



*National Continuity Programs Directorate*  
**Integrated Public Alert  
and Warning (IPAWS)**

**Fiscal Year 2011**

**Supplemental Guidance on Public Alert and Warning**



**FEMA**

## **A Message to Stakeholders**

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On behalf of the IPAWS program Office (PMO), I am excited to present the *Fiscal Year 2011 Supplemental Guidance on Public Alert and Warning*. This document provides guidance on eligible public alert and warning activities and equipment standards for State, local, territory, and tribal prospective grantees. The intent of this document is to promote consistency in policy across Federal grant programs, and to ensure compatibility among Federally-funded projects. This document will continue to evolve as new technologies emerge, and will support increased knowledge on the use of these new technologies.

The Integrated Public Alert and Warning System is designed to improve public safety through the rapid dissemination of emergency messages to as many people as possible over as many pathways as possible. To do this, IPAWS is planning to expand the traditional emergency alert system (EAS) to include more modern technologies. At the same time, FEMA is upgrading the alert and warning infrastructure so that no matter what the crisis, the public will receive life-saving information.

The vision of IPAWS is to provide timely alerts and warnings to American people in the preservation of life and protection of property. The IPAWS mission is to build and maintain an effective, reliable, integrated, flexible and comprehensive system that enables the American people to receive alert and warning information. IPAWS ensures the President can alert and warn the public under all conditions. IPAWS will provide federal, state, territorial, tribal, and local warning authorities the capabilities to alert and warn their respective communities of all hazards impacting public safety and well-being via multiple communications pathways.

I encourage our State, local, and tribal partners to provide feedback on the *FY 2011 Supplemental Guidance on Public Alert and Warning* so that we can continue to improve this important resource. Your input is appreciated and critical to our efforts to improve alert and warning capabilities nationwide. For questions, comments, or assistance in applying these recommended grant policies, please contact my office at [ipaws@dhs.gov](mailto:ipaws@dhs.gov).

Antwane V. Johnson  
Director  
IPAWS Program Management Office

## **I. Introduction**

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IPAWS is a communications program of the Department of Homeland Security (DHS) that provides integrated services and capabilities to local, state, and federal authorities that will enable them to alert and warn their respective communities via multiple communications methods. The Joint Interoperability Test Command (JITC) is a division of the Defense Information Systems Agency (DISA) that maintains the IPAWS functional laboratory and provides FEMA interoperability and functional testing support, Information Assurance (IA) support, and overall technical support.

The IPAWS PMO, in coordination with stakeholders, will develop the annual *FY 2011 Supplemental Guidance on Public Alert and Warning* which provides technical information and program guidance for applicants applying for Federal grant funding for alert and warning projects.

### **1.1 Purpose of the FY 2011 Public Alert and Warning Guidance**

The purpose of the *FY 2011 Supplemental Guidance on Public Alert and Warning* is to provide guidance to grantees on:

- Public alert and warning activities that can be funded through Federal grants
- Technical standards that facilitate interoperability
- Recommendations for planning, coordinating, and implementing alert and warning projects

The recommendations contained herein were developed to advance national public alert and warning system goals and objectives established in Executive Order 13407, Integrated Public Alert and Warning System<sup>1</sup> and to support common State, local, and tribal emergency communication needs defined by each State in its Statewide Communication Interoperability Plan (SCIP).

Funding from the Homeland Security Grant Program (HSGP), Tribal Homeland Security Grant Program (THSGP), and Interoperable Emergency Communications Grants Program (IECGP), and Emergency Operations Center (EOC) Grant programs can be used to enhance existing or establish new alert and warning programs. However, grantees are encouraged to contact the IPAWS PMO and FEMA Grants Office prior to initiating program activities and provide a point of contact for each program to which they can provide program guidance, tools, resources and updates. Please contact IPAWS PMO with this information at "[ipaws@fema.gov](mailto:ipaws@fema.gov)".

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<sup>1</sup> E.O 13407 is available at: <http://edocket.access.gpo.gov/2006/pdf/06-5829.pdf>

## **1.2 How to Use this Document**

Before allocating funds for alert and warning projects, grantees are encouraged to:

- Read Executive Order 13407 for national program guidance and responsibilities
- Read your State's SCIP to understand its communication goals and priorities
- Coordinate alert and warning projects/proposals with Statewide Interoperability Coordinators (SWIC)<sup>2</sup> to ensure that projects align to needs identified in the SCIP.

## **II. General Application Recommendations**

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Grants funding public alert and warning may be administered by various Federal agencies, and are subject to various statutory and programmatic requirements. Grantees are encouraged to read grant guidance carefully to ensure the application meets all grant requirements.

