts in place to meet unexpected surge requirements.

Approach: It is important to determine how many persons may have to be evacuated by air. Consider conducting an analysis to ensure enough government air assets, including EMAC or contractual transportation assets have been identified to accomplish the air evacuation requirements.

After the completion of the analysis, determine if air evacuation is a viable option.
It is helpful to become familiar with neighboring states that may have aviation assets that can be deployed to your state when needed. Developing disaster MOUs with these states should expedite getting support.

It will probably be cost prohibitive to have air assets participate in a full scale exercise. However, by analyzing and identifying possible impacted populations that may be unable to self evacuate, state and local logistics planners should be able to estimate air resources needed to safely and effectively conduct an air evacuation.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.6.5 (Q80) What logistics support requirements for the air evacuation mission has your state identified?

Intent: An analysis of air transportation requirements is conducted to determine air support requirements such as fuel, evacuee processing facilities, and other support to accomplish the air evacuation mission.

Capability:

Static	The state does not determine its logistics support requirements.
Functional	A preliminary survey is completed of available air fields and their maximum on ground (MOG) capability, fuel bunkering, and facilities for the processing of evacuees.
Horizontal Integration	The state identifies ground transportation needs to move evacuees to their aerial port of embarkation (APOE), fuel requirements for the ground transportation, meals and/or 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 the APOE and APOD.
External Collaboration	The state identifies all logistics requirements and coordinated with appropriate agencies for staffing and equipment to support the air evacuation mission.
Synchronized	The state shares all relevant requirements and 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.

Approach: Consider conducting an analysis of air transportation support requirements to be able to accomplish the air evacuation mission.

The analysis should identify:

Available air fields and their MOG capability, fuel bunkering, and facilities for processing of evacuees;
Ground transportation needs to move evacuees to their APOE,
Fuel requirements for the ground transportation, meals and/or water requirements for evacuees at the APOE;

Personnel requirements for the processing and manifesting of evacuees at both the APOE and APOD; and

Air asset fuel requirements at both APOE and APOD.

Conduct operational exercises of the proposed locations for processing air evacuees to identify any shortfalls or potential hazards associated with mass evacuation, ensuring that pre-disaster contracts are in place and adequate for safe operations, and that vendors are able to provide the required air transportation support and other requirements to support the operations.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

2.6.6 (Q81) How does your state measure transportation utilization?

Intent: Measuring transportation usage is recommended to save money. Often trucks sit idle for long periods of time or are deployed with partial loads. This wastes money and ties up resources that could be utilized elsewhere.

Capability:

Static	Transportation utilization is not tracked by the state.
Functional	The state measures rudimentary utilization statistics (e.g., number of deliveries made).
Horizontal Integration	Planning and operations are conducted in a manner to facilitate high utilization.
External Collaboration	High utilization is an organizational priority.
Synchronized	Transportation utilization drives operational decisions.

Approach: The following steps are recommended:

Develop tracking procedures,
Maintain check-in and departure logs,
Quantify deliveries made, and
Look into using the systems to track use of vehicles and assignments.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

6.3 Distribution Management Questions

The following section is comprised of questions taken directly from the Distribution Management section of the LCAT questionnaire. They are numbered to correlate to the numbering in the questionnaire.

3. Distribution

3.1 Order Tracking

3.1.1 (Q82) What order/commodity tracking system does your state have in place?

Intent: Resource tracking is a standardized, integrated process conducted throughout the life cycle of an incident. It provides a clear picture of where resources are located and helps staff prepare to receive them. Procedures to track resources continuously from mobilization through demobilization should be established, and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state has no tracking system for on-hand stocks, due-in quantities, due-out quantities, and available-to-promise stocks.
Functional	Commodity data is tracked manually.

Horizontal Integration	Commodity data is tracked with technology enablers (e.g., Excel spreadsheet of on-hand, due-in, and due-outs).
External Collaboration	Near real time tracking information is shared by external partners (e.g., local government, private suppliers) and state logistics personnel.
Synchronized	The state has real time tracking of commodity and order data across the state supply chain.

Approach: The following methods and systems can be used to collect, update, and process data, track resources, and display the readiness status of resources:

Any requirements for en route check-in (by time, by location, etc.),
GIS,
Resource tracking systems,
Transportation tracking systems,
Inventory management systems, and
Reporting systems.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14; NIMS, 2008, pp. 37-38

3.1.2 (Q83) How does your state receive order status updates?

Intent: Part of the resource tracking process is to receive order status updates. It helps provide a picture of where resources are located in the pipeline, prepare staff to receive them, and facilitates other decision-making requirements. Real time information could be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not receive updates on order status.
Functional	The state receives manual updates on order status.
Horizontal Integration	The state uses semi-automated (spreadsheet) updates on order status that are available to state logistics personnel.
External Collaboration	Some suppliers provide real time updates on order status, and information is shared with local authorities as well.
Synchronized	Real time, order status tracking supports informed logistics management decisions.

Approach: Pre-incident contracts could include status updating requirements and require provider points of contact to call in status updates.

Develop tracking spreadsheets or automated formats for use in the LSA to manage order status.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.1.3 (Q84) How are orders closed out upon delivery in your state?

Intent: Closing out delivery is key to resource management and can affect ordering, purchasing, and accountability, wherever the final delivery is accomplished, at the LSA, POD, or for another end user.

Capability:

Static	Delivery confirmation is not available.
Functional	Some PODs or state staging areas can provide notice of delivery upon request.
Horizontal Integration	All PODs and state staging areas can provide notice of delivery upon request.
External Collaboration	Delivery confirmations are routinely provided to the state logistics manager.
Synchronized	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.

Approach: Reporting protocols are developed to ensure that all end users report delivery, sign for, and secure invoices, bills of lading, and other documentation indicating delivery. The documentation should be provided to the purchasing and contracting unit.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.1.4 (Q85) What transportation scheduling system does the state use; push driven (a fixed delivery schedule of a set quantity to a set location), pull driven (demand), or a combination of both?

Intent: Push is defined as a fixed delivery scheduled for a set quantity to a set location as determined by the supplier, while pull is providing support based on the schedule provided by the end user. A push schedule can get resources into the disaster area quickly. As requirements change, a pull demand driven schedule can be utilized.

Capability:

Static	Transportation scheduling is conducted on an ad hoc basis.
Functional	Transportation schedules are routine varying little from day to day.
Horizontal Integration	Transportation schedules will begin to vary based upon daily volumes.
External Collaboration	Transportation schedules are dynamic and vary based upon daily volumes and demand requirements.
Synchronized	Transportation schedules are push driven early on in a disaster, but later are demand driven, based on POD on-hand inventory and projected demand balancing.

Approach: Working with local partners enables you to identify those items most commonly needed following the first 72 hours after an incident. By having these items pre-identified you should be able to order, stage, and push them into an effected area quicker. It is easier to return unneeded items than it is to locate, order, and deploy them.

After initial response is accomplished and the situation has begun to stabilize or as PODs have developed burn rates, scheduling can revert to demand driven or pull requests.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2 Transportation Coordination

3.2.1 (Q86) How are multi-factor criteria used to select transportation providers (carriers) in your state?

Intent: Transportation providers (carriers) could be selected using multi-factor criteria such as capability, availability, types of trailers, tractors, buses, etc.

Capability:

Static	Carrier selection is ad hoc with no documented criteria for selection.
Functional	State selection is based on availability and a data base of carriers exists.
Horizontal Integration	State agencies have formal, integrated SOPs; carrier selection criteria are defined.
External Collaboration	The state coordinates plans and SOPs with other state, local, tribal, and external partner agencies, organizations, and private vendors. Carrier selection criteria are defined.
Synchronized	Multiple carrier selection criteria and data drive carrier selection from a list of pre-identified transportation carriers.

Approach: You could consider having multiple pre-incident transportation carrier contracts available to increase the available transportation capabilities (i.e., a trusted and proven primary carrier that is utilized immediately following an incident with a secondary carrier on standby in case the primary becomes overloaded).

Reference: EMAP, EMS, 2010, section 4.8.1, p. 9

3.2.2 (Q87) What organization is defined as the state's lead agency coordinator for transportation?

Intent: Transportation is a complicated profession where experience is valuable. A clearly defined lead agency and/or coordinator for transportation should be identified and the transportation coordinator's role defined.

Capability:

Static	The state transportation coordinator is not identified (movement control cell).
Functional	The state transportation coordinator and backup are been identified and state transportation needs are defined.
Horizontal Integration	The transportation coordinator has clearly defined assets and procedures to coordinate state movement requirements during a disaster response.
External Collaboration	The transportation coordinator works with external partners and private vendors to meet state requirements during a disaster response.
Synchronized	During a disaster response, the transportation coordinator directs and controls all state movement requirements.

Approach: Having one person or one agency representative as lead reduces confusion, standardizes operations, and follows the NIMS objectives for managing large or small incidents.

Assign a lead agency such as the emergency management agency or an agency with a mission to manage transportation such as the state DOT, a National Guard transportation unit, or a commercial carrier. Also assign a dedicated transportation coordinator. Additional staff could be required for a dedicated agency or agencies to fulfill that requirement. Consider conducting training and providing opportunities for professional development for all staff.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010 pp. 2-4

3.2.3 (Q88) What function best describes the role of the transportation coordinator?

