



Australian Government

Australian Government Standard for the Common Alerting Protocol



Australian Government

AUSTRALIAN GOVERNMENT STANDARD
FOR THE
COMMON ALERTING PROTOCOL
AUSTRALIA PROFILE
(CAP-AU-STD)

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Preface

Developers

This Australian Government standard for the Common Alerting Protocol – Australia (CAP-AU-STD) is being managed in collaboration with the Australian CAP Stakeholders Group (CAP SG) represented by the following bodies:

Agencies	Participant Organisations
Commonwealth	Emergency Management Australia (EMA)
Commonwealth	Bureau of Meteorology (BOM)
Commonwealth	Geoscience Australia (GA)
Commonwealth	Department of Agriculture, Fisheries and Forestry (DAFF)
Commonwealth	Department of Health and Ageing (DOHA)
Jurisdictions	Participant Organisations
Australian Capital Territory	Emergency Services Agency (ESA) Fire Brigade
New South Wales	Fire and Rescue Rural Fire Services (RFS)
Northern Territory	Police, Fire and Emergency Services (PFES)
Queensland	Department of Community Safety (DCS) - Emergency Management Queensland (EMQ) - Fire and Rescue Service (QFRS) Police Service (QPS)
South Australia	Fire and Emergency Services Commission (SAFECOM) State Emergency Service (SES)
Tasmania	Police State Emergency Service (SES)
Victoria	Office of Emergency Services Commissioner (OESC) Department of Sustainability and Environment (DSE) Country Fire Authority (CFA)
Western Australia	Department of Fire and Emergency Services (DFES)
Non-Government Body	Participant Organisation
Industry Body	Australasian Fire & Emergency Service Authorities Council (AFAC)

OASIS (The Organization for the Advancement of Structured Information Standards); the CAP - Canadian Profile Working Group administering the CAP - Canadian Profile; and CAPAN (Canadian Association for Public Alerting and Notification), all contributed to the content of this document.



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Record of Amendments

Version	Date	Amendment(s)	Author(s)
3.0	30 Jun 2013	Approved by CAP Change Advisory board (24 May 2013)	Attorney-General's Dept
2.0	30 May 2012	Approved by Cross Jurisdictional Chief Information Officers Committee (24 May 2012)	Attorney-General's Dept
1.0	28 Feb 2012	Released for Committee Approval	Attorney-General's Dept

Amendment Policy

This CAP-AU-STD document is a living document that will be reviewed periodically by the Australian CAP Stakeholders Group. New versions will only be published when the Change Advisory Board decide that sufficient changes warrant revision action.

The Australian CAP Stakeholders Group invites suggestions for improvements and notification of inaccuracies or ambiguities to be forwarded to the CAP-AU CUSTODIAN at the Attorney-General's Department address listed below.

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BARTON ACT Australia 2600
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Important Notice

Before using this publication, please check the following sources to ensure that this edition is the most recent and updated version of the publication:

- Primary reference source: <https://govshare.gov.au/xmlui/handle/10772/6380>
- Additional reference source: <http://www.em.gov.au/CapAuStd>

The primary reference source shall always take precedence.

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1. INTRODUCTION

Since 2006, the *National Forum on Emergency Warnings to the Community* has promoted consideration of the adoption of the Common Alerting Protocol (CAP) as a content standard for emergency warnings within Australia. In April 2008, the member agencies of Australasian Fire and Emergency Services Authorities Council (AFAC) agreed to adopt the international open CAP standard developed by the Organization for the Advancement of Structured Information Standards (OASIS) as the national standard for handling of the essential content of alert warning messages.

A national resilience project was commenced in Australia in 2009 in response to outcomes of the investigation of widespread bushfires in the State of Victoria in February 2009. A study conducted by the Attorney-General's Department (AGD) in 2009-10 determined that the OASIS CAP standard is the most suitable content standard available for emergency alerts and warnings and recommended that CAP be adopted in Australia. A follow-on project was conducted by the National Emergency Management Committee in 2010-11 to develop the *Common Alerting Protocol - Australia Profile*, to provide the Australian community with a common standard for the dissemination of all-hazard alert and warning messages during any emergency.