### **2.1 Understand Federal Grant Requirements**

Applicants must understand the general terms and conditions of Federal grants before submitting an application. Grantees are encouraged to read the Federal Grant Guidance, Funding Opportunity Announcement, and Funding Application thoroughly to understand:

- Program goals
- Eligibility requirements
- Application requirements (e.g., due dates and submission requirements)
- Grant requirements (e.g., reporting, financial, matching)
- Allowable costs and restrictions on allowable costs

Common grant requirements can be found in Section V of this document.

### **2.2 Coordinate with the SWIC**

Applicants should coordinate public alert and warning investments with the Statewide Interoperability Coordinator (SWIC), the statewide interoperability governing body (SIGB), and the appropriate stakeholders at State, regional<sup>3</sup>, local, and tribal levels of government. Grantees are encouraged to work with the SWIC and regional, local, and tribal representatives to understand the current alert and warning capabilities, and to ensure that projects:

- Align to needs identified in SCIPs and/or other communication plans or to gaps
- Do not duplicate current efforts
- Are compatible with existing equipment and systems

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<sup>2</sup> To find your SWIC or SCIP Point of Contact, please email Office of Emergency Communication at [oecc@dhs.gov](mailto:oecc@dhs.gov), or [oecc@hq.dhs.gov](mailto:oecc@hq.dhs.gov).

<sup>3</sup> "Regional" for this document is defined as more than one jurisdiction (e.g., more than one State, county, local jurisdiction), unless defined otherwise in grant guidance.

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- Promote shared, standards-based systems

### **2.3 Consider Regional, Multi-Jurisdictional, Multi-Disciplinary Projects**

Grant applicants are encouraged to coordinate proposals with State and regional partners to promote greater interoperability across jurisdictions and nationwide. Applicants should consider developing projects that:

- Improve public alert and warning communications across jurisdictions (e.g., across States, counties)
- Enables communication across and among all levels of government
- Expands coverage to unserved or underserved areas within or beyond a region
- Links disparate systems
- Connects local systems and responders to regional or statewide systems

### **2.4 Consider Cross-Border Communications**

Interoperability is an operational requirement that often transcends political boundaries. Grantees located adjacent or near to international borders are encouraged to consider developing projects that improve communications along and across international borders. Grantees should promote solutions that improve not only intra-States communications, but also communications between international, Federal, State, local, and tribal public safety and border agencies. Grantees should coordinate with Federal, State, and international partners operating along the border to ensure that grant-funded activities support, and do not hinder, current efforts to improve interoperability, and should leverage existing resources and relationships to improve communications along and across the border.

Additionally, grantees are reminded that Federal funding may not be allocated to international entities (unless authorized by law), and placement of Federally-funded equipment on international property may be subject to special terms and conditions.<sup>4</sup> Applicants should work closely with their grant officer to ensure that proposed activities are allowable under the grant.

## **III. Eligible Activities**

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Based on their authorizing language and their administering agency's policies and priorities, Federal grant programs funding public alert and warning may have different requirements. Grantees should review grant guidance and related materials to ensure that proposed activities are allowable under the grant. The following section details eligible public alert and warning activities commonly funded by Federal grants, based on the four common cost categories: Planning, Training, Exercises, and Equipment.

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<sup>4</sup> See your Grants Officer for more information on placement of equipment on international property or foreign land.

### **3.1 Planning**

Planning activities help to identify and prioritize needs, define capabilities, update preparedness strategies, refine communication plans, allocate resources where they are needed most, and deliver preparedness programs across multiple disciplines and levels of government. The IPAWS PMO partnered with stakeholders of Federal, State, local, Territory, Tribal and industry representatives to establish alert and warning standards and protocols in the development of an overall alert and warning architecture. The IPAWS PMO is establishing a technical reachback capability through training courses, websites and conferences to educate all stakeholders on best practices, standards, and protocols in alert and warning knowledge and capabilities. For additional information, please contact "[ipaws@fema.gov](mailto:ipaws@fema.gov)".

Grant recipients are strongly encouraged to use grant funding for planning, which may include:

- **Personnel to assist with planning.** Under some Federal grants, full or part-time staff may be hired to support public alert and warning planning activities, including:
  - Project manager(s)
  - Regional, local, or tribal coordinator(s)

In general, the use of Federal grant funding to pay for staff regular time is considered personnel. Staff must perform activities that are associated with the grant and allowable under the program. For grants funding public alert and warning, this may include:

- Establishing or updating alert and warning plans
- Conducting stakeholder outreach
- Integrating alert and warning plans at State and local levels
- Planning and participating in training and exercises
- Systems and equipment planning

Common restrictions on Federal grant funding are provided in Section IV of this document.