Intent: The transportation coordinator monitors shipments and looks at the immediate transportation needs during the first 72 hours and the long term needs during later phases of the incident.

Capability:

Static	Shipment monitoring and control does not exist.
Functional	Shipment monitoring and control are reactive.
Horizontal Integration	The state conducts some anticipatory planning.
External Collaboration	Tactical planning is accomplished for a 6 to 24 hour time period.
Synchronized	Incident action planning is accomplished for a 24 to 48 hour time period.

Approach: It is important to establish roles and responsibilities for the transportation coordinator who as a minimum:

Monitors and controls transportation.
Conducts tactical transportation planning for the first 72 hour period and incident action planning for later response phases as required.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2.4 (Q89) How does the state establish contracts or agreements with transportation providers, public or private?

Intent: Establish state contracts or agreements with public or private transportation providers, if legally permissible.

Capability:

Static	The state does not conduct an analysis of its potential requirements for transportation (i.e., National Guard or private sector).
Functional	The state has no pre-existing contracts or agreements with transportation providers.
Horizontal Integration	The state has some pre-existing contracts or agreements with transportation vendors.
External Collaboration	The state has pre-existing contracts or agreements for all anticipated transportation needs.
Synchronized	The state has additional contingency contracts in place to account for major disaster surge requirements.

Approach: It is recommend that you establish pre-incident contracts with transportation providers.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2.5 (Q90) How do transportation carriers provide status/location updates?

Intent: Determine when transportation assets should provide a status and location update.

Capability:

Static	No status updates are provided.
Functional	Only dispatch updates are provided.
Horizontal Integration	Dispatch and delivery notifications are provided.
External Collaboration	Real time order status tracking supports informed logistics management decisions.
Synchronized	Real time order status and location updates inform ongoing decision making and enhance anticipatory planning.

Approach: As a minimum, transportation carriers should provide you with real time dispatch and delivery notifications. They could call in to your transportation coordinator or at check-in at the POD or LSA site.

Additionally, you could require them to provide status and location or delay updates and notification on arrival at the end point. This would provide the flexibility to redirect shipments en-route to alternate or priority locations.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2.6 (Q91) How does your state manage and assign loads to carriers?

Intent: It is important to determine how carrier load assignments should be managed.

Capability:

Static	Loads are assigned manually by phone with no documentation.
Functional	Loads are assigned via fax or phone with some limited documentation.
Horizontal Integration	Load tendering is accomplished via email with complete documentation.
External Collaboration	Private vendor systems are updated with load requirements and assigned electronically.
Synchronized	The state uses real time, shared information, and data captures for load assignments with logistics partners.

Approach: You could develop either a manual system to assign loads to assigned vehicles or develop and use an automated system. The LSA manager or the warehouse manager should be responsible for assigning loads. Here is an example of an assignment flow:

EOC personnel assign the mission.
Warehouse personnel assign the load and prepare the pickers list.
Pickers select the products.
Dispatch assigns an appropriate vehicle and the vehicle is loaded.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2.7 (Q92) How does your state gain in-transit visibility capability?

Intent: The state should have in-transit visibility capability and consider, when required, whether or not security escorts should be utilized for critical loads.

Capability:

Static	The state has no in-transit positional monitoring or reporting requirements.
Functional	The carrier provides a position report on request.
Horizontal Integration	Most loads are tracked.

External Collaboration	All loads are tracked.
Synchronized	In-transit visibility allows for rescheduling or diversion based on operational priorities.

Approach: You could either develop a manual system to track in-transit loads by having drivers and/or dispatchers report in periodically or develop and use an automated system using positional monitoring technology.

Many transport companies have owner-operated global positioning system (GPS)/RFID systems that track vehicle locations during movement. When utilizing these companies consider requesting access to their systems. One strategy for gaining access could be to invite them to designate a representative to be part of your logistics function.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

3.2.8 (Q93) How does the state determine when security escorts will be used to protect critical loads?

Intent: Commodities have value and should not be wasted. If the situation warrants, shipments should be escorted to mitigate loss and misdirection.

Capability:

Static	The state makes no provisions for shipment and/or convoy security.
Functional	A security decision is included in transportation planning and dispatches.
Horizontal Integration	A state law enforcement liaison is assigned to logistics and is accessible in the EOC.
External Collaboration	State law enforcement and security planning is integrated with distribution planning.
Synchronized	Does not apply.

Approach: It is possible to work with multiple laws enforcement agencies within the ESF system to call upon numerous nonstandard security escort personnel when needed (i.e., Corrections, Public Service Commission, Forestry, Local Sheriff Offices, available City Police Departments, or EMAC resources).

Conducting tabletop exercises with an ever-increasing level of critical loads enables the agency to determine a saturation point and plan accordingly to increase that point and determine how to support the situations with additional resources from outside agencies.

Reference: National Preparedness Goal, 1st ed., 2011

3.3 Inbound Shipments

3.3.1 (Q94) How are distribution location inbound and outbound shipment schedules coordinated?

Intent: There should be a measure of coordination between inbound and outbound shipment scheduling to take advantage of transportation assets at a majority of the distribution locations. Inbound shipments could be scheduled or managed to control the flow into distribution points to prevent queues and backlogs.

Capability:

Static	The state has no visibility of reverse logistics opportunities and does not balance inbound and outbound shipment scheduling.
Functional	The state has limited visibility to reverse logistics opportunities. Inbound and outbound shipments are scheduled independently.
Horizontal Integration	Some balancing of inbound and outbound shipments exists.
External Collaboration	Inbound/reverse logistics to outbound planning is part of the distribution process.
Synchronized	Inbound and outbound planning (e.g., loads in, backhaul of empties).is a synchronized process

Approach: Consider developing a process to maximize outbound transportation (such as returning bad products or pallets to the shipper) or to transfer commodities from their current location to where they are needed. If a truck arrives and the commodity or part of a shipment is not needed, have the material sent to where it is needed rather than allowing the driver to return to dispatch.

Reference: National Preparedness Goal, 1st ed., 2011, p. 12

3.3.2 (Q95) How are inbound shipments to your state scheduled or managed to control distribution flow into distribution points?

Intent: To manage amounts of loads arriving at the LSA, warehouse, or POD and to ensure that multiple loads of material do not exceed the location's capability, causing excessive processing and unloading backlogs and delays.

Capability:

Static	The state does not use inbound scheduling (i.e., when the load arrives, it arrives) and there is no consideration of distribution point throughput.
Functional	Some inbound loads are scheduled and distribution point throughput capability is known.
Horizontal Integration	Most major inbound shipments are scheduled.
External Collaboration	All inbound shipments are scheduled.

Synchronized	Inbound shipments are scheduled based on throughput capacity of individual distribution points to prevent queues and backlogs.

Approach: It is important to coordinate with carriers to have loads arrive spaced over a period of time or to arrive at designated times.

Reference: EMAP, EMS, 2010, p. 9

6.4 Organizational Functions Questions

The following section is comprised of questions taken directly from the Organizational Functions section of the LCAT questionnaire. They are numbered to correlate to the numbering in the questionnaire.

4 Organizational Functions

4.1 Reporting Structure and Alignments

4.1.1 (Q96) How is disaster logistics aligned with disaster planning, response, and recovery functions in your state?

Intent: Ensure that the logistics department is aligned with all aspects of state emergency management functions.

Capability:

Static	There is no linkage between logistics and other disaster planning, response, and recovery functions.
Functional	Informal linkage exists between logistics and other disaster response functions.
Horizontal Integration	The logistics function is formally integrated with state disaster response functions.
External Collaboration	Coordination exists between internal disaster response functions, as well as external entities, including local, county, tribal, other states and/or federal disaster authorities.
Synchronized	Logistics is fully integrated into overall internal concept of support and operations and with all relevant external authorities.

Approach: In your planning efforts you are advised to integrate logistics preparedness, response, and recovery functions into all aspects of the EOP, coordinating logistics at all levels and with external agencies.

You should conduct various levels of exercises, such as response and recovery phases, to identify any shortfalls in those areas.

Reference: EMAP, EMS, 2010, p. 9

4.1.2 (Q97) What is the status of state disaster logistics personnel staffing?

Intent: A well developed and staffed logistics section facilitates the agency's ability to conduct day-to-day and emergency logistics operations.

Capability:

Static	Logistics functions are assigned as an ad hoc duty.
Functional	The state has dedicated resources, but is understaffed to fulfill all anticipated needs. There is no staffing plan in place.
Horizontal Integration	There is a staffing diagram, which is based on scale of incidents.
External Collaboration	The state has trained and dedicated logistics cadre with a staffing schedule. The state has a plan to incorporate logistics personnel from other state agencies.
Synchronized	The state staffing schedule and requirements are integrated with FEMA and National Guard.

Approach: It is suggested that you:

Assign staff to the logistics section based on your intended level of operations.
Assign external staff to positions that cannot be filled by agency staff.
Train logistics personnel in all aspects of logistics operations, to include, purchasing, resources tracking, and mission assignment.

