



W3C XML Schema Definition Language (XSD) 1.1 Part 1: Structures

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This document is also available in these non-normative formats: [XML](#), [XHTML with changes since version 1.0 marked](#), [XHTML with changes since previous Working Draft marked](#), [Independent copy of the schema for schema documents](#), [Independent copy of the DTD for schema documents](#), [Independent tabulation of components and microcomponents](#), and [List of translations](#).

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Abstract

This document specifies the XML Schema Definition Language, which offers facilities for describing the structure and constraining the contents of XML documents, including those which exploit the XML Namespace facility. The schema language, which is itself represented in an XML vocabulary and uses namespaces, substantially reconstructs and considerably extends the capabilities found in XML document type definitions (DTDs). This specification depends on *XML Schema Definition Language 1.1 Part 2: Datatypes*.

Status of this Document

This section describes the status of this document at the time of its publication. Other documents may supersede this document. A list of current W3C publications and the latest revision of this technical report can be found in the [W3C technical reports index](#) at <http://www.w3.org/TR/>.

This W3C Candidate Recommendation specifies W3C XML Schema Definition Language (XSD) 1.1. It is here made available for review by W3C members and the public. XSD 1.1 retains all the essential features of XSD 1.0, but adds several new features to support functionality requested by users, fixes many errors in XSD 1.0, and clarifies wording.

This draft was published on 30 April 2009. The major revisions since the previous public working draft include the following:

- To reduce confusion and avert a widespread misunderstanding, the normative references to various W3C specifications now state explicitly that while the reference describes the particular edition of a specification current at the time this specification is published, conforming implementations of this specification are not required to ignore later editions of the other specification but instead MAY support later editions, thus allowing users of this specification to benefit from corrections to other specifications on which this one depends.
- The discussion of `schemaLocation` information in [How schema definitions are located on the Web \(§4.3.2\)](#) has been revised to try to make clearer the motivation for recommending user control over whether schema locations specified in the document instance should or should not be dereferenced. The new text describes some circumstances in which such schema locations typically should be dereferenced and some in which they should not, and attempts to set useful expectations for users and for implementors. These changes are intended to resolve issue [6655](#), raised by the W3C Web Accessibility Initiative's Protocols and Formats Working Group.
- The conceptual overview now included in [Constraint Components \(§2.2.4\)](#) some discussion of the overlap in functionality among identity constraints, conditional type assignment, and assertions, and identifies some of the factors which may be relevant in choosing among them; this change resolves issue [5023 Relationship between identity constraints and assertions](#).
- The discussion of schema import in [Licensing References to Components Across Namespaces \(§4.2.5.1\)](#) now states more clearly that references to components in external namespaces are an error if the namespace is not imported; this change addresses issue [5779 QName resolution and xs:import](#).

- The discussion of checking content-type restriction included in an appendix in earlier drafts of this specification has now been removed, as have some references to published algorithms for the problem. Several of the papers referred to are no longer publicly accessible on the Web, and the changes made to the [Unique Particle Attribution \(§3.8.6.4\)](#) have in any case rendered those algorithms obsolete. These changes resolve issue [6685 Appendix I Checking content-type restriction References Not Available](#).
- Discussions of global components now [take <redefine> into account](#) (addresses issue [5918 Top level declarations](#)).
- The fact that `*xs:anyType*` is its own base type [has been clarified](#) (addresses issue [6204 anyType/ur-Type: inconsistent whether it has a base-type](#)).
- The rules for the "available collections" and "default collection" properties of the [XPath 2.0 dynamic context](#) have been simplified; these properties are now required to be the empty set instead of being "implementation-defined". This improves interoperability and resolves issue [6540 Available documents in assertions](#).
- The [XPath 2.0 static context](#) used for the evaluation of assertions has been clarified; it now [explicitly includes](#) the functions in the [Functions and Operators](#) fn namespace and constructors for all built-in types. This resolves issue [6541 Assertions and in-scope functions](#).
- The definition of "context-determined type table" now explicitly [excludes skip](#) wildcards from consideration and makes clear that `*xs:anyType*` never maps an element information item or an [expanded name](#) to any "context-determined type table". This aligns the treatment of type tables more closely with that of declared types and resolves issue [6561 Type Substitutable in Restriction](#).
- Several other editorial corrections and improvements have been made.

For those primarily interested in the changes since version 1.0, the appendix [Changes since version 1.0 \(non-normative\) \(§G\)](#) is the recommended starting point. It summarizes both changes made since XSD 1.0 and some changes which were expected (and predicted in earlier drafts of this specification) but have not been made after all. Accompanying versions of this document display in color all changes to normative text since version 1.0 and since the previous Working Draft.

The [Candidate Recommendation review period](#) for this document extends until 3 August 2009. Comments on this document should be made in W3C's public installation of Bugzilla, specifying "XML Schema" as the product. Instructions can be found at <http://www.w3.org/XML/2006/01/public-bugzilla>. If access to Bugzilla is not feasible, please send your comments to the W3C XML Schema comments mailing list, www-xml-schema-comments@w3.org ([archive](#)) Each Bugzilla entry and email message should contain only one comment.

Although feedback based on any aspect of this specification is welcome, there are certain aspects of the design presented herein for which the Working Group is particularly interested in feedback. These are designated "priority feedback" aspects of the design, and identified as such in editorial notes at appropriate points in this draft. Any feature

mentioned in a priority feedback note is a "feature at risk": the feature may be retained as is or dropped, depending on the feedback received from readers, schema authors, schema users, and implementors.

Publication as a Candidate Recommendation does not imply endorsement by the W3C Membership. This is a draft document and may be updated, replaced or obsoleted by other documents at any time. It is inappropriate to cite this document as other than work in progress.

The [W3C XML Schema Working Group](#) intends to request advancement of this specification and publication as a [Proposed Recommendation](#) (possibly with editorial changes, and possibly removing features identified as being at risk) as soon after 3 August 2009 as the following conditions are met.

- A test suite is available which tests each required and optional feature of XSD 1.1.
- Each feature of the specification has been implemented successfully by at least two independent implementations.
- The Working Group has responded formally to all issues raised against this document during the Candidate Recommendation period.

At the time this Candidate Recommendation was published, no interoperability or implementation report had yet been prepared.

This document has been produced by the [W3C XML Schema Working Group](#) as part of the W3C [XML Activity](#). The goals of XSD 1.1 are discussed in the document [Requirements for XML Schema 1.1](#). The authors of this document are the members of the XML Schema Working Group. Different parts of this specification have different editors.

This document was produced by a group operating under the [5 February 2004 W3C Patent Policy](#). W3C maintains a [public list of any patent disclosures](#) made in connection with the deliverables of the group; that page also includes instructions for disclosing a patent. An individual who has actual knowledge of a patent which the individual believes contains [Essential Claim\(s\)](#) must disclose the information in accordance with [section 6 of the W3C Patent Policy](#).

The English version of this specification is the only normative version. Information about translations of this document is available at <http://www.w3.org/2003/03/Translations/byTechnology?technology=xmldata>.

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1 Introduction

This document sets out the structural part of the XML Schema Definition Language.

Chapter 2 presents a [Conceptual Framework \(§2\)](#) for XSD, including an introduction to the nature of XSD schemas and an introduction to the XSD abstract data model, along with other terminology used throughout this document.

Chapter 3, [Schema Component Details \(§3\)](#), specifies the precise semantics of each component of the abstract model, the representation of each component in XML, with reference to a DTD and an XSD schema for an XSD document type, along with a detailed mapping between the elements and attribute vocabulary of this representation and the components and properties of the abstract model.

Chapter 4 presents [Schemas and Namespaces: Access and Composition \(§4\)](#), including the connection between documents and schemas, the import, inclusion and redefinition of declarations and definitions and the foundations of schema-validity assessment.

Chapter 5 discusses [Schemas and Schema-validity Assessment \(§5\)](#), including the overall approach to schema-validity assessment of documents, and responsibilities of schema-aware processors.

The normative appendices include a [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#) for the XML representation of schemas and [Normative \(§M.1\)](#).

The non-normative appendices include the [DTD for Schemas \(non-normative\) \(§J\)](#) and a [Glossary \(non-normative\) \(§I\)](#).

This document is primarily intended as a language definition reference. As such, although it contains a few examples, it is *not* primarily designed to serve as a motivating introduction to the design and its features, or as a tutorial for new users. Rather it presents a careful and fully explicit definition of that design, suitable for guiding implementations. For those in search of a step-by-step introduction to the design, the

non-normative [\[XML Schema: Primer\]](#) is a much better starting point than this document.

1.1 Introduction to Version 1.1



The Working Group has three main goals for this version of W3C XML Schema:

- Significant improvements in simplicity of design and clarity of exposition *without* loss of backward *or* forward compatibility;
- Provision of support for versioning of XML languages defined using this specification, including the XML vocabulary specified here for use in schema documents.
- Provision of support for co-occurrence constraints, that is constraints which make the presence of an attribute or element, or the values allowable for it, depend on the value or presence of other attributes or elements.

These goals are in tension with one another. The Working Group's strategic guidelines for changes between versions 1.0 and 1.1 can be summarized as follows:

1. Support for versioning (acknowledging that this *may* be slightly disruptive to the XML transfer syntax at the margins)
2. Support for co-occurrence constraints (which will certainly involve additions to the XML transfer syntax, which will not be understood by 1.0 processors)
3. Bug fixes (unless in specific cases we decide that the fix is too disruptive for a point release)
4. Editorial changes
5. Design cleanup will possibly change behavior in edge cases
6. Non-disruptive changes to type hierarchy (to better support current and forthcoming international standards and W3C recommendations)
7. Design cleanup will possibly change component structure (changes to functionality restricted to edge cases)
8. No significant changes in existing functionality
9. No changes to XML transfer syntax except those required by version control hooks, co-occurrence constraints and bug fixes

The aim with regard to compatibility is that

- All schema documents conformant to version 1.0 of this specification should also conform to version 1.1, and should have the same validation behavior across 1.0 and 1.1 implementations (except possibly in edge cases and in the details of the resulting PSVI);
- The vast majority of schema documents conformant to version 1.1 of this

specification should also conform to version 1.0, leaving aside any incompatibilities arising from support for versioning or co-occurrence constraints, and when they are conformant to version 1.0 (or are made conformant by the removal of versioning information), should have the same validation behavior across 1.0 and 1.1 implementations (again except possibly in edge cases and in the details of the resulting PSVI);

1.2 Purpose

The purpose of *XML Schema Definition Language: Structures* is to define the nature of XSD schemas and their component parts, provide an inventory of XML markup constructs with which to represent schemas, and define the application of schemas to XML documents.

The purpose of an XSD schema is to define and describe a class of XML documents by using schema components to constrain and document the meaning, usage and relationships of their constituent parts: datatypes, elements and their content and attributes and their values. Schemas can also provide for the specification of additional document information, such as normalization and defaulting of attribute and element values. Schemas have facilities for self-documentation. Thus, *XML Schema Definition Language: Structures* can be used to define, describe and catalogue XML vocabularies for classes of XML documents.

Any application that consumes well-formed XML can use the formalism defined here to express syntactic, structural and value constraints applicable to its document instances. The XSD formalism allows a useful level of constraint checking to be described and implemented for a wide spectrum of XML applications. However, the language defined by this specification does not attempt to provide *all* the facilities that might be needed by applications. Some applications will require constraint capabilities not expressible in this language, and so will need to perform their own additional validations.

1.3 Namespaces and Language Identifiers

- 1.3.1 [XSD Namespaces](#)
 - 1.3.1.1 [The Schema Namespace \(*xs*\)](#)
 - 1.3.1.2 [The Schema Instance Namespace \(*xsi*\)](#)
 - 1.3.1.3 [The Schema Versioning Namespace \(*vc*\)](#)
- 1.3.2 [Namespaces with Special Status](#)
- 1.3.3 [Conventional Namespace Bindings](#)
- 1.3.4 [Schema Language Identifiers](#)

1.3.1 XSD Namespaces

1.3.1.1 *The Schema Namespace (*xs*)*

The XML representation of schema components uses a vocabulary identified by the namespace name <http://www.w3.org/2001/XMLSchema>. For brevity, the text and examples in this specification use the prefix `xs:` to stand for this namespace; in practice, any prefix can be used.

Note: The namespace for schema documents is unchanged from version 1.0 of this specification, because any schema document valid under the rules of version 1.0 has essentially the same validation semantics under this specification as it did under version 1.0 (Second Edition). There are a few exceptions to this rule, involving errors in version 1.0 of this specification which were not reparable by errata and which have therefore been fixed only in this version of this specification, not in version 1.0.

Note: The data model used by [XPath 2.0](#) and other specifications, namely [XDM](#), makes use of type labels in the XSD namespace (`untyped`, `untypedAtomic`) which are not defined in this specification; see the [XDM](#) specification for details of those types.

Users of the namespaces defined here should be aware, as a matter of namespace policy, that more names in this namespace may be given definitions in future versions of this or other specifications.

1.3.1.2 The Schema Instance Namespace (`xsi`)

This specification defines several attributes for direct use in any XML documents, as described in [Schema-Related Markup in Documents Being Validated \(§2.6\)](#). These attributes are in the namespace whose name is

`http://www.w3.org/2001/XMLSchema-instance`. For brevity, the text and examples in this specification use the prefix `xsi:` to stand for this namespace; in practice, any prefix can be used.

Users of the namespaces defined here should be aware, as a matter of namespace policy, that more names in this namespace may be given definitions in future versions of this or other specifications.

1.3.1.3 The Schema Versioning Namespace (`vc`)

The pre-processing of schema documents described in [Conditional inclusion \(§4.2.1\)](#) uses attributes in the namespace `http://www.w3.org/2007/XMLSchema-versioning`. For brevity, the text and examples in this specification use the prefix `vc:` to stand for this namespace; in practice, any prefix can be used.

Users of the namespaces defined here should be aware, as a matter of namespace policy, that more names in this namespace may be given definitions in future versions of this or other specifications.

1.3.2 Namespaces with Special Status

Except as otherwise specified elsewhere in this specification, if components are `present` in a schema, or source declarations are included in an XSD schema document, for components in any of the following namespaces, then the components, or the declarations, **SHOULD** agree with the descriptions given in the relevant specifications and with the declarations given in any applicable XSD schema documents maintained by the World Wide Web Consortium for these namespaces. If they do not, the effect is `implementation-dependent` and not defined by this specification.

- <http://www.w3.org/XML/1998/namespace>
- <http://www.w3.org/2001/XMLSchema>
- <http://www.w3.org/2001/XMLSchema-instance>
- <http://www.w3.org/2007/XMLSchema-versioning>

Note: Depending on implementation details, some processors may be able to process and use (for example) variant forms of the schema for schema documents devised for specialized purposes; if so, this specification does not forbid the use of such variant components. Other processors, however, may find it impossible to validate and use alternative components for these namespaces; this specification does not require them to do so. Users who have an interest in such specialized processing should be aware of the attending interoperability problems and should exercise caution.

This flexibility does not extend to the components described in this specification or in [\[XML Schema: Datatypes\]](#) as being included in every schema, such as those for the primitive and other built-in datatypes. Since those components are by definition part of every schema, it is not possible to have different components with the same [expanded names](#) present in the schema without violating constraints defined elsewhere against multiple components with the same [expanded names](#).

Components and source declarations MUST NOT specify <http://www.w3.org/2000/xmlns/> as their target namespace. If they do, then the schema and/or schema document is in "error".

