National Preparedness Directorate
Unified Training Needs Assessment (UTNA) Directive
Revision 1, 11/5/2019
Summary of Changes

BACKGROUND/PURPOSE

The National Preparedness Directorate (NPD) Unified Training Needs Assessment (UTNA) Directive was signed March 15, 2019 to establish policy, baseline processes, procedures and tools for conducting UTNAs among NTED component organizations and training partners. This summary of changes identifies edits or changes made to the directive, resulting from a review by NTED component subject matter experts during the October 17, 2019 semi-annual UTNA Review.

REVISIONS

Requirements paragraph (p. 2 paragraph C.2.): Edited/changed title of Appendix B from *Gap Analysis Aid* to *Performance Gap Analysis Job Aid*. **Rationale**: specifies performance gap.

Roles and Responsibilities (p. 2 paragraph F.1.): Second sentence was modified to reflect "…only NTED Leaders using a completed UTNA are authorized to approve or disapprove training course creation, sustainment, suspension and retirement." The third sentence was edited to clarify, "UTNA decisions will be formalized through an appropriate record of endorsement (e.g. signature on a completed UTNA, email correspondence indicating decision, etc.". **Rationale**: clarifies the requirement for decision documentation.

Definitions paragraph (p. 4 paragraph A.): Training Needs Assessment: "…(KSA) or competencies of individuals and teams…" changed to read "…individual, occupational or organizational…". **Rationale**: aligns with OPM and DHS Training Needs Assessment Policy Guidance and the UTNA Log.

UTNA Directive Appendix B: Added title Appendix B: Performance Gap Analysis Job Aid. **Rationale**: title missing in the original version.

Appendix B Performance Gap Analysis Job-Aid, Needs Analysis Chart: Job-Aid for Deficiency: Insufficient Knowledge and Skills was renumbered as Chart (Job-Aid) 1 of 6 in lieu of Chart 5 of 6. Subsequently other Charts (Job-aid) numbers changed. **Rationale**: proper sequencing, highlighting "Insufficient Knowledge and Skills" as a primary reason for justifying new training/education.

The complete After-Action Report (AAR) for the 10-17-19 NTED UTNA Semi-Annual Review may be obtained by contacting FEMA-NTES@fema.dhs.gov.

NATIONAL PREPAREDNESS DIRECTORATE DIRECTIVE
National Training and Education Division Unified Training Needs Assessments
Issue Date: 03/15/2019, Revision 1, 11/5/2019

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BACKGROUND

This directive applies to all National Training and Education Division (NTED) components, branches, offices, and personnel. The policy and procedures set forth in this directive and accompanying appendices cover the baseline process used for conducting unified training needs assessments (UTNA). The UTNA results, in turn, lead to a decision by senior NTED component, division, or NPD leadership regarding the suitability of FEMA training investments.

PURPOSE

The purpose of this directive is to set forth the requirements for all NTED components to conduct UTNAs.

PRINCIPLES

UTNAs will assist FEMA to:
- Provide decision support for determining FEMA training investments;
- Identify gap solutions other than training;
- Validate existing FEMA training;
- Identify appropriate agencies when requirements do not align to the FEMA mission; and,
- Assess a comprehensive range of information that may identify a critical gap requiring FEMA training, related to:
  - Community Lifelines,
  - Recovery Sectors,
  - Core Capabilities, and other sources.

REQUIREMENTS

A. This directive applies to all NTED components and to all supporting and pass-through entities, including contractors and partner organizations that directly contribute to FEMA NTED training. NTED components consist of:
- The Center for Domestic Preparedness (CDP);
- The Emergency Management Institute (EMI); and
- The Training Partners Program (TPP), consisting of the National Domestic Preparedness Consortium (NDPC), and Continuing Training Grants (CTG) partners.

B. This directive may not apply, in whole or in part, for situations in which NTED receives direction to develop training to address urgent or emergency needs related to conditions such as a pandemic outbreak. The NTED Director, in consultation with training

component leaders, will determine applicability of this directive based on the situation and document the decision via memorandum when an exception is being made based on urgent or emergency needs.

C. This directive is limited to standardizing procedures for assessing need and prioritizing training investment decisions. It does not apply directly to development, delivery, or evaluation of training courses or programs. This directive promulgates mandatory application of the following two related appendices:
    1. Appendix A: Assessment Tool; and
    2. Appendix B: Performance Gap Analysis Job-Aid

D. While an NTED component must perform training needs assessments in accordance with this directive, they are not prohibited from adding additional criteria, so long as that criteria do not conflict with this directive.

E. This directive may not apply retroactively, in whole or in part, for situations in which jurisdictions have existing agreements with NTED to create and/or deliver training that conforms to the requesting jurisdiction's specific requirements.