Do not limit yourself to those people within logistics – look to other agencies to expand staffing resources, such as, procurement, personnel, and facility management departments and the National Guard. Offer nontraditional training to staff that may not normally work in the logistics environment.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-25

4.1.3 (Q98) Overall, how is disaster logistics positioned within your state's emergency management organization?

Intent: An experienced and comprehensive logistics staff will increase the agency's ability to respond to incidents and disasters within the state.

Capability:

Static	Logistics and supply chain management are not addressed at the state level.
Functional	The state has modest recognition of logistics within the EM structure.
Horizontal Integration	The state is beginning to recognize emergency logistics and supply chain management from a strategic viewpoint.

External Collaboration	The state has a recognized and dedicated disaster logistics staff.
Synchronized	State disaster logistics has a strategic role in overall state EM planning and execution.

Approach: Executive approval and support is required to establish and maintain a logistics section. An effective logistics section is comprised of people that are fully trained and established as a team. Logistics teams should understand the multiple responsibilities necessary for successful disaster support through exercise and training as a cohesive unit. The more training the logistics section or group has the better they should be able to work together as a team towards a common goal. The logistics team should depend on each other and understand how multiple responsibilities interact to successfully support disaster response. The team concept can be codified by training, working together, and exercising to form a team.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

4.1.4 (Q99) What is the status of the state logistics system communications plan and does it include horizontal and vertical reporting (state, local, and federal)?

Intent: You should communicate vertically with counties, cities, and FEMA, and horizontally with adjacent and nonadjacent states, as with EMAC. You can promote this level of communications with a written plan and redundant communications systems.

Capability:

Static	The state does not have a communications plan in place for reporting at all levels.
Functional	The state EOC has an ad hoc communications process that incorporates the flow of logistics information between the joint field office (JFO) and state EOC, and state staging areas and PODs.
Horizontal Integration	The state has a formal communications plan with SOPs that incorporate the flow of logistics information between the joint field office (JFO) and state EOC, and state staging areas and PODs.
External Collaboration	The state has a formal communications plan with SOPs that incorporate the flow of logistics information between the joint field office (JFO) and state EOC, external agencies, and state staging areas and PODs.
Synchronized	The state has a formal communications plan with SOPs that incorporate the flow of logistics information between the joint field office (JFO) and state EOC, other external agencies, and state staging areas and PODs. The communications plan is integrated with the private sector and FEMA.

Approach: It is advised to develop a communication plan that allows the logistics staff to communicate down to counties and cities and up to FEMA, as well as with adjacent jurisdictions.

The plan is the main guide for establishing communications from field operations (LSA) to PODs to the state operations center. Constant communication ensures that everyone is

knowledgeable of current incidents and facilitates managing expectations (no surprises). The plan should address a primary means of communications, a secondary backup system, and in an ideal situation, a tertiary system.

During disasters cell phone systems can fail early. Be prepared by having multiple systems available for field staff and ensure that deployed staffs are familiar with the equipment with which they deploy.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

4.2 Credentialing and Cross Functional Team Structure

4.2.1 (Q100) What roles and standard processes and procedures are established for state logistics personnel?

Intent: An experienced, comprehensive, and well trained logistics staff increases a state's ability to respond to disasters. Providing in-house training to assigned staff (internal and external), SOPs, and guides ensure consistency and interoperability with partners.

Capability:

Static	The state does not have standards in place for logistics roles.
Functional	The state identifies roles for critical logistics personnel.
Horizontal Integration	The state identifies roles and associated processes and procedures for all logistics personnel.
External Collaboration	The state has training requirements and a "job book" available for each role. Resources have been identified to meet those requirements.
Synchronized	All logistics personnel must complete training or a certification program as part of the prerequisites for their role.

Approach: It is suggested that you:

Develop logistics SOPs or SOGs, job books, and job aids.
Develop roles and responsibilities.
Provide training for new staff and recurring training as new procedures are provided.
Participate in exercises to increase experience and identify shortfalls.

Reference: NIMS, 2008, pp. 19-20

4.2.2 (Q101) How does your state logistics organization generate requirements for staffing (roles and number of personnel)?

Intent: Ensure that your agency has the appropriate level of staff to meet logistics staffing requirements for an incident.

Capability:

Static	The state has no standard process for generating personnel requirements.
Functional	State personnel requirements are notional and not based on real world incidents.
Horizontal Integration	State personnel requirements and responsibilities are based on historic incidents, state modeling, and exercises.
External Collaboration	Does not apply.
Synchronized	State personnel requirements are based on the DHS NPG and lessons learned from state historical incidents, modeling, exercises, and best practices from other states.

Approach: You should consider the following:

Consider historical requirements for personnel and modify accordingly.
Validate staffing requirements using various levels of exercises from tabletop to full scale, to test and verify staffing requirements.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

4.3 Logistics Quality Management

4.3.1 (Q102) What routine measures does your state have to assess the training levels of logistics personnel to drive continuous improvement and education?

Intent: Ensure logistics personnel are trained and able to complete their assignments.

Capability:

Static	The state has no methodology in place to measure the level of personnel training.
Functional	The state occasionally tests personnel logistics skills, such as demand forecasting, ordering, tracking, recording, inventory management, warehouse management, and distribution planning.
Horizontal Integration	The state routinely tests logistics personnel on job functions associated with their role(s).
External Collaboration	The state requires minimum training assessments for state, local, and tribal jurisdiction personnel and other external partners.
Synchronized	The state conducts comprehensive testing of training levels for all roles and responsibilities of personnel. Testing and continuing education is administered at least every 18 months.

Approach: Following all incidents and exercises, it is important for participants and partners to provide critiques, lessons learned comments, and AARs, and to participate in hot washes. By compiling and analyzing this feedback the state should be able to identify areas for improvement,

staff training requirements, and to update parts of the plans that did not yield the expected results.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14; UTL, 2007

4.3.2 (Q103) How does your state assess disaster logistics preparedness and capabilities?

Intent: Assess capabilities to ensure that logistics personnel can accomplish their logistics mission.

Capability:

Static	The state has limited ability to assess logistics preparedness levels through self assessment, outside review, compliance monitoring, or actual major incidents.
Functional	The state conducts occasional self assessments, but does not have a formal methodology.
Horizontal Integration	The state conducts self assessments to evaluate logistics preparedness on a regular basis.
External Collaboration	Self assessment and other state or FEMA peer reviews to assess logistics preparedness are conducted on a regular basis.
Synchronized	The state combines internal and external preparedness assessments with risk assessments and resource prioritization in order to meet state needs.

Approach: It is suggested that you conduct a self assessment of your capabilities and take advantage of assessment opportunities that the LCAT and EMAP processes provide. Additionally, by conducting various levels of exercises throughout the year and one major exercise at least annually, the state should be able to gauge staff readiness and preparedness levels. Invite other agencies to participate as evaluators during exercises. In particular, FEMA's regional preparedness officers have access to an array of assessment tools that may be helpful. Also, identify areas of concern, which could indicate that additional training is needed and schedule needed training to improve those areas. This should be an ongoing process.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

4.3.3 (Q104) How does your state capture logistics best practices and lessons learned?

Intent: Assess your capabilities by using lessons learned and AARs to determine where to focus improvement efforts.

Capability:

Static	The state does not have a system to capture state emergency logistics management best practices.
Functional	The state uses a manual system to capture results of recent historical incidents and includes lessons learned from other similar incidents.

Horizontal Integration	The state uses a mostly manual system to capture results of recent historical incidents and includes lessons learned from other similar incidents profiled as high risk to the state, hot washes and after action reviews. Aspects of the system are automated.
External Collaboration	The state uses an automated system to capture results of recent historical incidents and includes lessons learned from similar incidents, hot washes, and after action reviews. State, local, and tribal jurisdictions and external partners participate in the process and have system access.
Synchronized	The state has an established automated system for capturing feedback and lessons learned and integrating results into logistics and overall state emergency management planning and operations functions. State, local, and tribal jurisdictions and external partners have access. FEMA and DHS systems, such as Lessons Learned Information Sharing, are used to gain access to a broader range of best practices.

Approach: All participants and observers should provide feedback on exercises or assessments that they participate in or observe. Feedback can be in the form of critiques, AARs, participate in hot washes, and complete lessons learned statements following incidents and exercises. The state should establish a process or program to capture the feedback, determine appropriate actions to take based on the feedback, implement appropriate changes, and provide feedback to those that submitted input. Documenting, analyzing, and distributing results and statistics from the lessons learned and AARs allows you, your partners, and FEMA to make improvements to the plans and procedures utilized during disasters. The Department of Homeland Security FEMA also provides tools such as Lessons Learned Information Sharing (http://www.llis.gov) to facilitate this process.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. 1-3

4.3.4 (Q105) What institutional procedures does your state have in place to incorporate lessons learned and shortfalls into logistics planning?

Intent: Assess your capabilities by using lessons learned and AARs to determine where to focus improvement efforts.