Note: Any confusion in the use, structure, or meaning of this namespace would have catastrophic effects on the interpretability of this specification.

1.3.3 Conventional Namespace Bindings

Several namespace prefixes are conventionally used in this document for notational convenience. The following bindings are assumed.

- `fn` bound to <http://www.w3.org/2005/xpath-functions> (defined in [\[Functions and Operators\]](#))
- `html` bound to <http://www.w3.org/1999/xhtml>
- `my` (in examples) bound to the target namespace of the example schema document
- `rddl` bound to <http://www.rddl.org/>
- `vc` bound to <http://www.w3.org/2007/XMLSchema-versioning> (defined in this and related specifications)
- `xhtml` bound to <http://www.w3.org/1999/xhtml>
- `xlink` bound to <http://www.w3.org/1999/xlink>
- `xml` bound to <http://www.w3.org/XML/1998/namespace> (defined in [\[XML 1.1\]](#) and [\[XML](#)

[Namespaces 1.1\]\)](#)

- `xs` bound to <http://www.w3.org/2001/XMLSchema> (defined in this and related specifications)
- `xsi` bound to <http://www.w3.org/2001/XMLSchema-instance> (defined in this and related specifications)
- `xsl` bound to <http://www.w3.org/1999/XSL/Transform>

In practice, any prefix bound to the appropriate namespace name MAY be used (unless otherwise specified by the definition of the namespace in question, as for `xml` and `xmlns`).

1.3.4 Schema Language Identifiers

Sometimes other specifications or Application Programming Interfaces (APIs) need to refer to the XML Schema Definition Language in general, sometimes they need to refer to a specific version of the language. To make such references easy and enable consistent identifiers to be used, we provide the following URIs to identify these concepts.

<http://www.w3.org/XML/XMLSchema>

Identifies the XML Schema Definition Language in general, without referring to a specific version of it.

<http://www.w3.org/XML/XMLSchema/vX.Y>

Identifies the language described in version **X.Y** of the XSD specification. URIs of this form refer to a numbered version of the language in general. They do not distinguish among different working drafts or editions of that version. For example, <http://www.w3.org/XML/XMLSchema/v1.0> identifies XSD version 1.0 and <http://www.w3.org/XML/XMLSchema/v1.1> identifies XSD version 1.1.

<http://www.w3.org/XML/XMLSchema/vX.Y/Ne>

Identifies the language described in the **N**-th edition of version **x.y** of the XSD specification. For example, <http://www.w3.org/XML/XMLSchema/v1.0/2e> identifies the second edition of XSD version 1.0.

<http://www.w3.org/XML/XMLSchema/vX.Y/Ne/yyyymmdd>

Identifies the language described in the **N**-th edition of version **x.y** of the XSD specification published on the particular date `yyyy-mm-dd`. For example, <http://www.w3.org/XML/XMLSchema/v1.0/1e/20001024> identifies the language defined in the XSD version 1.0 Candidate Recommendation (CR) published on 24 October 2000, and <http://www.w3.org/XML/XMLSchema/v1.0/2e/20040318> identifies the language defined in the XSD version 1.0 Second Edition Proposed Edited Recommendation (PER) published on 18 March 2004.

Please see [XSD Language Identifiers \(non-normative\) \(§L\)](#) for a complete list of XML Schema Definition Language identifiers which exist to date.

1.4 Dependencies on Other Specifications

The definition of *XML Schema Definition Language: Structures* depends on the following specifications: [\[XML Infoset\]](#), [\[XML Namespaces 1.1\]](#), [\[XPath 2.0\]](#), and [\[XML Schema: Datatypes\]](#).

See [Required Information Set Items and Properties \(normative\) \(§D\)](#) for a tabulation of the information items and properties specified in [\[XML Infoset\]](#) which this specification requires as a precondition to schema-aware processing.

[\[XML Schema: Datatypes\]](#) defines some datatypes which depend on definitions in [\[XML 1.1\]](#) and [\[XML Namespaces 1.1\]](#); those definitions, and therefore the datatypes based on them, vary between version 1.0 ([\[XML 1.0\]](#), [\[XML Namespaces 1.0\]](#)) and version 1.1 ([\[XML 1.1\]](#), [\[XML Namespaces 1.1\]](#)) of those specifications. In any given schema-validity-assessment episode, the choice of the 1.0 or the 1.1 definition of those datatypes is implementation-defined.

Conforming implementations of this specification MAY provide either the 1.1-based datatypes or the 1.0-based datatypes, or both. If both are supported, the choice of which datatypes to use in a particular assessment episode SHOULD be under user control.

Note: It is a consequence of the rule just given that implementations MAY provide the heuristic of using the 1.1 datatypes if the input is labeled as XML 1.1, and the 1.0 datatypes if the input is labeled 1.0. It should be noted however that the XML version number is not required to be present in the input to an assessment episode, and in any case the heuristic SHOULD be subject to override by users, to support cases where users wish to accept XML 1.1 input but validate it using the 1.0 datatypes, or accept XML 1.0 input and validate it using the 1.1 datatypes.

Note: Some users will perhaps wish to accept only XML 1.1 input, or only XML 1.0 input. The rules just given ensure that conforming implementations of this specification which accept XML input MAY accept XML 1.0, XML 1.1, or both and MAY provide user control over which versions of XML to accept.

1.5 Documentation Conventions and Terminology

The section introduces the highlighting and typography as used in this document to present technical material.

Unless otherwise noted, the entire text of this specification is normative. Exceptions include:

- notes
- sections explicitly marked non-normative
- examples and their commentary
- informal descriptions of the consequences of rules formally and normatively stated elsewhere (such informal descriptions are typically introduced by phrases like "Informally, ..." or "It is a consequence of ... that ...")

Explicit statements that some material is normative are not to be taken as implying that material not so described is non-normative (other than that mentioned in the list just given).

Special terms are defined at their point of introduction in the text. For example **[Definition:] a term is something used with a special meaning**. The definition is labeled as such and the term it defines is displayed in boldface. The end of the definition is not specially marked in the displayed or printed text. Uses of defined terms are links to their definitions, set off with middle dots, for instance ·term·.

Non-normative examples are set off in boxes and accompanied by a brief explanation:

Example

```
<schema targetNamespace="http://www.example.com/XMLSchema/1.0/mySchema">
```

And an explanation of the example.

The definition of each kind of schema component consists of a list of its properties and their contents, followed by descriptions of the semantics of the properties:

Schema Component: Example

```
{example property}  
  A Component component. Required.  
  An example property
```

References to properties of schema components are links to the relevant definition as exemplified above, set off with curly braces, for instance {example property}.

For a given component **C**, an expression of the form "**C**.{example property}" denotes the (value of the) property {example property} for component **C**. The leading "**C**." (or more) is sometimes omitted, if the identity of the component and any other omitted properties is understood from the context. This "dot operator" is left-associative, so "**C**.{p1}.{p2}" means the same as "(**C**.{p1}) . {p2}" and denotes the value of property {p2} within the component or ·property record· which itself is the value of **C**'s {p1} property. White space on either side of the dot operator has no significance and is used (rarely) solely for legibility.

For components C_1 and C_2 , an expression of the form " C_1 . {example property 1} = C_2 . {example property 2}" means that C_1 and C_2 have the same value for the property (or properties) in question. Similarly, " $C_1 = C_2$ " means that C_1 and C_2 are identical, and " C_1 .{example property} = C_2 " that C_2 is the value of C_1 .{example property}.

The correspondence between an element information item which is part of the XML representation of a schema and one or more schema components is presented in a tableau which illustrates the element information item(s) involved. This is followed by a tabulation of the correspondence between properties of the component and properties of the information item. Where context determines which of several different components corresponds to the source declaration, several tabulations, one per context, are given. The property correspondences are normative, as are the illustrations of the XML representation element information items.

In the XML representation, bold-face attribute names (e.g. **count** below) indicate a required attribute information item, and the rest are optional. Where an attribute information item has an enumerated type definition, the values are shown separated by vertical bars, as for *size* below; if there is a default value, it is shown following a colon. Where an attribute information item has a built-in simple type definition defined in [\[XML Schema: Datatypes\]](#), a hyperlink to its definition therein is given.

The allowed content of the information item is shown as a grammar fragment, using the Kleene operators $?$, $*$ and $+$. Each element name therein is a hyperlink to its own illustration.

Note: The illustrations are derived automatically from the [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#). In the case of apparent conflict, the [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#) takes precedence, as it, together with the 'Schema Representation Constraints', provide the normative statement of the form of XML representations.

XML Representation Summary: *example* Element Information Item

```
<example
  count = integer
  size = (large | medium | small) : medium>
  Content: (all | any*)
</example>
```

[Example Schema Component](#)

Property	Representation
{example property}	Description of what the property corresponds to, e.g. the value of the <i>size</i> [attribute]

References to elements in the text are links to the relevant illustration as exemplified above, set off with angle brackets, for instance `<example>`.

Unless otherwise specified, references to attribute values are references to the 'actual value' of the attribute information item in question, not to its 'normalized value' or to other

forms or varieties of "value" associated with it. For a given element information item *E*, expressions of the form "*E* has *att1* = *V*" are short-hand for "there is an attribute information item named *att1* among the [attributes] of *E* and its 'actual value' is *V*." If the identity of *E* is clear from context, expressions of the form "*att1* = *V*" are sometimes used. The form "*att1* ≠ *V*" is also used to specify that the 'actual value' of *att1* is *not V*.

References to properties of information items as defined in [\[XML Infoset\]](#) are notated as links to the relevant section thereof, set off with square brackets, for example [children].

Properties which this specification defines for information items are introduced as follows:

PSVI Contributions for example information items

[new property] The value the property gets.
--

References to properties of information items defined in this specification are notated as links to their introduction as exemplified above, set off with square brackets, for example [new property].

The "dot operator" described above for components and their properties is also used for information items and their properties. For a given information item *I*, an expression of the form "*I*. [new property]" denotes the (value of the) property [new property] for item *I*.

Lists of normative constraints are typically introduced with phrase like "all of the following are true" (or "... apply"), "one of the following is true", "at least one of the following is true", "one or more of the following is true", "the appropriate case among the following is true", etc. The phrase "one of the following is true" is used in cases where the authors believe the items listed to be mutually exclusive (so that the distinction between "exactly one" and "one or more" does not arise). If the items in such a list are not in fact mutually exclusive, the phrase "one of the following" should be interpreted as meaning "one or more of the following". The phrase "the appropriate case among the following" is used only when the cases are thought by the authors to be mutually exclusive; if the cases in such a list are not in fact mutually exclusive, the first applicable case should be taken. Once a case has been encountered with a true condition, subsequent cases **MUST** not be tested.

The following highlighting is used for non-normative commentary in this document:

Note: General comments directed to all readers.

Within normative prose in this specification, the words **MAY**, **SHOULD**, **MUST** and **MUST NOT** are defined as follows:

MAY

Schemas, schema documents, and processors are permitted to but need not behave as described.

SHOULD

It is recommended that schemas, schema documents, and processors behave as

described, but there can be valid reasons for them not to; it is important that the full implications be understood and carefully weighed before adopting behavior at variance with the recommendation.

MUST

(Of schemas and schema documents:) Schemas and documents are required to behave as described; otherwise they are in `error`.

(Of processors:) Processors are required to behave as described.

MUST NOT

Schemas, schema documents, and processors are forbidden to behave as described; schemas and documents which nevertheless do so are in `error`.

error

A failure of a schema or schema document to conform to the rules of this specification.

Except as otherwise specified, processors **MUST** distinguish error-free (conforming) schemas and schema documents used in `assessment` from those with errors; if a schema used in `assessment` or a schema document used in constructing a schema is in error, processors **MUST** report the fact; if more than one is in error, it is `implementation-dependent` whether more than one is reported as being in error. If one or more of the constraint codes given in [Outcome Tabulations \(normative\) \(§B\)](#) is applicable, it is `implementation-dependent` how many of them, and which, are reported.

Note: Failure of an XML document to be valid against a particular schema is not (except for the special case of a schema document consulted in the course of building a schema) in itself a failure to conform to this specification and thus, for purposes of this specification, not an error.

Note: Notwithstanding the fact that (as just noted) failure to be schema-valid is not a violation of this specification and thus not strictly speaking an error as defined here, the names of the PSVI properties [schema error code] (for attributes) and [schema error code] (for elements) are retained for compatibility with other versions of this specification, and because in many applications of XSD, non-conforming documents *are* "in error" for purposes of those applications.

deprecated

A feature or construct defined in this specification described as **deprecated** is retained in this specification for compatibility with previous versions of the specification, and but its use is not advisable and schema authors **SHOULD** avoid its use if possible.

Deprecation has no effect on the conformance of schemas or schema documents which use deprecated features. Since deprecated features are part of the

specification, processors MUST support them, although some processors MAY choose to issue warning messages when deprecated features are encountered.

Features deprecated in this version of this specification may be removed entirely in future versions, if any.

These definitions describe in terms specific to this document the meanings assigned to these terms by [\[IETF RFC 2119\]](#). The specific wording follows that of [\[XML 1.1\]](#).

Where these terms appear without special highlighting, they are used in their ordinary senses and do not express conformance requirements. Where these terms appear highlighted within non-normative material (e.g. notes), they are recapitulating rules normatively stated elsewhere.

This specification provides a further description of error and of conformant processors' responsibilities with respect to errors in [Schemas and Schema-validity Assessment \(§5\)](#).

2 Conceptual Framework

This chapter gives an overview of *XML Schema Definition Language: Structures* at the level of its abstract data model. [Schema Component Details \(§3\)](#) provides details on this model, including a normative representation in XML for the components of the model. Readers interested primarily in learning to write schema documents will find it most useful first to read [XML Schema: Primer](#) for a tutorial introduction, and only then to consult the sub-sections of [Schema Component Details \(§3\)](#) named *XML Representation of ...* for the details.

2.1 Overview of XSD

An XSD schema is a set of components such as type definitions and element declarations. These can be used to assess the validity of well-formed element and attribute information items (as defined in [XML Infoset](#)), and furthermore MAY specify augmentations to those items and their descendants. This augmentation makes explicit information that was implicit in the original document, such as normalized and/or default values for attributes and elements and the types of element and attribute information items. The input information set can also be augmented with information about the validity of the item, or about other properties described in this specification. [Definition:] We refer to the augmented infoset which results from conformant processing as defined in this specification as the **post-schema-validation infoset**, or **PSVI**. Conforming processors MAY provide access to some or all of the PSVI, as described in [Subset of the Post-schema-validation Infoset \(§C.1\)](#). The mechanisms by which processors provide such access to the PSVI are neither defined nor constrained by this specification.

As it is used in this specification, the term **schema-validity assessment** has two aspects:

- 1 Determining local schema-validity, that is whether an element or attribute information item satisfies the constraints embodied in the relevant components of an XSD schema;
- 2 Synthesizing an overall validation outcome for the item, combining local schema-validity with the results of schema-validity assessments of its descendants, if any, and adding appropriate augmentations to the infoset to record this outcome.

Throughout this specification, [Definition:] the word **valid** and its derivatives are used to refer to clause [1](#) above, the determination of local schema-validity .

Throughout this specification, [Definition:] the word **assessment** is used to refer to the overall process of local validation, schema-validity assessment and infoset augmentation .