- **Hiring of certain full or part-time staff and contractors or consultants.** Some Federal grants allow grantees to hire full- or part-time contractor staff or consultants to assist with planning activities that are directly related to the Federally-funded project, including: project manager(s), subject matter expert(s), regional/local coordinator(s), and technical experts.
- **Development and/or enhancement of public alert and warning plans.** Grant funds may be used to develop and/or enhance public alert and warning plans and align plans. Alert and warning plans include:
  - Alert and warning or Emergency Alert System plans
  - EAS system lifecycle planning
  - Plans related to the procurement of alert and warning systems or equipment

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- Planning for Training and Exercises

Developing and updating alert and warning plans requires input from localities and public safety agencies. As a result, the following activities are often supported through Federal grants funding alert and warning activities:

- Conferences and workshops to receive input on plans
  - Meeting expense related to planning
  - Public education and outreach on planning
  - Travel and supplies related to planning
- **Establishment and/or enhancement of alert and warning governing bodies.** Grant funds may be used to establish or enhance statewide, regional (multi-State, multi-urban area), or local interoperability governing bodies. Statewide bodies often lead activities associated with planning, implementing, and managing interoperable emergency communications initiatives. Common eligible activities include:
    - Developing a Charter
    - Outreach to local entities to expand involvement
    - Meeting related expenses
    - Public education and outreach to increase participation in governing bodies
    - Supplies for governing body meetings
    - Travel to governing body meetings
  - **Development and/or enhancement of alert and warning assessments and inventories.** Grantees are encouraged to allocate grant funding to planning activities, such as assessments of:
    - Technology capabilities, including assessments and inventory of infrastructure and equipment
    - Standard operating procedures (SOPs)
    - Training and exercises
    - Development of cost maintenance models for equipment and usage
  - **Planning for emerging technologies.** Grant funds may be used to plan for emerging technologies, such as broadband, wireless data networks, Internet Protocol (IP)-based mobile communications devices, and location-based services. This can include hardware, software, data, and operational policies and procedures supported by multi-purpose emergency service networks. Activities may include:
    - Development of SOPs related to new technology implementations
    - Plans to comply with emerging technology network best practices
    - Development of SOPs for coordination with other stakeholders
    - Emerging technology systems contingency planning

## 3.2 Training

Recipients are encouraged to allocate Federal grant funds to support alert and warning training, and to include training in projects that include the development of new SOPs or the purchase of new equipment. IPAWS PMO, in coordination with the FEMA Emergency Management Institute (EMI), is developing several training program offerings that can be tailored from awareness to operations level needs for a variety of public safety disciplines. For additional information, please "[ipaws@fema.gov](mailto:ipaws@fema.gov)". Grant funds may be used for the training activities listed below.

- **Personnel Expenses.** Full or part-time staff may be hired to support training activities. This includes staff that will:
  - Assess training needs
  - Develop training curriculum
  - Train the trainers
  - Develop exercises to test training
  - Support training conferences

Common restrictions on Federal grant funding are provided in Section IV of this document.

- **Overtime.** Some Federal grants permit the use of funds for overtime related to training. These expenses are limited to the additional costs that result from personnel working more than 40 hours per week as a direct result of their attendance at approved alert and warning training activities.
- **Backfill-related Overtime.** Some Federal grants allow funds to be use for back-fill related overtime. These expenses (if allowable) are limited to costs of personnel who work overtime to perform the duties of other personnel who are temporarily assigned to grant-funded activities (e.g., to attend approved, grant-funded alert and warning training). These costs are calculated by subtracting the non-overtime compensation, including fringe benefits of the temporarily assigned personnel, from the total costs for backfilling the position. Grantees should ensure that grant funds can be used for overtime and should consult their grant officer to ensure that overtime costs are correctly calculated.
- **Hiring of certain full or part-time contractors or consultants.** Hiring full- or part-time contractor staff or consultants to assist with training activities that are directly related to the grant-funded project.
- **Development, delivery, attendance, and evaluation of training.** Grant funds may also be used to plan, attend, and conduct communications-specific training workshops or conferences, to include costs related to planning, meeting space, and other meeting costs, facilitation costs, travel, and training development. Communications-specific training should focus on:



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- Use of established operational protocols (i.e., common language)
- National Incident Management System (NIMS) Incident Command System (ICS)
- Use of advanced technology, and interoperable equipment
- Regional (multi-State, multi-urban area) training
- Use of relevant advanced data capabilities (voice, video, data, text)

**Expense related to training.** Many Federal grants allow funds to be used for expenses related to training, including:

- Training sessions, workshops, conferences
- Meeting expenses related to training
- Public education and outreach on training opportunities
- Supplies related to training (e.g., signs, badges, and other materials)
- Travel related to training

### **3.3 Exercises**

Exercises should be used to both demonstrate and validate skills learned in training and to identify training gaps and gaps in capabilities. To the extent possible, exercises should include participants from multiple jurisdictions and agencies such as emergency management, emergency medical services, law enforcement, interoperability coordinators, public health officials, hospital officials, and other disciplines, as appropriate.

The IPAWS PMO will provide assistance with developing, designing and conducting exercises in compliance with Homeland Security Exercise and Evaluation Program (HSEEP) methodology. The purpose of the IPAWS PMO Exercise support is to test equipment, training, polices, and procedures. These exercises also provide valuable hands-on experience for personnel performing alert and warning missions, and assist decision makers to see how the mission is integrated in their daily operations.

Additionally, Federal funds may be used for the following alert and warning exercise activities:

- **Personnel Expenses.** Full or part-time staff may be hired to support exercises. This includes staff that will:
  - Assess needs
  - Plan and conduct exercises in compliance with NIMS and Homeland Security Exercise and Evaluation Program (HSEEP)
  - Lead After Action Conference and prepare AARs

Common restrictions on Federal grant funding for emergency communications personnel are provided in Section IV of this document.

- **Overtime.** Some Federal grants permit the use of funds for overtime related to training. These expenses are limited to the additional costs that result from personnel working more than 40 hours per week as a direct result of their attendance at approved alert and warning training activities.

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- **Backfill-related Overtime.** Some Federal grants allow funds to be used for back-fill related overtime. These expenses (if allowable) are limited to costs of personnel who work overtime to perform the duties of other personnel who are temporarily assigned to grant-funded activities. These costs are calculated by subtracting the non-overtime compensation, including fringe benefits of the temporarily assigned personnel, from the total costs for backfilling the position. Grantees should ensure that grant funds can be used for overtime and should consult their grant officer to ensure that overtime costs are calculated correctly.
- **Hiring of certain full or part-time contractors or consultants.** Hiring full- or part-time contractor staff or consultants to assist with training activities that are directly related to the grant-funded project.
- **Design, development, execution, and evaluation of exercises.** Grant funds may be used to design, develop, conduct, and evaluate interoperable emergency communications exercises, including tabletop and fully functional exercise formats. Exercise activities should focus on:
  - Using new or established operational protocols
  - Designing and executing exercises of the new alert and warning equipment
  - Designing and executing regional (multi-State, multi-urban area) exercises
  - Designing and executing HSEEP compliance exercises
  - Designing and executing NIMS compliant training and exercises
  - Using emerging technology systems, equipment, or testing SOPs
- **Expenses related to exercises.** Many Federal grants allow funds to be used for expenses related to exercises, including:
  - Meeting expenses related to planning or conducting exercises
  - Public education and outreach related to exercises
  - Travel and supplies related to exercises

### **Additional Requirements for Exercise Activities**

- **All Federally-funded exercises must be managed and executed in accordance with HSEEP.** The HSEEP Library provides guidance for exercise design, development, conduct, and evaluation of exercises, as well as sample exercise materials. HSEEP Volume V: Prevention Exercises provides recommendations for designing, developing, conducting, and evaluating prevention-focused exercises. The HSEEP Library can be found at: <https://hseep.dhs.gov>.
- **All Federally-funded exercises must be NIMS-compliant.** On February 28, 2003, the President issued Homeland Security Presidential Directive 5 (HSPD-5), Management of Domestic Incidents, which requires all Federal departments and agencies to adopt NIMS and to use it in their individual incident management programs and activities, including all preparedness grants. Grantees should review the NIMS requirements on the following

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site: <http://www.fema.gov/emergency/nims/index.shtm> and ensure that all Federally-funded training and exercise activities are NIMS-compliant.

### **3.4 Equipment**

Alert and warning equipment and solutions is developed , produced , and distributed by various vendors. The IPAWS PMO does not endorse any specific vendors or any specific piece of equipment. The IPAWS PMO will make available equipment test results on any alert and warning equipment tested at our laboratories to assist Federal, State, local, and tribal entities in making procurement decisions. Equipment and test results will be made available at [www.rkb.us](http://www.rkb.us) Responder Knowledge Base (RKB). Many Federal grants require grantees to submit system lifecycle plans for equipment purchased with grant funds.