F. Roles and Responsibilities
    1. The NTED Director, EMI Superintendent and Deputy, CDP Superintendent and Deputy, and Training Partners Program Branch Chief will ensure compliance with this directive by all staff in their organizations. Additionally, only these NTED leaders, using a completed UTNA, are authorized to approve or disapprove training course creation, sustainment, suspension, and retirement. This decision will be formalized through an appropriate record of endorsement (e.g. signature on a completed UTNA, email correspondence indicating decision, etc.) and will be electronically filed and maintained as described in paragraph 3. The NTED Director retains final authority and discretion to approve or disapprove related actions.

    2. The NTED/NTES Branch will perform annual reviews of this directive and related documents to ensure they remain relevant, useful, and in compliance with FEMA, DHS, and other policy guidance. NTED will maintain the UTNA information provided by each component in an electronic data storage system, accessible to NTED staff, partners, and stakeholders.

    3. NTED components will maintain UTNA-related documents and files in accordance with local procedures and FEMA policies both locally and in a shared electronic storage location determined by the NTED/NTES Branch. NTED components will save their UTNAs in the shared electronic storage location upon completion. Documents and files may include meeting correspondence, working papers, surveys, studies,

reports, and other products however, it must include the completed UTNA checklist or tool and UTNA decision endorsement page.

G. The Training Needs Assessment Tool (Appendix A) provides the following activities to complete an assessment:

1. Identify Topic and Reason for Assessment
2. Identify Core Capabilities, Community Lifelines, or Recovery Sectors Related to Topic(s) to be Assessed
3. Complete a Stakeholder Analysis
4. Assess Alignment: Gap/Need Topic to the FEMA Mission
5. Conduct Organizational, Occupational, and Individual Needs Assessments
6. Identify/Evaluate Past & Current Solutions for Mitigating Performance Gaps
7. Verify Mission Alignment, Gaps, and Efficacy of Solution(s)
8. Final Assessment of Performance Need
9. Prepare Decision Support Materials and Leadership Decision Action
10. Save/Share Assessment

Alex Amparo
Assistant Administrator
National Preparedness Directorate, FEMA Resilience

03/15/2019

REVIEW CYCLE
This directive will be reviewed annually and supersedes all previous NTED component training needs assessment policies and processes as a minimum baseline, with allowance for additional criteria where required per Section D, within REQUIREMENTS.

AUTHORITIES
The Post-Katrina Emergency Management Reform Act (Public Law 109-295) § 648 (A).

REFERENCES
A. 5 CFR 410.201
B. The Post-Katrina Emergency Management Reform Act (Public Law 109-295) § 648 (A)
C. The Office of Personnel Management Policy on Training Needs Assessments
D. The Department of Homeland Security Training Glossary and Assessment Guide
E. The Difficulty, Importance, and Frequency Model
F. The FEMA Strategic Plan 2018-2022
G. National Security Strategy
H. Quadrennial Homeland Security Review
I. Presidential Policy Directive / PPD-8: National Preparedness
J. National Preparedness Report
K. Homeland Security Act
L. National Response Framework
M. Community Lifelines Doctrine, Policy, and Tools
N. National Incident Management System
O. National Disaster Recovery Framework
P. Relevant Government Accountability Office Reports and Congressional Research Service Research Reports

DEFINITIONS
A. Training Needs Assessment: A process used to identify gaps related to the required knowledge, skills, and abilities (KSAs) or competencies for individuals, occupations, and organizations contributing to National Preparedness. A training needs analysis is a process to distinguish problems, situations, or projects appropriate for instructional solutions or other suitable interventions that optimize performance—supports this assessment.

B. Stakeholder Analysis: A process by which data and information helps to identify and prioritize those with interest in the areas affected by training decisions.

MONITORING AND EVALUATION
NTED maintains records of all completed UTNAs, including related correspondence in an electronic database in the NTED Shared Drive. Annual reviews of the UTNA records and results are performed by the NTED Division Director. Results of these reviews will be used to update future versions of this directive and related appendices.

QUESTIONS
Direct question to the NTES Branch via email fema-ntes@fema.dhs.gov

Appendix A: UTNA Assessment Tool

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

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
2	**Identify Core Capabilities, Community Lifelines, and/or Recovery Sectors Related to Topic(s) to be Assessed**	Identify the Core Capabilities, Community Lifelines, and/or Recovery Sectors related to the topic(s) identified in Activity 1. **Example**: Topic identified in Activity 1 is Hazardous Materials Planning and Response. Primary Core Capabilities: Planning, Critical Transportation, Public Information and Warning, and Mass Care Services.
3	**Complete Stakeholder Analysis**	**Step 1:** Identify and describe stakeholders related to the topic identified in Activity 1. **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. • *Authority*: The stakeholder's level of control over budgets, policy, programs, and/or procedures. • *Influence*: The stakeholder's level of impact on preparedness capability. • *Urgency*: The stakeholder's assumed or stated level of urgency to address the stated gap. **Scale: 1=low 2=low-to-moderate 3=average 4=above average 5=high** **Example:**

Stakeholder 1	Authority	Influence	Urgency	Average
FEMA Resilience	5	5	4	4.66

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.

