

FINAL  
DRAFT

INTERNATIONAL  
STANDARD

ISO/IEC  
FDIS  
19757-3

ISO/IEC JTC 1/SC 34

Secretariat: JISC

Voting begins on:  
2020-03-10

Voting terminates on:  
2020-05-05

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## Information technology — Document Schema Definition Languages (DSDL) —

### Part 3: Rule-based validation using Schematron

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Reference number  
ISO/IEC FDIS 19757-3:2020(E)

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Published in Switzerland

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## Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular, the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see [www.iso.org/directives](http://www.iso.org/directives)).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see [www.iso.org/patents](http://www.iso.org/patents)).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation of the voluntary nature of standards, the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the World Trade Organization (WTO) principles in the Technical Barriers to Trade (TBT) see [www.iso.org/iso/foreword.html](http://www.iso.org/iso/foreword.html).

This document was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 34, *Document description and processing languages*.

This third edition cancels and replaces the second edition (ISO/IEC 19757-3:2016), which has been technically revised.

The main changes compared to the previous edition are as follows:

- query language bindings have been added for XSLT 3.0 ([Annex J](#)) and XPath 3.0 ([Annex K](#));
- annexes pertaining to XPath and XSLT query language bindings ([Annexes H to K](#)) are now all normative, while those for EXSLT ([Annex L](#)) and STX ([Annex M](#)) remain informative.

A list of all parts in the ISO/IEC 19757 series can be found on the ISO website.

Any feedback or questions on this document should be directed to the user's national standards body. A complete listing of these bodies can be found at [www.iso.org/members.html](http://www.iso.org/members.html).

## Introduction

ISO/IEC 19757 (all parts) defines a set of Document Schema Definition Languages (DSDL) that can be used to specify one or more validation processes performed against Extensible Markup Language (XML) or Standard Generalized Markup Language (SGML) documents. [XML is an application profile SGML (see ISO 8879).]

A document model is an expression of the constraints to be placed on the structure and content of documents to be validated with the model. A number of technologies have been developed through various formal and informal consortia since the development of Document Type Definitions (DTDs) as part of ISO 8879, notably by the World Wide Web Consortium (W3C) and the Organization for the Advancement of Structured Information Standards (OASIS). A number of validation technologies are standardized in DSDL to complement those already available as standards or from the industry.

Through the validation that a structured document conforms to specified constraints in structure and content, the potentially many applications acting on the document are relieved from duplicating the task of confirming that such requirements have been met. Historically, such tasks and expressions have been developed and utilized in isolation, without consideration of how the features and functionality available in other technologies can enhance validation objectives.

The main objective of ISO/IEC 19757 (all parts) is to bring together different validation-related tasks and expressions to form a single extensible framework that allows technologies to work in series or in parallel to produce a single or a set of validation results. The extensibility of DSDL accommodates validation technologies not yet designed or specified.

In the past, different design and use criteria have led users to choose different validation technologies for different portions of their information. Bringing together information within a single XML document sometimes prevents existing document models from being used to validate sections of data. By providing an integrated suite of constraint description languages that can be applied to different subsets of a single XML document, ISO/IEC 19757 (all parts) allows different validation technologies to be integrated under a well-defined validation policy.

The structure of this document is as follows. [Clause 5](#) describes the syntax of an ISO Schematron schema. [Clause 6](#) describes the semantics of a correct ISO Schematron schema; the semantics specify when a document is valid with respect to an ISO Schematron schema. [Clause 7](#) describes conformance requirements for implementations of ISO Schematron validators. Annex A provides the ISO/IEC 19757-2 (RELAX NG) schema for ISO Schematron. [Annex B](#) provides the ISO Schematron schema for constraints in ISO Schematron that cannot be expressed by the schema of [Annex A](#). [Annex C](#) provides the default query language binding to XSLT1. Annex D provides an ISO/IEC 19757-2 (RELAX NG compact syntax) schema and corresponding ISO Schematron schema for a simple XML language Schematron Validation Report Language. [Annex E](#) provides motivating design requirements for ISO Schematron. [Annex F](#) specifies certain Schematron elements to be used in external vocabularies. [Annex G](#) provides a simple example of a multi-lingual schema. [Annexes H to M](#) provide query language bindings. [Annex N](#) shows example usage of Schematron properties.

This edition is backwards compatible with ISO/IEC 19757-3:2016, supersedes it and provides extra query language bindings, in particular for XSLT3.