During ·assessment·, some or all of the element and attribute information items in the input document are associated with declarations and/or type definitions; these declarations and type definitions are then used in the ·assessment· of those items, in a recursive process. [Definition:] The declaration associated with an information item, if any, and with respect to which its validity is ·assessed· in a given assessment episode is said to **govern** the item, or to be its **governing** element or attribute declaration. Similarly the type definition with respect to which the type-validity of an item is assessed is its **governing** type definition.

Note: See also the definitions of ·governing element declaration· and ·governing type definition· (for elements) and ·governing attribute declaration· and ·governing type definition· (for attributes).

2.2 XSD Abstract Data Model

2.2.1 [Type Definition Components](#)

2.2.1.1 [Type Definition Hierarchy](#)

2.2.1.2 [Simple Type Definition](#)

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2.2.2 [Declaration Components](#)

2.2.2.1 [Element Declaration](#)

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2.2.3 [Model Group Components](#)

2.2.3.1 [Model Group](#)

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2.2.4 [Constraint Components](#)

2.2.4.1 [Identity-constraint Definition](#)

2.2.4.2 [Type Alternative](#)

2.2.4.3 [Assertion](#)

2.2.4.4 [Overlapping Functionality of Constraint Components](#)

2.2.5 [Group Definition Components](#)

2.2.5.1 [Model Group Definition](#)

2.2.5.2 [Attribute Group Definition](#)

2.2.6 [Annotation Components](#)

This specification builds on [XML 1.1](#) and [XML Namespaces 1.1](#). The concepts and definitions used herein regarding XML are framed at the abstract level of [information items](#) as defined in [XML Infoset](#). By definition, this use of the infoset provides *a priori* guarantees of [well-formedness](#) (as defined in [XML 1.1](#)) and [namespace conformance](#) (as defined in [XML Namespaces 1.1](#)) for all candidates for ·assessment· and for all ·schema documents·.

Just as [\[XML 1.1\]](#) and [\[XML Namespaces 1.1\]](#) can be described in terms of information items, XSD schemas can be described in terms of an abstract data model. In defining schemas in terms of an abstract data model, this specification rigorously specifies the information which **MUST** be available to a conforming XSD processor. The abstract model for schemas is conceptual only, and does not mandate any particular implementation or representation of this information. To facilitate interoperability and sharing of schema information, a normative XML interchange format for schemas is provided.

[Definition:] **Schema component** is the generic term for the building blocks that make up the abstract data model of the schema. [Definition:] An **XSD schema** is a set of schema components. There are several kinds of schema component, falling into three groups. The primary schema components, which **MAY** (type definitions) or **MUST** (element and attribute declarations) have names, are as follows:

- Simple type definitions
- Complex type definitions
- Attribute declarations
- Element declarations

The secondary schema components, are as follows:

- Attribute group definitions
- Identity-constraint definitions
- Type alternatives
- Assertions
- Model group definitions
- Notation declarations

Finally, the "helper" schema components provide small parts of other schema components; they are dependent on their context:

- Annotations
- Model groups
- Particles
- Wildcards
- Attribute Uses

The name [Definition:] **Component** covers all the different kinds of schema component defined in this specification.

During validation, [Definition:] **declaration** components are associated by (qualified)

name to information items being *validated*.

On the other hand, [Definition:] **definition** components define internal schema components that can be used in other schema components.

[Definition:] Declarations and definitions MAY and in some cases MUST have and be identified by **names**, which are NCNames as defined by [XML Namespaces 1.1](#).

[Definition:] Several kinds of component have a **target namespace**, which is either *absent* or a namespace name, also as defined by [XML Namespaces 1.1](#). The *target namespace* serves to identify the namespace within which the association between the component and its name exists.

An [expanded name](#), as defined in [XML Namespaces 1.1](#), is a pair consisting of a namespace name, which MAY be *absent*, and a local name. The [expanded name](#) of any component with both a *target namespace* property and a *component name* property is the pair consisting of the values of those two properties. The [expanded name](#) of a declaration is used to help determine which information items will be *governed* by the declaration.

Note: At the abstract level, there is no requirement that the components of a schema share a *target namespace*. Any schema for use in *assessment* of documents containing names from more than one namespace will of necessity include components with different *target namespaces*. This contrasts with the situation at the level of the XML representation of components, in which each schema document contributes definitions and declarations to a single target namespace.

Validation, defined in detail in [Schema Component Details \(§3\)](#), is a relation between information items and schema components. For example, an attribute information item is *validated* with respect to an attribute declaration, a list of element information items with respect to a content model, and so on. The following sections briefly introduce the kinds of components in the schema abstract data model, other major features of the abstract model, and how they contribute to *validation*.

2.2.1 Type Definition Components

The abstract model provides two kinds of type definition component: simple and complex.

[Definition:] This specification uses the phrase **type definition** in cases where no distinction need be made between simple and complex types.

Type definitions form a hierarchy with a single root. The subsections below first describe characteristics of that hierarchy, then provide an introduction to simple and complex type definitions themselves.

2.2.1.1 Type Definition Hierarchy

[Definition:] Except for `*xs:anyType*`, every *type definition* is, by construction, either a *restriction* or an *extension* of some other type definition. The exception `*xs:anyType*` is a *restriction* of itself. With the exception of the loop on `*xs:anyType*`, the graph of these

relationships forms a tree known as the **Type Definition Hierarchy** with `xs:anyType` as its root.

[Definition:] The type definition used as the basis for an `extension` or `restriction` is known as the **base type definition** of that definition. [Definition:] If a type definition **D** can reach a type definition **B** by following its base type definition chain, then **D** is said to be **derived** from **B**. In most cases, a type definition is derived from other type definitions. The only exception is `xs:anyType`, which is derived from itself.

[Definition:] A type defined with the same constraints as its `base type definition`, or with more, is said to be a **restriction**. The added constraints might include narrowed ranges or reduced alternatives. Given two types **A** and **B**, if the definition of **A** is a `restriction` of the definition of **B**, then members of type **A** are always locally valid against type **B** as well.

[Definition:] A complex type definition which allows element or attribute content in addition to that allowed by another specified type definition is said to be an **extension**.

Note: Conceptually, the definitions of `restriction` and `extension` overlap: given a type **T**, a vacuous `restriction` of **T** and a vacuous `extension` of **T** will each accept the same inputs as valid. The syntax specified in this version of this specification, however, requires that each type be defined either as a restriction or as an extension, not both. Thus even though the vacuous extension of **T** accepts the same inputs as the vacuous restriction, it will not be accepted in contexts which require restrictions of **T**.

[Definition:] A special complex type definition, (referred to in earlier versions of this specification as 'the ur-type definition') whose name is **anyType** in the XSD namespace, is present in each `XSD schema`. The **definition of anyType** serves as default type definition for element declarations whose XML representation does not specify one.

[Definition:] A special simple type definition, whose name is **error** in the XSD namespace, is also present in each `XSD schema`. The **XSD error type** has no valid instances. It can be used in any place where other types are normally used; in particular, it can be used in conditional type assignment to cause elements which satisfy certain conditions to be invalid.

For brevity, the text and examples in this specification often use the qualified names `xs:anyType` and `xs:error` for these type definitions. (In practice, any appropriately declared prefix can be used, as described in [Schema-Related Markup in Documents Being Validated \(§2.6\)](#).)

2.2.1.2 Simple Type Definition

A simple type definition is a set of constraints on strings and information about the values they encode, applicable to the `normalized value` of an attribute information item or of an element information item with no element children. Informally, it applies to the values of attributes and the text-only content of elements.

Each simple type definition, whether built-in (that is, defined in [XML Schema: Datatypes](#)) or user-defined, is a `restriction` of its `base type definition`. [Definition:] A special

·restriction· of `*xs:anyType*`, whose name is **anySimpleType** in the XSD namespace, is the root of the ·Type Definition Hierarchy· for all simple type definitions. `*xs:anySimpleType*` has a lexical space containing all sequences of characters in the Universal Character Set (UCS) and a value space containing all [atomic values](#) and all finite-length lists of [atomic values](#). As with `*xs:anyType*`, this specification sometimes uses the qualified name `xm: anySimpleType` to designate this type definition. The built-in list datatypes all have `*xs:anySimpleType*` as their ·base type definition·.

[Definition:] There is a further special datatype called **anyAtomicType**, a ·restriction· of `*xs:anySimpleType*`, which is the ·base type definition· of all the primitive datatypes. This type definition is often referred to simply as "`xm: anyAtomicType`". It too is considered to have an unconstrained lexical space. Its value space consists of the union of the value spaces of all the primitive datatypes.

[Definition:] Datatypes can be **constructed** from other datatypes by **restricting** the value space or lexical space of a {base type definition} using zero or more Constraining Facets, by specifying the new datatype as a **list** of items of some {item type definition}, or by defining it as a **union** of some specified sequence of {member type definitions}.

The mapping from lexical space to value space is unspecified for items whose type definition is `*xs:anySimpleType*` or `*xs:anyAtomicType*`. Accordingly this specification does not constrain processors' behavior in areas where this mapping is implicated, for example checking such items against enumerations, constructing default attributes or elements whose declared type definition is `*xs:anySimpleType*` or `*xs:anyAtomicType*`, checking identity constraints involving such items.

Note: The Working Group expects to return to this area in a future version of this specification.

[\[XML Schema: Datatypes\]](#) provides mechanisms for defining new simple type definitions by ·restricting· some primitive or ordinary datatype. It also provides mechanisms for constructing new simple type definitions whose members are lists of items themselves constrained by some other simple type definition, or whose membership is the union of the memberships of some other simple type definitions. Such list and union simple type definitions are also ·restrictions· of `*xs:anySimpleType*`.

For detailed information on simple type definitions, see [Simple Type Definitions \(§3.16\)](#) and [\[XML Schema: Datatypes\]](#). The latter also defines an extensive inventory of pre-defined simple types.

2.2.1.3 Complex Type Definition

A complex type definition is a set of attribute declarations and a content type, applicable to the [attributes] and [children] of an element information item respectively. The content type MAY require the [children] to contain neither element nor character information items (that is, to be empty), or to be a string which belongs to a particular simple type, or to contain a sequence of element information items which conforms to a particular model group, with or without character information items as well.

Each complex type definition other than `*xs:anyType*` is either

- a restriction of a complex ·base type definition·

or

- an ·extension· of a simple or complex ·base type definition·.

A complex type which extends another does so by having additional content model particles at the end of the other definition's content model, or by having additional attribute declarations, or both.

Note: For the most part, this specification allows only appending, and not other kinds of extensions. This decision simplifies application processing required to cast instances from the derived type to the base type. One special case allows the extension of `all`-groups in ways that do not guarantee that the new material occurs only at the end of the content. Another special case is extension via Open Contents in *interleave* mode.

For detailed information on complex type definitions, see [Complex Type Definitions \(§3.4\)](#).

2.2.2 Declaration Components

There are three kinds of declaration component: element, attribute, and notation. Each is described in a section below. Also included is a discussion of element substitution groups, which is a feature provided in conjunction with element declarations.

2.2.2.1 Element Declaration

An element declaration is an association of a name with a type definition, either simple or complex, an (optional) default value and a (possibly empty) set of identity-constraint definitions. The association is either global or scoped to a containing complex type definition. A top-level element declaration with name 'A' is broadly comparable to a pair of DTD declarations as follows, where the associated type definition fills in the ellipses:

```
<!ELEMENT A . . .>  
<!ATTLIST A . . .>
```

Element declarations contribute to ·validation· as part of model group ·validation·, when their defaults and type components are checked against an element information item with a matching name and namespace, and by triggering identity-constraint definition ·validation·.

For detailed information on element declarations, see [Element Declarations \(§3.3\)](#). For an overview of identity constraints, see [Identity-constraint Definition \(§2.2.4.1\)](#).

2.2.2.2 Element Substitution Group

When XML vocabularies are defined using the document type definition syntax defined by [\[XML 1.1\]](#), a reference in a content model to a particular name is satisfied only by an element in the XML document whose name and content correspond exactly to those given in the corresponding [element type declaration](#).

Note: The "element type declaration" of [\[XML 1.1\]](#) is not quite the same as the "governing type definition" as defined in this specification: [\[XML 1.1\]](#) does not distinguish between element declarations and type definitions as distinct kinds of object in the way that this specification does. The "element type declaration" of [\[XML 1.1\]](#) specifies both the kinds of properties associated in this specification with element declarations and the kinds of properties associated here with (complex) type definitions.

[Definition:] Through the mechanism of **element substitution groups**, XSD provides a more powerful model supporting substitution of one named element for another. Any top-level element declaration can serve as the defining member, or head, for an element "substitution group". Other top-level element declarations, regardless of target namespace, can be designated as members of the "substitution group" headed by this element. In a suitably enabled content model, a reference to the head "validates" not just the head itself, but elements corresponding to any other member of the "substitution group" as well.

All such members MUST have type definitions which are either the same as the head's type definition or derived from it. Therefore, although the names of elements can vary widely as new namespaces and members of the "substitution group" are defined, the content of member elements is constrained by the type definition of the "substitution group" head.

Note that element substitution groups are not represented as separate components. They are specified in the property values for element declarations (see [Element Declarations \(§3.3\)](#)).

2.2.2.3 Attribute Declaration

An attribute declaration is an association between a name and a simple type definition, together with occurrence information and (optionally) a default value. The association is either global, or local to its containing complex type definition. Attribute declarations contribute to "validation" as part of complex type definition "validation", when their occurrence, defaults and type components are checked against an attribute information item with a matching name and namespace.

For detailed information on attribute declarations, see [Attribute Declarations \(§3.2\)](#).

2.2.2.4 Notation Declaration

A notation declaration is an association between a name and an identifier for a notation. For an attribute or element information item to be "valid" with respect to a `NOTATION` simple type definition, its value MUST have been declared with a notation declaration.

For detailed information on notation declarations, see [Notation Declarations \(§3.14\)](#).

2.2.3 Model Group Components

The model group, particle, and wildcard components contribute to the portion of a

complex type definition that controls an element information item's content.

2.2.3.1 Model Group

A model group is a constraint in the form of a grammar fragment that applies to lists of element information items. It consists of a list of particles, i.e. element declarations, wildcards and model groups. There are three varieties of model group:

- Sequence (the element information items match the particles in sequential order);
- Conjunction (the element information items match the particles, in any order);
- Disjunction (the element information items match one or more of the particles).

Each model group denotes a set of sequences of element information items. Regarding that set of sequences as a language, the set of sequences recognized by a group **G** may be written $L(\mathbf{G})$. [Definition:] A model group **G** is said to **accept** or **recognize** the members of $L(\mathbf{G})$.

For detailed information on model groups, see [Model Groups \(§3.8\)](#).

2.2.3.2 Particle

A particle is a term in the grammar for element content, consisting of either an element declaration, a wildcard or a model group, together with occurrence constraints. Particles contribute to `validation` as part of complex type definition `validation`, when they allow anywhere from zero to many element information items or sequences thereof, depending on their contents and occurrence constraints.

The name [Definition:] **Term** is used to refer to any of the three kinds of components which can appear in particles. All `Terms` are themselves `Annotated Components`. [Definition:] A **basic term** is an Element Declaration or a Wildcard. [Definition:] A **basic particle** is a Particle whose {term} is a `basic term`.

[Definition:] A particle can be used in a complex type definition to constrain the `validation` of the [children] of an element information item; such a particle is called a **content model**.

Note: XSD `content models` are similar to but more expressive than [XML 1.1](#) content models; unlike [XML 1.1](#), XSD does not restrict the form of `content models` describing mixed content.

