Common Alerting Protocol, v. 1.2 USA Integrated Public Alert and Warning System Profile Version 1.0

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Technical Committee:
OASIS Emergency Management TC

Chair(s):
Sukumar Dwarkanath, SRA International
Tom Ferrentino, Individual
Elysa Jones, Warning Systems, Inc.

Editor(s):
Rex Brooks, Individual
Sukumar Dwarkanath, SRA International

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Abstract:

This Profile of the XML-based Common Alerting Protocol (CAP) describes an interpretation of the OASIS CAP v1.2 standard necessary to meet the needs of the Integrated Public Alert and Warning System (IPAWS), a public alerting "system of systems" created by the U.S. Federal Emergency Management Agency.

Status:

This document was last revised or approved by the Emergency Management Technical Committee on the above date. The level of approval is also listed above. Check the current location noted above for possible later revisions of this document.

Technical Committee members should send comments on this specification to the Technical Committee's email list. Others should send comments to the Technical Committee by using the "Send A Comment" button on the Emergency Management TC web page at **http://www.oasis-open.org/committees/emergency/.**

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The non-normative errata page for this specification is located at **http://www.oasis-open.org/committees/emergency/.**

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1 Introduction

1.1 Purpose

In order to meet the needs of the devices intended to receive alerts from the United States Integrated Public Alert and Warning System (IPAWS) System of Systems (SoS), this CAP v1.2 IPAWS Profile constrains the CAP v1.2 standard for receipt and translation with and among IPAWS exchange partners.

The use of this Profile is not necessarily limited to the initial IPAWS Exchange Partners. It is available to all who might want to use the particular concepts defined in this specification.

The Common Alerting Protocol (CAP) provides an open, non-proprietary digital message format for all types of alerts and notifications. It does not address any particular application or telecommunications method. The CAP format is compatible with emerging techniques, such as Web services, as well as existing formats including the Specific Area Message Encoding (SAME) used for the United States' National Oceanic and Atmospheric Administration (NOAA) Weather Radio and the Emergency Alert System (EAS), while offering enhanced capabilities that include:

- Flexible geographic targeting using latitude/longitude shapes and other geospatial representations in three dimensions;
- Multilingual and multi-audience messaging;
- Enhanced message update and cancellation features;
- Template support for framing complete and effective warning messages;
- Compatible with digital encryption and signature capability; and,
- Facility for digital images and audio.

The Common Alerting Protocol (CAP) v1.0 and v1.1 were approved as OASIS standards before the Emergency Data Exchange Language (EDXL) project was developed. However, this Profile specification shares the goal of the EDXL project to facilitate emergency information sharing and data exchange across the local, state, tribal, national and non-governmental organizations of different professions that provide emergency response and management services. Several exchange partner alerting systems of the IPAWS SoS are identified by this Profile for specific accommodation. However, the CAP v1.2-IPAWS Profile is not limited to systems. It is structured to allow inclusion of other alerting systems as deemed appropriate or necessary.

In addition to the definition of the term Profile in Section 1.2 Terminology, this Profile is responsive to the requirements articulated by the FEMA IPAWS Program Management Office as cited in Section 1.5 Non-Normative References.

1.2 Process

This Profile was developed primarily by integrating requirements related to three federal warning-delivery systems:

- the broadcast Emergency Alert System (EAS) as recommended by the EAS-CAP Industry Working Group;
- the NOAA Non-Weather Emergency Message (NWEM) "HazCollect" program for weather radio and other delivery systems as derived from technical documentation; and,
- the Commercial Mobile Alert Service (CMAS) for cellular telephones as described in the recommendations of the Commercial Mobile Service Alert Advisory Committee (CMSAAC).

Additional guidance was drawn from subject matter experts familiar with the design and implementation of those and other public warning systems.

1.3 Terminology

The key words “MUST”, “MUST NOT”, “REQUIRED”, “SHALL”, “SHALL NOT”, “SHOULD”, “SHOULD NOT”, “RECOMMENDED”, “MAY”, and “OPTIONAL” in this document are to be interpreted as described in **[RFC2119]**.

The words **warning, alert** and **notification** are used interchangeably throughout this document.

