Schematron Tutorial

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1 Introduction and instructions

This tutorial is about Schematron. Schematron is an XML validation language for *business rules*. It can validate things far beyond the capabilities of DTD, XML Schema or RELAX NG.

High-level characteristics

- Schematron is a formal schema language in which you can express rules for XML documents.
- There are two types of rules:
 - Assertions: when the condition for an assertion fails, an error message is issued.
 - Reports: when the condition for a report holds, a report message is issued.
- In Schematron you define all the error and report messages in your own words.
- Schematron is expressed in XML: a Schematron schema is an XML document.
- Schematron allows you to specify the underlying language for its expressions. In practice, XPath is the only language supported.
- Schematron can, by design, incorporate constructs from other programming languages. However, most public implementations support XSLT only.

Why Schematron?

There are a number of reasons why Schematron is a very useful tool in the XML toolbox. Here are the most important ones:

- Schematron is a relatively simple but powerful validation language. Basic Schematron already has a wide field of application and is relatively easy to master.
- Schematron can go way beyond the validations of the "classic" validation languages like DTD, W3C XML Schema, and RELAX NG. It allows you to do extensive checks on XML structures and data that are not possible in other languages. Anything you can express as an XPath test can be used for validation purposes. More experienced users can take advantage of XSLT features such as keys and functions.
- In Schematron you define all the error or report messages yourself. For other validation languages you're at the mercy of the validation processor's implementer, and this often results in technically correct but, for users, obscure messages. In Schematron this is completely under your control. Messages can be enriched with computed text from or about the validated document by using XPath expressions.
- Since the messages are under your control, Schematron is often used to partially take over validations normally done by the other validation languages. Messages can be tailored to the user's knowledge level or context.

Instructions for the exercises

- The easiest way to follow along with the exercises is by using oXygen. Please open the oXygen *project* exercises/da-2022-schematron-exercises.xpr. This project already associates the documents to validate with the appropriate Schematron schema for you.
- All exercises are in subfolders of the exercises folder called exercise-xx-yy
- Every exercise contains a PDF with instructions called instructions.pdf
- \bullet $\;$ For most exercises there is a solution present in the solution subfolder.

1.1 Exercise 01-01 - Pre-flight check

Subfolder: exercise-01-01

We're going to validate the input document input.xml:

The rule is that all codes must start with the value of /*/@depcode. The third (and last) article in the list breaks this rule.

A Schematron schema for checking this is in schema.sch:

Please validate input.xml with schema.sch and check the validation message.

2 Schematron fundamentals

2.1 Exercise 02-01 - Using patterns, rules, asserts and reports

Subfolder: exercise-02-01

Exercise solution explanation: "Exercise 02-01 - Using patterns, rules, asserts and reports" on page 10

We're going to validate the input document input.xml:

```
<DATA>
<ARTICLE>
<NAME>BOOK</NAME>
<ID>ABC12345</ID>
</ARTICLE>
<ARTICLE>
<ARTICLE>
<NAME>TOY</NAME>
<ID>XYZ123456</ID>
</ARTICLE>
</DATA>
```

Rules are:

- Please assert that every identifier (in <ID> elements) is exactly 9 characters long
- Please report identifiers (in <ID> elements) that start with the character x as being special

Use the template document template.sch as a starting point. In oXygen, the input document input.xml automatically uses template.sch for validation.

2.2 Exercise 02-02 - Rules processing

Subfolder: exercise-02-02

Exercise solution explanation: "Exercise 02-02 - Rules processing" on page 10

We're going to validate the input document input.xml:

```
<data>
  <book code="ABCD" pagecount="213"/>
  <magazine code="EFGH" articlecount="6"/>
  <!-- Invalid entries: -->
  <book code="ABCDX"/>
  <magazine code="EFGHX"/>
  </data>
```

Rules are:

- A book must have a pagecount attribute
- A magazine must have an articlecount attribute
- All elements must have a code attribute of exactly 4 characters long

The Schematron schema in template.sch is incorrect:

The rule for *all* elements is not applied. Why?