Capability:

Static	The state does not have a formal continuous improvement plan in place.
Functional	The state conducts informal evaluations of past performance and best practices captured from past incidents and exercises.
Horizontal Integration	The state utilizes lessons learned, evaluations, and exercises to identify areas needing improvement.
External Collaboration	The state utilizes lessons learned, evaluations, and exercises and external state lessons to identify areas for improvement.
Synchronized	The state utilizes lessons learned, best practices, self and peer evaluations, continuous training, credentialing, and exercises to identify and take corrective actions on areas of improvement. The state has the capability for

	real time adjustments to plans during an actual incident response.

Approach: All participants and observers should provide feedback on exercises or assessments that they participate in or observe. Feedback can be in the form of critiques, AARs, participate in hot washes, and complete lessons learned statements following incidents and exercises. Documenting, analyzing, and distributing results and statistics from the lessons learned and AARs allows you, your partners, and FEMA to make improvements to the plans and procedures utilized during disasters.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, p. 4-25

4.4 Logistics Knowledge, Skills, and Training

4.4.1 (Q106) What ongoing logistics training and exercise plan does your state have?

Intent: Determine the level of logistics staff expertise and training needed.

Capability:

Static	The state does not have a training and exercise plan in place to build and assess logistics capabilities.
Functional	The state has cursory training and exercise programs with some emphasis on rudimentary logistics functions.
Horizontal Integration	The state has established a training and exercise plan specifically designed for building and assessing logistics capabilities.
External Collaboration	The state has established a training and exercise plan specifically designed for building and assessing logistics capabilities. External partners participate when appropriate.
Synchronized	The state has an established and implemented training and exercise plan for building and assessing logistics capabilities that includes external partners when appropriate. Shortfalls are identified and incorporated into the state budget.

Approach: Having a skilled and comprehensive training and exercise section should increase the agency's ability to conduct internal and external training. The section should identify shortfalls and provide information to the training section that could improve staff knowledge and capabilities during exercises. Utilizing HSEEP-mandated practices for exercise program management, design, development, conduct, evaluation, and improvement of planning should be a state standard.

Reference: National Preparedness Goal, 1st ed., 2011, p. 7

4.4.2 (Q107) What standard methodology does your state have in place for collecting and storing real world logistics data from past incidents and exercises?

Intent: Collecting, storing, and analyzing data from previous exercises and real incidents prevents the agency from repeating mistakes and provides training materials for agency staff and partners. Storing and making this data available electronically allows for easier data access and sharing with partners, other states, and agencies.

Capability:

Static	The state does not capture lessons learned from real world incidents or exercises.
Functional	Key state personnel attend after action reviews and hot washes from past incidents and exercises and maintain documentation.
Horizontal Integration	Meeting notes or briefs from incidents and exercises are created, collected, and documented in a common, shared location accessible by other logistics personnel.
External Collaboration	Meeting notes or briefs from incidents and exercises are created, collected, and documented in a paper-based shared location accessible by other logistics personnel and other department personnel and are shared with local, state, and federal disaster agencies.
Synchronized	The state's electronic repository of incident and exercise lessons learned information is maintained in a system that is accessible by logistics and other department personnel and is shared with other federal, state, and local disaster agencies.

Approach: Developing the capacity and capability to electronically catalog and store documents gathered following exercises and real world incidents is recommended. This enables you to retrieve and disseminate information faster and easier, identify patterns in incidents, and effectively make changes resulting in improvements.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-25, 4-26

4.4.3 (Q108) What types of disaster logistics exercises does your state conduct?

Intent: The agency should conduct a variety of exercises, from tabletop to full scale exercises. The exercises should include various ESF agencies, nongovernment organizations, VOADs, private vendors, and FEMA Region personnel.

Capability:

Static	The state does not conduct logistics exercises.
Functional	The state conducts occasional planning and/or tabletop exercises of the resource logistics and distribution plan.
Horizontal Integration	The state conducts periodic tabletop and/or full scale exercises of the resource logistics and distribution plans.
External Collaboration	The state conducts periodic tabletop and full scale exercises of the resource logistics and distribution plans and includes state, local, and external disaster response personnel.

Synchronized	The state validates resource logistics, distribution plans, and training programs using tabletop and full scale exercises at least annually.

Approach: Conducting a wide range of exercises should test and improve logistics plans and staff performance. Different types of exercises should be conducted to train the staff on how to respond to different scenarios.

Reference: UTL, 2007

4.4.4 (Q109) How has your state logistics organization adopted the guidelines and principles communicated in the following documents?

- DHS National Preparedness Guidelines (NPG)
- DHS National Response Framework (NRF)
- FEMA National Incident Management System (NIMS)

Intent: Determine the state disaster logistics organization's level of NPG, NRF, and NIMS familiarity, experience, and training.

Capability:

Static	The state disaster logistics organization is not familiar with DHS and FEMA doctrinal documents.
Functional	The state disaster logistics key planning and strategy personnel have a basic understanding of concepts and guidelines outlined in DHS and FEMA documents.
Horizontal Integration	The state disaster logistics personnel adopted DHS and FEMA doctrine, and key personnel are trained and educated on existing documents, updated versions of existing documents, and newly published documents.
External Collaboration	Does not apply.
Synchronized	All logistics personnel are trained on the appropriate principles and guidelines.

Approach: The logistics section staff, whether they are field, warehouse, or EOC staff, should understand principles and guidelines set forth in the NPG and NRF. They also should have an understanding of NIMS logistics operations. Consider opportunities for in-house and formal training and encourage the staff to take independent study courses offered by FEMA and other reputable providers.

Reference: Developing and Maintaining Emergency Operations Plans: CPG 101, 2010, pp. 4-25, 4-26

4.5 Administrative Burden

4.5.1 (Q110) What is the level of disaster logistics technology automation used in the state?

Intent: Ideally logistics information management would be automated with secondary and tertiary backup systems. However, in real life this may not be the case. Each state should improve and modernize computer and logistics systems and programs to the extent that it can. Exercises should test automated system effectiveness and how to respond if those systems fail.

Capability:

Static	The state uses paper-based, manual processes for orders, tracking, billing, reimbursement, etc.
Functional	Some tasks are automated, but in most cases processes are manual.
Horizontal Integration	Most processes use an electronic exchange of information. Most automated processes required a high degree of re-keying and redundancy.
External Collaboration	External stakeholders are integrated with state information systems.
Synchronized	State internal and external stakeholders are highly integrated through automated electronic information exchange with end-to-end shipment visibility and little redundancy.

Approach: Depending on the level of automation, states should work toward implementing cost effective improvements and upgrades. With each new upgrade the agency should continue to emphasize basic manual order recording, processing, billing and tracking. In the event of a worst case scenario, the staff should be able to manually complete assigned tasks. Often new staff members are trained only on automated systems but are not trained to operate during power outages.

Reference: EMAP, EMS, 2010, p. 9

4.5.2 (Q111) To what extent do state laws restrict pre-incident private vendor contracts for commodities and/or logistics services, early commodity acquisition, and warehousing?

Intent: Identify those laws that restrict pre-disaster contracting with vendors. Work with local and state officials to conduct market research and identify vendors and their capabilities. Additionally, it is important to develop timelines for vendor responses.

Capability:

Static	State laws prevent pre-incident private vendor contracts for commodities and/or logistics services, early commodity acquisition, and warehousing.
Functional	Does not apply.
Horizontal Integration	State laws limit pre-incident, private vendor contracts for commodities and/or logistics services, early commodity acquisition, and warehousing.
External	Does not apply.

Collaboration	
Synchronized	The state has no laws that constrain pre-incident, private sector engagement or stockpiling of commodities.

Approach: Educate elected officials on the advantages of no cost pre-disaster contracting that can be activated immediately following a disaster, decreasing the time required to respond within the first 72 hours following an incident. Ensure that safety precautions are in place to prevent accidentally activating contracts that are not needed or ending contracts that are still needed.

Reference: EMAP, EMS, 2010, p. 5

6.5 Property Management Questions

The following section is comprised of questions taken directly from the Property Management section of the LCAT questionnaire. They are numbered to correlate to the numbering in the questionnaire.

5. Property Management

5.1 Property Management Personnel

5.1.1 (Q112) What is the state capability to warehouse and distribute commodities to impacted populations using vendor managed inventory (VMI) and/or jurisdiction-owned commodities?

Intent: Be prepared to distribute commodities during the first 72 hours after an incident. The state could consider using either a VMI stock of commodities or maintaining its own commodities. In this case a warehouse facility and operation should be considered.

Capability:

Static	The state does not have warehouse capability or personnel.
Functional	The state has limited warehouse capabilities to store and manage critical commodities and uses transportation contracts to move assets in the event of a disaster.
Horizontal Integration	The state has a full time staff of trained warehouse personnel that manage commodities. Between in-house state transportation and contracts, the state can move commodities to impacted populations. The state has visibility of load arrival to PODs and state staging areas.
External Collaboration	The state has a full time staff of trained warehouse personnel that manages commodities. Between in-house state transportation and contracts, the state can move commodities to impacted populations to support likely scenarios. The state has real time in-transit visibility and scalability of operations to support catastrophic incidents.
Synchronized	The state has a full time staff of trained warehouse personnel that manages commodities. Between in-house state transportation and contracts, the state

	can move commodities to impacted populations to support likely scenarios. The state has real time in-transit visibility and scalability of operations to support catastrophic incidents and has coordinated with the FEMA Region and FEMA HQ.