Grantee selected equipment should support regional operable and interoperable solutions. Grant applicants are encouraged to coordinate with regional partners and submit applications that promote regional (multi-jurisdictional, cross-State, cross-border) collaboration and cost-effective measures. Alert and warning grant funds should be used to focus on the activities listed below.

- **Design, implementation, enhancement, replacement, and maintenance of alert and warning systems and equipment.** Grant funds may be used to design, conduct, enhance and maintain alert and warning systems. Equipment activities should focus on:
  - Purchase of alert and warning equipment<sup>5</sup>
  - Development of alert and warning system lifecycle plans
  - Migration to approved open architecture and interoperable emerging technology systems
  - Leveraging existing and emerging technologies
  - Project management costs associated with equipment and systems
  - Procurement of technical assistance services for management, implementation, and maintenance of alert and warning systems and equipment
  
- **Plan, procure, and deploy emerging technology systems.** Grant funds may be used to plan, procure, and deploy emerging technology systems, networks, telephony, and data sharing capabilities, based on open standards and systems. Activities should focus on:
  - Upgrading systems to take advantage of advanced data capabilities

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<sup>5</sup> For a list of alert and warning equipment typically allowed see the list of equipment on the Federal Emergency Management Agency (FEMA) Authorized Equipment List (AEL) on the Responder Knowledge Base (RKB) website at <https://www.rkb.us/mel.cfm?subtypeid=549>.

### **Additional Requirements for Equipment Purchases**

Federal grant funds for equipment often carry additional requirements, which may include:

- **Compliance with Federal procurement requirements.** As a condition of funding, recipients agree to comply with Federal procurement requirements. Grantees are required to have written procurement policies in place, are encouraged to follow the same policies and procedures it uses for procurement from its non-Federal funds, and should include any clauses required by the Federal government. The following are key procurement tenets when using Federal funds:
  - Procurement transactions should be conducted to ensure open and free competition
  - Grantees/subgrantees should avoid non-competitive practices (e.g., contractors that developed the specifications for a project should be excluded from bidding); and,
  - Grantees/subgrantees may not supplant, or replace, non-Federal funds that are already budgeted or funded for a project
- **Development of alert and warning system lifecycle plans.** System lifecycle planning is needed to ensure long-term sustainability of alert and warning systems and infrastructure. Grantees should develop a system lifecycle plan for any system, and are often required to submit system lifecycle plans for equipment purchased with Federal grant funds. Grant funds often support the development of system lifecycle plans. See Appendix A for a lifecycle plan template.
- **Leveraging existing systems and adopting new technologies.** Grantees are encouraged to leverage existing and emerging technologies to expand and integrate alert and warning capabilities.
- **Coordination with SWIC and with State and local partners.** Grantees are strongly encouraged to coordinate with the SWIC and other State and local partners to ensure compatibility among existing and planned alert and warning systems and equipment.

## **IV. Common Requirements and Restrictions on Federal Grant Funds**

Grantees should be aware of common requirements and restrictions on Federal grant funding.

- Grantees must ensure that Federal funds are used for purposes that were proposed and approved, and must have financial systems in place to properly manage grant funds. In addition, grantees cannot commingle Federal sources of funding. The accounting systems of all grantees and sub-grantees must ensure that Federal funds are not commingled with funds from other awards or Federal agencies. Each award must be accounted for separately.
- Grant funds may not be used to meet matching requirements of any other Federal award in the current or prior period. If matching funds are required under a grant, matching funds must be:
  - Allowable under the program
  - Associated with the Federally-funded investment
  - Applied only to one Federal grant program
  - Contributed from non-Federal sources
  - Treated as part of the grant budget
  - Documented the same way as Federal funds (in a formal accounting system)
- In general, the use of Federal grant funding to pay for staff regular time is considered personnel. Staff must perform activities allowable under the grant. Most Federal grants require applicants to identify sustainable sources of funding and work to integrate new staff into the State and local budgets in future years to maintain these capabilities. Grantees should develop a plan to sustain grant-funded positions to ensure States maintain critical communications personnel, in the event that Federal funds are not available to support the position.
- Lastly, grant funds cannot supplant (or replace) funds previously funded or budgeted for the same purpose. Most Federal grants funding emergency communications restrict grantees from hiring personnel for the purposes of fulfilling traditional public safety duties or to supplant traditional public safety positions and responsibilities.

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