Please verify this by validating input.xml against this schema (in oXygen this happens automatically when you open input.xml).

Improve the schema in template.sch so the rules for all elements are applied too.

2.3 Exercise 02-03 - Enhancing messages

Subfolder: exercise-02-03

Exercise solution explanation: "Exercise 02-03 - Enhancing messages" on page 10

This exercise builds on the previous exercise 02-02. We're going to validate the input document input.xml again:

```
<data>
  <book code="ABCD" pagecount="213"/>
  <magazine code="EFGH" articlecount="6"/>
  <!-- Invalid entries: -->
  <book code="ABCDX"/>
  <magazine code="EFGHX"/>
  </data>
```

Rules are:

- A book must have a pagecount attribute
- A magazine must have an articlecount attribute
- All elements must have a code attribute of exactly 4 characters long

There's a basic Schematron schema in template.sch:

Please enhance this schema so all rules report the value of the code attribute somehow.

Additional changes

Please enhance the schema even further and assert that:

- Books have less than 200 pages
- Magazines have less than 6 articles

The messages for these rules must report both the book/magazine code and the incorrect number of pages/articles.

Make sure these additional checks don't fire on books/magazines that are invalid and have no pagecount/articlecount attribute.

2.4 Exercise 02-04 - Using variables

Subfolder: exercise-02-04

Exercise solution explanation: "Exercise 02-04 - Using variables" on page 11

This exercise builds on the pre-flight check exercise 01-01. We're validating the input document input.xml:

The rule for this document is that all codes must start with the department code, which is in the depcode attribute on the root element.

The basic Schematron schema for this is in template.sch:

Enhance this schema so that:

- The department code is stored in a global variable and used in the assert's expression and message
- Add a variable to the rule that stores the value of the article's code attribute and use this in the assert's expression and message
- Also add the name of the article (in the <name> element) to the message

2.5 Exercise 02-05 - Using namespaces

Subfolder: exercise-02-05

Exercise solution explanation: "Exercise 02-05 - Using namespaces" on page 11

In this exercise we're going to validate the DocBook input document input.xml:

The rules for this document are:

- A section on the first level (<sect1> elements) must have at least 3 paragraphs (<para> elements)
- The title of any section must not be longer than 30 characters

A template Schematron schema for this is in template.sch. Finish this schema so the rules above are validated

As an extra, please use variables for the magic values, 3 and 30, in the validation rules.

3 Abstract patterns

3.1 Exercise 03-01 - Using an abstract pattern

Subfolder: exercise-03-01

Exercise solution explanation: "Exercise 03-01 - Using an abstract pattern" on page 12

We're going to validate the input document input.xml:

```
<manifest>
 <crate type="wood">
   <weight-kg>25</weight-kg>
   <contents>books/contents>
 </crate>
 <crate type="wood">
   <weight-kg>58</weight-kg>
   <contents>books</contents>
 </crate>
 <crate type="metal">
   <weight-kg>890</weight-ka>
   <contents>dogfood</contents>
 </crate>
 <qastank>
   <weight-kg>34</weight-kg>
   <contents>nitrogen</contents>
 </gastank>
 <container>
    <weight-kg>2536</weight-kg>
    <contents>computers</contents>
  </container>
</manifest>
```

Rules are:

- Wooden crates must weigh less than 30 kg
- Containers must weigh less than 2500 kg

Implement this using an abstract pattern that checks the weigth of something against a maximum weight. Instantiate this pattern twice, once for wooden crates and once for containers.

Use the template document schema.sch as a starting point. In oXygen, the input document input.xml automatically uses schema.sch for validation.

3.2 Exercise 03-02 - Using Phases

Subfolder: exercise-03-02

Exercise solution explanation: "Exercise 03-02 - Using Phases" on page 12

We're going to validate the input document input.xml:

```
<document>
  <title>The wonderful world of Schematron</title>
  <para>Welcome to the wonderful world of Schematron <footnote-reference idref="more-schematron-info"/>. ...</para>
  <para>It is a useful tool for ...</para>
  <para>Here are some examples ...</para>
  <!-- Footnotes: -->
  <footnotes>
        <footnote id="more-schematron-info"> More information to be found at ... </footnote>
  </footnotes>
  </document>
```

The rules for this are:

- Titles must be no longer than 45 characters
- There must be at least 3 paragraphs of text
- Footnotes must be referenced by identifier

According to these rules, input.xml is valid.

