

# 1 **Service Modeling Language**

2 **Draft Specification**

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57 **Abstract**

58 This specification defines the Service Modeling Language (SML) used to model  
59 complex IT services and systems, including their structure, constraints, policies, and  
60 best practices. SML is based on a profile on XML Schema and Schematron.

61 **Status**

62 This specification is the first draft of a work in progress. It is being published to  
63 solicit feedback. A feedback agreement is required before the working group can  
64 accept feedback. Please contact [sml-feedback@external.cisco.com](mailto:sml-feedback@external.cisco.com) for details.

65 At some future date, the contents may be published under another name or under  
66 several new specifications, as shall be agreed by the authors and their respective  
67 corporations at that time.

68

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141

## 142 **1. Introduction**

143 The Service Modeling Language (SML) provides a rich set of constructs for creating  
144 models of complex IT services and systems. These models typically include  
145 information about configuration, deployment, monitoring, policy, health, capacity  
146 planning, target operating range, service level agreements, and so on. Models  
147 provide value in several important ways.

- 148 1. Models focus on capturing all **invariant aspects** of a service/system that  
149 must be maintained for the service/system to be functional.
  
- 150 2. Models are units of **communication and collaboration** between designers,  
151 implementers, operators, and users; and can easily be shared, tracked, and  
152 revision controlled. This is important because complex services are often built  
153 and maintained by a variety of people playing different roles.
  
- 154 3. Models drive **modularity, re-use, and standardization**. Most real-world  
155 complex services and systems are composed of sufficiently complex parts.  
156 Re-use and standardization of services/systems and their parts is a key factor  
157 in reducing overall production and operation cost and in increasing reliability.
  
- 158 4. Models represent a powerful mechanism for **validating changes** *before*  
159 applying the changes to a service/system. Also, when changes happen in a  
160 running service/system, they can be validated against the intended state  
161 described in the model. The actual service/system and its model together  
162 enable a *self-healing service/system* – the ultimate objective. *Models of a*  
163 *service/system must necessarily stay decoupled from the live service/system*  
164 *to create the control loop*
  
- 165 5. Models enable increased **automation** of management tasks. Automation  
166 facilities exposed by the majority of IT services/systems today could be  
167 driven by software – not people – for reliable initial realization of a  
168 service/system as well as for ongoing lifecycle management.

170 A model in SML is realized as a set of interrelated XML documents. The XML  
171 documents contain information about the parts of an IT service, as well as the  
172 constraints that each part must satisfy for the IT service to function properly.  
173 Constraints are captured in two ways:

- 174 1. **Schemas** – these are constraints on the structure and content of the  
175 documents in a model. SML uses a profile of XML Schema 1.0 [2,3] as the  
176 schema language. SML also defines a set of extensions to XML Schema to  
177 support inter-document references.
  
- 178 2. **Rules** – are Boolean expressions that constrain the structure and content of  
179 documents in a model. SML uses a profile of Schematron [4,5,6] and XPath  
180 1.0 [9] for rules.

181 Once a model is defined, one of the important operations on the model is to establish  
182 its validity. This involves checking whether all data in a model satisfies the schemas  
183 and rules declared.

184 This specification focuses primarily on defining the profile of XML Schema and  
185 Schematron used by SML, as well as the process of model validation. It is assumed  
186 that the reader is familiar with XML Schema and Schematron.

## 187 **2. Notations and Terminology**

### 188 **2.1 Notational Conventions**

189 In this document, the keywords "MUST", "MUST NOT", "REQUIRED", "SHALL",  
190 "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and  
191 "OPTIONAL" are to be interpreted as described in RFC 2119 [13].

### 192 **2.2 Terminology**

193 Document

194 A well-formed XML 1.0 document (see [12] for a detailed definition)

195 Model

196 A set of inter-related documents that describe an IT service or system. Each  
197 model consists of two disjoint subsets of documents –definition documents  
198 and instance documents.

199 Rule

200 A Boolean expression that constrains the structure and content of a set of  
201 documents in a model.

202 Model Definition

203 The subset of documents in a model that describes the schemas and rules  
204 that govern the structure and content of the model's documents. This  
205 specification defines two types of model-definition documents - XML Schema  
206 documents that conform to SML's profile of XML Schema and rule documents  
207 that conform to SML's profile of Schematron – but permits implementations to  
208 define other types of model definition documents. Such other types of model  
209 definition documents do not play any role in SML model validation.

210 Model Instance

211 The subset of documents in a model that describe the structure and content  
212 of the modeled entities.

213 Model Validation

214 The process of verifying that all documents in a model are valid with respect  
215 to the model's definition documents.

216 Model Validator

217 An embodiment capable of performing model validation

### 218 **2.3 XML Namespaces**

219 Table 1 lists XML namespaces that are used in this specification. The choice of any  
220 namespace prefix is arbitrary and not semantically significant.

221

222

223 **Table 1: XML Namespaces used in this specification.**

Prefix	XML Namespace	Specification(s)
sml	<a href="http://schemas.serviceml.org/sml/2007/02">http://schemas.serviceml.org/sml/2007/02</a>	This specification
smlerr	<a href="http://schemas.serviceml.org/smlerr/2007/02">http://schemas.serviceml.org/smlerr/2007/02</a>	This specification
smlfn	<a href="http://schemas.serviceml.org/sml/function/2006/07">http://schemas.serviceml.org/sml/function/2006/07</a>	This specification
wsa	<a href="http://www.w3.org/2005/08/addressing">http://www.w3.org/2005/08/addressing</a>	[ <a href="#">WS Addressing Core</a> ]
xs	<a href="http://www.w3.org/2001/XMLSchema">http://www.w3.org/2001/XMLSchema</a>	[ <a href="#">XML Schema</a> ]
sch	<a href="http://purl.oclc.org/dsdl/schematron">http://purl.oclc.org/dsdl/schematron</a>	[ <a href="#">Schematron</a> ]
xsi	<a href="http://www.w3.org/2001/XMLSchema-instance">http://www.w3.org/2001/XMLSchema-instance</a>	[ <a href="#">Xml Schema Instance</a> ]

### 224 3. Schemas

225 SML uses a profile of W3C XML Schema 1.0 to define constraints on the structure of  
226 data in a model.

227 SML scenarios require several features that either do not exist or are not fully  
228 supported in XML Schema. These features can be classified as follows:

- 229 • **References** – XML Schema does not have any support for *inter-document*  
230 references, although it does support *intra-document* references through  
231 `xs:ID`, `xs:IDREF`, `xs:key` and `xs:keyref`. Inter-document references are  
232 fundamental to SML since a document is a unit of versioning. SML extends  
233 XML Schema to support inter-document references and a set of constraints on  
234 inter-document references.
- 235 • **Rules** – XML Schema does not support a language for defining arbitrary rules  
236 on the structure and content of XML documents. SML uses Schematron to  
237 express assertions on the structure and content of XML documents.

238 XML Schema supports two forms of extension: “attributes in different namespace”  
239 and “application information elements”; both forms are used by SML extensions.

#### 240 3.1 XML Schema Profile

241 SML supports a strict subset of XML Schema 1.0. This section describes the XML  
242 Schema features that are not supported or have limited support in SML. A  
243 justification is provided for each feature. A model validator MUST reject a model if  
244 the model’s definition documents contain one/more XML Schema documents with  
245 any of these features.

##### 246 3.1.1 <xs:redefine>

247 `xs:redefine` is not supported in SML and MUST NOT be used in any schema  
248 document that is a part of a model’s definition documents.

249 `xs:redefine` is a feature for schema evolution and versioning in XML Schema. This  
250 feature enables schema authors to define a new version of a schema component,  
251 and completely replace the original schema component with the new version. XML  
252 Schema does not guarantee that the new version of the component is compatible



253 with the original component. Thus, it is possible to break existing schema  
254 components that depend on the original component.

### 255 **3.1.2 Unqualified Local Elements**

256 Unqualified local elements are not supported in SML and MUST NOT be used in any  
257 schema document that is a part of a model's definition documents.

258 Local element declarations MUST describe elements with qualified names. This can  
259 be done, for example, by specifying `elementFormDefault="qualified"` on  
260 `<xs:schema>` or by specifying `form="qualified"` on local `<xs:element>`.

261 This is to avoid element name collisions, and maintain a consistent naming approach  
262 especially when dealing with different schemas.

### 263 **3.1.3 targetNamespace on <xs:schema>**

264 `targetNamespace` on `xs:schema` MUST always be specified in all schema documents  
265 that are a part of a model's definition documents.

266 XML schemas without target namespaces are not supported. They do not work well  
267 with XPath expressions used in constraints within the schema.

## 268 **3.2 References**

269 XML documents introduce boundaries across content that needs to be treated as a  
270 unit. XML Schema does not have any support for inter-document references. SML  
271 extends XML Schema to support inter-document references and a set of constraints  
272 on inter-document references.

273 Support for inter-document references includes:

- 274 • A new data type that represents references to elements in other documents.
- 275 • Multiple addressing schemes for representing references.
- 276 • Constraints on the type of a referenced element.
- 277 • The ability to define key, unique, and key reference constraints across inter-  
278 document references.

279 An SML reference is a link from one element to another. It can be represented by  
280 using a variety of schemes, such as Uniform Resource Identifiers (URIs) [7] and  
281 Endpoint References (EPRs) [8]. SML does not mandate the use of any specific  
282 scheme for representing references; implementations are free to choose suitable  
283 schemes for representing references. References MUST be supported by model  
284 validators that conform to this specification.

285 References MUST be identified by `sml:ref="true"` where `sml:ref` is a global  
286 attribute whose definition is as follows:

```
287     <xs:attribute name="ref" type="xs:boolean"/>  
288
```

289 An element that has `sml:ref="true"` MUST be treated as a reference element, i.e.,  
290 its child elements MAY contain a reference represented in one or more schemes. This  
291 mechanism enables schema-less identification of reference elements, i.e., reference  
292 elements can be identified without relying on PSVI.

293  
294 The following example illustrates the use of `sml:ref`. Consider the following schema  
295 fragment:  
296

```

297
298 <xs:element name="EnrolledCourse">
299   <xs:complexType>
300     <xs:sequence>
301       <xs:element name="Name" type="xs:string"/>
302       <xs:element name="Grade" type="xs:string"/>
303       <xs:any namespace="##any" minOccurs="0"
304         maxOccurs="unbounded" processContents="lax"/>
305     </xs:sequence>
306     <xs:anyAttribute namespace="##any" processContents="lax"/>
307   </xs:complexType>
308 </xs:element>
309
310 <xs:complexType name="StudentType">
311   <xs:sequence>
312     <xs:element name="ID" type="xs:string"/>
313     <xs:element name="Name" type="xs:string"/>
314     <xs:element name="EnrolledCourses" minOccurs="0">
315       <xs:complexType>
316         <xs:sequence>
317           <xs:element ref="tns:EnrolledCourse"
318             maxOccurs="unbounded"/>
319         </xs:sequence>
320       </xs:complexType>
321     </xs:element>
322   </xs:sequence>
323 </xs:complexType>
324

```

325 The schema definition in the above example is SML agnostic and does not make use  
326 of any SML attributes, elements, or types. The `EnrolledCourse` element, however,  
327 has an open content model and this can be used to mark instances of  
328 `EnrolledCourse` as reference elements as shown below:  
329

```

330
331 <Student xmlns="urn:university"
332         xmlns:sml="http://schemas.serviceml.org/sml/2007/02"
333         xmlns:wsa="http://www.w3.org/2005/08/addressing">
334   <ID>1000</ID>
335   <Name>John Doe</Name>
336   <EnrolledCourses>
337     <EnrolledCourse sml:ref="true">
338       <Name>PHY101</Name>
339       <Grade>A</Grade>
340       <sml:uri>
341         /Universities/MIT/Courses.xml#xmlns(u=urn:university)
342         xpointer(/u:Courses/u:Course[u:Name='PHY101'])
343       </sml:uri>
344       <wsa:EndpointReference>
345         <wsa:Address>http://www.university.example</wsa:Address>
346         <wsa:ReferenceParameters>
347           <University>
348             <Name>MIT</Name>
349           </University>
350           <Course>
351             <Name>PHY101</Name>
352           </Course>
353         </wsa:ReferenceParameters>
354       </wsa:EndpointReference>
355     </EnrolledCourse>
356     <EnrolledCourse sml:ref="false">
357       <Name>MAT100</Name>
358       <Grade>B</Grade>
359       <sml:uri>
360         /Universities/MIT/Courses.xml#xmlns(u=urn:university)
361         xpointer(/u:Courses/u:Course[u:Name='MAT100'])
362       </sml:uri>
363     </EnrolledCourse>
364     <EnrolledCourse>
365       <Name>SocialSkills</Name>
366       <Grade>F</Grade>
367     </EnrolledCourse>
368   </EnrolledCourses>
369 </Student>
370

```

371 The first `EnrolledCourse` element in the above example is a reference element since  
372 it specifies `sml:ref="true"`. Assuming that references are represented in URI and  
373 EPR schemes, it has two representations of the reference to the element for course  
374 `PHY101`. The second and third `EnrolledCourse` elements are not reference elements;  
375 the second element specifies `sml:ref="false"` and the third element does not  
376 specify the `sml:ref` attribute. Note that the second element has a child element that  
377 contains a reference to course `MAT100`, but this reference will be ignored since  
378 `sml:ref="false"` for the second element.

