

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
1	<p>Identify Topic and Reason for Assessment</p> <p>Before proceeding, conduct a review of completed UTNAs to determine if the topic has been assessed</p>	<p>Topic: (e.g. Evacuation for Catastrophic Disasters)</p> <p><input type="checkbox"/> Scheduled/Cyclical Review [When available, include official course number and title.]</p> <hr/> <p><input type="checkbox"/> Training Evaluation Reports (e.g., Level I, II, III)</p> <hr/> <p><input type="checkbox"/> New Training requirements and proposals (e.g., guidance from White House, Congress, DHS, THIRA/SPR Analysis, National Preparedness Report or other authority)</p> <hr/> <p><input type="checkbox"/> Change in Standard(s) to an existing course/program (e.g., National Fire Protection Association)</p> <hr/> <p><input type="checkbox"/> Incident/Event to Include Exercise Preparation or Operational Lessons Learned results</p> <hr/> <p><input type="checkbox"/> Agency or Inter-Agency Reports (e.g., Interagency Board [IAB], Training and Exercises Subgroup)</p> <hr/> <p><input type="checkbox"/> Private Sector Survey/Report</p> <hr/> <p><input type="checkbox"/> Other, such as Media Report(s)</p> <hr/>

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2	Identify Core Capabilities, Community Lifelines, and/or Recovery Sectors Related to Topic(s) to be Assessed	<p>Identify the Core Capabilities, Community Lifelines, and/or Recovery Sectors related to the topic(s) identified in Activity 1.</p> <p>Example: Topic identified in Activity 1 is Hazardous Materials Planning and Response.</p> <p>Primary Core Capabilities: Planning, Critical Transportation, Public Information and Warning, and Mass Care Services.</p>										
3	Complete Stakeholder Analysis	<p>Step 1: Identify and describe stakeholders related to the topic identified in Activity 1.</p> <p>Step 2: Using a scale of 1-5, provide an assessment of each stakeholder based on the following factors. Provide rationale for the ratings in an assessment statement.</p> <ul style="list-style-type: none"> • <i>Authority:</i> The stakeholder’s level of control over budgets, policy, programs, and/or procedures. • <i>Influence:</i> The stakeholder’s level of impact on preparedness capability. • <i>Urgency:</i> The stakeholder’s assumed or stated level of urgency to address the stated gap. <p style="text-align: center;">Scale: 1=low 2=low-to-moderate 3=average 4=above average 5=high</p> <p>Example:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: left;">Stakeholder 1</th> <th style="text-align: center;">Authority</th> <th style="text-align: center;">Influence</th> <th style="text-align: center;">Urgency</th> <th style="text-align: center;">Average</th> </tr> </thead> <tbody> <tr> <td><i>FEMA Resilience</i></td> <td style="text-align: center;">5</td> <td style="text-align: center;">5</td> <td style="text-align: center;">4</td> <td style="text-align: center;">4.66</td> </tr> </tbody> </table> <p>Assessment: FEMA Resilience translates agency priorities and synchronizes national preparedness activities and investments to provide national capabilities. Through the National Preparedness Directorate and National Training and Education Division, Resilience provides training to first responders, emergency managers, and jurisdictional leaders to mitigate risks posed by threats and hazards to communities.</p> <p>Resilience leadership has identified training on <i>Lifelines</i> as a key addition to current and future FEMA training and expects foundational coursework (e.g. courses IS-100, IS-200, IS-700, and IS-800) to contain appropriate updates by the first quarter of fiscal year 2020.</p>	Stakeholder 1	Authority	Influence	Urgency	Average	<i>FEMA Resilience</i>	5	5	4	4.66
Stakeholder 1	Authority	Influence	Urgency	Average								
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Stakeholder Analysis (continued)	Stakeholder 2:	Authority	Influence	Urgency	Average
	Stakeholder 3	Authority	Influence	Urgency	Average
	Stakeholder 4:	Authority	Influence	Urgency	Average
	Final Assessment – all Stakeholders:				

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4	<p>Assess Alignment: Gap/Need Topic to the FEMA Mission</p>	<p>Review the references hyperlinked below, and others as appropriate, to assess alignment of the need to the FEMA mission. This assessment will also help identify alignment of the need to other federal and non-federal agencies and organizations as several core capabilities are the responsibility of FEMA.</p> <p>The 32 Core Capabilities Example: Natural and Cultural Resources</p> <p>Related Emergency Support Functions (ESFs) Example: ESF #11 – Agriculture and Natural Resources; ESF Coordinator: Department of Agriculture</p> <p>Related Recovery Support Functions (RSFs) Example: Natural and Cultural Resources Recovery Support Function; Lead: U.S. Department of Interior</p> <p>The National Response Framework; the National Disaster Recovery Framework; and the Federal Interagency Operational Plans.</p> <p>Critical Lifelines and Recovery Sectors</p> <p>Notional Example: Misalignment identified. The Departments of Agriculture and Interior are primarily responsible for gaps related to this identified need.</p>