The term **coordinate pair** is used in this document to refer to a comma-delimited pair of decimal values describing a geospatial location in degrees, unprojected, in the form “[latitude],[longitude]”. Latitudes in the Southern Hemisphere and longitudes in the Western Hemisphere are signed negative by means of a leading dash.

CMAS – Commercial Mobile Alert System – System recommended by FCC-established Commercial Mobile Service Alert Advisory Committee (CMSAAC) CMSAAC's mission was to develop recommendations on technical standards and protocols to facilitate the ability of commercial mobile service (CMS) providers to voluntarily transmit emergency alerts to their subscribers. The committee was established pursuant to Section 603 of the Warning, Alert and Response Network Act (WARN Act), which was enacted on October 13, 2006.

DHS – USA Department of Homeland Security – Federal Executive Branch Cabinet Department

EAS – USA Emergency Alert System, specifically mandated by the FCC is a national public warning system that requires broadcasters, cable television systems, wireless cable systems, satellite digital audio radio service (SDARS) providers and, direct broadcast satellite (DBS) service providers to provide the communications capability to the President to address the American public during a National emergency. The system also may be used by state and local authorities to deliver important emergency information such as AMBER alerts and weather information targeted to a specific area.

FCC – USA Federal Communication Commission.

FEMA – USA Federal Emergency Management Agency

HazCollect – USA National Oceanic and Atmospheric Administration, National Weather Service All Hazards Emergency Message Collection System (HazCollect) provides an automated capability to streamline the creation, authentication, collection, and dissemination of non-weather emergency messages in a quick and secure fashion. The HazCollect system is a comprehensive solution for the centralized collection and efficient distribution of Non-Weather Emergency Messages (NWEMs) to the NWS dissemination infrastructure, the Emergency Alert System (EAS), and other national systems.

IPAWS – USA Integrated Public Alert and Warning System was established by Executive Order 13407 in June 2006. The Department of Homeland Security, the Federal Emergency Management Agency (DHS/FEMA) and the IPAWS Program Management Office (PMO) work with public and private sectors to integrate warning systems to allow the President and authorized officials to effectively address and warn the public and State and local emergency operations centers via phone, cell phone, pagers, computers and other personal communications devices

IPAWS Exchange Partner –The EAS, HazCollect and CMAS exchange partners are specifically addressed by this specification document. Other systems may also use this Profile.

Profile – As used in this document, a Profile consists of an agreed-upon subset and interpretation of the. OASIS CAP-v1.2 Specification. An XML Profile is applied to an existing XML Schema (in this case the OASIS Standard CAP v1.2 Schema) in order to constrain or enforce aspects of it to accomplish a specific purpose according to the definition and criteria set forth for an XML Profile. Any message that is in compliance with the Profile must validate against the original XML Schema as well as the resulting XML Schema of the Profile.

1.4 Normative References

[RFC2119]	S. Bradner, Key words for use in RFCs to Indicate Requirement Levels, IETF RFC 2119, March 1997. http://www.ietf.org/rfc/rfc2119.txt
[dateTime]	N. Freed, XML Schema Part 2: Datatypes Second Edition, http://www.w3.org/TR/xmlschema-2/#dateTime , W3C REC-xmlschema-2, October 2004.
[FIPS 180-2]	National Institute for Standards and Technology, Secure Hash Standard, August 2002. http://csrc.nist.gov/publications/fips/fips180-2/fips180-2withchangenotice.pdf
[namespaces]	T. Bray, Namespaces in XML, W3C REC-xml-names-19990114, January 1999. http://www.w3.org/TR/REC-xml-names/
[**RFC2046]**	N. Freed, Multipurpose Internet Mail Extensions (MIME) Part Two: Media Types, IETF RFC 2046, November 1996. http://www.ietf.org/rfc/rfc2046.txt
[RFC2119]	S. Bradner, Key words for use in RFCs to Indicate Requirement Levels, IETF RFC 2119, March 1997. http://www.ietf.org/rfc/rfc2119.txt
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[WGS 84]	National Geospatial Intelligence Agency, Department of Defense World Geodetic System 1984, NGA Technical Report TR8350.2, January 2000. http://earth-info.nga.mil/GandG/tr8350_2.html
[XML 1.0]	T. Bray, Extensible Markup Language (XML) 1.0 (Third Edition), W3C REC-XML-20040204, February 2004. http://www.w3.org/TR/REC-xml/
[XMLSIG]	Eastlake, D., Reagle, J. and Solo, D. (editors), *XML-Signature Syntax and Processing*, W3C Recommendation, February 2002. http://www.w3.org/TR/2002/REC-xmldsig-core-20020212/
[XMLENC]	Eastlake, D. and Reagle, J. (editors), *XML Encryption Syntax and Processing*, W3C Recommendation, December 2002. http://www.w3.org/TR/2002/REC-xmlenc-core-20021210/
[CFR Title 47 Pt 11]	Office of the Federal Register, National Archives and Records Administration, Government Printing Office, *XML Code of Federal*