Considered as a document type, a Schematron schema contains natural-language assertions concerning a set of documents, marked up with various elements and attributes for testing these natural-language assertions and for simplifying and grouping assertions.

Considered theoretically, a Schematron schema reduces to a non-chaining rule system whose terms are Boolean functions invoking an external query language on the instance and other visible XML documents, with syntactic features to reduce specification size and to allow efficient implementation.

Considered analytically, Schematron has two characteristic high-level abstractions: the pattern and the phase. These allow the representation of non-regular, non-sequential constraints that ISO/IEC 19757-2 cannot specify and various dynamic or contingent constraints.

This document is based on the Schematron<sup>[2]</sup> assertion language. The `let` element is based on XCSL<sup>[4]</sup>. Other features arise from the half-dozen early open-source implementations of Schematron in diverse programming languages and from discussions in electronic forums by Schematron users and implementers.

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# Information technology — Document Schema Definition Languages (DSDL) —

## Part 3: Rule-based validation using Schematron

### 1 Scope

This document specifies Schematron, a schema language for XML. This document establishes requirements for Schematron schemas and specifies when an XML document matches the patterns specified by a Schematron schema. Schematron uses query languages such as XPath for writing assertions.

### 2 Normative references

The following documents are referred to in the text in such a way that some or all of their content constitutes requirements of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

XPath<sup>1)</sup>, *XML Path Language (XPath) Version 1.0*, W3C Recommendation, 16 November 1999

XPath2<sup>2)</sup>, *XML Path Language (XPath) 2.0*, W3C Recommendation, 23 January 2007

XPath3<sup>3)</sup>, *XML Path Language (XPath) 3.0*, W3C Recommendation, 8 April 2014

XPath2 Functions<sup>4)</sup>, *XQuery 1.0 and XPath 2.0 Functions and Operators*, W3C Recommendation, 23 January 2007

XPath3 Functions<sup>5)</sup>, *XPath and XQuery Functions and Operators 3.0*, W3C Recommendation, 8 April 2014

XSLT1<sup>6)</sup>, *XSL Transformations (XSLT) Version 1.0*, W3C Recommendation, 16 November 1999

XSLT2<sup>7)</sup>, *XSL Transformations (XSLT) Version 2.0*, W3C Recommendation, 23 January 2007

XSLT3<sup>8)</sup>, *XSL Transformations (XSLT) Version 3.0*, W3C Recommendation, 8 June 2017

ISO/IEC 19757-2, *Information technology — Document Schema Definition Language (DSDL) — Part 2: Regular-grammar-based validation — RELAX NG*

### 3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

- 1) Available at <http://www.w3.org/TR/xpath>.
- 2) Available at <http://www.w3.org/TR/xpath20/>.
- 3) Available at <https://www.w3.org/TR/xpath-30/>.
- 4) Available at <http://www.w3.org/TR/xpath-functions/>.
- 5) Available at <https://www.w3.org/TR/xpath-functions-30/>.
- 6) Available at <http://www.w3.org/TR/xslt>.
- 7) Available at <http://www.w3.org/TR/xslt20/>.
- 8) Available at <https://www.w3.org/TR/xslt-30/>.

ISO and IEC maintain terminological databases for use in standardization at the following addresses:

- ISO Online browsing platform: available at <https://www.iso.org/obp>
- IEC Electropedia: available at <http://www.electropedia.org/>

### 3.1

#### **abstract pattern**

*pattern* (3.13) in a *rule* (3.18) that has been parameterized to enable reuse

### 3.2

#### **abstract rule**

collection of *assertions* (3.5) which can be included in other *rules* (3.18) but which does not fire itself

### 3.3

#### **active pattern**

*pattern* (3.13) belonging to the *active phase* (3.4)

### 3.4

#### **active phase**

*phase* (3.14) whose *patterns* (3.13) are used for validation

### 3.5

#### **assertion**

natural-language statement with associated *assertion test* (3.6) and ancillary attributes

### 3.6

#### **assertion test**

Boolean query

Note 1 to entry: An assertion test "succeeds" or "fails".

### 3.7

#### **Schematron schema**

document that satisfies all the requirements of this document

### 3.8

#### **diagnostic**

named natural language statements providing information to end-users of validators concerning the expected and actual values together with repair hints

### 3.9

#### **elaborated rule-context expression**

single *rule-context expression* (3.20) which explicitly disallows items selected by lexically previous *rule contexts* (3.19) in the same *pattern* (3.13)

### 3.10

#### **implementation**

implementation of a Schematron validator

### 3.11

#### **name**

mixture of name characters with a restricted set of initial characters

Note 1 to entry: See Production 5 of XML1.