379  
380 A reference element MAY be empty or have a null value provided that this is allowed  
381 by the element's schema. For example, consider the following variation of the  
382 `EnrolledCourse` element definition:  
383

```

384
385 <xs:element name="EnrolledCourse" nillable="true">
386   <xs:complexType>
387     <xs:sequence>
388       <xs:element name="Name" type="xs:string"/>
389       <xs:element name="Grade" type="xs:string"/>
390       <xs:any namespace="##any" minOccurs="0"
391         maxOccurs="unbounded" processContents="lax"/>
392     </xs:sequence>
393     <xs:anyAttribute namespace="##any" processContents="lax"/>
394   </xs:complexType>
395 </xs:element>

```

The above definition allows null values for instances of `EnrolledCourse`. Thus, an `EnrolledCourse` reference element can have null value as shown in the following example (the first `EnrolledCourse` element has null value):

```

399
400 <Student xmlns="urn:university"
401         xmlns:sml="http://schemas.serviceml.org/sml/2007/02"
402         xmlns:wsa="http://www.w3.org/2005/08/addressing">
403   <ID>1000</ID>
404   <Name>John Doe</Name>
405   <EnrolledCourses>
406     <EnrolledCourse sml:ref="true" xsi:nil="true"/>
407     <EnrolledCourse sml:ref="false">
408       <Name>MAT100</Name>
409       <Grade>B</Grade>
410       <sml:uri>
411         /Universities/MIT/Courses.xml#xmlns (u=urn:university)
412         xpointer (/u:Courses/u:Course [u:Name=' MAT100' ])
413       </sml:uri>
414     </EnrolledCourse>
415     <EnrolledCourse>
416       <Name>SocialSkills</Name>
417       <Grade>F</Grade>
418     </EnrolledCourse>
419   </EnrolledCourses>
420 </Student>
421
422

```

SML also supports several schema-based constraints on references. The `sml:refType` type has been defined to allow model authors to make use of these schema-based constraints in their model's schema. The definition of `sml:refType` fixes the value of `sml:ref` to `true`, and hence all elements of type `sml:refType` are reference elements. The `sml:refType` is defined as follows:

```

428
429 <xs:complexType name="refType" sml:acyclic="false">
430   <xs:sequence>
431     <xs:any namespace="##any" minOccurs="0"
432       maxOccurs="unbounded"
433       processContents="lax"/>
434   </xs:sequence>
435   <xs:attribute ref="sml:ref" use="required"
436     fixed="true" />
437   <xs:anyAttribute namespace="##any"
438     processContents="lax"/>
439 </xs:complexType>

```

440 Note that the above definition allows elements and attributes from any namespace to  
441 occur in an element whose type is `sml:refType`. Thus, a scheme for references can  
442 be implemented by defining an XML namespace for the scheme, and references can  
443 be represented in this scheme by nesting element and attribute instances from this  
444 namespace as attributes and children of `sml:refType` elements.

445 The following example illustrates the use of `sml:refType` :

```
446 <xs:element name="EnrolledCourse" type="sml:refType"  
447           sml:targetType="tns:CourseType"/>  
448  
449 <xs:complexType name="StudentType">  
450   <xs:sequence>  
451     <xs:element name="ID" type="xs:string"/>  
452     <xs:element name="Name" type="xs:string"/>  
453     <xs:element name="EnrolledCourses" minOccurs="0">  
454       <xs:complexType>  
455         <xs:sequence>  
456           <xs:element ref="tns:EnrolledCourse"  
457                     maxOccurs="unbounded"/>  
458         </xs:sequence>  
459       </xs:complexType>  
460     </xs:element>  
461   </xs:sequence>  
462 </xs:complexType>
```

463 The `EnrolledCourse` element declaration is of type `sml:refType` which marks it as  
464 a document reference, and this element declaration is used in `StudentType` to  
465 reference the elements corresponding to the courses in which a student is enrolled.

466 Examples of the use of `sml:refType` for `EnrolledCourse` are found in the section,  
467 [Reference Schemes](#). This section demonstrates the use of the URI and EPR schemes  
468 to define the reference.

### 469 3.2.1 Reference Semantics

#### 470 3.2.1.1 At Most One Target

471 Every reference MUST target (or resolve to) at most one element in a model.  
472 Dangling references are allowed in SML; therefore it is possible that the target of a  
473 reference does not exist in a model. It is an error if a reference targets more than  
474 one element in a model.

475 If a single reference is represented by multiple schemes, every representation MUST  
476 target the same element. Validators MAY check this condition if they understand  
477 more than one scheme used to represent the same reference.

#### 478 3.2.1.2 Multiple References

479 An element in a document MAY be targeted by multiple different references. These  
480 references may use different schemes and/or be expressed in different ways.

#### 481 3.2.1.3 Empty or Null References

482 A reference element, i.e., an element with `sml:ref="true"`, can have  
483 `xsi:nil="true"` or no content, provided that this is allowed by the element's  
484 schema definition. A model validator MUST treat such an element as if the reference  
485 were not present.

#### 486 3.2.1.4 *deref()* XPath Extension Function

487 Each model validator MUST provide an implementation of the `deref()` XPath  
488 extension function that is capable of resolving references expressed in the model  
489 validator's chosen scheme(s). This function takes a node-set of elements and returns  
490 a node-set consisting of element nodes corresponding to the elements referenced by  
491 the input node set. In particular, for each node **R** in the input node set the output  
492 node set contains at most one element node.

- 493 • The output node set contains one element node for **R** provided that all of the  
494 following conditions are true
  - 495 ○ `sml:ref="true"` for **R**
  - 496 ○ **R** contains at least one reference scheme that is understood by the  
497 implementation
  - 498 ○ The reference targets a single element in some document in the model
- 499 • The output node set contains no element node corresponding to **R** if any of  
500 the following conditions is true
  - 501 ○ the target of **R** is not in the model
  - 502 ○ **R** is an empty or null reference
  - 503 ○ **R** does not contain any reference scheme that is understood by the  
504 implementation
  - 505 ○ `sml:ref` is not specified for **R**
  - 506 ○ `sml:ref = "false"` is specified for **R**

### 507 3.3 Reference Schemes

508 A reference MAY be represented by using a variety of schemes, and SML does not  
509 mandate the use of any specific schemes. Uniform Resource Identifiers (URIs) [7]  
510 and endpoint references (EPRs) [8] are two common schemes for referencing  
511 resources. Although SML does not require the use of either scheme, it does define  
512 how a reference MUST be represented using the URI scheme and the EPR scheme.

#### 513 3.3.1 URI Scheme

514 References that are represented using the URI scheme MUST be implemented by  
515 using the `sml:uri` global element as a child of reference elements, i.e., elements for  
516 which `sml:ref="true"`. More precisely, if a model validator chooses to represent  
517 references using the URI scheme,

- 518 • It MUST represent each reference using an instance of the `sml:uri` global  
519 element declaration as a child of the reference element.
- 520 • It MUST treat each instance of the `sml:uri` global element declaration,  
521 whose parent element is a reference element, as a reference represented in  
522 the URI scheme, and MUST attempt to resolve such references.

523 For example, if the reference in `EnrolledCourse` element is represented using the  
524 URI scheme, an instance of `EnrolledCourse` will appear as follows:

```
525 <EnrolledCourse xmlns="urn:university" sml:ref="true">  
526   <sml:uri>SomeValidUri</sml:uri>  
527 </EnrolledCourse>
```

528 where `SomeValidUri` is a valid URI as defined in [7].

529 Suppose that a model has the following documents, and each document has an  
530 associated URI:

Document	URI
Course PHY101	/Universities/MIT/Courses/PHY101.xml
Course MAT200	/Universities/MIT/Courses/MAT200.xml
Student 1000	/Universities/MIT/Students/1000.xml
Student 1001	/Universities/MIT/Students/1001.xml

531

532 The following is a sample instance document for Student 1000 where the references  
533 are represented in the URI scheme:

```
534 <Student xmlns="urn:university">  
535   <ID>1000</ID>  
536   <Name>John Doe</Name>  
537   <EnrolledCourses>  
538     <EnrolledCourse sml:ref="true">  
539       <sml:uri>/Universities/MIT/Courses/PHY101.xml</sml:uri>  
540     </EnrolledCourse>  
541     <EnrolledCourse sml:ref="true">  
542       <sml:uri>/Universities/MIT/Courses/MAT200.xml</sml:uri>  
543     </EnrolledCourse>  
544   </EnrolledCourses>  
545 </Student>
```

### 546 3.3.1.1 Fragment Identifier

547 Fragment identifiers in references that are represented using the URI scheme MUST  
548 use the following XPointer [10] profile: Only two schemes – `xmlns()` and `xpointer()` –  
549 are supported.

- 550 • The expression specified for the `xpointer` scheme MUST be a restricted XPath  
551 1.0 [9] expression that MUST resolve to at most one element node. In  
552 particular, this expression MUST NOT contain
  - 553 ○ the union ("|") operator defined for XPath 1.0
  - 554 ○ `point()` and `range()` node tests defined for the `xpointer()` scheme
- 555 • This expression can only use the functions defined in the XPath 1.0 core  
556 function library (see [9] for details). It MUST NOT use the `smlfn:deref`  
557 function and/or the following functions defined for `xpointer()` scheme (see  
558 [11] for details):
  - 559 ○ `range-to`
  - 560 ○ `string-range`
  - 561 ○ `range`
  - 562 ○ `range-inside`
  - 563 ○ `start-point`

- 564           o end-point
- 565           o here
- 566           o origin

567 The following example illustrates the use of xpointer fragments. Consider the case  
 568 where all courses offered by MIT are stored in a single XML document – Courses.xml  
 569 – whose URI is /Universities/MIT/Courses.xml. In this case, the element inside  
 570 Courses.xml that corresponds to the course PHY101 can be referenced as follows  
 571 (assuming that Courses is the root element in Courses.xml)

```
572 <Student xmlns="urn:university">
573   <ID>1000</ID>
574   <Name>John Doe</Name>
575   <EnrolledCourses>
576     <EnrolledCourse sml:ref="true">
577       <sml:uri>
578         /Universities/MIT/Courses.xml#xmlns(u=urn:university)
579         xpointer(/u:Courses/u:Course[u:Name='PHY101'])
580       </sml:uri>
581     </EnrolledCourse>
582   </EnrolledCourses>
583 </Student>
```

584 A reference element can also be used to reference an element in its own document. To  
 585 see this consider the following instance document

```
586 <University xmlns="urn:university">
587   <Name>MIT</Name>
588   <Courses>
589     <Course>
590       <Name>PHY101</Name>
591     </Course>
592     <Course>
593       <Name>MAT200</Name>
594     </Course>
595   </Courses>
596   <Students>
597     <Student>
598       <ID>123</ID>
599       <Name>Jane Doe</Name>
600       <EnrolledCourses>
601         <EnrolledCourse sml:ref="true">
602           <sml:uri>
603             #xmlns(u=urn:university)
604             xpointer(/u:University/u:Courses/u:Course[u:Name='MAT200'])
605           </sml:uri>
606         </EnrolledCourse>
607       </EnrolledCourses>
608     </Student>
609   </Students>
610 </University>
```

612 Here, the EnrolledCourse element for the student Jane Doe references the Course  
 613 element for MAT200 in the same document.



