FOREWORD BY ELIZABETH CASTRO

XML has come a long way since I wrote the first edition of this book in 2001. It is as widespread now as it was exotic then.

Last year, I bumped into my friend Kevin Goldberg on a visit to California. We had known each other in college, and had played a lot of Boggle together in Barcelona.

When he offered to help me revise this book, I jumped at the chance. Kevin has been working in the computer industry for more than twenty years. He started his career as a video game programmer and producer. Since 1997, Kevin has been serving as partner and chief technology officer at imagistic, an award-winning, Web development and services company in Southern California. In this role, he is regularly called upon to help clients clarify their business needs, and to clearly communicate the nature and applicability of potential technology solutions—in a sense, demystify technology.

Besides all of these apt credentials, Kevin is a great guy. He is smart, conscientious, creative, and—not to mention—careful with details. In addition to updating the content and examples in the book, he added chapters on XSL-FO, recent W3C recommendations (XSLT 2.0, XPath 2.0 and XQuery 1.0), and a chapter devoted to real world examples called XML in Practice. I am most confident that you will find this second edition of XML: Visual QuickStart Guide to be an excellent tutorial for learning all about XML.

Elizabeth Castro
Author of XML for the World Wide Web: Visual QuickStart Guide

ABOUT THE AUTHOR

Kevin Howard Goldberg has been working with computers since 1976 when he taught himself BASIC on his elementary school’s PDP 11/70. Since then, Kevin’s career has included management consulting using commerce simulations, and lead software development for numerous video game titles in multi-million dollar divisions at Film Roman and Lionsgate (previously Trimark). In his current capacity, he runs technology operations for a world-class Internet Strategy, Marketing and Development company in Westlake Village, California.

Kevin serves on the Santa Monica College Computer Science and Information Systems Advisory Board, and was invited to speak at the ACLU Nationwide Staff Conference as a Web development and production expert.

Kevin holds a bachelor’s degree in Economics and Entrepreneurial Management from the Wharton School of Business at the University of Pennsylvania, and is a candidate for a master’s degree in Computer Science at the University of California, Los Angeles.
DEDICATION

This book is dedicated to my wife, Lainie; in exchange for harried weekends, night-time surrogates, and an overcrowded bedroom, she receives this book. I am truly blessed.

THANK YOU

Michael Weiss, my business partner (of more than eleven years), my brother-in-law, and my friend. His support throughout this process; uncanny ability to see things from a reader’s perspective; and willingness to do what it took to get the job done, while I was, at times, preoccupied, was invaluable to me.

Chris Hare, my technical editor, for jumping into the XML deep-end and amazingly keeping everything else afloat; teaching me the subtleties of punctuation (colons, semicolons, and parenthetical expressions, oh my!); and being so detailed that when a page came back with less than a dozen red marks, I was concerned.

The staff at imagistic (Chris, Heidi, Robert, Sam, Tamara, and Will), who didn’t know what was coming, but nonetheless kept all the plates spinning with grace and humor.

David Van Ness, Peachpit’s production editor extraordinaire, who was so incredibly helpful, resourceful, accommodating, available, and patient.

Nancy Davis, editor-in-chief at Peachpit, for seeing all the possibilities and shepherding this complex process through to completion.

Finally, a very special thanks to Elizabeth Castro, whose openness, honesty, integrity, and first edition of this book made this second edition possible.

IMAGE COPYRIGHTS

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- Depictions of The Seven Wonders of the Ancient World, as painted by 16th-century Dutch artist Marten Jacobszoon Heemskerk van Veen, reside within the public domain.
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Internet time. A phrase whose meaning has come about as fast as it suggests; *happening significantly faster than one could normally expect*. In 1991, the first Web site was put online. Now, less than twenty years later, the number of Web sites online is thought to be more than one hundred million, give or take a few.

The amount of information available through the Internet has become practically uncountable. Most of that information is written in HTML (*HyperText Markup Language*), a simple but elegant way of displaying data in a Web browser. HTML’s simplicity has helped fuel the popularity of the Web. However, when faced with the Internet’s huge and growing quantity of information, it has presented real limitations.

In the seven years since the first edition of this book was published, XML (*eXtensible Markup Language*) has taken its place next to HTML as a foundational language on the Internet. XML has become a very popular method for storing data and the most popular method for transmitting data between all sorts of systems and applications. The reason being, where HTML was designed to display information, XML was designed to manage it.

This book will begin by showing you the basics of the XML language. Then, by building on that knowledge, additional and supporting languages and systems will be discussed. To get the most out of this book, you should be somewhat familiar with HTML, although you don’t need to be an expert coder by any stretch. No other previous knowledge is required.
**What is XML?**

XML, or eXtensible Markup Language, is a specification for storing information. It is also a specification for describing the structure of that information. And while XML is a markup language (just like HTML), XML has no tags of its own. It allows the person writing the XML to create whatever tags they need. The only condition is that these newly created tags adhere to the rules of the XML specification.

And what does all that mean? OK, enough words. Try reading through the example XML document in Figure i.1, and answering the following questions:

1. What information is being stored?
2. What is the structure of the information?
3. What tags were created to describe the information and its structure?

As you may have concluded, the information being stored is that of my children. The structure of the information is that each child bears a description of their name, gender, and age. Finally, the tags created to describe the information and its structure are: my_children, child, name, gender, and age.

So, what exactly is XML? It is a set of rules for defining custom-built markup languages. The XML specification enables people to define their own markup language. Then they, or others, can create XML documents using that markup language.

The example shown in Figure i.1 is an XML document that I created using an XML markup language that I defined. It stores information about my children using an XML structure and custom tags that I designed.

---

**Figure i.1** Here is an example XML document. By reading the custom tags that I created, you can tell this is an XML document about my children. In fact, you can tell how many children I have, their names, their genders, and their ages.
Introduction

The Power of XML

So, why use XML? What does it do that existing technologies and languages don’t? For one, XML was specifically designed for data storage and transportation. XML looks a lot like HTML, complete with tags, attributes, and values (Figure i.2). But rather than serving as a language for displaying information, XML is a language for storing and carrying information.

Another reason to use XML is that it is easily extended and adapted. You use XML to design your own custom markup languages, and then you use those languages to store your information. Your custom markup language will contain tags that actually describe the data that they contain. And those tags can be reused in other applications of XML, scaled back, or added to, as you deem necessary.

XML can also be used to share data between disparate systems and organizations. The reason for this is that an XML document is simply a text file and nothing more. It is well-structured, easy to understand, easy to parse, easy to manipulate, and is considered “human-readable.” For example, you were able to read, and likely understand, the examples shown in both Figures i.1 and i.2.

Finally, XML is a non-proprietary specification and is free to anyone who wishes to use it. It was created by the W3C (www.w3.org), an international consortium primarily responsible for the development of platform-independent Web standards and specifications. This open standard has enabled organizations large and small to use XML as a means of sharing information. And, it has supported a larger international effort to create new applications based on the XML standard, helping to overcome barriers in commerce created by independently developed standards and governmental regulations.
Extending XML

An important observation about XML (Figure i.3) is that while HTML is used to format data for display (Figure i.4), XML describes, and is, the data itself.

Since XML tags are created from scratch, those tags have no inherent formatting; a browser can’t know how to display the `<wonder>` tag. Therefore, it’s your job to specify how an XML document should be displayed. You can do this using XSL, or eXtensible Stylesheet Language.

XSL is actually made up of three languages: XSLT, for transforming XML documents; XPath, for identifying different parts of an XML document; and XSL-FO, for formatting an XML document. XSL lets you manipulate the information in an XML document into any format you need; most frequently into HTML, or an XML document with a different structure than the original. XSL is described in detail in Part 2 (see page 17).

In addition to displaying an XML document, there are ways to define the structure of an XML document. Either written with a DTD (Document Type Definition) or with the XML Schema language, these structural definitions (or schemas) specify the tags you can use in your XML documents, and what content and attributes those tags can contain. You’ll learn about DTD in Part 3 (see page 73), XML Schema in Part 4 (see page 111), and I’ll explain how you can use XML Namespaces to extend XML Schemas in Part 5 (see page 161).

As with most technologies, even as you are reading this page, there are numerous new extensions being developed for XML. In Part 6 (see page 181) of the book, I’ll discuss some of these recent developments, including XSLT 2.0, along with XPath 2.0 and its extension, XQuery, used for the querying of XML and databases.
Introduction

XML in Practice

Since the first edition of this book, XML has been adopted in many significant ways. Not the least of which is that all standard browsers can read XML documents, use XML schemas (DTD and XML Schema), and interpret XSL to format and display XML documents.

That said, however, the once widely held notion that XML could replace HTML for serving Web pages is now more distant than ever. To accomplish this would require worldwide adoption of new browsers supporting additional XML technologies and webmasters around the world would need to undertake the gargantuan task of rewriting their sites in XML.

Since XML is not going to replace HTML, what was initially considered a temporary solution has become a well-recognized standard: use XML to manage and organize information, and use XSL to convert the XML into HTML. With this, you benefit from the power of XML to store and transport data, and the universality of HTML to then format and display it.

In addition to becoming browser readable, XML has been adopted in numerous other real world applications. Two of the most widely recognized uses are RSS and Ajax. RSS (Really Simple Syndication) is an XML format used to syndicate Web site content such as news articles, podcasts and blog entries (Figure i.5).

Ajax (Asynchronous JavaScript and XML) is a type of Web programming that creates a more enhanced user experience on the Web pages that use it (Figure i.6). It is the result of combining HTML and JavaScript with XML. Ajax enables Web browsers to get new data from a Web server without having to reload the Web page each time, thereby increasing the page’s responsiveness and usability.

You can read about both these applications of XML, among others, in Part 7 (see page 219).
About This Book

This book is divided into seven parts. Each part contains one or more chapters with step-by-step instructions which explain how to perform XML-related tasks. Wherever possible, I display examples of the concepts being discussed, and I highlight the parts of the examples on which to focus.

I often have two or more different examples on the same page, perhaps an XSL style sheet and the XML document that it will transform. You can tell what type of file the example is by looking at the example’s header and the color of the text itself (Figures i.7 and i.8). For example, XML uses green text and DTD uses blue text.

Throughout the book, I have used the following conventions. When I want you to type some text exactly as is, it will display in a different font and bold. Then, when I want you to change a placeholder in that text to a term of your own, that placeholder will appear italicized. Lastly, when I introduce a new term or need to emphasize something, it will also appear italicized.

A Guided Tour

The order of the book is intentionally designed. In Part 1 of the book, I will show you how to create an XML document. It’s relatively straightforward, and even more so if you know a little HTML.

Part 2 focuses on XSL; a set of languages designed to transform an XML document into something else: an HTML file, a PDF document, or another XML document. Remember, XML is designed to store and transport data, not display it.

Parts 3 and 4 of the book discuss DTD and XML Schema, languages designed to define the structure of an XML document. In conjunction with XML Namespaces (Part 5 of the book), you can guarantee that XML documents...
conform to a pre-defined structure, whether created by you or by someone else.

Part 6, Developments and Trends, details some of the up-and-coming XML-related languages, as well as a few new versions of existing languages. Finally, Part 7 identifies some well-known uses of XML in the world today; some of which you may be surprised to learn.

**XML2e Companion Web Site**

You can download all the examples used in this book at [www.kehogo.com/xml2e](http://www.kehogo.com/xml2e). I strongly recommend that you do so, and then follow along either electronically, or using a paper printout. In many cases, it’s impossible to show an entire example on a page, and yet it would be helpful for you to see it all. Having an XML editor opened with the examples is ideal; see Appendix A for some XML editor recommendations. If not, at least having a paper printout will prove very useful.

You will also find that the Web site contains additional support material for the book, including an online table of contents, a question and answer section, and updates. I welcome your questions and comments at the Q & A section of the site. Answering questions publicly allows me to help more people at the same time (and gives you, the readers, the opportunity to help each other).

**From 2001 to 2008**

This book is an updated and expanded version of Elizabeth Castro’s *XML for the World Wide Web* published in 2001. Liz has written many best-selling books on different technologies and I am delighted and honored to be updating her work.

I hope that you enjoy learning about XML as much as I’ve enjoyed writing about it.
What This Book is Not

XML is an incredibly powerful system for managing information. You can use it in combination with many, many other technologies. You should know that this book is not, nor does it try to be, an exhaustive guide to XML. Instead, it is a beginner’s guide to using XML and its core tools / languages.

This book won’t teach you about SAX, OPML, or XML-RPC, nor will it teach you about JavaScript, Java, or PHP, although these are commonly used with XML. Many of these topics deserve their own books (and have them). While there are numerous ancillary technologies that can work with XML documents, this book focuses on the core elements of XML, XML transformations, and schemas. These are the basic topics you need to understand in order to start creating and using your own XML documents.

Sometimes, especially when you’re starting out, it’s more helpful to have clear, specific, easy-to-grasp information about a smaller set of topics, rather than general, wide-ranging data about everything under the sun. My hope is that this book will give you a solid foundation in XML and its core technologies which will enable you to move on to the other pieces of the XML puzzle once you’re ready.

Figure i.9 The World Wide Web Consortium (www.w3.org) is the main standards body for the Web. You can find the official specifications there for all the languages discussed in this book, including XML, XSL, DTD, and XML Schema. You’ll also find information on advanced and additional topics including XSL-FO, XQuery, and of course, HTML and XHTML.
PART 1: XML

Writing XML 3
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The XML specification defines how to write a document in XML format. XML is not a language itself. Rather, an XML document is written in a custom markup language, according to the XML specification. For example, there could be custom markup languages describing genealogical, chemical, or business data, and you could write XML documents in each one.

Every custom markup language created using the XML specification must adhere to XML’s underlying grammar. Therefore, that is where I will start this book. In this chapter, you will learn the rules for writing XML documents, regardless of the specific custom markup language in which you are writing.

Officially, custom markup languages created with XML are called XML applications. In other words, these custom markup languages are applications of XML, such as XSLT, RSS, SOAP, etc. But for me, an application is a full-blown software program, like Photoshop. I find the term so imprecise, I usually try to avoid it.

**Tools for Writing XML**

XML, like HTML, can be written using any text editor or word processor. There are also many XML editors that have been created since the first edition of this book. These editors have various capabilities, such as validating your XML as you type (see Appendix A).

I’ll assume you know how to create new documents, open old ones for editing, and save them when you’re done. Just be sure to save all your XML documents with the `.xml` extension.
An XML Sample

XML documents, like HTML documents, are comprised of tags and data. One big difference between the two documents, however, is that the tags used by an XML document are created by the author. Another big difference is that an XML document stores and describes that data; it doesn’t do anything more with the data, such as display it, like an HTML document does.

XML documents should be rather self-explanatory in that the tags should describe the data they contain (Figure 1.1).

The first line of the XML document `<xml version="1.0"?>` is the XML declaration which notes which version of XML you are using. The next line `<wonder>` begins the data part of the document and is called the root element. In an XML document, there can be only one root element.

The next 3 lines are called child elements, and they describe the root element in more detail.

  `<name>Colossus of Rhodes</name>
  <location>Rhodes, Greece</location>
  <height units="feet">107</height>`

The last child element, height, contains an attribute called units which is being used to store the specific units of the height measurement. Attributes are used to include additional information to the element, without adding text to the element itself.

Finally, the XML document ends with the closing tag of the root element `/wonder`.

This is a complete and valid XML document. Nothing more needs to be written, added, annotated, or complicated. Period.

Figure 1.1 An XML document describing one of the Seven Wonders of the World: the Colossus of Rhodes. The document contains the name of the wonder, as well as its location and its height in feet.

```xml
<?xml version="1.0"?>
<wonder>
  <name>Colossus of Rhodes</name>
  <location>Rhodes, Greece</location>
  <height units="feet">107</height>
</wonder>
```

Figure 1.2 Here I am extending the XML document in Figure 1.1 above to support multiple `<wonder>` elements. This is done by creating a new root element `<ancient_wonders>` which will contain as many `<wonder>` elements as desired. Now, the XML document contains information about the Colossus of Rhodes along with the Great Pyramid of Giza, which is located in Giza, Egypt, and is 455 feet tall.

```xml
<?xml version="1.0"?>
<ancient_wonders>
  <wonder>
    <name>Colossus of Rhodes</name>
    <location>Rhodes, Greece</location>
    <height units="feet">107</height>
  </wonder>
  <wonder>
    <name>Great Pyramid of Giza</name>
    <location>Giza, Egypt</location>
    <height units="feet">455</height>
  </wonder>
</ancient_wonders>
```
Rules for Writing XML

XML has a structure that is extremely regular and predictable. It is defined by a set of rules, the most important of which are described below. If your document satisfies these rules, it is considered well-formed. Once a document is considered well-formed, it can be used in many, many ways.

A root element is required

Every XML document must contain one, and only one, root element. This root element contains all the other elements in the document. The only pieces of XML allowed outside (preceding) the root element are comments and processing instructions (Figure 1.3).

Closing tags are required

Every element must have a closing tag. Empty elements (see page 12) can use a separate closing tag, or an all-in-one opening and closing tag with a final slash. Notice that all elements are properly nested; that is, none are overlapping.

Elements must be properly nested

If you start element A, then start element B, you must first close element B before closing element A (Figure 1.4).

Case matters

XML is case sensitive. Elements named wonder, WONDER, and Wonder are considered entirely separate and unrelated to each other (Figure 1.5).

Values must be enclosed in quotation marks

An attribute’s value must always be enclosed in either matching single or double quotation marks (Figure 1.6).
Elements, Attributes, and Values

XML uses the same building blocks as HTML: tags that define elements, values of those elements, and attributes. An XML element is the most basic unit of your document. It can contain text, attributes, and other elements. An element has an opening tag with a name written between less than (<) and greater than (>) signs (Figure 1.7). The name, which you invent yourself, should describe the element’s purpose and, in particular, its contents. An element is generally concluded with a closing tag, comprised of the same name preceded with a forward slash, enclosed in the familiar less than and greater than signs. The exception to this is called an empty element which may be “self-closing,” and is discussed on page 12.

Elements may have attributes. Attributes, which are contained within an element’s opening tag, have quotation-mark delimited values that further describe the purpose and content (if any) of the particular element (Figure 1.8). Information contained in an attribute is generally considered metadata; that is, information about the data in the element, as opposed to the data itself. An element can have as many attributes as desired, as long as each has a unique name.

The rest of this chapter is devoted to writing elements, attributes, and values.

White Space

You can add extra white space, including line breaks, around the elements in your XML code to make it easier to edit and view (Figure 1.9). While extra white space is visible in the file and when passed to other applications, it is ignored by the XML processor, just as it is with HTML in a browser.
How To Begin

In general, you should begin each XML document with a declaration that notes what version of XML you’re using. This line is called the XML declaration (Figure 1.10).

To declare the version of XML that you’re using:

1. At the very beginning of your document, before anything else, type `<?xml`.
2. Then, type `version="1.0"`.
3. Finally, type `?>` to complete the declaration.

✔ Tips

- The W3C released a Recommendation for XML Version 1.1 in 2006, but it has few new benefits and little to no support.
- Be sure to enclose the version number in single or double quotation marks. (It doesn’t matter which you use, so long as they match.)
- Tags that begin with `<?` and end with `?>` are called processing instructions. In addition to declaring the version of XML, processing instructions are also used to specify the style sheet that should be used, among other things. Style sheets are discussed in detail in Part 2, XSL.
- This XML processing instruction can also designate the character encoding (UTF-8, ISO-8859-1, etc.), that you’re using for the document. Character encodings are discussed in Appendix B.
Creating the Root Element

Every XML document must have one, and only one, element that completely contains all the other elements. This all-encompassing parent element is called the root element.

To create the root element:

1. At the beginning of your XML document, type `<root>`, where root is the name of the element that will contain the rest of the elements in the document (Figure 1.11).
2. Leave a few empty lines for the rest of your XML document.
3. Finally, type `</root>` exactly matching the name you chose in Step 1.

✔ Tips

- Case matters. `<WONDER>` is not the same as `<Wonder>` or `<wonder>`.
- Element (and attribute) names should be short and descriptive.
- Element and attribute names must begin with a letter, an underscore, or a colon. Names that begin with the letters xml (in any combination of upper- and lowercase), are reserved and cannot be used.
- Element and attribute names may contain any number of letters, digits, underscores, and a few other punctuation characters.
- Caveat: Although colons, hyphens, and periods are valid within element and attribute names, I recommend that you avoid including them, as they’re often used in specific circumstances (such as for identifying namespaces, subtraction, and object properties, respectively).
- No elements are allowed outside the opening and closing root tags. The only items that are allowed are processing instructions (see page 7).

Figure 1.11 In HTML, the root element is always `<HTML>`. In XML, you can use any valid name for your root element, including `<ancient_wonders>`, as shown here. No content or other elements are allowed before or after the opening and closing root tags, respectively.
Once you have created your root element, you can create any child element you like. The idea is that there is a relationship between the root, or parent element, and its child element. When creating child elements, use names that clearly identify the content so that it’s easier to process the information at a later date.

**To write a child element:**

1. Type `<name>`, where *name* identifies the content that is about to appear; the child element’s name.
2. Create the content.
3. Finally, type `</name>` matching the word you chose in Step 1 (Figures 1.12 and 1.13).

**Tips**

- The closing tag is never optional (as it sometimes is in HTML). In XML, elements must always have a closing tag.
- The rules for naming child elements are the same as those for root elements. Case matters. Names must begin with a letter, underscore, or colon, and may contain letters, digits, and underscores. However, although valid, I recommend that you avoid including colons, dashes, and periods within your names. In addition, you may not use names that begin with the letters *xml*, in any combination of upper- and lowercase.
- Names need not be in English or even the Latin alphabet, but if your software doesn’t support these characters, they may not display or be processed properly.
- If you use descriptive names for your elements, your XML will be easier to leverage for other uses.

---

**Figure 1.12** A simple XML element is comprised of an opening tag, content (which might include text, other elements, or be empty), and a closing tag whose only difference with the opening tag is an initial forward slash.

**Figure 1.13** Every element in your XML document must be contained within the opening and closing tags of the root element.

```xml
<?xml version="1.0"?>
<ancient_wonders>
  <wonder>Colossus of Rhodes</wonder>
</ancient_wonders>
```
Chapter 1

Nesting Elements

Oftentimes when creating your XML document, you’ll want to break down your data into smaller pieces. In XML, you can create child elements of child elements of child elements, etc. The ability to nest multiple levels of child elements enables you to identify and work with individual parts of your data and establish a hierarchical relationship between these individual parts.

To nest elements:

1. Create the opening tag of the outer element as described in Step 1 on page 9.
2. Type `<inner>`, where inner is the name of the first individual chunk of data; the first child element.
3. Create the content of the `<inner>` element, if any.
4. Then, type `</inner>` matching the word chosen in Step 2.
5. Repeat Steps 2–4 as desired.
6. Finally, create the closing tag of the outer element as described in Step 3 on page 9.

✔ Tips

■ It is essential that each element be completely enclosed in another. In other words, you may not write the closing tag for the outer element until the inner element is closed. Otherwise, the document will not be considered well-formed, and will generate an error in the XML processor (Figure 1.14).

■ You can nest as many levels of elements as you like (Figure 1.15).

■ When nesting elements, best practices suggest that you indent the child element. This enables you to easily see parent, child, and sibling relationships. Most XML editors will automatically do this for you.

Correct (no overlapping lines)

```
<wonder><name>Colossus</name></wonder>
```

Incorrect (the sets of tags cross over each other)

```
<wonder><name>Colossus</name></wonder></name>
```

Figure 1.14 To make sure your tags are correctly nested, connect each set with a line. None of your sets of tags should overlap any other set; each inner set should be completely enclosed within its next outer set.

```
<?xml version="1.0"?>
<ancient_wonders>
  <wonder>
    <name>Colossus of Rhodes</name>
    <location>Rhodes, Greece</location>
    <height units="feet">107</height>
  </wonder>
</ancient_wonders>
```

Figure 1.15 Now the wonder element is nested as a child of the ancient_wonders element, and name, location and height are nested as child elements of the wonder element.
An attribute stores additional information about an element, without adding text to the element’s content itself. Attributes are known as “name-value pairs,” and are contained within the opening tag of an element (Figure 1.16).

To add an attribute:

1. Before the closing > of the opening tag, type `attribute=`, where `attribute` is the word that identifies the additional data.
2. Then, type "value", where `value` is that additional data. The quotes are required.

✔ Tips

- Attribute names must follow the same rules as element names, see the Tips on page 9.
- No two attributes in a given element may have the same name.
- Unlike in HTML, attribute values must, must, must be in quotes. You can use either single or double quotes, as long as they match within a single attribute.
- If an attribute’s value contains double quotes, use single quotes to contain the value (and vice versa). For example, `comments= 'She said, "The Colossus has fallen!"'`.
- Best practices suggest that attributes should be used as “metadata”; that is, data about data. In other words, attributes should be used to store information about the element’s content, and not the content itself (Figure 1.17).
- An additional way to mark and identify distinct information is with nested elements (see page 10).
Using Empty Elements

Empty elements are elements that do not have any content of their own. Instead, they will have attributes to store data about the element. For example, you might have a main_image element with an attribute containing the filename of an image, but it has no text content at all.

To write an empty element with a single opening/closing tag:

1. Type <name>, where name identifies the empty element.
2. Create any attributes as necessary, following the instructions on page 11.
3. Finally, type /> to complete the element (Figure 1.18).

To write an empty element with separate opening and closing tags:

1. Type <name>, where name identifies the empty element.
2. Create any attributes as necessary, following the instructions on page 11.
3. Finally, type > to complete the opening tag.
4. Then, with no spaces, type </name> to complete the element, matching the word you chose in Step 1.

✔ Tips

- In XML, both of the above methods are equivalent (Figure 1.19). Which one to use is a stylistic preference; I write elements using a single opening / closing tag.
- In contrast with HTML, you are not allowed to use an opening tag with no corresponding closing tag. A document that contains such a tag is not considered well-formed and will generate an error in the XML processor.

Example XML code:
```xml
<?xml version="1.0"?>
<wonders_of_the_world>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    <name language="Greek">Κολοσσός της Ρόδου</name>
    <location>Rhodes, Greece</location>
    <height units="feet">107</height>
    <main_image file="colossus.jpg" w="528" h="349"/>
    <source sectionid="101" newspaperid="21"></source>
  </wonder>
</wonders_of_the_world>
```

Figure 1.18 Empty elements can combine the opening and closing tags in one, as shown here, or can consist of an opening tag followed immediately by an independent closing tag as seen in the example below.

Figure 1.19 Typical empty elements are those like source and main_image. Notice that these elements only contain data in their attributes; the element has no content of its own. I’ve used both empty element formats in this example: single opening / closing tag and separate opening and closing tags.
It’s often useful to annotate your XML documents so that you know why you used a particular element, or what a piece of information specifically means. As with HTML, you can insert comments into your XML documents, and they will not be parsed by the processor (Figure 1.20).

To write comments:

1. Type <!--.
2. Write your desired comments.
3. Finally, type --> to close the comment.

✔ Tips

- Comments can contain spaces, text, elements, and line breaks, and can therefore span multiple lines of XML.
- No spaces are required between the double hyphens and the content of the comments itself. In other words <!--this is a comment--> is perfectly fine.
- You may not use a double hyphen within a comment itself.
- You may not nest comments within other comments.
- You may use comments to hide a piece of your XML code during development or debugging. This is called “commenting out” a section. The elements within a commented out section, along with any errors they may contain, will not be processed by the XML processor.
- Comments are also useful for documenting the structure of an XML document, in order to facilitate changes and updates in the future (Figure 1.21).
Predefined Entities – Five Special Symbols

Entities are a kind of autotext; a way of entering text into an XML document without typing it all out. There are many letters and symbols that can be inserted into HTML documents by using entities. In XML, however, there are only five predefined entities.

To write the five predefined entities:
◆ Type `&` to create an ampersand character (`&`).
◆ Type `<` to create a less than sign (`<`).
◆ Type `>` to create a greater than sign (`>`).
◆ Type `"` to create a double quotation mark (").
◆ Type `'` to create a single quotation mark or apostrophe (‘).

✔ Tips
■ Predefined entities exist in XML because each of these characters have specific meanings. For example, if you used `<` within the text value of an element or attribute, the XML processor would think you were starting a new element (Figure 1.22).
■ You *may not* use `<` or `&` anywhere in your XML document, except to begin a tag or an entity, respectively. If you need to use one of these characters within the text value of an element or attribute, you *must* use one of the predefined entities.
■ You may use `"`, `'`, or `>` within the text value of an element or attribute. However, when using `"` or `'`, be on the lookout for unintentionally matching existing quotes. Also, I always recommend using the predefined entity for `>` to avoid any possible confusion.
■ If you want to create additional entities for your XML documents, you must explicitly declare them (see Chapter 7).

Figure 1.22 When this document is parsed, the `&gt;` entity will be displayed as `>`. So when the value of the `height` element is displayed, it will likely read something like `"< 107 "`. How it is displayed will depend on the transformation of the XML, which is discussed in Part 2, XSL.
If you want to write about XML elements and attributes in your XML documents, you will want to keep the XML processor from interpreting them, and instead just display them as regular text. To do this, you enclose such information in a CDATA section (Figure 1.23).

To display elements as text:

1. Type `<![CDATA[`.  
2. Create the elements, attributes, and content that you would like to display, but not process.  
3. Finally, type `]]>` to complete the tag.

**Tips**

- Two other common uses for the CDATA section are to enclose HTML and JavaScript so that they are not parsed by the XML processor.  
- CDATA stands for (unparsed) Character Data, meaning that the CDATA content will not be interpreted by the XML processor. This is opposed to PCDATA, which stands for Parsed Character Data and is discussed in Chapter 6.  
- The special meaning that symbols have is ignored in the CDATA section. To display the less than and ampersand symbols, you would write `<` and `&`. If you write `&lt;` and `&amp;`, that’s what will display; they will not be replaced with `<` and `&`.  
- You may not nest CDATA sections.  
- CDATA sections can be used anywhere within the root element of an XML document.  
- If, for some reason, you want to write `]]>` and you are not closing a CDATA section, the `>` must be written as `&gt;`. See page 14 and Appendix B for more information on writing special symbols.

---

**Figure 1.23** In this example about an example, I use CDATA to display the actual code, without the XML processor parsing it first.

**Figure 1.24** Shown here in Internet Explorer 7 for Windows, you can see how the elements within the CDATA section are treated as text; in contrast with the `xml_book`, `tags`, and `appearance` elements, which are parsed by the XML processor.
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PART 2: XSL

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Now that you have an understanding of the XML language and how to create and read XML documents, the next step is to format those documents. The details for formatting XML documents was originally in a specification called XSL, which stands for *eXtensible Style Language*. However, because it was taking so long to finish, the W3C divided XSL into two pieces: XSLT (for *Transformations*) and XSL-FO (for *Formatting Objects*).

This chapter, and the two that follow, explain how to use XSLT to transform XML documents. The end result might be another XML document or an HTML document. In reality, you can transform an XML document into practically any document type you like. Transforming an XML document means using XSLT to analyze its contents and then take certain actions depending on what elements are found. You can use XSLT to reorder the output according to specific criteria, display only certain pieces of information, and much more.

XSL-FO is typically used to format XML for print output, such as going directly to a PDF. It is not supported by any browsers, and requires specific parsing software to use. For more information on XSL-FO, see Chapter 5.

Most of the examples in this part of the book are based on a single XML file and a set of XSLT files, in which each often builds on the previous. I strongly recommend downloading the examples from the companion Web site (mentioned in the book’s Introduction) and following along.
Chapter 2

Transforming XML with XSLT

Let’s start with an overview of the transformation process. The process starts with two documents, the XML document which contains the source data to be transformed, and the XSLT style sheet document which describes the rules of the transformation. While you can transform XML into nearly any format, I am going to use examples that return HTML.

To perform the actual transformation, you’ll need an XSLT processor, or a browser that supports XSLT. Most current XML Editors have built-in XSLT support, as do most current Web browsers. See Appendix A for details.

Analyzing the source XML

To begin, you’ll need to link your XML document to your XSLT style sheet using the `xml-stylesheet` processing instruction (Figure 2.1). Then, when you open your XML document in an XSLT processor or a browser, the instruction tells the processor to perform the XSLT transformation before displaying the document.

In the first step of this transformation, the XSLT processor analyzes the XML document and converts it into a node tree. A node tree is a hierarchical representation of the XML document (Figure 2.2). In the tree, a node is one individual piece of the XML document (such as an element, an attribute, or some text content).

Assessing the XSLT style sheet

Once the processor has identified the nodes in the source XML, it then looks to an XSLT style sheet (Figure 2.3) for instructions on what to do with those nodes. Those instructions are contained in templates which are comparable to functions in a programming language.

Each XSLT template has two parts: first, a label that identifies the nodes in the XML document to which the template applies; and second, instructions about the actual transformation.

```
<?xml version="1.0"?>
<?xml-stylesheet type="text/xsl" 
href="02-03.xsl"?>
<ancient_wonders>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    <location>Rhodes, Greece</location>
  </wonder>
</ancient_wonders>

Figure 2.1 This is a very basic XML document representing a single wonder of the world. Notice the xml-stylesheet processing instruction linking this XML document to an XSLT style sheet.

Figure 2.2 Here is a representation of the node tree that corresponds to the XML document shown in Figure 2.1.
Transforming XML with XSLT

Performing the transformation

The XSLT transformation begins by processing the root template. Every XSLT style sheet must have a root template; this is the template the applies to the source XML document's root node. In Figure 2.3, the root template is defined with `<xsl:template match = "/">`. Within this root template, there may be other sub-templates which can then apply to other nodes in the XML document.

And the transformation continues until the last instruction of the root template is processed. The transformed document is then either saved to another file, displayed in a browser (Figure 2.4), or both.

While you can use XSLT to convert almost any kind of document into almost any other kind of document, that’s a pretty vague topic to tackle. In this book, I am focusing on using XSLT to convert XML into HTML. This lets you take advantage of the strengths and flexibility of XML for handling your data, as well as the compatibility of HTML for viewing it.

✔ Tips

- XSLT style sheets are text files and are saved with an .xsl extension.
- With some XSLT processors, you don’t need an xml-stylesheet instruction in your XML document. Instead, you can assign your XSLT style sheet to an XML document.
- XSLT uses the XPath language to identify nodes. XPath is sufficiently complex to warrant its own chapters: Chapter 3, XPath Patterns and Expressions, and Chapter 4, XPath Functions.

That should take place. The instructions, or rules, will either output or further process the nodes in the source document. They can also contain literal elements that should be output as is.

Figure 2.3 A very basic XSLT document to transform the XML document shown in Figure 2.1.

```
<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
    version="1.0">

    <xsl:template match="/">
        <html><head><title>Wonders of the World</title></head><body>
            <h1>Wonders of the World</h1>
            The <xsl:value-of select="ancient_wonders/wonder/name"/>
            is located in <xsl:value-of select="ancient_wonders/wonder/location"/>
        </body></html>
    </xsl:template>

</xsl:stylesheet>
```

Figure 2.4 The final transformed HTML shown in Internet Explorer 7.
Beginning an XSLT Style Sheet

Every XSLT style sheet is actually an XML document in itself, and therefore should begin with a standard XML declaration. Once that’s out of the way, you define the W3C namespace for style sheets.

To begin an XSLT style sheet:

1. Type `<?xml version="1.0"?>` to indicate that the XSLT style sheet is an XML document.

2. Type `<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform" version="1.0">` to specify the namespace for the style sheet and declare its prefix (`xsl`).

3. Leave a few empty lines where you will create the style sheet (with the instructions contained in this and the following two chapters).

4. Finally, type `</xsl:stylesheet>` to complete the style sheet (Figure 2.5).

✔ Tips

- There are no spaces contained in the `xsl:stylesheet` tag. (It is not `xsl:style sheet`.) Nevertheless, I do use two words to refer to style sheets when talking about them in this book (as is the convention).

- The header for a style sheet is almost always the same. You can just copy and paste the two lines from one style sheet to the next.

- For more information on namespaces, see Chapters 12 and 13.

---

```xml
<?xml version="1.0"?>
<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform" version="1.0">

</xsl:stylesheet>
```

Figure 2.5 An XSLT style sheet is itself an XML document and must be well-formed.
Creating the Root Template

The first thing that the XSLT processor looks for in a style sheet is the root template. This is the template that defines the set of rules to apply to the root node of the XML document. Specifically, it describes how to process or transform the content from the root node into some new output.

To create the root template:

1. Type `<xsl:template`.
2. Then, type `match="/"`. The forward slash matches the root node of the XML source document.
3. Next, type `>` to close the tag.
4. Leave a few lines for specifying the rules of the template, that is, what transformation should happen with the XML document (I'll get there on pages 24–34).
5. Finally, type `</xsl:template>` to complete the root template (Figure 2.6).

Tips

- While the XSLT processor doesn’t care where the root template appears in your XSLT style sheet, it will probably be clearest to you (and the people who might need to understand your style sheet) if you put it up at the very top.

- All XSLT transformations must start with the root template. If you do not include a root template in your XSLT style sheet, a root template built in to the XSLT processor is automatically used. Usually, this built-in template simply lists all the data in the XML document in plain text (which is probably not what you want).
Outputting HTML

Now that you’ve created the root template, you need to define the set of rules for this template; the rules that will apply to the content in the root node. Typically, in the root template, you will start by creating the structure for the final transformed document. If your final document is HTML, you’ll want to add HTML header information (head, title, body, etc.) at the very least. Of course, you can add more HTML, CSS, and JavaScript, as well.

To have your XSLT processor output HTML, you will need to use the `xsl:output` processing instruction (Figure 2.7). You can set the output method to either html, xml, or text. If this instruction is omitted, processors will output XML by default.

To set the processor’s output method to HTML:

1. Immediately after the `xsl:stylesheet` element, type `<xsl:output method="html"/>`.

Then, to add HTML to your output, you’ll use literal elements, one of the components of an XSLT style sheet. Literals are typically HTML code and text, and they are output just as they appear in the style sheet.

To add HTML to the root template’s output:

- Inside the root template rule (that is, between `<xsl:template match="/"/>` and its matching `</xsl:template>`), add the HTML that you’d like to output when this template is applied.

---

Figure 2.7 Within the root template, anything that’s not an XSLT instruction, in other words, literal elements, will be output as is. It’s an easy way to add HTML tags and text to the output.
In templates other than the root template, you can add HTML to the output.

**To add HTML to any template’s output:**

- Inside any other template rule (that is, between `<xsl:template match="...">` and its matching `</xsl:template>`, add the HTML that you’d like to output when this particular template is applied.

✔ **Tips**

- Because all XSLT documents are XML documents, they must be well-formed. Consequently, the HTML you use in the XSLT document must be well-formed as well. See Chapter 1 for more details.


---

**Figure 2.8** Although an XML document was processed, the XSLT processor still hasn’t gotten its hands on the XML contents itself. It has only output the HTML tags and text. In the rest of this chapter, I’ll show how to use XSLT to transform the XML source document to generate some of this HTML.

