

HMEP Training Observation Checklist

Revision 7, November 13th 2015

Purpose:

To observe Hazardous Materials Emergency Preparedness (HMEP) grant funded training courses to learn how different states are conducting their training and ensure they align with grant program goals and objectives.

Scope:

Observe a sample of 8-10 HMEP grant funded training activities using this desktop instruction and checklist.

Goals

The goal of these observations will be to (1) identify whether or not training activities are aligned with PHMSA and HMEP grant program regulations, goals and objectives at a programmatic level; (2) develop and compile programmatic data to implement a HMEP grant training course library; (3) identify good practices and tools needed for training course development, delivery and management to share with the HMEP grant community.

HMEP Course Observation Process

The observation checklist is based on the application of a systematic approach to training development, delivery, and evaluation. Not all of the elements in the checklist will apply to the events observed. In those cases those steps would be identified as Not Applicable (N/A). In many cases only the delivery of a course will be observed so elements of development will be discuss with the instructor or HMEP Grant Program manager but in cases where development does not fall within the scope of the observed training this will be identified as Not Applicable (N/A).

Depending on the course observed elements of the grant program regulations and requirements will be included in the observation. For example courses that fall within the Hazardous Materials Incident Response levels (i.e. 1st Responder Awareness, 1st Responder Operations, Hazardous Materials Technicians) the guidance provided in the National Fire Protection Association (NFPA 472) standard and 29 CFR § 1910.120(q)(6) will be referenced by the team. The guidance found in Appendix A will be used for courses related to the Hazardous Materials Incident Competencies to assist in determining if training courses are meeting the intent of the guidance provided in the requirements.

Following the completion of a team's observation the team will submit a report to the DOT PHMSA Grant Program. A template for this report is provided in Appendix B of this desktop instruction. At no time will grant funds be denied or will the observation results be used as a punitive measure for the grantees. All Opportunities for Improvement or Recommendations will be provided as an optional feedback to improve the training activities supported by the HMEP program. The goal of the observations will be to help the DOT PHMSA grant program determine if additional training, guidance or tools are needed at a programmatic level based on the observation results.

HMEP Funded Training Course Observation Checklist

Course Name:	Course #:
Training location (facility, city/state):	Course Dates:

Baseline Observation

Criteria:	Line of Inquiry	N/A	Comments: <i>Identify best practices and opportunities for improvement. For example delivery, technology, modality, and upgrades.</i>
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1.0 Course Design/Development Review

1	Is this a stand-alone course? (Not part of a series, i.e., Initial, Refresher, and Comprehensive)?	<input type="checkbox"/>	
2	Has a documented needs analysis been completed?	<input type="checkbox"/>	
3	Has a documented training analysis using a systematic approach been completed?	<input type="checkbox"/>	
4	Is there an approved task to training matrix (or equivalent) that identifies train, no-train, and over-train?	<input type="checkbox"/>	
5	Are the associated course requirements and drivers identified?	<input type="checkbox"/>	
6	Is there a description of the teaching techniques used? (On-line, classroom, etc...)	<input type="checkbox"/>	
7	Is the target audience identified including functions and participants?	<input type="checkbox"/>	

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8	Are technical instructor qualifications identified?	<input type="checkbox"/>	
9	Has a review of any associated job or task analysis been performed?	<input type="checkbox"/>	
10	Is there a documented approval of the course materials (e.g., Lessons Plans or equivalent, Student Handouts, Presentations, and Exams?)	<input type="checkbox"/>	
11	Has approved training summary or plan been completed?	<input type="checkbox"/>	
12	Has a Training Hazards Analysis been completed for the course?	<input type="checkbox"/>	
13	Is there evidence of Interpretive Authority and/or Subject Matter Expert involvement?	<input type="checkbox"/>	
14	Do learning objectives express the desired knowledge, skills, and abilities?	<input type="checkbox"/>	
15	Do learning objectives establish conditions under which the knowledge, skill, or ability is to be demonstrated?	<input type="checkbox"/>	

