

Federal Emergency Management Agency – Logistics Management
**Logistics Capability Assistance Tool
(LCAT)**

Facilitator Guide



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1.0 INTRODUCTION

This facilitator guide is designed to help you, the facilitator, support state, territorial, tribal, and local jurisdictions as they conduct a Logistics Capability Assistance Tool (LCAT) workshop. The contents of the guide are meant to serve as suggestions to assist you through each stage of the workshop, and provide you with helpful hints for interacting with the participants. This guide will also help you explain to them the benefits of LCAT and guide them through the process of responding to the LCAT questions.

Congress directed 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 program was developed to enhance state and local jurisdictions' abilities to determine levels of disaster logistics planning and response capability. The assistance visit results are critical to identifying where to focus additional planning efforts.

To aid in facilitating the workshop and conveying LCAT concepts, this guide was created to assist you with everything from preparing for, scheduling, and conducting the workshop to final follow up and reports. Refer to Appendix C for talking points and Appendix I for a sample presentation to assist you in facilitating an LCAT assessment.

1.1 Purpose

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

LCAT was created to be used by jurisdictions 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 jurisdiction and its citizens gain from the resulting increase in logistics capabilities.

The LCAT assessment and associated responses to questions are confidential information, and will not be shared with any other regions, jurisdictions, or agencies, to include Headquarters FEMA. The participating jurisdiction will determine if the assessment results will be disseminated outside the jurisdiction 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. A workshop would ideally be conducted in 1.5 days or, if necessary, tailored to meet the jurisdiction's requirements. Participants should include jurisdiction emergency management officials, FEMA regional and state representatives, FEMA logistics personnel, the National Guard, and private sector partners.

Successful logistics disaster response planning requires all partners to actively contribute to and participate in the assessment. The result will be a more complete and accurate picture of capabilities available for analysis, ensuring a COP that portrays a shared reality. The workshop process itself should promote discussion, awareness, and information flow between the various participants and agencies. The self assessments could be used as a baseline to track overall progress and improvements in specific core competencies. They also help validate successful programs and clearly identify where additional attention may be required.

In fiscal year (FY) 2012, FEMA LMD will transition LCAT program execution to the FEMA Regions, where regional logistics chiefs will continue to make the program available to state and local jurisdictions that wish to participate. In the interim, jurisdictions can either request an assessment facilitated by FEMA personnel, or conduct the self-assessment on their own using the materials provided.

FEMA LMD recommends that the LCAT workshops use an agenda similar to the one in Appendix E. The LCAT questions will likely generate significant discussion, so should diligently manage time. Time has been set aside in the agenda for “parking lot” discussions when participants can revisit and discuss unresolved issues at the end of the day. Also plan to build ample break time in to the agenda.

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 concept 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. An enterprise-wide property accounting and asset visibility system that is designed to ensure best value is implemented.

Federal Emergency Management Agency – Logistics Management

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 is comprised of over one hundred survey-style questions grouped into functional capabilities within five core competencies. As a facilitator, you should encourage participants to respond to each question with complete honesty, by identifying where the jurisdiction fits along a range of five capability levels, from static to synchronized. The goal of this assessment is to determine where a particular capability falls within the levels defined below:

Static – The jurisdiction has not yet developed and/or implemented a viable strategy within the functional area.

Functional – The jurisdiction has implemented informal plans or processes, but standard operating procedures (SOP) have not been defined or adopted.

Horizontal Integration – The jurisdiction has developed and implemented formalized, integrated SOPs across its emergency management (EM) organization.

External Collaboration – The jurisdiction has coordinated plans and SOPs with other state, local or tribal, and external partner agencies, organizations, and private vendors.

Synchronized – All partners (local, state, federal, and private, as applicable) have fully integrated and synchronized plans, procedures, and operations. All plans and SOPs have been documented and exercised regularly with all participants. The jurisdiction 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 a jurisdiction. There is a “Not Applicable” option for all questions, so jurisdictions should not feel compelled to give themselves the highest marks in every category. If the question is not indicative of a capability appropriate for the jurisdiction, “Not Applicable” could be the most appropriate response.

3.2 Logistics Capability Assistance Tool Objectives

LCAT is designed to improve the 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, operational 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 jurisdiction disaster response capability and use public-private partnerships;
- Focus on and evaluate jurisdiction 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 jurisdiction's readiness;
- Track improvements in particular functional capabilities; and
- Enhance jurisdictional response capability and public-private partnerships.

Jurisdictions 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 assessment is a survey-style question set, comprised of questions grouped by core competencies and further broken down according to the functional capabilities listed as follows.

3.3.1 Logistics Planning

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

- Plans development,
- Contingency planning,
- Distribution planning,
- Training and compliance,
- Provider qualification,
- Procurement procedures and protocols,
- Solicitation, and
- 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 capabilities within the logistics operations core competency are addressed:

- Identify requirements,
- Activate critical resource logistics and distribution,
- Acquire resources,
- COP,
- Procurement, and
- 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 capabilities within the distribution management core competency are addressed:

- Order tracking,
- Transportation coordination, and
- 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 capabilities 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; and
- Jurisdiction 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 capabilities within the property management core competency are addressed:

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

3.4 Logistics Capability Assistance Tool Benefits

Providing participants with a list of clear benefits derived from the LCAT process will help them 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 jurisdictions;
- LCAT analysis reports feed into incident action plans and after-action reports—ultimately improving plans and mitigating risks;
- Enhanced state and regional COP;
- Increased understanding of the logistics mission and best practices for end-to-end supply chain stakeholders; and
- By identifying capability gaps and maturity levels, jurisdictions can improve overall logistics capabilities.

4.0 WORKSHOP PREPARATION

As the facilitator, determine your facilitation team composition and help the jurisdiction prepare for your visit. At a minimum, a facilitation team should include a facilitator, an analyst/technical writer, and a logistics subject matter expert (SME). The entire facilitation team should have a solid understanding of LCAT. Refer to the LCAT user instructions on how to operate the LCAT application.

As soon as possible, request that the jurisdiction identify a point of contact for you to work with, from pre-planning to completion of the trip report. In addition, the facilitator should work with the jurisdiction’s point of contact to ensure the appropriate participants are invited to attend the workshop. Depending on the complexity of the jurisdiction, a back-up facilitator, recorder, or SME might be needed. In the months and weeks prior to the workshop, ensure the actions in Table 1 are completed.

Table 1: Recommended Workshop Preparation Timeline

Timeline	Action
Initial contact	Ensure the jurisdiction understands LCAT capabilities and starts to prepare for the assessment workshop.
2 months in advance	Assist the jurisdiction in proposing and confirming dates for the workshop.
1-2 months in advance	Book or confirm travel reservations.
1 month in advance	Ensure that you have sufficient stock of LCAT workbooks and CDs.
2 weeks in advance	Coordinate travel requirements.
1 week in advance	Send the jurisdiction the LCAT application and appropriate content guide (state or local). Verify receipt.

A workshop location should be selected that is conducive to face-to-face discussions. Ensure that there is enough space and appropriate seating, lighting, heating, ventilation, and air conditioning capability. A theater style room or an operations center would not be an appropriate facility. Other considerations include ensuring that appropriate information technology (IT) capabilities will be available and that there is an IT expert available to address any potential issues that may arise.

Prior to the workshop, ensure that the following items are provided to the jurisdiction point of contact:

LCAT application CD,
LCAT Content Guide, state or local as appropriate.

The facilitator should ensure that the workshop items listed above are mailed or delivered to the jurisdiction point of contact.

The workshop should begin with an introductory briefing provided by you. Introductions, administrative details, and the presentation should take about an hour. Your presentation should include administrative comments, LCAT background and objectives, the benefits of the assessment, what the assessment process entails, and a review of the workshop agenda. Refer to Appendix E for a sample workshop agenda you can tailor and personalize for your audience. Refer to Appendix F for a sample workshop timeline.

4.1 Workshop Conduct Suggestions

As the facilitator please keep the following tips and workshop conduct suggestions in mind throughout the workshop.

- Remind participants that the only right answer is the honest answer.
- Encourage all meeting attendees 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.
- As you lead the participants through the assessment ask leading questions rather than questions that can be answered with “yes” or “no” to help them focus their thoughts.
- 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.
- In addition to the recorder who will be annotating responses to questions in LCAT, you should assign a member of the facilitation team to track and note recommended improvements to LCAT for the hot wash at the end of the workshop. You could also request that the jurisdiction point of contact select someone for this task.
- 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 assessment process.

It is important to check with the jurisdiction point of contact before you leave home to confirm that copies of the appropriate LCAT content guide (state or local) and LCAT application CD are distributed to participants attending the workshop. Even though you will have already mailed copies to the jurisdiction, it may be helpful to travel with one or two extra copies. The documents that you provided should facilitate a consistent approach and message, though participants may have different perspectives.