Approach: The goal is to have a staff experienced and trained in commodity warehousing and distribution. This staff can be from within the agency, from non-logistics sections, or from other agencies outside the emergency management community. MOUs would ensure that the staff could be deployed to assist with or run warehousing operations during an incident. However, many states cannot afford a full time staff to manage warehousing operations.

It is suggested that you:

Determine warehouse requirements.
Select a location that supports the state or jurisdiction. Determine if more than one is required and where it should be strategically located.
Develop a source of funding and staffing.
Look into sharing the facility with the private sector, other state agencies, or federal facilities.
Establish leases.
Identify and ensure proper training to internal and additional staff that could be available to operate warehousing and commodity distribution during an incident.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

5.1.2 (Q113) To what extent is the state's Accountable Property Manager (APM) or equivalent responsible for state-owned commodities and equipment?

Intent: The accountability of non-consumable equipment, leased, rented, or state-owned property, vehicles, and generators is essential. Equipment that is not accounted for can be lost or misdirected and drives the costs of response and recovery up. Having a dedicated APM and procedures are key to maintaining accountability.

Capability:

Static	There is no APM equivalent at the state level.
Functional	There is no APM equivalent at state level, but other state EM employees have received informal training on property procedures.
Horizontal Integration	The state has EM employees who are trained to be APMs, but they have dual roles in competing functional areas.
External Collaboration	The state has trained APMs who will be available during disaster time, but are not part of regular logistics staff.
Synchronized	The state has full time, dedicated APMs in state logistics and/or emergency management.

Approach: It is suggested that you:

Determine which agency has either statutory responsibility or APM personnel as part of their organization and can provide the position.
Task APM responsibilities to the appropriate agency.
Develop emergency procedures or adapt daily property accountability procedures for disaster operations.
Train personnel in property accountability.
Incorporate property accountability in exercises.

Reference: Task Book for the Position of Logistics Section Chief Type 1 and Type 2, 1993

5.2 Warehouse and Facility Management

5.2.1 (Q114) What warehousing requirements has your state determined are needed to support impacted populations?

Intent: States should be prepared to distribute commodities in the first 72 hours, as well as maintain sustained commodity warehousing throughout response and recovery. The state should consider warehouse facilities and operations. One or more facilities should be established based on the critical commodity identification and prioritization modeling.

Capability:

Static	The state has not determined required warehouse needs, nor has it selected a location.
Functional	The state has determined optimal locations for its warehouse, but does not have a lease or ownership of the warehouse.
Horizontal Integration	The state has leased warehouse space available in a location that was selected based on operational requirements. The lease (or ownership) is funded through life cycles of commodities.
External Collaboration	The state has available leased (or owns) warehouse space that can sufficiently store critical commodities. The lease is funded through the life cycles of commodities. The site was selected based on ease of moving commodities to high risk and/or high population density zones using available transportation assets.
Synchronized	The state has sufficient warehouses to store required commodities. Warehouse locations were selected based on high risk and/or dense population, transportation modes, etc., as well as size needs and estimated costs. Lease (or ownership) of facilities are periodically reviewed with the FEMA Region and FEMA HQ and are funded through the life cycles of the commodities.

Approach: Recommended actions:

Determine warehouse requirements.

Determine one or more locations that support the state or jurisdiction.
Determine whether more than one warehouse is required and the optimum strategic location.
Develop a source of funding and staffing.
Look into sharing a facility with private sector, other state agencies, or federal facilities.
Establish leases.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

5.3 Logistics Equipment Management and Maintenance

5.3.1 (Q115) What equipment and material handling equipment capability does the state have to warehouse and distribute commodities to impacted populations during the first 72 hours after an incident?

Intent: The state should have the equipment necessary (including MHE) for day-to-day operations, as well as to manage warehouses and deploy commodities to impacted populations for the first 72 hours after an incident and to sustain operations throughout response and recovery. Consider using government-owned equipment or vendor-provided MHE in activated facilities.

Capability:

Static	The state does not own or lease equipment or contract for capabilities.
Functional	The state has equipment and/or contracted capabilities to support limited warehouse and distribution functions.
Horizontal Integration	The state has sufficient equipment and/or contracted capabilities to support warehouse and distribution functions primarily for day-to-day operations, but not sufficient for disaster distribution operations associated with a major incident response. Contracts are in place to perform regular maintenance on equipment based on requirements to keep them operational.
External Collaboration	The state has sufficient equipment and/or contracted capabilities to support warehouse and distribution functions for all levels of incident or response. Contracts are in place to perform regular maintenance on equipment based on requirements to keep them operational. Limitations are addressed with the FEMA Region.
Synchronized	The state has sufficient equipment and/or contracted capabilities to support warehouse and 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 are coordinated with the FEMA Region. There are no known limiting factors.

Approach: If the state does not have the necessary equipment on hand it could, if legally allowed, have pre-disaster contracts in place that could activate immediately after an incident,

reducing the time normally associated with locating, contracting, and mobilizing equipment required to handle and deploy commodities.

It is suggested that you:

Determine warehouse MHE and other distribution equipment requirements.
Develop a source of funding.
Procure government property or establish leases and/or pre-incident contracts.
Establish a maintenance program.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

5.3.2 (Q116) What level of visibility does the state have of organic logistics equipment?

Intent: Equipment tracking needs to be a standardized, integrated process conducted on a daily basis and throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage. Procedures to track organic equipment continuously from mobilization through demobilization should be established and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have a process to track state owned equipment.
Functional	The state's equipment management is accomplished on an ad hoc basis using spreadsheets.
Horizontal Integration	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.
External Collaboration	Either organically or through contractor support, equipment management processes are documented. A COP is available to appropriate state personnel.
Synchronized	Either organically or through contractor support, equipment management processes are documented, standardized, and provide specific locations of state owned equipment. A COP is provided to state personnel, FEMA Region, and FEMA HQ LMD.

Approach: The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check-in (by time, by location, etc.),
GIS,
Resource tracking systems,
RFID or GPS tracking systems, and
Reporting systems.

If the state does not have the necessary equipment on hand they can, if legally allowed, have pre-disaster contracts in place and ready to be activated immediately following an incident, reducing the time normally associated with locating, contracting, and mobilizing equipment required to handle and deploy commodities.

Reference: National Preparedness Goal, 1st ed., 2011, p. 14

5.3.3 (Q117) How is state-owned equipment maintenance and operational status documented and monitored in your state?

Intent: MHE operational and maintenance status reporting needs to be a standardized, integrated process conducted on a daily basis and throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage. Procedures to monitor and track organic equipment continuously from mobilization through demobilization should be established, and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have visibility of availability and/or status of state-owned equipment.
Functional	The status and/or availability of equipment is on a case-by-case basis.
Horizontal Integration	The status and/or availability of equipment is tracked in a comprehensive system that is updated regularly.
External Collaboration	The status and/or availability of equipment is tracked in a comprehensive system and is shared with local, state, and private partners.
Synchronized	The status and/or availability is documented for all equipment and is shared with local, state, private, and federal partners including FEMA Region.

Approach: The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check in (by time, by location, etc.),
GIS,
Resource tracking systems,
RFID or GPS tracking systems, and
Reporting systems.

By documenting state-owned equipment operation you should be able to maintain the operational status and readiness of the equipment. Determine when maintenance is needed and required to maintain the equipment at peak performance levels. Track reoccurring problems to improve equipment maintenance and reduce life cycle costs.

Reference: NIMS: Incident Resource Inventory System (IRIS) User Guide, 2008, pp. 78-79

5.3.4 (Q118) What level of visibility does your state have of leased (contracted) logistics equipment?

Intent: Develop a process that addresses an appropriate level of visibility over leased (contracted) logistics equipment. Leased and contracted logistics equipment operational and maintenance status should be a standardized, integrated process conducted on a daily basis and throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage. During a response, contractors should be required by contract or procedure to report required status information periodically, but at least daily. Procedures to monitor and track contracted equipment continuously from mobilization through demobilization should be established, and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have visibility over leased equipment.
Functional	The state's visibility of leased equipment is stovepiped and provided by vendors, only when requested.
Horizontal Integration	All leased equipment is visible to state personnel through a comprehensive system and vendors "push" changes to the state.
External Collaboration	The state's equipment visibility data is centralized and shared with local and state partners. A COP is shared with all partners and FEMA Region.
Synchronized	The state's equipment visibility data is centralized and shared with local and state partners. A COP is shared with all partners and FEMA Region and is updated in real time.

Approach: The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check in (by time, by location, etc.),
GIS,
Resource tracking systems,
RFID or GPS tracking systems, and
Reporting systems.

Reference: NIMS: IRIS User Guide, 2008, pp. 78-79

5.3.5 (Q119) What are the state's maintenance requirements for leased (contracted) logistics equipment?