1.1. Purpose

The purpose of this document is to:

- facilitate the adoption of the international CAP standard within Australia;
- provide the "Profile" for the Australian Government standard for the Common Alerting Protocol – Australia;
- provide reference material to assist Australian agencies and organisations to implement this standard, and
- define the set of rules and managed lists of values that are recommended for CAP use within hazard alerting systems that are implemented in Australia.

1.2. Development Process

AGD developed the CAP-AU-STD using the Australian Government National Standards Framework (NSF). A foundation of this Framework is that agency and jurisdictional independence is respected and a mechanism is provided that delivers transparency and a degree of certainty.

This standard has been developed and refined through a range of agency consultations. Future development will be managed by the AGD *CAP-AU Custodian* in consultation with the *Australian CAP Stakeholders Group*.

1.3. Benefits of CAP-AU-STD

Implementation of the CAP-AU-STD provides the following benefits to Australia:

- Consolidates disparate uses within Australia of earlier versions of the OASIS CAP standard.
- Provides an endorsed government standard to jurisdictions and government agencies that will guide future implementations of CAP during upgrades to alert and warning system technologies.
- Provides a common standard and interoperability matrix that all Australian jurisdictions can leverage upon when interoperating with regional neighbours.
- Facilitates the basis for a technology-independent national and international 'warning internet' by enabling conversion to and from the 'native' formats of all kinds of sensor and alerting technologies.
- Provides a single focal point for all jurisdictions and government agencies to jointly develop future versions of the CAP-AU-STD, and to contribute Australian issues to the revision of the international CAP standard.
- Reduces costs and operational complexity associated with hazard alerting by eliminating the need for customising multiple software interfaces to the many warning technologies and dissemination systems involved in all-hazards warnings.

2. REFERENCES

2.1. Basis for CAP-AU-STD

The CAP-AU-STD is derived from, and compliant with, the OASIS CAPv1.2 standard that was released by OASIS in July 2010 (henceforth to be referred to as CAPv1.2). The release of this Australian Government standard for the CAP-AU Profile constitutes the formal national agreement within Australia to apply a specific CAP standard across all current systems. This approach will reduce variations between CAP implementations in Australia that could potentially disrupt interoperability or cause confusion with interpretation of hazard event codes.

2.2. Documents comprising CAP-AU-STD

The implementation of the Common Alerting Protocol within Australia is fully defined within this document, which is a four part document that provides background, guidance, rules, managed lists and reference information to enable the CAP-AU-STD to be implemented. The CAP-AU-STD includes the following Attachments, which must be consulted to ensure all implementation rules are followed:

- **Attachment A to CAP-AU-STD (EDXL-CAP1.2-AU-v1.0-CS02)** – the OASIS *Common Alerting Protocol v1.2 Australia Profile Version 1.0, Committee Specification 02*, which defines the rules and elements that will apply to CAP-AU-STD; and
- **Attachment B to CAP-AU-STD (AUeventLIST)** – the *Australian All-Hazards Event Code List For CAP-AU-STD*, which defines a managed list of recognised events associated with hazard alerting in Australia.
- **Attachment C to CAP-AU-STD (XSD CAP-AU)** - the *XML Schema Definition for CAP-AU*.

2.3. Normative References

[CAPv1.2]	OASIS Standard, Common Alerting Protocol Version 1.2, 01 July 2010, http://docs.oasis-open.org/emergency/cap/v1.2/CAP-v1.2-os.pdf
[National Standards Framework (NSF)]	Australian Government Information Management Office, August 2009, http://www.finance.gov.au/publications/national-standards-framework/index.html
[ISO 639.2]	Codes for the Representation of Names of Languages, 30 June 2011, http://www.loc.gov/standards/iso639-2/php/English_list.php
[AEMS]	Australian Emergency Manual Series, http://www.em.gov.au/Publications/Australianemergencymanualseries/Pages/default.aspx

3. CAP-AU-STD RULES

This section identifies the CAP-AU-STD general requirements, constraints, and recommendations for implementing CAP-AU-STD that are not addressed explicitly within the EDXL-CAP1.2-AU-v1.0-CS02 (CAP-AU-STD Attachment A). Content extracted from the CAPv1.2 is only included where necessary to improve clarity within this document. Differences in CAPv1.2 interpretations, if any, are unintended and SHALL not override the CAPv1.2.