### 3.12

#### **natural-language assertion**

natural-language statement expressing some part of a *pattern* (3.13)

Note 1 to entry: A natural-language assertion is "met" or "unmet".

**3.13****pattern**

unordered collection of *rules* (3.18) with an optional identifier and ancillary information

**3.14****phase**

named, unordered collection of *patterns* (3.13)

Note 1 to entry: Patterns may belong to more than one phase.

Note 2 to entry: Two strings, #ALL and #DEFAULT, are reserved with particular meanings.

**3.15****progressive validation**

validation of constraints in stages determined or grouped to some extent by the schema author rather than, for example, entirely determined by the document order

**3.16****property**

named data giving additional metadata on an *assertion* (3.5) or report

**3.17****query language binding**

named set, specified in a document called a Query Language Binding, of the languages and conventions used for *assertion tests* (3.6), *rule-context expressions* (3.20) and so on, by a particular Schematron implementation (3.10)

**3.18****rule**

unordered collection of *assertions* (3.5) with a *rule-context expression* (3.20) and ancillary attributes

**3.19****rule context**

element or other information item used for *assertion tests* (3.6)

Note 1 to entry: A rule is said to fire when an information item matches the rule context.

**3.20****rule-context expression**

query to specify *subjects* (3.21)

Note 1 to entry: A *rule context* (3.19) is said to match an information item when that information item has not been matched by any lexically-previous rule-context expressions in the same *pattern* (3.13) and the information item is one of the information items that the query would specify.

**3.21****subject**

particular information item which corresponds to the object of interest of the *natural-language assertions* (3.12) and typically is matched by the context expression of a *rule* (3.18)

**3.22****valid**

<schema> passing all *assertion tests* (3.6) in fired *rules* (3.18) of *active patterns* (3.3)

**3.23****variable**

constant value, represented by a *name* (3.11), evaluated within the parent schema, *phase* (3.14), *pattern* (3.13) or *rule* (3.18) and scoped within the parent schema, phase, pattern or rule

## 4 Notation

This document uses XPath to identify information items, to the extent that items in the XPath data model can be derived from those defined by XML Infoset, in Schematron schemas.

## 5 Syntax

### 5.1 Well-formedness

A Schematron schema shall be a well-formed XML document, according to the version of XML used.

### 5.2 Namespace

All elements shown in the grammar for Schematron are qualified with the namespace URI [IRI]:

<http://purl.oclc.org/dsdl/schematron>

In subsequent clauses, the prefix `sch` is taken as bound to the Schematron namespace URI for exposition purposes. The prefix `sch` is not reserved or required by this document. Any element can also have foreign attributes in addition to the attributes shown in the grammar. A foreign attribute is an attribute with a name whose namespace URI is neither the empty string nor the Schematron namespace URI. Any non-empty element may have foreign child elements in addition to the child elements shown in the grammar. A foreign element is an element with a name whose namespace URI is not the Schematron namespace URI. There are no constraints on the relative position of foreign child elements with respect to other child elements.

### 5.3 Whitespace

Any element can also have children strings that consist entirely of whitespace characters, where a whitespace character is one of U+0020, U+009, U+00D or U+00A. There are no constraints on the relative position of whitespace string children with respect to child elements.

Leading and trailing whitespace should be stripped from attributes defined by this document. Whitespace should be collapsed in elements defined by this document that allow text. Whitespace may be stripped from elements defined by this document that do not allow text.

### 5.4 Core elements

#### 5.4.1 General

A Schematron schema shall follow the grammar given in [Annex A](#).

For information on the use of Schematron elements in external vocabularies, see [Annex F](#).

#### 5.4.2 active element

The required `pattern` attribute is a reference to a pattern that is active in the current phase.

#### 5.4.3 assert element

This element indicates an assertion made about the context nodes. The data content is a natural-language assertion. The required `test` attribute is an assertion test evaluated in the current context. If the test evaluates positive, the assertion succeeds. The optional `diagnostics` attribute is a reference to further diagnostic information.

The natural-language assertion shall be a positive statement of a constraint.

The `icon`, `see` and `fpi` attributes ([5.5.7](#), [5.5.12](#) and [5.5.6](#)) allow rich interfaces and documentation.