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Baseline Observation

Criteria:	Line of Inquiry	N/A	Comments: <i>Identify best practices and opportunities for improvement. For example delivery, technology, modality, and upgrades.</i>
16	Do learning objectives that: Provide criteria for determining that the learning objective has been achieved?	<input type="checkbox"/>	
17	Are learning objectives specific, measurable, achievable, reasonable, and timely?	<input type="checkbox"/>	
18	Do learning objectives state any prerequisites?	<input type="checkbox"/>	
19	Is the integration of relevant lessons learned and performance trends being considered?	<input type="checkbox"/>	
20	Do the delivery methods consider adult learning styles, blended learning, and ensure adequate feedback mechanisms for trainee questions and concerns?	<input type="checkbox"/>	
21	Does the description of the selected delivery methods align with the associated learning objectives?	<input type="checkbox"/>	
22	Are there sufficient qualified instructors available to conduct the training?	<input type="checkbox"/>	

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Training location (facility, city/state):	Course Dates:

Baseline Observation

Criteria:	Line of Inquiry	N/A	Comments: <i>Identify best practices and opportunities for improvement. For example delivery, technology, modality, and upgrades.</i>
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2.0 Course Implementation/Evaluation Review

23	Is course accredited toward Hazmat competencies? If so, state organization and number of credits.	<input type="checkbox"/>	Organization: _____ Credits: _____
24	All training materials and student handouts have been approved?	<input type="checkbox"/>	
25	Were you able to interview the instructor(s)?	<input type="checkbox"/>	
26	The training environment has been assessed and found suitable to meet the needs of the trainees (i.e., access to water and restrooms, climate, lighting, seating)?	<input type="checkbox"/>	
27	Did the material taught align with the instructor lesson plan?	<input type="checkbox"/>	
28	Is there a test administered at the end of the course?	<input type="checkbox"/>	
29	Does test have a pass fail criteria defined?	<input type="checkbox"/>	

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30	Do the test questions align with the objectives?	<input type="checkbox"/>	
31	Is there a drill, exercise or hands on opportunity for trainee's to demonstrate mastery of subject?	<input type="checkbox"/>	
32	Does drill, exercise or hands on opportunity align with objectives?	<input type="checkbox"/>	
33	Is the student able to evaluate the course and/or instructor?	<input type="checkbox"/>	
34	If course evaluations are used are they being reviewed/comments addressed?	<input type="checkbox"/>	
35	Does the training comply with the appropriate regulation's training requirements?	<input type="checkbox"/>	

Observation Team Completion

ID Signature		Completion Date	
SME Signature		Completion Date	

HMEP Training Observation Checklist

Appendix A: HazMat Incident Competency Requirements for Training

Revision 7, November 13th 2015

This is a supplemental appendix that is used in addition to the observation checklist for only the courses that apply. The information provided in this appendix will be used to observe training activities that are related to the Hazardous Materials Incident Competencies as identified in the National Fire Protection Association 472 (NFPA 472) standard and 29 CFR § 1910.120(q)(6).

This appendix will be used to assist observation team members in determining if training courses are meeting the intent of the guidance provided in the requirements. The courses that fall within the Hazardous Materials Incident Response levels include the following:

- 1st Responder Awareness
- 1st Responder Operations
- Hazardous Materials Technician
- Hazmat Specialist Employees
- Incident Commanders
- Hazmat Officers
- Hazmat Safety Officers

The guidance outlined in this appendix includes elements of the grant program regulations and requirements as identified in the Moving Ahead for Progress in the 21st Century Act (MAP-21) includes Section § 33004(b)(1). This section requires HMEP grant recipients to provide written certification that emergency responders who receive training under the grant will have the ability to respond to effects of accidents or incidents involving the transportation of hazardous materials in accordance with existing regulations or the NFPA 472 standard and/or 29 CFR § 1910.120(q)(6).

HMEP Funded Training Course Observation Checklist

Course Name:	Course #:
Training location (facility, city/state):	Course Dates:

Baseline Observation

Criteria:	Line of Inquiry	N/A	Comments: <i>Identify best practices and opportunities for improvement. For example delivery, technology, modality, and upgrades.</i>
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See Appendix A for detailed requirements for each of the training levels identified below.

