An Introduction to XML and Web Technologies

Schema Languages

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Motivation

- We have designed our Recipe Markup Language
- ...but so far only informally described its syntax
- How can we make tools that check that an XML document is a syntactically correct Recipe Markup Language document (and thus meaningful)?
- Implementing a specialized validation tool for Recipe Markup Language is *not* the solution...

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Objectives

- The **purpose** of using schemas
- The schema languages DTD and XML Schema (and DSD2 and RELAX NG)
- Regular expressions a commonly used formalism in schema languages

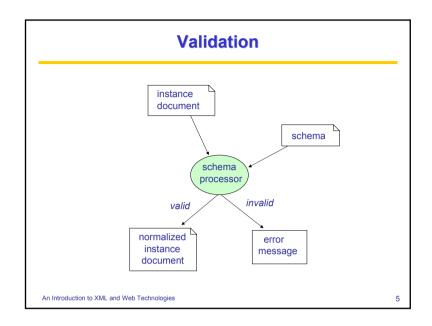
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XML Languages

- XML language:
 - a set of XML documents with some semantics
- schema:
 - a formal definition of the syntax of an XML language
- schema language:
 - a notation for writing schemas

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General Requirements

- Expressiveness
- Efficiency
- Comprehensibility

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Why use Schemas?

- Formal but human-readable descriptions
- Data validation can be performed with existing schema processors

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Regular Expressions

- Commonly used in schema languages to describe sequences of characters or elements
- Σ: an alphabet (typically Unicode characters or element names)
- $\sigma \in \Sigma$ matches the string σ
- α ? matches zero or one α
- α* matches zero or more α's
- α + matches one or more α 's
- α β matches any concatenation of an α and a β
- $\alpha \mid \beta$ matches the union of α and β

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Examples

• A regular expression describing **integers**:

```
0|-?(1|2|3|4|5|6|7|8|9)(0|1|2|3|4|5|6|7|8|9)*
```

 A regular expression describing the valid contents of table elements in XHTML:

```
caption? ( col* | colgroup* ) thead? tfoot? ( tbody+ | tr+ )
```

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Document Type Declarations

- Associates a DTD schema with the instance document

- <!DOCTYPE collection [...]>

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DTD – Document Type Definition

- Defined as a subset of the DTD formalism from SGML
- Specified as an integral part of XML 1.0
- A starting point for development of more expressive schema languages
- Considers elements, attributes, and character data processing instructions and comments are mostly ignored

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Element Declarations

<!ELEMENT element-name content-model >

Content models:

- EMPTY
- ANY
- *mixed content*: (#PCDATA|e₁|e₂|...|e_n)*
- **element content**: regular expression over element names (concatenation is written with ",")

Example:

```
<!ELEMENT table
     (caption?,(col*|colgroup*),thead?,tfoot?,(tbody+|tr+)) >
```

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Attribute-List Declarations

<!ATTLIST element-name attribute-definitions >

Each attribute definition consists of

- an attribute name
- an attribute type
- a default declaration

Example:

<!ATTLIST input maxlength CDATA #IMPLIED
 tabindex CDATA #IMPLIED>

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Attribute Default Declarations

- #REQUIRED
- #IMPLIED (= optional)
- "value" (= optional, but default provided)
- #FIXED "value" (= required, must have this value)

Examples:

```
<!ATTLIST form
    action CDATA #REQUIRED
    onsubmit CDATA #IMPLIED
    method (get|post) "get"
    enctype CDATA "application/x-www-form-urlencoded" >

<!ATTLIST html
    xmlns CDATA #FIXED "http://www.w3.org/1999/xhtml">

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```

Attribute Types

CDATA: any value

• enumeration: $(s_1 | s_2 | ... | s_n)$

• ID: must have unique value

IDREF (/ IDREFS): must match some ID attribute(s)

...

Examples:

```
<!ATTLIST p align (left|center|right|justify) #IMPLIED>
<!ATTLIST recipe id ID #IMPLIED>
<!ATTLIST related ref IDREF #IMPLIED>
```

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Entity Declarations (1/3)

Internal entity declarations – a simple macro mechanism

Example:

· Schema:

<!ENTITY copyrightnotice "Copyright © 2005 Widgets'R'Us.">

Input:

A gadget has a medium size head and a big gizmo subwidget. **©rightnotice**;

• Output:

A gadget has a medium size head and a big gizmo subwidget. Copyright © 2005 widgets'R'Us.

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Entity Declarations (2/3)

 Internal parameter entity declarations – apply to the DTD, not the instance document

Example:

```
· Schema:
```

```
<!ENTITY % Shape "(rect|circle|poly|default)">
```

<!ATTLIST area shape %Shape; "rect">
corresponds to

<!ATTLIST area shape (rect|circle|poly|default) "rect">

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Conditional Sections

 Allow parts of schemas to be enabled/disabled by a switch

Example:

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Entity Declarations (3/3)

 External parsed entity declarations – references to XML data in other files

Example:

- <!ENTITY widgets
 SYSTEM "http://www.brics.dk/ixwt/widgets.xml">
 - not widely used!
- External unparsed entity declarations references to non-XML data

Example:

- <!ENTITY widget-image SYSTEM "http://www.brics.dk/ixwt/widget.gif" NDATA gif >
- <!NOTATION gif
- SYSTEM "http://www.iana.org/assignments/media-types/image/gif">
- <!ATTLIST thing img ENTITY #REQUIRED>

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Checking Validity with DTD

A DTD processor (also called a *validating* XML parser)

- parses the input document (includes checking well-formedness)
- checks the root element name
- for each element, checks its contents and attributes
- checks uniqueness and referential constraints (ID/IDREF(S) attributes)

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RecipeML with DTD (1/2)

```
<!ELEMENT collection (description, recipe*)>
<!ELEMENT description (#PCDATA)>
<!ELEMENT recipe
  (title, date, ingredient*, preparation, comment?,
    nutrition, related*)>
<!ATTLIST recipe id ID #IMPLIED>
<!ELEMENT title (#PCDATA)>
<!ELEMENT date (#PCDATA)>
<!ELEMENT ingredient (ingredient*, preparation)?>
<!ATTLIST ingredient name CDATA #REQUIRED
    amount CDATA #IMPLIED>
```

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Problems with the DTD description

- calories should contain a non-negative number
- protein should contain a value on the form N% where N is between 0 and 100;
- comment should be allowed to appear anywhere in the contents of recipe
- unit should only be allowed in an elements where amount is also present
- nested ingredient elements should only be allowed when amount is absent
- our DTD schema permits in some cases too much and in other cases too little!

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RecipeML with DTD (2/2)

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Limitations of DTD

- Cannot constraint character data
- 2. Specification of attribute values is too limited
- 3. Element and attribute declarations are context insensitive
- Character data cannot be combined with the regular expression content model
- 5. The content models lack an "interleaving" operator
- 6. The support for **modularity**, **reuse**, and **evolution** is too primitive
- The normalization features lack content defaults and proper whitespace control
- 8. Structured embedded self-documentation is not possible
- 9. The **ID/IDREF** mechanism is too simple
- 10. It does not itself use an XML syntax
- 11. No support for namespaces

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Requirements for XML Schema

- W3C's proposal for replacing DTD

Design principles:

- More expressive than DTD
- Use XML notation
- Self-describing
- Simplicity

Technical requirements:

- Namespace support
- User-defined datatypes
- Inheritance (OO-like)
- Evolution
- Embedded documentation
- ...

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Example (1/3)

Instance document:

```
<b:card xmlns:b="http://businesscard.org">
    <b:name>John Doe</b:name>
    <b:title>CEO, Widget Inc.</b:title>
    <b:email>john.doe@widget.com</b:email>
    <b:phone>(202) 555-1414</b:phone>
    <b:logo b:uri="widget.gif"/>
</b:card>
```

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Types and Declarations

- Simple type definition: defines a family of Unicode text strings
- Complex type definition: defines a content and attribute model
- Element declaration: associates an element name with a simple or complex type
- Attribute declaration: associates an attribute name with a simple type

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Example (2/3)

Schema:

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Example (3/3)

```
<complexType name="card_type">
    <sequence>
        <element ref="b:name"/>
        <element ref="b:title"/>
        <element ref="b:email"/>
        <element ref="b:phone" minoccurs="0"/>
        <element ref="b:logo" minoccurs="0"/>
        </sequence>
        </complexType>
        <atribute ref="b:uri" use="required"/>
        </complexType>
</schema>
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```

Element and Attribute Declarations

Examples:

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Connecting Schemas and Instances

Simple Types (Datatypes) - Primitive

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string	any Unicode string
boolean	true, false, 1, 0
decimal	3.1415
float	6.02214199E23
double	42E970
dateTime	2004-09-26T16:29:00-05:00
time	16:29:00-05:00
date	2004-09-26
hexBinary	48656c6c6f0a
base64Binary	SGVsbG8K
anyURI	http://www.brics.dk/ixwt/
QName	rcp:recipe, recipe