Please try the following:

- 1. Write a straight Schenmatron schema (not using phases) that validates these rules
- 2. Test this schema. Invalidate input.xml to see whether everything works as expected. For instance make the title too long, remove a paragraph, etc.
- 3. Add a phase only tests the title length
- 4. Add a phase that tests the title length and the paragraph count
- 5. Test this.

Use the template document schema.sch as a starting point. In oXygen, the input document input.xml automatically uses schema.sch for validation.

3.3 Exercise 03-03 - Using Diagnostics

Subfolder: exercise-03-03

Exercise solution explanation: "Exercise 03-03 - Using Diagnostics" on page 13

We're going to validate the input document input.xml:

```
<things-and-artifacts>
  <thing name="thing 1" type="normal"/>
  <thing name="thing 2" type="special"/>
  <thing name="thing 3" type="special"/>
  <thing name="thing 4" type="vintage"/>
  <artifact name="artifact 1" type="martian"/>
  <artifact name="artifact 2" type="zorkian"/>
  <artifact name="artifact 2" type="zorkian"/>
  <artifact name="artifact 3" type="venusian"/>
  </things-and-artifacts>
```

The rules for this are:

- Things must have a type normal or special
- Artifacts must have a type martian or zorkian

A basic schenma that checks this is in schema.sch:

Please put the reused message in a diagnostic.

As an extra, add the following diagnostics:

- For things: Things must be normal or special
- For artifacts: Artifacts must be martian or zorkian

Make the rules that check the things and artifacts now issue two messages: The generic one that was already defined *and* the appropriate specific one you just added.

Use the template document schema.sch as a starting point. In oXygen, the input document input.xml automatically uses schema.sch for validation.

4 Query Language Binding

4.1 Exercise 04-01 - Use an XSLT function

Subfolder: exercise-04-01

Exercise solution explanation: "Exercise 04-01 - Use an XSLT function" on page 14

This exercise builds upon the first exercise 01-01. We're going to validate the input document input.xml:

```
<inventory-list depcode="IMP">
  <article code="IMP0001">
    <name>Bolts</name>
    <description>Nuts to secure things with</description>
    </article>
    <article code="IMP0002">
        <name>Nuts</name>
        <description>Bolts to turn on the nuts</description>
        </article>
        <article code="EXP0234">
              <name>Bananas</name>
              <description>Delicious ripe bananas</description>
              </article>
        </article>
        <article>
              <description>Delicious ripe bananas</description>
              </article>
</inventory-list>
```

A simple Schematron schema for this is in schema.sch:

Please change this schema:

- The test for the code attribute (starts-with(@code, /inventory-list/@depcode)) must be moved to a separate (boolean) XSLT function.
- Use this function in the assert's test.

Remark: to add the XSLT namespace, add xmlns:xsl="http://www.w3.org/1999/XSL/Transform" to the root element.

5 Explanations

5.1 Schematron fundamentals

5.1.1 Exercise 02-01 - Using patterns, rules, asserts and reports

One of the possible solutions for this exercise is in solution/solution.sch:

- The Schematron schema contains a single pattern with a single rule.
- This rule matches on every <ID> element.
- The assert tests whether the string length of this element is 9 characters long. If *not* it issues a message.
- The report tests whether the ID starts with the character X. if so it issues a message.

5.1.2 Exercise 02-02 - Rules processing

One of the possible solutions for this exercise is in solution/solution.sch:

Every pattern is checked against every node in the document. So now both the specific rules for books and magazines (first <pattern> element) and the rules for all elements (second <pattern> element) will be applied.