1.	For 1 st Responders Awareness Level, does training achieve requirements of both: <u>29CFR1910.120(q)(6)(i)(A-F)</u> & <u>NFPA472 Ch. 4.1-4.6</u>	<input type="checkbox"/>	
2.	For 1 st Responders Operations Level, does training achieve requirements of both: <u>29CFR1910.120(q)(6)(ii)(A-F)</u> & <u>NFPA472 Ch. 5.1-5.6</u>	<input type="checkbox"/>	
3.	For Hazardous Materials Technicians, does training achieve requirements of both: <u>29CFR1910.120(q)(6)(iii)(A-I)</u> & <u>NFPA472 Ch. 7.1-7.6?</u>	<input type="checkbox"/>	
4.	For HazMat Specialist Employees, does training achieve requirements of both: <u>29CFR1910.120(q)(6)(iv)(A-I)</u> & <u>NFPA472 Ch. 9.2-9.4.2?</u>	<input type="checkbox"/>	(NFPA 472 defines three categories of Specialist Employees: A, B, & C. Each are covered in separate sections of Chapter 9.)
5.	For Incident Commanders, does training achieve requirements of both: <u>29CFR1910.120(q)(6)(v)(A-F)</u> & <u>NFPA472 Ch. 8.1-8.6?</u>	<input type="checkbox"/>	
6.	For Hazmat Officers, does training achieve requirements of: <u>NFPA472 Ch. 10.1-10.6?</u>	<input type="checkbox"/>	

HMEP Funded Training Course Observation Checklist

Course Name:	Course #:
Training location (facility, city/state):	Course Dates:

Baseline Observation

Criteria:	Line of Inquiry	N/A	Comments: <i>Identify best practices and opportunities for improvement. For example delivery, technology, modality, and upgrades.</i>
7.	For Hazmat Safety Officers, does training achieve requirements of: <u>NFPA472 Ch. 11.1-11.6?</u>	<input type="checkbox"/>	
8.	Have trainers achieved the requirements of: <u>29CFR1910.120(q)(7)?</u>	<input type="checkbox"/>	
9.	Does refresher training achieved requirements of: <u>29CFR1910.120(q)(8)(i-ii)?</u>	<input type="checkbox"/>	
10.	Does the training activity support the responder levels identified in the NFPA 472 or 29 CFR 1910 standards?	<input type="checkbox"/>	
11.	Does the training activity align with the requirements identified in Appendix A?	<input type="checkbox"/>	
12.	Does the training activity reduce the consequences of transportation incidents by reducing deaths or injuries?	<input type="checkbox"/>	

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
<p>1st Responder Awareness Level</p> <p>Cont.</p>	<p>6(I)- "...shall have sufficient training or have had sufficient experience..."</p> <p>(A) Understanding of what hazardous substances are & risks associated with them at an incident;</p> <p>(B) Understanding of potential outcomes associated with an emergency created when hazardous substances are present;</p> <p>(C) Ability to recognize presence of hazardous substances in an emergency;</p> <p>(D) Ability to ID hazardous substances, if possible;</p> <p>(E) Understanding of the 1st Responder Awareness individual's role in the employer's emergency response plan, including site security & control and the U.S. DOT's ERG; (F) Ability to realize the need for additional resources and to make appropriate notifications to the communication center.</p>	<p>No time/experience requirements listed</p> <p>4.1- General (2 subareas)</p> <p>4.2- Competencies – Analyzing the Incident (3 subareas)</p> <p>4.3- Competencies – Planning the Response (<i>No competencies currently required at this level</i>)</p> <p>4.4- Competencies – Implementing the Planned Response (2 subareas)</p> <p>4.5- Competencies – Evaluating Progress (<i>No competencies currently required at this level</i>)</p> <p>4.6- Competencies – Terminating the Incident (<i>No competencies currently required at this level</i>)</p>

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
1 st Responder Operations Level (Cont.)	<p>6(ii)- "...shall have received at least eight hours of training or have had sufficient experience..."</p> <p>(A) Knowledge of the basic hazard and risk assessment techniques;</p> <p>(B) Know how to select/and use proper Personal Protective Equipment (PPE) provided to the first responder operational level;</p> <p>(C) An understanding of basic hazardous materials terms;</p> <p>(D) Know how to perform basic control, containment and/or confinement ops within the capabilities of the resources and PPE available with their unit;</p> <p>(E) Know how to implement basic decontamination procedures;</p> <p>(F) An understanding of the relevant SOPs and termination procedures.</p>	<p>No time/experience requirements listed</p> <p>5.1- General (2 subareas)</p> <p>5.2- Core Competencies – Analyzing the Incident (4 subareas)</p> <p>5.3- Core Competencies – Planning the Response (4 subareas)</p> <p>5.4- Core Competencies – Implementing the Planned Response (4 subareas)</p> <p>5.5- Core Competencies – Evaluating Progress (2 subareas)</p> <p>5.6- Core Competencies – Terminating the Incident (<i>No competencies currently required at this level</i>)</p> <p>NOTE: Chapter 6 details Competencies for Operations Level Responders <i>Assigned Mission-Specific Responsibilities</i>; seven of the nine listed competencies apply to transportation-related hazmat incidents</p>