614 **3.3.2 EPR Scheme**

615 References that are represented using the EPR scheme MUST be implemented by  
616 using instances of `wsa:EndpointReference` global element declaration [8] as child  
617 elements of reference elements. The following example illustrates how the  
618 `EnrolledCourse` reference that references course PHY101 in MIT university can be  
619 represented using the EPR scheme:

620

```
621 <EnrolledCourse xmlns="urn:university" sml:ref="true">
622   <wsa:EndpointReference
623     xmlns:u="http://www.university.example/schema">
624     <wsa:Address>http://www.university.example</wsa:Address>
625     <wsa:ReferenceParameters>
626       <u:University>
627         <u:Name>MIT</u:Name>
628       </u:University>
629       <u:Course>
630         <u:Name>PHY101</u:Name>
631       </u:Course>
632     </wsa:ReferenceParameters>
633   </wsa:EndpointReference>
634 </EnrolledCourse>
```

635 **3.4 Constraints on References**

636 SML supports several attributes for expressing constraints on references. All of  
637 these attributes (with the sole exception of `sml:acyclic`) can only be specified for  
638 element declarations of type `sml:refType` or a derived type of `sml:refType`. The  
639 `sml:acyclic` attribute can only be specified on derived types of `sml:refType`  
640 (`sml:acyclic="false"` is specified for `sml:refType`).

641 The following table lists the various attributes and elements for constraining  
642 references:

643 **Attributes**

Name	Description
<code>sml:acyclic</code>	Supported on <code>sml:refType</code> and its derived types.. If this attribute is set to true for a derived type <code>D</code> of <code>sml:refType</code> , then the acyclic constraint is violated if instances of <code>D</code> (including any derived types of <code>D</code> ) create a cycle in a model.
<code>sml:targetElement</code>	Used to constrain the name of the reference's target element. This constraint is violated if the target element is not an instance of the named global element declaration or an element declaration in the substitution group hierarchy whose head is the named global element declaration.
<code>sml:targetRequired</code>	Used to specify that a reference's target element is required to be present in the model. This constraint is violated if a reference is empty, null, or dangling.

644

sml:targetType	Used to constrain the type of the reference's target element. This constraint is violated if the type of the target element is not the same as (or a derived type of) the type whose name is specified as the value of this attribute.
----------------	--

### 646 3.4.1 sml:acyclic

647 Model validators that conform to this specification MUST support the `sml:acyclic`  
648 attribute on derived types of `sml:refType`. This is a boolean attribute and its value  
649 can be either `true` or `false`. Let **R** be a derived type of `sml:refType`. If  
650 `sml:acyclic="true"` is specified for **R**, then **R** is an acyclic reference type, i.e.,  
651 instances of **R** MUST NOT create cycles in any model. More precisely, the directed  
652 graph whose nodes are documents that contain the source or target elements for  
653 instances of **R**, and whose edges are instances of **R** (an edge is directed from the  
654 document containing the source element to the document containing the target  
655 element), must be acyclic. If `sml:acyclic="false"` is specified for **R**, then **R** is a  
656 cyclic reference type, and its instances may create cycles in models. Note that  
657 `sml:refType` is a cyclic reference type since `sml:acyclic="false"` is specified for  
658 `sml:refType`.

659 A cyclic reference type can be used to derive cyclic or acyclic reference types, but all  
660 derived types of an acyclic reference type are acyclic. Model validators that conform  
661 to this specification MUST enforce the following:

- 662 • If **CR** is a cyclic reference type and **D<sub>CR</sub>** is a derived type of **CR**, then **D<sub>CR</sub>** is an  
663 acyclic reference if `sml:acyclic="true"` is specified for **D<sub>CR</sub>**. Otherwise, **D<sub>CR</sub>**  
664 is a cyclic reference
- 665 • If **AR** is an acyclic reference type and **D<sub>AR</sub>** is a derived type of **AR**, then  
666 `sml:acyclic="true"` holds for **D<sub>AR</sub>** even if the `sml:acyclic` attribute is not  
667 explicitly specified for **D<sub>AR</sub>**. It is an error for **D<sub>AR</sub>** to specify  
668 `sml:acyclic="false"`

### 669 3.4.2 Constraints on Targets

670 SML supports three attributes: `sml:targetElement`, `sml:targetRequired`, and  
671 `sml:targetType`, for constraining the target of a reference. These three attributes  
672 are collectively called `sml:target*` attributes and they MUST be supported on global  
673 and local element declarations. Model validators that conform to this specification  
674 MUST enforce the following:

675 If one/more of `sml:target*` attributes are specified (either explicitly or by default)  
676 for a [particle](#) **P** in a complex-type definition **CT**, then all particles in **CT** that have the  
677 same [name](#) as **P** must specify the same set of `sml:target*` attributes as **P** and  
678 these attributes must have the same values as those specified for **P**.

679 In particular, all of the following must be enforced:

- 680 • If `sml:targetElement="ns:GTE"` for **P** then `sml:targetElement="ns:GTE"`  
681 for all particles in **CT** that have the same name as **P**
- 682 • If `sml:targetRequired="true"` for **P** then `sml:targetRequired="true"` for  
683 all particles in **CT** that have the same name as **P**
- 684 • If `sml:targetRequired="false"` for **P** then `sml:targetRequired="false"`  
685 for all particles in **CT** that have the same name as **P**

- 686 • If `sml:targetType="ns:T"` for **P** then `sml:targetType="ns:T"` for all  
687 particles in **CT** that have the same name as **P**

688 The above conditions on the use of `sml:target*` attributes have been defined to  
689 reduce the implementation burden on model validators for verifying that the use of  
690 `sml:target*` attributes is consistent across derivation by restriction. These  
691 conditions enable model validators to find the restricted particle for a restricting  
692 particle using a simple name match when `sml:target*` attributes are specified for  
693 these particles. In the absence of the above conditions, it is extremely difficult for  
694 SML validators to verify consistent use of `sml:target*` attributes across a base type  
695 and its restricted derived type. In order to verify consistent use of an `sml:target*`  
696 attribute on a restricted particle in the base type and its restricting particle in a  
697 restricted derived type, it is necessary to connect the particles in the derived type  
698 with those from the restricted base type. However, this level of support is not  
699 provided by most XML Schema frameworks; thus most SML validators would  
700 otherwise need to duplicate large parts of XML Schema's compilation logic to verify  
701 consistent usage of `sml:target*` attributes across derivation by restriction.

#### 702 3.4.2.1 `sml:targetElement`

703 Model validators that conform to this specification MUST support the  
704 `sml:targetElement` attribute on element declarations whose type is `sml:refType` or  
705 a derived type of `sml:refType`. The value of this attribute MUST be the qualified  
706 name of some global element declaration. Let `sml:targetElement="ns:GTE"` for  
707 some element declaration **E**. Then each element instance of **E** MUST reference an  
708 element that is an instance of **ns:GTE** or an instance of some global element  
709 declaration in the substitution group hierarchy whose head is **ns:GTE**. If a target  
710 element constraint is specified for a global element declaration **G** then it continues to  
711 apply to all global element declarations in the substitution group hierarchy whose  
712 head is **G**. However, a global element declaration in **G**'s substitution group can  
713 specify a target element constraint that refines the constraint defined for **G**. In  
714 particular, model validators that conform to this specification MUST enforce the  
715 following:

- 716 • If `sml:targetElement="ns:GTE"` is specified for **G**, and **S<sub>G</sub>** is a global element  
717 declaration that specifies **G** as the value of its `xs:substitutionGroup`  
718 attribute, then
  - 719 • if `sml:targetElement` is specified for **S<sub>G</sub>** then its value MUST be **ns:GTE**  
720 or the name of a global element declaration in the substitution group  
721 whose head is **ns:GTE**
  - 722 • if `sml:targetElement` is not specified for **S<sub>G</sub>**, then  
723 `sml:targetElement="ns:GTE"` holds for **S<sub>G</sub>** by default.

724 If a target element constraint is specified for a particle **P** in some type **B**, then it  
725 continues to apply to each particle **P<sub>R</sub>** that is a valid restriction of **P** where **P<sub>R</sub>** is  
726 defined in some restricted derived type of **B** (see [2]  
727 <http://www.w3.org/TR/xmlschema-1/#cos-particle-restrict> for XML Schema's  
728 definition of valid restrictions). However, **P<sub>R</sub>** can specify a target element constraint  
729 that refines the constraint defined for **P**. In particular, model validators that conform  
730 to this specification MUST enforce the following:

- 731 • If `sml:targetElement="ns:GTE"` is specified for **P** and `sml:targetElement` is  
732 specified for **P<sub>R</sub>**, then the value of `sml:targetElement` for **P<sub>R</sub>** must be **ns:GTE**  
733 or the name of a global element declaration in the substitution group

734 hierarchy whose head is **ns:GTE**. If `sml:targetElement` is not specified for  
735 **P<sub>R</sub>**, then `sml:targetElement="ns:GTE"` holds for **P<sub>R</sub>** by default.

#### 736 3.4.2.2 *sml:targetRequired*

737 Model validators that conform to this specification MUST support the  
738 `sml:targetRequired` attribute on element declarations whose type is `sml:refType`  
739 or a derived type of `sml:refType`. If `sml:targetRequired="true"` for an element  
740 declaration **E**, then each element instance of **E** MUST target some element in the  
741 model, i.e., no instance of **E** can be null, empty, or contain a dangling reference.  
742 Otherwise, instances of **E** can be empty, null, or contain dangling references. If this  
743 attribute is not specified, then its value is assumed to be "false".

744 Model validators that conform to this specification MUST enforce the following:

- 745 • If the `sml:targetRequired` attribute is specified for a global element  
746 declaration **G** then the specified value applies by default to each global  
747 element declaration **S<sub>G</sub>** in the substitution group hierarchy whose head is **G**  
748 unless the `sml:targetRequired` attribute is specified for **S<sub>G</sub>**.
- 749 • If `sml:targetRequired="true"` is specified for a global element declaration **G**  
750 then `sml:targetRequired="false"` MUST NOT be specified for any element  
751 declaration in the substitution group hierarchy whose head is **G**.
- 752 • If `sml:targetRequired` attribute is specified for a particle **P** in some type **B**,  
753 then the specified value applies by default to each particle **P<sub>R</sub>** that is a  
754 valid restrictions of **P** unless the `sml:targetRequired` attribute is specified  
755 for **P<sub>R</sub>** (see [2] <http://www.w3.org/TR/xmlschema-1/#cos-particle-restrict> for  
756 XML Schema's definition of valid restrictions).
- 757 • If `sml:targetRequired="true"` for a particle **P** then  
758 `sml:targetRequired="false"` MUST NOT be specified for any particle **P<sub>R</sub>**  
759 that is a valid restriction of **P**.

#### 760 3.4.2.3 *sml:targetType*

761 The `sml:targetType` attribute MUST be supported on element declarations whose  
762 type is `sml:refType` or a derived type of `sml:refType`. The value of this attribute  
763 MUST be the qualified name of some type declaration. Let `sml:targetType="ns:T"`  
764 for some element declaration **E**. Then each element instance of **E** MUST reference an  
765 element whose type is **ns:T** or a derived type of **ns:T**.

766 If a target type constraint is specified for a global element declaration **G** then it  
767 continues to apply to all global element declarations in the substitution group  
768 hierarchy whose head is **G**. However, a global element declaration in **G**'s substitution  
769 group can specify a target type constraint that refines the constraint defined for **G**.  
770 In particular, model validators that conform to this specification MUST enforce the  
771 following:

- 772 • If `sml:targetType="ns:T"` is specified for **G**, and **S<sub>G</sub>** is a global element  
773 declaration that specifies **G** as the value of its `xs:substitutionGroup`  
774 attribute, then
  - 775 ○ if the `sml:targetType` attribute is specified for **S<sub>G</sub>** the its value  
776 MUST be either **ns:T** or the name of some derived type of **ns:T**
  - 777 ○ if `sml:targetType` is not specified for **S<sub>G</sub>**, then  
778 `sml:targetType="ns:T"` holds for **S<sub>G</sub>** by default

779 If the target type constraint is specified for a particle **P** in some type **B**, then it  
780 continues to apply to each particle **P<sub>R</sub>** that is a valid restriction of **P** where **P<sub>R</sub>** is

781 defined in some restricted derived type of **B**. However, **P<sub>R</sub>** can specify a target type  
 782 constraint that refines the constraint defined for **P**. In particular, model validators  
 783 that conform to this specification MUST enforce the following:

- 784 • If `sml:targetType="ns:T"` is specified for **P** and `sml:targetType` is specified  
 785 for **P<sub>R</sub>** then the value of the `sml:targetType` for **P<sub>R</sub>** must be **ns:T** or the  
 786 name of some derived type of **ns:T**. If `sml:targetType` is not specified for **P<sub>R</sub>**,  
 787 then `sml:targetType="ns:T"` holds for **P<sub>R</sub>** by default

### 788 3.5 Identity Constraints

789 XML Schema supports the definition of key, unique, and key reference constraints  
 790 through `xs:key`, `xs:unique`, and `xs:keyref` elements. However, the scope of these  
 791 constraints is restricted to a single document. SML defines analogs for these  
 792 constraints, whose scope extends to multiple documents by allowing them to  
 793 traverse inter-document references.