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5	<p>a. Conduct <i>Organizational Needs</i> Assessment</p>	<p>Assess the relationship between the primary topic identified in <i>Activity 1</i> with the requirements and gaps in knowledge, skills, and abilities in terms of Organizational, Occupational, and Individual requirements. The <i>Gap Analysis Aid</i>, provided in Appendix B, may be useful to complete this activity.</p> <p>Example: Given “Hazardous Materials Preparedness and Response” as the topic identified in Activity 1.</p>
	<p>b. Conduct <i>Occupational Needs</i> Assessment (if applicable)</p>	<p>Step 5a: the <i>organizational</i> gap is community preparedness for communities located near rail lines. The assessment indicates a general need for improved hazmat preparedness for affected communities.</p>
	<p>c. Conduct <i>Individual Needs</i> Assessment (if applicable)</p>	<p>Step 5b: the <i>occupational</i> gaps are the planning, response, and recovery activities for emergency managers, hazardous materials response units, and local community recovery offices. Assessment results further clarify that a performance gap exists—not with fire department operations—but rather with the activities related to emergency management plan development and coordination.</p> <p>Step 5c: the <i>individual</i> end-user gaps are the capabilities of developers/coordinators to create effective plans and the ability of hazardous materials team members to perform defensive and offensive measures to mitigate hazards related to crude by rail shipments.</p>

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6	Identify and Evaluate Past and Current Solutions for Mitigating the Gap(s).	<p>Step 1: Identify and describe the methods and sources used to research past and current solutions used to address the performance gap, such as existing training and education courses, technical assistance, job aids, performance checklists, exercises, and other informational sources (i.e. equipment owners/operating manuals, etc.).</p> <p><i>Example:</i> FEMA course PER-XXX and a Technical Assistance Workshop on Hazmat Planning are existing solutions. The training course is designed to train hazardous materials teams to the technician level and the workshop prepares community leaders and managers to deal with hazardous materials releases.</p> <p>Step 2: Review the evaluation data (e.g. Kirkpatrick levels I, II, and III results) from the course(s), workshops, or other solutions identified in step 1.</p> <p><i>Example:</i> FEMA course PER-XXX Level II results: 53% increase. Level III results: Majority of 2015- 2017 respondents reported increase in capability following completion. Feedback following completion of the workshops indicates improved understanding of planning for hazardous materials incidents.</p>

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7	Verify Mission Alignment, Gaps and Efficacy of Solution(s)	<p>Compare results of Activity 4 with results of Activities 5 and 6.</p> <p><i>Example:</i></p> <p>Activity 4 – Mission Alignment. FEMA shares responsibility with the Department of Commerce for Economic Recovery issues. However, the Department of Commerce US Economic Development Administration (EDA) serves as the lead for the Economic Recovery Support Function.</p> <p>Activity 5 – Performance Gaps. Economic Development Districts and Councils of Government lack staff trained to perform post-disaster economic assessments.</p> <p>Activity 6 – Effectiveness of Solutions to Address Gaps to present desired outcomes. EDA created several tools aimed at strategic planning; however, the toolkits do not address the post-disaster economic assessment gap. FEMA does not offer training to address this gap.</p>
8	Final Assessment of Need	<p>Use all previous Activities to determine:</p> <ol style="list-style-type: none"> (1) If a performance gap exists; (2) If the gap is aligned with the FEMA mission; (3) If the gap is best addressed through training; (4) If a training solution does or does not exist, and if it is or is not effective; (5) The best course of action