```html
<html>
<head>
<meta http-equiv="Content-Type" content="text/html; charset=UTF-8">
<title>Wonders of the World</title>
</head>
<body>
<p align="center"><img src="herodotus.jpg" width="120" height="171" /></p>
<p>The famous Greek historian Herodotus wrote of seven great architectural achievements. And although his writings did not survive, he planted seeds for what has become the list of the <strong>Seven Wonders of the Ancient World</strong>.</p>
</body>
</html>
```

**Figure 2.9** Here’s what it looks like so far in a browser. It’s not very exciting yet, but it’s getting somewhere.
Outputting Values

You've output HTML using the root template, but your XSLT style sheet still hasn't touched the XML content (Figure 2.8). In order to actually output the content of an XML node (called its string value), you'll use the `<xsl:value-of>` element.

To output a node's content:
1. If desired, create the HTML code that will format the content (see page 24).
2. Type `<xsl:value-of`.
3. Then, type `select="expression"`, where `expression` identifies the node set from the XML source document whose content should be output at this point (Figure 2.11). For more information on writing expressions, consult Chapter 3, XPath Patterns and Expressions.
4. Finally, type `/>` to close the tag.

An excerpt of the XML source document (Figure 2.10) shows this wonder element contains two name elements and additional contents.

In this example, the `<xsl:value-of>` tag is requesting the value of the name element (within the wonder element within the ancient_wonders element).
You can use `select="."` to output the content of the current node. This is discussed in more detail in *Determining the Current Node* on page 40.

- If the select expression matches more than one node in the XML document, only the first node’s value is output. (In the example in Figure 2.12, many nodes match the XSLT select expression from Figure 2.11, but only the value of the first (“Colossus of Rhodes”) is output.

- If I wanted to act on multiple nodes, I’d need a new XSLT element, discussed in *Looping Over Nodes* on page 28.

- In Figure 2.11, if I wanted to return the name nodes where the language attribute was equal to “Greek”, I would write `xsl:value-of select="name[@language='Greek']"`. For more information, see *Processing Nodes Conditionally* on page 30.

- If the select expression matches a node, the string value of that node (the text that node contains) is output. If the node has child elements, the output includes the text contained in those child elements as well.

- If the select expression matches a node set that is empty, there is nothing to output.

- If the select expression evaluates to a number, the number is converted to a string for output.

- If the select expression evaluates to a boolean expression (evaluates to either true or false), the output will be either the text “true” or the text “false”.

---

---

**Figure 2.12** When the XSLT processor applies the root template in Figure 2.11, it first outputs all the HTML header code. Then when it gets to the `xsl:value-of` element, it only outputs the value of the first node it finds, which is Colossus of Rhodes. I discuss how to return multiple values on page 28.

**Figure 2.13** And now, the XSLT processor is actually using input from the XML source document.
Looping Over Nodes

As you saw in the previous topic, the \textit{xsl:value-of} element will only act on one node, even if there are many nodes that it matches. The \textit{xsl:for-each} element allows you to act on all nodes matched. It processes all the nodes matched by its \textit{select} attribute, one after the other.

**To batch-process nodes:**
1. Within a template rule, type \texttt{<xsl:for-each>}
2. Then, type \texttt{select="expression"}, where \textit{expression} identifies the set of nodes that will be processed.
3. Next, type \texttt{>} to close the tag.
4. Specify what processing should take place.
5. Finally, type \texttt{</xsl:for-each>} to complete the instruction (Figure 2.14).

\begin{figure}[h]
\begin{verbatim}
... 
<xsl:template match="/">
  ...
  <table border="1"><tr><th>Wonder Name</th><th>Location</th><th>Height</th></tr>
  <xsl:for-each select="ancient_wonders/wonder">
    <tr>
      <td><strong><xsl:value-of select="name[@language='English']"/>
      (</em><xsl:value-of select="name[@language!='English']"/>
    </td>
      <td><xsl:value-of select="location"></td>
      <td><xsl:value-of select="height"></td> 
    </tr>
  </xsl:for-each>
  </table>
... 
</xsl:template>
\end{verbatim}
\caption{The \textit{xsl:for-each} element contains all the things that should happen for each wonder node in the \texttt{ancient_wonders} node. The first \textit{xsl:value-of} element is requesting the name node where the language attribute equals "English". The second \textit{xsl:value-of} element is requesting the name node again where the language attribute is not equal to "English" (\texttt{!=} means "not equal to").}
\end{figure}
In general, place the `<xsl:for-each>` right before the rules that should be repeated for each node found. To add a table or some other container, you would do so before and after the opening and closing tags, respectively.

The `<xsl:for-each>` element is often used to create HTML tables (Figure 2.15). Place the opening and closing `<table>` tags before and after the `<xsl:for-each>` instruction in Figure 2.14. Then, place the `<tr>` and `<td>` tags as part of the processing that should take place as described in Step 4 on the previous page.

Because an XSLT style sheet is also an XML document itself, when HTML is part of an XSLT file, it must follow XML’s rules. For example, every opening tag must have a matching closing tag and elements may not overlap. For more details, consult Chapter 1.

In the `select` condition of the `<xsl:for-each>` element, you can require a specific attribute match by using the `@attribute='expression'`. This is the same syntax seen in the `select` attributes of both `<xsl:value-of>` elements in Figure 2.14.

---

**Tips**

- In general, place the `<xsl:for-each>` right before the rules that should be repeated for each node found. To add a table or some other container, you would do so before and after the opening and closing tags, respectively.

- The `<xsl:for-each>` element is often used to create HTML tables (Figure 2.15). Place the opening and closing `<table>` tags before and after the `<xsl:for-each>` instruction in Figure 2.14. Then, place the `<tr>` and `<td>` tags as part of the processing that should take place as described in Step 4 on the previous page.

- Because an XSLT style sheet is also an XML document itself, when HTML is part of an XSLT file, it must follow XML’s rules. For example, every opening tag must have a matching closing tag and elements may not overlap. For more details, consult Chapter 1.

- In the `select` condition of the `<xsl:for-each>` element, you can require a specific attribute match by using the `@attribute='expression'`. This is the same syntax seen in the `select` attributes of both `<xsl:value-of>` elements in Figure 2.14.
Processing Nodes Conditionally

It's not uncommon to want to process a node or a set of nodes only if a certain condition is met. The condition is written as an expression. For example, you might want to perform a certain action if a particular node set is not empty, or if the string value of a node is equal to a particular word.

To process nodes conditionally:
1. Within a template rule, type `<xsl:if>`.
2. Then, type `test="expression"`, where `expression` specifies a node set, a string, or a number. See Chapter 3, *XPath Patterns and Expressions*, for more details on writing expressions.
3. Next, type `>` to close the tag.
4. Specify what should happen if the node set, string, or number specified in Step 2 is not empty (or not equal to zero, in the case of a number).
5. Finally, type `</xsl:if>` to complete the instruction (Figure 2.17).

✔ Tips
- When referring to a node set in the expression, the test returns true if the node set is not empty; that is, if it contains at least one node.
- If you want to be able to specify an alternate result when the expression is false, e.g., an else condition, use `xsl:choose` (see page 31).
- You can test for all sorts of conditions. Consult Chapter 3, *XPath Patterns and Expressions*, for details on how to construct more elaborate test expressions.
Adding Conditional Choices

The xsl:if instruction described on the previous page only allows for one condition and one resulting action. You can use xsl:choose when you want to test for several different conditions, and react accordingly to each one. The simplest example of this is when you want to do one action when the condition is true, and another action when it’s false.

To add conditional choices:

1. Within a template rule, type `<xsl:choose>`.
2. Type `<xsl:when>` to begin the first condition.
3. Then, type `test="expression"`, where expression specifies a node set, a string, or a number. See Chapter 3, XPath Patterns and Expressions, for more details on writing expressions.
4. Next, type `>` to close the tag.
5. Specify the processing that should take place if the node set, string, or number tested in Step 3 is not empty (or equal to zero, in the case of numbers).
6. Type `</xsl:when>` to complete the condition.
7. Repeat Steps 2–6 for each condition.
8. If desired, type `<xsl:otherwise>`. Specify what should happen if none of the conditions specified by the xsl:when elements are true. Then, type `</xsl:otherwise>`.
9. Finally, type `</xsl:choose>` to complete the instruction.

✔ Tip

In the case of multiple conditions, once a condition is found to be true, all the remaining conditions are ignored (even if there is another true condition). The action contained in this first true condition is the only one performed.
Chapter 2

Sorting Nodes Before Processing

By default, nodes are processed in the order in which they appear in the XML source document. If you'd like to process them in some other order, you can add an xsl:sort element when you use xsl:for-each.

**To sort nodes before processing:**

1. Directly after an xsl:for-each element type `<xsl:sort>.
2. Then, type select="criteria", where criteria is an expression that specifies the node (key) on which the source nodes should be sorted.
3. If desired, type order="descending". The default is for nodes to be sorted in ascending order.
4. If desired, then type data-type="text" or data-type="number" depending on what you're sorting. The default is text.
5. Finally, type `/>` to close the instruction (Figure 2.23).
6. Repeat Steps 1–5 to define as many sorting parameters as desired.

✔ **Tips**

- Be sure to specify the correct data-type in Step 4. Sorting numbers as text has such erroneous results as 100, 7, 89. Sorting text as numbers is equally ineffective.
- Descending means you go from high numbers to low, and from Z to A. Ascending means the low numbers (and letters) appear at the top.
- You can nest xsl:sort elements within other xsl:sort elements. This allows you to sort on multiple nodes (keys).

---

Figure 2.23 I've added an xsl:sort instruction right after the xsl:for-each element to sort the nodes by height, in a descending order for processing.

---

Figure 2.24 Based on the XSLT in Figure 2.23, the Great Pyramid of Giza (the tallest of all the ancient wonders) is the first to be processed and thus will appear at the top of the table.

---

Figure 2.25 Now the ancient wonders are listed in descending order by height, the tallest being more than 45 stories tall.
Generating Output Attributes

When you are transforming your XML source document to an HTML document (or an XML document for that matter), it’s often useful to be able to add attributes and values to a given output element. For example, if you are creating an `<img>` element or an `<a>` element, you might need to include the `src`, `width`, and `height` attributes, or the `href` and `target` attributes, respectively.

**To generate output attributes:**

1. Directly after the opening tag of the element in which this new attribute should appear, type `<xsl:attribute`.
2. Then, type `name="att_name"`, where `att_name` is the name that the attribute should have in the element.
3. Next, type `>` to close the tag.
4. Specify the value of the new attribute using XSLT instructions or literals.
5. Finally, type `</xsl:attribute>` to complete the attribute generation (Figure 2.26).
6. Repeat Steps 1–5 to define as many attributes as desired.

**Tip**

- You will often use the `xsl:value-of` element in Step 4 to generate the value of the attribute from content that comes from your XML document.

---

**Figure 2.26** Here I am using `xsl:attribute` to add an `href` attribute to an anchor element `<a>`. The `href` value will be set to `#` (a pound sign) and the name of the wonder being processed. In this way, each wonder will link to its own named reference on the page.

**Figure 2.27** Now, the Great Pyramid of Giza links to an `href` of its own name.

**Figure 2.28** You can see that each of the wonder’s names is now a hyperlink.
Creating and Applying Templates

As discussed on page 20, the root template is the first thing processed in an XSLT style sheet. This template is the set of rules applied to the root node of the XML source document.

As it turns out, XSLT allows you to create more templates than just the root template. This allows you to create different sets of processing rules to apply to different parts of your XML.

While most XSLT processing can be done without using templates, one of the main benefits of using templates is the ability to reuse a template for other nodes in your document. In the same way that one can use functions in most programming languages, you would create a template, and simply apply that template whenever necessary. This eliminates the need to rewrite the exact same processing instructions each time.

To create a template:

1. Type `<xsl:template>` to begin the template.
2. Then, type `match="pattern"`, where pattern identifies the node(s) of the XML document to which the template will be applied. The syntax for describing patterns is described in Chapter 3, XPath Patterns and Expressions.
3. Next, type `>` to close the tag.
4. Specify all the transformations that should happen when a node is found that matches the pattern in Step 2.
5. Finally, type `</xsl:template>` to complete the template (Figure 2.29).

✔ Tips

- The root template is simply a template with a pattern that matches the root node.
- Only the root template is called automatically. All other templates must be applied manually (see page 35). Otherwise, they are simply ignored.

---

<table>
<thead>
<tr>
<th>xslt</th>
<th>Figure 2.29 In this excerpt, I've added a new template for <code>name</code> nodes where the language attribute is not English. This template will output the value of the current name node italicized in parentheses. It does so by using <code>xsl:value-of select=&quot;.&quot;</code>, which returns the value of the current node.</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;xsl:template match=&quot;/&quot;&gt;</code></td>
<td><code>&lt;html&gt;&lt;head&gt;&lt;title&gt;Wonders of the World&lt;/title&gt;&lt;/head&gt;</code></td>
</tr>
<tr>
<td><code>&lt;body&gt;</code></td>
<td><code>&lt;h1&gt;Seven Wonders of the Ancient World&lt;/h1&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/body&gt;</code></td>
<td><code>&lt;/xsl:template&gt;</code></td>
</tr>
<tr>
<td><code>&lt;xsl:template match=&quot;name[@language!='English']&quot;&gt;</code></td>
<td><code>(&lt;/em&gt;</code></td>
</tr>
<tr>
<td><code>(&lt;em&gt;</code></td>
<td><code>&lt;xsl:value-of select=&quot;.&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/em&gt;)</code></td>
<td><code>&lt;/xsl:template&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/xsl:template&gt;</code></td>
<td><code>...&lt;/xsl:template&gt;</code></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>xslt</th>
<th>Figure 2.30 In this excerpt of the same XSLT stylesheet, I have used an <code>xsl:apply-templates</code> element where the <code>xsl:if</code> element was, as seen in Figure 2.17. This <code>xsl:if</code> element was testing for a <code>name</code> node with a language value not equal to English. The new resulting output will be the same as before, as you will see in the figures that follow.</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>...</code></td>
<td><code>&lt;tr&gt;&lt;td&gt;</code></td>
</tr>
<tr>
<td><code>&lt;a&gt;</code></td>
<td><code>&lt;a&gt;</code></td>
</tr>
<tr>
<td><code>&lt;xsl:attribute name=&quot;href&quot;&gt;</code></td>
<td><code>&lt;xsl:attribute&gt;</code></td>
</tr>
<tr>
<td><code>&quot;name[@language='English']&quot;/</code></td>
<td><code>&lt;xsl:attribute&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/xsl:attribute&gt;</code></td>
<td><code>&lt;strong&gt;&lt;xsl:value-of select=&quot;name[@language='English']&quot;/&gt;&lt;/strong&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/a&gt;&lt;br/&gt;</code></td>
<td><code>&lt;/a&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/xsl:apply-templates select=&quot;name[@language!='English']&quot;/&gt;</code></td>
<td><code>&lt;/td&gt;</code></td>
</tr>
<tr>
<td><code>&lt;/tr&gt;</code></td>
<td><code>...&lt;/tr&gt;</code></td>
</tr>
</tbody>
</table>
Creating and Applying Templates

Now that you've learned how to create templates, the next step is how to use them; in other words, how to apply a template to a specific node in your XML document. You do this by using `<xsl:apply-templates>`. This is how you control where and when the transformation described by the template is used in the final document.

To apply a template:
1. Within any template, type `<xsl:apply-templates`.
2. Then, type `select="expression"`, where `expression` identifies the node(s) of the XML document whose templates should be applied. See Chapter 3, XPath Patterns and Expressions, for more details on writing expressions.
3. Finally, type `/>` to complete the instruction (Figures 2.30 and 2.31).

✔ Tips
- If you have multiple templates in your style sheet, the order of the `<xsl:apply-templates` elements determines the order in which the templates are processed.
- If you don't specify the `select` attribute in Step 2 above, the processor will look for and apply a template to each of the current node's children.
- When using `<xsl:apply-templates>`, if there is no template matching the current node, a template built in to the XSLT processor is automatically used. For the root node, or an element node, it looks for a matching template for each child node. For a text or attribute node, it outputs the node value as text.
- The `<xsl:apply-templates>` element may contain an `<xsl:sort>` element (see page 32).
- If you haven't already, I recommend downloading and reviewing the example files. See the book's Introduction for details.
In the previous chapter, XSLT, you learned about creating and applying templates to transform XML documents. When you create a template, you use a pattern to specify the nodes that the template can be applied to. When you apply a template, you use an expression to specify the node set that should be processed. You write both patterns and expressions using XML Path Language (XPath) syntax.

XPath is a language for selecting nodes and node sets by specifying their location paths in the XML document. This chapter will describe how to specify XPath location paths in detail.

You can also use XPath in other XSLT instructions to further process given node sets to return values instead of nodes. XPath has built-in functions to do math, process strings, and test conditions in an XML document. The next chapter, XPath Functions, will describe these functions in detail.

Like XSLT, XQuery uses XPath expressions and is discussed in Chapter 16.

Note: The most current version of the language is XPath 2.0. However, because version 1.0 is still more widely used, these two chapters will cover XPath 1.0. XPath 2.0 is discussed in detail in Chapter 15.
Locating Nodes

At the foundation of the XPath language is the ability to use location paths to refer to a node or node set. Remember that a node is an individual piece of the XML document (such as an element, an attribute, or some text content). A location path uses relationships to describe the location of a node or set of nodes relative to a given node. When translating location paths, XPath considers all XML documents as tree structures. Specifically, they are considered node trees, which are a hierarchical structure of nodes (Figures 3.1 and 3.2).

The XML Node Tree

In an XML node tree, everything in the tree is a node, and every node is in some way related to another. At the top of the node tree is the root node. The root node, or document node, can have any number of child nodes. To these child nodes, the root node is a parent node. These child nodes can have any number of child nodes themselves, and so on, and so on. Child nodes with the same parent are called sibling nodes. Descendant nodes are a node’s child nodes, its children’s child nodes, and so forth. Ancestor nodes are a node’s parent node, grandparent nodes, etc. Through XPath location paths, you can access any of these nodes from any other simply by knowing the relationship between the two.

Location Paths

There are two kinds of location paths: relative location paths and absolute location paths.

A relative location path consists of a sequence of location steps separated by / (a forward slash). Each step selects a node or node set relative to the current node. Then, each node in that set is used as the current node for the following step, and so on.

An absolute location path consists of / (a forward slash), optionally followed by a relative location path. A / by itself selects the root node.
locating nodes of the XML document. If it is followed by a relative location path, then the location path is a relative location path starting at the root node.

The choice of whether to use a relative or an absolute location path depends on the circumstance. Relative location paths are most commonly used, because they generate the resulting node set relative to the current node, and this is typically the context in which you are working.

**Using Located Nodes**

Often, when using location paths, you will be using the located node or node set as a container of other elements to process.

Other times, you will want to know the node’s value. In XPath, there are seven different node types: root nodes (of which there is always exactly one), element nodes, text nodes, attribute nodes, comment nodes, processing instruction nodes, and namespace nodes. For each node type, there is a way of retrieving its value. For some, the value is part of the node itself; for others, the value is based on the value of its descendant nodes.

✔ **Tips**

- The XPath language syntax was inspired in part by the common “path/file” file system.
- The *current node* is the element, or node, that is currently being processed. The *context node* is where the XPath location path address starts. In most circumstances, these terms are interchangeable, so I use the term *current node* throughout the book.
Determining the Current Node

As the XSLT processor goes through your style sheet, it works on one node at a time. It is through the use of the `xsl:template`, `xsl:apply-templates`, and `xsl:for-each` elements that it knows which parts of your XML document to process and when.

When developing an XSLT style sheet, you will often specify what to process next with respect to what is being processed now. The node currently being processed is called the current node. Of course, before you can refer from the current node, you will need to know how to identify it (Figure 3.3).

To determine the current node:

1. By default, the current node is the one that is specified by the current template. In other words, the current node is identified by the template’s match attribute.

2. If there is an `xsl:apply-templates` instruction, the current node becomes the node that is matched by the corresponding template (that is, the one specified in the match attribute of the `xsl:template` instruction). When the processor “returns” from that `xsl:template`, the current node reverts back to one from the original template’s match attribute.

3. If there is an `xsl:for-each` instruction, the current node changes to the one specified by its select attribute. After the `xsl:for-each` instruction, the current node reverts back to whatever it was before that instruction was processed.

✔ Tip

- The `xsl:apply-templates` instruction may process more than one node in the case where the select expression returns a node set. In this case, each of the nodes in the set will be the current node in turn.
Referring to the Current Node

If you're currently processing the node that you want to use in a `select` attribute, there's a shortcut you can use. Instead of referencing the current node using a location path from the root node, it's much easier to use the current node shortcut (Figure 3.4).

**To refer to the current node:**

- In a location path, type `. (a single period).

**Tips**

- You won't always want to select the entire node set. To get a subset of the current node, you can add a test called a *predicate*. For more details, consult *Conditionally Selecting Nodes* on page 45.
- You can also use `. (the current node shortcut) in a predicate to refer to the context node. The context node is the node that is being tested by the predicate.
Selecting a Node’s Children

If the current node contains element(s) that you want to use, you can use a shortcut to refer to these child nodes (Figure 3.6). Instead of writing the location path from the root node, you can refer to the desired child nodes simply by using their name (Figure 3.7).

To get a node’s children:

1. Make sure you know what the current node is (see page 40), and that the node or node set you’re interested in is a child of the current node. (You can actually refer to any descendant. See Step 3 below.)

2. Then, in the desired location path, type child to refer to the name of the child element(s) within the current node.

3. If desired, you could then add /grandchild to refer to a node or node set contained in the child set referenced in Step 2. This enables you to dig deeper into the XML tree and reference node sets further down.

4. Repeat Step 3 until you get to the node(s) at the level you want.

Tips

- Of course, before you ask for children, it’s important to know which is the current node. See page 40 for details.
- Type * (an asterisk) to select all the current node’s children.
- The xsl:text element is used to add literal text to the output. xsl:text cannot contain any other elements. It is often used to handle special characters such as & or >, or to control white space. Notice it is being used to add a space between the year_built / year_destroyed elements and their eras in Figure 3.7. Without it, there would be no space between the year and the era in the output.

---

**Figure 3.6** Here is an excerpt from the XML document. This history element has four child elements. They are: year_built, year_destroyed, how_destroyed and story.

```xml
...<history>
  <year_built era="BC">282</year_built>
  <year_destroyed era="BC">226</year_destroyed>
  <how_destroyed>earthquake</how_destroyed>
  <story>In 294 BC, the people of the island of Rhodes began building a colossal statue of the sun god Helios. They believed ...</story>
</history>
...```

**Figure 3.7** When the processor gets to the history template, history becomes the current node. With this, the processor can directly address its child nodes in XPath location paths. Notice the use of the @ symbol referring to the era attribute. This is discussed more on page 44.

```xml
<xsl:template match="history">
  ...<xsl:choose>
    <xsl:when test="year_destroyed != 0">
      and was destroyed by <xsl:value-of select="how_destroyed"/>
      in <xsl:value-of select="year_destroyed"/>
      <xsl:text> </xsl:text>
      <xsl:value-of select="year_destroyed/@era"/>
    </xsl:when>
    <xsl:otherwise>
      is still standing today.
    </xsl:otherwise>
  </xsl:choose>
  <br />
</xsl:template>
```
Selecting a Node’s Parent or Siblings

Again, if the relationship between the current node (see page 40) and the desired node is quite clear (Figure 3.8), it’s much easier to use a shortcut than to write the complete, absolute relationship starting from the root node.

To select a node’s parent:
1. Make sure you know what the current node is, and that the node set you’re interested in is the parent of the current node.
2. Type .. (two periods) to select the current node’s parent.

To select a node’s siblings:
1. After you’ve gotten to the node’s parent in Step 2 above, type /sibling, where sibling refers to the name of the desired node. This sibling is therefore a child of the current node’s parent, but isn’t the current node itself (Figure 3.9).
2. If desired, type /niece, where niece refers to a node that is the child of the sibling of the current node.
3. Repeat Step 2 as necessary to select grandnieces, etc.

✔ Tips
■ The .. is often combined with a node’s attribute to find the attribute of the parent node (../@attribute). More on this when I get to attributes (see page 44).
■ You can also use an asterisk as a wildcard within a location path. For example, ../* would select all the child elements of the parent of the current node, including the current node itself.
Selecting a Node’s Attributes

If you want the location path to return a node’s attributes rather than the node itself, you can use the @ to specify that you want the attribute returned (Figure 3.11).

To select a node’s attribute(s):

1. Write the location path to the node, using the techniques described in this chapter.
2. Then, type /@ to indicate that you’re interested in the current node’s attributes.
3. Finally, type attribute, to specify the name of the attribute you’re interested in. Or type * (an asterisk) as a wildcard to select all the node’s attributes.

✔ Tip

The @ symbol is sometimes referred to as the attribute axis. In XPath, an axis is a set of nodes relative to the current node. In addition to the attribute axis, there are 12 other axes defined in the XPath language. They are: ancestor, ancestor-or-self, child, descendant, descendant-or-self, following, following-sibling, namespace, parent, preceding, preceding-sibling, and self. Each of these additional axes specifies a “direction” relative to the current node and represents the corresponding node set. Because each of these axes can be represented by shortcuts (specifically those defined in this chapter), the axes themselves are seldom used in practice.

Figure 3.11 To get the attribute(s) of an element, use the element’s name, followed by the @ sign and then followed by the name of the attribute. Here I am requesting the era attribute of the year_built element.

Figure 3.12 The contents of the era attribute (from the year_built element) are output.

Figure 3.13 The era attribute information is displayed with the year_built element as shown in the HTML excerpt above.
Conditionally Selecting Nodes

It’s not always precise enough to select an entire node set from the XML document (Figure 3.14). With XPath, you can create boolean expressions (called predicates) to test a condition and based on the results of that test, select a specific subset of the node set (Figure 3.15).

Predicates can compare values, test for existence, do math, and more. You use functions to write these and more complicated conditions. For more details, see Chapter 4, XPath Functions.

To conditionally select nodes:

1. Create a location path to the node that contains the desired subset following the instructions in this chapter.
2. Type `[` (a left square bracket; to the right of the `p` on your keyboard).
3. Write the expression that identifies the subset.
4. Finally, type `]` (a right square bracket) to complete the predicate.

✔ Tips

- As noted above, predicates are not only for comparisons. It’s enough to write `[@language]`, which would select all the current node’s elements that have a language attribute (regardless of its value).
- You can use multiple predicates to further narrow your search. `name[@language='English'][position() = last()]` would select the name elements that have a language attribute equal to “English” and that are the last node in the set.
- You can also add an attribute selector after the predicate, if desired. For example, to get all the attributes of the last element of the current node set, type `[last()]/@*`.
- Make sure you type square brackets; not curly ones or parentheses.
Creating Absolute Location Paths

All the location paths that I’ve created so far have been relative location paths—ones dependent on the current node.

You can also create absolute location paths, ones that do not rely on the current node (Figure 3.17). To do so, begin by writing the path to the desired node starting at the root node.

To create an absolute location path:

1. Type / to indicate that you are starting at the root node of the XML document.
2. Then type root, where root refers to the root element of your XML document.
3. Next, type / to go down one level in your XML document’s tree hierarchy.
4. Type container, where container identifies the name of the element on the next level that contains the desired element.
5. Repeat Steps 3–4 until you have come to the parent of the node in which you are interested.
6. Finally, type /element, where element is the name of the desired node.
7. Now, you may also use a predicate, or select the node’s attribute, or both.

✔ Tips

- All location path ideas and shortcuts discussed so far in this chapter can also be used when creating an absolute path.
- At any point in the location path, you can use * (an asterisk) to specify all the elements at that level.
- You may skip Steps 3–5 if the desired element is a child of the root element itself.
- Some benefits of using absolute paths are described on page 38. However, pay careful attention when doing so, as disregarding the current node may cause unforeseen consequences (Figure 3.19).
Selecting All the Descendants

The // (double forward slash) comes in handy when you need to select all the descendants of a particular node (Figure 3.21). Like most of the other shortcuts in this chapter, you can use it either in an absolute or relative location path.

To select all the descendants of the root node:
- Type // (two forward slashes).

To select all the descendants of the current node:
- Type ./ (a period followed by two forward slashes).

To select all the descendants of any node:
1. Use the techniques in the previous pages to get to the node whose descendants you’re interested in.
2. Then, type // (two forward slashes).

To select some of the descendants of any node:
1. Create the path to the node whose descendants you’re interested in by using the techniques described on earlier pages.
2. Type //.
3. Then, type the name of the descendant elements that you’re interested in.

✔ Tip
- To get to a node when you don’t know (or don’t care) where it is in the document, you can use the following technique. An expression like //element_name will output all the matching elements in the document whose name is element_name, wherever they may be.
In the last two chapters, you learned how to use XPath location paths to specify nodes and node sets in an XML source document.

In some cases, I used location paths for further processing by templates (xsl:template and xsl:apply-templates), or in test conditions (xsl:if and xsl:when). In both of these cases, there are times that you will not need or want to use all the data in the node set returned. With XPath functions, you can apply additional logic to these node sets to return only the data you need.

In other cases, I used location paths to extract the contents of a node using xsl:value-of. Remember, xsl:value-of outputs the string value of the first node in a node set. With XPath functions, you can perform one or more operations on that string before it is output to modify the final result.

In this chapter, I will detail many common XPath functions. The official specifications for XPath Version 1.0 functions can be found at the World Wide Web Consortium site: www.w3.org/TR/xpath#corelib.

As noted, even though the most current version of the XPath language is 2.0, this and the previous chapter detail XPath Version 1.0. This is because version 1.0 is still the more widely used and widely supported version. XPath 2.0 is discussed in detail in Chapter 15. As well, specifications for the new version can be found at: www.w3.org/TR/xpath20/.
Comparing Two Values

Perhaps the most common test that you can perform on a location path is whether one value is bigger than another (Figure 4.1). You can then use this answer to determine which actions should result, or simply use the resulting node set in your transformation.

**To compare two values:**

1. Create the path to the first node set that you want to compare.
2. Then, type = (equal to), != (not equal to), \&gt; (greater than), \&gt;= (greater than or equal to), \<lt; (less than), or \<lt;= (less than or equal to), depending on how you want to compare the two values.
3. Finally, type a value or a path to the node set that you want to compare with the first node set identified in Step 1.

✔ **Tips**

- This test can be used in `xsl:template` and `xsl:apply-templates` processing, as well as condition testing using `xsl:if` and `xsl:when`.
- If you just want to test that a node set exists (regardless of its contents), skip Steps 2–3.
- String and text values in Step 3 should be enclosed in single quotes.
- Use the and operator to test that all of a series of multiple conditions are true. Use the or operator to test if at least one of a series of multiple conditions is true. Other boolean operators are not valid.
- There is also a boolean expression not, but it is a function, it is not an operator. For more details, see *More XPath Functions* on page 59.

---

Figure 4.1 In this example, I am using a comparison to refine the node set being used in the `xsl:apply-templates` instruction. Specifically, it is saying that only those wonder nodes that have a height greater than 100 will be used.

Figure 4.2 Based on the XSLT in Figure 4.2 above, four of the seven wonders have a height greater than 100 as shown above. Notice that, in addition to the Overview section of the output, I applied the same height condition to the History section, too.
Testing the Position

In addition to applying conditions to location paths, you can actually choose to select a specific node in the node set: the first, second, or even the last.

To test a node’s position:

◆ Type `position() = n`, where `n` is the number that identifies the position of the node within the current node set (Figure 4.3).

To find the last node in a node set:

◆ Type `last()` to get the last node.

✔ Tips

■ You don’t put anything between the parentheses in either the `position()` function or the `last()` function.

■ In a predicate (a boolean expression in brackets used to test a condition), you can also use just `n` as a shortcut for `position()=n`. For example, `wonder[1]` would result in returning the first wonder node. (Note: You can use this shortcut in template processing, but not in `xsl:if` or `xsl:when` test expressions, or in an `xsl:value-of` instruction.)
Multiplying, Dividing, Adding, Subtracting

You can include simple arithmetic operations to your expressions. These will allow you to test for more complicated conditions or to output calculated values (Figure 4.5).

To multiply, divide, add, or subtract:

1. Type the first operand. It can be a numerical constant like 12, or it can be a node set (in which case the string value of the first node is used).

2. Then, type the mathematical operator: * (for multiplication), div (for division, since / is already fraught with meaning), + (for addition), or − (for subtraction).

3. Finally, type the second operand.

✔ Tips

■ Following typical math conventions, multiplication and division are performed before addition and subtraction. In other words, 4+5*3 is 19 and not 27. You can use parentheses to override the default. So, (4+5)*3 is, in fact, 27.

■ To control the output of your mathematical operations (or any numeric output for that matter), you’ll want to use a number formatting function (see pages 54–55).

■ There is a fifth operator, mod, for obtaining the remainder of a division. So, 20 mod 4 is 0 (since 4 divides evenly into 20), but 20 mod 3 is 2 since 20/3 is 6 with a remainder of 2.

Figure 4.5 I added a new column to the Overview section called Years Standing. The math is pretty straightforward, but one complicated part of the logic is explained here: Since all the wonders were built in the BC era, if they were destroyed in the AD era or are still standing, I need to add, not subtract, the year_built and the year_destroyed.

Figure 4.6 If you do a little math using this HTML output from the XSLT in Figure 4.6, you’ll see that in 260 years, the Great Pyramid of Giza will have stood longer than all the other wonders combined.
Of these wonders,
<xs:value-of select="
  count(ancient_wonders/wonder/
  history/how_destroyed[. =
  'earthquake'])" />
were destroyed by earthquake.

<xs:value-of select="
  count(//how_destroyed[. = 'fire'])" />
were destroyed by fire, and

<xs:value-of select="
  count(//wonder) -
  count(//how_destroyed)" />
is still standing.

**Figure 4.7** In the first count() function I am using an absolute location path to return the number of wonders that were destroyed in an earthquake. In the last two, I used the // shortcut to return all nodes in the entire document that match the expression.

**Counting Nodes**

Often, rather than doing arithmetic on a set of nodes, you may simply want to know how many nodes there are (**Figure 4.7**).

**To count nodes:**

1. Type `count()`.  
2. Then, type the path to the node set whose nodes should be counted.  
3. Finally, type `)` to complete the function.

**✔ Tip**

- The location path referenced in Step 2 can optionally include predicates. This is shown in the first two instances of `count()` in **Figure 4.7**.

**Figure 4.8** Based on the XSLT from **Figure 4.7**, more than half the wonders were destroyed by earthquake.
Formatting Numbers

In XPath, arithmetic is done using floating point math which can make for long output (Figures 4.9 and 4.10). Fortunately, with the format-number function, you can easily control the output format of numbers.

To format numbers:
1. Type `format-number(`.
2. Then, type the expression which contains the number to be formatted.
3. Next, type `,` (a comma, a space, and a single quote).
4. Then, type `0` for each digit that should always appear, and `#` for each digit that should only appear when not zero. If desired, type `.` (a period), to separate the integer part of a number from the fractional part, and `,` (a comma), to separate groups of digits in the integer part.
5. Finally, type `)` (a single quote followed by a right parentheses) to complete the number pattern and the function (Figure 4.11).

✔ Tips
- Use `#,##0.00` to output at least one digit in the number, with commas separating every three digits, and exactly two digits in the fractional part of the number (as in dollars and cents: 269.40). With `#,000.0#`, numbers with tenths (but not hundredths) would have no final zero, for example: 269.4.
- Negative numbers are preceded by a minus sign (–) by default. If you’d rather that they be surrounded by parentheses, add `:(0)` after Step 4 above.

Figure 4.9 In this excerpt, I am outputting the height in feet and then converting the height to meters for output as well.

Figure 4.10 Remember that arithmetic is done using floating point math which, as I said, can make for really ugly output.

Figure 4.11 The number being formatted is the same as in Figure 4.10 above. Now it will be formatted with at least one digit to the left of the decimal point, (but numbers are never truncated to the left) and exactly one digit to the right of the decimal point.

Figure 4.12 Now, the numbers look much better without quite so many digits.
Rounding Numbers

There are three XPath functions for rounding numbers in your data source (Figure 4.13). You can round to the nearest integer (round), always round up (ceiling), or always round down (floor).

To round numbers:

1. Type `ceiling()`, `floor()`, or `round()`, depending on whether you want to round up, down, or to the nearest integer.
2. Then, type the expression which contains the number to be formatted.
3. Finally, type `)` to complete the function.

✔ Tip

When using the `format-number()` function, described on page 54, if there are any decimal places lost, the XSLT processor will automatically round the resulting number being output.
Extracting Substrings

When processing XML for output, it’s often useful to dig into a string and take out only the bit that you need. In this example (Figure 4.16), I am breaking up the location element into city and country by using the comma that separates them.

**To extract a substring that comes before or after a particular character:**

1. Type `substring-after(` or `substring-before(`, depending on whether you want to extract the part of the string that comes before or after the character.
2. Then, type the expression which contains the source string.
3. Next, type `, c`, where `c` is the character after or before the substring that will be extracted.
4. Finally, type `)` to complete the function.

**Tip**

You can also extract a substring in the middle of a string if you know the position of the first character you want and the total number of characters after that. You would use the `substring(s,f,n)` function, where `s` is the expression which contains the source string, `f` is the position of the first character that you want to extract, and `n` is the total number of characters you want.

---

**Figure 4.17** In the XML document, the location element contains both the wonder’s city and country. Here, I am separating the location element into two separate outputs of city and country. I am using the string before the comma for city, and after the comma for country.

**Figure 4.18** After the XSLT in Figure 4.16, each wonder’s city and country is displayed in a separate column in the Overview section.
Changing the Case of a String

When manipulating text, it’s often important to be able to change letters from upper- to lowercase and back again.

To capitalize strings:

1. Type `translate(,).

2. Then, type the expression which contains the source string.

3. Next, type `abcdefghijklmnopqrstuvwxyz` (that is; a comma, a space, and the string which contains the letters to change).

4. Then, type `ABCDEFGHIJKLMNOPQRSTUVWXYZ` (that is; a comma, a space, and the string which contains the letters that you want to replace from Step 3).

5. Finally, type `)` to complete the function (Figure 4.18).

✔ Tips

- To change letters from lower- to uppercase, swap Step 3 with Step 4.

- You can use the `translate()` function to translate any character into any other character. Type the letters that should be changed in Step 3, and the letters that these should be changed into in Step 4.

- In XPath Language Version 2.0, there are many more string manipulation functions, including one to specifically convert to and from upper- and lowercase.

Figure 4.19 In the History section, I am going to output the wonder’s name above the image of the wonder. And I am going to translate the wonder’s name to be all uppercase.

Figure 4.20 The XSLT in Figure 4.18 capitalized each wonder’s name as a header in the History section.
Chapter 4

Totaling Values

You can use the XPath \texttt{sum()} function to add up all the values of the nodes in a node set (Figure 4.20). It’s great for displaying data in tables and columns (Figure 4.21).

To total values:

1. Type \texttt{sum(}.
2. Then, type the path to the node set whose nodes should be totaled.
3. Finally, type \texttt{)} to complete the function.

\textbf{✔ Tip}

- As shown in the example in Figure 4.20, you can combine many XPath functions together in the same output. This allows you to create very specific transformations of the XML data source.

\begin{verbatim}
... <tr> <td valign="top" align="right" colspan="4">Average Height: </td> <td valign="top"> <xsl:value-of select=" 
  format-number(
    sum(/ancient_wonders/wonder/height) 
    div 
    count(/ancient_wonders/wonder/height[.!=0]),
    '##0.0')" / > ft</td> </tr> ...
\end{verbatim}

\textit{Figure 4.21} I’m creating a row to show the average height of all the wonders. To find the average, I use the \texttt{sum()} function to add up all the values of the height nodes. Then I divide the total height by the number of wonders which don’t have a height of zero. Finally, I format the output to show one value to the right of the decimal point.

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{wonders.png}
\caption{The average height of all the wonders was nearly 20 stories high.}
\end{figure}
More XPath Functions

In addition to the XPath functions detailed in this chapter, here are some additional functions you might find useful. For a full list of the functions in XPath Version 1.0, see www.w3.org/TR/xpath#corelib.

Node Functions:
- `name(node-set)` returns the first node in the specified node set, and `name()` returns the name of the current node.
- `id(id-str)` returns all the elements that have an ID equal to `id-str`.

String Functions:
- `contains(str1, str2)` returns True if `str1` contains `str2`, otherwise returns False.
- `string-length(str1)` returns the number of characters in `str1`, while `string-length()` returns the number of characters in the current node.
- `normalize-space(str1)` returns `str1` with all leading and trailing white space removed, and sequences of white space replaced with a single space. `normalize-space()` performs the same action on the current node.

Boolean Functions:
- `not(expression)` returns True if `expression` evaluates to False, and returns False if `expression` evaluates to True.
- `|` (a vertical bar; often located above the \ on your keyboard). Although it’s technically not a function, it is used to combine two node sets into one.

Tip
- While XPath 1.0 remains the most widely used version, it only provides a limited set of functions. If there is functionality you really need, you can look at XPath Version 2.0, which has a larger set of functions and operators. The specifications can be found at: www.w3.org/TR/xpath20/.
This page intentionally left blank
As I mentioned in Chapter 2, the eXtensible Stylesheet Language (XSL), was originally a single specification for formatting XML documents. But before finishing it, the W3C divided XSL into two pieces: XSLT (for Transformations) and XSL-FO (for Formatting Objects). I discussed XSLT in the last three chapters. In this chapter, I’ll discuss XSL-FO.

XSL-FO is essentially a typesetting language. It enables you to easily specify page layouts, including setting margins and line spacing; creating headers, footers, and marginalia; and generating endnotes, footnotes, columnar page content, cover sheets, and tables of content.

XSL-FO is an XML-based markup language, and was designed to format XML data. You have already seen how XSLT can format XML data, transforming it into HTML. XSL-FO, however, was specifically designed to format XML data for output to print. In this chapter, the XSL-FO examples that I use will generate printable output in the Adobe PDF format.

In order to see the examples work, or to write XSL-FO yourself, you will need an XSL-FO processor. If you don’t have one already, see Appendix A, XML Tools, for a list of options.

In 2001, XSL-FO 1.0 became an official W3C Recommendation, and was updated in 2006 to version 1.1. In March 2008, a Working Draft of version 2.0 was released. For additional information, visit the W3C’s XSL Working Group site at: www.w3.org/Style/XSL.
The Two Parts of an XSL-FO Document

An XSL-FO document is a text-only file containing XSL-FO markup and literal content. With this document, an XSL-FO processor can generate one of many different printable outputs, including: Portable Document Format (PDF), Maker Interchange Format (MIF), PostScript (PS), and others.

Every XSL-FO document (Figure 5.1) can be broken into two parts, both of which are enclosed in a top-level element fo:root. The first part describes the overall structure of the final output. It does so by using XSL-FO elements and attributes to set page width / height, margins, and sidebars, as well as identify different page templates (such as those for a cover page, table of contents, odd- and even-numbered pages, or the content itself).

The overall structure part of an XSL-FO document contains an fo:layout-master-set element which is a container for one or more fo:simple-page-master child elements. These child elements describe page templates which are broken up into five region elements, such as fo:region-body, used for the body region of a page template.

The second part of an XSL-FO document contains and formats the page content of the final output. In this part, there are fo:page-sequence elements, each of which corresponds to an fo:simple-page-master element defined in the overall structure part of the document. Each page sequence contains one fo:flow child element for each of the regions defined within the fo:simple-page-master element. Finally, each flow element has one or more fo:block child elements, and each block element contains actual page content.

Figure 5.2 When processed, the XSL-FO document in Figure 5.1 generates a final output document. In this case, I have created a PDF file (the top of which is shown above) from the XSL-FO document.

Figure 5.1 The overall structure part of this XSL-FO excerpt defines a page template with page-width, page-height, and margin elements. The page content part contains the literal text Seven Wonders of the Ancient World, formatted as 28-point text, and additional text about Herodotus, formatted as 14-point justified text.

Seven Wonders of the Ancient World

The famous Greek historian Herodotus wrote of seven great architectural achievements. And although his writings did not survive, the planted seeds for what has become the list of the Seven Wonders of the Ancient World.
Creating an XSL-FO Document

XSL-FO is an XML markup language, so XSL-FO documents are written using XML syntax. The first line of an XSL-FO document is the standard XML declaration, and it must contain a single root element (Figure 5.3). XSL-FO documents are text-only files and are saved with a .fo extension.