794 Model validators that conform to this specification MUST support the following  
 795 elements for defining identity constraints across references:

Name	Description
<code>sml:key</code>	Similar to <code>xs:key</code> except that the selector and field XPath expression can use <code>smlfn:deref</code> function
<code>sml:unique</code>	Similar to <code>xs:unique</code> except that the selector and field XPath expression can use <code>smlfn:deref</code> function
<code>sml:keyref</code>	Similar to <code>xs:keyref</code> except that the selector and field XPath expression can use <code>smlfn:deref</code> function

796 The syntax and semantics of the above elements are the same as that for the  
 797 corresponding elements in XML Schema, except for the following:

- 798 • If an SML identity constraint needs to be specified for an element declaration  
 799 **E**, then it MUST be defined in the `xs:annotation/xs:appinfo` descendant  
 800 element for the `xs:element` element for **E**
- 801 • An SML identity constraint that is specified for an element declaration **E** can  
 802 reuse the definition of an SML identity constraint **ID'** specified for some other  
 803 element declaration **E'** by specifying the name of **E'** as the value of its `ref`  
 804 attribute. In particular,
  - 805 ○ If the `ref` attribute is specified for an SML identity constraint element  
 806 that is specified for an element declaration **E**, then the value of `ref`  
 807 attribute MUST NOT be name of any other SML identity constraint  
 808 element specified for **E**.
  - 809 ○ If the `ref` attribute is specified for an `sml:key` element, then the value  
 810 of `ref` attribute MUST be name of another SML key constraint
  - 811 ○ If the `ref` attribute is specified for an `sml:unique` element then the  
 812 value of the `ref` attribute MUST be name of another SML unique  
 813 constraint
  - 814 ○ If the `ref` attribute is specified for an `sml:keyref` element then the  
 815 value of the `ref` attribute MUST be name of another SML keyref  
 816 constraint
  - 817 ○ If the `ref` attribute is specified for an SML identity constraint, then the  
 818 `name` attribute MUST NOT be specified

819           o If the `ref` attribute is specified for an SML identity constraint, then the  
820            selector and field child elements MUST NOT be specified

821

- 822 • If an SML identity constraint is specified for an element declaration **E**, then  
823 this constraint is applicable to all instances of **E** in a model, i.e., the identity  
824 constraint MUST be satisfied for each instance of **E** in a valid model
- 825 • The `sml:selector` XPath expression MUST conform to the following extended  
826 BNF

827

```
Selector ::= Path ( '|' Path)*
```

828

```
Path ::= ('./')? Step ( '/' Step)* | DerefExpr
```

829

```
DerefExpr ::= 'deref(' Step (/Step)* ')' ( '/' Step)* |
```

830

```
          'deref(' DerefExpr ')' (/Step)*
```

831

```
Step ::= '.' | NameTest
```

832

```
NameTest ::= QName | '*' | NCName ':' '*'
```

833

- 834 • The `sml:field` XPath expression MUST conform to the BNF given above for  
835 the selector XPath expression with the following modification

836

```
Path ::= ('./')? ( Step '/' )* ( Step | @NameTest ) |
```

837

```
DerefExpr ( '/' @NameTest)?
```

838

- 839 • Each SML identity constraint that is specified for a global-element declaration  
840 **G** MUST be treated as if it is specified by default for all global-element  
841 declarations **S<sub>G</sub>** that are in the substitution group hierarchy whose head is **G**
- 842 • Each SML identity constraint that is specified for a particle **P** in a complex-  
843 type definition **CT** MUST be treated as if it is specified by default for all  
844 particles **P<sub>R</sub>** in restricted derived types of **CT** that are a valid restriction of **P**
- 845 • If one/more SML identity constraints are specified (either explicitly or by  
846 default) for a particle **P** in a complex-type definition **CT**, then all particles in  
847 **CT** that have the same [name](#) as **P** MUST specify the same set of identity  
848 constraints as **P**. This rule is defined to reduce the implementation burden for  
849 model validators. It facilitates the matching of restricting and restricted  
particles using their names, and avoids the replication of large parts of XML  
Schema's compilation logic for this purpose.

850

### 3.5.1 University Example

851

The following example will be used to illustrate the `sml:key`, `sml:unique`, and

852

`sml:keyref` constraints across references.

853

```

854
855 <xs:element name="Student"
856         type="sml:refType"
857         sml:targetType="tns:StudentType"/>
858
859 <xs:element name="Course"
860         type="sml:refType"
861         sml:targetType="tns:CourseType"/>
862
863 <xs:complexType name="UniversityType">
864     <xs:sequence>
865         <xs:element name="Name" type="xs:string"/>
866         <xs:element name="Students" minOccurs="0">
867             <xs:complexType>
868                 <xs:sequence>
869                     <xs:element ref="tns:Student" maxOccurs="unbounded"/>
870                 </xs:sequence>
871             </xs:complexType>
872         </xs:element>
873         <xs:element name="Courses" minOccurs="0">
874             <xs:complexType>
875                 <xs:sequence>
876                     <xs:element ref="tns:Course" maxOccurs="unbounded"/>
877                 </xs:sequence>
878             </xs:complexType>
879         </xs:element>
880     </xs:sequence>
881 </xs:complexType>
882
883 <xs:element name="EnrolledStudent"
884         type="sml:refType"
885         sml:targetType="tns:StudentType"/>
886
887 <xs:element name="EnrolledCourse"
888         type="sml:refType"
889         sml:targetType="tns:CourseType"/>
890
891 <xs:complexType name="StudentType">
892     <xs:sequence>
893         <xs:element name="ID" type="xs:string"/>
894         <xs:element name="SSN" type="xs:string" minOccurs="0"/>
895         <xs:element name="Name" type="xs:string"/>
896         <xs:element name="EnrolledCourses" minOccurs="0">
897             <xs:complexType>
898                 <xs:sequence>
899                     <xs:element ref="tns:EnrolledCourse"
900                         maxOccurs="unbounded"/>
901                 </xs:sequence>
902             </xs:complexType>
903         </xs:element>
904     </xs:sequence>

```

```

905     </xs:complexType> <xs:complexType name="CourseType">
906         <xs:sequence>
907             <xs:element name="Name" type="xs:string"/>
908             <xs:element name="EnrolledStudents" minOccurs="0">
909                 <xs:complexType>
910                     <xs:sequence>
911                         <xs:element ref="tns:EnrolledStudent"
912                             maxOccurs="unbounded"/>
913                     </xs:sequence>
914                 </xs:complexType>
915             </xs:element>
916         </xs:sequence>
917     </xs:complexType>

```

### 918 3.5.2 sml:key and sml:unique

919 XML Schema supports key and uniqueness constraints through `xs:key` and  
920 `xs:unique`, but these constraints can only be specified within a single XML  
921 document. The `sml:key` and `sml:unique` elements support the specification of key  
922 and uniqueness constraints across documents. We'll use the [UniversityType](#)  
923 definition to illustrate this concept. It is reasonable to expect that each student in a  
924 university must have a unique identity, and this identity must be specified. This can  
925 be expressed as follows:

```

926     <xs:element name="University" type="tns:UniversityType">
927         <xs:annotation>
928             <xs:appinfo>
929                 <sml:key name="StudentIDisKey">
930                     <sml:selector xpath="smlfn:deref(tns:Students/tns:Student)/tns:ID"/>
931                     <sml:field xpath="."/>
932                 </sml:key>
933             </xs:appinfo>
934         </xs:annotation>
935     </xs:element>

```

936 The `sml:key` and `sml:unique` constraints are similar but not the same. `sml:key`  
937 requires that the specified fields must be present in instance documents and have  
938 unique values, whereas `sml:unique` simply requires the specified fields to have  
939 unique values but does not require them to be present in instance documents. Thus  
940 keys imply uniqueness, but uniqueness does not imply keys. For example, students  
941 in a university must have a unique social security numbers, but the university may  
942 have foreign students who do not possess this number. This constraint can be  
943 specified as follows:

```

944     <xs:element name="University" type="tns:UniversityType">
945         <xs:annotation>
946             <xs:appinfo>
947                 <sml:unique name="StudentSSNisUnique">
948                     <sml:selector xpath="smlfn:deref(tns:Students/tns:Student)"/>
949                     <sml:field xpath="tns:SSN"/>
950                 </sml:unique>
951             </xs:appinfo>
952         </xs:annotation>
953     </xs:element>
954

```



955 The `sml:key` and `sml:unique` constraint are always specified in the context of a  
956 scoping element. In the above example, the `University` element declaration is the  
957 context for the key and unique constraints.

958 The following example illustrates the use of the `ref` attribute in an SML identity  
959 constraint:

```
960     <xs:element name="PrivateUniversity" type="tns:UniversityType">
961         <xs:annotation>
962             <xs:appinfo>
963                 <sml:unique ref="tns:StudentSSNisUnique"/>
964             </xs:appinfo>
965         </xs:annotation>
966     </xs:element>
```

967 In the above example, the `PrivateUniversity` element declaration specifies the  
968 `StudentSSNisUnique` unique constraint by referencing its definition in the  
969 `University` element declaration.

### 970 3.5.3 sml:keyref

971 XML Schema supports key references through `xs:keyref` to ensure that one set of  
972 values is a subset of another set of values within an XML document. Such constraints  
973 are similar to foreign keys in relational databases. Key references in XML Schema are  
974 only supported within a single XML document. The `sml:keyref` element allows key  
975 references to be specified across XML documents, and can be used to scope  
976 references to point to elements within a valid range. The following example uses  
977 `sml:keyref` to capture the requirement that courses in a university can only enroll  
978 students from the same university:

```
979     <xs:element name="University" type="tns:UniversityType">
980         <xs:annotation>
981             <xs:appinfo>
982                 <sml:key name="StudentIDisKey">
983                     <sml:selector xpath="smlfn:deref(tns:Students/tns:Student)"/>
984                     <sml:field xpath="tns:ID"/>
985                 </sml:key>
986                 <sml:keyref name="CourseStudents" refer="tns:StudentIDisKey">
987                     <sml:selector xpath="smlfn:deref(
988                         smlfn:deref(tns:Courses/tns:Course)/
989                         tns:EnrolledStudents/tns:EnrolledStudent)"/>
990                     <sml:field xpath="tns:ID"/>
991                 </sml:keyref>
992             </xs:appinfo>
993         </xs:annotation>
994     </xs:element>
```

995 The above constraint specifies that for a university, the set of IDs of students  
996 enrolled in courses is a subset of the set of IDs of students in a university. In  
997 particular, the `selector` and `field` elements in `StudentIDisKey` key constraint  
998 identify the set of IDs of students in a university, and the `selector` and `field`  
999 elements in `CourseStudents` key reference constraint identify the set of IDs of  
1000 students enrolled in courses.

## 1001 4. Rules

1002 XML Schema supports a number of built-in grammar-based constraints but it does  
1003 not support a language for defining arbitrary rules for constraining the structure and  
1004 content of documents. Schematron [4] is an ISO standard for defining assertions

1005 concerning a set of XML documents. SML uses a profile of the Schematron schema to  
1006 add support for user-defined constraints. SML uses XPath1.0, augmented with the  
1007 `smlfn:deref()` extension function, as its constraint language. Model validators that  
1008 conform to this specification are REQUIRED to support and evaluate XPath 1.0  
1009 expressions augmented with the `smlfn:deref()` function in the body of Schematron  
1010 constraints. This section assumes that the reader is familiar with Schematron  
1011 concepts; the Schematron standard is documented in [4] and [5,6] are good  
1012 tutorials on an older version of Schematron.