5.1.3 Exercise 02-03 - Enhancing messages

One of the possible solutions for this exercise is in solution/solution.sch:

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
  <pattern>
    <rule context="/*/book">
      <assert test="exists(@pagecount)">The book with code <value-of select="@code"/</pre>
> must have a pagecount attribute</assert>
    <rule context="/*/magazine">
      <assert test="exists(@articlecount)">The magazine with code <value-of select="@code"/</pre>
 must have an articlecount attribute</assert>
   </rule>
 </pattern>
  <pattern>
   <rule context="/*/*">
      <assert test="string-length(@code) eq 4">The code <value-of select="@code"/</pre>
> is invalid, it must be 4 characters long</assert>
    </rule>
 </pattern>
</schema>
```

It uses the <value-of select="@code"/> element to insert the value of the code attribute in the messages.

Additional changes

One of the possible solutions for the additional changes requested is in solution/solution-extended.sch:

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
 <pattern>
      <assert test="exists(@pagecount)">The book with code <value-of select="@code"/</pre>
must have a pagecount attribute</assert>
   </rule>
    <rule context="/*/magazine">
      <assert test="exists(@articlecount)">The magazine with code <value-of select="@code"/</pre>
 must have an articlecount attribute</assert>
    </rule>
 </pattern>
 <pattern>
    <rule context="/*/book/@pagecount">
      <assert test="xs:integer(.) lt 200">The pagecount of <value-of select="."/</pre>
 for book code <value-of select="../@code"/> must be less than 200</assert>
   <rule context="/*/magazine/@articlecount">
      <assert test="xs:integer(.) lt 6">The article count of <value-of select="."/</pre>
 for magazine code <value-of select="../@code"/> must be less than 6</assert>
   </rule>
 </pattern>
    <rule context="/*/*">
      <assert test="string-length(@code) eq 4">The code <value-of select="@code"/</pre>
 is invalide, it must be 4 characters long</assert>
   </rule>
</schema>
```

Please notice that the checks for the page and article count are in a pattern on their own. The rules fire on the *attribute* (so not on the element). This makes sure these rules don't apply to (invalid) books/magazines that have no pagecount/articlecount attribute.

Also notice the use of the xs:integer() function to explicitly convert the value of the attribute to an integer. A numerical comparison will not work without this!

5.1.4 Exercise 02-04 - Using variables

One of the possible solutions for this exercise is in solution/solution.sch:

- The first variable, department-code stores the global value of the depcode attribute on the root element.
- The rule creates a variable article-code with the value of article's the code attribute.
- Both variables are used in both the assert's expression and resulting message.

5.1.5 Exercise 02-05 - Using namespaces

One of the possible solutions for this exercise is in solution/solution.sch:

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
 <ns prefix="db" uri="http://docbook.org/ns/docbook"/>
  <let name="title-max-length" value="30"/>
 <let name="sect1-min-para-count" value="3"/>
 <pattern>
    <rule context="db:sect1">
      <assert test="count(db:para) ge $sect1-min-para-count">The section titled "<value-</pre>
of select="db:title"/>" must contain at least
                    <value-of select="$sect1-min-para-count"/> paragraphs of text</assert>
   </rille>
 </pattern>
 <pattern>
   <rule context="db:title">
      <let name="title-length" value="string-length(.)"/>
      \verb| <assert test="\$title-length le \$title-max-length"| \verb| >The title "<value-of select="."/|
>" is <value-of select="$title-length"/> characters
                  long, which is longer than the maximum allowed  value-of select="$title-max-
length"/> characters</assert>
   </ri>
 </pattern>
</schema>
```

- The <ns> element defines the DocBook namespace an assigns it the prefix db
- Both magic values, 3 and 30, are stored in variables
- The first pattern checks the paragraph count of DocBook <sect1> elements
- The second pattern checks the length of any DocBook <title> element

Please notice that the input document uses a default namespace declaration (xmlns="http://docbook.org/ns/docbook") and the Schematron schema a namespace prefix (db). As long as the namespace URI is the same in both cases (http://docbook.org/ns/docbook) this does not matter.

5.2 Abstract patterns

5.2.1 Exercise 03-01 - Using an abstract pattern

One of the possible solutions for this exercise is in solution/solution.sch:

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
  <pattern abstract="true" id="check-weight">
   <!-- Parameter: $type, $maxweight -->
    <rule context="$type">
      <assert test="xs:integer(weight-kg) le $maxweight">This weighs too much</assert>
    </rule>
 </pattern>
 <pattern is-a="check-weight">
   <param name="type" value="crate[@type eq 'wood']"/>
   <param name="maxweight" value="30"/>
  </pattern>
 <pattern is-a="check-weight">
   <param name="type" value="container"/>
    <param name="maxweight" value="2500"/>
 </pattern>
</schema>
```