To create an XSL-FO document:

1. Type `<?xml version="1.0"?>`.
2. Type `<fo:root xmlns:fo="http://www.w3.org/1999/XSL/Format">` to define the root element of the XSL-FO document. Notice the fo: namespace prefix; it is defined next.
3. Then, type `xmlns:fo="http://www.w3.org/1999/XSL/Format"` to declare the XSL-FO namespace with the fo: prefix.
4. Finally, type `>` to close the tag.
5. Type `<fo:layout-master-set>` to start the overall structure part of the document.
6. Type `<fo:simple-page-master master-name="wonders">` where wonders is the page template name used in Step 10.
7. Type `<fo:region-body/>` to declare that this page master will contain content in the body region.
8. Type `</fo:simple-page-master>`. 
10. Then, type `<fo:page-sequence master-reference="master">`, where master is the same name defined in Step 6. This begins the page content part of the document.
11. Type `<fo:flow flow-name="xsl-region-body">`. Here, xsl-region-body refers to the body region declared in Step 7.
12. Enter the page content for your final output using fo:block elements.
13. Type `</fo:flow>`. 
14. Type `</fo:page-sequence>`. 
15. Finally, type `</fo:root>` to complete the XSL-FO document.
Creating and Styling Blocks of Page Content

In XSL-FO, content such as paragraphs and headlines are contained in blocks. The XSL-FO processor retrieves each block’s content, applies its style properties, and then stacks each block one after the other to generate the final output.

To create a block of page content:
1. As a child element to an fo:flow element, type <fo:block (Figure 5.5).
2. Set any style properties (see below) you wish to apply to the block of page content in Step 4 below.
3. Then, type » to close the tag.
4. Write the literal page content, which is the text value of this fo:block element.
5. Finally, type </fo:block>.

To style a block of page content:
◆ As an attribute of an fo:block element, type the name of the style property and its value. For example:

font-size="f_size", where f_size can be a length in inches (in), points (pt), and others; an absolute size (such as small, x-large, and others); a relative size (such as larger or smaller); a percentage in numeric value or em’s; or inherit, which uses the parent’s font-size value.

space-after="s_after", where s_after can be a length in inches (in), points (pt), and others; or inherit, which uses the parent’s space-after value.

✔ Tip
■ The fo:block element can have fo:block child elements, and any inheritable style properties in the parent will be applied to each child. If not automatically inherited, setting the child’s style property value to inherit will use the parent’s value.

Figure 5.5 In this excerpt, I added more page content to the XSL-FO document shown in Figure 5.3 by using a number of additional fo:block elements. I also applied a few style properties to each of the blocks.

Colossus of Rhodes

In 294 BC, the people of the island of Rhodes began building a colossal statue of the sun god Helios. They believed that it was because of his blessings that they were able to withstand a long siege on the island and emerge victorious.

The Colossus was built with bronze, reinforced with iron, and weighed with slaves. While it is often depicted as standing in the harbor, this is generally considered technically impossible, and therefore, it likely stood beside the harbor.

The statue was toppled by an earthquake in 225 BC. It smashed at the knees and fell over on to the land. The Oracle of Delphi suggested that it fell because the people of Rhodes had offended Helios, and they decided not to rebuild it.

Figure 5.6 After processing the XSL-FO document, each fo:block element is styled using its style properties, and stacked on top of the other in the final output.

Look Familiar?

Many styling properties of the fo:block element are the same as Cascading Style Sheets (CSS) properties. If you already know CSS, that knowledge will apply to styling XSL-FO output as well.
Adding Images

In addition to text content, the fo:block element can also contain images. The fo:external-graphic element, which identifies the image, can also have its own style properties defined (Figure 5.7).

To add an image:

1. As a child element to an fo:block element, type `<fo:external-graphic`.
2. Then, type `src="graphic.uri"`, where `graphic.uri` is the path to the image file you wish to include in the final output.
3. Finally, type `/>` to close the element.

Some common style properties of the fo:external-graphic element include:

- **content-height="c_height"**, where `c_height` can be auto, which means to use the actual height of the image; scale-to-fit, which means to scale the image to fit in the block space provided by the XSL-FO; a length in inches (in), points (pt), and others; a percentage in numeric value or em's; or inherit, which uses the parent’s content-height value. Note that when an image’s content-height property is set, but its content-width property is not, the image is scaled proportionally.

- **border-style="b_style"**, where `b_style` can be none or hidden, which will not show a border; dotted, dashed, solid, double, groove, ridge, inset, outset (each of which is a specific visual style of border); or inherit, which uses the parent’s border-style value.

- **border-width="b_width"**, where `b_width` can be thin, medium, thick (each of which is increasingly wide); a length in inches (in), points (pt), and others; or inherit, which uses the parent’s border-width value.

---

Figure 5.7 I added the colossus.jpg image to the XSL-FO document. It will display center-aligned in the final output with a thick ridge border, and be 3.5 inches tall. I also decided to center the wonder’s name because I thought it looked better that way.

---

Figure 5.8 The colossus.jpg image is treated like any other page content contained in a block; it is stacked, in order, and its styles are applied for the final output (in this case, being center-aligned with a 0.2-inch space after it).
Defining a Page Template

The root element of an XSL-FO document is `fo:root`. Also, as I explained, it contains two parts: One defining the final output’s overall structure and one defining the final output’s page content. In the last two pages, I focused on the page content part of an XSL-FO document. Now, I will focus on the overall structure.

The overall structure part is contained in a single `fo:layout-master-set` element, which has one or more `fo:simple-page-master` child elements. These elements define the page templates in which the page content is output.

To define a page template:
- As an attribute of an `fo:simple-page-master` element, type the name of the style property and the value of which to apply (Figure 5.9). For example:
  - `page-width="p_width"`, where `p_width` can be a length in inches (`in`), points (`pt`), and others; auto (the default setting) means the page width is determined by the XSL-FO processor; or indefinite, which means the width is determined by the size of the page content.
  - `page-width="p_height"`, where `p_height` has the same options as `page-width`.
  - `margin="m_value"`, where `m_value` is a length in inches (`in`), points (`pt`), and others.

✔ Tip
- **Shorthand properties** are style properties that set more than one subproperty with a single attribute and value. For example, setting the `margin` property actually sets `margin-top`, `margin-right`, `margin-bottom`, and `margin-left`. On the previous page, `border-style` and `border-width` are also shorthand properties, setting -top, -right, -bottom and -left.

Figure 5.9 The `fo:simple-page-master` element uses the `master-name` attribute to define a page template named wonders. By setting the style property attributes of the `fo:simple-page-master` element, I have defined that the wonders page template is 8.5 inches wide by 11 inches tall, and has a 1-inch margin on the top, right, bottom, and left.

Figure 5.10 Unlike the PDF example shown in Figure 5.8, here the page content does not butt up against the top and left edges of the page; rather, there’s a 1-inch margin on all sides.
Creating a Page Template Header

So far, I have only used the body region of a page template defined by the `fo:region-body` element. There are four other page template regions that can be defined, which correspond to the header, footer, and left and right sidebars.

To create the structure for a header:

1. As a child element to an `fo:simple-page-master` element, and after the `fo:region-body` element, type `<fo:region-before>` (Figure 5.11). (Make note of the `master-name` attribute in the `fo:simple-page-master` element.)
2. Then, type `extent="e_value"`, where `e_value` is the height of the header region.
3. Set any style property attributes for the region, such as `background` and `border`.
4. Finally, type `/>` to close the element.

To set the page content for a header:

1. Locate the `fo:page-sequence` element whose `master-reference` attribute equals the `master-name` attribute from Step 1 above. As a child element of this element, type `<fo:static-content>` (Figure 5.12).
2. Then, type `flow-name="xsl-region-before"`. (`xsl-region-before` refers to the header region defined by the `fo:region-before` element.)
3. Write `fo:block` elements to define the page content for your header.
4. Finally, type `</fo:static-content>`.

Tip

- Although defined separately, the header region (as well as the footer, and left and right sidebar regions) is part of the body region. Consequently, the margin of the body region must be equal to (or greater than) the extent of the header region. If not, the body will overlap the header.
Using XSLT to Create XSL-FO

Remember, XSL-FO was designed to format XML documents, not literal text as I have shown thus far. Also, remember that XSL was originally one specification, but was split into two: XSLT and XSL-FO. By recombining these languages, you will first transform the XML source data (XSLT), and then you will format the transformed content into a final output document for publication (XSL-FO).

How to combine XSLT with XSL-FO:

1. Instead of starting with an XSL-FO document, start with an XSLT document (Figure 5.14). Refer to XSLT, Part 2 of the book for details.

2. Within the xsl:stylesheet element, type xmlns:fo="http://www.w3.org/1999/XSL/Format" to declare the XSL-FO namespace.

3. Type <xsl:output method="xml" indent="yes"/> to define the output method to be xml (and indent this xml output which makes for easier reading).

4. Create the XSLT root template (<xsl:template match="/">) which will contain the entire XSL-FO document tree beginning with its root element, <fo:root>.

5. Finally, use XSLT elements, such as xsl:apply-templates (Figure 5.15), to generate the XSL-FO page content. These XSLT elements will then call the xsl:template elements using the xsl:value-of elements (Figure 5.16).

✔ Tip

When this XSLT is processed, the output it generates is an XSL-FO document. You can then process the XSL-FO document and generate a publishable final output. Some XSLT / XSL-FO processors can even go directly from XSLT, through XSL-FO, to the final output with a single command.
Inserting Page Breaks

The XSLT example on the previous page generates an XSL-FO file which, in turn, generates a final output. As you may imagine, or have seen in the example files, the final output is many pages long without any logical page breaks.

To insert a page break:

- As an attribute of an `<fo:block>` element, type `break-before="page"`. This inserts a page break before the block's content in the final output (Figure 5.17).

When your final output is multiple pages, you can include XSL-FO elements to number your pages in a footer (Figure 5.18).

To number each page in a footer:

1. To create the structure for a footer, the child element in the first Step 1 on page 67 should be `<fo:region-after>.
2. To set the page content for the footer, the attribute value in the second Step 2 on page 67 should be "xsl-region-after". (xsl-region-after refers to the footer region defined by the fo:region-after element in Step 1.)
3. Finally, in a block of page content for the footer, type `<fo:page-number/>`, which outputs the current page number.

✔ Tips

- The `break-before` style property can take other values such as: auto (the default setting), where no break is forced; even-page or odd-page, where the page break is generated only for even or odd pages, respectively; inherit, which uses the parent's break-before value; or column, which is discussed on page 70.
- There is also a `break-after` style property which acts just like `break-before`, except the page break is inserted after the element.
Outputting Page Content in Columns

One of XSL-FO’s built-in typographic capabilities is being able to define columns in which to output page content.

**To output page content in columns:**

1. As an attribute of a region element, type `column-count="c_count"`, where `c_count` is the number of columns to use in that region’s final output (Figure 5.20).

2. Within the region identified in Step 1, as an attribute of any block you wish not to place in the columnar layout, type `span="all"` (Figure 5.21).

3. Within the region identified in Step 1, as an attribute of any block you wish to generate a column break, type `break-before="column"` or `break-after="column"`, as needed (Figure 5.22).

**Tips**

- Another style property attribute for columns is `column-gap`, which sets the separation width between columns. It can take a length in inches (in), points (pt), and others; or a percentage in numeric value or em’s.

- Placing a column break in the last block on the last page of a final output may generate an unintentional blank page (after what should be the last page). You can avoid this problem by not including this attribute in the last block. One way to do this is to use the `xsl:if` element with the `xsl:attribute` element to only include the `break-after="column"` attribute in the second to the last block. (I have included this fix in the next set of XSLT example files.)

---

**Figure 5.20** The body region of the page template named wonders will be output in two columns. This XSLT continues in the two examples below.

```xml
<xsl:template match="name">
    <fo:block span="all"
              margin-bottom="0.2in">
        <fo:block font-size="24pt"
                  text-align="center"
                  break-before="page">
            <xsl:value-of select="."/>
        </fo:block>
    </fo:block>
</xsl:template>
```

**Figure 5.21** This block element will contain the wonder name and image, and will span all columns.

```xml
<xsl:template match="name">
    <fo:block font-size="14pt"
              text-align="justify"
              break-after="column">
        <xsl:apply-templates select="../history/story"/>
    </fo:block>
</xsl:template>
```

**Figure 5.22** I added the `break-after="column"` attribute to the block that outputs the story.

---

**Figure 5.23** Now the PDF shows the story text in two columns, and the image (and wonder name above it—not shown) spanning both columns.
Adding a New Page Template

On page 66, I defined a page template that I have used for my final output in all the examples thus far. Now, I want to create a cover page for my output with a different overall layout and different page content.

To add a new page template:

1. As a child element of the `fo:layout-master-set` element, type `<fo:simple-page-master` (Figure 5.24).
2. Then, type `master-name="master"`, where `master` is the page template name used in the `fo:page-sequence` element below.
3. Include any style properties as desired, see Defining a Page Template on page 66.
4. Finally, type `>` to close the tag.
5. Type `<fo:region-body/>` to declare that this page master will contain content in the body region, and include any style properties you would like for the region.
6. Include any other region declaration elements (see page 67).
7. Finally, type `</fo:simple-page-master>.

To define page content for a new page template:

1. In the page content part of your XSL-FO document, type `<fo:page-sequence master-reference="master">`, where `master` is the name of the page template from Step 2 above (Figure 5.25).
2. Type `<fo:flow flow-name="xsl-region-body">` to create the container for blocks of content for the body region.
3. Enter page content blocks for the region.
4. Type `</fo:flow>` to complete the element.
5. Repeat Steps 3 and 4 for other regions defined in Step 6 above.
6. Finally, type `</fo:page-sequence>`.
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PART 3: DTD

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Entities and Notations in DTDs 91
Validation and Using DTDs 103
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In Part 1 of the book, you learned XML’s underlying grammar, which forms the rules for writing an XML document. In Part 2, you learned how to transform an XML document into another form, in this case HTML. Now, in Part 3, you’ll learn how to define a custom markup language in XML.

To define such a language, you will first identify its elements and their attributes, declaring which are required, and which are not. This information is called a schema. For example, an historian might create WowML, the (fictitious) Wonders of the World Markup Language, as a system for cataloging data about the wonders of the world. WowML might have elements like wonder, name, year_built, and story.

Schemas, while not required, are exceptionally important for keeping XML documents consistent. In fact, you can compare any XML document to its corresponding schema to validate whether it conforms to the rules specified in the schema (see Chapter 8). And, if an XML document is deemed valid, then its data is in the proper form as specified by the schema.

There are two principal systems for writing schemas: DTD and XML Schema. A DTD, or Document Type Definition, is an older, but widely used system with a peculiar and limited syntax. The next three chapters are devoted to writing DTD-style schemas. The other primary system, XML Schema, is described in detail in Part 4 of the book. For some reasons why you might choose one over the other, consult Pros and Cons of DTDs on page 110.
Working with DTDs

A DTD, or Document Type Definition, is a set of rules that defines a custom markup language in XML. A DTD, at its core, simply identifies elements and their attributes. If an XML document does not adhere to the rules defined by the DTD, it is not considered valid for that particular custom language. With this validation test, you can quickly discern if a given XML document follows the rules you set forth for your language or not.

As I've mentioned, XML uses the same building blocks as HTML: Elements, attributes, and values. Elements are the foundational units of an XML document (Figure 6.1). They can contain values, have attributes, and they can contain other elements. A DTD for a given custom markup language will define a list of elements and any child elements that each element can have (Figure 6.2). It will define any attributes that each element can have, and it will define whether these elements and attributes are optional or required. In this way, the DTD defines the legal structure of the custom markup language, and therefore, any valid XML document that is part of this language.

A DTD is a text-only document and is customarily saved with a .dtd extension. It is not an XML document itself and therefore does not begin with the standard XML declaration.

✔ Tips

- DTDs are a great way to insure the consistency of XML data shared between different people and companies. You can use a DTD to validate that the XML documents you receive from others are in the proper format before using them.

- You will need to use an XML Editor or some type of DTD processor to validate an XML document against a given DTD. You can find details about both in Appendix A.
Creating a DTD

Defining an Element That Contains Text

To define the structure of your custom markup language in a DTD, you define the structure and content of the elements that a valid XML document would have.

Many elements in your XML document will contain just text (Figure 6.3). While an address element may contain child elements for street, city, state, and zip, these elements themselves will likely just contain text.

To define an element that only contains text:

1. Type `<!ELEMENT tag>` where *tag* is the name of the element you wish to define.
2. Then, type `(PCDATA)` (include the parentheses!). This defines the element as one that should only allow text content.
3. Finally, type `>` to complete the element definition (Figure 6.4).

✔ Tips

- PCDATA stands for *parsed character data*, and it refers to the text value of an element. This character data will be parsed, or analyzed, by an XML processor.
- Text (also called a string) can be any series of letters, numbers, and symbols, such as “Hello,” or “4 Privet Dr.,” or “99811.”
- An element that is defined to contain PCDATA can’t contain any other element.
- Everything is case-sensitive in XML. The word `<!ELEMENT` must be typed just so. `<!Element` just doesn’t cut it. And don’t forget the exclamation point. You can choose a mixed-case *name* for the element, as long as you always refer to it and use it in exactly the same way. Many XML applications use all lowercase. This way you don’t have to spend time remembering what case anything should be.
Defining an Empty Element

In addition to elements that contain text, DTDs must also be able to define empty elements. As discussed in Chapter 1, an empty element is an XML element that does not have any content value of its own. Instead, it uses its attributes to store data (Figure 6.5).

To define an empty element:

1. Type `<!ELEMENT tag EMPTY`, where `tag` is the name of the element you wish to define.
2. Then, type `EMPTY` to indicate that the element will not contain a text value of its own.
3. Finally, type `>` to complete the element definition (Figure 6.6).

Tips

- Notice that when writing `EMPTY`, you do not use parentheses as is required when writing `(#PCDATA)`.
- As mentioned above, empty elements will have attributes which are discussed on page 84.

```xml
...<main_image file="lighthouse.jpg" w="528" h="349"/>
<source sectionid="112" newspaperid="53"/>
...
```

Figure 6.5 In this XML excerpt, the `main_image` and `source` elements are both empty elements. It doesn't matter whether they use a single or separate opening and closing tags, they are both empty.

```xml
<!ELEMENT main_image EMPTY>
<!ELEMENT source EMPTY>
```

Figure 6.6 This is the DTD excerpt that defines the elements in Figure 6.5. Defining their attributes will be discussed on page 84.
Creating a DTD

Defining an Element That Contains a Child

Now that you understand how to define basic XML elements in a DTD, you need to be able to define parent elements: elements that contain other elements (Figure 6.7).

To define an element to contain one child element:

1. Type `<!ELEMENT tag`, where `tag` is the name of the element you wish to define.
2. Then, type `(child)`, where `child` is the name of the element that will be contained in the element you’re defining.
3. Finally, type `>` to complete the element definition (Figure 6.8).

✔ Tips

- A tag that is defined to contain one other element may not contain anything except that element. It may not contain additional elements, nor may it contain text.
- You can make a child element optional, or have it appear multiple times. For more details, consult Defining How Many Occurrences on page 81.
- You can also control the order in which elements must appear in an XML document (see page 80).
- Once you define that an element contains another element, it must contain that element every time it appears in the XML document. If not, the XML document will not be considered valid.

---

**Figure 6.7** In this pared-down version of the XML master document, the ancient_wonders element has a single child element, the wonder element.

```xml
<?xml version="1.0"?>
<ancient_wonders>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    <name language="Greek">Κολοσσός της Ρόδου</name>
    <location>Rhodes, Greece</location>
    <height units="feet">107</height>
    <history>
      <year_built era="BC">282</year_built>
      <year_destroyed era="BC">226</year_destroyed>
      <how_destroyed>earthquake</how_destroyed>
      <story>In 294 BC, the people of the island of Rhodes ...</story>
    </history>
    <main_image file="lighthouse.jpg" w="528" h="349"/>
    <source sectionid="112" newspaperid="53"/>
  </wonder>
</ancient_wonders>
```

**Figure 6.8** This DTD definition defines that the ancient_wonders element can contain a single element named wonder as shown in Figure 6.7. Note: The wonder element’s contents depend on its definition only (and are not affected by the ancient_wonders definition in the least).

```xml
<!ELEMENT ancient_wonders (wonder)>
```
Defining an Element That Contains Children

Oftentimes, an XML element contains a sequence of child elements (Figure 6.9). In a DTD, you can define a sequence of child elements that must be contained in the parent element. This sequence also defines the order in which the children must appear.

To define an element with children:
1. Type `<!ELEMENT tag` where `tag` is the name of the element you wish to define.
2. Then, type `(child1`, where `child1` is the first element that should appear in the parent element.
3. Next, type `, child2`, where `child2` is the next element that should appear in the parent element. Separate each child element from the next with a comma and space.
4. Repeat Step 3 for each child element that should appear in the parent element.
5. Then, type `)` to complete the sequence.
6. Finally, type `>` to complete the element definition (Figure 6.10).

✔ Tips

- The most important thing in a sequence is the comma. The comma is the character that separates elements (or groups of elements) in a sequence.
- You may not use `(#PCDATA)` in any part of a sequence; sequences must only contain elements.
- The elements contained in a sequence may of course contain their own child elements. The `history` element defined in Figure 6.10 actually contains four individual child elements (as seen in Figure 6.12 on the next page).

Figure 6.9 The `wonder` element has many child elements. Notice, that many of the elements have attributes which I discuss in more detail on page 84.

```xml
<?xml version="1.0"?>
<ancient_wonders>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    <location>Rhodes, Greece</location>
    <height units="feet">107</height>
    <history>
      <year_built era="BC">282</year_built>
      <year_destroyed era="BC">226</year_destroyed>
      <how_destroyed>earthquake</how_destroyed>
      <story>In 294 BC, the people of the island of Rhodes ...</story>
    </history>
    <main_image file="lighthouse.jpg" w="528" h="349"/>
    <source sectionid="112" newspaperid="53"/>
  </wonder>
</ancient_wonders>
```

Figure 6.10 This DTD definition which validates the XML in Figure 6.9 says that the `wonder` element must contain each one of the listed elements, in order. And, it may not contain anything else.

```xml
dtd
<!ELEMENT wonder (name, location, height, history, main_image, source)>
```
Creating a DTD

Defining How Many Occurrences

So far, parent elements can only contain one instance of each of their child elements. But DTDs do allow more than just one instance of a child element in an XML document. There are three special symbols in DTDs that can be used to define how many times a child element can appear within a parent element (Figures 6.11 and 6.12).

To define the number of occurrences:

1. In the contents portion of the element definition, type the child element’s name.
2. Then, type * to indicate that the child element can appear as many times as necessary, or not at all, in the parent element being defined (zero or more times).
   Or type + to indicate that the child element must appear at least once, and as many times as desired in the parent element being defined (one or more times).
   Or type ? to indicate that the child element can appear at most once, if at all, in the parent element being defined (zero or one time).

✔ Tips

- To reiterate:
  * means zero or more times
  + means one or more times
  ? means zero or one time only.

- It’s important to remember that an element without a quantifier must appear exactly once.

- You can also use quantifiers to define the number of occurrences for a sequence (see page 80).

- There’s no special way to define a specific quantity of an element (for example, three). The one rather long-winded way is to write: (element, element, element).
Defining Choices

Sometimes you might need an XML element to contain one thing or another (Figure 6.13).

To define choices for the content of an element:

1. Type `<!ELEMENT tag`, where `tag` is the name of the element you wish to define.
2. Then, type `(child1`, where `child1` is the first child element that may appear.
3. Next, type `|` to indicate that if the first child element appears, the following one may not (and vice versa).
4. Then, type `child2`, where `child2` is the second child element that may appear.
5. Repeat Steps 3–4 for each additional choice.
6. Then, type `)` to complete the list of choices.
7. Finally, type `>` to complete the element definition (Figure 6.14).

✔ Tips

■ You can add the `*` quantifier after Step 6 to allow the element to have any number of any of the choices (see page 81).

■ When an asterisk quantifier is applied to a list of choices, it means that the element can contain any number of the individual choices, in any order, effectively creating an unordered list of the choices.

■ In some cases, you may want an element to contain both content and child elements. This is referred to as mixed content as seen in Figure 6.13. In this case, you must add the asterisk quantifier as described in the tips above. Note: This is not something you will use often when writing your own custom language. Rather, it is something that you might use when writing a DTD to support multiple XML documents from multiple sources.


d t d

```xml
<!ELEMENT ancient_wonders (wonder+>)
<!ELEMENT wonder
 (#PCDATA | name | location | city | country)*>
<!ELEMENT name       (#PCDATA)>
<!ELEMENT location   (#PCDATA)>
<!ELEMENT city       (#PCDATA)>
<!ELEMENT country    (#PCDATA)>
```

Figure 6.13 Imagine that the information for the ancient wonders came from three different sources, each having a different wonder element structure.


d t d

```xml
<!ELEMENT history
 ((year_built, year_destroyed, how_destroyed, story)
 | (year_built, story))>
```

Figure 6.15 This is another way to write the DTD logic from Figure 6.12. Here the DTD is defining the history element to either contain the year_built, year_destroyed, how_destroyed, and story elements; or, only the year_built and story elements.
Creating a DTD

Defining an Element That Contains Anything

While not ideal for creating a structured set of rules, in a DTD you can define an element to contain anything; meaning, it can contain any combination of elements and text. As with mixed content, this is useful if you are creating a DTD to support XML documents from different sources. It may be the only way to define elements you know and allow for element structures you can’t anticipate (Figure 6.16).

To define an element that can contain anything:

1. Type `<!ELEMENT tag ANY>`, where `tag` is the name of the element you wish to define.
2. Then, type `ANY` to allow the element to contain any combination of elements and parsed character data.
3. Finally, type `>` to complete the element definition (Figure 6.17).

✔ Tips

- You should be judicious with your use of `ANY`. The point of a DTD is to set up rules for what an element can and cannot contain. If you’re going to allow every element to contain anything, you might as well skip the DTD altogether. DTDs aren’t required; they simply help keep data consistent.

- `ANY` defines that an element may contain any structure. However, if the element contains child elements, those children must still be defined in the DTD. In other words, `ANY` does not allow an element to contain child elements that are not defined in the DTD; all elements that appear in a valid XML document must still be defined.

- Every element must be defined exactly once in a DTD and no more. Even if an element can appear in many different places in a valid XML document, it must only be defined once.

---

Figure 6.16 Here, I’ve added another wonder element (from a new unexpected source) to the XML document in Figure 6.13. This new wonder element has yet another structure to it. Notice that in this new element, the location element does not contain any PCDATA; rather, it is a parent element to the city and country elements.

```xml
collected_wonders
<ancient_wonders>
  <wonder>
    <name>Colossus of Rhodes</name>
    <location>Rhodes, Greece</location>
  </wonder>
  <wonder>
    Great Pyramid of Giza, Giza, Egypt
  </wonder>
  <wonder>
    Temple of Artemis at Ephesus
    <city>Ephesus</city>
    <country>Turkey</country>
  </wonder>
  <wonder>
    Mausoleum at Haliartus
    <location>
      <city>Bodrum</city>
      <country>Turkey</country>
    </location>
  </wonder>
</ancient_wonders>
```

Figure 6.17 Instead of adding to the DTD in Figure 6.14 to define the new location structure, I have defined the element to contain anything. It’s not as clear as defining location to contain specific content, but it does work.

```xml
define_wonders
<!ELEMENT ancient_wonders (wonder+)>  
<!ELEMENT wonder (#PCDATA | name | location | city | country)?>  
<!ELEMENT name (#PCDATA)>  
<!ELEMENT location ANY>  
<!ELEMENT city (#PCDATA)>  
<!ELEMENT country (#PCDATA)>  
```
About Attributes

Attributes are useful to provide additional data about an element. Information contained in attributes tends to be about the content of the XML document, as opposed to being the content itself.

For example, in the Wonders of the World XML master document, the `name` element contains a `language` attribute which describes the language that the `name` element content is in. You could easily restructure the XML so that the same information is in two individual child elements. The `name` element could contain two elements, a `language` element and a `local_name` element.

Either way is fine, but general best practices suggest that elements are better used for information you want to display; and attributes are better used for information about information. Some of the reasons for this are: Attributes cannot describe data relationships like child elements can, their values are not as easily validated by a DTD, and they cannot contain multiple values whereas child elements can.

Attributes are, of course, often used with empty elements where they describe information about the element. For example, they are often used to store IDs, as attributes are not the data, but information about the data (see page 88).

✓ Tip

- How you choose to craft your XML should be based on its usage. If you are not going to “do” much with a particular piece of information, then having it as an attribute is fine. If you are going to use that information in a more significant way, then having it be the content value of an element is more appropriate (Figure 6.18).
Creating a DTD

Defining Attributes

An attribute may not appear in a valid XML document unless it has been declared in the DTD. An attribute definition consists of four parts: element name, attribute name, attribute type, and an optional status.

To define an attribute:

1. Type `<!ATTLIST tag`, where `tag` is the element name in which the attribute will appear.
2. Then, type `att_name`, where `att_name` is the name of the attribute.
3. Next, type `CDATA` to indicate that the attribute type is text. And, unlike (#PCDATA), CDATA, or character data, will not be parsed by the processor.
4. Then, for the attribute’s optional status, type `#IMPLIED` to indicate that the attribute may be omitted, if desired (Figure 6.19). Or type `#REQUIRED` to indicate that the attribute may not be omitted and must contain a value (Figure 6.21).
5. Finally, type `>` to complete the attribute definition.

✔ Tips

- Note that all the parts of an attribute definition are case-sensitive. Type them as I have them here. Something like `#Required` doesn’t mean a thing in a DTD.
- You can define all the attributes for a given element in a single attribute definition. Before completing the attribute definition in Step 5 above, repeat Steps 2–4 for each attribute that the element should contain. This is the most common way of defining multiple attributes for a single element.
Defining Default Values

Instead of having an attribute’s optional status be either #REQUIRED or #IMPLIED, you can set an attribute to have default values.

To define an attribute with default values:

1. Follow Steps 1, 2, and 3 on page 85 to define the element name, attribute name, and attribute type.

2. Then, type "default" (the opening and closing quotes are required), where default will be the value for the attribute if none is set in the XML document (Figure 6.23).

   Or type #FIXED "default", where default will be the value for the attribute if none is explicitly set. And, if set, the attribute must be set to this value for the XML document to be valid (Figure 6.25).

3. Finally, type > to complete the attribute definition.

✔ Tips

- If you define an attribute with a default value, the XML parser will automatically add the default value if the attribute is not set in the XML document (Figure 6.24).

- If you define an attribute with #FIXED "default", the value of the attribute in the XML document must be set to the default value, if it is set at all. If the attribute is not set, then the parser will automatically set it to the value of the default (Figure 6.26).

- You may not combine a default value with either #REQUIRED or #IMPLIED. In fact, since there is a default value already being set, neither optional status would actually make sense.

```xml
<!ELEMENT height (#PCDATA)>
<!ATTLIST height
  units CDATA "feet">
```

Figure 6.23 This time, I am adding a default value of feet for the height attribute.

```xml
<height units="feet">39</height>
```

```xml
<height units="meters">39</height>
```

```xml
<height>39</height>
```

Figure 6.24 All these XML excerpts are valid. The units attribute can be set to any value and may even be omitted. If the units attribute is omitted, as in the third example, the parser will act as if the attribute is actually present and that its value is feet.

```xml
<!ELEMENT height (#PCDATA)>
<!ATTLIST height
  units CDATA #FIXED "feet">
```

Figure 6.25 A fixed value can be useful for ensuring that an attribute has a given value, whether or not it actually appears in the XML document.

```xml
<height units="feet">39</height>
```

```xml
<height units="meters">39</height>
```

```xml
<height>39</height>
```

Figure 6.26 These examples are the same as those in Figure 6.24 above. When validated against the DTD in Figure 6.25, though, the middle example is no longer valid; if the attribute is set, it must contain a value of feet (and not meters, or any other characters). Note that in the bottom example, the parser acts as if the units attribute is actually set to feet.
Defining Attributes with Choices

DTDs support attribute types that allow much more than just character data. One such type allows you to define an attribute that supports different pre-defined choices (Figure 6.27).

To define an attribute with choices:

1. Follow Steps 1 and 2 on page 85 to begin the attribute definition.

2. Type \( (choice_1 \mid choice_2) \), where \( choice_n \) represents each possible value for the attribute, and each attribute in the XML document can use any one of the listed choices. Each choice should be separated by a vertical bar, and the full set should be enclosed in parentheses.

3. Identify any optional attribute statuses as described in Step 4 on page 85 and in Step 2 on page 86.

4. Finally, type > to complete the attribute definition.

Tips

- Each choice in a list must follow the rules for valid XML names (see page 8).

- There are several other kinds of attribute types: ID, IDREF, and IDREFS, which are explained on pages 88–89; NMTOKEN and NMTOKENS, which are described on page 90, and ENTITY, which is described in Chapter 7.
Defining Attributes with Unique Values

There are a few special kinds of attribute types. ID attributes are defined to have a value that is unique (not repeatable) throughout the XML document. An ID attribute is ideal for keys and other identifying information (product codes, customer codes, etc).

To define ID attributes:
1. Follow Steps 1 and 2 on page 85 to begin the attribute definition.
2. Type ID to define that the value of the attribute will be unique and non-repeatable throughout the XML document. In other words, no other element may have an attribute with the same value.
3. Identify any optional attribute statuses as described in Step 4 on page 85. (Note: ID attributes can only be #REQUIRED or #IMPLIED, they cannot use the default values defined on in Step 2 on page 86.)
4. Finally, type > to complete the attribute definition (Figure 6.29).

✔ Tips
■ An XML document is not considered valid if two elements with ID attributes have the same value, regardless of whether the element or attribute names are the same or different.
■ The one exception to this rule is that there can be an unlimited number of omitted ID attributes, each implying a null value.
■ The value of an ID attribute must follow the same rules as valid XML names (see page 8). (That means an ID attribute cannot contain only numerical values, like many database ID fields, Social Security numbers, etc., unless you prefix them with a letter or underscore.)

Figure 6.29 If you’re going to create an ID attribute, it's a good idea make it required. If not, it must be implied since ID attributes cannot have default values.

Figure 6.30 As defined by the DTD in Figure 6.29, the code attribute must contain a unique value throughout the XML document. Given this, the first excerpt is valid, but the second is not.
Creating a DTD

Referencing Attributes with Unique Values

An attribute whose value is the same as any existing ID attribute (defined on page 88) in the XML document is called an IDREF attribute (Figure 6.31).

An attribute whose value is a white-space-separated list of existing ID attribute values is called an IDREFS attribute (notice that this attribute ends in an “S”) (Figure 6.33).

To reference attributes with unique values:

1. Follow Steps 1 and 2 on page 85 to begin the attribute definition.
2. Type IDREF to define an attribute that can contain a value matching any existing ID attribute’s value (such as one that you defined with the instructions on page 88). Or type IDREFS (with an “s”) for an attribute that can contain several white-space-separated values which match any existing ID attribute’s value.
3. Identify any optional attribute statuses as described in Step 4 on page 85 and Step 2 on page 86.
4. Finally, type > to complete the attribute definition.

✔ Tips

■ Note that there may be several IDREF attributes that refer to the same ID (Figure 6.32). That’s fine. It’s just the ID itself that must be unique to one element.

■ There’s nothing that keeps repeated items out of an IDREFS attribute. Something like contents="w_143 w_143 w_143" is perfectly valid for the parser, whether or not it’s what you want. For more control over element and attribute contents, you have to abandon DTDs in favor of XML Schema (see Part 4).
Chapter 6

Restricting Attributes to Valid XML Names

DTDs don’t allow for much data typing, but there is one restriction that you can apply to attributes. The value of an attribute defined as the NMTOKEN type, must be a valid XML name. That is, a value that begins with a letter or an underscore and contains only letters, numbers, underscores, hyphens, and periods.

To ensure attribute values follow the rules for valid XML names:

1. Follow Steps 1 and 2 on page 85 to begin the attribute definition.

2. Type `NMTOKEN` if you want the attribute value to be a valid XML name as defined on page 8.

   Or type `NMTOKENS` if you want the attribute value to be a white-space-separated list of valid XML names.

3. Identify any optional attribute statuses as described in Step 4 on page 85 and Step 2 on page 86.

4. Finally, type `>` to complete the attribute definition (Figure 6.35).

✔ Tips

- NMTOKEN attributes may not contain any white space, which may be one good reason to use this particular type.

- If you want the value of an attribute to not only be a valid XML name, but also to be unique throughout the XML document, use ID instead of NMTOKEN (see page 88).

---

Figure 6.35 In this rather contrived example, I need a single word for each wonder to use as the primary keyword in a special online application called Wonderful Visit. I created an element called `w_visit` with a primary_keyword attribute. To keep the value of the primary_keyword attribute to just one word (with no white space), I can define it to be the NMTOKEN type.

```xml
<dtd>
<!ELEMENT w_visit EMPTY'>
<!ATTLIST w_visit
    primary_keyword NMTOKEN #REQUIRED>
</dtd>
```

Figure 6.36 Only the second example above would be considered valid against the DTD in Figure 6.35. In the first, the primary_keyword attribute "great pyramid" has a space in its value, and spaces are not allowed in an NMTOKEN attribute.
Entities and Notations in DTDs

Entities are just like autotext entries or shortcuts. With an entity, you define its name and the text it should expand into when referenced in your document. Then, when you type the entity reference in an XML document or DTD, it is replaced with text you defined.

There are several types of entities, but they all work in the same way, and they are all defined through a DTD. The differences lie in where the entity can be expanded, and what kind of data it contains.

Entities can be divided into two main types: general entities and parameter entities. General entities can be expanded only in XML documents; parameter entities can be expanded only in DTDs.

General entities can be further subdivided into internal and external, parsed or unparsed. Parameter entities can also be further subdivided into internal and external, but parameter entities are always parsed.
Creating a General Entity

The simplest kind of entities are defined in a DTD, and they simply represent text. Officially, they are called internal general entities. I often just call them shortcuts.

To create an internal general entity:

1. In the DTD, type `<!ENTITY`.  
2. Then, type `ent_name`, where `ent_name` specifies the name of the entity; the name you'll refer to when using the entity in your XML document.  
3. Next, type "content", where content is the shortcut text that will appear when you use the entity in your XML document.  
4. Finally, type `>` to complete the entity definition (Figure 7.1).

Tips

- For details on using these shortcuts, see Using General Entities on page 93.
- The entity name reference (in Step 2 above) must follow the rules for valid XML names (see page 8).
- In XML, there are five built-in general entities: `&amp;`, `&lt;`, `&gt;`, `&quot;`, `&apost;` (see page 14). All other entities must be declared in the DTD before being used.
- Many common entities have been defined and are easily available to include in your own DTDs. For more details, see the Tips on page 95.
Using General Entities

Once you have defined an entity in your DTD, you can use it in any XML document that references that DTD.

To use general entities:

1. In the XML document, type & (an ampersand).
2. Then, type ent_name, where ent_name identifies the name of your entity (the one you used in Step 2 on page 92).
3. Finally, type ; (a semicolon) (Figure 7.2).

✔ Tips

■ You may only use a general entity after it has been defined in the DTD referred to by your XML document. If not, the parser will return an error that the entity has not been defined.

■ Character references are used for adding special symbols to a document, such as writing &246; to generate the ö symbol, etc. They look rather similar to entities, but they are not entities, and do not need to be declared in the DTD (see Appendix B).

■ General entities are used in XML documents only; they cannot be used in XSLT documents. (There are ways around this, but they are advanced and cumbersome.)

■ You may use an entity within another entity’s definition as long as there is no circular reference.
Creating an External General Entity

If you have a larger entity, or one that could be reused in multiple DTD documents, it is often more convenient to save it in a separate, external document.

To create an external general entity:
- Create the content for the entity in an external file. Save the file as text-only using an extension of .ent (Figure 7.4).

To define an external general entity:
1. In your DTD where you want to use the content, type <!ENTITY to begin the entity definition.
2. Then, type ent_name, where ent_name specifies the name of the external entity; the name you’ll refer to when using the entity in your XML document.
3. Next, type SYSTEM to indicate that the entity is defined externally in another document.
4. Then, type "entity.uri", where entity.uri is the location of the file containing the entity content.
5. Finally, type > to complete the entity definition (Figure 7.5).

✔ Tips
- The "entity.uri" in Step 4 above can refer to a file on your computer, a local area network, or on the Internet.
- Using the .ent file extension for your external general entity is not required (any extension will work fine), but .ent is most common.
- Using external entities, you can actually create a single DTD from several others.
Entities and Notations in DTDs

Using External General Entities

Once created, you can use your entity, share your entity with others, and borrow entities from others (provided they’ve created external general entities, too).

To use external general entities:

1. In the XML document that will refer to the DTD, add `standalone="no"` to the initial XML declaration (see page 7). This tells the XML parser that the document will rely on an external file; in this case, the one that contains the entity definition.

2. Then, in the XML document, type `&` (an ampersand).

3. Next, type `ent_name`, where `ent_name` identifies the name of your entity (the one you used in Step 2 on page 94.

4. Finally, type `;` (a semicolon) (Figure 7.6).

✔ Tips

- A URI (Uniform Resource Identifier) is a string of characters used to identify and locate a resource. It is often used interchangeably with URL (Uniform Resource Locator). Technically, a URI can be either a URL or a URN (Universal Resource Name), but for purposes this book, I will use URI and URL to mean the same thing.

- You could link to a standardized list of entities, like the ones available at: www.w3.org/TR/xhtml1/#h-A2. This would let you use the easy-to-remember entity references for accented characters without having to manually define each one.