3.1. CAP-AU-STD Structure Requirements

CAPv1.2 is an Extensible Markup Language (XML) message standard that also contains an XML Schema, which is to be used for validation of the CAPv1.2 message. The CAP-AU-STD message MUST result in a constrained XML message adhering to the requirements in Table 1.

The XML message should be coded according to XML 1.0 and properly parsed before any CAPv1.2 and CAP-AU-STD content validation is undertaken

Table 1: CAP-AU-STD Criteria and Miscellaneous Requirements

Number	Requirement
1.	Unless otherwise stated within this “CAP-AU-STD Requirements” table, all OASIS CAPv1.2 elements SHALL be adhered to exactly as specified in the OASIS CAPv1.2 Standard.
2.	The CAP-AU-STD MUST not become a new or additional messaging “standard” (i.e. another Alerts and Warnings standard or another CAP “version”). It is simply a more constrained version of an existing messaging standard.
3.	The CAP-AU-STD message MUST comply with the CAPv1.2 as follows:. <ul style="list-style-type: none">• always validate against the CAPv1.2 Schema. Definition and development of the CAP-AU-STD message may or may not result in a more restrictive Schema.• adhere to CAPv1.2 data dictionary restrictions.• validate within the CAPv1.2 namespace with no changes to root elements.• use all required elements (i.e. no deletion of required elements are allowed).• not change attributes for required fields.
4.	A CAP-AU-STD message MUST be capable of using an existing CAPv1.2 service (i.e. software designed to apply the standard) to receive and understand a CAP-AU-STD message.
5.	A CAP-AU-STD message MUST NOT be Proprietary Format.
6.	A CAP-AU-STD message MAY further constrain the CAPv1.2 standard. (may be thought of as a “constraint Schema” against the standard)
7.	A CAP-AU-STD message MAY add to required element definitions (only to extend or interpret the definition)
8.	A CAP-AU-STD message MAY limit the size of required elements.
9.	A CAP-AU-STD message MAY exclude optional elements.
10.	A CAP-AU-STD MAY define elements in a specific, agreed-upon way – as defined and adjudicated for the Profile.

3.2. General CAP-AU-STD Rules

In order to avoid the need to validate content of the CAP-AU-STD every time the CAPv1.2 is updated, and to eliminate errors in duplicating the information that is already presented in the OASIS CAPv1.2, the information and tables in the EDXL-CAP1.2-AU-v1.0-CS02 (CAP-AU-STD Attachment A) only details the element and value requirements that will apply for the CAP-AU Profile or that will extend or constrain the CAPv1.2.

The Data Dictionary within the CAPv1.2 should always be consulted in parallel with the guidance in this Profile for any additional direction that should be applied to each element.

3.2.1 Conventions Regarding Case-sensitivity

XML specifications require that all CAPv1.2 and CAP-AU-STD element names **MUST** be case sensitive.

3.2.2 Conventions Regarding <valueName>

The following conventions **SHALL** apply to use of <valueName> in CAP-AU-STD:

- a. Except where explicitly noted, <valueName> and <value> content are not case sensitive.
- b. Values of <valueName> that are acronyms **SHOULD** be represented in all capital letters without periods.
- c. The <valueName> should uniquely identify the value list being used, whether the value list is expected to change, and should provide a method to accommodate changes by identifying each unique revision.
- d. The character formatting for Uniform Resource Name (URN) from the IETF's RFC 2141 will be followed, including case in-sensitivity, to create CAP-AU-STD <valueName> in order to distinguish it from any future standardised format that does incorporate an officially registered namespace identifier:
 - <type> will be one of "profile" or "layer" or "list".
 - <sub-type> is a unique string identifying additional information about the <type>.
 - <document identifier> is further information such as a further identifying name, sub-segment, or version number.