1013 User-defined constraints can be specified using the `sch:assert` and `sch:report`  
1014 elements from Schematron. The following example uses `sch:assert` elements to  
1015 specify two constraints:

- 1016 • An IPv4 address must have four bytes
- 1017 • An IPv6 address must have sixteen bytes

1018  
1019

```

1020 <xs:simpleType name="IPAddressVersionType">
1021   <xs:restriction base="xs:string" >
1022     <xs:enumeration value="V4" />
1023     <xs:enumeration value="V6" />
1024   </xs:restriction>
1025 </xs:simpleType>
1026 <xs:complexType name="IPAddress">
1027   <xs:annotation>
1028     <xs:appinfo>
1029       <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1030         <sch:ns prefix="tns" uri="urn:IPAddress" />
1031         <sch:pattern id="Length">
1032           <sch:rule context=".">
1033             <sch:assert test="tns:version != 'V4' or count(tns:address) = 4">
1034               A v4 IP address must have 4 bytes.
1035             </sch:assert>
1036             <sch:assert test="tns:version != 'V6' or count(tns:address) = 16">
1037               A v6 IP address must have 16 bytes.
1038             </sch:assert>
1039           </sch:rule>
1040         </sch:pattern>
1041       </sch:schema>
1042     </xs:appinfo>
1043   </xs:annotation>
1044   <xs:sequence>
1045     <xs:element name="version" type="tns:IPAddressVersionType" />
1046     <xs:element name="address" type="xs:byte" minOccurs="4" maxOccurs="16" />
1047   </xs:sequence>
1048 </xs:complexType>

```

1049 A Schematron pattern embedded in the `xs:annotation/xs:appinfo` element for a  
1050 complex type definition or an element declaration is applicable to all instances of the  
1051 complex type or element. In the above example, the pattern `Length` is applicable for  
1052 all elements whose type is `IPAddress` or a derived type of `IPAddress`. A pattern can  
1053 have one or more rules, and each rule specifies a context expression using the  
1054 `context` attribute. The value of the `context` attribute is an XPath expression that is  
1055 evaluated in the context of each applicable element, and results in an element node  
1056 set for which the `assert` and `report` test expressions defined in the rule are evaluated.  
1057 In the above example `context="."`, therefore the two `assert` expressions are  
1058 evaluated in the context of each applicable element, i.e., each element of type  
1059 `IPAddress`. The test expression for an `assert` is a boolean expression, and the  
1060 `assert` is violated (or fires) if its test expression evaluates to false. For example,  
1061 the following XML document violates the `assert` that requires an IPv6 address to  
1062 have sixteen address bytes

```

1063 <myIPAddress xmlns="urn:IPAddress">
1064   <version>v6</version>
1065   <address>100</address>
1066   <address>200</address>
1067   <address>10</address>
1068   <address>1</address>
1069   <address>10</address>
1070   <address>1</address>
1071 </myIPAddress>

```

1072 In general, a rule element can include multiple `assert` and `report` elements. A  
1073 `report` also specifies a test expression, just like an `assert`. However, a `report` is  
1074 violated (or fires) if its test expression evaluates to true. Thus, an `assert` can be  
1075 converted to a `report` by simply negating its test expression. The following example

1076 uses report elements to represent the IP address constraints of the previous  
1077 example:

```
1078 <xs:simpleType name="IPAddressVersionType">
1079   <xs:restriction base="xs:string">
1080     <xs:enumeration value="V4"/>
1081     <xs:enumeration value="V6"/>
1082   </xs:restriction>
1083 </xs:simpleType>
1084 <xs:complexType name="IPAddress">
1085   <xs:annotation>
1086     <xs:appinfo>
1087       <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1088         <sch:ns prefix="tns" uri="urn:IPAddress" />
1089         <sch:pattern id="Length">
1090           <sch:rule context=".">
1091             <sch:report test="tns:version = 'V4' and count(tns:address) != 4"
1092             >
1093               A v4 IP address must have 4 bytes.
1094             </sch:report>
1095             <sch:report test="tns:version = 'V6' and count(tns:address) != 16"
1096             >
1097               A v6 IP address must have 16 bytes.
1098             </sch:report>
1099           </sch:rule>
1100         </sch:pattern>
1101       </sch:schema>
1102     </xs:appinfo>
1103   </xs:annotation>
1104   <xs:sequence>
1105     <xs:element name="version" type="tns:IPAddressVersionType" />
1106     <xs:element name="address" type="xs:byte" minOccurs="4" maxOccurs="16" />
1107   </xs:sequence>
1108 </xs:complexType>
```

1109 If an assert or report is violated, then the violation must be reported during model  
1110 validation together with the specified message. Model validation must evaluate each  
1111 Schematron pattern for all of its applicable elements contained in the model.

1112 The message can include substitution strings based on XPath expressions. These can  
1113 be specified using the sch:value-of element. The following example uses the  
1114 sch:value-of element to include the number of specified address bytes in the  
1115 message:

```
1116 <sch:assert test="tns:version != 'v4' or count(tns:address) = 4">
1117   A v4 IP address must have 4 bytes instead of the specified
1118   <sch:value-of select="string(count(tns:address))"/> bytes.
1119 </sch:assert>
```

1120 In addition to being embedded in complex type definitions, constraints can also be  
1121 embedded in global-element declarations. Such constraints are evaluated for each  
1122 instance element corresponding to the global-element definition. Consider the  
1123 following example:

1124

```

1125
1126 <xs:element name="StrictUniversity" type="tns:UniversityType">
1127   <xs:annotation>
1128     <xs:appinfo>
1129       <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1130         <sch:ns prefix="u" uri="urn:university" />
1131         <sch:ns prefix="smlfn"
1132           uri=" http://schemas.serviceml.org/smlfn/query/2006/07"/>
1133         <sch:pattern id="StudentPattern">
1134           <sch:rule context="smlfn:deref(u:Students/u:Student)">
1135             <sch:assert test="starts-with(u:ID,'99')">
1136               The specified ID <sch:value-of select="string(u:ID)"/>
1137               does not begin with 99
1138             </sch:assert>
1139             <sch:assert test="count(u:Courses/u:Course)>0">
1140               The student <sch:value-of select="string(u:ID)"/> must be enrolled
1141               in at least one course
1142             </sch:assert>
1143           </sch:rule>
1144         </sch:pattern>
1145       </sch:schema>
1146     </xs:appinfo>
1147   </xs:annotation>
1148 </xs:element>

```

1149 The constraints defined in `StudentPattern` are applicable to all element instances of  
1150 the `StrictUniversity` global element definition. For each `StrictUniversity`  
1151 element, the XPath expression specified as the value of the `context` attribute is  
1152 evaluated to return a node set, and the test expressions for the two asserts are  
1153 evaluated for each node in this node set. The context expression for the rule returns  
1154 a node set consisting of all `Student` elements referenced by an instance of  
1155 `StrictUniversity`, and the test expressions for the two asserts are evaluated for  
1156 each element node in this node set. Thus, these two asserts verify the following  
1157 conditions for each instance of `StrictUniversity`

- 1158 • The ID of each student must begin with '99'
- 1159 • Each student must be enrolled in at least one course

1160 Model validators that conform to this specification MUST behave as follows:

- 1161 • Each Schematron pattern that is embedded in the  
1162 `xs:annotation/xs:appinfo` element for a global complex-type definition **CT**  
1163 MUST be evaluated for all element instances of type **CT** in a model during the  
1164 model's validation
- 1165 • Each Schematron pattern that is embedded in the  
1166 `xs:annotation/xs:appinfo` element for a global-element declaration **G**  
1167 MUST be evaluated for all element instances of **G** in a model during the  
1168 model's validation
- 1169 • A pattern MUST be evaluated for an instance element by evaluating the `rule`  
1170 elements of the pattern in the order of their definition. The context expression  
1171 for a rule MUST be evaluated in the context of the instance element, and all  
1172 asserts and reports contained in the first rule whose context expression  
1173 evaluates to a non-empty node set MUST be evaluated for each node in this  
1174 node set.

1175 Model validators that conform to this specification MUST provide a mechanism to  
1176 support binding of Schematron patterns that are authored in separate documents,  
1177 i.e., not embedded in schema definition, to a set of documents in a model. The  
1178 mechanism for binding such Schematron patterns to a set of documents in a model  
1179 are implementation dependent and hence outside the scope of this specification. The

1180 following example shows the constraints for `StrictUniversity` expressed in a  
1181 separate document:

```
1182 <?xml version="1.0" encoding="utf-8" ?>
1183 <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1184   <sch:ns prefix="u" uri="urn:university" />
1185   <sch:ns prefix="smlfn" uri="http://schemas.serviceml.org/smlfn/query/2006/07"
1186   />
1187   <sch:pattern id="StudentPattern">
1188     <sch:rule context="smlfn:deref(u:Students/u:Student)">
1189       <sch:assert test="starts-with(u:ID,'99')">
1190         The specified ID <sch:value-of select="string(u:ID)"/>
1191         does not begin with 99
1192       </sch:assert>
1193       <sch:assert test="count(u:Course/u:Courses)>0">
1194         The student <sch:value-of select="string(u:ID)"/> must be enrolled
1195         in at least one course
1196       </sch:assert>
1197     </sch:rule>
1198   </sch:pattern>
1199 </sch:schema>
```

1200 The binding of the `StudentPattern` pattern to instances of `StrictUniversity`  
1201 element is implementation dependent and hence outside the scope of this  
1202 specification.

## 1203 4.1 Localization of Error Messages

1204 Localization of the natural-language error messages, that provide details about  
1205 asserts and reports, MAY be supported by model validators that conform to this  
1206 specification. Such model validators MAY support the use of `smlerr:localizationid`  
1207 attribute on `sch:report` and `sch:assert` to specify the identity of the resource  
1208 containing the localized versions of the natural-language error message. Model  
1209 validators that conform to this specification but do not support  
1210 `smlerr:localizationid` attribute MUST ignore all `smlerr:output` attributes in a  
1211 model; they MUST NOT treat the model as invalid just because it contains  
1212 `smlerr:localizationid` attributes. The mechanisms for mapping values of  
1213 `smlerr:localizationid` to the corresponding localization resources are  
1214 implementation dependent and hence outside the scope of this specification.

## 1215 4.2 Schematron Profile

1216 SML supports a conforming profile of Schematron. All elements and attributes are  
1217 supported.

### 1218 4.2.1 Limited Support

1219 If the `queryBinding` attribute is specified, then its value MUST be set to "xpath1.0"

## 1220 5. Structured XML Output from Schematron Rules

1221 Schematron has rich support for natural-language error and diagnostic messages  
1222 that provide details about failed assertions. As per the Schematron specification the  
1223 content of the `sch:assert`, `sch:report`, and the optional `sch:diagnostic` elements  
1224 should be natural language assertions or messages. To facilitate machine  
1225 processable output from the evaluation of Schematron rules, this specification extends  
1226 Schematron by adding support for structured XML output that provides details about  
1227 failed assertions. This structured XML data can be consumed by an application to  
1228 perform some application-specific tasks required to handle a failed assertion. This is  
1229 an OPTIONAL feature and model validators that conform to this specification are not  
1230 REQUIRED to support it. Model validators that conform to this specification but do  
1231 not support `smlerr:output` element MUST ignore all `smlerr:output` elements in a

1232 model; they MUST NOT treat the model as invalid just because it contains  
1233 `smlerr:output` elements.

## 1234 **5.1 smlerr:output**

1235 This element is used to specify the structured XML output for one/more failed  
1236 assertions. It is supported as a child of the `sch:rule` element. An `sch:rule` element  
1237 can contain multiple `smlerr:output` elements. The schema definition for  
1238 `smlerr:output` is as follows:

```
1239 <xs:element name="output" type="smlerr:outputType"/>
1240
1241 <xs:complexType name="outputType">
1242     <xs:attribute name="id" type="xs:ID"
1243         use="required"/>
1244
1245     <xs:attribute name="applicationUri" type="xs:anyURI"
1246         use="optional"/>
1247     <xs:attribute name="expression" type="xs:string" use="required"/>
1248 </xs:complexType>
1249
```

1250 `id` = a required attribute that defines the identity of an `smlerr:output` element.  
1251 This identity is used by an `assert` and/or `report` element to specify that the  
1252 expression specified in the `expression` attribute of the `smlerr:output` element must  
1253 be evaluated to generate structured XML when the `assert/report` fires.