Resilience leadership has identified training on *Lifelines* 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.

Appendix A: UTNA Assessment Tool

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:				

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
4	**Assess Alignment: Gap/Need Topic to the FEMA Mission**	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. The 32 Core Capabilities Example: Natural and Cultural Resources Related Emergency Support Functions (ESFs) Example: ESF #11 – Agriculture and Natural Resources; ESF Coordinator: Department of Agriculture Related Recovery Support Functions (RSFs) Example: Natural and Cultural Resources Recovery Support Function; Lead: U.S. Department of Interior The National Response Framework; the National Disaster Recovery Framework; and the Federal Interagency Operational Plans. Critical Lifelines and Recovery Sectors **Notional Example**: Misalignment identified. The Departments of Agriculture and Interior are primarily responsible for gaps related to this identified need.

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
5	**a. Conduct** *Organizational Needs* **Assessment**	Assess the relationship between the primary topic identified in *Activity 1* with the requirements and gaps in knowledge, skills, and abilities in terms of Organizational, Occupational, and Individual requirements. The **Gap Analysis Aid**, provided in Appendix B, may be useful to complete this activity.
	b. Conduct *Occupational Needs* **Assessment (if applicable)**	*Example*: Given "Hazardous Materials Preparedness and Response" as the topic identified in Activity 1. Step 5a: the *organizational* gap is community preparedness for communities located near rail lines. The assessment indicates a general need for improved hazmat preparedness for affected communities.
	c. Conduct *Individual Needs* **Assessment (if applicable)**	Step 5b: the *occupational* 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. Step 5c: the *individual* 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.

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
6	**Identify and Evaluate Past and Current Solutions for Mitigating the Gap(s).**	**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.). *Example:* 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. **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. *Example*: 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.

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
7	**Verify Mission Alignment, Gaps and Efficacy of Solution(s)**	Compare results of Activity 4 with results of Activities 5 and 6. *Example*: **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. **Activity 5 – Performance Gaps.** Economic Development Districts and Councils of Government lack staff trained to perform post-disaster economic assessments. **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.
8	**Final Assessment of Need**	Use all previous Activities to determine: (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 exists, and if it is or is not effective; (5) The best course of action

Appendix A: UTNA Assessment Tool

Activity	Activity Label	Activity Guide
9	**a. Prepare Decision Support Materials** **b. Leadership Decision Action**	Prepare and provide materials (i.e. a decision memo with supporting data and information products) to leadership to: (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. Leadership's decision will be promulgated by a decision memo. Leadership approval level should be determined based upon characterization of gap priority, impact, and anticipated cost of training development and delivery. *Example 1*: 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. *Example 2*: 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. *Example 3*: 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. *Example 4*: 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).
10	**Save/Share Assessment**	Document results and save all documentation in the designated centralized electronic file location.

Appendix B: Performance Gap Analysis Job-Aid

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: Insufficient Knowledge and Skills				
SIGNALS	**TYPICAL SYMPTOMS**	**KEY QUESTIONS**	**DATA SOURCE**	**POSSIBLE SOLUTIONS**

Little or no methods documentation
 	
More demanding job requirements
 	
New/Changed:
• Equipment/software
• Methods
• Policies
• Products
	Work done poorly
	
	Work not done on time
	
	Tasks or parts of tasks not done
	
	Complaints about difficulty of work
		Have performers ever performed up to standard?
		
		Do performers get enough practice?
		
		Do performers have the basic managerial, technical, and/or interpersonal skills that are required for the job?
		
		Do performers know how to use the available data?
		