- A general entity (like those described on pages 92 and 94) are defined as part of a DTD and used in the body of an XML document. There is another kind of entity used to add content to the DTD itself. It is called a parameter entity and has a slightly different syntax (see page 100).
Chapter 7

Creating Entities for Unparsed Content

So far, I’ve only talked about entities whose content is text. Entities that contain text are called parsed entities because the XML parser looks at them and analyzes them in the course of going through the XML document. Unparsed entities, which I’ll describe here, don’t usually contain text (but can), but most importantly are completely bypassed by the XML parser. They can be used to embed non-text or non-XML content into an XML document.

To create unparsed content:

- Create the data that you want to embed in the XML document. It may be, or contain, virtually anything; including plain text, an image file, a video file, a PDF file, or anything else (Figure 7.8).

In order to create an entity for unparsed content, you must first identify how to process the unparsed content using a notation.

To create a notation about the unparsed content:

1. In the DTD where you want to embed the content, type `<!NOTATION n_name`, where `n_name` will be used to identify the unparsed content.
2. Then, type `SYSTEM`.
3. Next, type "notation.instr", where `notation.instr` is usually information (such as a URI), that defines how to process the unparsed content. (Note, however, that there is no official format for this information, so consult your XML processor for more details.)
4. Finally, type `>` to complete the notation. (Figure 7.9)
Creating Entities for Unparsed Content

1. On a new line in the same DTD, after the corresponding notation for the unparsed content, type `<ENTITY` to begin the unparsed entity definition.

2. Then, type `ent_name`, where `ent_name` specifies the name for the external entity; the name you’ll refer to when using the entity in your XML document.

3. Next, type `SYSTEM` to indicate that the entity is defined in a separate document.

4. Then, type "entity.uri", where `entity.uri` is the location of the file with the unparsed content.

5. Next, type `NDATA n_name`, where `n_name` is the unparsed content’s identifying name you created in Step 1 on page 96.

6. Finally, type `>` to complete the entity definition (Figure 7.10).

✔ Tips

- The "notation.instr" in Step 3 on the previous page can be a MIME type (an Internet standard describing content types), a URI indicating a local or external application that can handle the unparsed content, or practically anything else. According to the specification, there is no required format for this information, and each XML application can use the information as it chooses.

- Unparsed entities are inherently general entities because they become part of the body of an XML document.

- The contents of an unparsed entity can be just about anything. Often, it’s an image file, audio file, video file, or some other kind of multimedia file. It could also be plain text. It doesn’t matter what it is because the XML parser won’t look at it.

Figure 7.10 The entity’s name, lighthouse_pic, refers to an external SYSTEM file called lighthouse.jpg, and I can get more information about the file by looking at the notation identifier NDATA jpg.
Embedding Unparsed Content

Once you’ve defined an entity for your unparsed content, as described on page 96, you can then embed it into your XML document. Unparsed entities do not have entity references (like the parsed entities I described earlier). Instead, unparsed entities are referred to through a special ENTITY attribute type.

To declare the attribute that will contain the reference to the unparsed entity:

1. In the DTD, first define an element. It is this element that will contain the attribute referencing the unparsed entity.

2. Type `<!ATTLIST` tag, where `tag` is the element you defined in Step 1.

3. Then, type `att_name`, where `att_name` identifies the name of the attribute defined in Step 1. It will contain the reference to the unparsed entity.

4. Next, type `ENTITY` to indicate that the attribute can contain references to an unparsed entity.

   Or, type `ENTITIES` if you want the attribute to be able to contain multiple white-space-separated references to unparsed entities.

5. Then, you may define a status or default value for the attribute. For more details, consult Defining Attributes on page 85 and Defining Default Values on page 86.

6. Finally, type `>` to complete the attribute definition (Figure 7.11).

   ![d t d]
   ```xml
   <!ELEMENT ancient_wonders (wonder*)>
   <!ELEMENT wonder (name+, photo)>
   <!ELEMENT name (#PCDATA)>
   <!ATTLIST name
     language CDATA #REQUIRED>
   <!NOTATION jpg SYSTEM "image/jpeg">
   <!ENTITY lighthouse_pic SYSTEM "lighthouse.jpg" NDATA jpg>
   <!ELEMENT photo EMPTY>
   <!ATTLIST photo
     source ENTITY #REQUIRED>
   
   Figure 7.11 First, I define the photo element that will contain the attribute referencing the unparsed data. Then, I define the entity’s attribute source using the ENTITY attribute type.
   ```
To embed an unparsed entity in an XML document:

1. In the XML document that will refer to the DTD, add `standalone="no"` to the initial XML declaration. This tells the XML parser that the document will rely on an external file; in this case, the one that contains the unparsed entity.

2. In the body of the XML document, within the attribute declared with an ENTITY type (on the preceding page), type `att_name="ent_name"`, where `att_name` identifies the attribute and `ent_name` is the name of the unparsed entity you created in Step 2 on page 96 (Figure 7.12).

✔ Tips

- While XML parsers are supposed to be able to use the notation information to help them to view/play/display the unparsed entity, current browsers cannot. In short, they won’t show the embedded data (Figure 7.13).

- In fact, there is a general consensus that using unparsed entities is complicated and confusing. Instead, you could set an element’s value to a URL that points to any file of your choosing, and use attributes to clarify additional information if you desire.
Creating and Using Parameter Entities

The entities that I’ve talked about so far all reference text or files that will be used in an XML document. In a DTD, you can also create entities for the DTD itself. These kinds of shortcuts are called parameter entities.

**To create a parameter entity:**

1. In the DTD, type `<!ENTITY` to begin the entity definition.
2. Then, type `%` followed by a space to note that the entity is a parameter entity.
3. Next, type `ent_name`, where `ent_name` specifies the name of the entity; the name you’ll refer to when using the entity in your DTD.
4. Then, type "content", where `content` is the shortcut text that will appear when you use the entity in your DTD.
5. Finally, type `>` to complete the entity definition (Figure 7.14).

Once you’ve created the parameter entity, you can use it.

**To use a parameter entity:**

1. In the DTD, type `%` (with no following space).
2. Then, type `ent_name`, where `ent_name` is the identifying name of your entity (the one you used in Step 3 above).
3. Finally, type `;` (a semicolon) (Figure 7.15).

✔ **Tips**

- Parameter entities must be created in the DTD before they’re used in the DTD. In this case, the order does matter.
- Parameter entities can only be used within the DTD, and are distinguished from general entities by the percent sign (%).
Creating an External Parameter Entity

As with general entities, parameter entities can also be created in external files.

To create an external parameter entity:

- Create the entity’s content in an external file and save it as text only using an .ent extension (Figure 7.16).

To define an external parameter entity:

1. In your DTD, type <!ENTITY to begin the entity definition.
2. Then, type % to indicate that this is for a parameter entity.
3. Next, type ent_name, where ent_name specifies the name of the external entity; the name you'll refer to when using the entity in your XML document.
4. Then, type SYSTEM to indicate that the entity is defined externally in another document.
5. Next, type "entity.uri", where entity.uri is the location of the file with the entity content.
6. Finally, type > to complete the entity definition (Figure 7.17).

Tips

- Use this external parameter entity (Figure 7.18) in the same way you would an internal parameter entity, see Creating and Using Parameter Entities on page 100.
- If you are using an internal DTD (see page 106), then in the XML document containing the DTD, add standalone="no" to the initial XML declaration. This tells the XML parser that the document will rely on an external file.

---

Figure 7.16 Here is a bit of DTD that I have saved in a separate file called pic.ent. I want to use it in several other DTDs, as it contains the declarations for the main_image element and its attributes.

```xml
<!ELEMENT main_image EMPTY>
<!ATTLIST main_image
    file CDATA #REQUIRED
    w CDATA #REQUIRED
    h CDATA #REQUIRED>
```

Figure 7.17 In this DTD, and any in which I want to declare the main_image element and its attributes, I have to first define the entity (as shown here).

```xml
<!ENTITY % full_pic SYSTEM "pic.ent">
```

Figure 7.18 Once the entity is defined, it can be used by typing its reference; in this case, %full_pic;

```xml
<main_image file="gardens.jpg" w="528" h="349"/>
<source sectionid="11" newspaperid="24"/>
<source sectionid="18" newspaperid="151"/>
<wonder>
```

Figure 7.19 When the DTD in Figure 7.18 is parsed, the processor replaces the %full_pic parameter entity reference with the contents of the file shown in Figure 7.16. Now the main_image element in the XML file is considered valid against the DTD.
This page intentionally left blank
In the previous two chapters, you learned how to create DTDs. In this chapter, you'll learn how to use them.

Specifically, a DTD defines rules for every element and attribute that can appear in an XML document. However, you must declare the DTD in your XML document in order to use it. Once this declaration is made, you can use various tools to validate the XML document against the DTD. This is the reason for creating a DTD in the first place, to insure that a given XML document is constructed in a specific way as defined by the DTD.

DTDs can be written and saved as separate files, or they can be written entirely inside an XML document. A benefit of writing internal DTDs is that there is only one file to manage that contains both the DTD structure and the XML content. A benefit of writing external DTDs is that they can easily be used to validate many XML documents. In fact, they can be used by other people and companies who are generating XML documents to validate their documents before sending them to you, and vice versa. In this way, the validation process enables the sharing of XML documents, as well as the verification that these documents are all consistently structured.
Creating an External DTD

If you have a set of related XML documents, you may want them all to use the same DTD. Instead of copying the DTD into each document, you can create an external file that contains the DTD (Figure 8.1), and then reference the DTD from each of the XML documents that needs it.

To create an external DTD:

1. Define the rules for the DTD in an external file, as described in Chapters 6 and 7.
2. Save the file as text only using an extension of .dtd.

Tips

- As you may have noticed in the previous two chapters, all the DTD examples that were used by the XML documents were external DTDs. This is the most common way of using DTDs.
- For details on how to use this external DTD, see Declaring an External DTD on page 105.

---

**Figure 8.1** This DTD has been saved as 08-01.dtd (the filename has no special meaning, except that it corresponds to the Figure 8.1). Notice that it has no relationship to any XML document, yet. It simply contains DTD definitions and was saved as text only with the .dtd extension.

```xml
<!ELEMENT wonder (name, location, height)>
<!ELEMENT name (#PCDATA)>
<!ELEMENT location (#PCDATA)>
<!ELEMENT height (#PCDATA)>
```
Validation and Using DTDs

Declaring an External DTD

Now that you’ve created an external DTD, you need to refer to it within your XML document. You do this using a document type declaration (see the last Tip on this page) which declares the DTD (Figure 8.2).

To declare an external DTD:

1. Type <!DOCTYPE root where root corresponds to the name of the root element in this XML document.
2. Then, type SYSTEM to indicate that the DTD is defined in an external document.
3. Next, type "dtd.uri", where dtd.uri is the location of the file with the DTD content.
4. Finally, type > to complete the document type declaration.
5. Then, in the XML declaration at the top of the document, add standalone="no". This tells the XML parser that the document will rely on an external file; in this case, the one that contains the DTD.

✔ Tips

- As discussed, for an XML document to be valid, it must conform to the rules of the corresponding DTD.
- The "dtd.uri" in Step 3 above can refer to a file on your computer, a local area network, or the Internet.
- The default value of the standalone attribute in the XML declaration in Step 5 is no. Consequently, in the examples in Figure 8.2, the attribute was not needed.
- Here’s some terminology fun. The collection of element and attribute rules is called a DTD, or document type definition. The lines of code that refer to the DTD are called a document type declaration. To distinguish them, think of the document type declaration as the instruction that refers to, or declares, the document type definition.
Declaring and Creating an Internal DTD

For individual XML documents (ones that you won’t be sharing with others, or at least a very little), it is simplest to declare and create the DTD within the XML document itself.

The rules for creating a DTD, whether internal or external, are the same. The difference between the two is the way the document type declaration is written; in other words, how the DTD is declared.

**To declare and create an internal DTD:**

1. At the top of your XML document, after the XML declaration (see page 7), type `<!DOCTYPE root [`, where `root` corresponds to the name of the root element in your XML document.

2. Then, create your DTD by defining its elements and attributes using the information you learned in the previous two chapters.

3. Finally, type `]>` to complete the document type declaration (Figure 8.3).

**Tips**

- Even though internal DTD declarations are part of the XML document itself, they are not XML elements, and thus do not require a closing slash before the final `>`.

- In fact, although the DTD schema specification is part of the XML specification, DTDs use a specific syntax that is not XML compliant at all.

- You can use both an internal and external DTD in the same XML document (Figure 8.4). When doing so, the internal DTD rules override those from the external DTD. Unfortunately, however, most XML processors treat conflicts between an internal and external DTD as errors (Figure 8.5).

**Figure 8.3** Here is a simple internal DTD. It goes right after the XML declaration and before the actual tags in the body of the XML document. This corresponds to the first example in Figure 8.2.

```xml
<?xml version="1.0"?>
<!DOCTYPE wonder [ 
<!ELEMENT wonder >
<!ELEMENT wonder (name, location, height)> 
<!ELEMENT name (#PCDATA)> 
<!ELEMENT location (#PCDATA)> 
<!ELEMENT height (#PCDATA)> ]>
<wonder>
  <name>Colossus of Rhodes</name>
  <location>Greece</location>
  <height>107</height>
</wonder>
```

**Figure 8.4** Combining both an internal and external DTD can sometimes be beneficial. Here, I have updated the second example in Figure 8.2 with an internal DTD which declares a units attribute for the height element. It is now a valid XML document.

```xml
<?xml version="1.0"?>
<!DOCTYPE wonder SYSTEM "08-01.dtd"[
<!ATTLIST height units CDATA #REQUIRED> ]>
<wonder>
  <name>Colossus of Rhodes</name>
  <location>Greece</location>
  <height units="feet">107</height>
</wonder>
```

**Figure 8.5** Unfortunately, while the third example from Figure 8.2 now appears to be valid, most XML processors will return an error stating that it is not legal to redefine the `wonder` element.
Validating XML Documents Against a DTD

Now that you have created your DTD and have declared it in your XML document, you will want to validate your XML against it. Every XML parser is required to return an error if your XML document is not well-formed; however, not all have the ability to validate your XML against a DTD.

If the XML parser you are using cannot validate XML against a DTD, there are several validators available online. I like the W3C’s Markup Validation Service.

To use an online validator:

1. Make sure you’ve declared the DTD in your document.
2. With your browser, go to: http://validator.w3.org/ (Figure 8.6).
3. You can choose to “Validate by URI,” “Validate by File Upload,” or “Validate by Direct Input” (that is, copying your XML document into the text box on the page).
4. Click “Check”. The validator gives you a useful report of any errors it may find (Figure 8.7).

✔ Tips

- If you use an external DTD, it must be publicly available as well, otherwise an online validator won’t be able to get to it.
- Often, one error can cause ghost errors, where most of the code below this first error is misunderstood, see Figure 8.7. Usually, if you correct the first error in the list and then revalidate, many additional errors (the ghost errors) will disappear.
- Another online validator is Brown University’s Scholarly Technology Group’s XML Validator at: www.stg.brown.edu/service/xmlvalid/.

Figure 8.6 I copied and pasted the XML from my editor into the text box labeled “Validate by direct input.” (Can you see the error?)

Figure 8.7 The validator tells me that I’ve forgotten the opening quotation mark before the attribute value “Greek”. Also notice that this problem caused seven total errors. However, once the quotation mark error is fixed, all the additional “ghost” errors will disappear.
Naming a Public External DTD

If your DTD will be used by others, you should name your DTDs in a standard way: using a formal public identifier, or FPI. An XML parser could then use the FPI to find the latest version of the DTD on a public Web server.

To name an external DTD:

1. Type

   −/ //, if your DTD is not a recognized standard (this is most common), or

   +/ //, if your DTD is an approved non-ISO standard, or

   ISO//, if your DTD is an approved ISO standard.

2. Then, type owner//, where owner identifies the person or organization who wrote and will maintain the DTD.

3. Next, type DTD description//, where description is a reference to the DTD and should contain a unique element, such as a version number.

4. Finally, type XX, where XX is the two-letter abbreviation for the language the DTD uses. Use EN for English (and see Tip for more on other languages).

✔ Tips

- You can find the complete, official list of two-letter language abbreviations in ISO 639 online at: www.unicode.org/unicode/onlinedat/languages.html.

- ISO is the International Organization for Standardization. It is an international standards organization similar to the W3C.

Figure 8.8 Here is the official public name for the DTD that will describe my Wonders of the World XML documents.
Validation and Using DTDs

Declaring a Public External DTD

If my Wonders of the World DTD becomes very popular, and there are copies of it distributed far and wide, I would want it to be possible for the public to declare it in their own XML documents using its formal public identifier (the name I just created for it on page 108).

To declare a public external DTD:

1. Type `<!DOCTYPE root`, where `root` is the name of the root element in the XML document to which the DTD will apply.
2. Then, type `PUBLIC` to indicate that the DTD is a standardized, publicly available DTD.
3. Next, type `"FPI"`, where `FPI` is the formal public identifier for the DTD (see page 108).
4. Then, type `"dtd.uri"`, where `dtd.uri` is the location of the DTD, indicating its location on a public server.
5. Finally, type `>` to complete the document type declaration.
6. Then, in the XML declaration at the top of the document, add `standalone="no"`. This tells the XML parser that the document will rely on an external file; in this case, the public external DTD.

✔ Tip

- When an XML parser sees a formal public identifier, it will usually try to get a copy of the DTD from the best possible server; perhaps one that's closer on the Internet or one that has the latest version of the DTD. If it can't find the DTD by using the FPI, it can then resort to using the URI.

```xml
<?xml version="1.0"?>
<!DOCTYPE ancient_wonders PUBLIC "-//kehogo//DTD WowML 2.0//EN" "http://www.kehogo.com/dtd/wonders-master.dtd">

<ancient_wonders>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    ...
  </wonder>
</ancient_wonders>
```

Figure 8.9 This time, the XML parser will use the public identifier to try and find the DTD, perhaps in a public repository. If that proves unsuccessful, it will use the DTD referenced by the given URI.
Pros and Cons of DTDs

DTDs are schemas. They specify the elements, attributes, and relationships that a valid XML document can contain.

DTDs are very powerful and very useful; however, there are other schema languages for XML. The most recognized and most used alternative is called XML Schema, and each schema language has its costs and benefits. I will discuss XML Schema in the next part of the book.

Some pros of using DTDs:

- They are compact and easily comprehended with a little direction.
- They can be defined inline (internal DTDs) for quick development.
- They can define entities (see Chapter 7).
- They are likely the most widely accepted and are supported by most XML parsers.

Some cons of using DTDs:

- They are not written using XML syntax, and require parsers to support an additional language.
- They do not support Namespaces (see Chapters 12 and 13).
- They do not have data typing (requiring data to be an integer, a string, or a date, etc.), thereby decreasing the strength of the validation.
- They have limited capacity to define how many child elements can nest within a given parent element.
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The specifications for XML include the syntax for a schema language: A way to define what a valid XML document could contain. This language, known as a DTD (Document Type Definition), enables users to define elements, attributes, and their relationships for any application of XML needed (see Part 3).

In 2001, the W3C developed a new schema language to address many of the shortcomings of DTD (see page 110). This schema language was named XML Schema, which is admittedly confusing because DTDs are a type of XML schema (lower case “s”). Even still, it’s most often called XML Schema, though it is occasionally called XML Schema Definition (XSD). And now, with version 1.1 of the language, it is known as XML Schema Definition Language (XSDL). However, for this book, I will use the name XML Schema, which is still the most widely recognized name of them all.

XML Schema, written in XML itself, is deeper and more powerful than a DTD. A few examples of its strength include its system of data types that let you specify when an element should, for example, contain an integer, or a period of time, or a string. It supports namespaces, which are discussed in Chapters 12 and 13. It also lets you define both local and global elements, thereby allowing two elements to have different definitions, even though they have the same name. In short, XML Schema gives you much more control over the contents of an XML document, and will likely supplant DTDs as the most widely accepted schema language in the near future.
Working with XML Schema

An XML Schema specifies the structure of valid XML documents (Figure 9.1) by defining a set of elements, their relationships to each other, and the attributes that they can contain. In a DTD, all XML elements are defined using one element type. In XML Schema, an XML element can be defined as either a simple type or a complex type. Essentially, a simple type is an XML element that only contains text, whereas a complex type is an XML element that contains child elements and/or attributes.

Let’s take a closer look at simple types. Again, in XML Schema, a simple type element is one that contains only text. In a DTD, a text-only element is defined as #PCDATA, meaning its contents might be a name, number, date, or practically anything. In XML Schema, you can (and must) specify exactly what kind of content you want an element to contain. You do this by assigning it a data type. There are many built-in data types; like string, integer, and date (Figure 9.2). You can also create custom data types to have even more control over an element’s content.

Where simple type elements describe the text of an XML document, complex type elements describe its structure (Figure 9.3). There are four kinds of complex type elements: those that contain child elements; those that contain both child elements and text; those that contain only text; and those that are empty. You’ll find more detailed information in Chapter 11, Defining Complex Types.

```xml
<?xml version="1.0"?>
<wonder>
  <name>Colossus of Rhodes</name>
  <location>Greece</location>
  <height>107</height>
</wonder>
```

Figure 9.1 Here is one of the first XML documents I used in the book.

```xsd```
<element name="name" type="string"/>
<element name="location" type="string"/>
<element name="height" type="integer"/>
```

Figure 9.2 These elements are defined using XML Schema’s built-in simple data types. The name and location elements must be strings, and the height element must be an integer.

```xsd```
<element name="wonder">
  <complexType>
    <sequence>
      ...
    </sequence>
  </complexType>
</element>
```

Figure 9.3 This complex type definition using XML Schema defines the wonder element as containing a sequence of elements (the sequence of child elements is not shown here).
One of the benefits of XML Schema is that it uses XML syntax, which you probably already know by now!

Because an XML Schema is an XML document, it must begin with an XML declaration, have one root element, and be well-formed, just like all other XML documents (Figure 9.4).

Interestingly, when the first version of this book was being published, XML Schema was still a working draft. Now, the W3C is working towards the completion of XML Schema Version 1.1. It is being developed to fix bugs and make improvements where possible, while maintaining the same basic scope as (and remaining mostly compatible with) version 1.0. You can find up-to-date information at the W3C’s XML Schema Working Group site at: [www.w3.org/XML/Schema](http://www.w3.org/XML/Schema).

---

**Figure 9.4** Put Figures 9.2 and 9.3 together and you get most of an XML Schema that defines the XML document shown in Figure 9.1. The rest of the XML Schema is explained on the next page.
Chapter 9

Beginning a Simple XML Schema

An XML Schema is a text-only document, and begins with a standard XML declaration. It is customarily saved with an .xsd extension, and its root element must be schema.

To begin an XML Schema:

1. At the top of your document, type
   `<?xml version="1.0"?>`.

2. Type `<xs:schema` to define the root element. The `xs:` is a namespace prefix (see Tip on namespaces below).

3. Then, type `xmlns:xs="http://www.w3.org/2001/XMLSchema"` to declare the XML Schema namespace (`xmlns`). This also declares that the elements and data types that are part of this namespace should be prefixed with `xs:` as you saw in Step 2 above.

4. Type `>` to complete the root element’s tag.

5. Leave a few empty lines for your XML Schema’s rules.

6. Finally, type `</xs:schema>` to complete the root element, and the XML Schema document itself (Figure 9.5).

✔ Tips

- A namespace is a “space” in which names reside. Names that are part of one namespace are not the same as names that are part of another namespace (even if they are spelled the exact same way).

- The W3C created a namespace which contains all XML Schema elements and data types. This namespace is declared in Step 3 above. Once declared, in order to indicate that a particular element or data type should be considered part of the W3C’s XML Schema namespace, it must start with the `xs:` namespace prefix (Figure 9.6). Namespaces are discussed at length in Chapters 12 and 13.

---

```
<?xml version="1.0"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema">
  ...
</xs:schema>
```

Figure 9.5 An XML Schema is an XML document itself. The root element must be schema, and its namespace is declared to be the W3C’s XML Schema namespace.

```
<?xml version="1.0"?>
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema">
  <xs:element name="wonder">
    <xs:complexType>
      <xs:sequence>
        <xs:element name="name" type="xs:string"/>
        <xs:element name="location" type="xs:string"/>
        <xs:element name="height" type="xs:string"/>
      </xs:sequence>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

Figure 9.6 Here, I’ve combined the XML Schema excerpt in Figure 9.4 with the correct XML declaration, an `xs:schema` root definition. I have also started all the XML Schema elements with the XML Schema namespace prefix `xs:`.
Associating an XML Schema with an XML Document

To validate an XML document against an XML Schema, you must specify the location of the XML Schema in the XML document itself.

**To declare the XML Schema and its location:**

1. Inside the definition of the root element of your XML document, type `<xmlns:xsi="http://www.w3.org/2001/XMLSchema" xsi:noNamespaceSchemaLocation="09-06.xsd">`. This allows you to define the location of your XML Schema in the next two steps.

2. Type `<xsi:noNamespaceSchemaLocation="xsd.uri">`.

3. Finally, type "xsd.uri", where xsd.uri is the location of the XML Schema file against which you want to validate your XML file (Figure 9.7).

**✔ Tips**

- Most XML parsers can validate XML documents against a declared XML Schema (Figure 9.8). If the XML parser you are using cannot, there are validators available online that can. The W3C has a validator at: [www.w3.org/2001/03/webdata/xsv](http://www.w3.org/2001/03/webdata/xsv). There are other validators listed at: [www.w3.org/XML/Schema](http://www.w3.org/XML/Schema).

- The "xsd.uri" in Step 3 above can refer to a file on the Internet, local area network, or your local computer.

- Step 1 above declares the *XML Schema Instance* namespace which includes the xsi:noNamespaceSchemaLocation attribute used in Step 2, along with a few other namespace attributes. Namespaces are discussed in Chapters 12 and 13.
Annotating Schemas

Since an XML Schema is an XML document, you can include standard XML comments in your XML Schema documents (see page 13).

In addition to these standard comments, XML Schema offers the ability to add more structured comments to your document. Whereas XML comments are readable by people, they are ignored by parsers, and often not passed through during XML transformations. XML Schema comments (annotations, as they are called), can be parsed and processed, because they are elements themselves (Figure 9.9).

To annotate XML Schemas:

1. Type `<xs:annotation>`.
2. Next, type `<xs:documentation>` to begin the comment.
3. Type the comment.
4. Type `</xs:documentation>` to complete the comment.
5. Finally, type `</xs:annotation>` to complete the annotation.

✔ Tips

- Whether you use XML comments, XML Schema annotations (or both), commenting your XML Schema makes it much easier to work with your documents.
- You can create annotations anywhere in the XML Schema, after the root element. They can be placed just after the `xs:schema` root element (to comment on the entire schema), or just after individual element definitions (to give more information about them), or both.

```xml
<?xml version="1.0"?>
<xs:schema xmlns="http://www.w3.org/2001/XMLSchema">
  <xs:annotation>
    <xs:documentation>This XML Schema will be used to validate the set of XML documents for the Wonders of the World project.</xs:documentation>
  </xs:annotation>
  ...
</xs:schema>
```

Figure 9.9 An annotation helps you document the XML Schema. It can facilitate future revisions.
Defining Simple Types

In XML Schema, an element defined as a simple type can contain only text. In other words, it cannot have attributes or child elements. However, it’s a little misleading to say it can only contain text. Rather, it’s more accurate to say that it can only contain a value, because with XML Schema, you can declare that it can contain a particular kind of text. In other words, you can declare that an element contain only numbers, or only dates, or only boolean values, etc.

XML Schema includes a large collection of built-in simple types for the most common kinds of text. These include strings, boolean values, URLs, various date and time formats, and numbers of all kinds.

You can also apply restrictions, or facets, to these simple types in order to limit them further. In doing so, you actually can create your own custom simple types. For example, you might want to define that an element contain a string that matches a certain pattern (like a telephone number or product code). Or, you might want to define that an element can only contain one of a specific set of dates. This feature allows you to more specifically and effectively define the acceptable element values that make up a valid XML document.
Defining a Simple Type Element

As stated, in XML Schema, a simple type element can only contain a value; it may not contain any child elements, and it may not have any attributes.

With simple types, you can define that an XML element be a string, integer, boolean value (Figure 10.1), or one of the other simple data types that are built into the XML Schema language (see pages 122–124).

To define a simple type element:

1. Type `<xs:element` to begin the definition.
2. Then, type `name="label"`, where `label` is the name of the XML element that you are defining. (In other words, the name of the element for which you are writing the XML Schema should replace the word “label”.)
3. Next, type `type="`.  
4. Then, to identify your XML element’s simple data type:
   Type `xs:string` if the element will contain a string of characters.
   Or type `xs:decimal` if the element will contain a decimal number. For other possible number types, see page 124.
   Or type `xs:boolean` if the element will contain the values `true` or `false` (or, 1 or 0).
   Or type `xs:date` if the element will be a date. For other possible date types, see page 122.
   Or type `xs:time` if the element will be a time of day. For other possible time types, see page 122.
   Or type `xs:anyURI` (as in `URI` and not `URL`) if the element will contain a reference to a file on the Internet, a local area network, or even your computer.
5. Next, type `"` to complete the data type.
6. Finally, type `/>` to complete the definition.

Figure 10.1 When defining an element in an XML Schema, you identify the XML document’s element name and what kind of content it should contain (its simple data type). In this case, the content of the height element is defined to be a string, and year_built is defined to be an integer.

<table>
<thead>
<tr>
<th>xsd</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;xs:element name=&quot;height&quot; type=&quot;xs:string&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;xs:element name=&quot;year_built&quot; type=&quot;xs:integer&quot;/&gt;</code></td>
</tr>
</tbody>
</table>

Figure 10.2 A string is a series of letters, numbers, and/or symbols. An integer is any whole number. Therefore, both the height and year_built elements are valid when compared against the XML Schema definition in Figure 10.1.

<table>
<thead>
<tr>
<th>xml</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;height&gt;39 feet&lt;/height&gt;</code></td>
</tr>
<tr>
<td><code>&lt;year_built&gt;430&lt;/year_built&gt;</code></td>
</tr>
</tbody>
</table>

Figure 10.3 In this XML excerpt, the height element looks like it might not be valid based on the XML Schema in Figure 10.1; but in fact, it is valid since a number is a string (though, conversely, not all strings are numbers). The year_built element, however, is invalid. The phrase “long ago” is not an integer.

<table>
<thead>
<tr>
<th>xml</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;height&gt;39&lt;/height&gt;</code></td>
</tr>
<tr>
<td><code>&lt;year_built&gt;long ago&lt;/year_built&gt;</code></td>
</tr>
</tbody>
</table>
Defining Simple Types

Defining a Simple Type Element

Tips

- There are many other built-in simple types. You can find the entire list at: www.w3.org/TR/xmlschema-2/#built-in-datatypes.

- Built-in simple types always begin with the XML Schema namespace prefix, which is typically declared as `xs:` (Figure 10.4). Namespaces are discussed in more detail in Part 5 of the book.

- You can also create custom simple types by extending the built-in simple types. For more details, consult Deriving Custom Simple Types on page 126.

- Attributes themselves are also simple types (since they can only contain values, not child elements or attributes of their own), and they are declared in much the same way as simple type elements. I’ll discuss them in the next chapter, see Defining Attributes on page 154.

- To reiterate, a simple type element cannot contain child elements or attributes. If an element needs to contain child elements or attributes, it will be defined as a complex type. For more details, see Chapter 11, Defining Complex Types.

---

### Figure 10.4
In this XML Schema excerpt, the XML element `last_modified` is defined to contain date values. This is done by using the built-in XML Schema simple type: `date`.

```xml
<xs:element name="last_modified" type="xs:date"/>
```

### Figure 10.5
The `last_modified` element in this XML excerpt is valid based on the XML Schema definition in Figure 10.4. It is valid because it contains a date, and is in the proper format. In XML Schema, the date format is `YYYY-MM-DD`. (That is, a four-digit year, followed by a dash, followed by two digits representing the month, another dash, and then two digits representing the day.) With all built-in simple type formats, it’s important to know the format in which the data should be written.

```xml
<last_modified>2008-05-23</last_modified>
```

### Figure 10.6
Although this `last_modified` element contains a date, it is actually not valid because the date is not in the proper format.

```xml
<last_modified>May 23, 2008</last_modified>
```
Using Date and Time Types

In addition to the simple data types I just discussed, XML Schema has several more refined data types for dates and times. To define an XML element using one of these types, replace Step 4 on page 120 with the one below that suits your purpose.

To use date and time types:

- Use `xs:date` to require that an element’s content be a date (Figure 10.7). It must be formatted `YYYY-MM-DD`. That is, May 23, 2008 would be written: 2008-05-23.

- Use `xs:time` to require that an element’s content be the time of day (Figure 10.8). It must be formatted `hh:mm:ss`. That is, 4:21 p.m. is written: 16:21:00. (Time is written in “military” or universal format.)

- Use `xs:dateTime` to require that an element’s content be a date and a time (Figure 10.9). It should be formatted `YYYY-MM-DDThh:mm:ss`. That is, 4:21 p.m. on May 23, 2008 would be written: 2008-05-23T16:21:00.

- Use `xs:duration` to require that an element’s content be an amount of time (Figure 10.10).

The duration must be formatted as `PnYnMnDTnHnMnS`, where `P` is always required (it stands for Period), and `T` is only required if you have any time units. Each `n` indicates how many of the following units there are: Years, Months, Days, Hours, Minutes, Seconds, and is a non-optional, non-negative integer. For example, 3 months, 4 days, 6 hours, and 17 minutes would be written: P3M4DT6H17M, and 90 days would be written: P90D.

You can also add an optional leading hyphen to indicate that the duration goes back in time (not forward). For example, −P90D would mean 90 days ago.

Figure 10.7 Albert Einstein was born on March 14, 1879. (In 1921, Einstein received the Nobel Prize for his work in Theoretical Physics, and in 1999 he was named “Person of the Century” by Time magazine.)

<xs:element name="birth" type="xs:date"/>

<birth>1879-03-14</birth>

Figure 10.8 Initially thought to be the setting sun, it is now believed that Vincent van Gogh’s Expressionist painting “Moonrise,” depicts the night sky in Saint-Rémy at 9:08 p.m., on July 13, 1889. (Notice that the time is written in “military” or universal format.)

<xs:element name="time_painted" type="xs:time"/>

<time_painted>21:08:00</time_painted>

Figure 10.9 The assassination of Martin Luther King, Jr., a well-known leader in the American Civil Rights movement, took place at 6:01 p.m. on April 4, 1968. His assassination happened in Tennessee, so the time is written with −05:00, indicating a −5 hour offset from UTC (see first Tip on the next page).

<xs:element name="when_shot" type="xs:dateTime"/>

<when_shot>1968-04-04T18:01:00-05:00</when_shot>

Figure 10.10 Mohandas Gandhi was a world-renowned leader who made famous the idea of resistance through civil disobedience. In 1939, while in prison, he went on a 5-day hunger strike for peace.

<xs:element name="strike_length" type="xs:duration"/>

<strike_length>P5D</strike_length>
Defining Simple Types

**Using Date and Time Types**

- Use **xs:gYear** to require that an element’s content be a year (Figure 10.11). It should be formatted YYYY.

- Use **xs:gYearMonth** to require that an element’s content be a year and month. It should be formatted YYYY-MM.

- Use **xs:gMonth** to require that an element’s content be a month (Figure 10.12). It should be formatted --MM. (That’s two initial dashes: One to represent the “missing” year, and one to act as a separator.) For example, April would be written: --04.

- Use **xs:gMonthDay** to require that an element’s content be the day of a month (Figure 10.13). It should be formatted --MM-DD. (That’s two initial dashes: One to represent the “missing” year, and one to act as a separator.) For example, September 14th would be written as --09-14.

- Use **xs:gDay** to require that an element’s content be a day of the month (Figure 10.14). It should be formatted ---DD. (Three initial dashes here: One for each “missing” piece, and one as a separator.) For example, the 7th day of the month would be written as ---07.

**Tips**

- All time types can also end with an optional time zone indicator. You would type Z for UTC or one of -hh:mm or +hh:mm to indicate an offset from UTC. UTC (Coordinated Universal Time) is the same time as Greenwich Mean Time.

- Time types can also include fractional seconds in the format hh:mm:ss.sss. You can include as many digits as you’d like.

- The g in the simple types on this page stands for Gregorian. This refers to the Gregorian calendar, which is the most commonly used calendar today.

---

**Figure 10.11** Marie Curie’s work in radioactivity won her Nobel Prizes in 1903 and 1911. In 1995, her ashes were transferred to the Panthéon in Paris, making her the first woman ever honored in that way.

```xml
<xs:element name="tribute_year" type="xs:gYear"/>
<tribute_year>1995</tribute_year>
```

**Figure 10.12** Nostradamus was an apothecary, but is best known for his collection of prophecies. And, although it is known that he was born in the month of December, historians are not certain on which day.

```xml
<xs:element name="birth_month" type="xs:gMonth"/>
<birth_month>--12</birth_month>
```

**Figure 10.13** February 29th is Leap Day. It occurs every four years (with the exception of century years not divisible by 400, such as 1800) to resync our calendar with the revolution of the Earth around the sun.

```xml
<xs:element name="leap_day" type="xs:gMonthDay"/>
<leap_day>--02-29</leap_day>
```

**Figure 10.14** The word ides comes from the Latin word “idus,” meaning “half division.” It is often thought to mean the 15th day of the month because of Julius Caesar’s assassination on the Ides of March, March 15th. Actually, in ancient Roman times, ides referred to the 15th day of March, May, July, and October, but the 13th day of the other months.
Using Number Types

XML Schema also has several more refined simple types for numbers (Figure 10.15).

To define the acceptable content for an XML element using one of these types, replace Step 4 on page 120 with one of the types below.

**To use number types:**

- Use **xs:decimal** when you want the content to be either positive or negative numbers that have a finite number of digits on either side of the optional decimal point, such as 4.26, –100, or 0.
- Use **xs:integer** when you want the content to be positive or negative whole numbers; that is, those that have no fractional part, like 542 or –7.
- Use **xs:positiveInteger** (1, 2, etc.), **xs:negativeInteger** (–1, –2, etc.), **xs:nonPositiveInteger** (0, –1, –2, etc.), or **xs:nonNegativeInteger** (0, 1, 2, etc.) when you want the content to one be those kinds of numbers.
- Use **xs:int** when you want the content to be a signed 32-bit integer, often used for database ID fields.
- Use **xs:float** when you want the content to be single precision, 32-bit floating point numbers like 43e–2. This includes positive and negative zero (0 and –0), positive and negative infinity (INF and –INF), and “not a number” (NaN).

**Tips**

- You can find more number types explained at: www.w3.org/TR/xmlschema-2/, such as short, byte, and the unsigned versions of some I’ve already listed here.
- You can also use these types (as well as the ones listed on the previous pages) as the foundation on which to define your own data types (see page 126).
Defining Simple Types

Predefining an Element’s Content

There are two ways to use an XML Schema to predefine what an element’s content should be. You can either set the element’s value using a fixed value (Figure 10.18). Or, you can set the element’s value if it’s empty or omitted using a default value (Figure 10.20).

To set an element’s value:

1. Within the element tag, type `fixed=`.
2. Then, type "value", where value is what the element must be equal to, in order to be considered valid (unless the element is omitted from the XML document, which is also valid).

To set an element’s default value:

1. Within the element tag, type `default=`.
2. Then, type "value", where value is what the element will be equal to, if the element is empty or omitted.

✔ Tips

- The fixed attribute only sets the content if the element actually appears empty in the XML (Figure 10.19). If it is omitted, then no content is set.
- If the element has a value that is different from the fixed value, then the XML document is not valid.
- The default attribute sets the content if the element appears empty in the XML or if it is omitted (Figure 10.21).
- If the element has a value that is different from the default value, the XML document is valid, and the element’s value is the one specified in the XML document.
- You cannot set both a default and a fixed attribute at the same time. Since they contradict each other, an XML Schema processor will not allow this.
Deriving Custom Simple Types

The XML Schema language contains many built-in simple types. Using these types as a foundation, the language allows you to derive your own custom simple types.

To derive a custom simple type:

1. First, identify the name of the XML element that you are using XML Schema to define. To do so, type `<xs:element name="label">`, where `label` is the name of the XML element (Figure 10.22).

2. Type `<xs:simpleType>` to start deriving your custom simple type.

3. Type `<xs:restriction base="foundation">`, where `foundation` is any one of the built-in simple types upon which you’d like to base your custom type.

4. Specify as many restrictions (or facets) as necessary to define your new custom type. Facets, which are the way that you can customize built-in simple types, are discussed in detail on pages 128–134.

5. Type `</xs:restriction>`.

6. Type `</xs:simpleType>` to complete your new custom simple type.

7. Finally, type `</xs:element>` to complete the definition of the element.

Tips

- This custom simple type is called an anonymous custom type. There is also such a thing as a named custom type (see page 127). The difference between these two is that a named type can be used more than once (by setting the simple type’s type attribute to the custom name), but the anonymous type (which has no name) can only be used for the element in which it is contained.

- You can also create list simple types. For more information, consult Deriving a List Type on page 135.

Figure 10.22 Here, I’ve derived a custom type for the story element. I started with a base foundation of the xs:string simple type. I then extended this by adding a restriction that limits the content’s length to be a maximum of 1024 characters.
Defining Simple Types

Deriving Named Custom Types

If you are going to use a custom type to define more than one element in your XML Schema, you can name it (Figure 10.23). Then, each time you want to use it, you can include a cross-reference between the XML element and your new custom type.

To derive a named custom type:

1. Type `<xs:simpleType>` to start your custom simple type.
2. Then, type `name="custom_type_name">`, where `custom_type_name` identifies your new custom simple type.
3. Type `<xs:restriction base="foundation">`, where `foundation` is the simple type upon which you are building your custom type.
4. Specify as many restrictions (or facets) as you would like to define your new custom type (see pages 128–134).
5. Type `</xs:restriction>`.
6. Finally, type `</xs:simpleType>` to complete your custom simple type definition.
7. Then, to use your new custom type, for the definition of the element, you would type `<xs:element name="label" type="custom_type_name">`, using the `custom_type_name` you gave your new custom type in Step 2 above (Figure 10.24).

✔ Tips

- Once you’ve defined your named custom type, you can use it instead of the simple types described in Step 4 on page 120.
- Notice that you refer to your new custom type as `custom_type_name`, instead of `xs:custom_type_name`. This is because the "xs:" prefix refers to the XML Schema namespace, and your new custom type is not part of that namespace. See Part 5 of the book for more details on namespaces.
Specifying a Range of Acceptable Values

In XML Schema, in addition to defining an XML element's type, you can also place restrictions on what would be considered valid content. These restrictions are called facets. By using facets, you can create custom simple types, as discussed on pages 126 and 127.

One of the most common facets used is to specify the highest or lowest value (or both) that an XML element can have to be considered valid.

**To specify the highest possible value:**
1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:maxInclusive`. (Notice the capital I that begins the word *Inclusive*).
2. Then, type `value="n"`, where the element's content must be less than or equal to `n` in order to be valid.
3. Finally, type `/>` to complete the `xs:maxInclusive` facet (Figure 10.25).

**Another way to specify the highest possible value:**
1. Within a custom type definition (that is, for Step 4 on either page 126 and 127), type `<xs:maxExclusive`. (Notice the capital E that begins the word *Exclusive*).
2. Then, type `value="n"`, where the element's content must be less than (but not equal to) `n` in order to be valid.
3. Finally, type `/>` to complete the `xs:maxExclusive` facet (Figure 10.27).

---

**Figure 10.25** The `xs:maxInclusive` facet specifies the highest possible value for an element. In this case, the maximum value is Hank Aaron's All-Time Total Bases record in Major League Baseball of 6,856 total bases.