1254 `applicationUri` = an optional attribute that specifies the identity of the application  
1255 for which the output is generated

1256 `expression` = an XPath 1.0 expression that evaluates to a node set containing  
1257 element and attribute nodes only. If the node set contains namespace, processing  
1258 instructions, comments, or text nodes, then no output is generated. The expression  
1259 is evaluated in the context of the node selected by the `context` attribute in the  
1260 parent `sch:rule` element. This XPath expression can use the `deref()` extension  
1261 function.

### 1262 **5.1.1 smlerr:outputids**

1263 This global attribute is used in an `assert` or `report` to specify the identities of the  
1264 `smlerr:output` elements whose expressions must be evaluated to generate XML  
1265 output when the `assert/report` fires.

```
1266 <xs:attribute name="outputids" type="xs:IDREFS"/>
```

### 1267 **5.1.2 smlerr:attributeNode**

1268 This element is used for serialization of each attribute node in the node set resulting  
1269 from the evaluation of the expression in an `smlerr:output` element.

1270

```

1271
1272 <xs:element name="attributeNode" type="smlerr:attributeNodeType"/>
1273
1274 <xs:complexType name="attributeNodeType">
1275   <xs:simpleContent>
1276     <xs:extension base="xs:string">
1277       <xs:attribute name="name" type="xs:QName"/>
1278     </xs:extension>
1279   </xs:simpleContent>
1280 </xs:complexType>

```

1281

1282 name: The value of this attribute is the qualified name of the attribute whose value is  
 1283 being serialized.

### 1284 **5.1.3 smlerr:errorData**

1285 This element is used for enclosing the structured XML generated by an  
 1286 smlerr:output element.

```

1287 <xs:element name="errorData" type="smlerr:errorDataType"/>
1288 <xs:complexType name="errorDataType">
1289   <xs:sequence>
1290     <xs:any namespace="##any" processContents="skip"/>
1291   </xs:sequence>
1292 </xs:complexType>

```

### 1293 **5.1.4 Semantics**

1294 When a report/assert fires, then all smlerr:output elements that list the ID of this  
 1295 report/assert are evaluated. For each such smlerr:output, the expression specified  
 1296 in its expression attribute is evaluated, and the resulting node set serialized into  
 1297 XML by concatenating each node and enclosing the serialized XML fragment in the  
 1298 smlerr:errorData element to create a well-formed XML document. The resulting  
 1299 document is returned to the application that initiated the model validation. The  
 1300 serialization is only performed if the node set contains attribute and/or element  
 1301 nodes. Otherwise, no structured XML is serialized and an empty smlerr:errorData  
 1302 element is returned.

1303 The nodes in the node set may be serialized in any order. Element nodes are  
 1304 serialized directly into their XML document order representation, and attribute nodes  
 1305 are serialized by using the smlerr:attributeNode element.

1306 All namespace bindings defined (through the sch:ns element) for the parent  
 1307 sch:rule, sch:pattern, or sch:schema elements remain valid and can be used in  
 1308 the expression specified in the expression attribute.

### 1309 **5.1.5 Examples**

1310 The following example illustrates the use of smlerr:output

1311



```

1312
1313     <xs:simpleType name="IPAddressVersionType">
1314         <xs:restriction base="xs:string">
1315             <xs:enumeration value="V4"/>
1316             <xs:enumeration value="V6"/>
1317         </xs:restriction>
1318     </xs:simpleType>
1319     <xs:complexType name="IPAddressType">
1320         <xs:annotation>
1321             <xs:appinfo>
1322                 <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1323                     <sch:ns prefix="tns" uri="urn:IPAddress" />
1324                     <sch:pattern id="Length">
1325                         <sch:rule context=".">
1326                             <sch:report id="v4" test="tns:version = 'V4'
1327                                     and count(tns:address) != 4"
1328                                     smlerr:outputids="IPXML">
1329
1330                                 A v4 IP address must have 4 bytes.
1331                             </sch:report>
1332                             <sch:report id="v6" test="tns:version = 'V6'
1333                                     and count(tns:address) != 16"
1334                                     smlerr:outputids="IPXML">
1335                                 A v6 IP address must have 16 bytes.
1336                             </sch:report>
1337                             <sml:output applicationUri="someApplicationUri"
1338                                     id="IPXML"
1339                                     expression=".">
1340
1341                                 </sml:output>
1342                             </sch:rule>
1343                         </sch:pattern>
1344                     </sch:schema>
1345                 </xs:appinfo>
1346             </xs:annotation>
1347         <xs:sequence>
1348             <xs:element name="version"
1349                     type="tns:IPAddressVersionType" />
1350             <xs:element name="address" type="xs:byte"
1351                     minOccurs="4" maxOccurs="16" />
1352         </xs:sequence>
1353     </xs:complexType>

```

1354 If the report with id="v4" fires for an element `ipaddress` of type `IPAddressType`,  
1355 then the output may look like

1356

```

1357
1358 <smlerr:errorData
1359     xmlns:sml="http://schemas.serviceml.org/smlerr/2007/02">
1360   <ipaddress xmlns="urn:IPAddress">
1361     <version>v4</version>
1362     <address>10</address>
1363     <address>10</address>
1364     <address>20</address>
1365     <address>0</address>
1366     <address>0</address> </ipaddress>
1367 </smlerr:errorData>

```

1368

1369 The following example illustrates an `smlerr:output` element whose expression  
1370 results in attribute nodes

```

1371 <xs:complexType name="universityType">
1372   <xs:annotation>
1373     <xs:appinfo>
1374       <sch:schema xmlns:sch="http://purl.oclc.org/dsdl/schematron">
1375         <sch:ns prefix="u" uri="urn:university" />
1376         <sch:pattern id="Count">
1377           <sch:rule context=".">
1378             <sch:assert id="StudentCount"
1379               test="count(u:student) > 20"
1380               smlerr:outputids="StudentXml">
1381               A university must have more than 20 students
1382             </sch:assert>
1383             <smlerr:output id="StudentXml"
1384               expression="@name|@isPublic">
1385
1386               </smlerr:output>
1387             </sch:rule>
1388           </sch:pattern>
1389         </sch:schema>
1390       </xs:appinfo>
1391     </xs:annotation>
1392   <xs:sequence>
1393     <xs:element name="student" type="sml:refType"
1394       minOccurs="0" maxOccurs="unbounded"/>
1395   </xs:sequence>
1396   <xs:attribute name="name" type="xs:string"/>
1397   <xs:attribute name="isPublic" type="xs:boolean"/>
1398 </xs:complexType>

```

1399

1400 If the assert fires for an element of type `universityType` then the output may look  
1401 like

```

1402
1403 <smlerr:errorData
1404     xmlns:sml="http://schemas.serviceml.org/smlerr/2007/02">
1405   <smlerr:attributeNode xmlns:u="urn:university"
1406     name="u:name">MIT</smlerr:attributeNode>
1407   <smlerr:attributeNode xmlns:u="urn:university"
1408     name="u:isPublic">>false</smlerr:attributeNode>
1409 </smlerr:errorData>

```

## 1410 6. Model Validation

1411 Model validation is the process of examining each document in a model and verifying  
1412 that this document is valid with respect to the model's definition documents, i.e.,  
1413 each document satisfies the schemas and rules defined in the model's definition  
1414 documents. All of the following MUST be true for a valid model:

- 1415 • Each document in the model MUST be a well-formed XML document [12]
- 1416 • Each XML Schema document in the model's definition documents MUST be a  
1417 valid XML Schema document [2]
- 1418 • Each Schematron document in the model's definition documents MUST be a  
1419 valid Schematron document [4]
- 1420 • Each document in the model MUST be XML Schema valid with respect to the  
1421 XML Schema documents in the model's definition documents
- 1422 • Each document in the model MUST satisfy all applicable `sml:target*` and  
1423 Schematron constraints
- 1424 • The model MUST NOT contain a cycle whose edges are references of type **R** if  
1425 **R** is an acyclic reference type

### 1426 6.1 Schematron Phase

1427 A phase in schematron can be used to define a collection of patterns. A schematron  
1428 processor can optionally evaluate only rules within a specific phase. For model  
1429 validation, rule evaluation happens on the #ALL phase, implying that every rule in  
1430 every pattern is evaluated.

## 1431 7. SML Extension Reference

1432 This section is a non-normative reference of the SML extensions to XML Schema and  
1433 XPath 1.0.

### 1434 7.1 Types

#### 1435 7.1.1 sml:refType

1436 A complex type representing a reference to an element.

```

1437
1438 <xs:complexType name="refType" sml:acyclic="false">
1439   <xs:sequence>
1440     <xs:any namespace="##any" minOccurs="0"
1441       maxOccurs="unbounded"
1442       processContents="lax"/>
1443   </xs:sequence>
1444   <xs:attribute ref="sml:ref" use="required"
1445     fixed="true" />

```

```
1446     <xs:anyAttribute namespace="##any"
1447                   processContents="lax"/>
1448 </xs:complexType>
```

1449 No specific scheme is mandated for representing references, and a model validator is  
1450 free to choose any suitable scheme. However, each reference value must resolve to  
1451 a single element. `sml:refType` can only be used with element declarations; it is not  
1452 supported on attribute declarations.

## 1453 7.2 Attributes

### 1454 7.2.1 `sml:acyclic`

1455 Used to specify that a derived type of `sml:refType` is acyclic, i.e., its instances do  
1456 not create any cycles in a model.

```
1457     <xs:attribute name="acyclic" type="xs:boolean"/>
```

1458 If this attribute is set to true for a derived type `D` of `sml:refType`, then instances of  
1459 `D` (including any derived types of `D`) can not create any cycles in a model. More  
1460 precisely, the directed graph whose nodes are documents that contain the source or  
1461 target elements for instances of `D`, and whose edges are instances of `D` (an edge is  
1462 directed from the document containing the source element to the document  
1463 containing the target element), must be acyclic. A model is invalid if its documents  
1464 result in a cyclic graph using instances of `D`. In the following example, `Hostref` is a  
1465 restricted derived type of `sml:refType` and its instances can not create any cycles:

```
1466     <xs:complexType name="Hostref" sml:acyclic="true">
1467       <xs:complexContent>
1468         <xs:restriction base="sml:refType"/>
1469       </xs:complexContent>
1470     </xs:complexType>
```

1472 If the `sml:acyclic` attribute is not specified or set to false for a derived type of  
1473 `sml:refType`, then instances of this reference type may create cycles in a model.  
1474 Note that `sml:acyclic` is specified as "false" for `sml:refType`; hence its instances  
1475 are allowed to create cycles in a model.

### 1477 7.2.2 `sml:ref`

1478 This global attribute is used to identify reference elements.

```
1479     <xs:attribute name="ref" type="xs:boolean"/>
```

1480 Any element that has `sml:ref="true"` will be treated as a reference element. Note  
1481 that `sml:ref="true"` for all elements whose type is `sml:refType` or a derived type  
1482 `sml:refType`.

1483

### 1484 7.2.3 `sml:targetElement`

1485 A `QName` representing the name of a referenced element

```
1486     <xs:attribute name="targetElement" type="xs:QName"/>
```

1487 `sml:targetElement` is supported as an attribute for element declarations whose  
1488 type is `sml:refType` or a type derived by restriction from `sml:refType`. The value  
1489 of this attribute must be the name of some global element declaration. Let  
1490 `sml:targetElement="ns:GTE"` for some element declaration **E**. Then each element  
1491 instance of **E** must target an element that is an instance of **ns:GTE** or an instance of

1492 some global element declaration in the substitution group hierarchy whose head is  
1493 **ns:GTE**.