4.2 Recommended Participants

Jurisdictions 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. Participants who should attend the assessment 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 assessment.

- FEMA State 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 non-governmental organizations
- County emergency management officials
- City emergency management officials

The more decision makers in attendance during the assessment, the better, as one of the most beneficial aspects of LCAT is the inherent educational nature of the tool. A sample participant invitation letter can be found in Appendix D.

5.0 CONDUCTING THE WORKSHOP

This section serves as guidance in conducting the workshop, but can be changed or tailored to meet the jurisdiction's needs.

5.1 Workshop Structure

The following subsections provide the suggested structure of the workshop.

5.1.1 Administrative Announcements and Introduction

As mentioned earlier, during your introduction presentation, you should start with administrative comments such as a welcome, layout of the facility, safety comments (evacuation, tripping hazards, etc.), and introductions.

During the presentation, emphasize that the tool has been developed from the perspective of state, territorial, tribal, and local logisticians for their benefit. Emphasize that all responses to the questions are, and will remain, confidential and will not be shared with any other jurisdictions or agencies. The jurisdiction being visited will determine who receives a copy of the results of the assessment. If participants understand their answers are confidential, they should be more willing to provide honest answers.

You should also address LCAT objectives, benefits, the assessment process, and the agenda. A copy of the presentation can be found in Appendix I. Feel free to modify the presentation to personalize it for your audience.

5.1.2 Logistics Capability Assistance Tool Demonstration

After the introductory presentation, you or a facilitation team member should demonstrate the interactive LCAT program. You should address any questions that participants might have at this time.

5.1.3 Logistics Capability Assistance Tool Assessment

Next, review designated responsibilities expected throughout the workshop and then start the assessment by addressing each question individually. The preparation you have done and your understanding of disaster response logistics, LCAT, and the content guides will be important at this point in the workshop.

The LCAT guides will be as helpful to you as they should be to the participants. They address each question by providing the intent behind the question and an approach for responding to the question. Also, by being familiar with the content guides you have a better understanding of the thoughts behind the questions.

Your role is to help guide the participants through the assessment and answer questions as they progress. Each LCAT question provides an in-depth, graduated set of possible responses. In this collaborative workshop setting encourage meeting participants to consider and discuss each question and agree on a current level of process maturity.

A technical writer or recorder should be present to type participant responses directly into the LCAT application. The recorder should have excellent typing skills and, ideally, an understanding of disaster response logistics to ensure all information is properly documented. In addition to helping participants use LCAT during the workshop, you should teach participants how to conduct self assessments on their own, so it is important to mention the benefits of doing self assessments periodically.

After all questions are answered within a core competency, LCAT generates a results chart which provides a snapshot of where the jurisdiction’s relative strengths and weaknesses lie within each functional capability. Instructions for retrieving reports and graphs can be found in the LCAT User Guide. When each core competency is completed, the tool generates an Executive Dashboard Summary of overall capability levels. A snapshot of the Executive Dashboard Summary is depicted in Figure 1.

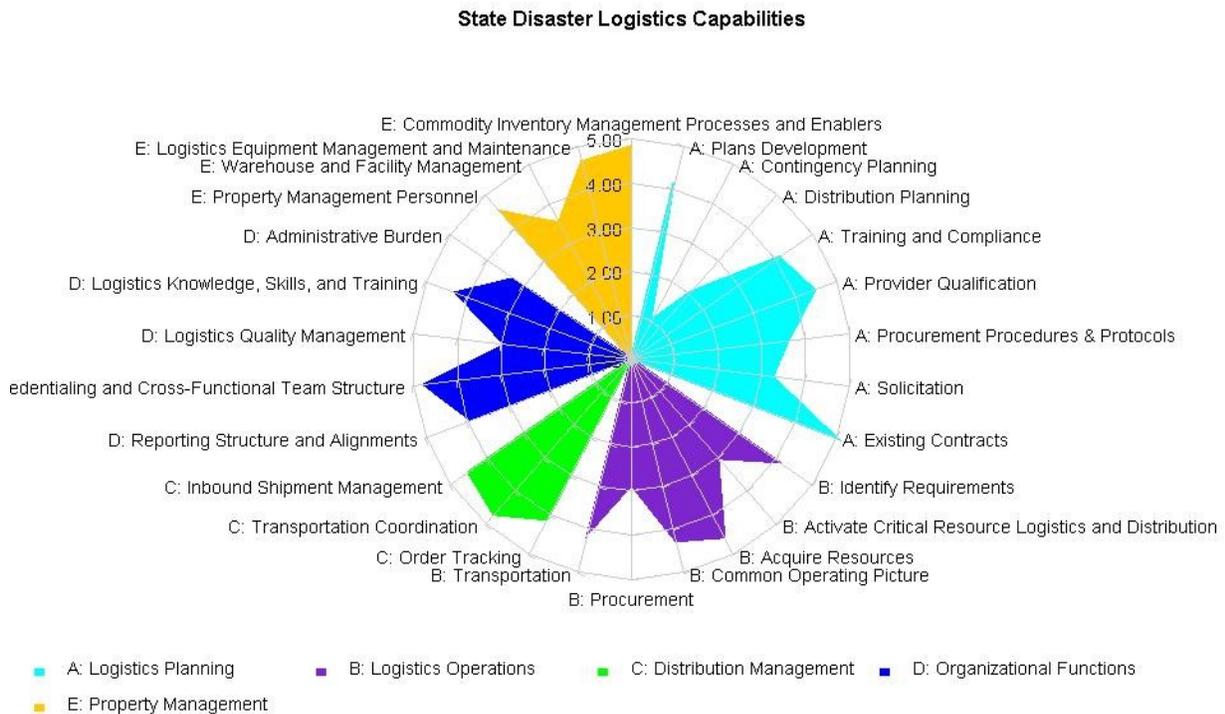


Figure 1: Sample Executive Dashboard Summary

LCAT provides results after all questions have been answered for each core competency. Each of the functional capabilities and questions is automatically processed, and a valuation is derived for each section as well as the overall capability.

6.0 NAVIGATING THE ASSISTANCE TOOL

LCAT allows the user to assess the following core competencies: logistics planning, logistics operations, distribution management, organizational functions, and property management. Reading the following background information on each of these core competencies will help to prepare you to facilitate the actual assessment.

6.1 Logistics Planning

It is important for the facilitator to focus solely on planning during this timeframe given that following sessions focus on execution. This segment should take approximately three hours, with a lunch break between the morning and afternoon periods.

While logistics planning is recognized by most state, territorial, tribal, and local jurisdictions as a critical capability, sufficient plans and resources to conduct planning remain a challenge. The 2006 Nationwide Plan Review: Phase 2 Report stated, as an area of relative weakness, that “very few plans adequately address the processes or procedures that are needed to respond to a catastrophic event.” LCAT is designed to assist jurisdictions in logistics planning.

Experience and lessons learned indicate emergency planning is best done by a team. Utilizing a team of stakeholders working in a group environment helps response organizations define their perception of the disaster/emergency situation and the role each stakeholder will play. It is important for emergency planners to take advantage of other stakeholders’ experience and knowledge. They are encouraged to form a collaborative logistics planning team to address emergency preparedness and response activities.

In most jurisdictions, the designated emergency manager is the senior elected official’s policy advisor for all aspects of mitigation, preparedness, response, and recovery strategies. In this role, emergency managers are often responsible for coordinating and developing the overall Emergency Operations Plan (EOP). The local emergency management agency is responsible for creating the logistics planning team, which should include the individuals or organizations identified in Table 2.

Table 2: Proposed Planning Team Composition

Individuals/Organizations	What They Bring to the Planning Team
Emergency Management Agency	Knowledge of resources and resource request process
Social Services Department	Personnel resources
Department of Health	Subject matter expertise; medical preparedness, health information technology, medical supplies, response team
Parks and Recreation Department	Provide life support and other services

Individuals/Organizations	What They Bring to the Planning Team
Public Works Department	Personnel resources
Fire Department	Fire suppression, traffic control, safety, hazardous material response
Police Department	Law enforcement, security, safety, traffic control, search and rescue
Representatives of Volunteer Organizations Active in Disaster	Assist in point of distribution (POD) operations
Department of Transportation	Equipment support, transportation and shipping management
Community Emergency Response Team	Material management
Private-sector liaison to business	Provide supplies and support POD and staging area

The planning team should be multi-jurisdictional, so counties and municipalities can plan to effectively share resources. Regional planning is also critical for large metropolitan areas that may rely on assistance from neighboring cities during an emergency. Local and regional planning should be integrated with federal efforts, so that if federal resources are requested, state, territorial, tribal, and local governments are fully prepared to accept and use the resources.