Each content model, indeed each particle and each term, denotes a set of sequences of element information items. Regarding that set of sequences as a language, the set of sequences recognized by a particle **P** may be written $L(\mathbf{P})$. [Definition:] A particle **P** is said to **accept** or **recognize** the members of $L(\mathbf{P})$. Similarly, a term **T** **accepts** or **recognizes** the members of $L(\mathbf{T})$.

Note: The language accepted by a content model plays a role in determining whether an element information item is locally valid or not: if the appropriate content model

does not accept the sequence of elements among its children, then the element information item is not locally valid. (Some additional constraints must also be met: not every sequence in $L(P)$ is locally valid against P . See [Principles of Validation against Groups \(§3.8.4.2\)](#).)

No assumption is made, in the definition above, that the items in the sequence are themselves valid; only the [expanded names](#) of the items in the sequence are relevant in determining whether the sequence is accepted by a particle. Their validity does affect whether their parent is (recursively) valid as well as locally valid.

If a sequence S is a member of $L(P)$, then it is necessarily possible to trace a path through the ·basic particles· within P , with each item within S corresponding to a matching particle within P . The sequence of particles within P corresponding to S is called the ·path· of S in P .

Note: This ·path· has nothing to do with XPath expressions. When there may otherwise be danger of confusion, the ·path· described here may be referred to as the ·match path· of S in P .

For detailed information on particles, see [Particles \(§3.9\)](#).

2.2.3.3 Attribute Use

An attribute use plays a role similar to that of a particle, but for attribute declarations: an attribute declaration within a complex type definition is embedded within an attribute use, which specifies whether the declaration requires or merely allows its attribute, and whether it has a default or fixed value.

2.2.3.4 Wildcard

A wildcard is a special kind of particle which matches element and attribute information items dependent on their namespace names and optionally on their local names.

For detailed information on wildcards, see [Wildcards \(§3.10\)](#).

2.2.4 Constraint Components

This section describes constructs which use [XPath 2.0](#) expressions to constrain the input document; using them, certain rules can be expressed conveniently which would be inconvenient or impossible to express otherwise. Identity-constraint definitions are associated with element declarations; assertions are associated with type definitions; conditional type assignment using type alternatives allows the type of an element instance to be chosen based on properties of the element instance (in particular, based on the values of its attributes).

2.2.4.1 Identity-constraint Definition

An identity-constraint definition is an association between a name and one of several

varieties of identity-constraint related to uniqueness and reference. All the varieties use [XPath 2.0](#) expressions to pick out sets of information items relative to particular target element information items which are unique, or a key, or a ·valid· reference, within a specified scope. An element information item is only ·valid· with respect to an element declaration with identity-constraint definitions if those definitions are all satisfied for all the descendants of that element information item which they pick out.

For detailed information on identity-constraint definitions, see [Identity-constraint Definitions \(§3.11\)](#).

Note: In version 1.0 of this specification, identity constraints used [XPath 1.0](#); they now use [XPath 2.0](#).

2.2.4.2 Type Alternative

A Type Alternative component (type alternative for short) associates a type definition with a predicate. Type alternatives are used in conditional type assignment, in which the choice of ·governing type definition· for elements governed by a particular element declaration depends on properties of the document instance. An element declaration may have a {type table} which contains a sequence of type alternatives; the predicates on the alternatives are tested, and when a predicate is satisfied, the type definition paired with it is chosen as the element instance's ·governing type definition·.

Note: The provisions for conditional type assignment are inspired by, but not identical to, those of [SchemaPath](#).

For detailed information on Type Alternatives, see [Type Alternatives \(§3.12\)](#).

2.2.4.3 Assertion

An assertion is a predicate associated with a type, which is checked for each instance of the type. If an element or attribute information item fails to satisfy an assertion associated with a given type, then that information item is not locally ·valid· with respect to that type.

For detailed information on Assertions, see [Assertions \(§3.13\)](#).

2.2.4.4 Overlapping Functionality of Constraint Components

Many rules that can be enforced by identity constraints and conditional type assignment can also be formulated in terms of assertions. That is, the various constructs have overlapping functionality. The three forms of constraint differ from each other in various ways which may affect the schema author's choice of formulation.

Most obviously, the ·post-schema-validation infoSet· will differ somewhat, depending on which form of constraint is chosen.

Less obviously, identity constraints are associated with element declarations, while assertions are associated with type definitions. If it is desired to enforce a particular

property of uniqueness or referential integrity associated with a particular element declaration *E*, of type *T*, the schema author may often choose either an identity constraint associated with *E*, or an assertion associated with *T*. One obvious difference is that elements substitutable for *E* are required to have types derived from *T*, but are not required to enforce the identity constraints (or the nullability) of *E*. If the constraint applicable to *E* should be enforced by elements substitutable for *E*, it is often most convenient to formulate the constraint as an assertion on *T*; conversely, if only some elements of type *T* are intended to be subject to the constraint, or if elements substitutable for *E* need not enforce the constraint, then it will be more convenient to formulate the rule as an identity constraint on *E*.

Similar considerations sometimes apply to the choice between assertions and conditional type assignment.

Because identity constraints and conditional type assignment are simpler and less variable than assertions, it may be easier for software to exploit or optimize them. Assertions have greater expressive power, which means they are often convenient. The "rule of least power" applies here; it is often preferable to use a less expressive notation in preference to a more expressive one, when either will suffice. See [\[Rule of Least Power\]](#).

2.2.5 Group Definition Components

There are two kinds of convenience definitions provided to enable the re-use of pieces of complex type definitions: model group definitions and attribute group definitions.

2.2.5.1 Model Group Definition

A model group definition is an association between a name and a model group, enabling re-use of the same model group in several complex type definitions.

For detailed information on model group definitions, see [Model Group Definitions \(§3.7\)](#).

2.2.5.2 Attribute Group Definition

An attribute group definition is an association between a name and a set of attribute declarations, enabling re-use of the same set in several complex type definitions.

For detailed information on attribute group definitions, see [Attribute Group Definitions \(§3.6\)](#).

2.2.6 Annotation Components

An annotation is information for human and/or mechanical consumers. The interpretation of such information is not defined in this specification.

For detailed information on annotations, see [Annotations \(§3.15\)](#).

2.3 Constraints and Validation Rules



The [XML 1.1](#) specification describes two kinds of constraints on XML documents: *well-formedness* and *validity* constraints. Informally, the well-formedness constraints are those imposed by the definition of XML itself (such as the rules for the use of the < and > characters and the rules for proper nesting of elements), while validity constraints are the further constraints on document structure provided by a particular DTD.

The preceding section focused on *validation*, that is the constraints on information items which schema components supply. In fact however this specification provides four different kinds of normative statements about schema components, their representations in XML and their contribution to the *validation* of information items:

Schema Component Constraint

[Definition:] Constraints on the schema components themselves, i.e. conditions components MUST satisfy to be components at all. They are located in the sixth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Schema Component Constraints \(§B.4\)](#).

Schema Representation Constraint

[Definition:] Constraints on the representation of schema components in XML beyond those which are expressed in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#). They are located in the third sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Schema Representation Constraints \(§B.3\)](#).

Validation Rules

[Definition:] Contributions to *validation* associated with schema components. They are located in the fourth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Validation Rules \(§B.1\)](#).

Schema Information Set Contribution

[Definition:] Augmentations to *post-schema-validation infoset*s expressed by schema components, which follow as a consequence of *validation* and/or *assessment*. They are located in the fifth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Contributions to the post-schema-validation infoset \(§B.2\)](#).

The last of these, schema information set contributions, are not as new as they might at first seem. XML validation augments the XML information set in similar ways, for example by providing values for attributes not present in instances, and by implicitly exploiting type information for normalization or access. (As an example of the latter case, consider the effect of `NMTOKENS` on attribute white space, and the semantics of `ID` and `IDREF`.) By including schema information set contributions, this specification makes explicit some features that XML leaves implicit.

2.4 Conformance



Note: The Working Group expects to revise this discussion of conformance in future.

A sketch of relevant work can be found in [Checklist of implementation-defined features \(§E.1\)](#) and [Terminology for implementation-defined features \(normative\) \(§C\)](#).

Within the context of this specification, conformance can be claimed for schema documents, for schemas, and for processors.

A ·schema document· conforms to this specification if and only if **all** of the following are true:

- 1 It is valid with respect to the top-level element declaration for <schema> in the schema specified in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#). That is, when ·assessed· using ·element-driven validation· and stipulating the declaration for <schema>, then in its ·post-schema-validation infoset·, the <schema> element has a [validation attempted] property with value **full** or **partial** and a [validity] property with value **valid**.
- 2 No element in the schema document violates any of the Schema Representation Constraints set out in [Schema Representation Constraints \(§B.3\)](#).

Note: While conformance of schema documents is a precondition for the mapping from schema documents to schema components described in this specification, conformance of the schema documents does not guarantee that the result of that mapping will be a schema that conforms to this specification. Some constraints (e.g. the rule that there must be at most one top-level element declaration with a particular [expanded name](#)) can only be checked in the context of the schema as a whole. Because component correctness depends in part upon the other components present, the XML mapping rules defined in this specification do not always map conforming schema documents into components that satisfy all constraints. In some cases, the mapping will produce components which violate constraints imposed at the component level; in others, no component at all will be produced.

Note: In this version of this specification, Schema Representation Constraints concern only properties of the schema document which can be checked in isolation. In version 1.0 of this specification, some Schema Representation Constraints could not be checked against the schema document in isolation, and so it was not always possible to say, for a given schema document, whether it satisfied the constraints or not.

This specification describes three levels of conformance for schema aware processors. The first is required of all processors. Support for the other two will depend on the application environments for which the processor is intended.

[Definition:] **Minimally conforming** processors **MUST completely and correctly implement the** ·Schema Component Constraints·, ·Validation Rules·, **and** ·Schema Information Set Contributions· **contained in this specification**.

[Definition:] ·Minimally conforming· processors which accept schemas represented in the form of XML documents as described in [Layer 2: Schema Documents, Namespaces and Composition \(§4.2\)](#) are additionally said to be **schema-document aware**. Such processors **MUST**, when processing schema documents, completely and correctly implement (or enforce) all ·Schema Representation Constraints· in this specification, and **MUST** adhere exactly to the specifications in [Schema Component Details \(§3\)](#) for mapping

the contents of such documents to ·schema components· for use in ·validation· and ·assessment·.

Note: The ·Schema Representation Constraints· are to be enforced after, not before, the conditional-inclusion pre-processing described in [Conditional inclusion \(§4.2.1\)](#).

[Definition:] A ·minimally conforming· processor which is not ·schema-document aware· is said to be a **non-schema-document-aware** processor.

Note: By separating the conformance requirements relating to the concrete syntax of ·schema documents·, this specification admits processors which use schemas stored in optimized binary representations, dynamically created schemas represented as programming language data structures, or implementations in which particular schemas are compiled into executable code such as C or Java. Such processors can be said to be ·minimally conforming· but not necessarily ·schema-document aware·.

[Definition:] **Web-aware** processors are network-enabled processors which are not only both ·minimally conforming· and ·schema-document aware·, but which additionally **MUST** be capable of accessing schema documents from the World Wide Web as described in [Representation of Schemas on the World Wide Web \(§2.7\)](#) and [How schema definitions are located on the Web \(§4.3.2\)](#).

Note: In version 1.0 of this specification the class of ·schema-document aware· processors was termed "conformant to the XML Representation of Schemas". Similarly, the class of ·Web-aware· processors was called "fully conforming".

Note: Although this specification provides just these three standard levels of conformance, it is anticipated that other conventions can be established in the future. For example, the World Wide Web Consortium is considering conventions for packaging on the Web a variety of resources relating to individual documents and namespaces. Should such developments lead to new conventions for representing schemas, or for accessing them on the Web, new levels of conformance can be established and named at that time. There is no need to modify or republish this specification to define such additional levels of conformance.

See [Schemas and Namespaces: Access and Composition \(§4\)](#) for a more detailed explanation of the mechanisms supporting these levels of conformance.

2.5 Names and Symbol Spaces



As discussed in [XSD Abstract Data Model \(§2.2\)](#), most schema components (MAY) have ·names·. If all such names were assigned from the same "pool", then it would be impossible to have, for example, a simple type definition and an element declaration both with the name "title" in a given ·target namespace·.

Therefore [Definition:] this specification introduces the term **symbol space** to denote a collection of names, each of which is unique with respect to the others. There is a single distinct symbol space within a given ·target namespace· for each kind of definition and declaration component identified in [XSD Abstract Data Model \(§2.2\)](#), except that within a target namespace, simple type definitions and complex type definitions share a symbol space. Within a given symbol space, names **MUST** be unique, but the same name **MAY**

appear in more than one symbol space without conflict. For example, the same name can appear in both a type definition and an element declaration, without conflict or necessary relation between the two.

Locally scoped attribute and element declarations are special with regard to symbol spaces. Every complex type definition defines its own local attribute and element declaration symbol spaces, where these symbol spaces are distinct from each other and from any of the other symbol spaces. So, for example, two complex type definitions having the same target namespace can contain a local attribute declaration for the unqualified name "priority", or contain a local element declaration for the name "address", without conflict or necessary relation between the two.

2.6 Schema-Related Markup in Documents Being Validated

2.6.1 [xsi:type](#)

2.6.2 [xsi:nil](#)

2.6.3 [xsi:schemaLocation, xsi:noNamespaceSchemaLocation](#)

XML Schema Definition Language: Structures defines several attributes for direct use in any XML documents. These attributes are in the schema instance namespace (<http://www.w3.org/2001/XMLSchema-instance>) described in [The Schema Instance Namespace \(xsi\) \(§1.3.1.2\)](#) above. All schema processors MUST have appropriate attribute declarations for these attributes built in, see [Attribute Declaration for the 'type' attribute \(§3.2.7.1\)](#), [Attribute Declaration for the 'nil' attribute \(§3.2.7.2\)](#), [Attribute Declaration for the 'schemaLocation' attribute \(§3.2.7.3\)](#) and [Attribute Declaration for the 'noNamespaceSchemaLocation' attribute \(§3.2.7.4\)](#).

Note: As described above ([Conventional Namespace Bindings \(§1.3.3\)](#)), the attributes described in this section are referred to in this specification as "xsi:type", "xsi:nil", etc. This is shorthand for "an attribute information item whose [namespace name] is <http://www.w3.org/2001/XMLSchema-instance> and whose [local name] is type" (or nil, etc.).

2.6.1 xsi:type

The [Simple Type Definition \(§2.2.1.2\)](#) or [Complex Type Definition \(§2.2.1.3\)](#) used in ·validation· of an element is usually determined by reference to the appropriate schema components. An element information item in an instance MAY, however, explicitly assert its type using the attribute `xsi:type`. The value of this attribute is a ·QName·; see [QName resolution \(Instance\) \(§3.17.6.3\)](#) for the means by which the ·QName· is associated with a type definition.

2.6.2 xsi:nil

XML Schema Definition Language: Structures introduces a mechanism for signaling that an element MUST be accepted as ·valid· when it has no content despite a content type which does not require or even necessarily allow empty content. An element can be ·valid· without content if it has the attribute `xsi:nil` with the value `true`. An element so labeled MUST be empty, but can carry attributes if permitted by the corresponding complex type.