```
<xs:element name="total_bases">
  <xs:simpleType>
    <xs:restriction base="xs:integer">
      <xs:maxInclusive value="6856"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
```

**Figure 10.26** These `total_bases` elements are both valid based on the XML Schema in Figure 10.25, since the first is less than, and the second is equal to, the `xs:maxInclusive` value.

```
<total_bases>6855</total_bases>
<total_bases>6856</total_bases>
```

**Figure 10.27** This XML Schema custom type uses the `xs:maxExclusive` facet to specify that the highest acceptable value is one less than the maximum. That is, the `total_bases` element's content must be lower than (and not equal to) the `xs:maxExclusive` value, Hank Aaron's record.

```
<xs:element name="total_bases">
  <xs:simpleType>
    <xs:restriction base="xs:integer">
      <xs:maxExclusive value="6856"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
```

**Figure 10.28** With the changed XML Schema from Figure 10.27, the first `total_bases` element is still valid, while the second is invalid. (And, nobody yet has tied or broken Hank Aaron’s total bases record!)
Defining Simple Types

Specifying a Range of Acceptable Values

To specify the lowest possible value:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:minInclusive>`. (Notice the capital `I` that begins the word `Inclusive`).
2. Then, type `value="n"`, where the element’s content must be greater than or equal to `n` in order to be valid.
3. Finally, type `/>` to complete the `xs:minInclusive` facet (Figure 10.29).

Another way to specify the lowest possible value:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:minExclusive>`. (Notice the capital `E` that begins the word `Exclusive`).
2. Then, type `value="n"`, where the element’s content must be greater than (but not equal to) `n` in order to be valid.
3. Finally, type `/>` to complete the `xs:minExclusive` facet.

✔ Tips

- While you can’t use the two min limits (or the two max limits) simultaneously for the same type (it wouldn’t make sense), you can mix and match the mins and maxes as needed (Figure 10.31). Of course, you can also use just one.

- You can use these min and max facets with date, time, and numeric simple types.

- What it means for a number to be greater or less than another is pretty obvious. For a date or time to be greater, it must represent a later date or time. For a date or time to be less, it should represent an earlier date or time.

Figure 10.29 Here, the `xs:minInclusive` facet is specifying the lowest (or earliest) `game_day`: Hank Aaron’s Major League debut game on April 13, 1954.

Figure 10.30 These excerpts are both valid, based on the XML Schema defined in Figure 10.29 above.

Figure 10.31 This XML Schema custom type uses both the `xs:minInclusive` and `xs:maxInclusive` facets to specify that valid elements contain dates that are equal to, or fall in-between, April 13, 1954 and October 3, 1976, Hank Aaron’s Major League career.

Figure 10.32 This is valid (Aaron’s 755th home run game), given the XML Schema in Figure 10.31.

Figure 10.33 This `game_day` element is not valid.
Specifying a Set of Acceptable Values

With the facets described on the previous two pages, you can set minimums, maximums, and value ranges for valid XML elements. In some cases, however, there may be a specific set of acceptable values that you want to define as valid. In these cases, you would use an enumeration facet (Figure 10.34).

To specify a set of acceptable values:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:enumeration`.
2. Then, type `value="choice"`, to identify one acceptable choice for the content of the element or attribute.
3. Finally, type `/>` to complete the `<xs:enumeration` element.
4. Repeat Steps 1–3 for each additional value choice that the element can have.

✔ Tips

- Each enumeration value must be unique.
- Enumeration values may contain white space.
- You can use the `<xs:enumeration` facet with all simple types, except `boolean`.

```xml
<wonder_name>
  Great Pyramid of Giza
</wonder_name>
```

Figure 10.34 The `wonder_name` element can and must now contain one of these values.

```xml
<wonder_name>
  Great Pyramid
</wonder_name>
```

Figure 10.35 This `wonder_name` element is perfectly valid, since it matches one of the enumerated choices from the XML Schema in Figure 10.34.

```xml
<wonder_name>
  Lighthouse of Alexandria
</wonder_name>
```

Figure 10.36 Neither of these `wonder_name` elements is valid. The first one contains only a part of a choice. (While it's often referred to as the "Great Pyramid", that doesn't match any of the enumeration choices, and thus is not valid.) The second one contains two choices, but only one is allowed with enumerations. Defining an element that allows multiple selections from a set of values is an advanced topic not covered in this book.
Limiting the Length of an Element

One of the ways you can further restrict an XML element with a custom type is to use a facet that specifies or limits its length.

To specify the exact length of an element:

- Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:length value="g"/>`, where $g$ is the number of characters that the element must have (Figure 10.37).

To specify the minimum length of an element:

- Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:minLength value="n"/>`, where $n$ is the minimum length in characters of the element.

To specify the maximum length of an element:

- Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:maxLength value="x"/>`, where $x$ is the maximum length in characters of the element (Figure 10.39).

✔ Tips

- You can use the length facet with string, and other string-based XML Schema simple types such as anyURI or hexBinary.
- The values for `xs:length`, `xs:minLength`, and `xs:maxLength` must all be non-negative integers.
- If the element is based on a binary type, such as hexBinary, the length facet limits the number of octets of binary data. If the element is derived by list (see page 135), the length facet limits the number of list items.
Specifying a Pattern for an Element

In XML Schema, you can also restrict what a valid XML element can contain using a pattern facet (Figures 10.41 and 10.42). To construct a pattern, you use a regular expression (regex) language. This enables you to define a pattern that the XML element’s content must match in order to be considered valid.

The regex language in XML Schema is based on Perl’s regex language, and could fill a chapter of its own. I’ll give you a brief taste here.

To specify a pattern for an element:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:pattern`.

2. Then, type `value="regex"`, where regex is the regular expression that the XML element’s content must match.

Regular expressions are made up of letters, numbers, and special symbols; in the order which those letters, numbers, and symbols should appear in the content. Symbols include:

- . (a period) for any character at all.
- \d for any digit; \D for any non-digit.
- \s for any white space (including space, tab, newline, and return); \S for any character that is not white space.
- x* to have zero or more x’s; (xy)* to have zero or more xy’s.
- x? to have zero or one x; (xy)? to have zero or one xy.
- x+ to have one or more x’s; (xy)+ to have one or more xy’s.
- [abc] to include one of a group of values (a, b, or c).
- [0-9] to include the range of values from 0 to 9.

---

**Figure 10.41** This pattern limits the content of the wonder_code element to strings that begin with the letter w, an underscore, and then three digits. Any character that appears in the element must appear in that same position in the regex for the element to be considered valid.

```xml
<wonder_code>W_285</wonder_code>
```

**Figure 10.42** The first XML excerpt shows a valid instance of the wonder_code element, based on the bit of XML Schema shown in Figure 10.41. The second element shown is not valid because the order of the content does not match the regex pattern.

```xml
<wonder_code>285_w</wonder_code>
```
Defining Simple Types

Specifying a Pattern for an Element

this | that to have this or that in the content. Separate additional choices with additional vertical bars.

x{5} to have exactly 5 x’s (in a row).

x{5,} to have at least 5 x’s (in a row).

x{5,8} to have at least 5 and at most 8 x’s (in a row).

(xyz){2} to have exactly two xyz’s (in a row).

Note: Parentheses control what the curly brackets and other modifiers, such as ?, +, and *, affect.

3. Finally, type /> to complete the xs:pattern element.

✔ Tips

- It’s a little beyond the scope of this book to cover regular expressions in more detail. Instead, let me refer you to another book: Perl and CGI for the World Wide Web: Visual QuickStart Guide, by Elizabeth Castro, published by Peachpit Press. It has many more examples and background information. You can also find more specific information about XML Schema regular expressions at www.w3.org/TR/2004/REC-xmlschema-2-20041028/datatypes.html#regexs.

- The regular expressions used in XML Schema are very similar to those used in Perl. However, one important technical difference is that in XML Schema regex, the comparison is always made between the regular expression and the entire contents of the element. There are no ^ or $ characters to limit a match to the beginning or end of a line (as there are in Perl).

- You can use the pattern facet with any of the simple types.
Limiting a Number’s Digits

You saw how to limit the value of numeric elements with the min and max facets on pages 128 and 129. In XML Schema, you can also limit the total number of digits, as well as the number of digits after the decimal point of numeric elements (Figure 10.45).

To specify the total number of digits in a number:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:totalDigits`.
2. Then, type `value="n"`, where n is the maximum number of digits that can appear in the number.
3. Finally, type `/>` to complete the `xs:totalDigits` facet.

To specify the number of digits after the decimal point:

1. Within a custom type definition (that is, for Step 4 on either page 126 or 127), type `<xs:fractionDigits`.
2. Then, type `value="n"`, where n is the maximum number of digits that can appear after the decimal in the number.
3. Finally, type `/>` to complete the `xs:fractionDigits` facet.

✔ Tips

- You may use either of these facets with any numerical type.
- The `xs:totalDigits` facet must be a positive number, and it may not be less than the `xs:fractionDigits` value.
- The `xs:fractionDigits` facet must be a non-negative integer (0, 1, 2, or higher).
- Both facets specify the maximum values allowed. The number is still considered valid if fewer digits are present.

Figure 10.45 The totalDigits value determines the total number of digits, and the fractionDigits value specifies how many digits must appear in the fractional part of the number.

```xml
<xs:element name="atomic_weight">
  <xs:simpleType>
    <xs:restriction base="xs:decimal">
      <xs:totalDigits value="6"/>
      <xs:fractionDigits value="4"/>
    </xs:restriction>
  </xs:simpleType>
</xs:element>
```

Figure 10.46 Both of these elements are valid, based on the XML Schema excerpt in Figure 10.45, since they contain a maximum of six digits (and sometimes less), and a maximum of four fractional digits (and sometimes less). John Dalton and Jöns Jakob Berzelius are credited with being the first scientists to determine atomic weights. These two XML elements represent the atomic weights for carbon and iron, respectively.

```xml
<atomic_weight>
  12.0107</atomic_weight>

<atomic_weight>
  55.845</atomic_weight>
```

Figure 10.47 These two atomic_weight elements are invalid, the first because there are too many total digits (7 instead of 6), the second because while there are the proper number of total digits, there are too many fractional digits (5 instead of 4). Although not valid for the given XML Schema, these XML elements accurately represent the atomic weights of gold and hydrogen respectively.

```xml
<atomic_weight>
  196.9665</atomic_weight>

<atomic_weight>
  1.00794</atomic_weight>
```

```xml
<atomic_weight>
  196.9665</atomic_weight>

<atomic_weight>
  1.00794</atomic_weight>
```
Defining Simple Types

Deriving a List Type

So far, your elements can only contain one unit each. If you define an element as a date, it can contain just one date. But if you need an element to contain an entire list of dates, then you could derive a list type from the date type to accommodate the situation (Figure 10.48).

To derive a list type:

1. First, identify the name of the XML element that you are using XML Schema to define. To do so, type `<xs:element name="label">`, where `label` is the name of the XML element.
2. Type `<xs:complexType>` to start deriving your custom simple type.
3. Type `<xs:list itemType="list_element"/>`, where `list_element` is the simple type (built-in or custom) that defines each individual unit in your list.
4. Type `</xs:complexType>` to complete your new custom simple type.
5. Finally, type `</xs:element>` to complete the definition of the element.

✔ Tips

- Lists should not be confused with enumerations (see page 130). Enumerations provide a set of optional values for an element. Lists are sequences of values within the element itself.

- In a list, spaces separate one item from the next. Therefore, a list of strings will be misinterpreted if any item in the list has a space itself. For example, the list “Colossus of Rhodes Lighthouse of Alexandria” would represent six items, not two.

- As with derived simple types (see pages 126 and 127), if you aren’t going to reuse the list, create an anonymous list type, as shown in the steps above (Figure 10.48). If you are going to reuse the list, then create a named list type (Figure 10.50).
Chapter 10

Deriving a Union Type

In the same way I can define an XML element to be one of a number of different values, sometimes I might need to define an XML element to be defined as one of a number of different simple types (Figure 10.52).

To define an XML element to be one of two (or more) different simple types, you can derive a new type as the combination of these other simple types. This newly derived simple type is called a union, and is made from a group of other simple types (Figure 10.53).

To derive a union:

1. First, identify the name of the XML element that you are using XML Schema to define. To do so, type `<xs:element name="label">`, where label is the name of the XML element.

2. Type `<xs:simpleType>` to start your custom simple type.

3. Type `<xs:union memberTypes="union_elements"/>`, where union_elements is a white-space-separated group of simple types (built-in or custom) that define the valid simple types for this element.

4. Type `</xs:simpleType>` to complete your new custom simple type.

5. Finally, type `</xs:element>` to complete the definition of the element.

✔ Tip

- As with derived simple types (see pages 126 and 127), if you aren’t going to reuse the union, create an anonymous union type as shown in the steps above. If you are going to reuse the union, then you would create a named union type.

### Figure 10.52
In this XML Schema excerpt, I have defined two named custom simple types, isbn10 and isbn13. Each custom type is a string restricted to meet the format of its respective ISBN standard.

```xml
<xs:simpleType name="isbn10">
  <xs:restriction base="xs:string">
    <xs:pattern value="\d{9}\[\d|X\]"/>
  </xs:restriction>
</xs:simpleType>

<xs:simpleType name="isbn13">
  <xs:restriction base="xs:string">
    <xs:pattern value="\d{3}-\d{10}"/>
  </xs:restriction>
</xs:simpleType>
```

### Figure 10.53
Here, the book element is defined to be a union of the custom types defined in Figure 10.52. This means that the book element can be either an isbn10 custom type or an isbn13 custom type.

```xml
<xs:simpleType name="isbn10">
  <xs:restriction base="xs:string">
    <xs:pattern value="\d{9}\[\d|X\]"/>
  </xs:restriction>
</xs:simpleType>

<xs:simpleType name="isbn13">
  <xs:restriction base="xs:string">
    <xs:pattern value="\d{3}-\d{10}"/>
  </xs:restriction>
</xs:simpleType>
```

### Figure 10.54
All three XML excerpts of the book element are valid, based on the XML Schema in Figure 10.53. The first two use the isbn10 custom type and the last one uses the isbn13 custom type.

```xml
<!-- The Fountainhead, by Ayn Rand -->
<book>0452286751</book>

<!-- The Kill a Mockingbird, by Harper Lee-->
<book>044508376X</book>

<book>978-0321559678</book>
```
In the previous chapter, I discussed that simple type XML elements can only contain a value and not child elements or attributes. In this chapter, I will discuss complex type elements. A complex type element is one that can contain child elements, attributes, or some combination of the two.

There has been some discussion in the XML community about the intricacies of complex types, specifically, how difficult they are to understand. Even still, since you’ll want your XML document to contain more than just a root element, you’ll at least need one complex type element to allow the root element to have a child element of its own. Another important reason to use complex types in your XML Schema is to allow elements to have attributes.

While you certainly can, and will, get the basic gist of how to write complex types, I will endeavor to give you the foundation of why they are constructed the way they are. I go into this foundational detail in Complex Type Basics on page 138. And, I will continue with step-by-step examples thereafter.
Chapter 11

Complex Type Basics

In XML Schema, all XML elements are defined using either simple or complex types. Complex type elements can have child elements and/or attributes, whereas simple type elements cannot.

Complex type elements are further subdivided into those with simple content, and those with complex content. Both can have attributes, but simple content only allows string content, whereas complex content allows child elements.

The Four Complex Types

The first is called “text only” and is a complex type element with simple content (allows text and attributes) (Figure 11.1).

The second is called “element only” and is a complex type element with complex content (allows children and attributes) (Figure 11.2).

The third is the “empty element” and is also a complex type element with complex content (Figure 11.3). It’s a complex type element because it may contain attributes. It’s considered complex content because simple content allows text, and, since I am defining an empty element, it cannot allow text content.

Finally, the fourth complex type XML element is called “mixed content.” This is because it is a complex type element with both complex content and simple content (allows text, child elements, and attributes) (Figure 11.4).

XML Schema Type Hierarchy

An important building block of the XML Schema language is that all element types are hierarchically derived from a single root type. In fact, the built-in simple types are all derived from this root type as well. This single root type branches into the two types I have discussed: Simple types and complex types. Then, complex types branch again into simple content and complex content. This root type is named anyType, and it is used to define an XML element that contains any content of any type.

Figure 11.1 The year_built element is a complex type element that only contains text (and an attribute), and is thus considered “text only.”

Figure 11.2 The ancient_wonders element is a complex type element that contains a child element, wonder, but no text. This element is considered “element only.” Although this particular element has no attributes, as an “element only” complex type, it could.

Figure 11.3 The source element is a complex type element and is considered an “empty” element; it has no content. This particular empty element has attributes (but not all do).

Figure 11.4 This story element is a complex type element that contains text and a child element called para. It is considered as having “mixed” content. Note that this is not a very common structure for XML elements, especially those in database type applications.
Defining Complex Types

Complex Type Basics

In the last chapter, you saw how to derive custom simple types from the built-in simple types, Deriving Custom Simple Types on page 126. With complex types, there aren’t any built-in types to use. To use a complex type, it must be derived.

To derive a “text only” content type (such as is seen in Figure 11.1), you can use the <xs:simpleContent> element (Figure 11.5). Here, the year_built element is derived from simple content with a positive integer base. It also has a string value attribute called era. This is discussed more in Defining Elements to Contain Only Text on page 146.

To derive an “element only” complex type (such as is seen in Figure 11.2), you can use the <xs:complexContent> element (Figure 11.6). Here, the ancient_wonders element is derived from complex content that restricts the root type anyType. It uses an <xs:sequence> restriction, allowing the ancient_wonders element to have children. This is discussed in Defining Complex Types That Contain Child Elements on page 142.

The Default Condition

Probably the most important thing to know about working with complex types is that the default derivation for complex types is:

```
<xs:element name="year_built">
  <xs:complexType>
    <xs:simpleContent>
      <xs:extension base="xs:positiveInteger">
        <xs:attribute name="era" type="xs:string"/>
      </xs:extension>
    </xs:simpleContent>
  </xs:complexType>
</xs:element>
```

This XML Schema defines the XML element in Figure 11.1. This complex type is derived from an extension of simple content with an attribute.

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:complexContent>
      <xs:restriction base="xs:anyType">
        <xs:sequence>
          <xs:element name="wonder" type="wonderType"/>
        </xs:sequence>
      </xs:restriction>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
```

Figure 11.5 This XML Schema defines the XML element in Figure 11.1. This complex type is derived from an extension of simple content with an attribute.

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="wonder" type="wonderType"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

Figure 11.6 This XML Schema defines the XML element in Figure 11.2. It shows the complex type is derived from complexContent that restricts anyType.

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:complexContent>
      <xs:restriction base="xs:anyType">
        <xs:sequence>
          <xs:element name="wonder" type="wonderType"/>
        </xs:sequence>
      </xs:restriction>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
```

Figure 11.7 This XML Schema also defines the XML element in Figure 11.2. Notice that I have removed the default condition for complex types: Deriving from complex content with a restriction on the base anyType. Not only does it take up less space, it is much easier to read!

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="wonder" type="wonderType"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

Deriving a Complex Type

In the last chapter, you saw how to derive custom simple types from the built-in simple types, Deriving Custom Simple Types on page 126. With complex types, there aren’t any built-in types to use. To use a complex type, it must be derived.

To derive a “text only” content type (such as is seen in Figure 11.1), you can use the <xs:simpleContent> element (Figure 11.5). Here, the year_built element is derived from simple content with a positive integer base. It also has a string value attribute called era. This is discussed more in Defining Elements to Contain Only Text on page 146.

To derive an “element only” complex type (such as is seen in Figure 11.2), you can use the <xs:complexContent> element (Figure 11.6). Here, the ancient_wonders element is derived from complex content that restricts the root type anyType. It uses an <xs:sequence> restriction, allowing the ancient_wonders element to have children. This is discussed in Defining Complex Types That Contain Child Elements on page 142.

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="wonder" type="wonderType"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

The Default Condition

```
<xs:element name="ancient_wonders">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="wonder" type="wonderType"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

With this default condition, you can and should always omit the <xs:complexContent> and <xs:restriction base="anyType"> elements from your XML Schema definitions of complex types (Figure 11.7).

This default is often overlooked when discussing complex types in XML Schema, and it will be reiterated often throughout the chapter.
Deriving Anonymous Complex Types

As with simple types, you can derive a complex type anonymously, or you can name it (and reuse it throughout the XML Schema). If you don’t need to reuse a complex type, it’s faster to create it anonymously within the element definition itself (Figure 11.8).

To derive an anonymous complex type:

1. Begin the definition of the element by typing `<xs:element name="label">`, where `label` is the name of the XML element that you are defining. In other words, you’re writing the XML Schema to define the `<label>` element in your XML document.

2. Then, type `<xs:complexType>` to begin the anonymous complex type.

3. Within the `xs:complexType` element:
   Declare the content type to be either simple content or complex content (see page 138).
   Create the guts of the element (which the bulk of this chapter is devoted to explaining).
   Define the attributes (see page 154) that should appear, if any.

4. Next, type `</xs:complexType>` to complete the anonymous complex type definition.

5. Finally, type `</xs:element>` to complete the definition of the complex type element.

Tip

The only difference between an anonymous type and a named type is that a named type can be used more than once, and can be used as the base for new complex types. An anonymous type can only be used for the element in which it is contained.

---

**Figure 11.8** This XML Schema excerpt is an anonymous complex type definition. It is defining the `year_built` element as a “text only” element requiring a positive integer for its text value. It also defines that `year_built` will have an attribute, called `era`, which has a string value.

```xml
<year_built era="BC">
  282
</year_built>
```

**Figure 11.9** Here is a valid XML element, based on the XML Schema in Figure 11.8.
Defining Complex Types

Deriving Named Complex Types

If you are going to use a complex type to define more than one element in your XML Schema, you can create a named complex type (Figure 11.10). Then, each time you want to use it, you can include a reference between the XML element and your new custom type.

To derive a named complex type element:

1. Type `<xs:complexType>` to begin the named complex type.
2. Then, type `name="complex_type_name">`, where `complex_type_name` identifies your new complex type.
3. Within the `xs:complexType` element:
   - Declare the content type to be either simple content or complex content (see page 138).
   - Create the guts of the element (which the bulk of this chapter is devoted to explaining).
   - Define the attributes (see page 154) that should appear, if any.
4. Finally, type `</xs:complexType>` to complete the named complex type definition.
5. Then, to use the named complex type for the definition of the XML element, you'll type `<xs:element name="label" type="complex_type_name">`, where `complex_type_name` is the name you gave the new complex type in Step 2 above (Figure 11.11).

✔ Tip

- Notice that you refer to your new complex type as `complex_type_name`, instead of `xs:complex_type_name`. This is because the "xs:" prefix refers to the XML Schema namespace, not custom types. See Part 5 for more details.
Defining Complex Types That Contain Child Elements

One of the most common complex types is one that contains child elements. This complex type can also contain attributes, but it cannot contain a value of its own. It’s described (even with attributes) as “element only.”

To define an “element only” complex type:

1. Type `<xs:complexType>.
2. Then, type `name="complex_type_name">`, where `complex_type_name` identifies your new complex type.
3. Next, you’ll define the structure and order of the child elements of this parent element. You’ll declare a sequence, an unordered list, or a choice; each of which is discussed on the next three pages.
4. Then, declare the attributes (see page 154) that should appear in this complex type element, if any.
5. Finally, type `</xs:complexType>` to complete the “element only” complex type definition (Figure 11.13).

✔ Tips

■ As discussed on page 139, the default condition for complex types is that they derive from `<xs:complexType that restricts xs: anyType`. Because of this, you can omit these XML Schema element declarations (Figure 11.14).

■ The child elements of a complex type are referred to as its `content model`.

■ The content model of a complex type must either be a sequence, an unordered list, or a choice. These are called `model groups`, and they indicate the structure and order of child elements within their parent.

Figure 11.13 Here is an anonymous complex type definition that contains a sequence of one child element called `wonder`, defined to be of the type `wonderType`. (Notice that this complex type element is derived from complex content that restricts anyType which is the default condition for complex types.)

Figure 11.14 Here is another complex type definition for the `ancient_wonders` element. I have omitted the default condition elements: `<xs:complexContent>` and `<xs:restriction base="xs:anyType">. Because these are default conditions, this XML Schema excerpt defines the exact same XML element as shown in Figure 11.13, and is the way complex type elements will almost always be written.
Defining Complex Types

Requiring Child Elements to Appear in Sequence

If you want a complex type element to contain child elements, *in order*, you have to define a sequence of those elements (Figure 11.15).

To require child elements to appear in sequence:

1. Type `<xs:sequence>`.
2. If desired, specify how many times the sequence of elements itself can appear by setting the `minOccurs` and `maxOccurs` attributes, as described on page 151.
3. Then, type `>` to complete the opening tag.
4. Declare the simple type elements and/or complex type elements you want in the sequence, in the order in which they should appear.
5. Finally, type `</xs:sequence>` to complete the model group.

Tips

- A sequence defines the order in which its child elements must appear in an XML document.
- Since an XML element may only have one child, it’s perfectly legitimate for a sequence to contain only one element.
- A sequence can also contain other sequences, choices (see page 145), or references to named groups (see page 152).
- A sequence may be contained in a complex type definition, other sequences, a set of choices (see page 145), or in named group definitions (see page 152).
- The `<xs:sequence>` element is basically equivalent to the comma (,) in DTDs.

```xml
<xs:complexType name="wonderType">
  <xs:sequence>
    <xs:element name="name" type="nameType"/>
    <xs:element name="location" type="xs:string"/>
    <xs:element name="height" type="heightType"/>
    <xs:element name="history" type="historyType"/>
    <xs:element name="main_image" type="imageType"/>
    <xs:element name="source" type="sourceType"/>
  </xs:sequence>
</xs:complexType>
```

Figure 11.15 This XML Schema excerpt defines a complex type named wonderType. Now, any XML element defined with the type wonderType will have to contain the child elements name, location, height, history, main_image, and source, in order. In fact, in Figure 11.14, the wonder element is defined with the wonderType complex type. It is not at all uncommon for one complex type to have child elements that are also complex type elements.
Allowing Child Elements to Appear in Any Order

If you want a complex type element to contain child elements in any order, you can list those children with an all element (Figure 11.16).

To allow child elements to appear in any order:

1. Type `<xs:all>` to begin the unordered list of elements.
2. Optionally, you can specify how many times the unordered list itself can appear by setting the minOccurs and maxOccurs attributes, as described on page 151.
3. Then, type `>` to complete the opening tag.
4. Declare the simple type elements and/or complex type elements that you want in the unordered list.
5. Finally, type `</xs:all>` to complete the model group.

✔ Tips

- The members of an `xs:all` element (despite its name) may appear once or not at all (depending on their individual minOccurs and maxOccurs attributes), in any order.
- The minOccurs attribute may only be set to 0 or 1. The maxOccurs attribute may only be set to 1 (see page 151).
- An `xs:all` element can only contain individual element declarations or references, not other groups. In addition, no element may appear more than once.
- An `xs:all` element can only be contained in, and must be the sole child of, an element only complex type definition (see page 142).

**Figure 11.16** Here, I am defining the complex type `historyType` using `xs:all`. This means that any XML element defined using the `historyType` will be valid if it contains the `year_built`, `year_destroyed`, `how_destroyed`, and `story` elements in any order.

```xml
<xs:complexType name="historyType">
  <xs:all>
    <xs:element name="year_built" type="yearType"/>
    <xs:element name="year_destroyed" type="yearType"/>
    <xs:element name="how_destroyed" type="destrType"/>
    <xs:element name="story" type="storyType"/>
  </xs:all>
</xs:complexType>
```

**Figure 11.17** In these XML excerpts, both `history` elements are valid based on the XML Schema in Figure 11.16, since the order of its child elements is unimportant.

```xml
<history>
  <year_built era="BC">282</year_built>
  <story>In 294 BC, the people of the island of Rhodes began building a colossal statue ...</story>
  <year_destroyed era="BC">226</year_destroyed>
  <how_destroyed>earthquake</how_destroyed>
</history>
```

```xml
<history>
  <story>In 294 BC, the people of the island of Rhodes began building a colossal statue ...</story>
  <year_built era="BC">282</year_built>
  <how_destroyed>earthquake</how_destroyed>
  <year_destroyed era="BC">226</year_destroyed>
</history>
```
Creating a Set of Choices

It’s sometimes useful to declare a complex type element so that it can contain one child element (or a group of child elements) or another. You do that by creating a choice model group (Figure 11.18).

To offer a choice of child elements:

1. Type `<xs:choice>`.
2. Optionally, you can specify how many times the set of choices itself can appear by setting the `minOccurs` and `maxOccurs` attributes, as described on page 151.
3. Then, type `>` to complete the opening tag.
4. Declare the simple type elements and/or complex type elements that you want to make up the set of choices.
5. Finally, type `</xs:choice>` to complete the model group.

✔ Tips

- The default `minOccurs` and `maxOccurs` attribute values are both 1. With these defaults, only one of the elements in a set of choices can appear in a valid XML document. If the value of the `maxOccurs` attribute is greater than 1, that value determines how many of the choices may appear. Using `maxOccurs="unbounded"` is equivalent to adding an asterisk (*) to a set of choices in a DTD (see Chapter 5).
- A set of choices can also contain sequences (see page 143), additional choice sets, or references to named groups (see page 152).
- A set of choices may be contained in a complex type definition, in sequences (see page 143), in other sets of choices, or in named group definitions (see page 152).
- The `<xs:choice>` element is basically equivalent to the vertical bars in DTDs.
Defining Elements to Contain Only Text

Another common complex type element is called “text only.” It contains a text value and no child elements. This complex type name is a little misleading, however, in that it can (and often will), also have one or more attributes.

To define a “text only” complex type:

1. Type `<xs:complexType>`.
2. Then, type `name="complex_type_name">`, where `complex_type_name` identifies your new complex type.
3. Type `<xs:simpleContent>`.
4. Next, type `<xs:extension>` to use a simple type for the text value of the element. Or type `<xs:restriction>` to limit the base simple type with additional facets.
5. Then, type `base="foundation">`, where `foundation` indicates the simple type on which you’re basing the new complex type element.
6. If you chose `<xs:restriction>` in Step 4, declare the additional facets (see Chapter 10) that should limit the simple content in this complex type definition.
7. Next, declare the attributes (see page 154) that should appear in this complex type element, if any.
8. Then, type `</xs:extension>` or `</xs:restriction>` to match Step 4.
9. Type `</xs:simpleContent>`.
10. Finally, type `</xs:complexType>` to complete the complex type definition (Figure 11.20).

**Figure 11.20** This is a “text only” complex type definition. This indicates that any XML elements defined using the `yearType` type must contain a positive integer, but no child elements. They will also have an attribute named `era` which contains a string value. For more details on attributes, see page 154.

```
xsd
<xs:complexType name="yearType">
  <xs:simpleContent>
    <xs:extension base="xs:positiveInteger">
      <xs:attribute name="era" type="xs:string"/>
    </xs:extension>
  </xs:simpleContent>
</xs:complexType>
```

**Figure 11.21** This `year_built` element is valid, based on the complex type definition in Figure 11.20, because it contains an integer and has an `era` attribute.

```
xm1
<year_built era="BC">
  282</year_built>
```

**Figure 11.22** This `year_built` element, however, is invalid, because “long ago” is not an integer. The `yearType` complex type requires that the element’s value be an `xs:positiveInteger`, specified by the base simple type from which the complex type was extended.

```
xm1
<year_built era="BC">
  long ago</year_built>
```
Defining Empty Elements

Elements that can contain attributes, but have no content between the opening and closing tags are called "empty elements." Since these are complex type elements, they can (and often do), have one or more attributes.

To define an "empty element" complex type:

1. Type `<xs:complexType`.
2. Then, type `name="complex_type_name">`, where `complex_type_name` identifies your new complex type.
3. Next, declare the attributes (see page 154) that should appear in this complex type element, if any.
4. Finally, type `</xs:complexType>` to complete the complex type definition (Figure 11.23).

✔ Tip

■ As discussed on page 139, the default condition for complex types is that they derive from `xs:complexContent` that restricts `xs:anyType`. Because of this, you can omit these XML Schema element declarations (Figure 11.24).

---

Figure 11.23 This complex type definition defines the sourceType complex type. It is an empty element that contains two attributes, sectionid and newspaperid.

```xml
<xs:complexType name="sourceType">
  <xs:attribute name="sectionid" type="xs:positiveInteger"/>
  <xs:attribute name="newspaperid" type="xs:positiveInteger"/>
</xs:complexType>
```

Figure 11.24 Here is another complex type definition for the sourceType complex type. In this excerpt, I have added back in the default condition elements (derived from complex content that restricts anyType). While it defines the exact same complex type as shown in Figure 11.23, it is much more cumbersome and is not written this way in practice.

```xml
<xs:complexType name="sourceType">
  <xs:complexContent>
    <xs:restriction base="xs:anyType">
      <xs:attribute name="sectionid" type="xs:positiveInteger"/>
      <xs:attribute name="newspaperid" type="xs:positiveInteger"/>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>
```

Figure 11.25 This source element is valid based on the XML Schema shown in either Figure 11.23 or Figure 11.24.

```xml
<source sectionid="101" newspaperid="21"/>
```
Defining Elements with Mixed Content

While pure database-driven content rarely has elements that contain both child elements and text, more text-centered documents wouldn’t find it strange at all. A complex type that supports this is called “mixed content.” When creating this complex type, you must declare that the content will be mixed (Figure 11.26).

To create a "mixed content" complex type:
1. Type `<xs:complexType`.
2. Then, type `name="complex_type_name"`, where `complex_type_name` identifies your new complex type.
3. Next, type `mixed="true">` to indicate that the element can contain elements and text, (and may even contain attributes as well).
4. Declare a sequence (see page 143), an unordered list (see page 144), or a choice (see page 145) to specify the child elements and structure within the complex type.
5. Then, declare the attributes (see page 154) that should appear in this complex type element, if any.
6. Finally, type `</xs:complexType>` to complete the complex type definition.

✔ Tips
■ Mixed content elements are ideal for descriptive, text-based chunks of information. They are not very common in database-type applications.
■ As discussed on page 139, the default condition for complex types is that they derive from `xs:complexType` that restricts `xs:anyType`. Because of this, I have omitted these XML Schema elements.

Figure 11.26 By setting the mixed attribute to true, the story element can contain both text and child elements. Notice that the para element is an empty complex type element with no attributes (see page 147). The XML Schema attribute maxOccurs="unbounded" means that there can be an unlimited number of para elements within the story element.

Figure 11.27 This valid XML story element contains both loose text and para elements (bolded).
Defining Complex Types

Deriving Complex Types from Existing Complex Types

You can also create new complex types based on existing complex types. The new complex type begins with all the information from the existing type (Figure 11.28), and then adds or removes features.

To derive a new complex type from an existing type:

1. Type `<xs:complexType>`.
2. Then, type `name="complex_type_name"`, where `complex_type_name` identifies your new complex type.
3. Type `<xs:complexContent>`.
4. Next, type `<xs:extension>` to indicate that features will be added to the existing complex type (Figure 11.29).
   Or type `<xs:restriction>` to indicate that features will be removed from the existing complex type (Figure 11.30).
5. Then, type `base="existing_type"`, where `existing_type` identifies the name of the existing type from which the new complex type will be derived.
6. Declare the attributes (see page 154) that should be part of the new complex type.
7. Type a matching closing tag for Step 4.
8. Type `</xs:complexContent>`.
9. Finally, type `</xs:complexType>` to complete the complex type definition.

✔ Tips

- New complex types derived using restrictions must be valid subsets of the existing complex type. Some acceptable restrictions include setting default or fixed values (Figure 11.30).
- As this is an advanced topic, I have only identified the basics here.
Referencing Globally Defined Elements

In an XML Schema document, elements defined as children of the `xs:schema` root element are said to be defined *globally*. Named complex types are an example of an element that is globally defined.

You can also globally define an individual element (Figure 11.31). Once defined, in order for this element to be used in the XML Schema document, it must be called or referenced.

**To reference a globally defined element:**

1. In the sequence (see page 143), unordered list (see page 144), or set of choices (see page 145) in which the element should appear, type `<xs:element`.
2. Then, type `ref="label"`, where `label` is the name of the globally defined element.
3. If desired, specify how many times the element can appear at this point using `minOccurs` or `maxOccurs` (see page 151).
4. Finally, type `/>` to complete the global element reference (Figure 11.32).

✔ Tips

- You can reference a globally declared element in your XML Schema as many times as you like. As well, each reference may contain its own distinct values for `minOccurs` and `maxOccurs`.
- *Locally declared* elements are automatically referenced by the parent definition in which they appear. They cannot be referenced anywhere else.
- For more information about local and global declarations, consult *Local and Global Definitions* on page 159.

---

```xml
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema">
  <xs:element name="name">
    <xs:complexType>
      <xs:simpleContent>
        <xs:extension base="xs:string">
          <xs:attribute name="language" type="xs:string"/>
        </xs:extension>
      </xs:simpleContent>
    </xs:complexType>
  </xs:element>
</xs:schema>
```

**Figure 11.31** This name element, which is a child of the `xs:schema` element, is considered globally defined. As such, it can be referenced within any complex type definition, as shown below.

```xml
<xs:complexType name="wonderType">
  <xs:sequence>
    <xs:element ref="name"/>
    <xs:element name="location" type="xs:string"/>
    <xs:element name="height" type="heightType"/>
    ...   
  </xs:sequence>
</xs:complexType>
```

**Figure 11.32** In this complex type definition for the wonderType, I reference the globally defined name element shown in Figure 11.31.

```xml
<wonder>
  <name language="English">Colossus of Rhodes</name>
  <location>Rhodes, Greece</location>
  <height units="feet">107</height>
  ...   
</wonder>
```

**Figure 11.33** This is a valid XML excerpt, based on the XML Schema in Figures 11.31 and 11.32. It shows a wonder element with a valid name element.
Defining Complex Types

Controlling How Many

Using XML Schema, you can control how many times a given element, sequence, unordered list, or set of choices can appear in a valid XML document (Figures 11.34 and 11.35).

To specify the minimum number of occurrences:

- In the opening tag, type `minOccurs="n"`, where `n` indicates the fewest number of times the element, sequence, unordered list, or set of choices may occur for the XML document to be considered valid.

To specify the maximum number of occurrences:

- In the opening tag, type `maxOccurs="n"`, where `n` indicates the maximum number of times the element, sequence, unordered list, or set of choices may occur for the XML document to be considered valid.

✔ Tips

- The default value for both `minOccurs` and `maxOccurs` is 1. In other words, unless specified by either of these occurrence attributes, an element must appear exactly one time in a valid XML document.

- The `minOccurs` attribute must be a non-negative integer (0, 1, 2, 3, or higher).

- The `maxOccurs` attribute can be any non-negative integer, or the word `unbounded` to indicate that the element can appear any number of times.

- The `minOccurs` and `maxOccurs` attributes cannot be used when defining an element globally. They only make sense with local references to global elements, or locally defined elements.

- When using the `xs:all` element (see page 144), you can only set `minOccurs` to 0 or 1, and `maxOccurs` can only be set to 1.
Defining Named Model Groups

If a collection of elements appears together in several places in your XML document, you can group the elements together to make it easier to refer to them all at once.

In other words, in the same way that you can create a globally defined element and refer to it throughout your XML Schema, you can name a model group (sequence, unordered list, or choice), and refer to the group throughout your XML Schema.

To define a named model group:

1. Type `<xs:group>`.  
2. Then, type `name="model_group_name"`, where `model_group_name` identifies your group of elements.  
3. Next, type `>` to complete the opening group tag.  
4. Declare sequences (see page 143), unordered lists (see page 144), and/or sets of choices (see page 145) that will make up the named model group.  
5. Finally, type `</xs:group>` to complete the definition of the group (Figure 11.36).