Example: <valueName>**type:sub-type:document identifier**</valueName>

Example: <valueName>**profile:CAP-AU:1.0:AUeventLIST:1.0**</valueName>

3.2.3 Conventions Regarding Time Zone

The time zone field is required to be inserted in CAP-AU-STD within the <sent>, <expires>, <onset>, and <effective> elements to eliminate misinterpretation of implied times with time zones. Where there is a need to use local time, a system policy SHOULD be adopted that time zone information MUST be included as per the location cited in the <area> block, including the allowance for Daylight Savings when applicable.

When the content of a message applies across multiple timezones, the message producer SHOULD use UTC times in preference to local times. The message producer SHOULD consider whether the message consumer is capable of converting UTC to the correct local time.

Example:

For an alert issued on 13 May 2011 at 1300 hours for an event that is predicted in the ACT region (UTC+10:00) to start at 1600 hours and finish at 1700 hours:

```
<alert>
  ...
  <sent>2011-05-13T13:00:00+10:00</sent>
  <status>Exercise</status>
  ...
  <info>
    ...
    <effective>2011-05-13T13:00:00+10:00</effective>
    <onset>2011-05-13T16:00:00+10:00</onset>
    <expires>2011-05-13T17:00:00+10:00</expires>
    ...
    <area>
      <areaDesc>Entire ACT region</areaDesc>
      ...
    </area>
  </info>
</alert>
```

3.2.4 Conventions Regarding Automated Translation of Free Form Text

Automated translation is any kind of machine-based translation of free form text or the assembly of phrases based on pre-set values where a human translator has not been involved. The purpose of the following conventions is to support advanced distribution decisions associated with multilingual messages:

- a. When automated language translation of free form text content in an <info> block has taken place, a single instance of this parameter should be used with a value of “yes”.
- b. For alert messages with multiple <info> blocks, only the <info> block(s) where this automated translation has taken place should use the parameter.
- c. When issuing an update message for an <info> block that contains free form text content that has been subsequently reviewed by a human for correct translation, replacing automated translated content, this parameter should be used with a value of “no”.
- d. Issuers who intend to use <autoTranslated> should supply supporting documentation indicating which elements are/were auto translated.
- e. The values “yes” and “no” are not case sensitive and shall not be translated.

Example:

The instruction was auto generated in English by software interpreting a responseType rather than the free form sentence generated by a person in Italian. A simple parameter element is used to flag the auto translation activity of the originator:

```
<info>
  <language>en-AU</language>
  ...
  <instruction>Take shelter</instruction>
  <parameter>
    <valueName>urn:oasis:names:tc:emergency:cap:1.2:profile:CAP-
      AU:1.0:AutoTranslated</valueName>
    <value>Yes</value>
  </info>
<info>
  <language>ita</language>
  ...
  <responseType>Take shelter</responseType>
  <instruction>Mettersi al riparo</instruction>
  ...
</info>
```

3.2.5 Management of Invalid CAP Messages

Systems receiving invalid CAP messages will not necessarily be expected to act on them; however, rather than aborting the process, it is RECOMMENDED that the message be flagged with a “concern” or “error” system element and the originator notified of the reason for the flag. Recipients of a CAP message that may contain one of these elements should contact the originator for details.

The following XML namespace declaration indicates that the CAP message should validate to CAPv1.2. In this case CAPv1.2 is identified by the given URN. Since all CAP-AU-STD messages are to validate to CAPv1.2 then the following line is still a valid line in all CAP-AU-STD message:

Example:

```
<cap:alert xmlns="urn:oasis:names:tc:emergency:cap:1.2"></cap:alert>
```

4. CAP-AU-STD Change Process

The following change management process will apply to this CAP-AU-STD document and its Attachments to enable the documents to be updated individually under a controlled configuration management process.

The goal of this change management process is to respond to the changing requirements for CAP in Australia that may need to be nominated by Australian CAP Stakeholders, while maintaining conformance with government policy and OASIS requirements.