1494 In the following example, the element referenced by instances of `HostOS` must be  
1495 instances of `win:Windows`

```
1496     <xs:element name="HostOS" type="sml:refType"  
1497               sml:targetElement="win:Windows"  
1498               minOccurs="0"/>
```

1499 A model is invalid if its documents violate one/more `sml:targetElement` constraints.

## 1500 7.2.4 `sml:targetRequired`

1501 Used to specify that instances of a reference element must target elements in the  
1502 model, i.e., an instance of the reference element can not be empty or null, or contain  
1503 a dangling reference which does not target any element in the model.

```
1504     <xs:attribute name="targetRequired" type="xs:boolean"/>
```

1505 In the following example, the `targetRequired` attribute is used to specify that  
1506 application instances must have a host operating system.

```
1507     <xs:complexType name="ApplicationType">  
1508       <xs:sequence>  
1509         <xs:element name="Name" type="xs:string"/>  
1510         <xs:element name="Vendor" type="xs:string"/>  
1511         <xs:element name="Version" type="xs:string"/>  
1512         <xs:element name="HostOSRef" type="sml:refType"  
1513                   sml:targetRequired="true"/>  
1514       </xs:sequence>  
1515     </xs:complexType>
```

1516 A model is invalid if its documents violate one/more `sml:targetRequired`  
1517 constraints.

## 1518 7.2.5 `sml:targetType`

1519 A `QName` representing the type of a referenced element

```
1520     <xs:attribute name="targetType" type="xs:QName">  
1521
```

1522 `sml:targetType` is supported as an attribute for element declarations whose type is  
1523 `sml:refType` or a type derived by restriction from `sml:refType`. If the value of this  
1524 attribute is specified as `T`, then the type of the referenced element must either be `T`  
1525 or a derived type of `T`. In the following example, the type of the element referenced  
1526 by the `OperatingSystem` element must be `"ibm:LinuxType"` or its derived type

```
1527     <xs:element name="OperatingSystem" type="sml:refType"  
1528               sml:targetType="ibm:LinuxType"  
1529               minOccurs="0"/>
```

1530 A model is invalid if its documents violate one/more `sml:targetType` constraints.

## 1531 7.3 Elements

### 1532 7.3.1 `sml:key`

1533 This element is used to specify a key constraint in some scope. The semantics are  
1534 essentially the same as that for `xs:key` but `sml:key` can also be used to specify key  
1535 constraints on other documents, i.e., the `sml:selector` child element of `sml:key`  
1536 can contain `deref` functions to resolve elements in another document.

```
1537     <xs:element name="key" type="sml:keybase"/>
```

1538 `sml:key` is supported in the `appinfo` of an `xs:element`.

### 1539 **7.3.2 sml:keyref**

1540 Applies a constraint in the context of the containing `xs:element` that scopes the range  
1541 of a nested document reference.

```
1542     <xs:element name="keyref">
1543       <xs:complexType>
1544         <xs:complexContent>
1545           <xs:extension base="sml:keybase">
1546             <xs:attribute name="refer" type="xs:QName" use="required"/>
1547           </xs:extension>
1548         </xs:complexContent>
1549       </xs:complexType>
1550     </xs:element>>
```

1551 `sml:keyref` is supported in the `appinfo` of an `xs:element`.

### 1552 **7.3.3 sml:unique**

1553 This element is used to specify a uniqueness constraint in some scope. The  
1554 semantics are essentially the same as that for `xs:unique` but `sml:unique` can also  
1555 be used to specify uniqueness constraints on other documents, i.e., the  
1556 `sml:selector` child element of `sml:unique` can contain `deref` functions to resolve  
1557 elements in another document.

```
1558     <xs:element name="unique" type="sml:keybase"/>
```

1559 `sml:unique` is supported in the `appinfo` of an `xs:element`.

### 1560 **7.3.4 sml:uri**

1561 Specifies a reference in URI scheme.

```
1562     <xs:element name="uri" type="xs:anyURI"/>
```

1563 This element must be used to specify references that use the URI scheme.

## 1564 **7.4 XPath functions**

### 1565 **7.4.1 smlfn:deref**

1566 `node-set deref(node-set)`

1567 This function takes a `node-set` of elements and attempts to resolve the references  
1568 contained in the elements that have `sml:ref="true"`. The resulting `node-set` is  
1569 the set of elements that are obtained by successfully resolving (or de-referencing)  
1570 the reference contained in each element in the input `node-set` for which  
1571 `sml:ref="true"`. For example,

```
1572     deref(/u:Universities/u:Students/u:Student)
```

1573 will resolve the reference in element `Student`. The target of the reference must always be  
1574 an element.

## 1575 **8. Open Issues**

- 1576 • What should be the semantics of the `smlfn:deref()` function if a reference  
1577 element has multiple child elements that represent the reference using the  
1578 same scheme? E.g.,

```
1579     <EnrolledCourse xmlns="urn:university" sml:ref="true">
```

```
1580     <sml:uri>SomeValidUri</sml:uri>
1581     <sml:uri>AnotherValidUri</sml:uri>
1582 </EnrolledCourse>
```

- 1583 • Do we need to support an `sml:phase` attribute (similar to the `phase` attribute  
1584 in Schematron) that can be used for selective validation of SML constraints?  
1585 Should this be extended to apply to XML Schema constraints?
- 1586 • Implementation of references that target non-root elements is challenging for  
1587 persistent SML stores built on top of relational database systems. The  
1588 standards body to which SML gets submitted should investigate this and, if  
1589 needed, explore options to ease the implementation burden for persistent  
1590 SML stores using relational databases. Possible areas of investigation are
  - 1591 ○ Restricting the XPath expression in XPointer fragment (similar to XPath  
1592 expressions allowed in `xs:selector`)
  - 1593 ○ Defining a new scheme for URIs that contain XPointer fragment
- 1594 • Implementation of SML identity constraints that use the `smlfn:deref()`  
1595 function in `sml:field/@xpath` expressions is challenging for persistent SML  
1596 stores built on top of relational database systems. The standards body to  
1597 which SML gets submitted should investigate this and, if needed, explore  
1598 options to ease the implementation burden for persistent SML stores using  
1599 relational databases.

## 1600 **9. Acknowledgements**

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1605 Matt Newman and Virginia Smith (HP)

1606 Johan Van De Groenendaal (Intel)

1607 Gene Golovinsky (formerly at BMC)

1608 John Tollefsrud (Sun)

1609 Drue Reeves (formerly at Dell)

## 1610 **10. References**

1611 **[1]** XML Schema Part 0: Primer (<http://www.w3.org/TR/xmlschema-0>)

1612 **[2]** XML Schema Part 1: Structures Second Edition

1613 (<http://www.w3.org/TR/xmlschema-1>)

1614 **[3]** XML Schema Part 2: Datatypes Second Edition

1615 (<http://www.w3.org/TR/xmlschema-2>)

1616 **[4]** Document Schema Definition Language (DSDL) – Part 3: Rule-based validation –  
1617 Schematron

1618 ([http://standards.iso.org/ittf/PubliclyAvailableStandards/c040833\\_ISO\\_IEC\\_19757-3\\_2006\(E\).zip](http://standards.iso.org/ittf/PubliclyAvailableStandards/c040833_ISO_IEC_19757-3_2006(E).zip))

1620 **[5]** An Introduction to Schematron

1621 (<http://www.xml.com/pub/a/2003/11/12/schematron.html>)

1622 **[6]** Improving XML Document Validation with Schematron

1623 ([http://msdn.microsoft.com/library/default.asp?url=/library/en-](http://msdn.microsoft.com/library/default.asp?url=/library/en-us/dnxml/html/schematron.asp)  
1624 [us/dnxml/html/schematron.asp](http://msdn.microsoft.com/library/default.asp?url=/library/en-us/dnxml/html/schematron.asp) )  
1625 **[7]** Uniform Resource Identifier (URI): Generic Syntax  
1626 (<http://www.ietf.org/rfc/rfc3986.txt>)  
1627 **[8]** Web Services Addressing (<http://www.w3.org/TR/ws-addr-core> )  
1628 **[9]** XML Path Language (XPath) Version 1.0 (<http://www.w3.org/TR/xpath>)  
1629 **[10]** XPointer (<http://www.w3.org/TR/xptr/>)  
1630 **[11]** XPointer xpointer() Scheme (<http://www.w3.org/TR/xptr-xpointer/>)  
1631 **[12]** Extensible Markup Language (XML) 1.0 (<http://www.w3.org/TR/REC-xml/>)  
1632 [13] Key Words for Use in RFCs to Indicate Requirement Levels  
1633 (<http://www.ietf.org/rfc/rfc2119.txt> )  
1634



## 1635 **Appendix I – Normative SML Schema**

1636

```
1637 <?xml version="1.0" encoding="utf-8"?>
```

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```

```
1646 http://schemas.serviceml.org/sml/2007/02/sml.xsd
```

1647

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```

1672

```
1673 <xs:schema xmlns:sml="http://schemas.serviceml.org/sml/2007/02"
1674           xmlns:xs="http://www.w3.org/2001/XMLSchema"
1675           targetNamespace="http://schemas.serviceml.org/sml/2007/02"
1676           elementFormDefault="qualified"
1677           blockDefault="#all"
1678           version="1.0"
1679           xml:lang="EN">
```

1680

```
1681 <!--
1682   References
1683   =====
```

1684

```
1685 -->
```

```
1684 <xs:complexType name="refType" sml:acyclic="false">
```

1685

```
1685 <xs:annotation>
```

1686

```
1686 <xs:documentation>
```

1687

```
1687 A complex type representing a reference to an element
1688 in the same or a different document. No specific scheme is
1689 mandated for references; an implementation is free to
```

```

1690         choose an appropriate scheme such as URI, EPR, etc.
1691         The target of the reference must unambiguously identify a
1692         single element.
1693     </xs:documentation>
1694 </xs:annotation>
1695 <xs:sequence>
1696     <xs:any namespace="##any" processContents="lax" minOccurs="0"
1697         maxOccurs="unbounded"/>
1698 </xs:sequence>
1699 <xs:attribute ref="sml:ref" use="required" fixed="true"/>
1700 <xs:anyAttribute namespace="##any" processContents="lax"/>
1701 </xs:complexType>
1702 <!-- CONTEXT: To be used in <xs:element> -->
1703 <xs:attribute name="ref" type="xs:boolean">
1704     <xs:annotation>
1705         <xs:documentation>
1706             Specifies if the element contains a reference
1707         </xs:documentation>
1708     </xs:annotation>
1709 </xs:attribute>
1710 <!-- CONTEXT: To be used in <xs:element> where type="sml:refType"
1711 -->
1712 <xs:attribute name="targetElement" type="xs:QName">
1713     <xs:annotation>
1714         <xs:documentation>
1715             A qualified name of an element in the
1716             referenced document.
1717         </xs:documentation>
1718     </xs:annotation>
1719 </xs:attribute>
1720 <!-- CONTEXT: To be used in <xs:element> where type="sml:refType"
1721 -->
1722 <xs:attribute name="targetRequired" type="xs:boolean">
1723     <xs:annotation>
1724         <xs:documentation>
1725             If true, requires the target element of the reference to
1726             exist in the model.
1727         </xs:documentation>
1728     </xs:annotation>
1729 </xs:attribute>
1730 <!-- CONTEXT: To be used in <xs:element> where type="sml:refType"
1731 -->
1732 <xs:attribute name="targetType" type="xs:QName">
1733     <xs:annotation>
1734         <xs:documentation>
1735             A qualified name of the type of the element in the
1736             referenced document.
1737         </xs:documentation>
1738     </xs:annotation>
1739 </xs:attribute>
1740 <!-- CONTEXT: To be used in sml:refType and its derived types-->
1741 <xs:attribute name="acyclic" type="xs:boolean">
1742     <xs:annotation>
1743         <xs:documentation>
1744             If this attribute is set to true for a derived type D of
1745             sml:refType, then instances of D should not create any
1746             cycles in a model. More precisely, the directed graph whose