130 *Regulations, Federal Communications Commission*, Title 47
131 Telecommunication Part 11 Emergency Alert System, October 1998.
132 http://www.access.gpo.gov/nara/cfr/waisidx_98/47cfr11_98.html

133 1.5 Non-Normative References

134 **[FEMA IPAWS CAP PROFILE REQUIREMENTS]** FEMA IPAWS Program Management Office *FEMA IPAWS CAP v1.2 Profile Requirements v2.4 - Public*, December 2008
135 136 137 138 http://www.oasis-open.org/committees/download.php/31084/FEMA_IPAWS_CAP%20v1.1_Profile_Requirements_v2.4_-_Public.doc

139 **[EAS-CAP Profile]** EAS-CAP Industry Group *EAS-CAP Profile Recommendation EAS-CAP-01*, September 2008.
140 141 http://www.eas-cap.org/Recommendation%20EAS-CAP-0.1.pdf

142 [**NOAA HazCollect]** Disaster Management Open Platform for Emergency Networks Program *Instructions for Using the NOAA HazCollect Interface on the Open Platform for Emergency Networks (OPEN)* November 2008
143 144 145 146 147 http://www.oasis-open.org/committees/download.php/31085/using_hazcollect_on_open20081106.pdf

148 1.6 Requirements

149 The FEMA IPAWS Program Management Office submitted the *FEMA IPAWS CAP v1.1Profile*
150 *Requirements v2.4 – Public* document referenced above and available at the url cited above as the basis
151 for developing the CAP v1.2 IPAWS Profile v1.0. It should be noted that not all requirements found in the
152 FEMA IPAWS Program Management Office Requirements document are included in this specification.
153 For example, the proposal for multiple info blocks for different delivery system was found unnecessary.

2 CAP v1.2 IPAWS Profile

Table 1 and Table 2 together specify the REQUIRED constraints placed by the CAP v1.2 IPAWS Profile on a CAP v1.2 message in order for the message to be a valid CAP IPAWS Profile message. This table contains only those elements of CAP v1.2 for which there is a Profile Specification or Profile Note. CAP v1.2 elements not included here simply means there is no specific constraint or condition in the use of those elements for the Profile.

Table 1: CAP v1.2 IPAWS Profile Specification and Profile Note

CAP Element	Profile Specification (Normative)	Profile Note (Non-Normative)
Elements in **boldface** are REQUIRED.	(Subcommittee)	(Subcommittee)
status	A value of "Actual" SHALL be used for messages intended for dissemination to the public, including test messages intended for delivery to the public.	Some exchange partners may elect not to transmit certain messages of <status> “Actual” based on the <eventCode> values of the messages. For example, CMAS may not carry EAS required weekly test messages.
source		Exchange partners should be aware that the <source> value may be publicly presented as a "signature line” in some delivery systems.
code *	(1) REQUIRED. (2) Value SHALL include the string "IPAWSv1.0" to indicate the Profile version in use.	
references	All related messages that have not yet expired MUST be referenced for “Update” and “Cancel” messages.	
info *	(1) All <info> blocks in a single alert MUST relate to a single incident or update, with the same <category> and <eventCode> values. (2) An <info> block SHOULD contain only one <eventCode> with a <valueName> of “SAME” (3) All <info> blocks SHALL be appropriate for immediate public release.	(1) Multiple <info> blocks may be used to deliver content in different languages. (2) Exchange partners may elect to process only the first <info> block encountered in a language they support. (3) Other <eventCode> elements may also be present.