Derivation of Simple Types – Restriction

Constraining facets:

length

- maxInclusive
- minLength
- maxExclusive
- maxLength
- minInclusive

• pattern

- minExclusive
- enumeration
- totalDigits
- whiteSpace
- fractionDigits

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Simple Type Derivation – List

matches whitespace separated lists of integers

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Examples

```
<simpleType name="score_from_0_to_100">
    <restriction base="integer">
        <minInclusive value="0"/>
        <maxInclusive value="100"/>
        </restriction>
    </simpleType>

<simpleType name="percentage">
        <restriction base="string">
              <pattern value="([0-9]|[1-9][0-9]|100)%"/>
              </restriction>
        </simpleType>

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```

Simple Type Derivation – Union

Built-In Derived Simple Types

- normalizedString
- token
- language
- Name
- NCName
- ID
- IDREF
- integer

- nonNegativeInteger
- unsignedLong
- long
- int
- short
- byte
- . . .

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Example

Complex Types with Complex Contents

Content models as regular expressions:

Element reference <element ref="name"/>
 Concatenation <sequence> ... </sequence>
 Union <choice> ... </choice>

• All <all> ... </all>

• Element wildcard: <any namespace="..."

processContents="..."/>

• Attribute reference: <attribute ref="..."/>

Attribute wildcard: <anyAttribute namespace="..." processContents="..."/>

Cardinalities: minoccurs, maxoccurs, use

Mixed content: mixed="true"

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Complex Types with Simple Content

```
<complexType name="category">
                                  <complexType name="extended_category">
  <simpleContent>
                                    <simpleContent>
    <extension base="integer">
                                      <extension base="n:category">
      <attribute ref="r:class"/>
                                        <attribute ref="r:kind"/>
    </extension>
                                      </extension>
  </simpleContent>
                                    </simpleContent>
</complexType>
                                  </complexType>
       <complexType name="restricted_category">
         <simpleContent>
           <restriction base="n:category">
             <totalDigits value="3"/>
             <attribute ref="r:class" use="required"/>
           </restriction>
         </simpleContent>
       </complexType>
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                                                                        40
```

Derivation with Complex Content <complexType name="basic_card_type"> <seauence> <element ref="b:name"/> </sequence> </complexType> <complexType name="extended_type"> <complexType name="further_derived"> <complexContent> <complexContent> <extension base=</pre> <restriction base= "b:basic_card_type"> "b:extended_type"> <sequence> <sequence> <element ref="b:title"/> <element ref="b:name"/> <element ref="b:email" <element ref="b:title"/> minOccurs="0"/> <element ref="b:email"/> </sequence> </sequence> </extension> </restriction> </complexContent> </complexContent> </complexType> </complexType> Note: restriction is not the opposite of extension! An Introduction to XML and Web Technologies 41

Global vs. Local Descriptions

- Local type definitions are anonymous
- Local element/attribute declarations can be overloaded

 a simple form of context sensitivity
 (particularly useful for attributes!)
- Only globally declared elements can be starting points for validation (e.g. roots)
- Local definitions permit an alternative namespace semantics (explained later...)

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Global vs. Local Descriptions Global (toplevel) style: Local (inlined) style: <element name="card" <element name="card"> inlined type="b:card_type"/> <complexType> 1 <element name="name" <seauence> type="string"/> <element name="name" type="string"/> <complexType name="card_type"> <sequence> </sequence> <element ref="b:name"/> </complexType> </element> </sequence> </complexType> An Introduction to XML and Web Technologies

Requirements to Complex Types

 Two element declarations that have the same name and appear in the same complex type must have identical types

```
<complexType name="some_type">
<choice>
<clement name="foo" type="string"/>
<element name="foo" type="integer"/>
</choice
</complexType>
```

- · This requirement makes efficient implementation easier
- all can only contain element (e.g. not sequence!)
 - so we cannot use all to solve the problem with comment in RecipeML
- ...

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Namespaces

- <schema targetNamespace="..." ...>
- Prefixes are also used in certain attribute values!
- Unqualified Locals:
 - if enabled, the name of a locally declared element or attribute in the instance document must have no namespace prefix (i.e. the empty namespace URI)
 - such an attribute or element "belongs to" the element declared in the surrounding global definition
 - always change the default behavior using elementFormDefault="qualified"

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Substitution Groups

- Assume D is (in some number of steps) derived from B,
 E_D is an element declaration of type D, and
 E_B is an element declaration of type B
- If E_D is in substitution group of E_B then an E_D element may be used whenever an E_B is required
- (This is subsumption based on element declarations, not on types)

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Derived Types and Subsumption

- Assume that
 - T is some type
 - *T* is derived from *T* by restriction
 - *T*+ is derived from *T* by extension
- **Subsumption:** Whenever a *T* instance is required,
 - a T- instance may be used instead (trivial)
 - a T+ instance may be used instead if the instance has xsi:type="T+" (with xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance")
- Derivation, instantiation, and subsumption can be constrained using final, abstract, and block

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Uniqueness, Keys, References