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
Incident Commander Level	<p>6(v)- "...shall receive at least 24 hours of training equal to the first responder operations level and in addition have..."</p> <p>(A) Know and be able to implement the employer's incident command system;</p> <p>(B) Know how to implement the employer's emergency response plan;</p> <p>(C) Know and understand the hazards and risks associated with employees working in chemical protective clothing;</p> <p>(D) Know how to implement the local emergency response plan;</p> <p>(E) Know of the state emergency response plan and of the Federal Regional Response Team;</p> <p>(F) Know and understand the importance of decontamination procedures.</p>	<p>No time/experience requirements listed.</p> <p>"...shall be trained to meet all competencies at the Awareness level, all core competencies at the Operations level, and all competencies in this chapter."</p> <p>8.1- General (2 subareas)</p> <p>8.2- Competencies – Analyzing the Incident (2 subareas)</p> <p>8.3- Competencies – Planning the Response (4 subareas)</p> <p>8.4- Competencies – Implementing the Planned Response (3 subareas)</p> <p>8.5- Competencies – Evaluating Progress (2 subareas)</p> <p>8.6- Competencies – Terminating the Incident (4 subareas)</p>

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
Hazmat Officer Level	Not addressed in 29 CFR 1910.120q.	<p>“...that person who is responsible for directing and coordinating all operations involving hazmat as assigned by the Incident Commander.”</p> <p>“...shall be trained to meet all competencies at the Awareness level, all core competencies at the Operations level, all competencies at the Technician level, and all competencies of this chapter.”</p> <p>“...shall also receive training to meet governmental response and occupational health and safety regulations.”</p> <p>10.1- General (2 subareas) 10.2- Competencies – Analyzing the Incident (10.3- Competencies – Planning the Response (4 subareas) 10.4- Competencies – Implementing the Planned Response (3 subareas) 10.5- Competencies – Evaluating Progress 10.6- Competencies – Terminating the Incident (4 subareas)</p>

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
Hazmat Safety Officer Level	Not addressed in 29 CFR 1910.120q.	<p>“...that person who works within an incident management system/ incident command system (IMS/ICS) (specifically, the hazmat branch/group) to ensure that recognized hazmat safe practices are followed at hazmat incidents.”</p> <p>“...shall be trained to meet all competencies at the Awareness level, all core competencies at the Operations level, all competencies at the Technician level, and all competencies of this chapter.”</p> <p>“...shall also receive training to meet governmental response and occupational health and safety regulations.”</p> <p>11.1- General (2 subareas) 11.2- Competencies – Analyzing the Incident (6 subareas) 11.3- Competencies – Planning the Response (7 subareas) 11.4- Competencies – Implementing the Planned Response (8 subareas) 11.5- Competencies – Evaluating Progress (2 subareas) 11.6- Competencies – Terminating the Response (3 subareas)</p>

Appendix A: Hazmat Incident Competency Level Requirements for Training

Competency Level	29CFR1910.120q___, (July 1, 2013 Edition)	NFPA 472, Chapter/Section: (2013 Edition)
Trainer Level	<p>7. "Trainers who teach... shall have satisfactorily completed a training course for teaching the subjects they are expected to teach, such as the courses offered by the National Fire Academy, or they shall have the training and/or academic credentials and instructional experience necessary to demonstrate competent instructional skills and a good command of the subject matter of the courses they are to teach."</p>	Not addressed in NFPA 472.
Refresher Training	<p>8(i)- "...employees... trained in accordance with paragraph (q)(6) of this section shall receive annual refresher training of sufficient content and duration to maintain their competencies, or shall demonstrate competency in those areas at least yearly."</p> <p>8(ii)- "A statement shall be made of the training or competency, and if a statement of competency is made, the employer shall keep a record of the methodology used to demonstrate competency."</p>	Not addressed in NFPA 472.

Appendix B: HMEP Training Activity Observation Report Template

HMEP Funded Training Activity Observation Report Form		
Course # / Name:		
Date:		
Observation Team Members:	SME	
	Training Specialist	
Training Activity Summary		
<p>(Summary of the Event and the team member's observations.)</p>		

Feedback

Good Practices:

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Opportunities for Improvement:

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10.

Feedback

Recommended Follow-Up

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2.
3.
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