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CAP Element	Profile Specification (Normative)	Profile Note (Non-Normative)
eventCode *	(1) REQUIRED. (2) Messages intended for EAS, CMAS and HazCollect dissemination MUST include one and only one instance of this with a <valueName> of "SAME" and using a SAME-standard three-letter value. (3) Other <eventCode> elements, other than SAME, may also be present. (4) All values for EAS Event Code SHALL be passed through by EAS CAP Profile devices, even if the Event Code is not shown in FCC Part 11.31, as long as the value is a three-letter code.	
effective	Ignored if present. Alerts SHALL be effective upon issuance.	The <description> and <instruction> elements may refer to future events or actions.
onset	Ignored if present. Alerts SHALL be effective upon issuance.	The <description> and <instruction> elements may refer to future events or actions..
expires	REQUIRED.	
description	Messages SHOULD have meaningful values for the <description>.	The content in <description> may be truncated and therefore it is recommended that essential information be addressed first.
instruction	Messages SHOULD have meaningful values for the <instruction>.	The content in <instruction> may be truncated and therefore it is recommended that essential information be addressed first.
parameter *	*Please see Table 2 (below)*	
resourceDesc	(1) A value of "EAS Broadcast Content" SHALL be used to indicate that the elements of a <resource> block are intended for EAS broadcast. (2) EAS broadcast audio and video content SHOULD match the message's textual content.	(1) The value of <resourceDesc> is case sensitive. (2) The content is identified by the <mimeType>.

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CAP Element	Profile Specification (Normative)	Profile Note (Non-Normative)
mimeType	A <mimeType> of “audio/x-ipaws-audio", "audio/x-ipaws-streaming-audio", "video/x-ipaws-video" and "video/x-ipaws-streaming-video" SHALL be used to identify broadcast content for delivery to the public.	(1) Selection of the most appropriate encoding is outside of the OASIS Emergency Management Technical Committee’s expertise. However, OASIS recommends : A) that a single format be specified for each of these types; and, B) that preference be given to open, non-proprietary standards when selecting these encodings. (2) If broadcast content exceeds two minutes playing time it may be truncated by exchange partners except for Presidential Messages.
area *	(1) REQUIRED. (2) At least one <area> block MUST be present.	
geocode *	(1) At least one instance of <geocode> with a <valueName> of “SAME” and a value of a SAME 6-digit location (extended FIPS) SHOULD be used. (2) The more precise geospatial representations of the area, <polygon> and <circle>, SHOULD also be used whenever possible. (3) A SAME value of “000000” refers to ALL United States territory or territories.	(1) The 5-digit form, if needed, can be derived by removing the first digit from the 6 digit form. (2) If a SAME-based <geocode> is not present, IPAWS exchange partners unable to use a geospatial representation may ignore the message.

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Table 2: <parameter> detail

CAP Element	Profile Specification (Normative)
parameter *	Messages intended for EAS and/or HazCollect dissemination MUST include an instance of <parameter> with a <valueName> of "EAS-ORG" with a <value> of the originator's SAME organization code.
	Messages invoking the "Gubernatorial Must-Carry" rule MUST include a <parameter> with <valueName> of "EAS-Must-Carry" and value of "TRUE" for gubernatorial alerts.
	Messages intended for CMAS dissemination MAY include an instance of <parameter> with a <valueName> of "CMAMtext" and a <value> containing free form text limited in length to 90 English characters.

167 *May have multiple occurrences in a message under CAP v1.2 specifcation.

3 Conformance

An implementation conforms to this specification if it satisfies all of the MUST or REQUIRED level requirements defined within this specification.

This specification references a number of other specifications. In order to comply with this specification, an implementation MUST implement the portions of referenced specifications necessary to comply with the required provisions of this specification. Additionally, the implementation of the portions of the referenced specifications that are specifically cited in this specification MUST comply with the rules for those portions as established in the referenced specification.

3.1 Conformance Targets

The three following conformance targets are defined in order to support the specification of conformance to this standard:

a) CAP v1.2 IPAWS Profile Message
b) CAP v1.2 IPAWS Profile Message Producer
c) CAP v1.2 IPAWS Profile Message Consumer

A CAP v1.2 IPAWS Profile Message is an XML 1.0 document whose syntax and semantics are specified in this standard.