```

```

1747         edges represent instances of D, and whose nodes represent
1748         documents that contain the source or target elements for
1749         instances of D, must be acyclic.
1750     </xs:documentation>
1751 </xs:annotation>
1752 </xs:attribute>
1753 <!-- CONTEXT: Represents a reference using the URI scheme. To be
1754         used as a child element of elements for which
1755         sml:ref="true". -->
1756 <xs:element name="uri" type="xs:anyURI">
1757     <xs:annotation>
1758         <xs:documentation>
1759             References in URI scheme must be representend by this
1760             element.
1761         </xs:documentation>
1762     </xs:annotation>
1763 </xs:element>
1764 <!--
1765     Uniqueness and Key constraints
1766     =====
1767 -->
1768 <xs:complexType name="keybase">
1769     <xs:sequence minOccurs="0">
1770         <xs:element name="selector" type="sml:selectorXPathType"/>
1771         <xs:element name="field" type="sml:fieldXPathType"
1772             minOccurs="0" maxOccurs="unbounded"/>
1773         <xs:any namespace="##other" minOccurs="0"
1774             maxOccurs="unbounded" processContents="lax"/>
1775     </xs:sequence>
1776     <xs:attribute name="name" type="xs:NCName"/>
1777     <xs:attribute name="ref" type="xs:QName"/>
1778     <xs:anyAttribute namespace="##other" processContents="lax"/>
1779 </xs:complexType>
1780 <xs:element name="key" type="sml:keybase"/>
1781 <xs:element name="unique" type="sml:keybase"/>
1782 <xs:element name="keyref">
1783     <xs:complexType>
1784         <xs:complexContent>
1785             <xs:extension base="sml:keybase">
1786                 <xs:attribute name="refer" type="xs:QName"
1787                     use="required"/>
1788             </xs:extension>
1789         </xs:complexContent>
1790     </xs:complexType>
1791 </xs:element>
1792 <!--
1793     Other Complex Types
1794     =====
1795 -->
1796
1797 <xs:complexType name="selectorXPathType">
1798     <xs:sequence>
1799         <xs:any namespace="##other" minOccurs="0"
1800             maxOccurs="unbounded" processContents="lax"/>
1801     </xs:sequence>
1802     <xs:attribute name="xpath" use="required">
1803         <xs:simpleType>

```

```
1804         <xs:restriction base="xs:string">
1805             <!-- TODO: add a pattern facet for selector xpath -->
1806         </xs:restriction>
1807     </xs:simpleType>
1808 </xs:attribute>
1809     <xs:anyAttribute namespace="##other" processContents="lax"/>
1810 </xs:complexType>
1811
1812 <xs:complexType name="fieldXPathType">
1813     <xs:sequence>
1814         <xs:any namespace="##other" minOccurs="0"
1815             maxOccurs="unbounded" processContents="lax"/>
1816     </xs:sequence>
1817     <xs:attribute name="xpath" use="required">
1818         <xs:simpleType>
1819             <xs:restriction base="xs:string">
1820                 <!-- TODO: add a pattern facet for field xpath -->
1821             </xs:restriction>
1822         </xs:simpleType>
1823     </xs:attribute>
1824     <xs:anyAttribute namespace="##other" processContents="lax"/>
1825 </xs:complexType>
1826 </xs:schema>
1827
```

## 1828 **Appendix II – Normative SML Error Schema**

1829

1830 `<?xml version="1.0" encoding="utf-8"?>`

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1849 `Document.`

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1868

1869

1870 `<xs:schema`

1871 `xmlns:smlerr="http://schemas.serviceml.org/smlerr/2007/02"`

1872 `xmlns:xs="http://www.w3.org/2001/XMLSchema"`

1873 `targetNamespace="http://schemas.serviceml.org/smlerr/2007/02"`

1874 `elementFormDefault="qualified"`

1875 `blockDefault="#all"`

1876 `version="1.0"`

1877 `xml:lang="EN">`

1878

1879 `<xs:element name="errorData" type="smlerr:errorDataType"/>`

1880 `<xs:element name="output" type="smlerr:outputType"/>`

1881 `<xs:element name="attributeNode" type="smlerr:attributeNodeType"/>`

1882

```
1883 <xs:attribute name="outputids" type="xs:IDREFS"/>
1884 <xs:attribute name="localizationid" type="xs:anyURI"/>
1885
1886 <xs:complexType name="outputType">
1887   <xs:attribute name="id" type="xs:ID" use="required"/>
1888   <xs:attribute name="applicationUri" type="xs:anyURI"/>
1889   <xs:attribute name="expression" type="xs:string" use="required"/>
1890 </xs:complexType>
1891
1892 <xs:complexType name="attributeNodeType">
1893   <xs:simpleContent>
1894     <xs:extension base="xs:string">
1895       <xs:attribute name="name" type="xs:QName"/>
1896     </xs:extension>
1897   </xs:simpleContent>
1898 </xs:complexType>
1899
1900 <xs:complexType name="errorDataType">
1901   <xs:sequence>
1902     <xs:any namespace="##any" processContents="skip"/>
1903   </xs:sequence>
1904 </xs:complexType>
1905 </xs:schema>
```

1906

## 1907 **Appendix III – Sample Model**

1908 This sample model illustrates the use of the following SML extensions:

- 1909 • Inter-document references
- 1910 • `key` and `keyref` constraints
- 1911 • User-defined constraints

```
1912 <?xml version="1.0" encoding="utf-8" ?>
1913 <xs:schema targetNamespace="SampleModel"
1914           elementFormDefault="qualified"
1915           xmlns:tns="SampleModel"
1916           xmlns:sml="http://schemas.serviceml.org/sml/2007/02"
1917           xmlns:smlfn=
1918             "http://schemas.serviceml.org/sml/function/2006/07"
1919           xmlns:sch="http://purl.oclc.org/dsdl/schematron"
1920           xmlns:xs="http://www.w3.org/2001/XMLSchema">
1921
1922   <xs:import namespace="http://schemas.serviceml.org/sml/2007/02"/>
1923
1924   <xs:simpleType name="SecurityLevel">
1925     <xs:restriction base="xs:string">
1926       <xs:enumeration value="Low"/>
1927       <xs:enumeration value="Medium"/>
1928       <xs:enumeration value="High"/>
1929     </xs:restriction>
1930   </xs:simpleType>
1931
1932   <xs:complexType name="Hostref" sml:acyclic="true">
1933     <xs:complexContent>
1934       <xs:restriction base="sml:refType"/>
1935     </xs:complexContent>
1936   </xs:complexType>
1937
1938   <!-- This element represents the host operating system for
1939        an application. Note that the type of the referenced
1940        element must be OperatingSystemType or a derived type
1941        of OperatingSystemType -->
1942   <xs:element name="HostOSRef" type="tns:Hostref"
1943             sml:targetType="tns:OperatingSystemType"/>
1944
1945   <xs:complexType name="ApplicationType">
1946     <xs:sequence>
1947       <xs:element name="Name" type="xs:string"/>
1948       <xs:element name="Vendor" type="xs:string"/>
1949       <xs:element name="Version" type="xs:string"/>
1950       <xs:element ref="tns:HostOSRef" minOccurs="0"/>
1951     </xs:sequence>
1952   </xs:complexType>
1953
```

```

1954
1955 <xs:simpleType name="ProtocolType">
1956   <xs:list>
1957     <xs:simpleType>
1958       <xs:restriction base="xs:string">
1959         <xs:enumeration value="TCP"/>
1960         <xs:enumeration value="UDP"/>
1961         <xs:enumeration value="SMTP"/>
1962         <xs:enumeration value="SNMP"/>
1963       </xs:restriction>
1964     </xs:simpleType>
1965   </xs:list>
1966 </xs:simpleType>
1967
1968 <xs:element name="GuestAppRef" type="sml:refType"
1969           sml:targetType="tns:ApplicationType"/>
1970
1971 <xs:complexType name="OperatingSystemType">
1972   <xs:sequence>
1973     <xs:element name="Name" type="xs:string"/>
1974     <xs:element name="FirewallEnabled" type="xs:boolean"/>
1975     <xs:element name="Protocol" type="tns:ProtocolType"/>
1976     <!-- The following element represents the applications hosted by
1977           operating system -->
1978     <xs:element name="Applications" minOccurs="0">
1979       <xs:complexType>
1980         <xs:sequence>
1981           <xs:element ref="tns:GuestAppRef" maxOccurs="unbounded"/>
1982         </xs:sequence>
1983       </xs:complexType>
1984     </xs:element>
1985   </xs:sequence>
1986 </xs:complexType>
1987
1988 <xs:element name="OSRef" type="sml:refType"
1989           sml:targetType="tns:OperatingSystemType"/>
1990
1991 <xs:complexType name="WorkstationType">
1992   <xs:sequence>
1993     <xs:element name="Name" type="xs:string"/>
1994     <xs:element ref="tns:OSRef"/>
1995     <xs:element name="Applications" minOccurs="0">
1996       <xs:complexType>
1997         <xs:sequence>
1998           <xs:element ref="tns:GuestAppRef" maxOccurs="unbounded"/>
1999         </xs:sequence>
2000       </xs:complexType>
2001     </xs:element>
2002   </xs:sequence>
2003 </xs:complexType>
2004

```



```

2005
2006 <xs:element name="Workstation" type="tns:WorkstationType">
2007   <xs:annotation>
2008     <xs:appinfo>
2009       <sch:schema>
2010         <sch:ns prefix="sm" uri="SampleModel"/>
2011         <sch:ns prefix="smlfn"
2012           uri="http://schemas.serviceml.org/sml/function/2006/07"/>
2013         <sch:pattern id="OneHostOS">
2014           <!-- The constraints in the following rule are evaluated
2015             For all instances of the Workstation global element-->
2016           <sch:rule context=".">
2017             <!-- define a named variable - MyApplications -
2018               for use in test expression-->
2019             <sch:let name="MyApplications"
2020               value="smlfn:deref(sm:Applications/sm:GuestAppRef)"/>
2021             <sch:assert test=
2022               "count($MyApplications)=
2023                 count($MyApplications/sm:HostOSRef)">
2024               Each application in workstation
2025               <sch:value-of select="string(sm:Name)"/>
2026               must be hosted on an operating system
2027             </sch:assert>
2028           </sch:rule>
2029         </sch:pattern>
2030       </sch:schema>
2031
2032       <!-- In a workstation, (Vendor,Name,Version) is the key for
2033         guest applications -->
2034       <sml:key name="GuestApplicationKey">
2035         <sml:selector
2036           xpath="smlfn:deref(tns:Applications/tns:GuestAppRef)"/>
2037         <sml:field xpath="tns:Vendor"/>
2038         <sml:field xpath="tns:Name"/>
2039         <sml:field xpath="tns:Version"/>
2040       </sml:key>
2041
2042       <!-- In a workstation, Name is the key for operating system -->
2043       <sml:key name="OSKey">
2044         <sml:selector xpath="smlfn:deref(tns:OSRef)"/>
2045         <sml:field xpath="tns:Name"/>
2046       </sml:key>
2047
2048       <!-- In a workstation, the applications hosted by the
2049         referenced operatinsystem must be a subset of the
2050         applications in the workstation -->
2051       <sml:keyref name="OSGuestApplication"
2052         refer="tns:GuestApplicationKey">
2053         <sml:selector xpath=
2054           "smlfn:deref(tns:OSRef)/tns:Applications/tns:GuestAppRef"
2055         />
2056         <sml:field xpath="tns:Vendor"/>
2057         <sml:field xpath="tns:Name"/>
2058         <sml:field xpath="tns:Version"/>
2059       </sml:keyref>
2060
2061

```

```

2062     <!-- In a workstation, the host operating system of guest
2063           applications must be a subset of the operating system in
2064           the workstation -->
2065     <sml:keyref name="ApplicationHostOS" refer="tns:OSKey">
2066       <sml:selector xpath=
2067         "smlfn:deref(tns:Applications/tns:GuestAppRef)/tns:HostOSRef"
2068       />
2069
2070       <sml:field xpath="tns:Name"/>
2071     </sml:keyref>
2072
2073   </xs:appinfo>
2074 </xs:annotation>
2075 </xs:element>
2076
2077 <xs:element name="SecureWorkstation" type="tns:WorkstationType">
2078   <xs:annotation>
2079     <xs:appinfo>
2080       <sch:schema>
2081         <sch:ns prefix="sm" uri="SampleModel" />
2082         <sch:ns prefix="smlfn"
2083           uri="http://schemas.serviceml.org/sml/function/2006/07"
2084         />
2085         <sch:pattern id="SecureApplication">
2086           <sch:rule
2087             context="smlfn:deref(sm:Applications/sm:Application)">
2088             <sch:report test="sm:SecurityLevel!='High'">
2089               Application <sch:value-of select="string(sm:Name)"/>
2090               from <sch:value-of select="string(sm:Vendor)"/>
2091               does not have high security level
2092             </sch:report>
2093             <sch:assert test="sm:Vendor='TrustedVendor'">
2094               A secure workstation can only contain
2095               applications from TrustedVendor
2096             </sch:assert>
2097           </sch:rule>
2098         </sch:pattern>
2099       </sch:schema>
2100     </xs:appinfo>
2101   </xs:annotation>
2102 </xs:element>
2103
2104 </xs:schema>
2105
2106

```