The following planning process has enough flexibility for each jurisdiction to adapt it to fit the jurisdiction’s unique characteristics and situations. Smaller communities can follow the steps appropriate to their size, known hazards, and available planning resources. Comprehensive Preparedness Guide (CPG) 101 establishes the following numbered planning steps:

1. Form a collaborative planning team
 - a. Identify core planning team
 - b. Engage the whole community in planning
2. Understand the situation
 - a. Identify threats and hazards
 - b. Assess risk
3. Determine goals and objectives
 - a. Determine operational priorities
 - b. Set goals and objectives
4. Plan development
 - a. Develop and analyze courses of action
 - b. Identify resources
 - c. Identify information and intelligence needs
5. Plan preparation, review, and approval
 - a. Write the plan
 - b. Review the plan

- c. Approve and disseminate the plan
6. Plan implementation and maintenance
 - a. Exercise the plan
 - b. Review, revise, and maintain the plan

CPG 101 also provides emergency managers and other emergency services personnel with Department of Homeland Security's (DHS) best judgment and recommendations on how to address the entire planning process, from forming a planning team to writing and maintaining the plan to executing the plan. Planners should consult the CPG 101 for basic information on the steps listed above.

6.2 Logistics Operations

About an hour and fifteen minutes should be allotted to discussing logistics operations on the first day of the workshop, after logistics planning. At the end of the day, a forty-five minute parking lot discussion should be scheduled for participants to discuss any issues that were not resolved during the day.

The type and quantity of commodities the public will need in the aftermath of an incident will vary due to many factors. While no two incidents are the same, there are some common essential items required for public health, safety, and lifesaving needs. They include potable water (usually bottled), pre-packaged, shelf-stable foods, and other supplies. During localized incidents, and initially during larger disasters, these commodities are normally supplied by state, territorial, tribal, and local governments or through the efforts of volunteer agencies, such as the American Red Cross and the Salvation Army.

When the need for commodities exceeds the state, territory, or tribe's capability, under a Presidential declaration, these entities can request that FEMA provide the additional requirements. FEMA LMD will provide commodities stored in distribution centers in various locations, and if needed, coordinate with the National Response Framework (NRF), Emergency Support Function (ESF)-3, to purchase additional quantities of water and power generation equipment. These commodities and supplies are most often delivered in over-the-road tractor-trailer loads.

Once assistance from FEMA is requested and approved, staging areas supply the local PODs in the jurisdictions affected by the incident. The titles of the staging areas may change from jurisdiction to jurisdiction so participants may be familiar with other names such as state staging area or regional staging area. It is incumbent upon each state, territorial, tribal, and local jurisdiction to prepare plans that implement and support the distribution of necessary commodities to the public. At a minimum, plans for accomplishing this should include:

- Assigning an agency or department with the primary coordinating responsibility for logistics distribution planning and implementation;
- Identifying PODs and sources to secure material handling and support equipment prior to an incident (if advance warning is available);

- Assigning roles and responsibilities, to include staffing and equipment requirements, for each agency or department with an assigned role in logistics distribution; and
- Identifying staffing gaps.

6.2.1 Identify Requirements

After an incident, compare available resources (possessed by the jurisdiction directly as well as available through contracts or mutual aid) with the emerging needs. Once resources have been identified, determine what additional resources are needed for response efforts (96+ hours in advance of anticipated needs if possible). What and how much is needed? Where and when is it needed? Who will be receiving or using it? Some of these requirements can be estimated prior to an incident based on the jurisdiction's hazard analysis, previous incidents and operations, demographic profiles, and approved models. Planning matrices, such as the one developed by the United States Army Corps of Engineers (USACE), can also help emergency management personnel determine the resources necessary to assist affected populations. In the end, the amount of resources ordered should not exceed the capability of the jurisdiction to store and distribute them.

6.2.2 Activate Critical Resource Logistics and Distribution

The key factors to remember for active critical resource logistics and distribution are:

- SOPs for jurisdiction staging area operations and POD operations should be developed.
- Jurisdiction plans should include instructions for reducing or ending POD operation when no longer needed.
- Ensure the jurisdiction is aware of Independent Study (IS) Course IS-26, Guide to Points of Distribution.

6.2.3 Acquiring Resources

When possible, resource requirements should be filled by the lowest level of government that has resources readily available and managed by the local emergency manager. If the entity receiving the request does not have adequate resources, a request should be submitted to the local Emergency Operations Center (EOC) or multiagency coordination system using standardized resource-ordering procedures. If the local EOC is unable to fill the order, the request should be forwarded to the next level—generally the state, territorial, or tribal EOC. The jurisdiction determines how or if the requirement can be fulfilled by state, territorial, or tribal agencies; private-sector groups; or through mutual aid such as the Emergency Management Assistance Compact (EMAC) or the Statewide Mutual Aid Agreement.

If the state, territory, or tribe cannot fill the need, it submits an Action Request Form requesting federal assistance. Tribal governments have the option of requesting assistance from the state

prior to seeking federal assistance if they so choose. Managers should encourage jurisdictions to make requests by identifying specific needs rather than specific resources. Often a particular resource is not available, but a similar resource will address the need sufficiently. Communities can also benefit from developing a series of pre-scripted mission requirements outlining the needs that would likely result from different types of incidents. When determining how many resources to request, planners should consider changes to population size due to evacuations, as well as commodity requirements for first responders and base camps. Situation reports will help provide information to inform these decisions.

6.2.4 Common Operating Picture

Jurisdiction logistics personnel should be provided access to the COP and purchasing information should be integrated into the logistics COP.

6.2.5 Procurement

These key points should be considered for procurement;

- Purchasing training should be incorporated into the jurisdiction's disaster logistics.
- Jurisdiction lead-time standards for mission assignments should be available.
- The jurisdiction should employ a first-in, first-out commodity sharing and visibility structure with neighboring counties and neighboring states.
- Key jurisdiction logistics personnel should understand the federal procurement reimbursement program.

6.2.6 Transportation

When directed to mobilize resources, the authorizing agency or person must be given the following information regarding transportation:

Date, time, and place of departure;
Weather and other local conditions;
Mode of transportation to the incident;
Estimated date and time of arrival;
Reporting location (address, contact name, and phone number);
Anticipated incident assignment, anticipated duration of deployment; and
The resource order number, incident number, and applicable cost and funding codes.

When resources arrive at the scene, they must be logged into the system. The on-scene processing system should also confirm to the sender that the resource has been received.

6.3 Distribution Management

The second day of the workshop should begin with a ten minute overview of the first day's discussion. The distribution management section should take approximately one hour. Considerations for this discussion are explained in the following subsections.

6.3.1 Resource Tracking

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 centralized data base allowing total visibility of assets. 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);
Geographical Information Systems (GIS);
Resource tracking systems;
Transportation tracking systems;
Inventory management systems; and
Reporting systems.

6.3.1.1 Transportation Coordination

These are key factors to be considered for transportation coordination:

- Transportation providers (carriers) should be selected using multi-factor criteria.
- A clearly defined lead agency and coordinator for transportation should be identified and the transportation coordinator's role defined.
- Established jurisdiction contracts and agreements with public or private transportation providers should be created, if legally permissible.
- Identify when transportation assets provide a status or location update and determine how to manage how carriers are assigned loads.
- The jurisdiction should have in-transit visibility capability and consider, when required, whether or not security escorts could be utilized for critical loads.

6.3.1.2 Inbound Shipment Management

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

6.3.2 Property Management

Approximately 45 minutes are allotted for this session, which will address the areas below. Jurisdictions should designate primary and support staff for warehouse operations, loading and unloading, inventory, tracking, mission tasking, and other tasks related to staging area operations. If additional assistance is required, personnel and equipment can be obtained through local, intra-state, and EMAC mutual aid agreements. The National Guard, state, or federal forestry, and other applicable entities can help supervise and administratively manage a staging area upon request. A commercial firm can also be hired to help establish, manage, and operate the staging area, though overall site management must be under the direction and control of the county or municipal EOC. In addition to the above, the following positions are ideally filled for successful operations of a staging area:

Manager,
Planning unit leader,
Ordering unit leader,
Ground support unit leader,
Transportation unit leader,
Communications unit leader,
Safety officer,
Ground support unit,
Ordering unit,
Accountable property officer,
Transportation unit,
Planning unit, and
Communications unit.