- The abstract pattern with identifier check-weight implements a weight check for some element (\$type) against a maximum weight (\$maxweight).
- This pattern is instantiated twice: Once for wooden crates and once for containers.

5.2.2 Exercise 03-02 - Using Phases

One of the possible solutions for this exercise is in solution/solution.sch:

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
 <!-- Define a phase that only checks the title length -->
 <phase id="titles-only">
   <active pattern="check-title-length"/>
 </phase>
 <!-- Define a phase that checks the title length and the number of paragraphs \operatorname{---}
 <phase id="titles-and-paragraphs">
   <active pattern="check-title-length"/>
   <active pattern="check-para-count"/>
 </phase>
 <!-- The actual patterns: -->
 <pattern id="check-title-length">
   <rule context="title">
     <assert test="string-length(.) le 45">The title is longer than 45 characters</assert>
   </rule>
 </pattern>
 <pattern id="check-para-count">
   <rule context="/*">
     <assert test="count(//para) ge 3">There must be at least 3 paragraphs</assert>
   </rule>
 </pattern>
 <pattern id="check-footnote-references">
    <rule context="footnote-reference">
     <let name="footnote-id" value="@idref"/>
      <assert test="exists(//footnote[@id eq $footnote-id])"> Footnote id <value-</pre>
of select="$footnote-id"/> not found</assert>
   </rule>
 </pattern>
</schema>
```

All patterns now have have identifiers. The two defined phases (in <phase> elements) reference these patterns by identifier.

5.2.3 Exercise 03-03 - Using Diagnostics

One of the possible solutions for this exercise is in solution/solution.sch:

The message is now in a diagnostic that is reference by identifier from the assert.

Adding multiple messages can be done as follows (solution/solution-extra.sch):

```
<schema xmlns="http://purl.oclc.org/dsdl/schematron" queryBinding="xslt3">
 <pattern>
   <rul><rule context="thing">
     <assert test="(@type eq 'normal') or (@type eq 'special')" diagnostics="message-1 things-</pre>
message"/>
   </rule>
 </pattern>
 <pattern>
   <rule context="artifact">
     <assert test="(@type eq 'martian') or (@type eq 'zorkian')" diagnostics="message-1 artifacts-</pre>
message"/>
   </rule>
 </pattern>
 <diagnostics>
   <diagnostic id="message-1"> Invalid type on <value-of select="@name"/>: <value-</pre>
of select="@type"/></diagnostic>
   <diagnostic id="things-message">Things must be normal or special</diagnostic>
    <diagnostic id="artifacts-message">Artifacts must be martian or zorkian/diagnostic>
 </diagnostics>
</schema>
```

5.3 Query Language Binding

5.3.1 Exercise 04-01 - Use an XSLT function

One of the possible solutions for this exercise is in solution/solution.sch:

- Since we're going to use XSLT elements in our Schematron schema, we have to define the XSLT namespace (and bind it here to the prefix xsl). For technical reasons it appear on the <xsl:function> element here, but in general it's better to add it to the root element.
- Define some namespace for the function (#functions) and assign it a prefix (f). As long as its URI doesn't clash with any of the other namespaces in use here, it doesn't matter what it is
- We get the department code upfornt. This is necessary here because an XPath function has no context item and therefore has no access to the document being validated
- Define a very simple function (f:check-code) with one parameter
- And use this function in the assert's test expression