Intent: Equipment contracts should include provisions for equipment maintenance.

Capability:

Static	The state does not have maintenance requirements.

Functional	State contracts require that equipment is operational upon receipt by the state.
Horizontal Integration	State contracts require that the equipment be maintained periodically by the contractor during post-incident operations.
External Collaboration	State contracts require that equipment be maintained periodically during post-incident operations by the contractor with provisions made for emergency maintenance. Contracts specify the time period in which the contractor must rely on a service and/or maintenance call.
Synchronized	The 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).

Approach: It is recommended that you address the status of operational equipment, use a turnkey approach in pre-incident contracting, and require vendors to maintain contracted equipment through the life cycle of the lease. Areas to focus on are installation, maintenance, fueling, uninstalling, and removal of all equipment.

Reference: EMAP, EMS, 2010, p. 9

5.3.6 (Q120) How does your state track organic (state owned) fixed generator scheduling and maintenance and operational status?

Intent: Fixed generators are essential to continuity of operations during power outages. Organic fixed generator scheduling, maintenance status, and operational status should be tracked. Preventative maintenance ensures equipment is ready and operational when needed.

Capability:

Static	The state does not have a system in place to track regular or preventative maintenance of state owned fixed generators.
Functional	Tracking occurs on a case by case basis, either organically or through contractor support and is documented post-maintenance.
Horizontal Integration	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.
External Collaboration	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.
Synchronized	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 other federal agencies (OFA) (e.g., USACE) personnel.

Approach: You could assign someone to be responsible for ensuring that generators are operational. Establish a schedule for load testing, maintenance, and refueling in accordance with equipment technical specifications.

Reference: NIMS: IRIS User Guide, 2008

5.3.7 (Q121) How does your state track scheduling and maintenance and operational status of organic (state owned) portable generators?

Intent: As with fixed generators, mobile generators are essential to restoring emergency power to identified facilities and critical infrastructure during power outages. Organic mobile generator scheduling, maintenance status, and operational status should be tracked. Preventative maintenance ensures equipment is ready and operational when needed. Mobile generator operational and maintenance status should be a standard, integrated process conducted on a daily basis while the equipment is in storage and throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage and availability. Procedures to monitor and track organic equipment continuously from mobilization through demobilization should be established, and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have a process or system in place to track regular or preventive maintenance of state owned portable generators.
Functional	Tracking occurs on a case by case basis, organically or through contractor support, and is documented post-maintenance.
Horizontal Integration	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.
External Collaboration	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.
Synchronized	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.

Approach: You could assign a responsible party to maintain mobile generators while they are in storage. Train personnel on how to maintain mobile generators. Assign accountability and maintenance responsibility to personnel that deploy, install, and operate mobile generators. Establish a schedule for load testing and maintaining generators while they are in storage. Establish a daily field schedule for maintenance and refueling in accordance with equipment technical specifications.

The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check in (by time, by location, etc.),
GIS,
Resource tracking systems,

RFID or GPS tracking systems, and
Reporting systems.

Reference: NIMS: IRIS User Guide, 2008

5.3.8 (Q122) What level of visibility does your state have of leased (contracted) generators?

Intent: Develop a process that ensures an appropriate level of visibility over leased (contracted) generators. Maintaining leased and contracted generator operational and maintenance status should be a standard, integrated process conducted on a daily basis and throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage. Contractors could be required to report specified status information periodically, on a daily basis at a minimum during an incident. Procedures to monitor and track contract equipment continuously from mobilization through demobilization should be established and real time information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have a process or system in place to track regular or preventive maintenance of generators.
Functional	Tracking occurs on a case by case basis, organically or through contractor support, and is documented post-maintenance.
Horizontal Integration	Maintenance on all leased generators is tracked 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.
External Collaboration	Maintenance on all leased portable generators is tracked organically or through contractor support. Maintenance records are updated in real time and can be viewed by state and local personnel.
Synchronized	Maintenance on all leased portable generators is tracked organically or through contractor support. Maintenance records are updated in real time and can be viewed by state, local, FEMA, and OFA (e.g., USACE) personnel.

Approach: Determine what contract requirements for maintenance are. Ensure there is a responsible party for maintaining mobile generators while in storage. The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check in (by time, by location, etc.),
GIS,
Resource tracking systems,
RFID or GPS tracking systems, and
Reporting systems.

Reference: NIMS: IRIS User Guide, 2008

5.3.9 (Q123) What are the maintenance requirements for leased (contracted) generators?

Intent: Contracted generator scheduling, maintenance status, and operational status should be tracked by the contractor and reported to the logistics section. Contracted generator operational and maintenance status should be reported on a daily basis throughout the life cycle of an incident. It provides a clear picture of where resources are located, who is operating the equipment, and its usage and availability. Contractors should be required to monitor and track equipment continuously, from mobilization through demobilization, and provide real time information to the logistics section as required. This information should be displayed in a central data base allowing total asset visibility.

Capability:

Static	The state does not have maintenance requirements.
Functional	State contracts require that generators be operational upon receipt by the state.
Horizontal Integration	State contracts require that the contractor maintain equipment periodically during post-incident operations.
External Collaboration	State contracts require that the contractor maintain generators periodically during post-incident operations, with provisions made for emergency maintenance. Contracts specify the time period in which the contractor must reply for a service or maintenance call.
Synchronized	The state uses performance-based contracting and requires contractors to maintain a pre-negotiated level of operational availability for generators covered in the contract (e.g., maintain 95% operational availability for all generators provided within the contract).

Approach: It is suggested that you:

Require that equipment be operational upon receipt.
Use a turnkey approach in pre-incident contracting to require vendors to maintain contracted equipment through the life cycle of the lease. Areas to consider for turnkey operations are installation, maintenance, fueling, uninstalling, and removing all equipment.
Develop and require contractors to adhere to established reporting schedules.
Relegate maintenance responsibility to the contractor that deploys, installs, and operates mobile generators.
Require contractors to adhere to a daily field schedule for maintenance and refueling in accordance with equipment technical specifications.

The following methods and systems can be used to collect, update, and process data, track organic equipment, and display the readiness status of resources:

Any requirements for check in (by time, by location, etc.),
GIS,

Resource tracking systems,
RFID or GPS tracking systems, and
Reporting systems.

Reference: EMAP, EMS, 2010, p. 9

5.3.10 (Q124) What level of scalability does the state have for equipment management and maintenance capabilities?

Intent: It is desirable to be able to transition from daily organic equipment management and maintenance to expanded capabilities during an incident and still maintain accurate, reliable, and timely data.

Capability:

Static	Capabilities cannot be expanded (scaled) to meet post-incident requirements.
Functional	Capabilities are sufficient to adequately manage and maintain equipment pre-incident and post-incident for minor hazard responses.
Horizontal Integration	Capabilities are sufficient to adequately manage and maintain equipment pre-incident and post-incident for all but major hazard responses.
External Collaboration	Capabilities are sufficient to adequately manage and maintain equipment pre-incident and post-incident for all hazard responses with some degradation in the accuracy, reliability, and timeliness of data in the event of a major or catastrophic response.
Synchronized	Capabilities are fully scalable so that accurate, reliable, and timely data is available to decision makers post-incident of a major or catastrophic hazard response.

Approach: It is important to develop plans and procedures and assign roles and responsibilities to internal and external agencies. Consider pre-incident maintenance and fuel service contracts and incorporate information technology management.

Reference: EMAP, EMS, 2010, p. 9

5.4 Commodity Inventory Management Processes and Enablers

5.4.1 (Q125) What level of visibility does the state have of organic commodity inventory?

Intent: Without knowing how many resources are readily available, particularly at facilities used for PODs and staging areas, emergency managers cannot accurately determine how much federal support, if any, is necessary. All resources available for deployment should be entered into a resource data base and the data should be made available to EOCs and multi-agency coordination entities.

Capability:

Static	The state does not have visibility of inventory.
Functional	Inventory visibility is stovepiped.
Horizontal Integration	State owned inventory is visible to state personnel through a comprehensive system.
External Collaboration	State integrated inventory management is shared with local and state partners through a comprehensive system. A COP is shared with all partners and the FEMA Region.
Synchronized	The state's integrated inventory management is shared with local and state partners through a comprehensive system. A COP is shared with all partners and the FEMA Region and is updated in real time.

Approach: Commodity inventory information should be integrated into the logistics COP. It should provide visibility of critical commodities on-hand, due-in via procurement, and available-to-promise balances. Automation and data bases can provide real time information of on-hand, ordered, due-in via procurement, en-route, received, due-out, and available-to-promise balance, etc.

Reference: NIMS: IRIS User Guide, 2008

5.4.2 (Q126) How is inventory availability reflected in your state's commodity inventory management data base?

Intent: When determining what resources should be kept on hand consider the urgency of need inherent with a disaster, whether the commodity can be produced quickly, and inventory shelf life or maintenance requirements. When storing resources, there should be sufficient funding in the budget for replenishments, preventive maintenance, and capital improvements. Property belonging to a specific agency should be accounted for during the inventory process in accordance with local property management regulations and policies.