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9	<p>a. Prepare Decision Support Materials</p> <p>b. Leadership Decision Action</p>	<p>Prepare and provide materials (i.e. a decision memo with supporting data and information products) to leadership to:</p> <ul style="list-style-type: none"> (a) Recommend creation or sustainment of training; (b) Recommend ending/retiring or suspending training; (c) Recommend collaboration with more-appropriate authorities to recommend creation of training; or (d) Recommend no action. <p>Leadership’s decision will be promulgated by a decision memo.</p> <p>Leadership approval level should be determined based upon characterization of gap priority, impact, and anticipated cost of training development and delivery.</p> <p><i>Example 1:</i> Recommendation is to create an awareness-level course to address a gap related to operating new planning software; anticipated development cost is \$300,000 and development time is 12 months. In this example, approval authority will likely rest with the EMI superintendent, or deputy superintendent due to resource implications.</p> <p><i>Example 2:</i> Recommendation is to retire/archive a course designed to assist communities with active shooter threats, created prior to the ‘Run-Hide-Fight’ construct. In this example, approval authority will likely rest with the responsible training branch chief due to the clarity of the situation.</p> <p><i>Example 3:</i> Recommendation is to shift gap and solution responsibility (e.g. strategic petroleum pipeline security and incident response) to another federal agency. In this example, approval authority will likely rest with the NTED Director as senior federal executive and political interests may be affected.</p> <p><i>Example 4:</i> Recommendation is to take no action for a gap (e.g. hazardous materials planning) that is effectively addressed through existing training (e.g. NDPC courses). In this example, approval authority will likely rest with the branch chief (e.g. CDP) initiating/conducting the training needs assessment, in collaboration with the responsible training component (e.g. TPP).</p>
10	<p>Save/Share Assessment</p>	<p>Document results and save all documentation in the designated centralized electronic file location.</p>

Instructions: Use these following charts to aid in the understanding of gaps by examining signs of deficiency, related symptoms, and possible solutions. Each chart is organized by *deficiency*.

Needs Analysis Chart 1 of 6				
DEFICIENCY: <i>Inadequate Information</i>				
SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
New or Changed: <ul style="list-style-type: none"> • Expectations • Standards • Policies • Equipment/software • Methods • Job population • Management systems • Organizational structure 	Work done slowly or hesitantly Work done poorly Work not done on time Tasks or parts of tasks not done Work gets worse over time	Are performers getting the information they need when they need it? Are the performance standards clear and measurable? Do performers know what the outputs and standards are? Do performers know when they are not performing up to standard?	Performance Observation Management Interviews Interviews/Questionnaires Methods and Practices Job Briefs Customer Studies	Provide: Overall Expectations, including measures and standards for job performance. Background, context of correct performance. Reference Sources Directive job aids
Low productivity	Enough time, but work up to standard	Can performers measure their own performance?	Service and Performance Data	Feedback (motivational and corrective)
Customer complaints	Complaints about amount of work	Can performers improve their performance?	Audits	<ul style="list-style-type: none"> • Accurate • Clear • Constructive • Frequent/ongoing • Job relevant • Specific • timely
	Complaints about the worth or necessity of work	Are task directions sufficient, access, accurate, timely, and understandable?		

Needs Analysis Chart 2 of 6

DEFICIENCY: Inadequate Resources (Tools, Materials, People)

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
<p>New or Changed:</p> <ul style="list-style-type: none"> • Equipment/software • Methods • Policies • Management systems • Organizational structure <p>Low productivity</p> <p>Customer complaints</p>	<p>Work done poorly</p> <p>Work not done on time</p> <p>Complaints about amount of work</p> <p>Complaints about difficulty of work</p> <p>Low productivity</p>	<p>Do performers have the resources they need to meet the standard?</p> <ul style="list-style-type: none"> • Appropriate, accessible, reliable, and safe <ul style="list-style-type: none"> ○ Tools and equipment ○ Materials and supplies ○ Job aids ○ Reference aids ○ People to consult <p>Can performers get help when they need it?</p> <p>Can performers improve their performance?</p> <p>Are task directions sufficient, access, accurate, timely, and understandable?</p>	<p>Performance Observation</p> <p>Employee Interviews</p> <p>Management Interviews</p> <p>Methods and Practices</p> <p>Job Briefs</p> <p>Customer Studies</p> <p>Service and Performance Data</p> <p>Audits</p>	<p>Provide/Upgrade/Change:</p> <p>Appropriate tools, equipment/software, materials, supplies, procedures, etc.</p> <p>Management Support</p> <p>Coworker Support</p> <p>Support Services</p> <p>Directive job aids</p>