2.6.3 `xsi:schemaLocation`, `xsi:noNamespaceSchemaLocation`

The `xsi:schemaLocation` and `xsi:noNamespaceSchemaLocation` attributes can be used in a document to provide hints as to the physical location of schema documents which can be used for ·assessment·. See [How schema definitions are located on the Web \(§4.3.2\)](#) for details on the use of these attributes.

2.7 Representation of Schemas on the World Wide Web

On the World Wide Web, schemas are conventionally represented as XML documents (preferably of MIME type `application/xml` or `text/xml`, but see clause 1.1 of [Inclusion Constraints and Semantics \(§4.2.2\)](#)), conforming to the specifications in [Layer 2: Schema Documents, Namespaces and Composition \(§4.2\)](#). For more information on the representation and use of schema documents on the World Wide Web see [Standards for representation of schemas and retrieval of schema documents on the Web \(§4.3.1\)](#) and [How schema definitions are located on the Web \(§4.3.2\)](#).

3 Schema Component Details

3.1 Introduction

3.1.1 [Components and Properties](#)

3.1.2 [XML Representations of Components](#)

3.1.3 [The Mapping between XML Representations and Components](#)

3.1.4 [White Space Normalization during Validation](#)

The following sections provide full details on the composition of all schema components, together with their XML representations and their contributions to ·assessment·. Each section is devoted to a single component, with separate subsections for

1. properties: their values and significance
2. XML representation and the mapping to properties
3. constraints on representation
4. validation rules
5. ·post-schema-validation info set· contributions
6. constraints on the components themselves

The sub-sections immediately below introduce conventions and terminology used throughout the component sections.

3.1.1 Components and Properties

Components are defined in terms of their properties, and each property in turn is defined by giving its range, that is the values it MAY have. This can be understood as defining a schema as a labeled directed graph, where the root is a schema, every other vertex is a schema component or a literal (string, boolean, decimal) and every labeled edge is a

property. The graph is *not* acyclic: multiple copies of components with the same name in the same ·symbol space· MUST NOT exist, so in some cases re-entrant chains of properties will exist.

Note: A schema and its components as defined in this chapter are an idealization of the information a schema-aware processor requires: implementations are not constrained in how they provide it. In particular, no implications about literal embedding versus indirection follow from the use below of language such as "properties . . . having . . . components as values".

Component properties are simply named values. Most properties have either other components or literals (that is, strings or booleans or enumerated keywords) for values, but in a few cases, where more complex values are involved, [Definition:] a property value may itself be a collection of named values, which we call a **property record**.

[Definition:] Throughout this specification, the term **absent** is used as a distinguished property value denoting absence. Again this should not be interpreted as constraining implementations, as for instance between using a *null* value for such properties or not representing them at all. [Definition:] A property value which is not ·absent· is **present**.

Any property not defined as optional is always present; optional properties which are not present are taken to have ·absent· as their value. Any property identified as a having a set, subset or list value might have an empty value unless this is explicitly ruled out: this is *not* the same as ·absent·. Any property value identified as a superset or subset of some set might be equal to that set, unless a proper superset or subset is explicitly called for. By 'string' in Part 1 of this specification is meant a sequence of ISO 10646 characters identified as [legal XML characters](#) in [\[XML 1.1\]](#).

Note: It is ·implementation-defined· whether a schema processor uses the definition of legal character from [\[XML 1.1\]](#) or [\[XML 1.0\]](#).

3.1.2 XML Representations of Components

The principal purpose of *XML Schema Definition Language: Structures* is to define a set of schema components that constrain the contents of instances and augment the information sets thereof. Although no external representation of schemas is required for this purpose, such representations will obviously be widely used. To provide for this in an appropriate and interoperable way, this specification provides a normative XML representation for schemas which makes provision for every kind of schema component. [Definition:] A document in this form (i.e. a <schema> element information item) is a **schema document**. For the schema document as a whole, and its constituents, the sections below define correspondences between element information items (with declarations in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#) and [DTD for Schemas \(non-normative\) \(§J\)](#)) and schema components. The key element information items in the XML representation of a schema are in the XSD namespace, that is their [namespace name] is <http://www.w3.org/2001/XMLSchema>. Although a common way of creating the XML Infosets which are or contain ·schema documents· will be using an XML parser, this is not required: any mechanism which constructs conformant infosets as defined in [\[XML Infoset\]](#) is a possible starting point.

Two aspects of the XML representations of components presented in the following

sections are constant across them all:

1. All of them allow attributes qualified with namespace names other than the XSD namespace itself: these appear as annotations in the corresponding schema component;
2. All of them allow an <annotation> as their first child, for human-readable documentation and/or machine-targeted information.

A recurrent pattern in the XML representation of schemas may also be mentioned here. In many cases, the same element name (e.g. `element` or `attribute` or `attributeGroup`), serves both to define a particular schema component and to incorporate it by reference. In the first case the `name` attribute is required, in the second the `ref` attribute is required. These two usages are mutually exclusive, and sometimes also depend on context.

The descriptions of the XML representation of components, and the ‘Schema Representation Constraints’, apply to schema documents *after*, not before, the conditional-inclusion pre-processing described in [Conditional inclusion \(§4.2.1\)](#).

3.1.3 The Mapping between XML Representations and Components

For each kind of schema component there is a corresponding normative XML representation. The sections below describe the correspondences between the properties of each kind of schema component on the one hand and the properties of information items in that XML representation on the other, together with constraints on that representation above and beyond those expressed in the [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#).

The language used is as if the correspondences were mappings from XML representation to schema component, but the mapping in the other direction, and therefore the correspondence in the abstract, can always be constructed therefrom.

In discussing the mapping from XML representations to schema components below, the value of a component property is often determined by the value of an attribute information item, one of the [attributes] of an element information item. Since schema documents are constrained by the [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#), there is always a simple type definition associated with any such attribute information item.

[Definition:] With reference to any string, interpreted as denoting an instance of a given datatype, the term **actual value** denotes the value to which the [lexical mapping](#) of that datatype maps the string. In the case of attributes in schema documents, the string used as the lexical representation is normally the ‘normalized value’ of the attribute. The associated datatype is, unless otherwise specified, the one identified in the declaration of the attribute, in the schema for schema documents; in some cases (e.g. the enumeration facet, or fixed and default values for elements and attributes) the associated datatype will be a more specific one, as specified in the appropriate XML mapping rules. The ‘actual value’ will often be a string, but can also be an integer, a boolean, a URI reference, etc. This term is also occasionally used with respect to element or attribute information items in a document being ‘validated’.

Many properties are identified below as having other schema components or sets of components as values. For the purposes of exposition, the definitions in this section

assume that (unless the property is explicitly identified as optional) all such values are in fact present. When schema components are constructed from XML representations involving reference by name to other components, this assumption will in some cases be violated if one or more references cannot be `resolved`. This specification addresses the matter of missing components in a uniform manner, described in [Missing Sub-components \(§5.3\)](#): no mention of handling missing components will be found in the individual component descriptions below.

Forward reference to named definitions and declarations *is* allowed, both within and between `schema documents`. By the time the component corresponding to an XML representation which contains a forward reference is actually needed for `validation`, it is possible that an appropriately-named component will have become available to discharge the reference: see [Schemas and Namespaces: Access and Composition \(§4\)](#) for details.

3.1.4 White Space Normalization during Validation

Throughout this specification, **[Definition:]** the **initial value** of some attribute information item is the value of the `[normalized value]` property of that item. Similarly, the **initial value** of an element information item is the string composed of, in order, the `[character code]` of each character information item in the `[children]` of that element information item.

The above definition means that comments and processing instructions, even in the midst of text, are ignored for all `validation` purposes.

[Definition:] The **normalized value** of an element or attribute information item is an `initial value` which has been normalized according to the value of the [whiteSpace facet](#), and the values of any other [pre-lexical facets](#), associated with the simple type definition used in its `validation`. The keywords for whitespace normalization have the following meanings:
preserve

No normalization is done, the `whitespace-normalized value` is the `initial value`.

replace

All occurrences of `#x9` (tab), `#xA` (line feed) and `#xD` (carriage return) are replaced with `#x20` (space).

collapse

Subsequent to the replacements specified above under **replace**, contiguous sequences of `#x20s` are collapsed to a single `#x20`, and initial and/or final `#x20s` are deleted.

Similarly, the **normalized value** of any string with respect to a given simple type definition is the string resulting from normalization using the [whiteSpace facet](#) and any other [pre-lexical facets](#), associated with that simple type definition.

When more than one [pre-lexical facet](#) applies, the [whiteSpace facet](#) is applied first; the order in which `implementation-defined` facets are applied is `implementation-defined`.

If the simple type definition used in an item's `validation` is `xs:anySimpleType`, then the

·normalized value· MUST be determined as in the **preserve** case above.

There are three alternative validation rules which help supply the necessary background for the above: [Attribute Locally Valid \(§3.2.4.1\)](#) (clause 3), [Element Locally Valid \(Type\) \(§3.3.4.4\)](#) (clause 3.1.3) or [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) (clause 1.2).

These three levels of normalization correspond to the processing mandated in XML for element content, CDATA attribute content and tokenized attributed content, respectively. See [Attribute Value Normalization](#) in [\[XML 1.1\]](#) for the precedent for **replace** and **collapse** for attributes. Extending this processing to element content is necessary to ensure consistent ·validation· semantics for simple types, regardless of whether they are applied to attributes or elements. Performing it twice in the case of attributes whose [normalized value] has already been subject to replacement or collapse on the basis of information in a DTD is necessary to ensure consistent treatment of attributes regardless of the extent to which DTD-based information has been made use of during infoset construction.

Note: Even when DTD-based information *has* been appealed to, and [Attribute Value Normalization](#) has taken place, it is possible that *further* normalization will take place, as for instance when character entity references in attribute values result in white space characters other than spaces in their ·initial value·s.

Note: The values **replace** and **collapse** may appear to provide a convenient way to "unwrap" text (i.e. undo the effects of pretty-printing and word-wrapping). In some cases, especially highly constrained data consisting of lists of artificial tokens such as part numbers or other identifiers, this appearance is correct. For natural-language data, however, the whitespace processing prescribed for these values is not only unreliable but will systematically remove the information needed to perform unwrapping correctly. For Asian scripts, for example, a correct unwrapping process will replace line boundaries not with blanks but with zero-width separators or nothing. In consequence, it is normally unwise to use these values for natural-language data, or for any data other than lists of highly constrained tokens.

3.2 Attribute Declarations

- 3.2.1 [The Attribute Declaration Schema Component](#)
- 3.2.2 [XML Representation of Attribute Declaration Schema Components](#)
 - 3.2.2.1 [Mapping Rules for Global Attribute Declarations](#)
 - 3.2.2.2 [Mapping Rules for Local Attribute Declarations](#)
 - 3.2.2.3 [Mapping Rules for References to Top-level Attribute Declarations](#)
- 3.2.3 [Constraints on XML Representations of Attribute Declarations](#)
- 3.2.4 [Attribute Declaration Validation Rules](#)
 - 3.2.4.1 [Attribute Locally Valid](#)
 - 3.2.4.2 [Governing Attribute Declaration and Governing Type Definition](#)
 - 3.2.4.3 [Schema-Validity Assessment \(Attribute\)](#)
- 3.2.5 [Attribute Declaration Information Set Contributions](#)
 - 3.2.5.1 [Assessment Outcome \(Attribute\)](#)
 - 3.2.5.2 [Validation Failure \(Attribute\)](#)
 - 3.2.5.3 [Attribute Declaration](#)
 - 3.2.5.4 [Attribute Validated by Type](#)
- 3.2.6 [Constraints on Attribute Declaration Schema Components](#)
 - 3.2.6.1 [Attribute Declaration Properties Correct](#)

- 3.2.6.2 [Simple Default Valid](#)
- 3.2.6.3 [xmlns Not Allowed](#)
- 3.2.6.4 [xsi: Not Allowed](#)
- 3.2.7 [Built-in Attribute Declarations](#)
 - 3.2.7.1 [xsi:type](#)
 - 3.2.7.2 [xsi:nil](#)
 - 3.2.7.3 [xsi:schemaLocation](#)
 - 3.2.7.4 [xsi:noNamespaceSchemaLocation](#)

Attribute declarations provide for:

- Local validation of attribute information item values using a simple type definition;
- Specifying default or fixed values for attribute information items.

Example

```
<xs:attribute name="age" type="xs:positiveInteger" use="required"/>
```

The XML representation of an attribute declaration.

3.2.1 The Attribute Declaration Schema Component

The attribute declaration schema component has the following properties:

Schema Component: Attribute Declaration, a kind of Annotated Component

```
{annotations}
    A sequence of Annotation components.
{name}
    An xs:NCName value. Required.
{target namespace}
    An xs:anyURI value. Optional.
{type definition}
    A Simple Type Definition component. Required.
{scope}
    A Scope property record. Required.
{value constraint}
    A Value Constraint property record. Optional.
{inheritable}
    An xs:boolean value. Required.
```

Property Record: Scope

```
{variety}
    One of {global, local}. Required.
{parent}
    Either a Complex Type Definition or a Attribute Group Definition. Required if
    {variety} is local, otherwise MUST be absent.
```

Property Record: Value Constraint

<code>{variety}</code> One of {default, fixed} . Required.
<code>{value}</code> An <code>·actual value·</code> . Required.
<code>{lexical form}</code> A character string. Required.

The `{name}` property **MUST** match the local part of the names of attributes being `·validated·`.

The value of each attribute validated **MUST** conform to the supplied `{type definition}`.

A `·non-absent·` value of the `{target namespace}` property provides for `·validation·` of namespace-qualified attribute information items (which **MUST** be explicitly prefixed in the character-level form of XML documents). `·Absent·` values of `{target namespace}` `·validate·` unqualified (unprefixed) items.

For an attribute declaration **A**, if **A**.`{scope}`.`{variety}` = **global**, then **A** is available for use throughout the schema. If **A**.`{scope}`.`{variety}` = **local**, then **A** is available for use only within (the Complex Type Definition or Attribute Group Definition) **A**.`{scope}`.`{parent}`.

The `{value constraint}` property reproduces the functions of XML default and #FIXED attribute values. A `{variety}` of **default** specifies that the attribute is to appear unconditionally in the `·post-schema-validation infoset·`, with `{value}` and `{lexical form}` used whenever the attribute is not actually present; **fixed** indicates that the attribute value if present **MUST** be equal to `{value}`, and if absent receives `{value}` and `{lexical form}` as for **default**. Note that it is *values* that are checked, not strings, and that the test is for equality, not identity.

See [Annotations \(§3.15\)](#) for information on the role of the `{annotations}` property.

Note: A more complete and formal presentation of the semantics of `{name}`, `{target namespace}` and `{value constraint}` is provided in conjunction with other aspects of complex type `·validation·` (see [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#).)

[\[XML Infoset\]](#) distinguishes attributes with names such as `xmlns` or `xmlns:xsl` from ordinary attributes, identifying them as [namespace attributes]. Accordingly, it is unnecessary and in fact not possible for schemas to contain attribute declarations corresponding to such namespace declarations, see [xmlns Not Allowed \(§3.2.6.3\)](#). No means is provided in this specification to supply a default value for a namespace declaration.

3.2.2 XML Representation of Attribute Declaration Schema Components

The XML representation for an attribute declaration schema component is an `<attribute>` element information item. It specifies a simple type definition for an attribute either by reference or explicitly, and **MAY** provide default information. The correspondences between the properties of the information item and properties of the component are given

in this section.