6.3.2.1 Logistics Equipment Management and Maintenance

The key factors to consider for logistics equipment management and maintenance are:

- The jurisdiction should consider having the equipment necessary, including material handling equipment (MHE), to warehouse commodities and deploy commodities to impacted populations during the first 72 hours post-incident.
- The best method to describe the level of visibility the jurisdiction has over organic logistics equipment should be established.
- Jurisdiction-owned equipment (e.g., MHE), maintenance status, and operational status should be actively documented and monitored.
- Develop a process that addresses an appropriate level of visibility over leased (contracted) logistics equipment.

- Determine the best method to describe the jurisdiction’s maintenance requirements for leased (contracted) logistics equipment.
- Organic fixed generator scheduling, maintenance status, and operational status should be tracked, if applicable.
- Organic portable generator scheduling, maintenance status, and operational status should be tracked, if applicable.

6.3.3 Commodity Inventory Management Process and Enablers

Without knowing how many state, territorial, tribal, and local resources are readily available (including facilities such as PODs and staging areas), emergency managers have no way to 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 9-1-1 centers, EOCs, and multi-agency coordination entities.

When determining what resources should be kept on hand at all times, consider the urgency of need during a disaster, whether the commodity can be produced quickly, and the shelf life or maintenance requirements of the inventory. When storing resources, there must 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.

It is also important to release invitations to bid and requests for proposal, if legally permissible, for contingency contracts prior to an emergency. These contracts and agreements should be reviewed annually and adjusted as needed.

6.4 Organizational Functions

The following subsections describe the organizational functions.

6.4.1 Reporting Structure and Alignments

This session should last for approximately 50 minutes. Jurisdictions should identify key functions that state or local agencies will accomplish during an emergency, including the roles that federal, state, territorial, tribal, local, regional, and private-sector agencies will take to support local operations. Logistics management during disaster operations is conducted primarily within the logistics section (or responsible ESF) as detailed in the EOP. When assigning roles and responsibilities, first determine what section, agency or jurisdiction will lead the logistics management function. The lead agency, or ESF if applicable, is responsible for determining ongoing logistics management actions (including plans and execution) and coordinating all participating agencies or ESFs.

The jurisdiction may assign the lead or coordinating role to a specific department or agency based on the respective community’s emergency response structure. For example, a county

purchasing department may lead the logistics function in the EOC. The lead section, agency, or jurisdiction also provides the logistics section chief, whose role will be discussed at greater length later. Special consideration needs to be made if any responsibilities will be tasked to private vendors or voluntary agencies. In addition to determining the lead, jurisdictions must decide what sections or agencies will manage the following functions and explicitly assign responsibilities to those sections and agencies by name within the plan:

- 1. Transportation**
 - a.** Provides assistance for transportation prioritization and tracking
 - b.** Arranges for transportation services of relief supplies
 - c.** Provides staff for the staging area as directed
 - d.** Coordinates and provides oversight of movements (e.g., assigning loads to carriers or balancing inbound and outbound shipments from staging areas)
 - e.** Receives and appropriately forwards requests for waivers
 - f.** Assists in routing to avoid hazards or otherwise impassable areas
- 2. Communications**
 - a.** Contracts telecommunications support
 - b.** Provides telecommunications, radio, and other related services
 - c.** Supports communications requirements of the staging area and PODs
- 3. Resources Support**
 - a.** Requisitions or contracts for supplies and equipment
 - b.** Leases, rents, or purchases needed equipment for the staging area and PODs
 - c.** Provides available space, buildings, etc., as may be required for emergency support operations
 - d.** Uses multiple vendors and contracts where possible
 - e.** Provides staff for the staging area as directed
- 4. Staging Area Operations**
 - a.** Establishes and operates the staging area
 - b.** Provides staff for the staging area
- 5. Public Health and Medical Services**
 - a.** Provides medical supplies and response teams
 - b.** Provides technical assistance in identifying and procuring medical supplies and other medical services
 - c.** Provides staff for the staging area as directed
- 6. Commodity Distribution**
 - a.** Identifies multiple food, water, and ice resources
 - b.** Establishes and provides operational support for PODs
 - c.** Provides staff for PODs
 - d.** Coordinates voluntary agencies to support PODs
 - e.** Provides staff for the staging area as directed

7. Energy

- a. Coordinates fuel needs of the central staging area, if applicable, and PODs
- b. Provides staff for the staging area as directed
- c. Financial services and contracts (e.g. generators, etc.)
- d. Tracks expenses, contracts, etc.

6.4.2 Credentialing and Cross-Functional Team Structure

A credentialing system should be in place to document minimum professional qualifications, certifications, training, and education requirements expected of volunteers and other responders during an incident. Having a pre-determined system will ensure that personnel responding to the incident possess a minimum base level of training, experience, and physical and/or medical capability. Ideally, a credentialing system should be in place for the following groups:

Incident Management,
Logistics Management,
Fire Fight and Hazardous Material Response,
Law Enforcement,
Public Health, and
Public Works.

At the national level, the National Integration Center works with community-based organizations, such as the Citizen Corps, to assist in developing their credentialing systems. It is also working with stakeholders across the country to develop guidance materials for credentialing procedures for all disciplines.

Personnel deployed under the EMAC will need to meet national qualification and certification standards as they are developed and implemented.

6.4.3 Logistics Quality Management

These factors need to be considered for logistics quality management:

- In order to ensure continuous improvement and education, the jurisdiction should have routine measurements to assess the training levels of logistics personnel.
- The jurisdiction should assess its disaster logistics preparedness and capabilities and capture logistics best practices and lessons learned.
- Institutional procedures should be in place to incorporate lessons learned and shortfalls into logistics planning.

6.4.4 Administrative Burden and Jurisdiction Legal Constraints

Considerations for this section include the following:

- The extent and limits of the emergency authorities granted to the chief elected official of the jurisdiction, the governor of the state, or tribal leader—including the conditions under which these authorities become effective, and when they would be terminated.
- Laws, statutes, ordinances, executive orders, regulations, and formal agreements relevant to logistics planning.
- Pre-delegation of emergency authorities (i.e., enabling measures sufficient to ensure specific emergency-related authorities can be exercised by the elected or appointed leadership or their designated successors).
- Provisions for continuity of operations (i.e., the succession of decision-making authority and operational control) to ensure critical emergency functions can be performed.

7.0 POST WORKSHOP ACTIONS

After the workshop is complete, the facilitator should provide hard copies of the Evaluation Survey (refer to Appendix H) as well as the follow-up actions listed in Table 3.

Table 3: Recommended Follow-up Actions

Timeline	Facilitator Action	Status
Within 1 week	Send thank you, appreciation, or follow up letters, as appropriate (refer to Appendix G).	
Within 2 weeks	Provide a trip report to the facilitator’s organizational leadership.	
Within 1 month	If requested and approved by the jurisdiction, create an analysis report.	
Upon request	If the jurisdiction requests, facilitate a follow-up session and coordinate the date with the requestor to review LCAT observations and key recommendations by video teleconference (VTC) or in person.	

7.1 Trip Reports

Trip reports are designed to help the facilitator capture pertinent information from the workshop. The report should include general categories such as subject, purpose, date, participants, key take away materials, open action items, and notes from the LCAT session, if the jurisdiction agrees that the information can be released. If the jurisdiction requests that its LCAT data remain confidential, you should develop a generic report with basic information for your leadership. If you have any questions about this guide, LCAT, or the workshop, please contact your logistics chief.

7.2 Analysis Reports

After the workshop, the facilitation team can provide a detailed analysis report that includes assessment responses, overall results, and key observations and recommendations. The facilitator should provide an explanation of the analysis report and the kind of information it will provide. Should the jurisdiction want to create the report themselves, the facilitator should provide a template to assist them in writing the report. The jurisdiction could request that the facilitation team develop the report. In this case, the facilitator will develop an analysis report based on the jurisdiction’s responses to the LCAT question set and other discussion. The analysis report can be used by the jurisdiction to identify its strengths and benchmarks, and determine areas for future planning.

APPENDIX A: ACRONYMS

The following acronyms were used in creating this document.

Acronym	Term
ARF	Action Requirements Forms
CFR	Code of Federal Regulation
CONOPS	Concept of Operations
CPG	Comprehensive Preparedness Guide
DHS	Department of Homeland Security
ESF	Emergency Support Function
EMAC	Emergency Management Assistance Compact
EMAP	Emergency Management Assistance Program
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
FEMA	Federal Emergency Management Agency
FY	Fiscal Year
GIS	Geographic Information System
HSPD	Homeland Security Presidential Directive
IRIS	Incident Resource Inventory System
IT	Information Technology
LCAT	Logistics Capability Assistance Tool
LMD	Logistics Management Directorate
MA	Mission Assignments
MHE	Materiel Handling Equipment
MOU	Memorandum of Understanding
NIMS	National Incident Management System
NRF	National Response Framework
POD	Point of Distribution

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Acronym	Term
PPD	Presidential Policy Directive
SME	Subject Matter Expert
SOP	Standard Operating Procedure
USACE	United States Army Corps of Engineers
VTC	Video Teleconference

APPENDIX B: RESOURCES AND REFERENCES

In preparation for the workshop you should be familiar with general logistics resources and disaster response guidance. The following documents should be helpful in preparing for your assessment visit.