4.1. Details of Responsibilities

Responsibilities of personnel involved in the CAP-AU-STD change process are:

Role	Responsibility
Change Initiator (CI)	<p>Any User of the CAP-AU-STD will be expected to act as the CI whenever they seek to propose a change for consideration</p> <ul style="list-style-type: none"> Identify and document the need for change using the Request For Change (RFC) form that can be downloaded from https://govshare.gov.au/xmlui/handle/10772/6497 Send RFC to the Change Manager for action
Senior Responsible Owner (SRO)	<p>The SRO will typically be a Branch or Division Head-level person in the CIs supervisory chain (or equivalent in a non-government organisation).</p> <ul style="list-style-type: none"> Evaluate and approve RFC Confirm organisational support for proposed RFC
Change Manager (CM)	<p>The CAP-AU CUSTODIAN will act as the CM for the CAP-AU-STD</p> <ul style="list-style-type: none"> collect, categorise, clarify and prioritise all RFCs submitted by CIs in preparation for CAB consideration liaise with the CI regarding accuracy and content of RFC update and maintain an accurate CAP-AU-STD Change Register assign responsibility for executing change requests advise CIs and CAP stakeholders of the status of submitted RFCs assess the efficiency of the change management process and make changes where necessary
Change Advisory Board (CAB)	<p>The CAB is a body that exists to support the authorisation of changes and to assist assess and prioritise changes proposed to the CAP-AU-STD. The CAB is a select group of people who represent Australian CAP stakeholders.</p> <p>Meetings of the CAB are convened and chaired by the Change Manager (CM). The CAB should only meet when required to progress changes proposed by CAP stakeholders. If a consensus cannot be reached by the CAB then the decision will be escalated to the Cross Jurisdictional Chief Information Officers Committee (CJCIOC).</p>

4.2. Change process

Responsibilities of personnel involved in the CAP-AU-STD change process are described in the table below. The Request For Change (RFC) proforma can be downloaded from:

<https://govshare.gov.au/xmlui/handle/10772/6497>

Responsibility	Activity	Description
Change Initiator (CI)	<ul style="list-style-type: none"> • Create RFC • Submit RFC 	<ul style="list-style-type: none"> • Always use CAP RFC form available at Appendix 3 • Submit RFC to SRO
Senior Responsible Owner (SRO)	<ul style="list-style-type: none"> • Evaluate RFC • Approve RFC 	<ul style="list-style-type: none"> • Approval of the RFC denotes organisational support for the proposed change • Send approved RFC to CM
Change Manager (CM)	<ul style="list-style-type: none"> • Inspect the RFC 	<ul style="list-style-type: none"> • CM to inspect the RFC for correctness and accuracy liaising with the CI to gather all information
CM	<ul style="list-style-type: none"> • Enter RFC into the CAP-AU-STD Change Register 	<ul style="list-style-type: none"> • Validate, prioritise and register the RFC • Allocate an appropriate priority. • If the RFC is for an emergency or major change then approval must be expedited from the CAB. • Determine RFC impact upon parent OASIS CAP reference standard and advise OASIS accordingly • Distribute RFC for approval according to the status, priority, and the risk category determined by the CI & CM.

Responsibility	Activity	Description
Change Approval Board (CAB)	<ul style="list-style-type: none"> RFC approval decision 	<ul style="list-style-type: none"> The CAB must review all RFCs for approval against the following criteria. <ul style="list-style-type: none"> Addresses a legitimate business need Applies across multiple jurisdictions. Does not impact parent OASIS CAP standard Risk is acceptable or can be mitigated with an acceptable outcome
CM	<ul style="list-style-type: none"> Advise approval or non-approval Update CAP-AU-STD Change Register 	<ul style="list-style-type: none"> Inform CIs about the RFC approval or rejection.
CM	<ul style="list-style-type: none"> Advise CAP Stakeholders 	<ul style="list-style-type: none"> Manage CAP stakeholder expectations through communication of approvals.
CM	<ul style="list-style-type: none"> Implement change 	<ul style="list-style-type: none"> Apply the change described in the RFC Promulgate change in new version of associated CAP-AU-STD document
CM	<ul style="list-style-type: none"> Update CAP-AU-STD Change Register 	