		Can more of the information performers need be stored somewhere so they don't have so much to remember?
			Performance observation
			
			Methods and Practices
			
			Interviews and Questionnaires
			
			Performance Appraisals
			
			Personnel Records
			
			Customer studies
			
			Audits
				Training, including:
				• Job Aids
				• Instruction
				  o Orientation
				  o Theory
				  o Knowledge and skills
				  o Guided practice

Appendix B: Performance Gap Analysis Job-Aid

	Needs Analysis Chart 2 of 6			
	DEFICIENCY: Inadequate Information			
SIGNALS	**TYPICAL SYMPTOMS**	**KEY QUESTIONS**	**DATA SOURCE**	**POSSIBLE SOLUTIONS**
New or Changed: • Expectations • Standards • Policies • Equipment/software • Methods • Job population • Management systems • Organizational structure Low productivity Customer complaints	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 Enough time, but work up to standard Complaints about amount of work Complaints about the worth or necessity of work	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? Can performers measure their own performance? Can performers improve their performance? Are task directions sufficient, access, accurate, timely, and understandable?	Performance Observation Management Interviews Interviews/Questionnaires Methods and Practices Job Briefs Customer Studies Service and Performance Data Audits	Provide: Overall Expectations, including measures and standards for job performance. Background, context of correct performance. Reference Sources Directive job aids Feedback (motivational and corrective) • Accurate • Clear • Constructive • Frequent/ongoing • Job relevant • Specific • timely

Appendix B: Performance Gap Analysis Job-Aid

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
DEFICIENCY: Inadequate Resources (Tools, Materials, People)				

New or Changed:
• Equipment/software
• Methods
• Policies
• Management systems
• Organizational structure
 	
Low productivity
 	
Customer complaints
	Work done poorly
	
	Work not done on time
	
	Complaints about amount of work
	
	Complaints about difficulty of work
	
	Low productivity
		Do performers have the resources they need to meet the standard?
		• Appropriate, accessible, reliable, and safe
		  o Tools and equipment
		  o Materials and supplies
		  o Job aids
		  o Reference aids
		  o People to consult
		
		Can performers get help when they need it?
		
		Can performers improve their performance?
		
		Are task directions sufficient, access, accurate, timely, and understandable?
			Performance Observation
			
			Employee Interviews
			
			Management Interviews
			
			Methods and Practices
			
			Job Briefs
			
			Customer Studies
			
			Service and Performance Data
			
			Audits
				Provide/Upgrade/Change:
				
				Appropriate tools, equipment/software, materials, supplies, procedures, etc.
				
				Management Support
				
				Coworker Support
				
				Support Services
				
				Directive job aids

Appendix B: Performance Gap Analysis Job-Aid

DEFICIENCY: Inadequate Job Design/Conditions

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
New or Changed: • Equipment/software • Methods • Policies • Organizational structure Low productivity High employee turnover	Work backlog Overtime Duplication of work Complaints about the organization Accidents Boredom Absenteeism Tardiness	Can the job be done? • Too difficult? • Too Simple? Do performers get the job inputs and support they need to perform up to standard? Do performers have an appropriate span of control and authority to perform up to standard? Does the work environment support performance? Do performers have significant distractions from their major duties? Are job procedures and work flow design adequate? Are reporting relationships clearly defined?	Performance Observation Interviews and Questionnaires Methods and Practices Job Briefs Customer Studies Productivity Data Audits Accident Reports Personnel Records	Change: Time requirements Climate/culture Procedures Scope of duties Physical facilities Workspace Coworkers Volume of input Inputs and performance standards and specifications

Appendix B: Performance Gap Analysis Job-Aid

DEFICIENCY: Inadequate Incentives

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
New or Changed: • Expectations • Standards • Methods • Policies • Job population	Work not done Performance initially up to standard but soon deteriorates Performance up to standard only when supervisor or other authority figure is there Lack of performance Negative attitudes Absenteeism Tardiness	Does it matter if performers perform up to standard or not? Are incentives made contingent on performance? Are there significant positive consequences for performing up to standard? Is substandard work inadvertently regarded? Are consequences meaningful from the performer's point of view? Is the recognition for good performance given and provided in a timely manner?	Employee treatment policies Interviews and Questionnaires Performance Appraisals Attendance Records Personnel Records	Remove positive consequences for substandard performance Provide appropriate: • Feedback • Praise • Compensation • Recognition • Status • Advancement • Time off • sanctions Change job tasks Change scope of responsibility Change contingencies

Appendix B: Performance Gap Analysis Job-Aid

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

SIGNALS	TYPICAL SYMPTOMS	KEY QUESTIONS	DATA SOURCE	POSSIBLE SOLUTIONS
More demanding job requirements and /or standards Underqualified employees New, more complex methods, equipment, and policies Grievances Low productivity High employee turnover	Tasks or parts of tasks not done Complaints about difficulty of work Negative attitudes Boredom	Do performers have the physical/motivational/emotional capacity to perform up to standard, regarding: • Information handling • Knowledge/skill requirements • Resources/tools • Work environment Have performers ever performed up to standard? Have job requirements increased significantly in number or difficulty? Have job candidate screening criteria been followed?	Performance observation Methods and Practices Interviews and Questionnaires Job briefs Performance Records Personnel Records Productivity and Service data Audits	Recruitment Selection Internal mobility