Tips

- Like globally defined elements, a named model group may only be defined at the top-level of a schema (a child element of `xs:schema`). And, like globally defined elements, it may be referenced as many times as you would like (see page 153).  
- A named model group is analogous to a parameter entity in DTDs (see Chapter 7).  

Figure 11.36 This named model group `image_element` has an image element, which is an empty complex type with attributes, and another child element called `source`, which takes a string value.
Referencing a Named Model Group

Once you’ve created a named model group, you can reference it in as many complex type definitions as you’d like (Figure 11.37). You can even reference it in other groups.

To reference a named model group:

1. In the part of your schema where you want the elements in the group to appear, type `<xs:group ref="model_group_name">`.
2. Then, type `ref="model_group_name"`, where `model_group_name` identifies the group you created in Step 2 on the preceding page.
3. Finally, type `</xs:group>` to complete the reference.

✔ Tip

- You can reference a group in a complex type definition (see page 142), a sequence (see page 143), an unordered list (see page 144), a set of choices (see page 145), or in other named groups (see page 152).

Figure 11.37 Both the main_image and the thumbnail_image elements are now defined by the image_element named model group defined in Figure 11.36. They each can also have additional, individual elements, caption and frame_border, respectively.

Figure 11.38 In this valid XML excerpt, based on the XML Schema in Figures 11.36 and 11.37, main_image and thumbnail_image have the elements defined in the named model group. As well, each also has its own individual elements.
Defining Attributes

Attributes are simple type elements since they contain neither child elements nor attributes. However, since they always appear within complex type elements, they are discussed in this chapter rather than in the previous.

To define an attribute:
1. Within the definition of the complex type, type `<xs:attribute>`.
2. Then, type `name="attribute_name"`, where attribute_name is the name of the XML attribute that you are defining.

Then, starting with Step 3, follow one of the three tasks below.

To use a base or named simple type:
3. Type `type="simple_type"/>`, where simple_type is the named or base type of the attribute that you are defining (Figure 11.39).

To use an anonymous simple type:
3. Type `>` to complete the opening tag.
4. Then, type `<xs:simpleType>`.
5. Add any restrictions (or facets) you like.
6. Next, type `</xs:simpleType>` to close the simple type element.
7. Finally, type `</xs:attribute>` to close the opening tag, see Figure 11.39.

To use a globally defined attribute:
3. Type `ref="label"/>`, where label identifies an attribute definition that you've already globally defined.

Tip
- Attributes must be defined at the very end of the complex type to which they belong; that is, after all the elements in the complex type have been defined.

Figure 11.39 In this excerpt, the sectionid element is declared with the base simple type xs:positiveInteger. The newspaperid element is declared with an anonymous simple type definition using pattern facet restriction allowing exactly 4 digits.

Figure 11.40 Based on the XML Schema in Figure 11.39, this XML excerpt is invalid. While sectionid and newspaperid are both positive integers, newspaperid is now required to be exactly 4 digits.
Defining Complex Types

Requiring an Attribute

Unless you specify otherwise, an attribute is always optional. In other words, it may appear or be absent from a valid XML document. However, if you'd prefer, you can insist that an attribute be present (or not), when determining if the XML document is valid.

To require that an attribute be present:

1. Within an attribute definition, type use="required" to indicate that the attribute must appear for an XML document to be considered valid (Figure 11.41).

2. You may also add value="must_be", where must_be is the only acceptable value for the attribute.

To require that an attribute not be present:

- Within an attribute definition, type use="prohibited" so that the XML document will only be considered valid if the attribute is not present.

Tip

- You could also type use="optional" within an attribute definition, but since that's the default condition, it's unnecessary.
Predefining an Attribute’s Content

There are two ways to use XML Schema to predefine what an attribute’s content should be. You can either dictate the attribute’s content, or set an initial value for the attribute regardless of whether it appears or not. The former is called a fixed value; the latter is called a default value.

To dictate an attribute’s content:

- Within an attribute definition, type fixed="content", where content determines what the value of the attribute should be for the document to be considered valid (Figure 11.43). (This only applies if the attribute appears in the XML document.)

<table>
<thead>
<tr>
<th>xsd</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;xs:attribute name=&quot;sectionid&quot; type=&quot;xs:positiveInteger&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;xs:attribute name=&quot;newspaperid&quot; type=&quot;xs:positiveInteger&quot; fixed=&quot;21&quot;/&gt;</code></td>
</tr>
</tbody>
</table>

Figure 11.43 The newspaperid attribute, as long as it appears in the XML document, must contain the value "21." The attribute may, however, be omitted.

To set an attribute’s initial value:

- Within an attribute definition, type default="content", where content determines the value the that attribute should be set to if it is omitted from the XML document (Figure 11.45).

<table>
<thead>
<tr>
<th>xml</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;source sectionid=&quot;101&quot; newspaperid=&quot;21&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;source sectionid=&quot;101&quot;&gt;&lt;/source&gt;</code></td>
</tr>
<tr>
<td><code>&lt;source newspaperid=&quot;64&quot;/&gt;</code></td>
</tr>
</tbody>
</table>

Figure 11.44 The first two XML excerpts are valid. In the first, newspaperid is equal to the fixed value. In the second, newspaperid is omitted (and will remain excluded). In the third, newspaperid is not equal to the fixed value, and is therefore invalid.

<table>
<thead>
<tr>
<th>xsd</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;xs:attribute name=&quot;sectionid&quot; type=&quot;xs:positiveInteger&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;xs:attribute name=&quot;newspaperid&quot; type=&quot;xs:positiveInteger&quot; default=&quot;21&quot;/&gt;</code></td>
</tr>
</tbody>
</table>

Figure 11.45 The newspaperid attribute now has a default value. This will be the initial value, whether or not the attribute is in the XML document.

<table>
<thead>
<tr>
<th>xml</th>
</tr>
</thead>
<tbody>
<tr>
<td><code>&lt;source sectionid=&quot;101&quot; newspaperid=&quot;21&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;source sectionid=&quot;101&quot;/&gt;</code></td>
</tr>
<tr>
<td><code>&lt;source newspaperid=&quot;64&quot;/&gt;</code></td>
</tr>
</tbody>
</table>

Figure 11.46 Here, all three XML excerpts are valid. In the second, the newspaperid attribute will be created automatically and set to the default value.

✔ Tips

- The fixed attribute only sets a value if the attribute actually appears in the XML. If the attribute is omitted, then no content is set.
- If the default attribute is set and the attribute is omitted from the XML document, then the attribute's value is set to the default value.
- If you set the default attribute, the only use attribute value you can have is optional, see Requiring an Attribute on page 155
- You may not have values for both default and fixed in the same attribute definition.
Defining Attribute Groups

If you need to use the same set of attributes in several places in your XML document, it’s more efficient to define an attribute group and then refer to the attributes all at once.

This is the same concept you have seen used with globally defined elements and named model groups.

To define an attribute group:

1. Type `<xs:attributeGroup>.

2. Then, type `name="attribute_group_name">, where `attribute_group_name` identifies your attribute group.

3. Define or reference each attribute that belongs to the group (see page 154).

4. Finally, type `</xs:attributeGroup>` to complete the attribute group definition (Figure 11.47).

✔ Tips

- Like all other globally defined elements, an attribute group may only be defined at the top-level of a schema (a child element of `xs:schema`). And, like all other globally defined elements, it may be referenced as many times as you like (see page 158).

- In Step 2 above, you can only reference attributes that are globally defined; that is, those that were declared at the top level of the schema. For more details, see Local and Global Definitions on page 159.

- An attribute group can contain references to other attribute groups.

---

**Figure 11.47** By defining a group of attributes, it is easy to reuse those attributes in multiple XML Schema element definitions (see Referencing Attribute Groups on page 158).
Referencing Attribute Groups

Once you’ve defined an attribute group, you can reference it wherever those attributes are needed; whether in complex type definitions or even in other attribute groups (Figure 11.48).

To reference an attribute group:

1. Within a complex type definition, after declaring any elements that should be contained, type `<xs:attributeGroup>.

2. Then, type `ref="attribute_group_name"/>`, to identify the attribute group that you created in Step 2 on page 157.

✔ Tips

- Attributes and attribute groups must be defined at the very end of the complex type to which they belong, after all other elements have been defined.
- Attribute groups are analogous to parameter entities in DTDs (see Chapter 7). However, they are limited to representing only collections of attributes.

Figure 11.48 Using the imageAttrs attribute group defined in Figure 11.47 on the previous page, I’ve created two named complex types, imageType and videoType. The imageType will be used for the main_image element. The videoType will be used to create a main_video element. Note that it has an additional format attribute declared after the attribute group.

Figure 11.49 Both the main_image and main_video elements share the file, as well as the w and h attributes. The benefit of the attribute group is that all three attributes were only defined once, but have been used in more than one complex type definition.
Local and Global Definitions

In XML Schema, elements can be defined either locally or globally. A globally defined element is defined as a child of the xs:schema element. Since it is defined at the top-most level of the schema, it’s scope (meaning where it can be used) is anywhere in the entire schema.

Conversely, a locally defined element is defined as the child of some other element. Since it is defined as a child element, its scope is within its parent element only.

Globally defined elements, like named custom types, do not automatically become part of an XML Schema. The definition only determines what that element will look like. Global elements must be explicitly referenced in order to actually appear in a valid XML document.

Locally defined elements, however, like anonymous custom types, automatically become part of an XML document. Where they are defined determines where in the XML document the element must appear.

I have already shown the benefits of reusing globally defined elements (see Referencing Globally Defined Elements on page 150, Referencing a Named Model Group on page 153, and Referencing Attribute Groups on page 158).

On the flip side, one of the benefits of using locally defined elements is that the element’s scope is isolated. An isolated scope means that the element’s name and definition cannot conflict with other elements in the same XML Schema using the same name. Which one to choose is dependent on your need for reusability, versus your need to isolate an element and its definition (Figures 11.50 and 11.51).

✔ Tip

- In a DTD, every element is declared globally; there is no such thing as a locally defined element.
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You’ve learned how to create XML documents, transform, and display them, as well as define the set of elements and attributes that they can contain. Now, imagine that you want to combine some of your XML documents with someone else’s. In doing so, you find out that they have used some of the same names for elements that you have. For example, the *Wonders of the World* document uses the `name` element to contain the name of each specific wonder, while the other person uses the `name` element to contain the name of an ancient civilization. If I combine these XML documents, the source element data will become unclear and effectively meaningless.

The solution to this problem is to group the element names from each XML document into its own space. Then, when referring to a particular element, it would be identified with the space in which it resides. This format would provide a way to distinguish elements in one group of XML documents from the other. For example, I could call my space “Kevin,” and identify the elements in my XML documents with that name. Now, the `Kevin:name` element can’t be confused with the other `name` element.

This group of element names, is actually called a *namespace* (one word), and the identifier I used is called a *namespace name*. And, while it’s fun to use “Kevin” as my namespace name, the required format of a namespace name is a bit more structured, as you’ll see in this chapter.
Designing a Namespace Name

Since the whole point of namespaces is to distinguish elements with the same name from each other, a namespace must have an absolutely unique and permanent name. In XML, namespace names are written in the form of a URI (Uniform Resource Identifier).

To design a namespace name:

1. Start with your domain name.
2. Add descriptive information (as if it were a path in a URI) to create a unique name for your namespace (Figure 12.1).

✔ Tips

■ A URI is a string of characters that identifies a resource. A URL (Uniform Resource Locator) is the most common form of URI, and I recommend using it for designing a namespace name.

■ Using your own domain as the foundation for your namespace name gives you the ability to ensure that the name is unique. No one else can use your domain name.

■ The only requirements for the URI are that it be unique, and that it be persistent (practically permanent). I’d also recommend it being consistent if you’re going to create numerous namespaces.

■ You can also add version information to your namespace, if desired.

■ There is a lot of confusion over what is pointed to by the namespace name. In fact, while the namespace name may point to a DTD or XML Schema, this is not common, nor is it required in the W3C’s XML Namespaces Recommendation. Furthermore, even if the URI does point to a file, XML software does not even look at it.
Declaring a Default Namespace

Once you’ve designed a namespace name, you can declare it as the default namespace for your XML document (Figure 12.2).

To declare a default namespace for your XML document:

1. Within the opening tag of the root element, type xmlns=. (This is the attribute for declaring an XML namespace.)

2. Then, type "URI", where URI identifies the name of your namespace (see page 164).

✔ Tips

- Declaring a default namespace for the root element means that all the elements in the document are considered to be from that namespace.

- You can declare a default namespace for any element in your document, not just the root element. To do so, you would follow the steps above replacing the root element with the element for which you want to declare a default namespace. This will override the default namespace declared by any ancestor element (Figure 12.3).

- Labeling any element with a default namespace affects not only that particular element, but all of its children as well.

- You can override a default namespace by specifying a prefixed namespace for an individual element, as described on pages 166–167. In this case, the child elements are not affected.

- In the case where a default namespace is not declared for a particular element, nor has it inherited a namespace from one of its ancestors, it is considered “in no namespace.” Elements in no namespace can be assigned default namespaces, thereby overriding the no namespace state.
Declaring a Namespace Name Prefix

Declaring a default namespace for an element applies to all that element’s children. You can also choose to label specific individual elements in your document with a namespace, and not affect those elements’ children. To do so, you can declare a special nickname, or prefix, for the namespace, and then use that prefix to label the individual elements specifically.

To declare a prefix for a namespace name:

1. In the document’s root element, type xmlns:prefix, where prefix will be the nickname for this namespace.

2. Then, type ="URI", where URI identifies the name of the namespace to which the prefix will refer (Figure 12.4).

✔ Tips

- Prefixes may not begin with the letters xml, in any combination of upper or lowercase.
- You may use a prefix in any element contained wherein you declared the prefix, including the containing element itself. That is, if you declare a prefix in the root element, you can use the prefix in any element in the document, including in the root element itself. If you declare the prefix in an element other than the root element, it can only be used in that element and/or in that element’s descendants (Figure 12.5).
- You can declare as many namespace prefixes as necessary in any element.

Figure 12.4 Here, I am declaring the ancient civilization namespace in the document’s root element, and assigning it a prefix of anc_civ, I can then use that namespace prefix throughout the document to indicate individual elements that belong to that namespace.

Figure 12.5 In this example, the anc_civ namespace prefix is not declared in the root element, but rather in the anc_civ:civilization element. Consequently, it can only be used for that element and its children.
Labeling Elements with a Namespace Prefix

Once you’ve declared a prefix for a namespace name, you can use that prefix to label individual elements. In this way, you can assign these elements to different namespaces in your XML, without affecting the siblings or children of those elements (Figure 12.6).

To label individual elements with different namespaces:

1. Type < to begin the element.
2. Then, type prefix:, where prefix indicates the namespace to which this element belongs, as declared on the previous page.
3. Next, type element, where element is the name of the element you wish to use.
4. Finally, complete the element as usual. (See Chapter 1, Writing XML, for details.)

✔ Tips

■ Only those elements whose names are preceded with a prefix are identified with the namespace declared with that prefix. This is different than default namespaces, where the element and all of its children are identified with the namespace.

■ The XML processor considers unpre-fixed elements to belong to the default namespace (see page 165), if there is one, or to no namespace, if there’s not.

■ An XML processor considers the prefix part of the element’s name. Therefore, the closing tag must match the opening tag. So, if you’ve typed <anc_civ:locale> as an element’s opening tag, you would use </anc_civ:locale> for its closing tag.

■ If you’re using a lot of elements from a given namespace in one section, it’s easier to declare a default namespace for that section (see page 165).

Figure 12.6 Each element in the ancient civilization namespace is preceded by its prefix anc_civ:, to show that it belongs to that namespace. While typing anc_civ: a bunch of times is a little cumbersome, typing http://www.kehogo.com/ns/ancient_civ/2.3 would be even worse.
How Namespaces Affect Attributes

While you could associate an attribute with a specific namespace by prefixing it with the appropriate prefix, it’s almost never necessary. Attributes are already made unique by the element that contains them.

For example, when you see the `sectionid` attribute within the `source` element, you know that it belongs to the `source` element, and therefore, its namespace. There is no confusion. If there were another `sectionid` attribute, say, in a `map` element, you’d recognize that `sectionid` attribute as belonging to the `map` element, without any other necessary clues. This is simply because it is physically contained within the `map` element (Figure 12.7).

If an attribute has no prefix, which they rarely do, then it is considered to be “in no namespace” (because default namespaces do not apply to attributes). So, in this case, the attribute is locally scoped, which is a fancy way of saying that it is identified by the namespace of the element that contains it.

Although quite uncommon, there are cases where you would need to associate an attribute with a specific namespace, by prepending it with the appropriate prefix. Imagine that you need to combine two elements from different namespaces into a single element, and both have an attribute with the same name. In this case, you would need to differentiate each attribute, since a single element cannot have multiple attributes with the same name. By prefixing each attribute with the their respective namespace prefix, you would be creating unique attributes, because an XML processor considers the prefix part of an attribute’s name (Figure 12.8).
As you saw in the previous chapter, a namespace is a collection of related elements and attributes, identified by a namespace name. This namespace name must be unique, and is often referred to by its abbreviated name or prefix.

Namespaces are most often used to distinguish identically named elements from one another. Specifically, namespaces help to distinguish global elements that are identically named, since local elements and attributes are generally made unique by their context.

This combination of namespace name plus an element name is called an expanded name. Because a namespace name must be unique, the expanded name will also be unique. (Note: This combination is also referred to as a universal name, qualified name, or QName.)

Up until this part of the book, all the XML, XSL, DTD, and XML Schema documents have been “in no namespace.” Now, with the introduction of namespaces in the XML documents, the relationship between the XML documents and these companion technologies will change.

In this chapter, I’ll discuss some of the important details about how to use XML documents and XML namespaces with these languages.
Chapter 13

Populating an XML Namespace

You saw in Part 4 of the book that XML Schemas specify the elements and attributes of which valid XML documents are composed. As it turns out, XML Schemas can also specify the elements and attributes contained in an XML namespace.

You don't have to do anything special in the way element and attributes are defined; you can simply follow the instructions in Chapters 10 and 11. You do, however, have to specify the target namespace to which the elements and attributes will belong. This process of specifying the elements and attributes for a target namespace is called populating the namespace.

To populate a namespace:

◆ In the root element of your XML Schema, type targetNamespace="URI", where URI is the namespace name being populated (Figure 13.1).

✔ Tips
■ When populating a namespace, only the globally defined (top-level) elements and attributes are associated with the namespace. Remember, a globally defined element or attribute is a child of the xs:schema element, and could actually be an element, an attribute, a complex or simple type definition, a named model group, or a named attribute group.
■ This does not mean that you cannot use or validate locally defined elements, such as the wonder, name or location elements in Figure 13.1. When you validate an XML document against the XML Schema shown in the figure, it will make sure that all the locally defined elements are not associated with a namespace.

Figure 13.1 In this example, the ancient_wonders element and the wonderType complex type are now identified with the http://www.kehogo.com/ns/wow/1.0 namespace. The wonder, name, location, height, history, main_image, and source elements are not identified with the namespace since they are not globally defined elements.
Using XML Namespaces

XML Schemas, XML Documents, and Namespaces

Now that your XML Schema has populated a namespace, you need to adjust the relationship between the XML Schema and your XML document. You’ve already seen how to indicate an XML Schema’s location in an XML document when there is no namespace involved (see page 117). Specifying the location of an XML Schema that has populated a namespace is pretty similar (Figure 13.2).

To indicate the location of an XML Schema and the namespace it populated:

1. In the root element of the XML document, after the declaration of the XML Schema-populated namespace, type `<xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance" xmlns="http://www.kehogo.com/ns/wow/1.0">`. This declaration allows you to define the location of your XML Schema in the next three steps.

2. Then, type `xsi:schemaLocation="URI, where URI is the namespace name just populated by your XML Schema document. (Notice, in this step, there’s no closing double quotation mark.)`

3. Next, type a space (or a return, if you prefer), to separate the namespace name and the XML Schema’s location.

4. Finally, type `schema.uri">`, where `schema.uri` is the location of your XML Schema document. (Notice, in this step, there’s no opening double quotation mark.)

✔ Tips

- If you need multiple namespaces and XML Schema documents, you can repeat Steps 2–4 as many times as needed.
- As an aside, in Step 1 above you are defining another namespace for your XML document. It has a prefix of xsi: , and defines the attribute being set in Steps 2–4.

Why Is This Not Yet Valid?

Although the examples on these two pages have followed the outlined steps, the XML document is not yet valid. This is because the wonder_type complex type definition (and others) is part of the namespace populated by the XML Schema, but the reference to this complex type, as seen in Figure 13.1, does not use the namespace itself. Referencing a complex type using a namespace is discussed on page 172.
Referencing XML Schema Components in Namespaces

In XML Schema, components are either named simple or complex types, elements, attributes, named model groups, or named attribute groups. Once you have associated XML Schema components with a namespace (see page 170), you can refer to them within that (or any other) XML Schema. However, since they are now associated with a namespace, you must specify the namespace when you refer to them.

**To declare a default namespace for XML Schema components:**
- In the root element of your XML Schema document, type `<xs:schema xmlns="URI"/>`, where **URI** is the namespace with which the referenced components are associated (Figure 13.3).

**To declare a namespace with a prefix for XML Schema components:**
- In the root element of your XML Schema document, type `<xs:schema xmlns:prefix="URI"/>`, where **prefix** is how you will identify the components in this XML Schema that belong to the namespace indicated by the **URI**.

**To then reference those components in the XML Schema:**
- If you have declared a prefix for your namespace, type `<prefix:component_name/>`, where you prepend the **component_name** with the defined namespace **prefix**. If you have declared a default namespace, simply type the component name as usual, see Figure 13.3.

✔ **Tip**
- A namespace declaration allows you to identify components in your document that are part of that namespace. A target namespace allows you to populate that namespace with components.
<wonder>
  <name language="English">Colossus of Rhodes</name>
  <name language="Greek">Κολοσσός της Ρόδου</name>
  <location>Rhodes, Greece</location>
  <height units="feet">107</height>
  <history>...
</wonder>
</wow:ancient_wonders>

Figure 13.4 In the XML Schema in Figure 13.3, the ancient_wonders element was associated with the namespace http://www.kehogo.com/ns/wow/1.0. So, for this XML document to be valid, I qualify the ancient_wonders element accordingly. Because wonder and the other elements were not associated with the target namespace (they were not global elements in the schema), they don’t need to be qualified.

Namespaces and Validating XML
You have populated an XML namespace and associated it with an XML document. In the XML Schema that populated the namespace, you have declared the namespace as the default namespace. Now, you’re ready to validate an XML document against the XML Schema, both of which reference the same namespace.

When validating XML documents in Chapters 10 and 11, you didn’t have to worry about namespaces, because none of the elements were qualified (associated with a target namespace). Now that all or some of your elements belong to a namespace, when validating your XML documents, you’ll have to specify that namespace for those elements.

To write XML documents with qualified elements:

1. You must indicate the namespace of the desired elements by declaring a namespace with a prefix. Within the root element, type xmlns:prefix="URI", where prefix will identify the elements in this XML document that belong to the namespace indicated by the URI (Figure 13.4).

2. Finally, prefix those elements with the namespace prefix from Step 1 (see Figure 13.4). Consult Chapter 12 for details.

✔ Tips

- You can also indicate the namespace of the desired elements in your XML document using a default namespace (xmlns="URI"), and using no prefix with the elements. This however, is not very common. Namespaces are only populated with the global elements by default; consequently most XML Schemas will end up containing a mixture of qualified and unqualified components.

- Remember to qualify only those elements that are actually associated with their corresponding namespace.

It’s All Good
The XML document is finally valid, as is the XML Schema document on the preceding page, both of which are now part of the same namespace.
Adding All Locally Defined Elements

When populating a namespace with an XML Schema, only the globally defined (top-level) components are associated with the target namespace by default. As such, only the global components must be qualified, or identified with a namespace name, in a valid XML document.

You can also require that locally defined components (e.g., those that are one or more levels down from the root element) be added to the target namespace. In this case, these elements must be qualified for an XML document to be considered valid.

If you want to add locally defined components, you can add all the elements and/or attribute declarations at once, both of which are shown below. You can also add elements and/or attributes individually, as shown on page 175.

To add all locally defined elements to the target namespace:

- In the xs:schema element, type `elementFormDefault="qualified"`. (Figure 13.5).

To add all locally defined attributes to the target namespace:

- In the xs:schema element, type `attributeFormDefault="qualified"`.

✔ Tips

- The default value for each of these attributes is unqualified, which means that only globally defined (top-level) components are associated with the target namespace, unless you specify otherwise.

- It is considered best practices to add all locally defined elements when populating a namespace, even though this overrides the default (Figure 13.6).
Using XML Namespaces

Adding Particular Locally Defined Elements

The `form` attribute is useful for specifying whether a particular locally defined element should be associated with the target namespace, regardless of the default (see page 174).

To add a particular locally defined element to the target namespace:

- In the element's definition, type `form="qualified"`. Regardless of where that element is defined, it will be associated with the target namespace.

Conversely, if you've decided to set the `elementFormDefault` attribute to `qualified` in the `xs:schema` element, you can use the `form` attribute to prevent a particular locally defined element from being associated with the target namespace (Figure 13.7).

To keep a particular locally defined element from being associated with a target namespace (despite the default):

- In the element’s definition, type `form="unqualified"`. Regardless of where that element is defined, it will not be associated with the target namespace.

✔ Tip

- Like elements, XML Schema attributes can use the same `form` attribute to identify whether they should be associated with the target namespace (or not), regardless of the default.

Figure 13.7 Despite the `elementFormDefault` setting in the `xs:schema` element, the `main_image` element will not be associated with the target namespace, because its `form` attribute overrides the `elementFormDefault` value.
Chapter 13

XML Schemas in Multiple Files

You can divide an XML Schema’s components into various individual files in order to reuse them in several different XML Schemas, or simply to make it easier to handle large XML Schemas.

**To include XML Schema components:**

1. Divide the XML Schema components among files. Each file should be text-only and be saved with the .xsd extension (Figure 13.8).

2. Finally, reference the XML Schema document in which you wish to include these components. Directly after the `xs:schema` element, type `<xs:include schemaLocation="includedfile.uri"/>`, where `includedfile.uri` is the URI of the XML Schema document that contains the components you wish to include (Figure 13.9).

**Tips**

- The `targetNamespace` attribute of the included XML Schema document must be the same as the `targetNamespace` attribute of the XML Schema document receiving the components. To add XML Schema components with different target namespaces, consult *XML Schemas with Multiple Namespaces* on page 177.

- If the included XML Schema has no target namespace specified, it is assumed that its target namespace is the same as the one for the XML Schema document in which it is being included.

---

**Figure 13.8** First, I create a new XML Schema shown here with the `civType` complex type definition. Then, I can use this definition in other XML Schemas.

```xml
<?xml version="1.0"?>
<xs:schema xmlns:xs=
  "http://www.w3.org/2001/XMLSchema"

targetNamespace="http://www.kehogo.com/ns/wow/1.0">

<xs:complexType name="civType">
  <xs:sequence>
    <xs:element name="name"
      type="xs:string"/>
    <xs:element name="locale"
      type="xs:string"/>
    <xs:element name="period"
      type="xs:string"/>
  </xs:sequence>
</xs:complexType>
</xs:schema>
```

**Figure 13.9** Here, I am including and referencing the `civType` complex type defined in the XML Schema shown in Figure 13.8.

```xml
<?xml version="1.0"?>
<xs:schema xmlns:xs=
  "http://www.w3.org/2001/XMLSchema"

  xmlns="http://www.kehogo.com/ns/wow/1.0"

targetNamespace="http://www.kehogo.com/ns/wow/1.0">

<xs:complexType name="civType">
  <xs:sequence>
    <xs:element name="name"
      type="nameType"
      maxOccurs="unbounded"/>
    <xs:element name="location"
      type="xs:string"/>
    <xs:element name="civilization"
      type="civType"/>
  </xs:sequence>
</xs:complexType>
</xs:schema>
```

---
XML Schemas with Multiple Namespaces

If you want to use XML Schema components from other XML Schemas with different target namespaces, you would use the `xs:import` element. This enables you to validate XML documents whose elements are associated with more than one namespace.

To import components from XML Schemas with different target namespaces:


2. Then, type `namespace="URI"`, where `URI` indicates the namespace name of the XML Schema components to be imported.

3. Next, type `schemaLocation="schema.uri"`, where `schema.uri` specifies the location of the file that contains the XML Schema defining the namespace in Step 2.

4. Finally, type `/>` to complete the `xs:import` element (Figure 13.10).

5. Additionally, you will need to declare a prefix for the imported namespace in the `xs:schema` element (see page 172) so that you can refer to the imported components in your XML Schema (see Figure 13.10).

✔ Tip

- You’ll use `xs:import` when you need XML Schema definitions from different XML namespaces, since a single XML Schema file cannot contain components from more than one namespace. You’ll use `xs:include` (see previous page) to break up a large XML Schema file into various modular files, and then include the ones you need for a particular XML Schema.
The Schema of Schemas as the Default

In Chapter 9, *XML Schema Basics*, you learned how to start a basic XML Schema. The first line of an XML Schema is an XML declaration. This means that an XML Schema document is, in fact, an XML document itself.

The second line of an XML Schema document is the `xs:schema` element, which is the root element. And, as you may have already realized, `xs:` is a prefix for a namespace, the W3C’s XML Schema namespace. Often called “the Schema of Schemas,” this namespace contains definitions for components that you have come to know, such as `xs:element`, `xs:complexType`, and `xs:attribute`.

But, the XML Schema specification doesn’t require using the `xs:` prefix for this namespace. I could just as easily use `zorch:`, `fondo:`, or practically anything else.

So, if your XML Schema is mostly composed of built-in types, it may be easier and quicker to declare the Schema of Schemas as the default namespace. Then, you wouldn’t have to use a prefix for the elements from this namespace at all (Figure 13.11).

To declare the Schema of Schemas as the default namespace:

1. To begin defining the XML Schema root element, after the XML declaration, type `<schema>` (notice that it’s not `xs:schema`).
2. Then, type `xmlns="http://www.w3.org/2001/XMLSchema"` to declare the Schema of Schemas as the default namespace.
3. Continue as you normally would, identifying target namespaces, and XML namespaces as you wish.
4. Finally, type `>` to complete the `schema` tag.

---

**Figure 13.11** This document is equivalent to the one shown in Figure 13.3. The only difference is one of notation. Because the Schema of Schemas is the default namespace, I don’t prefix XML Schema element names (schema, element, complexType, etc.), or built-in types (string, positiveInteger) with `xs:`.

On the other hand, an XML Schema document cannot have two default namespaces. Consequently, I need to give the http://www.kehogo.com/ns/wow/1.0 namespace a prefix (wow:), and prefix the components from the wow: namespace, such as wow:wonderType, wow:nameType, and wow:heightType.
Namespaces and DTDs

One of the largest and most consistent complaints about DTDs is that they don't support XML namespace declarations.

Interestingly enough, you can, in fact, use a \texttt{prefix:element} structure in your DTD names. The problem is that there is no way for the parser to know which XML namespace that prefix refers to. In actuality, the parser doesn't consider the characters before the colon a prefix at all. You may have the element \texttt{wow:height}, but this has no more meaning than any other element. For example, it does not mean the height element in the \texttt{wow:} namespace, it just means the \texttt{wow:height} element.

If you think this is kind of a pain, you're not alone. The lack of direct support for XML namespaces is one of the main reasons that DTDs are being supplanted by XML Schema.

For more information on DTDs, see Part 3.
XSLT and Namespaces

In Chapter 2, XSLT, you learned how to start a basic XSLT Style Sheet. As with XML Schemas, the first line of an XSLT Style Sheet is an XML declaration. Therefore, an XSLT Style Sheet is an XML document itself.

Consequently, if you are working with XML elements that belong to a namespace, you will need to declare the namespace and prefix each of these elements in your XSLT Style Sheet (Figure 13.12).

To use an XML namespace in an XSLT Style Sheet:

1. Within the opening tag of the root element `xsl:stylesheet`, type `xmlns:prefix`, where `prefix` will identify the XML namespace in this XSLT Style Sheet.

2. Then, type `"URI"`, where `URI` identifies the name of the XML namespace to which the prefix in Step 1 will refer.

3. Finally, label individual elements as necessary by typing `<prefix:element>`, where `prefix` is the namespace prefix defined in Step 1 and indicates the namespace to which this `element` belongs.

✔ Tip

Unlike XML Schema documents, the default namespace in an XSLT Style Sheet is not used for unprefixed names. In other words, you can’t remove the `xsl:` prefix from a style sheet’s elements by setting the W3C’s XSLT namespace as the default namespace.
PART 6: RECENT W3C RECOMMENDATIONS

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XSLT 2.0

XSL, the eXtensible Stylesheet Language, is used to transform XML documents into other documents, such as HTML (see Part 2). It is a family of three languages: XPath for selecting nodes from source documents; XSLT, for transforming those selected nodes; and XSL-FO, a language often used to generate PDFs.

On January 23, 2007, the W3C published eight new XML-centric Recommendations. These Recommendations defined new versions of both XSLT and XPath, as well as a new XML language called XQuery.

Like XSLT, XQuery gives users the ability to query XML data, based on the logical structure of an XML document. In fact, you can do most of the same things with XQuery 1.0 that you can with XSLT 2.0. However, XQuery differs from XSLT 2.0 in its ability to also directly query databases as opposed to only querying text-based documents.

Both XSLT and XQuery rely on the XPath language to select content from XML source information. This selection process uses the XML source’s logical structure, which is known as the data model. This XML Data Model (XDM) is the exact same for all three languages, XQuery 1.0, XPath 2.0, and XSLT 2.0. It is, in essence, the glue that binds them all.

You can read more about these languages at: www.w3.org/2007/01/qt-pressrelease.
Extending XSLT

XSLT is an XML language whose purpose is to transform a given XML source document into something else, such as an HTML document or a new XML document.

XSLT 1.0 became an official W3C Recommendation in 1999, and was rapidly adopted by the XML community. With that, came feedback, critique, and ultimately the formation of a new W3C Working Group to revise and improve XSLT.

Some of the primary goals of this effort were to:

◆ Improve ease of use.
◆ Support multiple output documents.
◆ Enable the creation of user-defined functions.
◆ Support the use of XML Schema.
◆ Simplify content grouping.
◆ Retain backward compatibility.

This last goal, being backward compatible, was an important goal to make it easier for users to adopt this new Recommendation. By retaining backward compatibility, you can use an XSLT 2.0 processor with your existing XSLT 1.0 style sheets, with little to no modification. Then, you can begin using XSLT 2.0 features and functions at your convenience (Figure 14.1).

Although the XSLT 2.0 Recommendation hasn’t changed much since the Working Draft was published in 2003, version 1.0 is still more widely used and supported. In fact, none of the major browsers support version 2.0 yet. Therefore, in order to view the XSLT examples in this chapter, you’ll need to use an XSLT processor that supports version 2.0. If you don’t have one already, see Appendix A.

```xml
```

Figure 14.1 This XSLT style sheet will be processed using the XSLT 2.0 specification, because the version attribute of the xsl:stylesheet element is set to "2.0." Note: This is a shortened version of the master XSLT 1.0 style sheet used throughout the earlier chapters of the book. Notice that nothing has changed in the style sheet, except the value of the version attribute.
Creating a Simplified Style Sheet

One goal of XSLT 2.0 was to improve its ease of use over XSLT 1.0. An example of this is seen with style sheets that only have a template rule for the root node (<xsl:template match="/"/>), and no other template rules, such as in Figure 14.1.

In these cases, you can simplify your XSLT style sheet by combining the content from the xsl:stylesheet and xsl:template elements into your opening <html> tag, and removing the xsl:stylesheet, xsl:output, and xsl:template elements completely.

To create a simplified style sheet:

1. Type <?xml version="1.0"?> to indicate that the XSLT style sheet is an XML document.
2. Type <html>.
3. Next, type xmlns:xsl="http://www.w3.org/1999/XSL/Transform" which is the standard declaration for the XSLT namespace and its prefix.
4. Then, type xsl:version="2.0"> to identify that this document will use version 2.0 of the XSLT namespace.
5. Enter the instructions for your style sheet.
6. Finally, type the end tag </html> to complete the html element from Step 2 above, as well as to complete the simplified style sheet (Figure 14.2).

✔ Tips

- The version attribute in the opening html tag is different than the standard version attribute. In a simplified style sheet, the version attribute must be prefixed with xsl: to indicate that it belongs to the XSLT namespace.

- There cannot be xsl:apply-template elements in your simplified style sheet.

Figure 14.2 This is a simplified style sheet based on the style sheet in Figure 14.1.
Generating XHTML Output Documents

XHTML is a more structured form of HTML; essentially a marriage of HTML and XML. It became a W3C Recommendation in January 2000, and has been widely adopted in the creation of Web pages.

In XSLT 1.0, there is no direct support for generating XHTML-compliant output documents. This feature has been added to XSLT 2.0.

To generate XHTML-compliant output documents:

1. Within the xsl:stylesheet declaration, type xmlns="http://www.w3.org/1999/xhtml" to declare the XHTML namespace.
2. Immediately after the xsl:stylesheet declaration, type xsl:output.
3. Finally, type method="xhtml" to identify the output method as XHTML and close the output instruction (Figure 14.3).

Another way to generate XHTML-compliant output documents:

1. Within the xsl:stylesheet declaration, type xmlns="http://www.w3.org/1999/xhtml" to declare the XHTML namespace.
2. Immediately after the template for the root node (xsl:template match="/"), type xsl:result-document.
3. Then, type method="xhtml" to identify the output method as XHTML.
4. Finally, immediately before the closing tag of the root node template, type xsl:result-document/> to close the output instruction (Figure 14.4).

✔ Tip

There are other attributes for both these output instructions, including control for character encoding, indentation, and more.

---

Figure 14.3 In this example, I've used the xsl:output instruction to tell the XSLT processor to generate XHTML-compliant output.

<?xml version="1.0"?>
<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
    version="2.0" xmlns="http://www.w3.org/1999/xhtml">
    <xsl:output method="xhtml"/>
</xsl:stylesheet>

Figure 14.4 In this example, I've used the xsl:result-document instruction to tell the XSLT processor to generate XHTML-compliant output. Notice how the xsl:result-document instruction encloses the output and instructions within the root template.
Generating Multiple Output Documents

In XSLT 1.0, when an XSLT style sheet is processed, only one output document is produced. If you want to create a multiple documents from your XML content, you have to run the XSLT processor for each document you want.

With XSLT 2.0, however, you can produce multiple output documents from a single run of the processor. As well, you can include instructions for how to create each of the output documents in a single XSLT document.

To generate multiple output documents:

1. For each output document, identify the XSLT instructions that will generate the output you wish.
2. Before the first XSLT instruction identified in Step 1, type `<xsl:result-document` to begin the output declaration.
3. Then, type `href="output.uri"`, where `output.uri` identifies the location of the document where the output from these XSLT instructions will be saved.
4. Finally, after the last XSLT instruction identified in Step 1, type `</xsl:result-document>` to complete the output instruction (Figure 14.5).

✔ Tips

- You may use as many `<xsl:result-document` instructions in your XSLT style sheet as you wish.
- You can choose to have your output be XHTML-compliant using the `method` attribute as described on page 186.
- The output of an XSLT transformation is called a final result tree. For any XSLT instructions not enclosed by an `<xsl:result-document` element, a final result tree is created automatically.
Creating User Defined Functions

User Defined Functions (UDFs) in XSLT 2.0 act just like functions in other programming languages. You declare the UDF’s name, input, what it does with the input, and its output.

To create a User Defined Function:
1. As a top-level element (a child of the root element xsl:stylesheet), type <xsl:function> to begin your UDF.
2. Type name="UDF_name">, where UDF_name is the name of your function.
3. Optionally (to begin identifying any UDF input parameters), type <xsl:param name="param_name"/>>, where param_name is the name you will use to refer to this parameter within your UDF.
4. Repeat Step 3 for as many input parameters you wish to declare. You may also choose to not have any input parameters, and skip Step 3 altogether.
5. Type the XSLT 2.0 and XPath 2.0 instructions for your function that will generate the return value of the UDF.
6. Finally, type </xsl:function> to finish creating the UDF (Figure 14.7).

To create the namespace for your User Defined Functions:
1. Within the opening tag of the root element, type xmlns:prefix, where prefix is the namespace prefix for your UDF.
2. Then, type ="URI", where URI is the namespace to which the prefix will refer.

✔ Tips
- Your UDF must part of its own namespace to eliminate potential naming conflicts with functions in the default namespace.
- Optionally, use exclude-result-prefixes so your UDF’s namespace won’t be part of the output document (see Figure 14.7).
Calling User Defined Functions

Of course, creating a UDF doesn’t do anything itself (Figure 14.9); you need to call the UDF from within the style sheet. To use the functionality created by your UDF, you call it from anywhere an XPath expression is expected.

To call a User Defined Function:

1. Anywhere an XPath expression is expected, type prefix:, where prefix matches the one you used in Step 1 at the bottom of page 188. (This is the namespace prefix that you defined for your UDF.)

2. Then, type UDF_name(), where UDF_name matches the one you used in Step 2 at the top of page 188 (which is the name you gave your function).

3. Next, type the value(s) of any input parameters defined in Step 3 at the top of page 188, separated by a comma. If there are no input parameters declared, you will skip this step.

4. Finally, type ) to finish calling your UDF (Figure 14.10).

✔ Tips

■ An xsl:function declaration can appear anywhere in your XSLT style sheet, provided it is a top-level element.

■ Unlike in many other procedural programming languages, optional input parameters are not allowed in UDFs.