Needs Analysis Chart 3 of 6
DEFICIENCY: Inadequate Job Design/Conditions

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
<p>New or Changed:</p> <ul style="list-style-type: none"> • Equipment/software • Methods • Policies • Organizational structure <p>Low productivity</p> <p>High employee turnover</p>	<p>Work backlog</p> <p>Overtime</p> <p>Duplication of work</p> <p>Complaints about the organization</p> <p>Accidents</p> <p>Boredom</p> <p>Absenteeism</p> <p>Tardiness</p>	<p>Can the job be done?</p> <ul style="list-style-type: none"> • Too difficult? • Too Simple? <p>Do performers get the job inputs and support they need to perform up to standard?</p> <p>Do performers have an appropriate span of control and authority to perform up to standard?</p> <p>Does the work environment support performance?</p> <p>Do performers have significant distractions from their major duties?</p> <p>Are job procedures and work flow design adequate?</p> <p>Are reporting relationships clearly defined?</p>	<p>Performance Observation</p> <p>Interviews and Questionnaires</p> <p>Methods and Practices</p> <p>Job Briefs</p> <p>Customer Studies</p> <p>Productivity Data</p> <p>Audits</p> <p>Accident Reports</p> <p>Personnel Records</p>	<p>Change:</p> <p>Time requirements</p> <p>Climate/culture</p> <p>Procedures</p> <p>Scope of duties</p> <p>Physical facilities</p> <p>Workspace</p> <p>Coworkers</p> <p>Volume of input</p> <p>Inputs and performance standards and specifications</p>

Needs Analysis Chart 4 of 6
DEFICIENCY: Inadequate Incentives

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
<p>New or Changed:</p> <ul style="list-style-type: none"> • Expectations • Standards • Methods • Policies • Job population 	<p>Work not done</p> <p>Performance initially up to standard but soon deteriorates</p> <p>Performance up to standard only when supervisor or other authority figure is there</p> <p>Lack of performance</p> <p>Negative attitudes</p> <p>Absenteeism</p> <p>Tardiness</p>	<p>Does it matter if performers perform up to standard or not?</p> <p>Are incentives made contingent on performance?</p> <p>Are there significant positive consequences for performing up to standard?</p> <p>Is substandard work inadvertently regarded?</p> <p>Are consequences meaningful from the performer's point of view?</p> <p>Is the recognition for good performance given and provided in a timely manner?</p>	<p>Employee treatment policies</p> <p>Interviews and Questionnaires</p> <p>Performance Appraisals</p> <p>Attendance Records</p> <p>Personnel Records</p>	<p>Remove positive consequences for substandard performance</p> <p>Provide appropriate:</p> <ul style="list-style-type: none"> • Feedback • Praise • Compensation • Recognition • Status • Advancement • Time off • sanctions <p>Change job tasks</p> <p>Change scope of responsibility</p> <p>Change contingencies</p>

Needs Analysis Chart 5 of 6
DEFICIENCY: Insufficient Knowledge and Skills

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
<p>Little or no methods documentation</p> <p>More demanding job requirements</p> <p>New/Changed:</p> <ul style="list-style-type: none"> • Equipment/software • Methods • Policies • Products 	<p>Work done poorly</p> <p>Work not done on time</p> <p>Tasks or parts of tasks not done</p> <p>Complaints about difficulty of work</p>	<p>Have performers ever performed up to standard?</p> <p>Do performers get enough practice?</p> <p>Do performers have the basic managerial, technical, and/or interpersonal skills that are required for the job?</p> <p>Do performers know how to use the available data?</p> <p>Can more of the information performers need be stored somewhere so they don't have so much to remember?</p>	<p>Performance observation</p> <p>Methods and Practices</p> <p>Interviews and Questionnaires</p> <p>Performance Appraisals</p> <p>Personnel Records</p> <p>Customer studies</p> <p>Audits</p>	<p>Training, including:</p> <ul style="list-style-type: none"> • Job Aids • Instruction <ul style="list-style-type: none"> ○ Orientation ○ Theory ○ Knowledge and skills ○ Guided practice

Needs Analysis Chart 6 of 6

DEFICIENCY: Lack of Capacity (Physical/Mental/Emotional)

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
<p>More demanding job requirements and /or standards</p> <p>Underqualified employees</p> <p>New, more complex methods, equipment, and policies</p> <p>Grievances</p> <p>Low productivity</p> <p>High employee turnover</p>	<p>Tasks or parts of tasks not done</p> <p>Complaints about difficulty of work</p> <p>Negative attitudes</p> <p>Boredom</p>	<p>Do performers have the physical/motivational/emotional capacity to perform up to standard, regarding:</p> <ul style="list-style-type: none"> • Information handling • Knowledge/skill requirements • Resources/tools • Work environment <p>Have performers ever performed up to standard?</p> <p>Have job requirements increased significantly in number or difficulty?</p> <p>Have job candidate screening criteria been followed?</p>	<p>Performance observation</p> <p>Methods and Practices</p> <p>Interviews and Questionnaires</p> <p>Job briefs</p> <p>Performance Records</p> <p>Personnel Records</p> <p>Productivity and Service data</p> <p>Audits</p>	<p>Recruitment</p> <p>Selection</p> <p>Internal mobility</p>