Capability:

Static	The state has no inventory data base to capture on-hand, due-in, due-out, and promised-out inventory.
Functional	The state's inventory data base is updated periodically with the status of the inventory.
Horizontal Integration	On-hand inventory, due-out, and some due-in data are updated regularly and are visible and shared throughout the state logistics community.
External Collaboration	On-hand inventory, due-out, and some due-in data are updated regularly and are visible and shared with local, state, and private partners.
Synchronized	On-hand inventory, due-out, and some due-in data are updated regularly and are visible and shared with local, state, and private partners including FEMA Region and FEMA LMD.

Approach: Commodity inventory information is integrated into the logistics COP. It should provide visibility of critical commodities on-hand, due-in via procurement, and available-to-

promise balances. Automation and data bases can provide real time information of on-hand, ordered, due-in via procurement, en route, received, due-out, and available-to-promise balance, etc.

Reference: NIMS: IRIS User Guide, 2008

5.4.3 (Q127) What level of visibility does your state have of vendor managed commodity inventory?

Intent: Commodity visibility and VMI are integral parts of the COP, which should provide real time visibility of VMI on-hand, due-in, and available balances.

Capability:

Static	The state has no visibility over inventory.
Functional	The state's visibility of inventory is stovepiped.
Horizontal Integration	All vendor managed inventory is visible to state personnel through a comprehensive system.
External Collaboration	The state's integrated inventory management is shared with local and state partners through a comprehensive system. A COP is shared with all partners and FEMA Region.
Synchronized	The state's integrated inventory management is shared with local and state partners through a comprehensive system. A COP is shared with all partners and FEMA Region and is updated in real time.

Approach: Incorporate VMI into data bases and information technology management systems.

Reference: EMAP, EMS, 2010, p. 9

5.4.4 (Q128) How is vendor managed inventory (VMI) availability reflected in the state commodity inventory management data base?

Intent: VMI is a program where the commodity vendors maintain an agreed upon stockage level by state. The vendor rotates and maintains the stock either in a vendor owned facility or the state's facility. Fees are usually required for services such as for initial stocking. This arrangement ensures that the state will have fresh stocks for immediate access during an incident. The supply is replenished throughout the incident and at the end of the incident the newest stock is maintained.

Capability:

Static	The state does not have an inventory data base to capture on-hand, due-in, due-out, and promised-out inventory.
Functional	The state's inventory data base is updated periodically with the status of vendor-managed inventory.

Horizontal Integration	On-hand, due-out, and some due-in data are updated regularly with vendor-managed inventory data and are visible and shared throughout the state logistics community.
External Collaboration	On-hand, due-out, and some due-in data is updated with vendor-managed inventory information and is visible and shared throughout the local, state, and private partners.
Synchronized	On-hand, due-out, and some due-in data is updated with vendor-managed inventory information and is visible and shared throughout the local, state, and private partners, including the FEMA Region and FEMA HQ.

Approach: Consider determining where the VMI could be maintained. This may require allocating funding, letting pre-incident contracts for VMI, and establishing stockage levels.

Reference: EMAP, EMS, 2010, p. 9

5.4.5 (Q129) How scalable are the state's commodity management capabilities?

Intent: It is important to be able to expand from daily commodity management to expanded capabilities during an incident and still maintain accurate, reliable, and timely data.

Capability:

Static	State capabilities cannot be expanded (scaled) to meet post-incident requirements.
Functional	State capabilities are sufficient to adequately manage and maintain inventory pre-incident and post-incident for minor hazard responses.
Horizontal Integration	State capabilities are sufficient to adequately manage and maintain inventory pre-incident and post-incident for all but major hazard responses.
External Collaboration	State capabilities are sufficient to adequately manage and maintain inventory pre-incident and post-incident for all hazard responses with some degradation in the accuracy, reliability, and timeliness of data in the event of a major or catastrophic response.
Synchronized	State capabilities are fully scalable so that accurate, reliable, and timely data are available to decision makers post-incident for a major or catastrophic hazard response.

Approach: Develop plans and procedures, assign roles and responsibilities to internal and external agencies and incorporate them in the information technology management system.

Reference: EMAP, EMS, 2010, p. 9

5.4.6 (Q130) How does your state conduct periodic/routine inventories and shelf life inspections of commodities?

Intent: It is important to have a system of inventory and stock rotation to ensure that commodities are not lost due to expiration or spoilage. Reference the FIFO concept in question 2.5.3.

Capability:

Static	The state does not conduct routine inspections.
Functional	The state conducts annual inventories of on-hand commodities.
Horizontal Integration	The state conducts semi-annual inventories and shelf life inspection of on-hand commodities and ensures rotation of stock.
External Collaboration	The state conducts quarterly inventories and shelf life inspection of on-hand commodities and ensures rotation of stock.
Synchronized	The state conducts monthly or random inventories, manages shelf life, and rotates stock or requires vendor to do the same.

Approach: Commodities should be stored in warehouses using the FIFO inventory management design and an inventory data base that tracks delivery and expiration.

Consider establishing a barcode system that alerts the staff when a product is approaching its expiration date. Products that are approaching their expiration date should be the first commodity utilized. There could be other states that need the warehoused stock so your state could sell the stock at cost through an EMAC agreement during an incident.

Reference: EMAP, EMS, 2010, p. 9

APPENDIX A: ACRONYMS, TERMS, DEFINITIONS, AND ABBREVIATIONS

A.1 Acronyms

The following acronyms were used in creating this document.

Acronym or Abbreviation	Term or Definition
AAR	After-Action Report
AIT	Automated Information Technology
APM	Accountable Property Manager
APOD	Aerial Port Of Debarkation
APOE	Aerial Port Of Embarkation
ARF	Action Request Form
CEMP	Comprehensive Emergency Management Plan
CERT	Community Emergency Response Team
CFR	Code of Federal Regulations
CONOPS	Concept of Operations
COP	Common Operating Picture
CPG	Comprehensive Preparedness Guide
CPOD	Community Points of Distribution (this is a POD but is specific to the State of Washington)
DHS	Department of Homeland Security
DOT	Department of Transportation
EM	Emergency Management
EMA	Emergency Management Agency
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Accreditation Program
EMI	Emergency Management Institute
EMS	Emergency Medical Services or Emergency Management Standard
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ESF	Emergency Support Function
FAQ	Frequently Asked Questions

Acronym or Abbreviation	Term or Definition
FEMA	Federal Emergency Management Agency
FIFO	First in, first out
FNS	USDA Food and Nutrition Services
FY	Fiscal Year
GSA	General Services Administration
GIS	Geographical Information System
GPS	Global Positioning System
JFO	Joint Field Office
HAZUS	Hazards U.S.
HIRA	Hazard Identification Risk Assessment
HMGP	Hazard Mitigation Grant Program
HQ	Headquarters
HSEEP	Homeland Security Exercise and Evaluation Program
HSGP	Homeland Security Grant Program
HSPD-5	Homeland Security Presidential Directive 5
ICS	Incident Command System
IRIS	Incident Resource Inventory System
IS	Independent Study
ISP	Independent Study Program
IT	Information Technology
LCAT	Logistics Capability Assistance Tool
LEPC	Local Emergency Planning Committees
LMD	Logistics Management Directorate
LSA	Logistical Staging Area
MHE	Material Handling Equipment
MRP	Mission Ready Package
MOA	Memorandum Of Agreement
MOG	Maximum On Ground
MOU	Memorandum of Understanding

Acronym or Abbreviation	Term or Definition
MRE	Meals Ready to Eat
NIC	National Integration Center
NIMS	National Incident Management System
NGO	Nongovernment Organization
NORTHCOM	United States Northern Command
NPG	National Preparedness Guidelines
NRF	National Response Framework
OFA	Other Federal Agencies
OSHA	Occupational Safety and Health Administration
PBC	Performance Based Contracting
PDS	Professional Development Series
POD	Point of Distribution
PPD-8	Presidential Policy Directive 8
PPE	Personal Protective Equipment
PWS	Performance Work Statement
RFI	Request for Information
RFID	Radio Frequency Identification
RFP	Request for Proposal
RSC	Responder Support Camp
SHSGP	State Homeland Security Grant Program
SCBA	Self Contained Breathing Apparatus
SOG	Standard Operating Guidelines
SOP	Standard Operating Procedure
SOO	Statement of Objective
UTL	Universal Task List
USACE	United States Army Corps of Engineers
USDA	United States Department of Agriculture
USTRANSCOM	United States Transportation Command

Acronym or Abbreviation	Term or Definition
VMI	Vendor Managed Inventory
VOAD	Volunteer Organizations Active in Disaster

A.2 Glossary

The following terms were used in this document.