Commodities Model, United States Army Corps of Engineers, 2007.
<http://www.enlink.usace.army.mil/igp/commodities.htm>

Critical Emergency Supplies State Analysis Questions, 2010.

Emergency Management Accreditation Program (EMAP), Emergency Management Standard (EMS), 2007. 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.

Federal Emergency Management Agency. Logistics Capabilities Assessment Questionnaire, 2010.

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 conduct research on the jurisdiction that you and your team will be supporting. For example, you should be familiar with the jurisdiction's emergency management organizational structure, likely disasters anticipated for the area, history of past disaster responses, and the jurisdiction's capability to respond to those disasters, including any shortfalls or limiting factors that can be ascertained before the visit.

It is important that you also have a good working knowledge of LCAT. The following resources will prepare you for the workshop.

- Federal Emergency Management Agency Logistics Management: Logistics Capability Assistance Tool,
- LCAT Facilitator Guide, and
- LCAT Content Guides (state or local, as appropriate).

APPENDIX C: TALKING POINTS ON LOGISTICS CAPABILITY ASSISTANCE TOOL

In 2006 Congress directed FEMA to develop and conduct a demonstration program “to improve readiness, increase response capacity, and maximize the management and impact of homeland security resources” for regional and local governments.

- Several FEMA regions and states worked with FEMA Headquarters to develop LCAT, a collaborative tool, to evaluate disaster logistics readiness, identify areas for targeted improvement, and develop a roadmap to enhance strengths and mitigate risks.
- Emergency managers at all levels benefit from conducting assessments and including as many public and private planning and response partners as possible.
- Launched in 2008 by FEMA’s LMD. It is a pillar of the Logistics Planning, Readiness, and Assistance Program.
 - Briefed during logistics planning readiness assistance team visits to regions, regional inter-agency steering committee meetings, and other meetings and conferences attended by state and local government representatives.
- **Structure:** LCAT features over one hundred survey-style questions, grouped by five core competencies: logistics planning, logistics operations, distribution management, organizational functions, and property management. It is standardized and transportable.
 - The core competencies are further grouped into functional capabilities, for example, distribution management is broken down into order tracking, transportation coordination, and inbound shipment management.
 - Capability levels, ranging from static to synchronized are assigned to each question and the overall assessment.
 - Analysis and reports are confidential. The jurisdiction determines whether the information will be disseminated and if so, to whom it will be available.
- **Expansion:** To provide disaster logistics assistance to a wider audience, applicability will be expanded to include local governments, such as, cities, counties, and tribal governments.
 - Program office will develop an additional question set for local jurisdictions. It is expected to be released in early FY2012.
 - Several cities and counties expressed interest in working with their states and FEMA logistics personnel to develop a test for a local government version of LCAT.

- **Transition:** LMD will transition centralized facilitation efforts to FEMA regions in FY2012.
 - Program office will retain responsibility and control of modification to the LCAT content to maintain program standardization.
 - LMD will provide training and follow-up with region logistics personnel and the states that they support.
 - Facilitator Guide – helps the facilitator lead jurisdictions through a workshop. Guide provides suggestions for each stage of the workshop, helpful hints for how to interact with participants, and outlines benefits of LCAT.
 - User Guide – helps the users install and use the LCAT software.
 - Content Guide – helps the user understand the intent behind the LCAT questions and provides recommended approaches for responding to the questions.
 - Program office is soliciting recommendations from regions and logistics personnel on a format for region- or state-led LCAT assessments and how to realize the greatest benefits from the program.
 - Region logistics chiefs will act as the primary LCAT facilitators and will be assisted by LMD personnel.
- **Acquisition support:** To facilitate improvements the program office will develop statement of work templates to be used at the state level.
 - Statement of work templates may be used to enhance and improve acquisition planning, collaboration and partnering, and enhance disaster logistics capabilities.
- **Funding:** Other than FY2011 Contract funding there is no additional funding for the program. FEMA LMD, FEMA Regions, and participating jurisdictions must budget for travel and analysis requirements.

APPENDIX D: SAMPLE PARTICIPANT INVITATION LETTER FOR THE WORKSHOP

FACILITATOR’S ORGANIZATION’S LETTERHEAD

INSERT DATE

FACILITATOR’S ORGANIZATION’S ADDRESS

INSERT JURISDICTION ADDRESS

Dear [NAME]:

You are cordially invited to attend a 1.5 day workshop on [INSERT DATE] hosted by [INSERT NAME OF APPLICABLE JURISDICTION]. The workshop will take place at [INSERT LOCATION] and will provide participants with an opportunity to assess their community’s logistics capabilities using the Logistics Capabilities Assistance Tool (LCAT).

LCAT can to be used by jurisdictions of any size to evaluate their current disaster logistics readiness, identify areas for targeted improvement, and develop a roadmap to both mitigate weaknesses and further enhance strengths. The survey-style tool contains over a hundred questions grouped into the following core competencies:

- Logistics planning
- Logistics operations
- Distribution management
- Organizational functions
- Property management

The workshop will be facilitated by [INSERT THE NAME OF YOUR ORGANIZATION]. After the survey questions have been answered, a series of reports will be generated to help you identify logistics management program areas that you might be able to improve. Please note that all LCAT survey answers, reports, and other related data are strictly confidential and will not be shared with FEMA or outside your jurisdictions without your express permission. An agenda for the LCAT workshop is attached.

In preparation for this workshop, please invite relevant participants to attend. These participants may include the following:

Federal Emergency Management Agency – Logistics Management

State Emergency Management Director
State logistics chief and support staff
State operations chief and support staff
State planning chief and support staff
Other key emergency management agency staff
State procurement officer(s)
State finance/accounting officer(s)
National Guard personnel
Major private-sector contractors
Key state non-governmental organizations
County emergency management officials
City emergency management officials

Please register by [INSERT INFO ON HOW TO REGISTER]. If you have any questions, contact [INSERT NAME], [INSERT TITLE], at [INSERT PHONE NUMBER] or [INSERT EMAIL].

Thank you for your continued support in ensuring that our nation is prepared to respond to a wide range of hazards.

Sincerely,

[NAME HERE]

[TITLE HERE]

APPENDIX E: SAMPLE WORKSHOP AGENDA

<p>The questions in LCAT should generate a considerable amount of discussion and collaboration. In an effort to use time wisely and allow sufficient time for the discussion the assessment should be scheduled for a 1.5 day session. A recommended agenda follows.</p>		
Time	Description	Key Attendees
DAY ONE		
0830 – 0930	Introductions and background	All
0940 – 1200	Logistics Planning	Planning staff County and private partners
1200-1300	Lunch	
1300-1400	Logistics Planning continued	Planning staff County and/or city partners Private partners Procurement
1415-1530	Logistics Operations	Logistics operations staff Operations staff Procurement County and/or city partners Private partners
1545-1630	Day 1 Parking Lot Discussion	All
End Day One		
DAY TWO		
0830-0840	Day 1 Recap	All
0845-0930	Distribution Management	Logistics planning Logistics operations
0945-1030	Property Management	Inventory management personnel Equipment management personnel State and partner agencies
1040-1130	Organizational Functions	All
1140-1230	Review LCAT results, hot wash, lessons learned	All

APPENDIX F: SAMPLE WORKSHOP TIMELINE

The following is a suggested timeline for pre-, during, and post-workshop activities.