■ As in many other procedural programming languages, UDFs can call themselves, thereby creating recursive functions.

■ In XSLT 1.0, advanced users created UDF-like functionality by tricking the processor into using named templates, or by writing functions in another language outside the style sheet itself.
Chapter 14

Grouping Output Using Common Values

Grouping a set of elements based on common content (such as elements with the same name or attribute value) is extremely difficult in XSLT 1.0, and not something the average user can easily accomplish. Fortunately, in XSLT 2.0, grouping is much easier and is supported by a set of built-in functions.

**To group by a common value:**

1. Type `<xsl:for-each-group`.
2. Then, type `select="node_set"`, where `node_set` identifies the set of items to be grouped. This is also called the population.
3. Next, type `group-by="group_key">`, where `group_key` is an expression that is evaluated for each item in the population. The result of this evaluation is defined to be that item’s `group value`. Each item in the population is then placed into a group with other items that have the same group value.
4. Specify what processing should take place.
5. Finally, type `</xsl:for-each-group>` to complete the grouping (Figure 14.11).

**Tips**

- Both the `node_set` in Step 2, and the `group_key` in Step 3 must be XPath expressions. In fact, they must be XPath 2.0 expressions, since the `xsl:for-each-group` is an XSLT 2.0 element. XPath 2.0 is discussed in Chapter 15.
- When the `xsl:for-each-group` instruction is being processed, you can use a function called `current-group()`. It is a collection of all the items from the population that are assigned to the group being processed (see Figure 14.11).
- You can also use an `xsl:sort` instruction within the `xsl:for-each-group` instruction to sort the resulting content.

---

Figure 14.11 To generate a listing of source elements grouped by their newspaperids. I have set the select attribute of the `xsl:for-each-group` to `//source`, and the group-by attribute to `newspaperid`. The `current-group()` component above returns all the `sectionid` values of each group. Without this, the output would only show the current `newspaperid`’s `sectionid`, not all the `sectionids` in the group.

Figure 14.12 The XSLT in Figure 14.11 generates this listing above. Notice that newspaperids 21 and 19 each have multiple `sectionids` listed. Without using the `current-group()` component, the output would only show the current `newspaperid`’s `sectionid` value, not all the values.
Validating XSLT Output

In addition to transforming XML documents into (X)HTML for display, XSLT is often used to transform XML documents into other XML documents. These new XML documents can then be used for different purposes than those of the original XML document.

XSLT 1.0 however, cannot validate its own output against an XML Schema. As a result, to ensure that XML documents generated from an XSLT transformation have the correct structure, they have to be validated in a separate step. This has been rectified in XSLT 2.0 by including the ability to validate the output of an XSLT transformation against an XML Schema, as part of the XSLT transformation.

To validate XSLT Output:
1. Anywhere at the top-level of the style sheet (outside the root template rule), type `<xsl:import-schema`.
2. Then, type `schema-location="schema.uri"/>`, where `schema.uri` identifies the location of the XML Schema you wish to use for your validation.
3. Additionally (in the XSLT style sheet), within the root element of the output you wish to validate, type `xsl:validation="strict"` (Figure 14.13).

✔ Tips

■ Using this same model, you can validate different parts of the XSLT output with different imported XML Schemas.

■ Instead of identifying a schema location in the `xsl:import-schema` element, you can include the rules of your XML Schema in the XSLT style sheet itself. Having an inline schema means that you can’t easily reuse it in another XSLT style sheet. It does, however, provide you with quick access to both the style sheet and the schema in a single file.
XPath (XML Path Language) is a language for selecting and processing parts of an XML document. XPath 2.0 is part of the eight W3C Recommendations published together in January 2007, and includes significant changes to the original version published in 1999.

One fundamental change is in the data model used by XPath. In version 1.0, the data model used is based on node sets (see Chapter 3). In version 2.0, the data model is based on sequences. A sequence is a collection of items (nodes and/or values), whereas a node set is a collection of nodes only. This distinction, while subtle, is an important enhancement to XPath 2.0 that I’ll discuss more in this chapter.

In addition to a new data model, XPath 2.0 has a larger set of functions; it supports conditional expressions (if-then-else statements), and it supports loops and variables (which were only available in XSLT previously).

By design, upgrading to XPath 2.0 should be relatively easy, because everything you know about XPath 1.0 applies to version 2.0 as well. Further, many of the changes in version 2.0 are based on well-known programming constructs that you may already be familiar with.

As with XPath 1.0, version 2.0 is not a stand-alone language; it was designed to be used within a “host language,” such as XSLT 2.0. The examples in this chapter will use XSLT 2.0 to show the XPath 2.0 functionality. If you need to, review XSLT 1.0 and XPath 1.0 in Part 2 of the book, as well as Chapter 14, XSLT 2.0.
**XPath 1.0 and XPath 2.0**

XPath 2.0 is a superset of XPath 1.0. In other words, all you have learned about XPath 1.0 (see Chapters 3 and 4) also applies to XPath 2.0.

**XPath Basics**

There are two primary purposes that XPath serves. The first is finding and returning specific parts of an XML document. To do this, XPath converts an XML document into an XML node tree. An XML node tree is a hierarchical representation of an XML document. Then, based on the location path that you define, XPath uses the XML node tree to find and return the information you requested. A location path is a way to describe the position of the desired content in the XML document relative to some current context (Figure 15.1).

XPath’s second primary purpose is to perform operations on those selected parts. XPath has built-in functions to perform basic arithmetic operations on, or to alter the format of, data returned by a location path (Figure 15.3).

**XPath 2.0 Data Model**

The new data model that supports version 2.0 of the XPath language is called XDM (XQuery/XPath Data Model). It is an extension of the XML Infoset, the data model for XPath 1.0. An important component of using XDM is that it includes support for XML Schema types (see Part 4), making XPath 2.0 a strongly typed language. This means that the use of values is strictly dependent on each value’s type. For example, trying to do math on the string “2008” will yield an error, which was not the case in XPath 1.0 (see Figure 15.25 on page 203).

Having support for XML Schema also allows XSLT 2.0 style sheets (which only work with the XPath 2.0 language) to be connected to an XML document’s schema. Then, when transforming the document, you would be alerted to misspellings, invalid paths, and type errors based on the schema. As well, you would be...
XPath 2.0

In XPath 2.0, everything is processed as a sequence. A sequence is an ordered list of mixed type items. To define a sequence, write the values you want in a set of parentheses, separated by a comma (the space after the comma is not required but makes for increased legibility).

sequences cannot be nested within other sequences. This means that the top example is automatically converted in the bottom one. Notice also that sequences allow duplication.

Other characteristics of sequences include that they can have duplicate items (node sets in XPath 1.0 cannot). They are also flat structures; in other words, you cannot have a sequence within another sequence (Figure 15.6). Just as with node sets in XPath 1.0, sequences can include operators (Figure 15.7), be the object of functions (Figure 15.8), and take predicates (which are the “filters” written in square brackets [ and ]). Sequences can also be used in loops, in a way similar to the xsl:for-each element in XSLT (see Looping Over Nodes on page 28).

✔ Tip

Since XPath 2.0 is a superset of version 1.0, everything you’ve learned about XPath 1.0 (see Chapters 3 and 4) applies to version 2.0. You can even use XPath 2.0 with your existing style sheets. The very few exceptions are noted at: www.w3.org/TR/xpath20/#id-backwards-compatibility.
Averaging Values in a Sequence

In XPath 1.0, there are functions for counting the number of nodes in a nodeset, and for totaling the values of the nodes in a nodeset (Figure 15.9). XPath 2.0 has these same functions for sequences, and has added three new similar functions: avg(), min(), and max().

One of these new functions is to average all the values in a sequence.

To average the values in a sequence:

1. Type avg().
2. Then, type the sequence or the location path to the sequence whose items should be averaged.
3. Finally, type ) to complete the function (Figure 15.10).

✔ Tip

The results from this function, as well as the other two new functions discussed on page 197, could be generated in XPath 1.0. However, especially in the case of min() and max(), it would take a lot more than a single line of XSLT and XPath.

Figure 15.9 This XPath 1.0 excerpt calculates the sum() of all the ancient wonder's heights, and then divides that sum by the count() of the ancient wonders that have a non-zero height (remember that the height of the Hanging Gardens of Babylon is set to zero in our XML document).

Figure 15.10 Here, I am using the XPath 2.0 function avg() to do the same thing as in Figure 15.9. It produces the same result with fewer lines of code.

Figure 15.11 The resulting HTML from the XSLT 2.0 / XPath 2.0 code in Figure 15.10, as seen in Internet Explorer 7. (The XSLT 1.0 / XPath 1.0 code in Figure 15.9 generates the exact same HTML.)
Finding the Minimum or Maximum Value

In addition to averaging values in a sequence, XPath 2.0 also has functions to find the minimum and maximum values in a sequence (Figure 15.12).

To return the minimum value of the numbers in a sequence:

1. Type `min()`.
2. Then, type the sequence or the location path to the sequence whose smallest value should be returned.
3. Finally, type `)` to complete the function.

To return the maximum value of the numbers in a sequence:

1. Type `max()`.
2. Then, type the sequence or the location path to the sequence whose greatest value should be returned.
3. Finally, type `)` to complete the function.

✔ Tips

■ These functions are called “aggregating functions” since they return a single value based on the values of a sequence. They are: `avg()`, `min()`, `max()`, `sum()`, and `count()`. The last two were available in XPath 1.0.

■ For all aggregating functions, except for `count()`, the sequence must consist of similarly typed values. Either they must all be numeric, or they can be a single type (such as date types).
Formatting Strings

In XPath 2.0, there are a handful of new functions for formatting strings. Two such functions provide the ability to change a string to upper or lowercase. And, while you can convert string cases in XPath 1.0 (Figure 15.14), it’s quite a lot easier in XPath 2.0 (Figure 15.15).

To convert a string to uppercase:
1. Type `upper-case(`.
2. Then, type the expression that contains the string to be converted to uppercase.
3. Finally, type `)` to complete the function.

To convert a string to lowercase:
1. Type `lower-case(`.
2. Then, type the expression that contains the string to be converted to lowercase.
3. Finally, type `)` to complete the function.

✔ Tips

■ Numbers and punctuation are not affected by the case conversion.
■ The `translate()` function that was used to do case conversions in XPath 1.0 still exists in XPath 2.0. It can be used for replacing specific characters in a string with other characters, or removing specific characters from a string altogether.

Figure 15.14 This XPath 1.0 excerpt uses the `translate()` function to convert each of the ancient wonder’s English names to uppercase.

```xml
...<xsl:value-of select="translate(..//name[@language='English'], 'abcdefghijklmnopqrstuvwxyz', 'ABCDEFGHIJKLMNOPQRSTUVWXYZ')"/>
</xsl:value-of>
```

Figure 15.15 Here, I am using the XPath 2.0 function `upper-case()` to do the same thing as the code in Figure 15.14. Not only are there fewer lines of code in this example, but it’s much easier to read and understand.

```xml
...<xsl:value-of select="upper-case(..//name[@language='English'])"/>
</xsl:value-of>
```

Figure 15.16 With the new XPath 2.0 function, the HTML output remains the same as before; which was expected.
Testing Conditions

In XPath 1.0, choosing which of two things to output, or whether to output anything at all, is done using either `xsl:if` or `xsl:choose` instructions (Figure 15.17).

XPath 2.0 has the ability to test for conditions within an XPath expression itself. As well, the test condition can be any expression that evaluates to a boolean value (true or false), not only an expression using nodes.

To test a condition:

1. Anywhere you could have an XPath expression, type `if`.
2. Specify the boolean expression that you wish to test.
3. Then, type `)` to end the test expression.
4. Next, type `then`.
5. Specify the expression whose value will be returned if the boolean expression in Step 2 is true.
6. Then, type `)` to end the then-expression.
7. Next, type `else`.
8. Specify the expression whose value will be returned if the boolean expression in Step 2 is false.
9. Finally, type `)` to end the else-expression and the conditional test (Figure 15.18).

✔ Tips

- You may use an “if-then-else” expression as the expression in a “then” or “else” clause. Doing so creates what is called a nested “if-then-else” structure (see Figure 15.18).
- The parentheses around the then-expression and the else-expression are optional. However, I recommend that you use them to make your XPath easier to read. The parentheses around the test expression, however, are not optional.
Quantifying a Condition

There may be times when you want to know if every one or some of the items in a sequence satisfy a certain condition. For example, were every one of Michael Phelps’ medals in the 2008 Olympics gold? True. Or, did some of Misty May-Treanor and Kerri Walsh’s matches in the 2008 Olympics result in a loss? False.

To test if every item in a sequence satisfies a condition:

1. Anywhere you could have an XPath expression (though usually as a test expression), type every.
2. Then, type $var_name, where var_name will refer to the value of the expression in Step 4 below.
3. Next, type in (.
4. Specify the expression which is the sequence of items to be tested by the expression in Step 7.
5. Then, type ) to end the expression, sometimes called the binding sequence.
6. Next, type satisfies (.
7. Specify the test expression using $var_name from Step 2 to represent the items from the expression in Step 4.
8. Finally, type ) to end the test expression and the conditional test (Figure 15.19).

✔ Tips

■ You can also test if some of the items in a sequence satisfy a condition. To do so, replace the word every in Step 1 with the word some.

■ This construct is called a quantified expression, and its result is a boolean value.

■ The parentheses around the binding sequence and the test expression are optional. However, I recommend that you use them to make your XPath easier to read.

Figure 15.19 Here I am using both an every condition and a some condition to see if all, some, or none of the ancient wonders have been destroyed. Note the use of a nested if-then-else structure, as described on page 199. Also, notice the use of the XPath 2.0 function exists(), which returns a boolean value based on whether its argument exists or not.

Figure 15.20 As you probably already know, only some of the ancient wonders have been destroyed.
Removing Duplicate Items

One of the differences between node sets and sequences is that sequences can have duplicate items. This is an important upgrade of functionality from version 1.0 to version 2.0. However, there will be times when you want to have a sequence where each item is represented only once.

To remove duplicate items from a sequence:

1. Type `distinct-values()`.
2. Then, type the expression that contains the sequence to be processed.
3. Finally, type `)` to complete the function (Figure 15.21).

✔ Tip

- The order of the items returned from the `distinct-values()` function may be different depending on your XSLT processor. If you need your sequence to be in a specific order, you can use the `xsl:sort` instruction to sort the resulting sequence in the way that you need (Figure 15.22).
Looping Over Sequences

One of the more powerful new features in XPath 2.0 is the ability to loop over a sequence. Though similar to the functionality of the XSLT 1.0 xsl:for-each instruction, the result of an XPath 2.0 loop is a sequence. And, this sequence can then be processed just as any other, enabling much more complex data transformations than were possible using XSLT 1.0 with XPath 1.0.

To loop over a sequence:

1. Anywhere you could have an XPath expression (though usually in an output capacity), type `for`.
2. Then, type `$range_var`, where `range_var` will be set to each of the items in the expression in Step 4 below. This is sometimes called the `range variable`.
3. Next, type `in` (.
4. Specify the expression which is the sequence of items used to set the range variable in Step 2 above.
5. Then, type `)` to end the expression, sometimes called the `binding sequence`.
6. Next, type `return` (.
7. Specify the return expression. This expression is evaluated once using `$range_var` from Step 2 to represent each of the items from the expression in Step 4.
8. Finally, type `)` to end the `return expression` (Figure 15.23).

Tips

- This XPath 2.0 construct is called a `for expression`. The return value of a for expression is a sequence.
- The parentheses around the binding sequence and the return expression are optional. However, I recommend that you use them to make your XPath easier to read.

---

```xml
... and they stood from
<xsl:variable name="yrs_standing" select="for $i in (ancient_wonders/wonder) return (  
  if ($i/history/year_destroyed != 0) then (  
    if ($i/history/year_destroyed/@era = 'BC') then ($i/history/year_built - $i/history/year_destroyed)  
    else ($i/history/year_built + $i/history/year_destroyed - 1)  
  ) else ($i/history/year_built + 2008 - 1)  
)="/>
<xsl:value-of select="min($yrs_standing)"/> years to
<xsl:value-of select="max($yrs_standing)"/> years.
```

Figure 15.23 Here, I'm using the calculation shown in Figure 15.18 within a for expression. It returns a sequence of the years standing for all the wonders. The range variable $i refers to the current wonder in the for expression.

Figure 15.24 The XPath 2.0 for expression returns a sequence. This sequence can then be used elsewhere in the XSLT document. For example, at the bottom of the code in Figure 15.23, I used the `min()` and `max()` functions on the sequence. These functions were discussed on page 197.
Using Today’s Date and Time

XPath 2.0 has a significantly larger set of functions than XPath 1.0 has. I’ve discussed some of the aggregating functions on pages 196 and 197, as well as some string functions on page 198. In addition to these, there are three new functions in XPath 2.0 that return today’s date and time.

To return today’s date:
- Type `current-date()` (Figure 15.25).

To return the current time:
- Type `current-time()`.

To return the current date and time:
- Type `current-dateTime()`.

✔ Tips
- Each of these new functions returns an XML Schema primitive type: `xs:date`, `xs:time`, and `xs:dateTime`, respectively.
- Each of these new functions can be formatted by a new XSLT 2.0 function: `format-date()`, `format-time()`, and `format-dateTime()`, respectively (see Figure 15.25).
- To manipulate values that are `xs:date`, `xs:time`, `xs:dateTime`, or any other XML Schema data type, you must declare the namespace in the xsl:stylesheet element (Figure 15.26).
Writing Comments

Being able to comment your XPath is extremely helpful. It allows you to explain what a particular instruction or set of instructions means. Surprisingly, this was not available in XPath 1.0 but is part of the XPath 2.0 specification.

To write comments:
1. Type (:.
2. Write your comment.
3. Finally, type :) to close the comment (Figure 15.27).

✔ Tips

- XPath comments can only occur where an XPath expression is expected.
- XPath comments can span multiple lines, and can contain any characters, including spaces, text, elements, and line breaks. In fact, they can even contain a colon and a closing parenthesis (unless they are together, in which case you have closed your comment).
- Like XML comments, you can use XPath comments to hide a set of XPath instructions during development. This is called commenting out a section. Within a commented out section, the elements, along with any errors they may contain, will not be processed by the XPath processor.
- Unlike XML comments, however, you may nest XPath comments in other XPath comments. This enables you to comment out sets of XPath instructions that already contain comments of their own.

```xml
<xsl:variable name="yrs_standing" select="
(: This set of instructions calculates the total years standing of each wonder.

If the wonder was destroyed in the BC era, the math is simple: subtract year_destroyed from year_built.

If the wonder was destroyed in the AD era, the math is to add the year_built and the year_destroyed, but subtract 1 because there is no year zero.

If the wonder has not been destroyed, the math is to add the year_built and the current year, but subtract 1 because there is no year zero. :)

for $i in (ancient_wonders/wonder) return (
  if ($i/history/year_destroyed != 0)
  then (
    if ($i/history/year_destroyed/@era = 'BC')
    then ($i/history/year_built - $i/history/year_destroyed)
    else ($i/history/year_built + $i/history/year_destroyed - 1)
  )
  else ($i/history/year_built + $cur_year - 1)
..."
```

Figure 15.27 This calculation may make sense to me today. However, when returning to this code in one, six, or twelve months, it may be a little more difficult to follow without the XPath comment.
Processing Non-XML Input

Although it was technically possible to use non-XML input in XSLT 1.0 and XPath 1.0, it was not an easy task to process, and there were many constraints when trying to do so.

However, in XSLT 2.0 / XPath 2.0, there are a handful of new functions that make processing non-XML input much easier (Figure 15.28). This is a rather advanced topic, but I’ve listed few important and relevant functions below.

Reading non-XML input:

- `unparsed-text(href)` returns the contents of the file found at `href` as a string.

Parsing input using regular expressions:

- `tokenize(input, regex_pattern)` returns a sequence of strings from the input string using the `regex_pattern` to break the input string into individual pieces.
- `replace(input, regex_pattern, replace)` returns an updated input string, where each occurrence of the `regex_pattern` in the input string is replaced with the `replace` string.
- `match(input, regex_pattern)` returns the boolean value (either true or false), depending on whether the input string matches the `regex_pattern` or not.
- `analyze-string(select="expression", regex="pattern")` returns a sequence of all the strings from the select `expression` that match the `regex_pattern`. It is followed by one or both of the instructions: `xsl:matching-substring` and/or `xsl:non-matching-substring`, each of which processes the appropriate substrings from the `analyze-string` instruction.
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XQuery 1.0 (XML Query Language) is the third major language resulting from the eight W3C Recommendations published in January, 2007. Like XSLT 2.0 (Chapter 14), XQuery is used to select content from an XML data source, transform that content as directed, and then return this new content as either XML, HTML, or some other format. XQuery uses the XPath 2.0 language (Chapter 15) to select XML source content and to manipulate that content if necessary, just like XSLT 2.0. In fact, most of the things that you can do with XSLT 2.0, you can also do with XQuery 1.0.

XQuery does differ from XSLT 2.0 in a few significant ways; including, most noticeably, that it does not use XML syntax. This actually makes for a more compact and easily learned language, especially for XML novices or those with previous programming experience. Interestingly enough, one of the other eight published Recommendations is a language that uses XML syntax for XQuery queries, called XQueryX. It is, however, a verbose and unwieldy language, and is only really usable by XML software tools, not by people.

As with XSLT 2.0 and XPath 2.0, in order to see this chapter’s examples work (or to write XQuery yourself), you will need an XQuery processor. If you don’t have one already, see Appendix A, XML Tools, for a list of options.

For additional XQuery information, visit the W3C’s XQuery Working Group site at: www.w3.org/XML/Query.
XQuery 1.0 vs. XSLT 2.0

Both XQuery 1.0 and XSLT 2.0 can be used to query XML data sources. They are both built on XPath 2.0 expressions, and they use the same data model, XDM. In both languages, you can create user-defined functions, and you can use XML Schema to validate XML source content, as well as XML output content.

Given this, at the basic level, the choice to use XQuery 1.0, as opposed to XSLT 2.0, is a matter of taste and experience. XSLT 2.0 uses XML syntax and extends XSLT 1.0, a language with which you may have some experience. On the other hand, XQuery does not use XML syntax, and is more similar in structure to SQL (Structured Query Language), another language with which you may be familiar.

With basic queries and transformations, both languages are equally competent (Figures 16.1 and 16.2). However, a well-known study showed that with no previous knowledge, XQuery is easier to learn than XSLT 2.0. But, as the transformation requirements increase in complexity, the better choice becomes XSLT 2.0. It has better support for grouping data, formatting numbers and dates, and schema-type validation.

Even still, XQuery is gaining significant momentum. One of the major reasons is that XQuery was designed with the idea of directly querying databases. And, major database developers such as IBM, Microsoft, and Oracle have mechanisms enabling XQuery to view their databases like any other XML source.

The bottom line is that the choice of whether to use XQuery 1.0 or XSLT 2.0, can be subjective. I suggest that for complex queries, you use XQuery, and for complex transformations, you use XSLT 2.0. Moreover, most XML processing infrastructures allow for a mixture of languages, and you will likely be best served by using both languages, each where most appropriate.

---

**Figure 16.1** This excerpt of XSLT uses XPath to retrieve a sequence of ancient wonder names whose language attribute equals 'English'. It then uses the xsl:for-each construct to loop over all the names and display each of them in an HTML bulleted list.

**Figure 16.2** This XQuery excerpt generates the exact same HTML as the XSLT shown in Figure 16.1. Here, a loop is created where XPath returns each of the wonder nodes whose language attribute equals 'English,' and sets the variable $x. Then, each time through the loop, the data value of the variable $x is output in an HTML bulleted list.
Composing an XQuery Document

An XQuery document is a text-only file and begins with a version declaration (Figure 16.3). It does not start with the standard XML declaration, because it is not an XML document itself. An XQuery document is saved with either an .xquery or .xq extension. I use the latter in this chapter.

To compose an XQuery document:
1. At the top of your document, type `xquery`.
2. Then, type `version "1.0"`.
3. Next, type `;` (a semi-colon).
4. Finally, write an XQuery expression, or multiple XQuery expressions, separated by commas.

**Tips**

- An XQuery expression can be a numeric or string literal (Figure 16.3); a sequence constructor (Figure 16.4); an element constructor (Figure 16.5); a built-in or user-defined function (see page 216); or one of the built-in expressions, such as a conditional expression (see page 214) or a FLWOR expression (see page 212).

- Comments in XQuery use the same syntax as XPath 2.0. `/*` is used to start the comment, and `*/` is used to end it. And, like XPath 2.0, they can be nested.

- When using element constructors (Figure 16.5), curly braces `{ }` are used to distinguish expressions from literal text. These enclosed expressions are evaluated first before being output.

- Although XQuery does not use XML syntax, it is case sensitive, and all XQuery instructions are written in lowercase.
Identifying an XML Source Document

To process XML source documents with either version of XSLT, you would use the XML processing directive `xml-stylesheet`. This directive enables you to identify the path to the XML source document. For XQuery, however, there isn’t an XML processing directive. To identify the XML source for an XQuery document, you can use the `doc()` function.

**To identify an XML source document:**

1. Type `doc()`.
2. Then, type `doc_uri`, where `doc_uri` is the path to the XML source document.
3. Finally, type `)` to end the function (Figure 16.6).

✔ **Tips**

- Some XQuery processors require that you identify the XML source document when you process your XQuery (and not in the XQuery code itself). In this case, you will need to replace the `doc_uri` in the `doc()` function with . (a period). This is a representation of the current context, which you will need to use instead of a URI.

- Regardless of the XQuery processor you use, XQuery can actually use more than one XML source document (see page 215).
Using Path Expressions

To select content from an XML data source, XQuery uses the XPath language syntax (Figure 16.7). The XML source document is first converted into an XML node tree. Then, based on the location path you provide, the XML tree is searched to find the information requested. As discussed in Chapter 3, the location path describes the position of the desired content relative to the position of the current context.

To use a path expression:

1. First, identify the XML source document using the `doc()` function described on page 210.
2. Next, type any valid XPath expression. This expression will be used with the node tree generated from the XML source document, retrieved by the `doc()` function in Step 1.

✔ Tips

- Some XQuery processors require that you select the XML source document when you process your XQuery. In this case, you will need to change the `doc_uri` in the `doc()` function to a representation of the current context, which is . (a period).

- Like all XPath expressions, those used in XQuery can take predicates, and XQuery predicates can also use functions (Figures 16.8 and 16.9).
Chapter 16

Writing FLWOR Expressions

The FLWOR expression (pronounced “flower”) is unique to XQuery (Figure 16.10). It is similar to XSLT’s xsl:for-each instruction and is an extension of the XPath 2.0 for expression. Also, the FLWOR expression is loosely based on the SQL Select statement, and its name is an acronym of each of its five keywords: for, let, where, order, and return.

To write a basic FLWOR expression:

1. Type for.
2. Then, type $range_var, where range_var will be set to each of the items returned in the expression in Step 4 below. This is sometimes called the range variable.
3. Next, type in.
4. Specify the expression, which is the sequence of items used to set the range variable in Step 2 above. This is sometimes called the binding sequence.
5. Then, type where.
6. Specify the expression, which will filter the range variables set by the binding sequence in Steps 2 and 4 above. This is usually called the where clause.
7. Next, type return.
8. Finally, specify the return clause. This expression is evaluated once for each range variable set by the binding sequence and filtered by the where clause (Steps 2, 4, and 6, respectively).

✔ Tip

- In a FLWOR expression, the where clause shown in Steps 5 and 6 is optional.

![Example FLWOR expression](xquery)

```xquery
xquery version "1.0";
for $wndr in
doc("wonders-master.xml")
/ancient_wonders/wonder
where
contains($wndr/location, "Turkey")
return $wndr/name
```

**Output**

```xml
<name language="English">Temple of
Artemis at Ephesus</name>
<name language="Greek">Αρτεμίσιον</name>
<name language="English">Mausoleum at
Halicarnassus</name> ...
```

Figure 16.10 The FLWOR expression above sets the range variable $wndr to each of the wonder elements in the XML source document, wonders-master.xml. The where clause then filters the sequence of $wndr variables to only include those which have a location element containing the string “Turkey.” Then, the return clause outputs each of these name elements. You’ll see from the output that this FLWOR expression generates the exact same result as the example in Figure 16.9.

![Updated FLWOR expression](xquery)

```xquery
xquery version "1.0";
for $wndr in
doc("wonders-master.xml")
/ancient_wonders/wonder
where
contains($wndr/location, "Turkey")
return $wndr/name[@language='English']
```

**Output**

```xml
<name language="English">Temple of
Artemis at Ephesus</name>
<name language="English">Mausoleum at
Halicarnassus</name>
```

Figure 16.11 In this example, I’ve added a predicate to the return clause, only outputting the name elements with a language attribute of ‘English.’
The other optional clause in the FLWOR expression is the \textit{order by clause}. It sorts the final sequence of items before it's output by the return clause (\textbf{Figure 16.12}).

\textbf{To include the order by clause:}

1. Immediately before the return clause shown in Steps 7 and 8 on page 212, type \texttt{order by}.

2. Finally, specify the expression which will order the final sequence of items to be output by the return clause.

The last clause in the FLWOR expression is the \textit{let clause} (\textbf{Figure 16.13}). It, like the for clause, generates an ordered sequence of items. The difference between the two is that for each item in the sequence generated by the for clause, only one item is created for the variable in the let clause, even if this variable is set to a sequence itself.

\textbf{To include the let clause:}

1. Before the return clause and both the optional where clause and order by clause (if they are included), type \texttt{let}.

2. Then, type $\texttt{instance\_var}$, where $\texttt{instance\_var}$ will be set to the entire result of the expression in Step 4 below.

3. Next, type $:=$ (a colon and an equals sign).

4. Finally, specify the expression which will set the instance variable in Step 2 above. This is sometimes called the \textit{binding sequence}.

\begin{itemize}
  \item \textbf{Tips}
    \begin{itemize}
      \item You can have as many, or as few, for clauses and let clauses as you wish, but you must have at least one of either for the FLWOR expression to be valid.
      \item Sometimes, the variable set in the for clause is used in the let clause expression. This creates something like the SQL \textit{join} clause, and is discussed more on page 215.
    \end{itemize}
\end{itemize}
Testing with Conditional Expressions

Conditional expressions in XQuery 1.0 use the same if-then-else syntax as those in XPath 2.0. These expressions (Figure 16.14) provide the ability to test a condition and output different results based on the boolean value (true or false) of the condition.

To test with a conditional expression:

1. Type `if (`.  
2. Specify the boolean expression which is the condition on which you wish to test.  
3. Then, type `)` to end the test expression.  
4. Next, type `then`.  
5. Specify the expression whose value will be returned if the boolean expression in Step 2 is true. This is called the then-expression.  
6. Then, type `else`.  
7. Finally, specify the expression whose value will be returned if the boolean expression in Step 2 is false. This is called the else-expression.

✔ Tips

■ You may use any valid expression for the then-expression and the else-expression. In fact, these expressions may even be new if-then-else expressions (Figure 16.14). Doing so creates what is called a nested if-then-else structure.

■ Parentheses are required around the test expression. Parentheses are optional around the then-expression and the else-expression.

■ If you do not need an else-expression, you still must include one. Just use `else()`, which returns an empty sequence (Figure 16.14). Notice that in this case, parentheses are required.

Figure 16.14 In the XQuery example, the conditional expression tests how each wonder was destroyed, and returns a new element `<quake>` or `<fire>` with that wonder’s English name. Remember, the enclosed expression inside the curly braces is evaluated first before being output.
Joining Two Related Data Sources

Oftentimes, the information with which you are working is contained in multiple XML data sources. XQuery allows you to query information in multiple files simultaneously using a FLWOR expression.

For example, a clothing store might have an XML file listing its products: product id, name, price, and description; and another XML file listing its orders: order id, product id, quantity purchased, and customer information. Using the product id as the primary relationship between the two files, you could use an XQuery FLWOR expression to calculate the total cost of an order by multiplying the quantity of each product purchased (in the orders file) by the price of the product itself (in the products file).

To join two related data sources:

1. Write the for clause which refers to the first data source.
2. Then, write a second for clause, and refer to the second data source. The relationship between both data sources will be defined in Step 3 below.
3. Finally, in the where clause of the FLWOR expression, use the range variables from both for clauses in Steps 1 and 2 to define the relationship between the data sources (Figure 16.16).

👉 Tip
- There are actually many different ways to join related data sources. You could use let clauses instead of one or both for clauses; you could write a second FLWOR expression as the return clause for the first FLWOR expression; you could use predicates instead of a where clause, etc. The idea is the same; joining two related data sources requires items in the first data source that relate to (and are often equal to) items in the second data source.
Creating and Calling User Defined Functions

A User Defined Function (UDF) in XQuery acts just like a built-in XQuery function, except that you define its name, input, what it does with the input, and what it outputs.

To create a User Defined Function:
1. Immediately after the version declaration (see page 209), type declare function.
2. Then, type local:UDF_name(), where UDF_name is the name of your function.
3. Next, type $param_name to identify any input parameters, where param_name will refer to this parameter within your UDF.
4. Repeat Step 3 for each input parameter you want, separated by a comma, and finish the parameter listing with an ). You may also have no input parameters and skip Step 3.
5. Type {.
6. Then, write your XQuery expression. If you have defined any input parameters in Steps 3 and 4, use them in this expression.
7. Finally, type } to complete the function.

To call your User Defined Function:
1. Anywhere an XQuery function is expected, type local:UDF_name(), where UDF_name matches the one you used in Step 2 above.
2. Type the value(s) of any input parameters defined in Steps 3 above, separated by a comma. If there are no input parameters declared, you will skip this step.
3. Finally, type ) to finish calling your UDF.

✔ Tip
- XQuery provides a namespace (local:) to prevent conflicts between UDF names and the names of functions in the default namespace. You may also declare and use a different namespace for your UDFs.

---

**Figure 16.17** This xml file, called richter_scale.xml, contains information about the energy released by earthquakes of different Richter scale magnitudes.

```xml
<richter>
<quake>
<magnitude>1.0</magnitude>
<energy>50 lbs</energy>
<example>Blast at construction site</example>
</quake>...
```

**Figure 16.18** The UDF named richter has an input parameter named $mag. The UDF rounds $mag to the nearest 0.5 increment, and returns the amount of energy released by an earthquake of that magnitude and an example of that energy in another context. The calling expression local:richter(...) is part of the return clause of the FLWOR clause from Figure 16.16.

```xquery
xquery version "1.0";
declare function local:richter($mag)
{
let $mag_normalized := ((round($mag * 2)) div 2)
cast as xs:decimal
for $r in
doc("richter_scale.xml")
/richter/quake
let $r_dec := (data($r/magnitude))
cast as xs:decimal
where $r_dec = $mag_normalized
return
data($r/energy). data($r/example))
};
for $wdr in
doc("wonders-master.xml")
/ancient_wonders/wonder
... return (data($wdr/name [@language='English'])),
data($quake/date),
local:richter(data($quake/magnitude)))
```

- Mausoleum at Halicarnassus 1402-11-18
  200 million tons Estimated energy released by Krakatoa volcano in 1883
- Mausoleum at Halicarnassus 1404-03-13
  80,000 tons Large hurricane
- Mausoleum at Halicarnassus 1404-03-23
  32 million tons Largest Thermonuclear Weapon ...
This excerpt is from a database table that contains the medals earned by country during the 2008 Summer Olympics. The table’s name is medals and is in a database called olympics. The field names are country, gold, silver, and bronze.

<table>
<thead>
<tr>
<th>Country</th>
<th>Gold</th>
<th>Silver</th>
<th>Bronze</th>
</tr>
</thead>
<tbody>
<tr>
<td>USA</td>
<td>36</td>
<td>38</td>
<td>36</td>
</tr>
<tr>
<td>China</td>
<td>51</td>
<td>21</td>
<td>28</td>
</tr>
<tr>
<td>Russian Fed</td>
<td>23</td>
<td>21</td>
<td>28</td>
</tr>
<tr>
<td>Great Britain</td>
<td>19</td>
<td>13</td>
<td>15</td>
</tr>
<tr>
<td>Australia</td>
<td>14</td>
<td>15</td>
<td>17</td>
</tr>
<tr>
<td>Germany</td>
<td>16</td>
<td>10</td>
<td>15</td>
</tr>
<tr>
<td>France</td>
<td>7</td>
<td>16</td>
<td>17</td>
</tr>
<tr>
<td>South Korea</td>
<td>13</td>
<td>10</td>
<td>8</td>
</tr>
<tr>
<td>Italy</td>
<td>8</td>
<td>10</td>
<td>10</td>
</tr>
<tr>
<td>Ukraine</td>
<td>7</td>
<td>5</td>
<td>15</td>
</tr>
</tbody>
</table>

Figure 16.19

XQuery 1.0

XQuery was specifically designed to be able to query a wide array of XML data sources. To accomplish this, before a query can be processed, all data sources are converted into an XML node tree. XQuery doesn’t care whether that data source is some random file, an XML document, or a relational database.

Since the inception of XQuery, database developers have been writing extensions for shuttling data back and forth between their databases and XML documents. In this way, these databases were able to export data in XML format, as well as convert (or shred) XML data into relational format. However, using an XML-enabled database only works well if the XML data is easily converted into the “rows and columns” structure of a relational database. Moreover, shredding XML for storage in the database, and then putting it back together as XML, is often an inefficient and costly process.

To address these drawbacks, a new type of database was developed. It was designed to support standard database features, but store its data in a native XML format. And, while many users are not interested (or are not in a position), to change their database application, many others have started using Native XML Databases.

The XQuery specification, however, does not say how to create a database connection. Most XQuery processors use the collection() function. Like the doc() function, collection() takes a URI argument and returns a sequence of nodes (Figure 16.20). Even still, different processors interpret the URI in different ways, so you’ll need to consult your processor’s documentation for specifics.

In addition to the XQuery Working Group site at: www.w3.org/XML/Query, a good resource for information about XML and databases (albeit a little out of date) can be found at: www.rpbourret.com/xml/.
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PART 7: XML IN PRACTICE

Ajax, RSS, SOAP, and More 221
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Through reading this book, hopefully you have come to understand that XML is not a markup language itself. Rather, you now understand that XML is a specification for creating markup languages, and thus, its inherent extensibility.

In this chapter, I will identify and breakdown some of the more widespread uses of XML today. In one case, XML is simply being used as a data container; in another case, the custom markup language that was created has already been extended further by those who are using it. In yet another case, there are two XML standards fighting to become the standard. And, in many of the examples, XML has been an integral part of the creation of a new technology.

The examples that I have included are not nearly as extensive as those found in the rest of the book. That’s because the intention of this chapter is not to teach you how to develop in each use of XML; each one could have a chapter and much more devoted to it. Rather, the examples are meant to give you a flavor of the specific implementations, and how XML is really being used in practice.

In February 1998, XML became an official W3C Recommendation. The working group members must certainly have thought they had a great idea, but I don’t imagine that they could foresee what it could become.

This chapter is about what XML has become.

Please note: If you want to follow the examples in this chapter more closely, see pages 240–241 at the end of this chapter for some guidance.
Ajax Basics

Ajax (sometimes written as AJAX) stands for Asynchronous JavaScript and XML. It is a Web-based technique that creates a more seamless user experience when a Web page is updated based on user input. For instance, a page not using Ajax (Figure 17.1) will take user input and submit it to a script on the Web server for processing. This is often the result of the user clicking a submit button or selecting something in a pull-down menu. The user input is then processed by the server, and a new HTML page is created. This new page is returned to the browser, and the existing page is refreshed.

A Web page using Ajax (Figure 17.2) also takes user input, and submits it to a script on the Web server. This is triggered in the same manner as above; however, the user input is sent to the Web server differently (this is discussed in more detail a little later). The user input is then processed by the server, but instead of creating a new HTML page, only new data is created. This new data is returned to the browser (again via a different mechanism than in the non-Ajax experience). Then, instead of refreshing the page, the existing page is simply updated with the new data.

The Technology of Ajax

Ajax is not a language. It is a specific way of using existing languages to create a more interactive Web experience. It is the combination of HTML (used to display the Web page), XML (used to exchange data between the server-side script and the Web page), and JavaScript (used to update the HTML page with new data and bind the entire process together).

The foundational component of Ajax is the XMLHttpRequest object. It facilitates the exchange of data between the Web page and the script on the server. The XMLHttpRequest object is supported by most current browsers. And, for older browsers, there are other objects that can be used in its place (Figure 17.3).

```javascript
function GetXmlHttpObject() {
    var xmlHttpObject = false;
    try {
        // Most browsers today
        xmlHttpObject = new XMLHttpRequest();
    } catch (e) {
        // Internet Explorer 5 and 6
        xmlHttpObject = new ActiveXObject("Msxml2.XMLHTTP");
    }
    return xmlHttpObject;
}
```

Figure 17.3 This JavaScript function returns the XMLHttpRequest object used with Ajax. It supports most current browsers, as well as IE 5 and 6.
The XMLHttpRequest object exchanges data between the Web page and the server-side script asynchronously. This means that the browser isn’t stopped while waiting for the server to return the updated data. Consequently, the data exchange happens without interfering with the display or functionality of the existing page.

Once the XMLHttpRequest object has been created, there are three steps required for the data exchange to take place (Figure 17.4).

The first is to create the “retrieving function,” which will be called when the Web server is ready to send the updated data. For this, the onreadystatechange property is used.

Once the retrieving function is declared, the next step is to identify the URL of the server-side script, which is done using the open property. The final step is to send the request to the server using the send property, which can include content, variables, or be null.

Using Ajax

To use this Ajax foundation, the HTML page needs to call the RequestAjax() function from Figure 17.4. When it does, it must include the server-side script’s URL and the data to be processed (Figure 17.5).