Attribute declarations can appear at the top level of a schema document, or within complex type definitions, either as complete (local) declarations, or by reference to top-level declarations, or within attribute group definitions. For complete declarations, top-level or local, the `type` attribute is used when the declaration can use a built-in or pre-declared simple type definition. Otherwise an anonymous `<simpleType>` is provided inline. When no simple type definition is referenced or provided, the default is `*xs:anySimpleType*`, which imposes no constraints at all.

XML Representation Summary: `attribute` Element Information Item

```
<attribute
  default = string
  fixed = string
  form = (qualified | unqualified)
  id = ID
  name = NCName
  ref = QName
  targetNamespace = anyURI
  type = QName
  use = (optional | prohibited | required) : optional
  inheritable = boolean
  {any attributes with non-schema namespace . . .}>
Content: (annotation?, simpleType?)
</attribute>
```

An `<attribute>` element maps to an attribute declaration, and allows the type definition of that declaration to be specified either by reference or by explicit inclusion.

Top-level `<attribute>` elements (i.e. those which appear within the schema document as children of `<schema>` elements) produce **global** attribute declarations; `<attribute>`s within `<attributeGroup>` or `<complexType>` produce either attribute uses which contain **global** attribute declarations (if there's a `ref` attribute) or local declarations (otherwise). For complete declarations, top-level or local, the `type` attribute is used when the declaration can use a built-in or user-defined global type definition. Otherwise an anonymous `<simpleType>` is provided inline.

Attribute information items `·validated·` by a top-level declaration **MUST** be qualified with the `{target namespace}` of that declaration. If the `{target namespace}` is `·absent·`, the item **MUST** be unqualified. Control over whether attribute information items `·validated·` by a local declaration **MUST** be similarly qualified or not is provided by the `form` [attribute], whose default is provided by the `attributeFormDefault` [attribute] on the enclosing `<schema>`, via its determination of `{target namespace}`.

The names for top-level attribute declarations are in their own `·symbol space·`. The names of locally-scoped attribute declarations reside in symbol spaces local to the type definition which contains them.

The following sections specify several sets of XML mapping rules which apply in different circumstances.

- If the `<attribute>` element information item has `<schema>` as its parent, then it maps to a global Attribute Declaration as described in [Mapping Rules for Global Attribute](#)

Declarations (§3.2.2.1).

- If the <attribute> element information item has <complexType> or <attributeGroup> as an ancestor, and the `ref` [attribute] is absent, and the `use` [attribute] is not "prohibited", then it maps both to an Attribute Declaration and to an Attribute Use component, as described in [Mapping Rules for Local Attribute Declarations \(§3.2.2.2\)](#).

On Attribute Use components, see [Attribute Uses \(§3.5\)](#).

- If the <attribute> element information item has <complexType> or <attributeGroup> as an ancestor, and the `ref` [attribute] is 'present', and the `use` [attribute] is not "prohibited", then it maps to an Attribute Use component, as described in [Mapping Rules for References to Top-level Attribute Declarations \(§3.2.2.3\)](#).
- If the <attribute> element information item has `use='prohibited'`, then it does not map to, or correspond to, any schema component at all.

Note: The `use` attribute is not allowed on top-level <attribute> elements, so this can only happen with <attribute> elements appearing within a <complexType> or <attributeGroup> element.

3.2.2.1 Mapping Rules for Global Attribute Declarations

If the <attribute> element information item has <schema> as its parent, the corresponding schema component is as follows:

XML Mapping Summary for Attribute Declaration Schema Component							
Property	Representation						
{name}	The 'actual value' of the <code>name</code> [attribute]						
{target namespace}	The 'actual value' of the <code>targetNamespace</code> [attribute] of the parent <schema> element information item, or 'absent' if there is none.						
{type definition}	The simple type definition corresponding to the <simpleType> element information item in the [children], if present, otherwise the simple type definition 'resolved' to by the 'actual value' of the <code>type</code> [attribute], if present, otherwise <code>*xs:anySimpleType*</code> .						
{scope}	A Scope as follows: <table border="1" data-bbox="516 1598 1446 1822"><thead><tr><th>Property</th><th>Value</th></tr></thead><tbody><tr><td>{variety}</td><td>global</td></tr><tr><td>{parent}</td><td>'absent'</td></tr></tbody></table>	Property	Value	{variety}	global	{parent}	'absent'
Property	Value						
{variety}	global						
{parent}	'absent'						
{value}	If there is a <code>default</code> or a <code>fixed</code> [attribute], then a Value Constraint as						

constraint} follows, otherwise `·absent·`.

Property	Value
{variety}	either default or fixed , as appropriate
{value}	the <code>·actual value·</code> (with respect to the {type definition}) of the [attribute]
{lexical form}	the <code>·normalized value·</code> (with respect to the {type definition}) of the [attribute]

{inheritable} The `·actual value·` of the `inheritable` [attribute], if present, otherwise **false**.

{annotations} The `·annotation mapping·` of the <attribute> element, as defined in [XML Representation of Annotation Schema Components \(§3.15.2\)](#).

3.2.2.2 Mapping Rules for Local Attribute Declarations

If the <attribute> element information item has <complexType> or <attributeGroup> as an ancestor and the `ref` [attribute] is absent, it maps both to an attribute declaration (see below) and to an attribute use with properties as follows (unless `use='prohibited'`, in which case the item corresponds to nothing at all):

XML Mapping Summary for [Attribute Use](#) Schema Component

Property	Representation
{required}	true if the <attribute> element has <code>use = required</code> , otherwise false .
{attribute declaration}	See the Attribute Declaration mapping immediately below.
{value constraint}	If there is a <code>default</code> or a <code>fixed</code> [attribute], then a Value Constraint as follows, otherwise <code>·absent·</code> .

Property	Value
{variety}	either default or fixed , as appropriate
{value}	the <code>·actual value·</code> of the [attribute] (with respect to {attribute declaration}.{type definition})
{lexical form}	the <code>·normalized value·</code> of the [attribute] (with respect to {attribute declaration}.{type definition})

{inheritable}	The ·actual value· of the <code>inheritable</code> [attribute], if present, otherwise false .
{annotations}	The same annotations as the {annotations} of the Attribute Declaration. See below.

The <attribute> element also maps to the {attribute declaration} of the attribute use just described, as follows:

XML Mapping Summary for Attribute Declaration Schema Component							
Property	Representation						
{name}	The ·actual value· of the <code>name</code> [attribute]						
{target namespace}	The appropriate case among the following: 1 If <code>targetNamespace</code> is present , then its ·actual value·. 2 If <code>targetNamespace</code> is not present and one of the following is true 2.1 <code>form = qualified</code> 2.2 <code>form</code> is absent and the <schema> ancestor has <code>attributeFormDefault = qualified</code> then the ·actual value· of the <code>targetNamespace</code> [attribute] of the ancestor <schema> element information item, or ·absent· if there is none. 3 otherwise ·absent·.						
{type definition}	The simple type definition corresponding to the <simpleType> element information item in the [children], if present, otherwise the simple type definition ·resolved· to by the ·actual value· of the <code>type</code> [attribute], if present, otherwise <code>*xs:anySimpleType*</code> .						
{scope}	A Scope as follows: <table border="1" data-bbox="516 1220 1446 1703"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>local</td> </tr> <tr> <td>{parent}</td> <td>If the <attribute> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <attribute> element information item is within an <attributeGroup> element information item), the Attribute Group Definition corresponding to that item.</td> </tr> </tbody> </table>	Property	Value	{variety}	local	{parent}	If the <attribute> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <attribute> element information item is within an <attributeGroup> element information item), the Attribute Group Definition corresponding to that item.
Property	Value						
{variety}	local						
{parent}	If the <attribute> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <attribute> element information item is within an <attributeGroup> element information item), the Attribute Group Definition corresponding to that item.						
{value constraint}	·absent·.						
{inheritable}	The ·actual value· of the <code>inheritable</code> [attribute], if present, otherwise false .						

{annotations} The ·annotation mapping· of the <attribute> element, as defined in [XML Representation of Annotation Schema Components \(§3.15.2\)](#).

3.2.2.3 Mapping Rules for References to Top-level Attribute Declarations

If the <attribute> element information item has <complexType> or <attributeGroup> as an ancestor and the `ref` [attribute] is present, it maps to an attribute use with properties as follows (unless `use='prohibited'`, in which case the item corresponds to nothing at all):

XML Mapping Summary for [Attribute Use](#) Schema Component

Property	Representation								
{required}	true if <code>use = required</code> , otherwise false .								
{attribute declaration}	The (top-level) attribute declaration ·resolved· to by the ·actual value· of the <code>ref</code> [attribute]								
{value constraint}	If there is a <code>default</code> or a <code>fixed</code> [attribute], then a Value Constraint as follows, otherwise ·absent·.								
<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>either default or fixed, as appropriate</td> </tr> <tr> <td>{value}</td> <td>the ·actual value· of the [attribute] (with respect to {attribute declaration}.{type definition})</td> </tr> <tr> <td>{lexical form}</td> <td>the ·normalized value· of the [attribute] (with respect to {attribute declaration}.{type definition})</td> </tr> </tbody> </table>		Property	Value	{variety}	either default or fixed , as appropriate	{value}	the ·actual value· of the [attribute] (with respect to {attribute declaration}.{type definition})	{lexical form}	the ·normalized value· of the [attribute] (with respect to {attribute declaration}.{type definition})
Property	Value								
{variety}	either default or fixed , as appropriate								
{value}	the ·actual value· of the [attribute] (with respect to {attribute declaration}.{type definition})								
{lexical form}	the ·normalized value· of the [attribute] (with respect to {attribute declaration}.{type definition})								
{inheritable}	The ·actual value· of the <code>inheritable</code> [attribute], if present, otherwise {attribute declaration}.{inheritable}.								
{annotations}	The ·annotation mapping· of the <attribute> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .								

3.2.3 Constraints on XML Representations of Attribute Declarations

Schema Representation Constraint: Attribute Declaration Representation OK

In addition to the conditions imposed on <attribute> element information items by the schema for schema documents, **all** of the following also apply:

- 1 `default` and `fixed` MUST NOT both be present.
- 2 If `default` and `use` are both present, `use` MUST have the ·actual value· `optional`.
- 3 If the item's parent is not <schema>, then **all** of the following MUST be true:
 - 3.1 One of `ref` or `name` is present, but not both.

- 3.2 If `ref` is present, then all of `<simpleType>`, `form` and `type` are absent.
- 4 The `type` attribute and a `<simpleType>` child element MUST NOT both be present.
- 5 If `fixed` and `use` are both present, `use` MUST NOT have the `·actual value·` prohibited.
- 6 If the `targetNamespace` attribute is present then **all** of the following MUST be true:
 - 6.1 The `name` attribute is present.
 - 6.2 The `form` attribute is absent.
 - 6.3 If the ancestor `<schema>` does not have a `targetNamespace` [attribute] or its `·actual value·` is different from the `·actual value·` of `targetNamespace` of `<attribute>`, then **all** of the following are true:
 - 6.3.1 `<attribute>` has `<complexType>` as an ancestor
 - 6.3.2 There is a `<restriction>` ancestor between the `<attribute>` and the nearest `<complexType>` ancestor, and the `·actual value·` of the `base` [attribute] of `<restriction>` does not `·match·` the name of `·xs:anyType·`.

3.2.4 Attribute Declaration Validation Rules

3.2.4.1 Attribute Locally Valid

Informally, an attribute in an XML instance is locally `·valid·` against an attribute declaration if and only if (a) the name of the attribute matches the name of the declaration, (b) after whitespace normalization its `·normalized value·` is locally valid against the type declared for the attribute, and (c) the attribute obeys any relevant value constraint. Additionally, for `xsi:type`, it is required that the type named by the attribute be present in the schema. A logical prerequisite for checking the local validity of an attribute against an attribute declaration is that the attribute declaration itself and the type definition it identifies both be present in the schema.

Local validity of attributes is tested as part of schema-validity `·assessment·` of attributes (and of the elements on which they occur), and the result of the test is exposed in the [validity] property of the `·post-schema-validation info set·`.

A more formal statement is given in the following constraint.

Validation Rule: Attribute Locally Valid

For an attribute information item **A** to be locally `·valid·` with respect to an attribute declaration **D** **all** of the following MUST be true:

- 1 **D** is not `·absent·` (see [Missing Sub-components \(§5.3\)](#) for how this can fail to be the case) and **D** and **A** have the same [expanded name](#).
- 2 **D**.{type definition} is not `·absent·`.
- 3 **A**'s `·initial value·` is locally `·valid·` with respect to **D**.{type definition} as per [String Valid \(§3.16.4\)](#).
- 4 If **D**.{value constraint} is present and **D**.{value constraint}.{variety} = **fixed**, then **A**'s `·actual value·` is equal to **D**.{value constraint}.{value}.
- 5 If **D** is the built-in declaration for `xsi:type` ([Attribute Declaration for the 'type' attribute \(§3.2.7.1\)](#)), then **A**'s `·actual value·` `·resolves·` to a type definition.

3.2.4.2 Governing Attribute Declaration and Governing Type Definition

[Definition:] In a given schema-validity ·assessment· episode, the ·governing· declaration of an attribute (its **governing attribute declaration**) is the first of the following which applies:

1 A declaration which was stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).

2 Its ·context-determined declaration·;

3 A declaration ·resolved· to by its [local name] and [namespace name], provided the attribute is not ·attributed· to a **skip** ·wildcard particle· and the processor has not stipulated a type definition at the start of ·assessment·.

If the attribute is ·attributed· to a **skip** ·wildcard particle· or if the processor has stipulated a type definition, then it has no ·governing· declaration.

[Definition:] The **governing type definition** of an attribute, in a given schema-validity ·assessment· episode, is the {type definition} of the ·governing attribute declaration·, unless the processor has stipulated another type definition at the start of ·assessment· (see [Assessing Schema-Validity \(§5.2\)](#)), in which case it is the stipulated type definition.

3.2.4.3 Schema-Validity Assessment (Attribute)

Schema-validity assessment of an attribute information item involves identifying its ·governing attribute declaration· and checking its local validity against the declaration. If the ·governing type definition· is not present in the schema, then assessment is necessarily incomplete.

Validation Rule: Schema-Validity Assessment (Attribute)

The schema-validity assessment of an attribute information item depends on its ·validation· alone.

For an attribute information item's schema-validity to have been assessed **all** of the following MUST be true:

1 A ·non-absent· attribute declaration is known for it, namely its ·governing· declaration.

2 Its ·validity· with respect to that declaration has been evaluated as per [Attribute Locally Valid \(§3.2.4.1\)](#).

3 Both clause [1](#) and clause [2](#) of [Attribute Locally Valid \(§3.2.4.1\)](#) are satisfied.

[Definition:] For attribute information items, there is no difference between assessment and strict assessment, so the attribute information item has been **strictly assessed** if and only if its schema-validity has been assessed.

3.2.5 Attribute Declaration Information Set Contributions

3.2.5.1 Assessment Outcome (Attribute)

Schema Information Set Contribution: Assessment Outcome (Attribute)

If the schema-validity of an attribute information item has been assessed as per [Schema-Validity Assessment \(Attribute\) \(§3.2.4.3\)](#), then in the ·post-schema-validation info set· it has properties as follows:

PSVI Contributions for attribute information items

[validation context]

The nearest ancestor element information item with a [schema information] property.