Term	Definition
Aerial Port of Debarkation	An airfield that has been designated for the sustained air movement of personnel and material, to serve as an authorized port for entrance into the state in which it is located. The place to disembark or leave an aircraft or to unload resources.
Aerial Port of Embarkation	An airfield for sustained air movement at which personnel and material board or are loaded aboard aircraft to initiate aerial movement.
Aidmatrix	A national, computer-based application, administered by the Aidmatrix Foundation, Inc., a 501 (c) 3 nonprofit headquartered in Dallas, Texas. It consists of modules that work together or independently to assist in the procurement, management, and delivery of humanitarian relief.
Area of Operations	An overarching term encompassing NIMS descriptive terms for geographic areas, branches and divisions, in which emergency operations take place.
Capability	The means to accomplish a mission and achieve desired outcomes by performing critical tasks, under specified conditions, to target levels of performance.
Catastrophic Incident	A sudden incident, which results in massive casualties and a large volume of evacuees; overwhelms the response capabilities and resources of the state and local jurisdictions; with characteristics that could severely aggravate the response strategy and further tax the capabilities and resources available to the area; requires life saving support from outside the area with time of the essence; and, likely to have long-term impacts within the Incident area as well as, to a lesser extent, on the Nation. A catastrophic incident is any natural or manmade incident, including terrorism that results in extraordinary levels of mass casualties, damage, or disruption severely affecting the

Term	Definition
	population, infrastructure, environment, economy, national morale, and/or government functions.
Collaborative Planning Team	A group of stakeholders that helps organizations define the roles they will play during emergency operations.
Commodities	Include, but are not limited to, shelf stable food, bottled water, and limited amounts of ice, tarps, and blankets.
Common Operating Picture (COP)	A continuously updated overview of an incident compiled throughout an incident's life cycle from data shared between integrated systems for communication, information management, and intelligence and information sharing.
Concept of Operations	A description of the flow of the emergency management strategy for accomplishing a mission or set of objectives in order to reach a desired end-state. It identifies special coordination structures, specialized response teams or resources needed, and other considerations unique to the type of incident or hazard.
Concept of Support	A description of resource management that is flexible and scalable in order to support any incident and be adaptable to changes; includes the efficient and effective deployment of resources using resource management concepts and principles in all phases of emergency management and incident response.
Credentialing	The objective evaluation and documentation of an individual's current certification, license, or degree; training and experience; and competence or proficiency to meet nationally accepted standards, provide particular services and/or functions, or perform specific tasks under specific conditions.
Critical	Issues and concerns of decisive importance with respect to the outcome; indispensable.
Exception	An instance or case that does not conform to the general rule.
External Collaboration	The local jurisdiction has coordinated plans and SOPs with

Term	Definition
	other state, local or tribal, and external partner agencies, organizations, and private vendors.
Functional	The local jurisdiction has implemented informal plans or processes, but standard operating procedures (SOP) have not been defined or adopted.
Hazard	An actual or potential natural or man-made source or cause of harm or difficulty.
Horizontal Integration	The local jurisdiction has developed and implemented formal, integrated SOPs across its emergency management (EM) organization.
Incident	An occurrence or event, natural or human-caused, which requires an emergency response to protect life or property. Incidents can, for example, include major disasters, emergencies, terrorist attacks, terrorist threats, wild land and urban fires, floods, hazardous materials spills, nuclear accidents, aircraft accidents, earthquakes, hurricanes, tornadoes, tropical storms, war-related disasters, public health and medical emergencies, and other occurrences requiring an emergency response.
Logistics	Providing resources and other services to support incident management.
Logistics Organization	The group, which is responsible for providing facilities, services, and materials for the incident.
Logistics Staging Area (LSA)	A location established where resources can be placed while awaiting a transfer to assignments.
Material handling equipment (MHE)	Mechanical devices for handling supplies with greater ease and economy; facilitates the movement and storage of materials within a facility or at a site.

Term	Definition
Memorandum of Agreement (MOA)	A formal business document used to outline an agreement made between two separate entities, groups or individuals. A MOA usually precedes a more detailed contract or agreement between the parties.
Memorandum of Understanding (MOU)	A document that expresses mutual accord between two or more parties on a specific issue.
Modeling	A simplified reflection of reality that represents objects, phenomena, and physical processes in a logical and objective way that produces theoretical consequences which are not contrary to what occurs normally.
Mutual Aid Agreement	A written agreement between agencies and/or jurisdictions that they will assist one another on request, by furnishing personnel, material, equipment, and/or expertise in a specified manner during an incident.
Order	An instruction that something be done or supplied.
Point of Distribution (POD)	A central point where supplies are delivered and to which the public travels to pick up the commodities.
Pull	Provide logistics response to support ongoing sustainment for a jurisdiction.
Push	Provide logistics response as an initial surge of support to a jurisdiction.
Region	A district without respect to boundaries or extent, not merely local. Also an organizational unit that ensures FEMA policies, programs, administrative and management guidance are implemented in its constituent states in a manner consistent with the Agency's overall goals.
Request	The act or form used for asking for something to be given or done.
Resources	Personnel and major items of equipment, supplies, and

Term	Definition
	facilities available or potentially available for assignment to incident operations and for which status is maintained. Resources are described by kind and type and may be used in operational support or supervisory capacities at an incident or at an EOC.
Restricted	Roads, bridges, tunnels, and other transportation nodes where travel is limited or confined by ordinances, height, width, weight or obstructions. It can also include those locations not accessible to the general public because of security provisions.
Risk	The potential for an unwanted outcome resulting from an incident or occurrence, as determined by its likelihood of occurrence and the associated consequences.
Scalable	The ability to expand or contract to cope with increased or decrease use.
Situational Awareness	The perception of environmental elements within an area of operation's time and space, the comprehension of their meaning, and the projection of their status in the near future.
Static	The local jurisdiction has not yet developed and/or implemented a viable strategy within the functional area.
Synchronized	All local, state, 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. The local jurisdiction has demonstrated mastery of this capability.
Type	A classification of resources in NIMS and ICS that refers to capability. Type 1 is generally considered to be more capable than Types 2, 3, or 4, respectively, because of size, power, capacity, or, in the case of Incident Management Teams, experience and qualifications.

Term	Definition
Vet	To subject to thorough examination and evaluation, investigate carefully, and pass as satisfactory.
Vulnerability	Physical feature or operational attribute that renders an entity open to exploitation or susceptible to a given hazard.

APPENDIX B: RESOURCES AND REFERENCES

To effectively respond to the questions in LCAT, you should be familiar with general logistics resources and disaster response guidance. The following documents should be helpful in preparing for your assessment.

Commodities Model, United States Army Corps of Engineers, 2007.
http://www.englink.usace.army.mil/igp/commodities.htm

Critical Emergency Supplies State Analysis Questions, 2010.

Emergency Management Accreditation Program (EMAP), Emergency Management Standard (EMS), 2010.
http://www.emaponline.org/index.php?option=com_pollydoc&format=raw&id=136&view=doc

Federal Emergency Management Agency. NIMS: Incident Resource Inventory System (IRIS) User Guide, 2008.
http://www.fema.gov/emergency/nims/ResourceMngmnt.shtm#item5

Federal Emergency Management Agency. Local Multi-hazard Mitigation Planning Guidance, 2008.
http://www.fema.gov/library/viewRecord.do?id=3336

Federal Emergency Management Agency. IS-26 U.S. Army Corps of Engineers Guide to Points of Distribution, 2008. http://www.training.fema.gov/EMIWeb/IS/is26.asp

Federal Emergency Management Agency. Developing and Maintaining Emergency Operations Plans: Comprehensive Preparedness Guide (CPG) 101, 2010.
http://www.fema.gov/pdf/about/divisions/npd/CPG_101_V2.pdf

Federal Emergency Management Agency. Interim Incident Management Handbook, 2011.

Homeland Security Presidential Directive 5 (HSPD-5): Management of Domestic Incidents, 2003.
http://www.dhs.gov/xabout/laws/gc_1214592333605.shtm

Nation Incident Management Training Program, 2011.

Presidential Policy Directive 8 (PPD-8): National Preparedness, 2011.
http://www.dhs.gov/xabout/laws/gc_1215444247124.shtm

The Code of Federal Regulations (CFR), Chapter 1, Title 44.
http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&tpl=%2Findex.tpl

The Robert T. Stafford Disaster Relief and Emergency Assistance Act, 2007, Public Law 93-288, as amended.
http://www.fema.gov/pdf/about/stafford_act.pdf

U.S. Department of Homeland Security. Universal Task List (UTL), 2007.
https://www.rkb.us/contentdetail.cfm?content_id=185590

U.S. Department of Homeland Security. National Preparedness Guidelines (NPG), 2007.
http://www.dhs.gov/xlibrary/assets/National_Preparedness_Guidelines.pdf

U.S. Department of Homeland Security. National Response Framework (NRF), 2008.
http://www.fema.gov/pdf/emergency/nrf/nrf-core.pdf

U.S. Department of Homeland Security. National Incident Management System (NIMS), 2008.
http://www.fema.gov/pdf/emergency/nims/NIMS_core.pdf

U.S. Department of Homeland Security. National Preparedness Goal, 1st ed., 2011.
http://www.fema.gov/pdf/prepared/npg.pdf

You should also be familiar with your state's emergency management organizational structure, likely disasters anticipated for the area, history of disaster responses, and the state's capability to respond to those disasters, including any shortfalls or limiting factors that can be ascertained before the visit.