```
<element name="w:widget" xmlns:w="http://www.widget.org">
   <complexType>
                                in every widget, each part must have
                                unique (manufacturer, productid)
   </complexType>
   <key name="my_widget_key">
     <selector xpath="w:components/w:part"/>
     <field xpath="@manufacturer"/>
                                                only a "downward"
     <field xpath="w:info/@productid"/>
                                                subset of XPath is used
   <keyref name="annotation_references" refer="w:my_widget_key">
     <selector xpath=".//w:annotation"/>
     <field xpath="@manu"/>
     <field xpath="@prod"/>
   </keyref>
                          in every widget, for each annotation,
 </element>
                         (manu, prod) must match a my_widget_key
unique: as key, but fields may be absent
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```

Other Features in XML Schema

- Groups
- Nil values
- Annotations
- Defaults and whitespace
- Modularization
- read the book chapter

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RecipeML with XML Schema (2/5)

```
<element name="recipe">
    <complexType>
      <sequence>
        <element name="title" type="string"/>
        <element name="date" type="string"/>
        <element ref="r:ingredient" minoccurs="0" maxoccurs="unbounded"/>
        <element ref="r:preparation"/>
        <element name="comment" type="string" minOccurs="0"/>
        <element ref="r:nutrition"/>
        <element ref="r:related" minOccurs="0" maxOccurs="unbounded"/>
      </sequence>
      <attribute name="id" type="NMTOKEN"/>
    </complexType>
  </element>
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                                                                                51
```

RecipeML with XML Schema (1/5)

```
<schema xmlns="http://www.w3.org/2001/XMLSchema"</pre>
       xmlns:r="http://www.brics.dk/ixwt/recipes"
       targetNamespace="http://www.brics.dk/ixwt/recipes"
       elementFormDefault="qualified">
 <element name="collection">
   <complexType>
     <sequence>
       <element name="description" type="string"/>
       <element ref="r:recipe" minOccurs="0" maxOccurs="unbounded"/>
     </sequence>
   <unique name="recipe-id-uniqueness">
     <selector xpath=".//r:recipe"/>
     <field xpath="@id"/>
    </unique>
    <keyref name="recipe-references" refer="r:recipe-id-uniqueness">
     <selector xpath=".//r:related"/>
     <field xpath="@ref"/>
   </keyref>
  </element>
```

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RecipeML with XML Schema (3/5)

```
<element name="ingredient">
    <complexType>
     <sequence minOccurs="0">
        <element ref="r:ingredient" minOccurs="0" maxOccurs="unbounded"/>
        <element ref="r:preparation"/>
      <attribute name="name" use="required"/>
      <attribute name="amount" use="optional">
        <simpleType>
          <union>
            <simpleType>
              <restriction base="r:nonNegativeDecimal"/>
            </simpleType>
            <simpleType>
              <restriction base="string">
                <enumeration value="*"/>
              </restriction>
            </simpleType>
          </union>
        </simpleType>
      </attribute>
      <attribute name="unit" use="optional"/>
    </complexType>
  </element>
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                                                                                52
```

RecipeML with XML Schema (4/5)

```
<element name="preparation">
   <complexTvpe>
     <sequence>
       <element name="step" type="string" minOccurs="0" maxOccurs="unbounded"/>
     </sequence>
   </complexType>
 </element>
 <element name="nutrition">
   <complexType>
     <attribute name="calories" type="r:nonNegativeDecimal" use="required"/>
     <attribute name="protein" type="r:percentage" use="required"/>
     <attribute name="carbohydrates" type="r:percentage" use="required"/>
     <attribute name="fat" type="r:percentage" use="required"/>
     <attribute name="alcohol" type="r:percentage" use="optional"/>
   </complexType>
 </element>
 <element name="related">
   <complexType>
     <attribute name="ref" type="NMTOKEN" use="required"/>
   </complexType>
 </element>
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                                                                               53
```

Problems with the XML Schema description

- calories should conted a non-negative number
 protein should 501ved value on the form N% where N is between 0 and 100;
- comment should be allowed to appear anywhere in the contents of recipe
- unit should only be allowed in an elements where amount is also present
- nested ingredient elements should only be allowed when amount is absent
- even XML Schema has insufficient expressiveness!