[validity]

The appropriate **case** among the following:

1 **If** it was *·strictly assessed·*, **then** the appropriate **case** among the following:

1.1 **If** it was *·valid·* as defined by [Attribute Locally Valid \(§3.2.4.1\)](#), **then** **valid**;

1.2 **otherwise** *invalid*.

2 **otherwise** *notKnown*.

[validation attempted]

The appropriate **case** among the following:

1 **If** it was *·strictly assessed·*, **then** **full**;

2 **otherwise** *none*.

[schema specified]

infoset. See [Attribute Default Value \(§3.4.5.1\)](#) for the other possible value.

3.2.5.2 Validation Failure (Attribute)

Schema Information Set Contribution: Validation Failure (Attribute)

If and only if the local *·validity·*, as defined by [Attribute Locally Valid \(§3.2.4.1\)](#) above, of an attribute information item has been assessed, then in the *·post-schema-validation infoset·* the item has a property:

PSVI Contributions for attribute information items

[schema error code]

The appropriate **case** among the following:

1 **If** the item is *·invalid·*, **then** a list. Applications wishing to provide information as to the reason(s) for the *·validation·* failure are encouraged to record one or more error codes (see [Outcome Tabulations \(normative\) \(§B\)](#)) herein.

2 **otherwise** *·absent·*.

3.2.5.3 Attribute Declaration

Schema Information Set Contribution: Attribute Declaration

If and only if a *·governing·* declaration is known for an attribute information item then in the *·post-schema-validation infoset·* the attribute information item has a property:

PSVI Contributions for attribute information items

[attribute declaration]

An *item isomorphic* to the *governing* declaration component itself.

[schema default]

If the attribute information item is *attributed* to an Attribute Use then the {lexical form} of the *effective value constraint*, otherwise the {lexical form} of the declaration's {value constraint}.

3.2.5.4 Attribute Validated by Type

Schema Information Set Contribution: Attribute Validated by Type

If and only if a *governing type definition* is known for an attribute information item, then in the *post-schema-validation infoset* the attribute information item has the properties:

PSVI Contributions for attribute information items

[schema normalized value]

If the attribute's *normalized value* is *valid* with respect to the *governing type definition*, then the *normalized value* as *validated*, otherwise *absent*.

[schema actual value]

If the [schema normalized value] is not *absent*, then the corresponding *actual value*; otherwise *absent*.

[type definition]

An *item isomorphic* to the *governing type definition* component.

[type definition type]

simple.

[type definition namespace]

The {target namespace} of the *type definition*.

[type definition anonymous]

true if the {name} of the *type definition* is *absent*, otherwise **false**.

[type definition name]

The {name} of the *type definition*, if the {name} is not *absent*. If the *type definition*'s {name} property is *absent*, then schema processors MAY, but need not, provide a value which uniquely identifies this type definition among those with the same target namespace. It is *implementation-defined* whether a processor provides a name for such a type definition. If a processor does provide a value in this situation, the choice of what value to use is *implementation-dependent*.

Note: The [type definition type], [type definition namespace], [type definition name], and [type definition anonymous] properties are redundant with the [type definition] property; they are defined for the convenience of implementations which wish to expose those specific properties but not the entire type definition.

If the attribute's *initial value* is *valid* with respect to the *governing type definition* as defined by [String Valid \(§3.16.4\)](#) and the *governing type definition* has {variety} **union**,

then calling [Definition:] that [basic member](#) of its [transitive membership](#) which actually validated the attribute item's normalized value the **actual member type definition**, there are four additional properties:

PSVI Contributions for attribute information items

[member type definition]

an item isomorphic to the actual member type definition.

[member type definition namespace]

The {target namespace} of the actual member type definition.

[member type definition anonymous]

true if the {name} of the actual member type definition is absent, otherwise **false**.

[member type definition name]

The {name} of the actual member type definition, if it is not absent. If it is absent, schema processors MAY, but need not, provide a value unique to the definition. It is implementation-defined whether a processor provides a name for such a type definition. If a processor does provide a value in this situation, the choice of what value to use is implementation-dependent.

The first (item isomorphic) alternative above is provided for applications such as query processors which need access to the full range of details about an item's assessment, for example the type hierarchy; the second, for lighter-weight processors for whom representing the significant parts of the type hierarchy as information items might be a significant burden.

If **all** of the following are true:

- 1 the attribute's normalized value is valid with respect to the governing type definition;
- 2 **One** of the following is true:
 - 2.1 the governing type definition has {variety} = **list**;
 - 2.2 the governing type definition has {variety} = **union** and the actual member type definition has {variety} = **list**;
- 3 the {item type definition} of the list type (from the previous clause) has {variety} = **union**;

then there is an additional property:

PSVI Contributions for attribute information items

[member type definitions]

a sequence of Simple Type Definition components, with the same length as the [schema actual value], each one an item isomorphic to the [basic member](#) which actually validated the corresponding space-delimited substring in the [schema normalized value].

See also [Attribute Default Value \(§3.4.5.1\)](#), [Match Information \(§3.4.5.2\)](#) and [Schema Information \(§3.17.5.1\)](#), which describe other information set contributions related to attribute information items.

3.2.6 Constraints on Attribute Declaration Schema Components

All attribute declarations (see [Attribute Declarations \(§3.2\)](#)) MUST satisfy the following constraints.

3.2.6.1 Attribute Declaration Properties Correct

Schema Component Constraint: Attribute Declaration Properties Correct

All of the following MUST be true:

- 1 The values of the properties of an attribute declaration are as described in the property tableau in [The Attribute Declaration Schema Component \(§3.2.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 if there is a {value constraint}, then it is a valid default with respect to the {type definition} as defined in [Simple Default Valid \(§3.2.6.2\)](#).

Note: The use of [ID](#) and related types together with value constraints goes beyond what is possible with XML DTDs, and SHOULD be avoided if compatibility with DTDs is desired.

3.2.6.2 Simple Default Valid

Schema Component Constraint: Simple Default Valid

For a Value Constraint **V** to be a valid default with respect to a Simple Type Definition **T** all of the following MUST be true:

- 1 **V**.{lexical form} is ·valid· with respect to **T** as defined by [Datatype Valid](#) in [\[XML Schema: Datatypes\]](#).
- 2 **V**.{lexical form} maps to **V**.{value} in the value space of **T**.

3.2.6.3 *xmlns* Not Allowed

Schema Component Constraint: *xmlns* Not Allowed

The {name} of an attribute declaration MUST NOT match *xmlns*.

Note: The {name} of an attribute is an ·NCName·, which implicitly prohibits attribute declarations of the form *xmlns:**.

3.2.6.4 *xsi*: Not Allowed

Schema Component Constraint: *xsi*: Not Allowed

The {target namespace} of an attribute declaration, whether local or top-level, MUST NOT match <http://www.w3.org/2001/XMLSchema-instance> (unless it is one of the four built-in declarations given in the next section).

Note: This reinforces the special status of these attributes, so that they not only *need* not be declared to be allowed in instances, but in consequence of the rule just given MUST NOT be declared.

Note: It is legal for Attribute Uses that refer to `xsi:` attributes to specify default or fixed value constraints (e.g. in a component corresponding to a schema document construct of the form `<xs:attribute ref="xsi:type" default="xs:integer"/>`), but the practice is not recommended; including such attribute uses will tend to mislead readers of the schema document, because the attribute uses would have no effect; see [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) and [Attribute Default Value \(§3.4.5.1\)](#) for details.

3.2.7 Built-in Attribute Declarations

There are four attribute declarations present in every schema by definition:

3.2.7.1 `xsi:type`

The `xsi:type` attribute is used to signal use of a type other than the declared type of an element. See [xsi:type \(§2.6.1\)](#).

Attribute Declaration for the 'type' attribute							
Property	Value						
{name}	type						
{target namespace}	http://www.w3.org/2001/XMLSchema-instance						
{type definition}	The built-in QName simple type definition						
{scope}	A Scope as follows: <table border="1" data-bbox="511 1318 1455 1545"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>global</td> </tr> <tr> <td>{parent}</td> <td>·absent·</td> </tr> </tbody> </table>	Property	Value	{variety}	global	{parent}	·absent·
Property	Value						
{variety}	global						
{parent}	·absent·						
{value constraint}	·absent·						
{annotations}	· the empty sequence ·						

3.2.7.2 `xsi:nil`

The `xsi:nil` attribute is used to signal that an element's content is "nil" (or "null"). See

[xsi:nil \(§2.6.2\)](#).

Attribute Declaration for the 'nil' attribute							
Property	Value						
{name}	nil						
{target namespace}	http://www.w3.org/2001/XMLSchema-instance						
{type definition}	The built-in boolean simple type definition						
{scope}	A Scope as follows:						
<table border="1"><thead><tr><th>Property</th><th>Value</th></tr></thead><tbody><tr><td>{variety}</td><td>global</td></tr><tr><td>{parent}</td><td>·absent·</td></tr></tbody></table>		Property	Value	{variety}	global	{parent}	·absent·
Property	Value						
{variety}	global						
{parent}	·absent·						
{value constraint}	·absent·						
{annotations}	· the empty sequence ·						

3.2.7.3 *xsi:schemaLocation*

The `xsi:schemaLocation` attribute is used to signal possible locations of relevant schema documents. See [xsi:schemaLocation, xsi:noNamespaceSchemaLocation \(§2.6.3\)](#).

Attribute Declaration for the 'schemaLocation' attribute							
Property	Value						
{name}	schemaLocation						
{target namespace}	http://www.w3.org/2001/XMLSchema-instance						
{type definition}	An anonymous simple type definition, as follows:						
<table border="1"><thead><tr><th>Property</th><th>Value</th></tr></thead><tbody><tr><td>{name}</td><td>·absent·</td></tr><tr><td>{target}</td><td>http://www.w3.org/2001/XMLSchema-instance</td></tr></tbody></table>		Property	Value	{name}	·absent·	{target}	http://www.w3.org/2001/XMLSchema-instance
Property	Value						
{name}	·absent·						
{target}	http://www.w3.org/2001/XMLSchema-instance						

	<table border="1"> <tr> <td>namespace}</td> <td></td> </tr> <tr> <td>{base type definition}</td> <td>The built in <code>*xs:anySimpleType*</code></td> </tr> <tr> <td>{facets}</td> <td>·absent·</td> </tr> <tr> <td>{variety}</td> <td>list</td> </tr> <tr> <td>{item type definition}</td> <td>The built-in anyURI simple type definition</td> </tr> <tr> <td>{annotations}</td> <td>· the empty sequence ·</td> </tr> </table>	namespace}		{base type definition}	The built in <code>*xs:anySimpleType*</code>	{facets}	·absent·	{variety}	list	{item type definition}	The built-in anyURI simple type definition	{annotations}	· the empty sequence ·
namespace}													
{base type definition}	The built in <code>*xs:anySimpleType*</code>												
{facets}	·absent·												
{variety}	list												
{item type definition}	The built-in anyURI simple type definition												
{annotations}	· the empty sequence ·												
{scope}	A Scope as follows:												
	<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>global</td> </tr> <tr> <td>{parent}</td> <td>·absent·</td> </tr> </tbody> </table>	Property	Value	{variety}	global	{parent}	·absent·						
Property	Value												
{variety}	global												
{parent}	·absent·												
{value constraint}	·absent·												
{annotations}	· the empty sequence ·												

3.2.7.4 `xsi:noNamespaceSchemaLocation`

The `xsi:noNamespaceSchemaLocation` attribute is used to signal possible locations of relevant schema documents. See [xsi:schemaLocation](#), [xsi:noNamespaceSchemaLocation \(§2.6.3\)](#).

Attribute Declaration for the 'noNamespaceSchemaLocation' attribute					
Property	Value				
{name}	<code>noNamespaceSchemaLocation</code>				
{target namespace}	<code>http://www.w3.org/2001/XMLSchema-instance</code>				
{type definition}	The built-in anyURI simple type definition				
{scope}	A Scope as follows:				
	<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>global</td> </tr> </tbody> </table>	Property	Value	{variety}	global
Property	Value				
{variety}	global				

	{parent}	·absent·
{value constraint}		·absent·
{annotations}		· the empty sequence ·

3.3 Element Declarations

- 3.3.1 [The Element Declaration Schema Component](#)
- 3.3.2 [XML Representation of Element Declaration Schema Components](#)
 - 3.3.2.1 [Common Mapping Rules for Element Declarations](#)
 - 3.3.2.2 [Mapping Rules for Top-Level Element Declarations](#)
 - 3.3.2.3 [Mapping Rules for Local Element Declarations](#)
 - 3.3.2.4 [References to Top-Level Element Declarations](#)
 - 3.3.2.5 [Examples of Element Declarations](#)
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 - 3.3.4.1 [Selected and Instance-specified Type Definitions](#)
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 - 3.3.4.3 [Element Locally Valid \(Element\)](#)
 - 3.3.4.4 [Element Locally Valid \(Type\)](#)
 - 3.3.4.5 [Validation Root Valid \(ID/IDREF\)](#)
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- 3.3.5 [Element Declaration Information Set Contributions](#)
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- 3.3.6 [Constraints on Element Declaration Schema Components](#)
 - 3.3.6.1 [Element Declaration Properties Correct](#)
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 - 3.3.6.4 [Substitution Group](#)

Element declarations provide for:

- Local ·validation· of element information item values using a type definition;
- Specifying default or fixed values for element information items;
- Establishing uniquenesses and reference constraint relationships among the values of related elements and attributes;
- Controlling the substitutability of elements through the mechanism of ·element substitution groups·.

Example

```

<xs:element name="PurchaseOrder" type="PurchaseOrderType"/>

<xs:element name="gift">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="birthday" type="xs:date"/>
      <xs:element ref="PurchaseOrder"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>

```

XML representations of several different types of element declaration

3.3.1 The Element Declaration Schema Component

The element declaration schema component has the following properties:

Schema Component: Element Declaration, a kind of Term

{**annotations**}

A sequence of Annotation components.

{**name**}

An xs:NCName value. Required.

{**target namespace**}

An xs:anyURI value. Optional.

{**type definition**}

A Type Definition component. Required.

{**type table**}

A Type Table property record. Optional.

{**scope**}

A Scope property record. Required.

{**value constraint**}

A Value Constraint property record. Optional.

{**nillable**}

An xs:boolean value. Required.

{**identity-constraint definitions**}

A set of Identity-Constraint Definition components.

{**substitution group affiliations**}

A set of Element Declaration components.

{**substitution group exclusions**}

A subset of {**extension, restriction**}.

{**disallowed substitutions**}

A subset of {*substitution, extension, restriction*}.

{**abstract**}

An xs:boolean value. Required.

Property Record: Type Table

{**alternatives**}

A sequence of Type Alternative components.

{**default type definition**}

A Type Alternative component. Required.

Property Record: Scope

{variety}

One of **{global, local}**. Required.

{parent}

Either a Complex Type Definition or a Model Group Definition. Required if {variety} is **local**, otherwise MUST be absent.

Property Record: Value Constraint

{variety}

One of **{default, fixed}**. Required.

{value}

An actual value. Required.

{lexical form}

A character string. Required.

The {name} property MUST match the local part of the names of element information items being validated.

For an element declaration *E*, if *E*.{scope}.{variety} = **global**, then *E* is available for use throughout the schema. If *E*.{scope}.{variety} = **local**, then *E* is available for use only within (the Complex Type Definition or Model Group Definition) *E*.{scope}.{parent}.

A non-absent value of the {target namespace} property provides for validation of namespace-qualified element information items. Absent values of {target namespace} validate unqualified items.