APPENDIX 1 TO CAP-AU-STD

ABBREVIATIONS AND ACRONYMS

Acronym	Meaning
ACDT	Australian Central Daylight Time zone (equivalent to UTC +10:30)
ACST	Australian Central Standard Time zone (equivalent to UTC +09:30)
ACT	Australian Capital Territory
AEDT	Australian Eastern Daylight Time zone (equivalent to UTC +11:00)
AEST	Australian Eastern Standard Time zone (equivalent to UTC +10:00)
AFAC	Australasian Fire and Emergency Services Authorities Council
AGD	Attorney-General's Department
AU	Australia (derived from ISO 3166)
AUeventLIST	Australian All-Hazard Event Code List for CAP-AU-STD
AWST	Australian Western Standard Time zone (equivalent to UTC +08:00).
CAP	OASIS Common Alert Protocol (or Reference Standard)
CAP SG	Australian CAP Stakeholders Group
CAP-AU	Common Alerting Protocol - Australia Profile
CAP-AU-STD	Australian Government standard for the Common Alerting Protocol – Australia Profile
CAP-CP	Common Alerting Protocol Canadian Profile
EDXL	Emergency Data Exchange Language
EDXL-CAP1.2-AU-V1.0	OASIS Common Alerting Protocol v1.2 Australia Profile Version 1.0
GovDex	Australian Government Collaborative Workspace
IETF	Internet Engineering Task Force
ISO	International Organisation for Standardization
ISO 639.2	3-character codes for language names
ISO 3166-1	2-character code for country names
ISO 8601	Data elements and interchange formats - Information interchange - Representation of dates and times
NSF	National Standards Framework
OASIS	Organization for Advancement of Structured Information Standards
RFC	Request For Change
SEWS	Standard Emergency Warning Signal
tba	To Be Advised

APPENDIX 2 TO CAP-AU-STD

EXAMPLE STRUCTURAL TEMPLATE - CAP-AUSTRALIA PROFILE

The following template illustrates the structure of CAP that reflects an Australian context. The following statements apply to the information presented below:

- A **bold listed element name** denotes that the element is REQUIRED to be used to assure conformance with the OASIS CAP standard.
- A ***bolded and italicised element name*** denotes that the element is REQUIRED to be used to assure conformance with the CAP-AU-STD.
- A non-bolded element name (*italicised* or not) denotes that use of the element is OPTIONAL under both CAP and CAP-AU-STD.
- Asterisks (*) indicate that multiple instances are permitted under the CAP and CAP-AU standards.

<alert>

```
<identifier></identifier>
<sender></sender>
<sent></sent>
<status></status>
<msgType></msgType>
<source></source>
<scope></scope>
<restriction></restriction>
<addresses></addresses>
<code>urn:oasis:names:tc:emergency:cap:1.2:profile:CAP-AU:1.0</code>*
<note></note>
<references></references>
<incidents></incidents>
<info>
  <language>en-AU</language>
  <category></category>*
  <event></event>
  <responseType></responseType>*
  <urgency></urgency>
  <severity></severity>
  <certainty></certainty>
  <audience></audience>
  <eventCode>*
    <valueName>https://govshare.gov.au/xmlui/handle/10772/6495
    </valueName>
    <value></value>
  </eventCode>
  <effective></effective>
  <onset></onset>
  <expires></expires>
  <senderName></senderName>
  <headline></headline>
  <description></description>
  <instruction></instruction>
  <web></web>
  <contact></contact>
  <parameter></parameter>*
  <resource>*
    <resourceDesc></resourceDesc>
    <mimeType></mimeType>
    <size></size>
    <uri></uri>
    <derefUri></derefUri>
    <digest></digest>
  </resource>
  <area>*
    <areaDesc></areaDesc>
    <polygon></polygon>*
    <circle></circle>*
    <geocode>*
      <valueName>http://www.pdma.com.au/?product=postcode-
        boundaries</valueName>
      <value>2600</value>
    </geocode>
    <altitude></altitude>
    <ceiling></ceiling>
  </area>
</info>
```

</alert>