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RecipeML with XML Schema (5/5)

```
<simpleType name="nonNegativeDecimal">
   <restriction base="decimal">
     <minInclusive value="0"/>
   </restriction>
 </simpleType>
 <simpleType name="percentage">
   <restriction base="string">
     <pattern value="([0-9]|[1-9][0-9]|100)%"/>
 </simpleType>
</schema>
```

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Limitations of XML Schema

- The details are extremely **complicated** (and the spec is unreadable)
- Declarations are (mostly) context insentitive
- It is impossible to write an XML Schema description of XML Schema
- With mixed content, character data cannot be constrained 4.
- Unqualified local elements are bad practice 5.
- 6. Cannot require specific root element
- Element defaults cannot contain markup
- 8. The type system is overly complicated
- xsi:type is problematic
- Simple type definitions are inflexible

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Strengths of XML Schema

- Namespace support
- Data types (built-in and derivation)
- Modularization
- Type derivation mechanism

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RELAX NG

- OASIS + ISO competitor to XML Schema
- Validation only (no normalization)
- Designed for simplicity and expressiveness, solid mathematical foundation

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Document Structure Description 2.0

- read the book chapter

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Processing Model

- For a valid instance document, the root element must match a designated pattern
- A pattern may match elements, attributes, or character data
- Element patterns can contain sub-patterns, that describe contents and attributes

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Patterns – Regular Hedge Expressions

```
    <element name="..."> ... </element>
    <attribute name="..."> ... </attribute>
    <attribute name="..."> ... </attribute name="..."
```

Grammars

 Pattern definitions and references allow description of recursive structures

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Example

Other Features in RELAX NG

- Name classes
- Datatypes (based on XML Schema's datatypes)
- Modularization
- An alternative compact, non-XML syntax
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RecipeML with RELAX NG (1/5)

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RecipeML with RELAX NG (3/5)

```
<define name="element-ingredient">
 <element name="ingredient">
   <attribute name="name"/>
    <choice>
      <group>
       <attribute name="amount">
         <choice><value>*</value><ref name="NUMBER"/></choice>
       </attribute>
       <optional><attribute name="unit"/></optional>
      </group>
      <group>
       <zeroOrMore><ref name="element-ingredient"/></zeroOrMore>
       <ref name="element-preparation"/>
      </group>
    </choice>
  </element>
</define>
```

RecipeML with RELAX NG (2/5)

```
<interleave>
    <group>
    <element name="title"><text/></element>
    <element name="date"><text/></element>
    <zeroOrMore><ref name="element-ingredient"/></zeroOrMore>
    <ref name="element-preparation"/>
    <element name="nutrition">
         <ref name="attributes-nutrition"/>
         </element>
         <zeroOrMore><ref name="element-related"/></zeroOrMore>
         </group>
         <optional><element name="comment"><text/></element>
```

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RecipeML with RELAX NG (4/5)

```
<define name="element-preparation">
    <element name="preparation">
      <zeroOrMore><element name="step"><text/></element></zeroOrMore>
    </element>
  </define>
  <define name="attributes-nutrition">
    <attribute name="calories"><ref name="NUMBER"/></attribute>
    <attribute name="protein"><ref name="PERCENTAGE"/></attribute>
    <attribute name="carbohydrates"><ref name="PERCENTAGE"/></attribute>
    <attribute name="fat"><ref name="PERCENTAGE"/></attribute>
    <optional>
      <attribute name="alcohol"<ref name="PERCENTAGE"/></attribute>
    </optional>
  </define>
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                                                                                68
```

RecipeML with RELAX NG (5/5)

```
<define name="element-related">
    <element name="related">
     <attribute name="ref">
       <data datatypeLibrary="http://relaxng.org/..." type="IDREF"/>
   </element>
  </define>
  <define name="PERCENTAGE">
   <data type="string">
     <param name="pattern">([0-9]|[1-9][0-9]|100)%</param>
    </data>
  </define>
 <define name="NUMBER">
   <data type="decimal"><param name="minInclusive">0</param></data>
 </define>
</grammar>
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```

Essential Online Resources

- http://www.w3.org/TR/xml11/
- http://www.w3.org/TR/xmlschema-1/
- http://www.w3.org/TR/xmlschema-2/

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Summary

- **schema**: formal description of the syntax of an XML language
- DTD: simple schema language
 - · elements, attributes, entities, ...
- XML Schema: more advanced schema language
 - · element/attribute declarations
 - simple types, complex types, type derivations
 - · global vs. local descriptions

• ...

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