Pre-workshop Activities		
Timeline	Action	Status
Initial contact	Brief the jurisdiction on LCAT (history, purpose, development, usage, benefits)	
2 months in advance	Send workshop documents to the jurisdiction (Should include a one-page talking point paper on LCAT, list of recommended workshop participants, invitation to participate, and workshop checklist)	
1 month in advance	Ensure the facilitator has a sufficient stock of content guides (state or local, as appropriate) and LCAT application CDs	
2 weeks in advance	Contact the jurisdiction workshop point of contact to discuss travel requirements and estimated number of participants	
	Book or confirm facilitation team travel reservations	
	Mail workbooks, CDs, sign-in sheets, any handouts, and feedback sheets to a location coordinated with the jurisdiction point of contact (reduces the amount of materials with which the facilitation team has to travel)	
	Alert jurisdiction point of contact that the package will be arriving and confirm receipt	
Workshop Activities		
Timeline	Action	Status
Day 1	Program overview presentation	
Days 1 and 2	Facilitate LCAT sessions for each core competency (logistics planning and logistics operations on day 1; distribution management,	

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	organizational functions, and property management on day 2)	
	Record responses and comprehensive notes in LCAT	
Day 2	Hold a results review and discussion	
	Distribute session feedback forms and collect after they are completed	
	Compile/save all notes, comments, and complete LCAT .xml file	
	Load and save completed LCAT .xml file (the jurisdiction will determine on which computer the file will be saved). **The facilitator can maintain a copy only if approved by the jurisdiction**	
Post-workshop Activities		
Timeline	Action	Status
Within 1 week after the workshop	Send thank you, appreciation, or follow-up letters, as appropriate	
Within 2 weeks	Provide a trip report to the facilitator's organizational leadership	
Within 1 month	If requested and approved by the jurisdiction, create an analysis report. This report will include detailed key observations, strengths, opportunities for continuous improvement all 12 results graphs, overall radar chart and charts by functional capability.	
Upon request	If the jurisdiction requests it, facilitate a follow-up session, coordinate the date with the requestor to review LCAT observations and key recommendations by VTC or in person	

APPENDIX G: SAMPLE PARTICIPANT THANK YOU LETTER

FACILITATOR’S ORGANIZATION’S LETTERHEAD

INSERT DATE

FACILITATOR’S ORGANIZATION’S ADDRESS

INSERT JURISDICTION ADDRESS

Dear _____,

On behalf of the [INSERT YOUR ORGANIZATION’S INFORMATION HERE], I would like to thank you for participating in the [INSERT NAME OF JURISDICTION AND DATE OF WORKSHOP] LCAT assessment. The workshop was a success because of your efforts to ensure that it was a collaborative environment focused on an accurate logistics capability assessment. As a result, participants have a common operating picture of logistics preparedness planning and disaster response capabilities.

Due to your comprehensive assessment you now have a source to use as a basis for further planning improvements, for both enhancing strengths and mitigating risks. Another benefit of the assessment is strengthened relationships and a more complete understanding of the roles, responsibilities, and interdependencies of those who attended.

Again, thank you for your participation. If you have recommendations to improve the LCAT process please do not hesitate to let me know. I look forward to continuing our work together to make our nation safe.

Sincerely,

[USE THE SIGNATURE BLOCK
APPROPRIATE FOR YOUR
ORGANIZATION]

APPENDIX H: EVALUATION AND FEEDBACK SURVEY

**Logistics Capability Assistance Tool Assessment Workshop
Evaluation and Feedback Survey**

Please take a few minutes to complete the following survey. Your candid feedback will help us determine how effective this workshop has been and help us improve future workshops.

GENERAL QUESTIONS	Ratings				
	1	2	3	4	5
The purpose and goals of LCAT were clearly and effectively communicated	1	2	3	4	5
Presentations were clear and informative	1	2	3	4	5
Participants' questions were sufficiently addressed	1	2	3	4	5
The correct personnel were in attendance for each portion of the workshop	1	2	3	4	5
The workshop met your expectation(s) and provided a clean picture of your logistics readiness	1	2	3	4	5
You feel comfortable providing a summary of the workshop discussion to others in your organization	1	2	3	4	5
The LCAT questions were comprehensive and all aspects of your logistics organization were addressed	1	2	3	4	5
You understand and agree with why FEMA developed LCAT	1	2	3	4	5
The workshop provided useful information and was worthwhile	1	2	3	4	5

SESSION CONDUCT	1	2	3	4	5
Sufficient time was allotted for each section and for the workshop overall	1	2	3	4	5
Breaks were adequately spaced throughout the workshop	1	2	3	4	5
Sequencing of the workshop and the LCAT sections were logical and flowed smoothly	1	2	3	4	5

COMMENTS (Additional writing space is available on back of this page)

Provide any suggestions or comments that you feel would make LCAT workshops more helpful to your jurisdiction or your particular agency or department.

Please provide any suggestions or comments which you feel would improve the overall workshop experience.

Please return your completed survey to the workshop facilitator. Thank you for your time.

APPENDIX I: LOGISTICS CAPABILITY ASSISTANCE TOOL INTRODUCTORY BRIEFING

This is a sample introductory briefing that can be used at the start of an LCAT workshop. For the electronic version of this presentation, refer to Intro Briefing v3.ppt.

Slide 1



[This is a sample introduction briefing for a Logistics Capability Assistance Tool (LCAT) workshop.]

Good morning. I am [Insert your name, job title, and organization] and as your facilitator, I will guide you through a Logistics Capability Assistance Tool, LCAT assessment workshop.

I would like to thank all of you for being here today. Your attendance and participation will be critical to a successful workshop.

Slide 2



Overview

- **Welcome**
- **Administrative comments**
- **LCAT background**
- **Assessment process**
- **Workshop agenda**



Here is an overview of what will be covered in this presentation. We will end with a quick review of the workshop agenda and then get started on the actual assessment.

Next, [Name, position] would like to welcome you to the workshop.

Slide 3



[Add the name of the regional or state representative who will provide the welcome to the slide in the PowerPoint subtitle box.]

[Provide a very short introduction of the person who will provide the welcome, such as name, organization, and position.]

Slide 4

Administrative Comments

- Sign in
- Workshop survey
- Facility
- Safety
- Messages
- Introductions



Before we get started, I would like to cover a few administrative items. First, if you have not already signed in please be sure that you do, so that we will have a record of your attendance. At the end of the assessment we would also like for you to complete a survey to help us and FEMA improve LCAT and the assessment process.

[Following are several recommended administrative topics to address:

Facility – Any particular information about the facility, parking, where the restrooms are, etc.

Safety – Evacuation procedures

Messages – Procedures for receiving messages

Introduction – If there are ten or less people in attendance allow everyone to introduce him or herself. If there is a large number of people recognize who is in attendance and state the names of their organization.]

We have planned a fast paced 1-½ days schedule. Our focus will be an efficient, effective, and accurate assessment of your current disaster response logistics capabilities.

Slide 5

Background

- **Congress directed demonstration program**
 - “. . .to improve readiness, increase response capacity, and maximize the management and impact of homeland security resources.”
- **Focus on state/local government**
- **Identify disaster logistics planning and response capability**
- **Target areas for improvement**



In 2006 Congress directed FEMA to develop and conduct a demonstration program “to improve readiness, increase response capacity, and maximize the management and impact of homeland security resources” for regional and local governments. Launched in 2008 by the FEMA Logistics Management Directorate, LCAT is a pillar of the Logistics Planning, Readiness, and Assistance Program.

Emergency managers at all levels can benefit from conducting assessments and including as many public and private planning and response partners as possible in the assessment process.

The LCAT process has been briefed during logistics planning readiness assistance team visits to regions, regional interagency steering committee meetings, and other meetings and conferences attended by state and local government representatives.

FEMA Headquarters worked with several FEMA regions and states to develop LCAT, a collaborative standardized tool, to evaluate disaster logistics readiness, identify areas for targeted improvement, and develop a roadmap to enhance strengths and mitigate risks.

Slide 6

LCAT Development

- 4 Regions (II, IV, VI, VII)
- 7 States (NY, NJ, IA, KY, TN, NC, FL)

The map displays the United States divided into FEMA regions. Regions II, IV, VI, VII, VIII, IX, and X are highlighted in green. Major cities are marked with red dots: Seattle (Region X), Boston (Region I), New York (Region II), Philadelphia (Region III), Washington, DC (Region I), Chicago (Region V), Kansas City (Region VII), Denver (Region VIII), Dallas (Region VI), and Atlanta (Region IV). The FEMA logo is in the bottom left, and the U.S. Department of Homeland Security logo is in the bottom right.

Drawing on input from several FEMA regions and states, LCAT was developed as a collaborative tool to be used to evaluate disaster logistics readiness.

The bottom line is that LCAT was developed by logisticians for logisticians. Logisticians from FEMA Regions two, four, six, and seven along with New York, New Jersey, Iowa, Kentucky, Tennessee, North Carolina, and Florida were instrumental in developing LCAT and ensuring that it is an effective tool.

The four regions and seven states that you see listed here worked with FEMA Headquarters to ensure that LCAT, a stand alone, transportable tool, can also be used to identify areas for targeted improvement and develop a roadmap to enhance strengths and mitigate risks.

Slide 7

Objectives

- **A standardized, transportable tool that**
 - Meets the Congressional mandate
 - Enhances disaster response capability
 - Enhances public-private partnership planning
 - Identifies logistics response strengths and risks



Since its launch in 2008, LCAT has been used to help states conduct comprehensive self-assessments of their logistics planning capabilities. By identifying capability gaps and maturity levels, disaster response logistics stakeholders have been able to develop targeted approaches to improve their capabilities.