The HTML page will also need to have a ProcessAjax() function, which is called when data is returned from the server (Figure 17.6). It parses the XML returned by the server, and uses JavaScript to display it as needed on the Web page.

✔ Tips

- The names of the functions and parameters shown here were created by me; they are not required names. The one exception is the XMLHttpRequest() function. It and its properties must be named as shown.
- The examples shown here can be seen in action on my Web site at: www.kehogo.com/examples/wonders-ajax.html.
Ajax Examples

Ajax is not that new. In fact, the underlying concepts go back as far as 1996 (which, in Internet time, is a long time ago).

The term Ajax was actually first used in an essay by Jesse James Garrett in 2005. The essay, in conjunction with Google Lab’s Beta release of Google Suggest, is believed to have brought about the wider recognition of the Ajax concept. Here are some examples of Ajax in action.

Google Suggest

The idea behind Google Suggest (which has since become a built-in feature of Google’s standard search service), was to use Ajax to offer search suggestions, based on what was being typed. Using Ajax, each key press in the Google search field would be sent to Google’s server, and the data returned would be (typically) the most popular searches, based on the string of characters already typed (Figure 17.7).

Netflix: Star Ratings

Although not the first site to use Ajax for data submissions, Netflix (an online movie rental company) offers a star rating interface that has earned it accolades in the Web community.

As a Netflix member, you have the ability to rate every movie. Before you do so, each movie displays the average of all Netflix members’ ratings for that movie. The rating is displayed using red stars; the more stars shown, the higher the rating (Figure 17.8).

You can mouse over the stars to see their meanings (two stars: “Didn’t Like It”, four stars: “Really Liked It,” etc.). Then, by clicking on a specific star, you give the movie your rating. Upon your click, information is sent to the Netflix server via Ajax and the rating area is updated, all without causing the page to refresh. Now the movie displays your rating in yellow stars, instead of the average rating of all Netflix members (Figure 17.9).
Yahoo! Finance

In the previous examples, a user action triggered the Ajax data exchange. However, that is not always necessary.

In the case of the Yahoo! Finance stock quote page (Figure 17.10), and the quote pages on many other financial sites, the Ajax exchange is only one-way, from the server to the browser. The triggering event is a completed trade of the stock being viewed. (In some cases the data is delayed 20 minutes. And, in other cases, it’s real-time, but the functionality is the same.)

When a stock is traded, if any of the data reported on that stock (price, price movement, volume traded, etc.) has changed, it gets updated on the page. Once again, because of the use of Ajax, the change happens without the page needing to be refreshed.

On the Yahoo! Finance pages, there is a colored background rectangle that flashes behind the new data to indicate a change. The rectangle is green if the change in the data is positive, and red if the change is negative (Figure 17.11). This is true for all the data on the page, including the major market indices, such as the Dow and NASDAQ (Figure 17.12).

✔ Tip

It’s interesting to note that Ajax has become more of a concept, as opposed to a specific use of JavaScript and XML. In other words, Web developers are creating the same Ajax-like user experience, without using Ajax technologies. In some instances, JavaScript has been replaced with VBScript for the client-side functionality. At other times, iFrames have been used to send and receive data asynchronously between the browser and the server (Google Maps was initially launched using iFrames). And, in still other cases, the data sent back from the server can be anything from HTML to plain text, using no XML at all.
Chapter 17

RSS Basics

RSS (Really Simple Syndication) is a file format that allows Web sites to easily make their content available to readers, such as yourself. The content is packaged into what is called an RSS feed or RSS channel (Figure 17.13). To see this content, you subscribe to an RSS feed. Then, you can view the RSS feed using an RSS Reader or an RSS Aggregator.

RSS and its orange icon have become quite ubiquitous, showing up on everything from espn.com and nytimes.com, to practically anyone’s blog site. RSS allows you to subscribe to news articles (Figure 17.14), calendar events, blog postings, podcasts, and even newly uploaded photos called photostreams.

RSS Readers are everywhere as well. Besides the many readers you can purchase, or download for free, both Google and Yahoo! offer free RSS Readers of their own. Even the major Web browsers now have built-in RSS Readers, making it more convenient than ever to subscribe to and view RSS feeds (Figure 17.15). And once you’ve subscribed to an RSS feed, you won’t need to go back to the Web site that provides the feed. You can simply open your RSS Reader and view all the most up-to-date content from that site, based on the feed to which you subscribed.

The RSS specification has a 10+ year history, with different versions, including RSS 0.91, RSS 1.0, and RSS 2.0. Currently, the trend is moving toward RSS 2.0, and that’s what I’ll be focusing on in this section.

✔ Tip

■ A version of the RSS 2.0 specification can be found at: http://cyber.law.harvard.edu/rss/rss.html.

Figure 17.13 This is the RSS subscription page on the WWF Web site. Clicking the Climate Change link shows the content for that RSS feed, and gives the user an option to subscribe to it.

Figure 17.14 Subscribing to the Climate Change / Global Warming News RSS feed, I can use my own RSS reader, or the one built into most browsers today.

Figure 17.15 The view of the Global Warming News RSS feed, as seen in Internet Explorer 7’s RSS reader.
The RSS 2.0 format is specified using XML. This means that when writing an RSS document, all the rules about writing XML documents apply (see Chapter 1).

The root element of an RSS file is the rss element (rss is written in all lowercase, as XML is case-sensitive). It has a version attribute, and since I am writing for RSS 2.0, the value of the attribute must be “2.0” (Figure 17.16).

The rss element has one child element, called channel. It is a required element and contains information describing the RSS feed. It has three required child elements: title, link, and description (Figure 17.17). It also has a few optional child elements, including: category (which RSS Readers use to group feed content), and image (which is the URL of an image to be displayed when the feed is presented).

The most important child element of channel is the item element. Although technically optional, if there are no item elements, there is no content in the feed. The item element, like the channel element, has three required child elements: title, link, and description which describe the item content (Figure 17.18). As well, it has a number of additional, optional child elements including, enclosure (which points to a media file such as a video or audio file that is related to the item).

✔ Tip
- There is no formal namespace for RSS 2.0. This is to support backward compatibility so that a version 0.91 or 0.92 file is also a valid 2.0 file. However, individuals have written their own schemas based on the specification. Some examples can be found at: www.silmaril.ie/software/rss2.dtd and www.thearchitect.co.uk/schemas/rss-2_0.xsd.
Extending RSS

Since RSS is an XML format, it is inherently extensible. Additional XML schemas have been written, called RSS modules, taking advantage of this extensibility. These extensions, declared through XML namespaces, add functionality to RSS, without modifying its core structure.

It’s not enough, however, to just extend RSS. An RSS Reader must be aware of the extension and how to use the additional information. And, while new modules can be created, only the ones deemed interesting or significant will get developers to update their RSS Readers.

Here are three widely used extensions to RSS:

Media RSS module

Yahoo! Search developed an RSS module, called Media RSS. This module adds additional elements and attributes to better support multimedia files in RSS feeds (Figure 17.19).

- The namespace declaration for the Media RSS module is defined to be xmlns:media="http://search.yahoo.com/mrss/". Documentation about the module can be found at this URL as well.
- media:content is the primary element introduced by this module, and is typically a child of the RSS element item.
- It has many optional attributes, some of which are: url, type, height, width, medium, framerate, and duration.
- The module provides additional optional elements that are also typically children of item. Some of these are: media:title, media:description, media:keywords, media:credit, media:category, and media:copyright. Also, a few of these elements have attributes of their own.

Figure 17.19 This excerpt is from an RSS feed of pictures (a photostream) from a photo sharing Web site called flickr.com. The RSS file uses the Media RSS module to include additional information about the picture, such as photographer credits and a set of categories that are flickr tags.

Figure 17.20 This is the display of the RSS photo-stream feed, shown in Figure 17.19 above.

blogChannel RSS module

The very first RSS module available for extending RSS 2.0 was written by Dave Winer, one
Extending RSS

of the pioneers of RSS itself. The blogChannel RSS module adds new elements to RSS, providing additional functionality for bloggers and their readers.

◆ The namespace declaration for the blogChannel RSS module is defined to be xmlns:blogChannel="http://backend.userland.com/blogChannelModule". Documentation about the module can be found at this URL as well.

◆ The four new elements introduced by this module are children of the RSS channel element. They are: blogChannel:blogRoll, blogChannel:mySubscriptions, blogChannel:blink, and blogChannel:changes.

Podcasting and iTunes

A podcast, like any other RSS feed, is a syndicated group of files available for download or subscription (Figure 17.21). You can use a standard RSS Reader for a podcast feed (Figure 17.22), but most people use a podcasting client, the most popular of which is Apple's iTunes (Figure 17.23).

In addition to standard RSS, there is an iTunes Podcasting namespace that better supports listing and placement on the iTunes interface.

◆ The declaration for the iTunes Podcasting namespace is defined to be xmlns:itunes="http://www.itunes.com/dtds/podcast-1.0.dtd". Documentation about the namespace can be found at: www.apple.com/itunes/whatson/podcasts/specs.html.

◆ The new elements can often be children of both channel and item, some of which are: itunes:author, itunes:block, itunes:duration, itunes:explicit, itunes:category, itunes:subtitle, and itunes:summary.
SOAP and Web Services

SOAP stands for Simple Object Access Protocol. (Technically, with version 1.2, that definition was dropped, yet most people still use it anyway.) In either case, SOAP is an XML-based messaging framework. In the same way that a person can request a stock price or an item’s inventory from a server, SOAP supports server-to-server communication. Specifically, it allows for platform- and language-independent communication between different applications, typically running on different servers.

SOAP’s support of this type of interoperability has made it an important part of what the W3C calls a Web Service. A Web Service is a set of functions that can be accessed and executed over a network. While generic in its definition, a Web Service usually refers to the exchange of XML messages using the SOAP framework.

SOAP’s core functionality is to support this exchange of XML messages from one application to another. SOAP is a lightweight protocol because, for the most part, a SOAP message is basically an XML file in a SOAP wrapper. And, this wrapper, often referred to as the SOAP envelope (Figure 17.24), adds very little overhead to the messaging process.

The exchange of SOAP messages is most frequently done over the Internet via HTTP. A client application sends a SOAP message as an HTTP request, and the server sends back its SOAP message as an HTTP response. Because the SOAP message exchange works using HTTP, it allows for easier communication between computers on different networks than was previously possible. This is one of the biggest advantages of using SOAP over other remote communication frameworks.

✔ Tip

The SOAP Version 1.2 specification can be found at: www.w3.org/TR/soap12.

```xml
<?xml version="1.0"?>
<soap12:Envelope xmlns:soap12="http://www.w3.org/2003/05/soap-envelope">
  <soap12:Body>
    ...
  </soap12:Body>
</soap12:Envelope>
```

Figure 17.24 The SOAP wrapper, or envelope, is actually two elements: Envelope and Body. Notice that the Envelope element is qualified with the SOAP namespace prefix soap12.
Figure 17.25 This SOAP request message is calling the procedure sayHello and passing the name parameter with the value “Kevin.”

Figure 17.26 This SOAP message is the response to the request message in Figure 17.25 above. It is returning the result of the sayHello procedure, using the sayHelloResponse element.

**SOAP Message Schema**

The SOAP framework is based on the XML language, which means that all the rules about writing XML documents apply to SOAP messages. The root element of a SOAP message is the Envelope element (written in title case). It must declare the SOAP namespace, which defines the elements and attributes of a SOAP message. There is no standard namespace prefix, so I use `soap12:` (see Figure 17.24).

A SOAP message has an optional `Header` element which, if present, must be the first immediate child of the Envelope element. It allows application-specific communication between the client and the server, beyond the actual SOAP message itself.

The `Body` element is a required child element of the Envelope element and contains the actual SOAP message content. In a request message, the `Body` element’s children correspond to the operation being called, and its grandchildren correspond to the operation’s parameters (Figure 17.25). In a response message, the word “Response” is typically appended to the `Body` element’s children (the operation elements) and its grandchildren are the operation’s result values (Figure 17.26). The `Body` element must be the first, or second, child element of the Envelope element, depending on whether or not the `Header` element is present.

**Tips**

- Notice in Figures 17.25 and 17.26 that the descendant elements of the `Body` element are namespace-qualified using the URI: `http://www.kehogo.com/ns/hello`. This will often be the case, as the elements of your Web Service will likely not belong to the SOAP namespace itself.

- The SOAP-based Web Service shown in these examples can be found on my Web site at: `http://www.kehogo.com/examples/hello_world.asmx`. 
WSDL

WSDL or Web Services Description Language, is an XML language for describing how to interface with Web Services. Where SOAP provides the message exchange framework for a Web Service, WSDL (often pronounced “wizdel”) documents the messages that can be sent.

WSDL is not needed for the exchange of Web Service messages—this can happen using SOAP exclusively. However, with WSDL, requesting applications are given technical information about the Web Service which supports an easier, more automated, and less error prone exchange.

WSDL Schema

A WSDL document is an XML document, and its root element is definitions (written in all lowercase). You’ll need to declare the WSDL namespace and its binding namespace for SOAP. You may also need to declare the XML Schema namespace, and the namespace in which you have defined the elements for your Web Service (Figure 17.27).

The definitions element has five major child elements (in sequence): types, message, portType, binding, and service. The center hub of them all is the portType element. It describes the available operations and the messages each expects (Figure 17.28). It is the equivalent of a description of the application’s library, and each operation contains the equivalent of a list of specific function calls.

The types and message elements work hand in hand (Figure 17.29). The message element identifies the messages each operation expects, and the parameters each message will contain. These parameters reference the elements defined for your Web Service, and their definitions are found in the types element.

The binding element defines the transport protocol of the SOAP message exchange (which is typically done via HTTP, but can be done via SMTP, FTP, or other transport protocols).
Then, for each named operation, you define how the messages appear inside the SOAP body element. For example, use="literal" means to use the schema-defined elements from the WSDL types element (Figure 17.30).

Finally, the service element puts together the pieces of the Web Service by connecting the portType, defined in Figure 17.28, with the binding, defined in Figure 17.30. And, it identifies the public URI of the Web Service itself (Figure 17.31).

**UDDI**

The final part of what are considered to be the three standards of a Web Service is called UDDI (*Universal Description, Discovery, and Integration*). It was written as an XML-based registry of SOAP-based Web Services, and provides each service’s corresponding WSDL file to applications requesting such information.

A public registry called the UDDI Business Registry (UBR) was announced in September 2000. It was created as a proof of concept, with the intention of improving the UDDI specification, as well as the applications that used it.

In January 2006, major supporters of the UBR announced that they would no longer publish to the registry. While still providing Web Services internally and to clients, these organizations felt that the UBR had served its purpose, and it has since become obsolete.

**Tips**

- The WSDL file from these examples (and its corresponding SOAP Web Service) can be found on my Web site at: [www.kehogo.com/examples/hello_world.wsdl](http://www.kehogo.com/examples/hello_world.wsdl).
- These pages have used WSDL Version 1.1. Its specification is at: [www.w3.org/TR/wsdl](http://www.w3.org/TR/wsdl), and its XML Schema is at: [http://schemas.xmlsoap.org/wsdl/](http://schemas.xmlsoap.org/wsdl/). In June 2007, the W3C released version 2.0, and its adoption success has yet to be determined.
KML Basics

KML (Keyhole Markup Language) is an XML markup language for annotating maps using placemarks, polygonal shapes, paths, descriptions, and the like. It was initially developed for use with Google Earth (an application often run on your local computer) (Figure 17.32). Since then, it has been adopted for use by many other map-related applications.

Annotating a map using KML (like an XML file) can be done by hand in an XML editor. It’s more likely, however, that you would generate a KML file by using one of the KML mapping tools. You would do this by first annotating a map in Google Earth or Google Maps online at: http://maps.google.com/ (Figure 17.33). Then, you would copy the KML generated by the tool to a text editor and save the file with a .kml extension. If you prefer, you can edit that file to gain even more control over the annotation elements that were generated by the tool.

There are other applications that use KML. For example, you can geotag (add geographic information to something) your photos on the photo sharing site, flickr.com. Then you can share those photos using KML. When this KML file is viewed, each photo that you geotagged would be placed in that location on the map (Figure 17.34).

✔ Tips

- You can download a copy of Google Earth from: http://earth.google.com/.
- KML Version 2.2 is an official standard of the OGC (Open Geospatial Consortium), an international standards organization similar to the W3C. You can read about this version of KML and download the specification at: www.opengeospatial.org/standards/kml.
A Simple KML File

The root element of a KML file is the kml element (written in all lowercase). As part of the root element, the kml namespace is declared, and is typically done without the kml: prefix.

Placemarks

The most common annotation used with kml files is a placemark. The most common placemark is a pushpin graphic marking a location. When used in this manner, the Placemark element will often have the child elements: name, and Point (Point is the longitude, latitude, and altitude above the surface of the placemark on the map) (Figure 17.35).

Placemarks can also be styled using a styleURL element, which can refer to the URL of a kml style document, or an inline style defined with a Style element. In either case, the Style element will have child elements for each type of object it is styling, such as IconStyle or PolyStyle (which is used below). Within each object style, there can be child elements for color, scale, icon, and others.

In addition to the pushpin, placemarks can also be lines, polygonal shapes, and even 3D objects. A polygonal shape element (Polygon), must have an outer boundary child element (outerBoundaryIs), which contains the longitude, latitude, and altitude of a minimum of four points, thereby creating a closed shape. And, as noted above, polygons can be styled using the PolyStyle element (Figure 17.37).

✔ Tips

- The XML Schema for the KML language can be found at: http://schemas.opengis.net/kml/2.2.0/ogckml22.xsd.
- A detailed KML file of all the wonders can be found at: www.kehogo.com/examples/wonders.kml. You can view it in Google Maps, or you can type this URL directly into the Google Maps search field.
**ODF and OOXML**

Both ODF (Open Document format) and OOXML (Office Open XML) are file formats for office productivity documents, such as spreadsheets, presentations, word processing, and more. They were both started at large corporations, and have since been published as open standards by organizations, like the W3C.

Both standards create a separation between content and presentation, and store these elements in separate files. Consequently, a single document generated by either format is actually compressed and contains multiple files and folders. Besides binary data, such as images and audio, the format for these files is XML.

The fact that office productivity applications can store their data as XML is a monumental change. Instead of the proprietary formats used just a few years ago, this data is now stored in an open, platform-independent format. This provides greater accessibility to the underlying data, and opens up the possibility of creating other complementary tools and applications.

**ODF**

In 2002, Sun Microsystems began working with OASIS (an international standards organization) to create an open standard based on the XML format used by OpenOffice.org (an open source office productivity suite). In 2005, ODF was approved as an OASIS standard, and in 2006, it became an ISO (International Organization for Standardization) standard.

ODF packages its files and folders using the JAR file format. Besides data files, each document’s information is stored in one of a few XML files, with `content.xml` being the file that contains the actual content (Figure 17.39).

There are many applications that support the ODF standard. Of course, OpenOffice.org’s default format is ODF. As well, Lotus Symphony, WordPerfect, and Google Docs all have extensive support for the standard.
Ajax, RSS, SOAP, and More

In 2005, Microsoft announced that it would work with Ecma International (a standards organization) to create an open standard based on the XML format used with the Office 2003 suite. In 2006, OOXML was approved as an Ecma standard (a 6,000 plus page specification!), and in 2008, it became an ISO standard.

OOXML packages its files and folders using the ZIP file format. Unlike ODF, each document's information is stored in differently named XML files, based on the custom markup language in which it was written, such as WordProcessingML (Figure 17.40), SpreadsheetML, PresentationML, and others.

There are many applications on the market that support OOXML. Of course, it is Office 2007's default format. WordPerfect has extensive support for OOXML, and Apple's iWork suite offers read-only support. There is also OpenXML Writer, an open source text editor created specifically for working with OOXML.

Comparison and Controversy

There is controversy over the process by which OOXML became an ISO standard. You can search online and find different opinions from each of the standard's camps. As well, you will find information about which standard will “win,” or if there will be a winner at all.

Many think that because of OOXML's strong tie to Microsoft Office, ODF has a long row to hoe. Others think that OOXML's specification is so bloated (nearly eight times longer than ODF’s), that creating compliant applications and tools is simply too cumbersome. To complicate matters, earlier this year, Microsoft announced that it would add native support for ODF in Office 2007’s upcoming Service Pack.

Regardless of the outcome, with their underlying data model changing to XML, productivity applications are clearly entering a new era in their product lifecycle.
**eBooks, ePub, and More**

In 1971, Michael Hart began making available free, electronic text copies of public domain books, including the Bible and the works of Shakespeare and Mark Twain. Since 1971, Hart’s vision (*Project Gutenberg*) has accumulated more than 25,000 free electronic books.

Electronic books (also referred to as eBooks or e-Books), are books that use electronic files instead of paper. eBooks can be read on personal computers or special eBook readers, which have features such as “dog-earring” pages, highlighting book content, and looking up words in an included dictionary. And, while the market for eBooks is nothing compared to the market for paper books, the industry is nevertheless growing rapidly.

**ePub**

Besides plain text, eBooks can be published in many different formats. And, the format war has certainly begun. One format that has gained large support in the electronic publishing industry is *ePub*. Its specification is an open standard of the IDPF, the industry’s standards organization. As an XML-based format, *ePub* uses XHTML for the book’s content, and XML for the book’s structure, table of contents, etc. Also, like the office productivity formats, these files are then compressed using a ZIP format for final delivery.

A compressed *ePub* file contains a few required files, and one required folder. The first required file must be named *mimetype*, and must contain the exact single line of text shown in Figure 17.41, describing the MIME type of the *ePub* file. It literally must be the first file in the compressed *ePub* file, or the *ePub* file will not be considered valid.

The one required folder is named *META-INF*, and it must contain an XML file named *container.xml* (Figure 17.42). Its purpose is to tell the eBook reader where to find the

---

**Figure 17.41** The contents of the *mimetype* file. This file never changes, and must always be the first file in the compressed *ePub* file.

```xml
<?xml version="1.0"?>
<container version="1.0" xmlns="urn:oasis:names:tc:opendocument:xmlns:container">
<rootfiles>
<rootfile full-path="content.opf" media-type="application/oebps-package+xml"/>
</rootfiles>
</container>
```

**Figure 17.42** This is the *container.xml* file. The *rootfile* element identifies the path to the file that describes the eBook’s structure. Although you can change its content (unlike the *mimetype* file), unless you choose to reorganize the remaining files, there’s really no purpose in doing so.
The file referred to in container.xml that describes the eBook’s structure is often called content.opf. It is written according to the second of ePub’s three sub-specifications, the OPF (Open Package Format). This .opf file is required and has the following elements: metadata (containing metadata about the eBook), manifest (containing a list of all the files in the ePub compressed file), and spine (containing the order in which the files are to be presented) (Figure 17.43).

In most cases, there is also an .ncx file, which contains the table of contents. It is referred to by the .opf file in both the manifest and the spine’s toc attribute. It contains elements for the document title and author, as well as a navMap element, which describes the content’s play order (Figure 17.44).

The final required file is the eBook’s content itself, which is governed by ePub’s third sub-specification, the OPS (Open Publication Structure). This can be a single file with bookmarks concluding each chapter, or each chapter can be in a separate file. The content is typically written in XHTML Version 1.1 (without forms, server-side image maps, events, and scripting), and can use a subset of CSS 2.1.

✔ Tip
■ The ePub format is an open standard comprised of three other IDPF standards. Information about all three standards can be found at: www.idpf.org/2007/ops/OPS_2.0_final_spec.html.
Tools for XML in Practice

Besides an XML editor and a browser, there are some other tools that will be useful in working with this chapter’s examples. Note: When it comes to creating your own examples, this list is inadequate. So, unless you like to tinker, I recommend finding a book or an online tutorial.

Ajax

To see Ajax in action, go to the examples listed in the book, or refer to the ones on my Web site. If you want to edit the examples, or create some of your own, you’ll need an HTML/JavaScript editor. You’ll also need a Web server on which to run the HTML and JavaScript that you create. Using a scripting language (such as .asp) is not required, but it is usually how the server-side script is created.

RSS

To view RSS at work, you can use your browser’s built-in RSS Reader (most current browsers have one). You could also use the Yahoo! (http://my.yahoo.com/) or Google (www.google.com/ig) custom Home pages, or simply download an RSS Reader from the Internet.

If you want to create an RSS feed of your own, you’ll need an XML editor to start. You’ll also need a Web server on which to serve your RSS feed. You’ll probably want to use one of the book’s examples as a starting point (or a feed you can find online), and edit that. When you think you’re ready, you can validate your feed at: http://aggregator.userland.com/validator.

SOAP and WSDL

To experience SOAP or WSDL, you’ll need a client application. Some of the XML editors listed in Appendix A support SOAP/WSDL. You could also use a free online tool, such as www.soapclient.com/soaptest.html. Then, use the examples on the book’s companion Web site.

To create a Web Service, I used the Microsoft .NET Web Service template and then modified
it using an editor. Other scripting languages provide Web Service templates as well.

**KML**

To view the results of a KML file, download Google Earth at: [http://earth.google.com/](http://earth.google.com/). Then, use the examples on my Web site.

If you want to edit my examples, or create some of your own, you can use Google Maps, Google Earth, or edit directly in an XML editor.

**ODF and OOXML**

To see the inner workings of an ODF or an OOXML file, you’ll need to create a document in that format. For ODF, one option is to use the productivity suite at [www.openoffice.org/](http://www.openoffice.org/). For OOXML, some options include Microsoft Office 2007, or OpenXML Writer at [www.openxml.biz/OpenXMLWriter.html](http://www.openxml.biz/OpenXMLWriter.html).

Once you’ve created a file in either format, rename the file’s extension to `.zip`. Then, open that file using a ZIP application. When opened, you will see that it contains a number of XML files as described in this chapter, and you can extract and view them all as you like.

**ePub**


To see the inner mechanics of an ePub file (just as with files in the ODF and OOXML formats), rename it with a `.zip` extension and open it using a ZIP application to see its contents. You can extract and view any of the component files. You can also edit any file and see your changes in an eBook reader. To do so, after editing, recompress all the ePub’s contents with a ZIP application, and then rename the compressed file with an `.ePub` extension.
This page intentionally left blank
This page intentionally left blank
When the first edition of this book was written, many people were writing XML using simple text editors, such as Notepad for Windows, and TextEdit for the Mac. Then, in order to validate or transform their XML, they were using command-line or Web-based applications, neither of which were necessarily easy to use or easy to fit into a business workflow.

Luckily, things have changed. For starters, the current Web browsers (including Mozilla Firefox, Internet Explorer, Opera, and Safari), have support for XML and XSLT. You also have the option to choose from dozens of XML editors that you can download from the Internet and use right now. Many of these editors are free to use, and some of the free ones are actually very good.

Most of the XML editors today can validate your XML using both DTD and XML Schema, and process your XML with XSLT style sheets. Also, most have additional features, including support for XSLT 2.0 / XPath 2.0, XSL-FO, XQuery, and more.

This appendix is not an exhaustive list of the XML editors or tools available today. And, since it’s certainly possible that a good editor or tool was overlooked, or one has recently been released, I will keep a running list of editors and tools on the companion Web site for your reference.
XML Editors

The minimum requirements to include an XML editor in this list are as follows: be able to check for well-formed XML; validate against both a DTD and an XML Schema; perform an XSLT transformation; and support the Unicode character set (for the Greek text in the examples). There are a few other excellent XML editors, listed on page 248, if none of these are well-suited for you.

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<td>Yes³</td>
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<td>XSL-FO Support</td>
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<td>Yes</td>
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<td>XSLT 2.0 / XPath 2.0 Support</td>
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<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<td>XQuery 1.0 Support</td>
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<tr>
<td>SOAP / WSDL Support</td>
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<td>No</td>
<td>Yes</td>
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<tr>
<td>Auto-completion</td>
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<td>Yes</td>
<td>Yes</td>
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<td>Format Document</td>
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<td>Yes</td>
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<td>Collapse / Expand XML</td>
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<td>No</td>
<td>Yes</td>
<td>Yes</td>
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<td>Search &amp; Replace:</td>
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<td></td>
<td></td>
<td></td>
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<td>♦ Basic</td>
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<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
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<td>♦ Multiple Documents</td>
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<td>Yes</td>
<td>Yes</td>
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<td>♦ Within Folders</td>
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<td>Yes</td>
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<td>Grid / Tree View of Content</td>
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<td>Auto-creation of DTD</td>
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<td>Yes</td>
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<tr>
<td>Auto-creation of XML Schema</td>
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<td>Convert DTD to XML Schema</td>
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<td>Yes</td>
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<td>Generate Sample from DTD</td>
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<td>Yes²</td>
<td>Yes</td>
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<tr>
<td>Generate Sample from XML Schema</td>
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<td>Yes</td>
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<tr>
<td>New File Templates</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

1. The application should compile from the source code.
2. The retail versions all have free trial periods.
3. These features are only available in the retail version.
### XML Copy Editor
**URL:** [http://xml-copy-editor.sourceforge.net](http://xml-copy-editor.sourceforge.net)

**OS Support:** Windows, Unix / Linux, Macintosh (should compile from source code)

**Version:** 1.2.0

**Free Version:** Yes

**Additional Features:**
- Can handle files >10MB at an appropriate speed.
- Import / export Microsoft Word
- XML Tag locking
- RELAX NG validation
- Background validation

### Altova XMLSpy
**URL:** [www.altova.com/xmlspy](http://www.altova.com/xmlspy)

**OS Support:** Windows

**Version:** 2008, Release 2

**Free Version:** No (retail version has free trial)

**Additional Features:**
- Open XML / Open Document support
- XML file compare
- WSDL editor and SOAP client /debugger
- XQuery editor / debugger / profiler
- XSLT 1.0/2.0 editor / debugger / profiler
- RELAX NG validation
- Relational / XML database integration
- For more info: [www.altova.com/matrix_x.html](http://www.altova.com/matrix_x.html)

### EditiX XML Editor
**URL:** [www.editix.com](http://www.editix.com)

**OS Support:** Windows, Unix / Linux, Macintosh

**Version:** 2008, Service Pack 5

**Free Version:** Yes (and retail version)

**Additional Features:**
- Open XML / Open Document support
- XML file compare
- DTD / XML Schema documentation generator
- XPath builder / editor
- XSLT editor / debugger
- For more info: [www.editix.com/features.html](http://www.editix.com/features.html)

### oXygen XML Editor
**URL:** [www.oxygenxml.com](http://www.oxygenxml.com)

**OS Support:** Windows, Unix / Linux, Macintosh

**Version:** 9.3

**Free Version:** No (retail version has free trial)

**Additional Features:**
- Open XML / Open Document support
- XML file compare
- WSDL editor and SOAP client /debugger
- XQuery editor / debugger / profiler
- XSLT 1.0/2.0 editor / debugger / profiler
- RELAX NG validation
- Relational / XML database integration
- For more info: [www.oxygenxml.com/feature_matrix.html](http://www.oxygenxml.com/feature_matrix.html)
Additional XML Editors

**XMLwriter XML Editor**
- **URL:** [www.xmlwriter.net](http://www.xmlwriter.net)
- **OS Support:** Windows
- **Version:** 2.7
- **Free Version:** No (retail version has free trial)
- **Additional Features:**
  - For more info: [www.xmlwriter.net/xmlwriter/features.shtml](http://www.xmlwriter.net/xmlwriter/features.shtml)

**WMHelp XMLPad**
- **URL:** [www.wmhelp.com/xmlpad3.htm](http://www.wmhelp.com/xmlpad3.htm)
- **OS Support:** Windows
- **Version:** 3.0.2a
- **Free Version:** Yes
- **Additional Features:**
  - For more info: [www.wmhelp.com/xmlpad32.htm](http://www.wmhelp.com/xmlpad32.htm)

**Stylus Studio**
- **URL:** [www.stylusstudio.com](http://www.stylusstudio.com)
- **OS Support:** Windows
- **Version:** Release 2
- **Free Version:** No (retail version has free trial)
- **Additional Features:**
  - For more info: [www.stylusstudio.com/xml_feature_overview.html](http://www.stylusstudio.com/xml_feature_overview.html)

**XMLmind XML Editor**
- **URL:** [www.xmlmind.com/xmleditor](http://www.xmlmind.com/xmleditor)
- **OS Support:** Windows, Unix / Linux, Macintosh
- **Version:** 4.1
- **Free Version:** Yes (and retail version)
- **Additional Features:**
  - For more info: [www.xmlmind.com/xmleditor/features.html](http://www.xmlmind.com/xmleditor/features.html)

**Liquid XML Studio**
- **URL:** [www.liquid-technologies.com](http://www.liquid-technologies.com)
- **OS Support:** Windows
- **Version:** 2008 (v6)
- **Free Version:** Yes (and retail version)
- **Additional Features:**
  - For more info: [www.liquid-technologies.com/Product_XmlStudio_Features.aspx](http://www.liquid-technologies.com/Product_XmlStudio_Features.aspx)
XML Tools and Resources

This list of XML tools is just a sampling of what you can find by searching the Web. The specifications are listed in the order in which they are discussed in the book.

Validation and Conversion Tools

◆ XML Validator
  www.stg.brown.edu/service/xmlvalid/

◆ DTD Validator
  www.validome.org/grammar

◆ XML Schema Validator
  www.w3.org/2001/03/webdata/xsv

◆ Convert XML to DTD / XML Schema;
  Convert DTD to XML Schema
  www.hitsw.com/xml_utilities/

Specifications

◆ XML 1.0
  www.w3.org/TR/xml/

◆ XSLT 1.0
  www.w3.org/TR/xslt

◆ XPath 1.0
  www.w3.org/TR/xpath

◆ XSL-FO (the same as XSL 1.1)
  www.w3.org/TR/xsl/

◆ DTD (within the XML spec)
  www.w3.org/TR/xml/

◆ XML Schema
  www.w3.org/TR/xmlschema-0/

◆ XML Namespaces
  www.w3.org/TR/xml-names/

◆ XSLT 2.0
  www.w3.org/TR/xslt20/

◆ XPath 2.0
  www.w3.org/TR/xpath20/

◆ XQuery 1.0
  www.w3.org/TR/xquery/
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Character Sets and Entities

An XML document may contain any character from the entire Unicode character set. This character set (equivalent to the ISO/IEC 10646 standard) is a universal character set (UCS), and represents nearly all the characters for all known world languages today.

In most cases, you can simply type a character into an XML document, and it will display as expected. However, if you want to use any accents, foreign language characters, or special symbols, this may not be the case. That’s because not all computer applications store character information in the same way.

The method of storing the characters from a character set is called character encoding. And, if your XML document and the application displaying it do not use the same character encoding, then what you type may not be what is displayed. To avoid this, you can specify the character encoding of your document. Then, if the displaying application supports that encoding, the character will display as expected.

If this doesn’t work, there are two other ways to have the character represented correctly. One is to use NCRs (numeric character references), which are short sequences of numbers that represent Unicode characters. For example, `&916;` represents the Greek letter Δ (Delta).

Another way is to use entities, which are unique “words” that represent Unicode characters. In XML, there are five predefined entities (see page 14), such as `&gt;` which creates > (a greater than sign). Besides those options, entities can be created by using a DTD (see Chapter 7).
Specifying the Character Encoding

Although all XML documents use the Unicode character set, the character encoding used by an XML document is not predetermined.

To specify the character encoding:

1. After the version in the XML declaration, type `encoding=`. 
2. Then, type "char_enc", where `char_enc` is the character encoding you want for your XML document (Figure B.1).

Character Encodings

- **ASCII**: In 1963, the *American Standard Code for Information Interchange* was published. It mapped the English alphabet, digits, punctuation, and other symbols (including a set of non-printable characters) to the values from 0 to 127. This enabled ASCII encoding to be stored in seven bits of a byte of computer memory.
- **ANSI**: The *American National Standards Institute* code standard extended ASCII with European language characters. Note: Windows “ANSI” refers to a Microsoft character set, not an ANSI standard.
- **ISO-8859-1**: The *International Organization for Standardization*, together with the *International Electrotechnical Commission*, also extended ASCII with additional characters. The standard is divided into different parts representing different language groups such as ISO-8859-1 (Latin-1/Western European), ISO-8859-5 (Latin/Cyrillic), ISO-8859-8 (Latin/Hebrew), and others.
- **UTF-8**: The 8-bit *Unicode Transformation Format* is a character encoding that can represent any character in the Unicode character set by using one to four bytes, as necessary. Note: UTF-16 also represents any character in the Unicode character set, except that it uses 16-bit “words” instead.
Using Numeric Character References

By design, Unicode shares its first 127 characters with ASCII. This means that any ASCII character can be typed directly into your XML document from the keyboard of any system.

Any Unicode character beyond 128 may also be typed, but then you may run into character encoding problems. Instead, you can use a numeric character reference to put that character into your document.

To use a (decimal) numeric character reference:

1. Type `&#`.  
2. Then, type `n;`, where `n` is the decimal number that corresponds to the desired Unicode character (Figure B.2). (See Tip below for a list of all Unicode characters.)

To use a (hexadecimal) numeric character reference:

1. Type `&#x`. (Note the addition of the “x”.)  
2. Then, type `h;`, where `h` is the hexadecimal number that corresponds to the desired Unicode character.

✔ Tips

- NCRs will translate into their underlying Unicode numbers (also called code points), regardless of the XML document’s character encoding setting (Figure B.3).
- For a list of every Unicode character’s code point, go to: www.unicode.org/charts.
- Consult the table on for a list of the Unicode code points corresponding to some common European language characters, along with some common symbols.
- To convert a decimal NCR back into Unicode, you can type it into Google’s search field and simply click “Search.”
Using Entity References

XML has five predefined entities for characters that have specific meanings. They are:

- `&` (for an ampersand character: &)
- `<` (for a less than sign: <)
- `>` (for a greater than sign: >)
- `"` (for a double quotation mark: ”)
- `'` (for a single quotation mark or apostrophe: ’).

Without these entities, the intended use of each character in an XML document could be easily misconstrued.

You can also declare your own entities using DTDs, as discussed in Chapter 7. Moreover, you can use the set of entities defined for HTML and XHTML by using a public DTD reference, or by downloading the files from www.w3.org/TR/xhtml1/#h-A2 and incorporating them into your DTD (Figure B.4).

To use an entity reference:

1. Type `&`.
2. Then, type `ent_name;`, where `ent_name` is the name of the entity that corresponds with the desired Unicode character (Figure B.5).

✔ Tips

- Entity references will translate into their underlying Unicode code points, regardless of the XML document’s character encoding setting (Figure B.6).
- Public DTD references are not supported in all browsers.
- Although the set of HTML / XHTML entities is large, it is not nearly large enough to represent the entire Unicode character set.

---

**Figure B.4** After downloading xhtml-symbol.ent from the W3C, I have incorporated it into my DTD.

```xml
<!ENTITY % HTMLsymbol SYSTEM "xhtml-symbol.ent">
%HTMLsymbol;
<!ELEMENT ancient_wonders (wonder+)>
...
```

**Figure B.5** In this XML excerpt, I used XHTML entities for most of the characters in the Colossus of Rhodes' Greek name. However, there are no entities defined for the ο character (omicron with tonos), so I used the numeric character reference `&#972;` instead.

```xml
<?xml version="1.0"?>
<!DOCTYPE ancient_wonders SYSTEM "B-03.dtd">
<ancient_wonders>
  <wonder>
    <name language="English">Colossus of Rhodes</name>
    <name language="Greek">
      Κολοσσὸς της Ρόδου
    </name>
    <location>Rhodes, Greece</location>
  </wonder>
...</xml>
```

---

**Figure B.6** There is no character encoding specified in the XML document in Figure B.5. In that case, the XML processor sets the character encoding based on its own configuration. Regardless, the entity references display just fine.
Unicode Characters

Here is a table of some interesting Unicode characters, their numeric character references (NCRs), and their XHTML entity references. This table shows only a fraction of the total XHTML entity references, and less than one-tenth of one percent of the total Unicode character set. A set of PDF charts covering the entire Unicode character set can be found at [www.unicode.org/charts/](http://www.unicode.org/charts/).

<table>
<thead>
<tr>
<th>Unicode Character</th>
<th>NCR (Decimal)</th>
<th>NCR (Hexadecimal)</th>
<th>Entity Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>à</td>
<td>à</td>
<td>&amp;#x00E0;</td>
<td>&amp;agrave;</td>
</tr>
<tr>
<td>á</td>
<td>á</td>
<td>&amp;#x00E1;</td>
<td>&amp;acute;</td>
</tr>
<tr>
<td>â</td>
<td>â</td>
<td>&amp;#x00E2;</td>
<td>&amp;acirc;</td>
</tr>
<tr>
<td>â</td>
<td>ã</td>
<td>&amp;#x00E3;</td>
<td>&amp;atilde;</td>
</tr>
<tr>
<td>ä</td>
<td>ä</td>
<td>&amp;#x00E4;</td>
<td>&amp;uml;</td>
</tr>
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<td>å</td>
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</tr>
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<td>&amp;#x00FB;</td>
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</tr>
<tr>
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<td>&amp;#x00FC;</td>
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<table>
<thead>
<tr>
<th>Unicode Character</th>
<th>NCR (Decimal)</th>
<th>NCR (Hexadecimal)</th>
<th>Entity Reference</th>
</tr>
</thead>
<tbody>
<tr>
<td>α</td>
<td>&amp;#945;</td>
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</table>
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The elements and attributes of the XML languages defined throughout the book are listed alphabetically for easy reference. We have chosen to leave off the namespace prefixes (xs1:, xsd:, etc.) so that the elements and attributes can be easily found alphabetized by name. For example, you’ll find the xs1:apply-templates element under the letter “A,” listed as apply-templates. We made this choice because (although there are standard prefixes) the namespace prefixes that people use may not necessarily be the same, or may not be used at all (see Part 5).

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