A CAP v1.2 IPAWS Profile Message Producer is a software entity that produces CAP v1.2 IPAWS Profile Messages.

A CAP v1.2 IPAWS Profile Message Consumer is a software entity that consumes CAP v1.2 IPAWS Profile Messages.

3.2 Conformance as an CAP v1.2 IPAWS Profile Message

An XML 1.0 document is a conforming CAP v1.2 IPAWS Profile Message if and only if:

a) it is valid according to the schema in Section 3.4 of the specification located at http://docs.oasis-open.org/emergency/cap/v1.2/ and
b) the content of its elements and the values of its attributes meet all the additional mandatory requirements specified in Section 2.

3.3 Conformance as an CAP v1.2 IPAWS Profile Message Producer

A software entity is a conforming CAP v1.2 IPAWS Profile Message Producer if and only if:

(1) it is constructed in such a way that any XML document produced by it and present in a place in which a conforming CAP v1.2 IPAWS Profile Message is expected (based on contextual information) is indeed a conforming CAP v1.2 IPAWS Profile Message according to this standard.

The condition in (1) above can be satisfied in many different ways. Here are some examples of possible scenarios:

– a standard protocol (for example, EDXL-DE) transfers messages carrying CAP v1.2 IPAWS Profile Messages; a client has sent a request for an CAP v1.2 IPAWS Profile Message to a server which claims to be a conforming CAP v1.2 IPAWS Profile Message Producer, and has received a response which is therefore expected to carry a conforming CAP v1.2 IPAWS Profile Message;
– a local test environment has been set up, and the application under test (which claims to be a conforming CAP v1.2 IPAWS Profile Message Producer) has the ability to produce a CAP v1.2 IPAWS Profile Message and write it to a file in a directory in response to a request coming from

the testing tool; the testing tool has sent many requests to the application under test and is now verifying all the files present in the directory, which is expected to contain only conforming CAP v1.2 IPAWS Profile Messages;

3.4 Conformance as an CAP v1.2 IPAWS Profile Message Consumer

A software entity is a conforming CAP v1.2 IPAWS Profile Message Consumer if and only if:

(1) it is constructed in such a way that it is able to successfully validate and ingest a CAP v1.2 IPAWS Profile Message, as defined in Sec 3.2

The condition in (1) above can be satisfied in many different ways. Here is one example of a possible scenario:

– a client receives and processes a CAP v1.2 IPAWS Profile Message from a server which claims to be a conforming CAP v1.2 IPAWS Profile Message Producer

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Participants:

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Art Botterell, Conta Costa County Community Warning System
Tim Grapes, Evolution Technologies, Inc.
Lee Tincher, Evolution Technologies, Inc.
Rex Brooks, Individual Member
Gary Ham, Inidividual Member
Jacob Westfall, Individual Member
Thomas Ferrentino, Individual Member
Robert Bunge, NOAA's National Weather Service
Sukumar Dwarkanath, SRA International
William Kalin, U.S. Department of Homeland Security
Richard Vandame, U.S. Department of Homeland Security
Patrick Gannon, Warning Systems, Inc.
Elysa Jones, Warning Systems, Inc.

242 # B. Revision History

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WD.02	1-27-2009	Rex Brooks	Updated Table of Contents; Added Text to Section 1.1; Added Revision History
WD.03	1-29/2009	Rex Brooks	Full Subcommittee Revision of Section 1,
WD.04	2-3-2009	Rex Brooks	Multiple updates per CAP Profiles Subcommittee decisions.
WD.041	2-5-209	Rex Brooks	Multiple updates per CAP Profiles Subcommittee decisions.
WD.042	2-10-2009	Rex Brooks	Move Sections 3 to an Appendix; Insert FEMA CAPv1.1 Profile Requirements v2.4 Public as Appendix; Delete Section 4; Prepare Document for vote to submit to Emergency Management Technical Committee per CAP Profiles Subcommittee decisions.
WD.05	2-12-2009	Rex Brooks	Final prep for report out to the TC.
CD 01	2-24-2009	Rex Brooks	First Committee Draft.
PR 01	2-26-2009	Rex Brooks	First Public Review Draft.
CD02	7-7-2009	Rex Brooks	Second Committee Draft.
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