LCAT is designed to improve the common operating picture 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 achieved among state, local, regional governments and agencies and private sector partners who participate in the workshops. Stakeholders 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 logistics personnel to work closely with counterparts from other state agencies, the FEMA region and other stakeholder organizations. Sharing information about logistics plans, operational SOPs, and federal, public, and private partner roles and responsibilities not only enhances transparency, but also builds trust among the partners.

Slide 8

References

- **Subject matter experts from DHS, FEMA, States, and USACE**
- **DHS, FEMA and other federal agency doctrinal resources**
 - National Incident Management Systems (NIMS)
 - National Response Framework (NRF)
 - Comprehensive Preparedness Guide (CPG) 101
 - National Preparedness Guidance (NPG)
 - FEMA Local Multi-Hazard Mitigation Guidance
 - Emergency Management Assistance Compact (EMAC) Website
 - Universal Task List (UTL)
 - Target Capabilities List (TCL)
 - National POD training video



A substantial amount of research was conducted in order to develop a demonstration program that addressed the right issues.

Each of the documents listed here was used to develop LCAT. When we start the actual assessment process you will see the references specific to each survey question annotated.

Though LCAT was created as a result of Hurricane Katrina and the *Post Katrina Emergency Management Reform Act* of 2006, the goal during development was to create a tool that would be applicable to logistics in any state, region, or disaster.

Slide 9

Assessment Process

- **Core competencies**
 - Logistics planning
 - Logistics operations
 - Distribution management
 - Property management
 - Organizational functions
- **Functional area capabilities**
 - Example: Distribution management – order tracking, transportation coordination, and inbound shipping



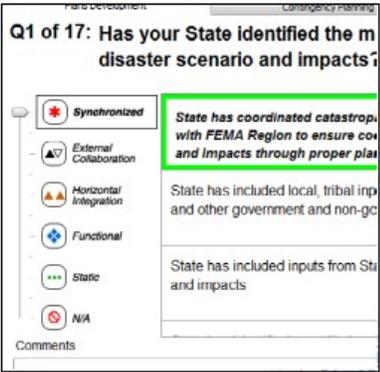
LCAT consists of more than one hundred survey-like questions that are divided into five core competencies: logistics planning, logistics operations, distribution management, organizational functions, and property management.

Each core competency will be assessed by functional capabilities. As an example, distribution management is comprised of the three functional categories shown here.

Slide 10

Assessment Process

- **Capability level—measures jurisdiction’s level of proficiency**
 - Static
 - Functional
 - Horizontal integration
 - External collaboration
 - Synchronized



The screenshot shows a software interface for an assessment. At the top, it says 'Q1 of 17: Has your State identified the major disaster scenario and impacts?'. Below this is a legend with five capability levels: Synchronized (red star), External Collaboration (triangle), Horizontal Integration (orange triangle), Functional (blue plus), and Static (green plus). The 'Synchronized' option is selected, and a text box next to it contains the response: 'State has coordinated catastrophe with FEMA Region to ensure coordination and impacts through proper planning'. Below the legend is a 'Comments' field.

FEMA

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Participants will determine the jurisdiction’s capability level for each question.

As each question is asked there will be an opportunity for the jurisdiction to make a subjective assessment of the capability level for the issue being addressed in the question.

Synchronized - All local, state, federal and private partners have fully integrated and synchronized plans and operation. All SOPs have been documented and exercised regularly with all participants. The state has full mastery of the capability.

External collaboration – The state has coordinated plans and SOPs with other state, local/tribal, and external partner agencies, organizations, and private vendors

Horizontal integration – The state has developed and implemented formalized, integrated SOPs across the emergency management organization

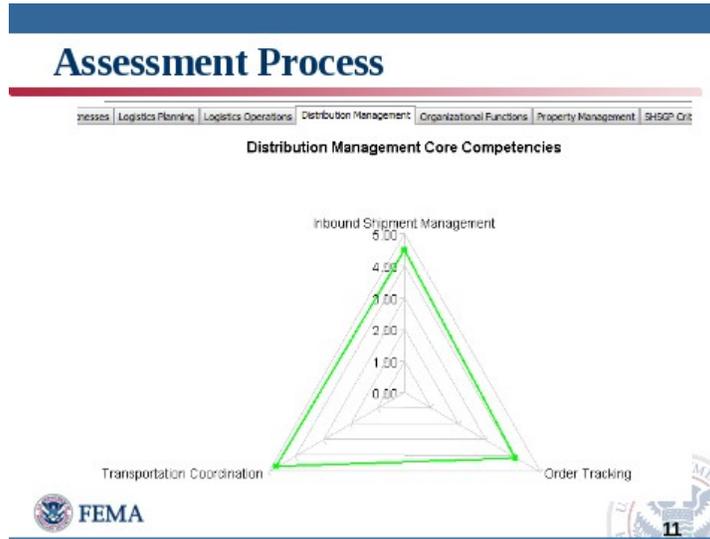
Functional – The jurisdiction has implemented informal plans or processes, but SOPs have not yet been defined or adopted

Static – The state has not yet developed and/or implemented a viable strategy within this functional area

N/A – Process or competency area is not applicable in the jurisdiction

In the example shown in this slide you will see “state” mentioned in the question. As mentioned earlier, the program was initially written for state level assessments. The process is the same for any jurisdiction, so until the local government question set is complete, as we conduct the assessment we will replace “state” with the appropriate description, such as, “city”, “county”, or “tribal government.”

Slide 11

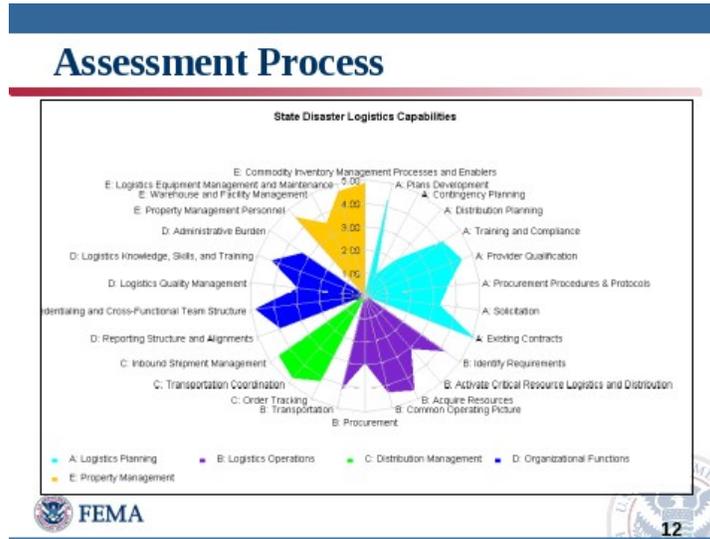


When all of the questions have been answered, LCAT will produce reports and graphs.

There will be a graph showing a capability level for each functional category by core competency. Each functional category will have a valuation based on a scale of 0 to 5.

As an example, this chart shows the capability level for distribution management.

Slide 12

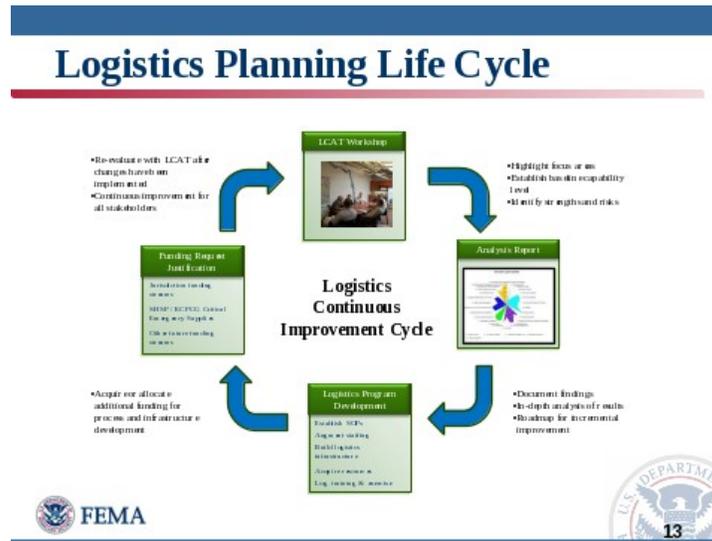


When all of the questions have been answered, LCAT will produce a report and graph for the complete assessment.

What you see here is an example of the results of an assessment. The chart shows pictorially, the capability level for each functional category.

The legend at the bottom of the chart defines the color correlation for each of the five core competencies in the assessment.

Slide 13



This slide is a depiction of the logistics planning life cycle. You will notice that LCAT is an iterative process, meaning that it is a repetitive process. Using today as an example, we are starting with an LCAT workshop. Using the analysis that you will receive as a result of this workshop you can make some decisions about what type of improvements you want to make in a specific area of planning. Through the planning process you may likely identify funding requirements. With factual information from the LCAT analysis you can initiate resource actions. After you have executed or exercised the plans you have created, you then take another self assessment and the process continues. It will be up to you and your jurisdiction to determine at what pace you will move through this planning cycle. However, every step that you take can result in your jurisdiction being better prepared to respond to a disaster.

Slide 14

LCAT Benefits

- **Increase transparency, collaboration, and partnership**
- **Enhance common operating picture**
- **Identify capability gaps and maturity levels**
- **Identify areas of risks**
- **Provide comprehensive analysis reports**
- **Analysis basis to improve plan**



Jurisdictions that have used LCAT for self assessments have proven that taking an honest, critical look at current disaster logistics response planning can have many benefits.

Several of them are listed here.

LCAT assessments provide participants with:

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

An enhanced jurisdiction common operating picture;

Identifiable capability gaps and maturity levels that can be used to improve overall logistics capabilities;

Improved relationships with private partners;

Comprehensive analysis reports provided to jurisdictions;

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

Finally, LCAT analysis reports feed into incident action plans and after action reports (AAR)—ultimately improving plans and mitigating risks.

Slide 15

Positive Trends

- States have acquired EMAP accreditation and EMAC membership
- Logistics incorporated into statewide planning
- Regular opportunities to test logistics capabilities in exercises or real word incidents
- Unified EOC technology framework like WebEOC
- Focused attention to after action reports and lessons learned
- Collaboration with FEMA region



Based on an analysis of previous LCAT assessments that have been conducted several notable trends were identified:

Emergency management assistance: After having participated in LCAT assessments, several states used their analyses as a basis for acquiring Emergency Management Assistance Program (EMAP) accreditation and Emergency Management Association Compact (EMAC) membership.

Logistics planning: Most states emphasized that they have successfully incorporated logistics into their statewide planning efforts, and that they are now generating or planning to produce logistics plans on a regular basis.

Exercises and real-world experience: Most states indicated that they had regular opportunities to test their logistics capabilities, either through exercises or real-world incidents. Some states, however, did desire more such opportunities.

Emergency operations center (EOC) technology: Many states indicated that they had either installed, or planned to install, a unified EOC technology framework such as WebEOC. This technology not only improves intra-state collaboration, but makes it easier to share information with external partners.

Lessons learned and best practices: Most states indicated that they focus attention on generating AARs and collecting lessons learned.

FEMA Regional collaboration: Only one state expressed a need to pursue closer collaboration with the local FEMA Region, suggesting that on a nationwide level, FEMA regional offices have successfully built partnerships with state-level officials.

Slide 16

Risk Trends

- **Need to improve POD operations**
- **Tracking and accounting for state-owned property**
- **Identifying commodity requirements**
- **Additional training (ARF, MA, and other critical documentation)**
- **MOUs and SOPs to de-conflict logistics facility locations**
- **Additional partnerships (state, local, private)**



Trends were also identified indicating that some jurisdictions identified risks that should be addressed. If you don't know where you have risk, it is difficult to make an educated decision about how to either accept or mitigate (reduce) the risk.

To date, points of distribution or PODs are the most common opportunity for improvement among states who have conducted LCAT assessments. There was almost universal agreement that POD operations could be improved through additional outreach to local governments, training, planning, and site identification.

Additionally, many states identified tracking and accounting for state-owned property as an area that needed improvement. This included in-transit visibility during a disaster, as well as access to information on state-owned assets like trucks and material handling equipment. Many states have also indicated that much work is needed to adequately identify commodity requirements, though many also indicated they had begun incorporating hazard modeling from partners such as the USACE.

Another common risk among states was the need for additional training, specifically related to processing Action Requirement Forms (ARF), Mission Assignments (MA), and other critical documentation methods.

States reported that, although they had often identified the locations of state logistics facilities, more progress could be made establishing Memorandums of Understanding (MOU) and SOPs, and de-conflicting those locations with other partners such as FEMA and the National Guard.

Most states indicated that work remained to be done in planning for transportation requirements, which to date had mostly been conducted on an ad hoc basis. Collaboration with private sector and external partners was also a commonly identified area for improvement. States indicated that they wanted to pursue additional partnerships with state agencies, local governments, and private sector partners.

Slide 17

LCAT Improvements

- **Expand LCAT capabilities**
 - Develop a local government question set
 - FY 2012 release



Due to the success of LCAT, FEMA LMD will expand the program to provide disaster logistics assistance to a wider audience including local governments -- cities, counties, and tribal governments. An additional question set for local jurisdictions is being developed and is expected to be released in FY2012. To help validate the local government question set, several cities and counties have expressed an interest in working with their states and FEMA headquarters logistics personnel to test the local government questions.

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LCAT Improvements

- **Centralized facilitation efforts transitioned to FEMA regions in FY 2012**
 - Facilitator guide
 - User guide
 - Content guide
- **Continue to solicit recommendations for program improvement**



FEMA LMD will begin transitioning LCAT facilitation to FEMA regions in fiscal year 2012. While the FEMA headquarters program office will retain responsibility and control of all modifications to the LCAT content, regional logistics chiefs will act as the primary LCAT facilitators. LMD personnel will provide technical assistance to the regional logistics chiefs as required.

LMD will also provide training in the form of several resources documents: facilitator, user, and content guides that can assist jurisdictions in conducting assessments.

The facilitator guide will help facilitators lead jurisdictions through an LCAT workshop. The guide will provide suggestions for each stage of the workshop, helpful hints for how to interact with participants, and outline the benefit of the LCAT itself.

The user guide will help users install and use the LCAT software.

The content guide will help the user understand the intent behind the LCAT questions and will provide recommended approaches for responding to the questions.

LMD will continue to solicit recommendations from participants on how to improve the LCAT process.

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LCAT Improvements

- **Statement of work templates**
 - Can be tailored
 - Enhance and improve acquisition planning, collaboration, and partnering
 - Enhance disaster logistics capabilities



To facilitate improvements, LMD will develop acquisition support templates that jurisdictions can easily tailor to meet their specific needs.

The statement of work templates could be used to enhance and improve acquisition planning, collaboration, and partnering and enhance disaster logistics capabilities.

Slide 20

Agenda

[Insert Date]	
9:00 AM	Begin LCAT assessment
9:00 - 10:00 AM	Introductions and background
10:00 - 10:10 AM	Break
10:10 - 12:30 PM	Logistics Planning
12:30 - 1:30 PM	Lunch
1:30 - 2:20 PM	Logistics Planning continued
2:20 - 2:45 PM	Break
2:45 - 4:00 PM	Logistics Operations
4:00 - 4:15 PM	Break
4:15 - 4:45 PM	Day 1 Parking Lot Discussion
5:00 PM	End of Day 1

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Here is the agenda for the rest of the workshop. We have a lot of information to cover so I will work hard to keep us on schedule. Each of you should have a hard copy of the agenda.

Before we get started I want to set some guidelines for the workshop.

1. The only right answer is the honest answer. You won't do your jurisdiction any favors by inflating your responses. Let's be frank and open.
2. All of you are encouraged to participate. As a matter of fact, we need each of you to participate. Each of you has valid opinions and insights. The benefits from the workshop dialogue and discourse will flesh out some of the nuances of disaster logistics processes.
3. We will need to stay on track so I will monitor time closely. Also, we will note potential improvements to LCAT. The FEMA LMD team is very interested in your input or suggestions for improving the assessment process.

Slide 21

Agenda

[Insert Date]	
9:00 AM	Begin LCAT assessment
9:00 - 9:10 AM	Day 1 Recap
9:10 - 9:15 AM	Break
9:15 - 9:45 AM	Distribution Management
9:45 - 10:15 AM	Break
10:15 - 11:00 AM	Property Management
11:00 - 11:10 AM	Break
11:10 - 12:00 PM	Organizational Functions
12:00 - 12:10 PM	Break
12:10 - 1:00 PM	Review LCAT results, hot wash, lessons learned
1:00 PM	End of LCAT assessment



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

5. Unresolved issues will be moved to the “parking lot” if we can’t reach consensus in an acceptable amount of time. Parking lot issues will be addressed after all of the other questions have been answered.

There will be a recorder capturing your comments for each of the over 100 questions real time in LCAT. Please speak clearly and be patient if we ask you to explain what some anonyms are. As you well know, each jurisdiction is different. A hot wash will be conducted at the end of the workshop to review discussions, responses, action items, and parking lot issues.

Slide 22



Questions?



Does anyone have questions or comments?