An element information item is normally required to satisfy the {type definition}. For such an item, schema information set contributions appropriate to the {type definition} are added to the corresponding element information item in the post-schema-validation infoset. The type definition against which an element information item is validated (its governing type definition) can be different from the declared {type definition}. The {type table} property of an Element Declaration, which governs conditional type assignment, and the `xsi:type` attribute of an element information item (see [xsi:type \(§2.6.1\)](#)) can cause the governing type definition and the declared {type definition} to be different.

If {nillable} is **true**, then an element with no text or element content can be valid despite a {type definition} which would otherwise require content, if it carries the attribute `xsi:nil` with the value `true` (see [xsi:nil \(§2.6.2\)](#)). Formal details of element validation are described in [Element Locally Valid \(Element\) \(§3.3.4.3\)](#).

[Definition:] An element information item *E* is **nilled** with respect to some element declaration *D* if and only if **all** of the following are true:

1 *E* has `xsi:nil = true`.

2 *D*.{nillable} = **true**.

If *E* is said to be nilled without the identity of *D* being clear from the context, then *D* is assumed to be *E*'s governing element declaration.

{value constraint} establishes a default or fixed value for an element. If a {value constraint}

with {variety} = **default** is present, and if the element being ·validated· is empty, then for purposes of calculating the [schema normalized value] and other contributions to the ·post-schema-validation info set· the element is treated as if {value constraint}·{lexical form} was used as the content of the element. If **fixed** is specified, then the element's content MUST either be empty, in which case **fixed** behaves as **default**, or its value MUST be equal to {value constraint}·{value}.

Note: When a default value is supplied and used, as described in the second sentence of the preceding paragraph, the default value is used to calculate the [schema normalized value], etc., but the actual content of the element is not changed: the element contained no character information items in the input information set, and it contains none in the PSVI.

Note: The provision of defaults for elements goes beyond what is possible in XML DTDs, and does not exactly correspond to defaults for attributes. In particular, an element with a non-empty {value constraint} whose simple type definition includes the empty string in its lexical space will nonetheless never receive that value, because the {value constraint} will override it.

{identity-constraint definitions} express constraints establishing uniquenesses and reference relationships among the values of related elements and attributes. See [Identity-constraint Definitions \(§3.11\)](#).

The {substitution group affiliations} property of an element declaration indicates which ·substitution groups·, if any, it can potentially be a member of. Potential membership is transitive but not symmetric; an element declaration is a potential member of any group named in its {substitution group affiliations}, and also of any group of which any entry in its {substitution group affiliations} is a potential member. Actual membership MAY be blocked by the effects of {substitution group exclusions} or {disallowed substitutions}, see below.

An empty {substitution group exclusions} allows a declaration to be named in the {substitution group affiliations} of other element declarations having the same declared {type definition} or some type ·derived· therefrom. The explicit values of {substitution group exclusions}, **extension** or **restriction**, rule out element declarations having types whose derivation from {type definition} involves any **extension** steps, or **restriction** steps, respectively .

The supplied values for {disallowed substitutions} determine whether an element declaration appearing in a ·content model· will be prevented from additionally ·validating· elements (a) with an [xsi:type \(§2.6.1\)](#) that identifies an **extension** or **restriction** of the type of the declared element, and/or (b) from ·validating· elements which are in the ·substitution group· headed by the declared element. If {disallowed substitutions} is empty, then all ·derived· types and ·substitution group· members are allowed.

Element declarations for which {abstract} is **true** can appear in content models only when substitution is allowed; such declarations MUST NOT themselves ever be used to ·validate· element content.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.3.2 XML Representation of Element Declaration Schema Components

The XML representation for an element declaration schema component is an `<element>` element information item. It specifies a type definition for an element either by reference or explicitly, and MAY provide occurrence and default information. The correspondences between the properties of the information item and properties of the component(s) it corresponds to are given in this section.

XML Representation Summary: `element` Element Information Item

```

<element
  abstract = boolean : false
  block = (#all | List of (extension | restriction | substitution))
  default = string
  final = (#all | List of (extension | restriction))
  fixed = string
  form = (qualified | unqualified)
  id = ID
  maxOccurs = (nonNegativeInteger | unbounded) : 1
  minOccurs = nonNegativeInteger : 1
  name = NCName
  nillable = boolean : false
  ref = QName
  substitutionGroup = List of QName
  targetNamespace = anyURI
  type = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, ((simpleType | complexType)?, alternative*, (unique
| key | keyref)*))
</element>

```

An `<element>` element information item in a schema document maps to an element declaration and allows the type definition of that declaration to be specified either by reference or by explicit inclusion.

Top-level `<element>` elements (i.e. those which appear within the schema document as children of `<schema>` elements) produce **global** element declarations; `<element>`s within `<group>` or `<complexType>` produce either particles which contain **global** element declarations (if there's a `ref` attribute) or local declarations (otherwise). For complete declarations, top-level or local, the `type` attribute is used when the declaration can use a built-in or user-defined global type definition. Otherwise an anonymous `<simpleType>` or `<complexType>` is provided inline.

Element information items `·validated·` by a top-level declaration MUST be qualified with the `{target namespace}` of that declaration. If the `{target namespace}` is `·absent·`, the item MUST be unqualified. Control over whether element information items `·validated·` by a local declaration MUST be similarly qualified or not is provided by the `form` [attribute], whose default is provided by the `elementFormDefault` [attribute] on the enclosing `<schema>`, via its determination of `{target namespace}`.

The names for top-level element declarations are in a separate `·symbol space·` from the symbol spaces for the names of type definitions, so there can (but need not be) a simple or complex type definition with the same name as a top-level element. As with attribute names, the names of locally-scoped element declarations with no `{target namespace}` reside in symbol spaces local to the type definition which contains them.

Note that the above allows for two levels of defaulting for unspecified type definitions. An `<element>` with no referenced or included type definition will correspond to an element declaration which has the same type definition as the first substitution-group head named in the `substitutionGroup` [attribute], if present, otherwise `·xs:anyType·`. This has the important consequence that the minimum valid element declaration, that is, one with only a `name` attribute and no contents, is also (nearly) the most general, validating any combination of text and element content and allowing any attributes, and providing for recursive validation where possible.

See [XML Representation of Identity-constraint Definition Schema Components \(§3.11.2\)](#) for `<key>`, `<unique>` and `<keyref>`.

The following sections specify several sets of XML mapping rules which apply in different circumstances.

- If the `<element>` element information item has `<schema>` as its parent, it maps to an Element Declaration using the mappings described in [Common Mapping Rules for Element Declarations \(§3.3.2.1\)](#) and [Mapping Rules for Top-Level Element Declarations \(§3.3.2.2\)](#).
- If the `<element>` element information item has `<complexType>` or `<group>` as an ancestor, and the `ref` [attribute] is absent, and it does not have `minOccurs=maxOccurs=0`, then it maps both to a Particle, as described in [Mapping Rules for Local Element Declarations \(§3.3.2.3\)](#), and also to an Element Declaration, using the mappings described in [Common Mapping Rules for Element Declarations \(§3.3.2.1\)](#) and [Mapping Rules for Local Element Declarations \(§3.3.2.3\)](#).
- If the `<element>` element information item has `<complexType>` or `<group>` as an ancestor, and the `ref` [attribute] is present, and it does not have `minOccurs=maxOccurs=0`, then it maps to a Particle as described in [References to Top-Level Element Declarations \(§3.3.2.4\)](#).
- If the `<element>` element information item has `minOccurs=maxOccurs=0`, then it maps to no component at all.

Note: The `minOccurs` and `maxOccurs` attributes are not allowed on top-level `<element>` elements, so in valid schema documents this will happen only when the `<element>` element information item has `<complexType>` or `<group>` as an ancestor.

3.3.2.1 Common Mapping Rules for Element Declarations

The following mapping rules apply in all cases where an `<element>` element maps to an Element Declaration component.

XML Mapping Summary for [Element Declaration](#) Schema Component

Property	Representation
{name}	The <code>·actual value·</code> of the <code>name</code> [attribute].

{type definition}

The first of the following that applies:

- 1 The type definition corresponding to the <simpleType> or <complexType> element information item in the [children], if either is present.
- 2 The type definition ·resolved· to by the ·actual value· of the `type` [attribute], if it is present.
- 3 The declared {type definition} of the Element Declaration ·resolved· to by the first [QName](#) in the ·actual value· of the `substitutionGroup` [attribute], if present.
- 4 ·xs:anyType·.

{type table}

A Type Table corresponding to the <alternative> element information items among the [children], if any, as follows, otherwise ·absent·.

Property	Value
{alternatives}	A sequence of Type Alternatives, each corresponding, in order, to one of the <alternative> elements which have a <code>test</code> [attribute].
{default type definition}	Depends upon the final <alternative> element among the [children]. If it has no <code>test</code> [attribute], the final <alternative> maps to the {default type definition}; if it does have a <code>test</code> attribute, it is covered by the rule for {alternatives} and the {default type definition} is taken from the declared type of the Element Declaration. So the value of the {default type definition} is given by the appropriate case among the following: <ol style="list-style-type: none">1 If the <alternative> has no <code>test</code> [attribute], then a Type Alternative corresponding to the <alternative>.2 otherwise (the <alternative> has a <code>test</code>) a Type Alternative with the following properties:

Property	Value
{test}	·absent·.
{type definition}	the {type definition} property of the parent Element Declaration.

{annotations} the empty sequence.

{nillable} The ·actual value· of the nillable [attribute], if present, otherwise **false**.

{value constraint} If there is a default or a fixed [attribute], then a Value Constraint as follows, otherwise ·absent·. [Definition:] Use the name **effective simple type definition** for the declared {type definition}, if it is a simple type definition, or, if {type definition}.{content type}.{variety} = **simple**, for {type definition}.{content type}.{simple type definition}, or else for the built-in [string](#) simple type definition).

Property	Value
{variety}	either default or fixed , as appropriate
{value}	the ·actual value· (with respect to the ·effective simple type definition·) of the [attribute]
{lexical form}	the ·normalized value· (with respect to the ·effective simple type definition·) of the [attribute]

{identity-constraint definitions} A set consisting of the identity-constraint-definitions corresponding to all the <key>, <unique> and <keyref> element information items in the [children], if any, otherwise the empty set.

{substitution group affiliations} A set of the element declarations ·resolved· to by the items in the ·actual value· of the substitutionGroup [attribute], if present, otherwise the empty set.

{disallowed substitutions} A set depending on the ·actual value· of the block [attribute], if present, otherwise on the ·actual value· of the blockDefault [attribute] of the ancestor <schema> element information item, if present, otherwise on the empty string. Call this the **EBV** (for effective block value). Then the value of this property is the appropriate **case** among the following:
 1 **If** the **EBV** is the empty string, **then** the empty set;
 2 **If** the **EBV** is #all, **then** { **extension**, **restriction**, **substitution** };
 3 **otherwise** a set with members drawn from the set above, each being present or absent depending on whether the ·actual value· (which is a list) contains an equivalently named item.

Note: Although the blockDefault [attribute] of <schema> MAY include values other than **extension**, **restriction** or **substitution**, those values are ignored in the determination of

{disallowed substitutions} for element declarations (they *are* used elsewhere).

{substitution group exclusions}	As for {disallowed substitutions} above, but using the <code>final</code> and <code>finalDefault</code> [attributes] in place of the <code>block</code> and <code>blockDefault</code> [attributes] and with the relevant set being { <i>extension, restriction</i> }.
{abstract}	The ·actual value· of the <code>abstract</code> [attribute], if present, otherwise <i>false</i> .
{annotations}	The ·annotation mapping· of the <element> element and any of its <unique>, <key> and <keyref> [children] with a <code>ref</code> [attribute], as defined in XML Representation of Annotation Schema Components (§3.15.2) .

3.3.2.2 Mapping Rules for Top-Level Element Declarations

If the <element> element information item has <schema> as its parent, it maps to a global Element Declaration, using the mapping given in [Common Mapping Rules for Element Declarations \(§3.3.2.1\)](#), supplemented by the following.

XML Mapping Summary for [Element Declaration](#) Schema Component

Property	Representation
{target namespace}	The ·actual value· of the <code>targetNamespace</code> [attribute] of the parent <schema> element information item, or ·absent· if there is none.
{scope}	A Scope as follows

Property	Value
{variety}	<i>global</i>
{parent}	·absent·

3.3.2.3 Mapping Rules for Local Element Declarations

If the <element> element information item has <complexType> or <group> as an ancestor, and the `ref` [attribute] is absent, and it does not have `minOccurs=maxOccurs=0`, then it maps both to a Particle and to a local Element Declaration which is the {term} of that Particle. The Particle is as follows:

XML Mapping Summary for [Particle](#) Schema Component

Property	Representation
{min	

occurs}	The <i>actual value</i> of the <code>minOccurs</code> [attribute], if present, otherwise 1.
{max occurs}	<i>unbounded</i> , if the <code>maxOccurs</code> [attribute] equals <i>unbounded</i> , otherwise the <i>actual value</i> of the <code>maxOccurs</code> [attribute], if present, otherwise 1.
{term}	A (local) element declaration as given below.
{annotations}	The same annotations as the {annotations} of the {term}.

The <element> element also maps to an element declaration using the mapping rules given in [Common Mapping Rules for Element Declarations \(§3.3.2.1\)](#), supplemented by those below:

XML Mapping Summary for Element Declaration Schema Component							
Property	Representation						
{target namespace}	The appropriate case among the following: 1 If <code>targetNamespace</code> is present , then its <i>actual value</i> . 2 If <code>targetNamespace</code> is not present and one of the following is true 2.1 <code>form = qualified</code> 2.2 <code>form</code> is absent and the <schema> ancestor has <code>elementFormDefault = qualified</code> then the <i>actual value</i> of the <code>targetNamespace</code> [attribute] of the ancestor <schema> element information item, or <i>absent</i> if there is none. 3 otherwise <i>absent</i> .						
{scope}	A Scope as follows: <table border="1" data-bbox="516 1161 1446 1644"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td><i>local</i></td> </tr> <tr> <td>{parent}</td> <td>If the <element> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <element> element information item is within a named <group> element information item), the Model Group Definition corresponding to that item.</td> </tr> </tbody> </table>	Property	Value	{variety}	<i>local</i>	{parent}	If the <element> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <element> element information item is within a named <group> element information item), the Model Group Definition corresponding to that item.
Property	Value						
{variety}	<i>local</i>						
{parent}	If the <element> element information item has <complexType> as an ancestor, the Complex Type Definition corresponding to that item, otherwise (the <element> element information item is within a named <group> element information item), the Model Group Definition corresponding to that item.						

3.3.2.4 References to Top-Level Element Declarations

If the <element> element information item has <complexType> or <group> as an ancestor, and the `ref` [attribute] is present, and it does not have `minOccurs=maxOccurs=0`, then it maps to a Particle as follows.

XML Mapping Summary for [Particle](#) Schema Component

Property	Representation
{min occurs}	The <code>·actual value·</code> of the <code>minOccurs</code> [attribute], if present, otherwise 1.
{max occurs}	<i>unbounded</i> , if the <code>maxOccurs</code> [attribute] equals <i>unbounded</i> , otherwise the <code>·actual value·</code> of the <code>maxOccurs</code> [attribute], if present, otherwise 1.
{term}	The (top-level) element declaration <code>·resolved·</code> to by the <code>·actual value·</code> of the <code>ref</code> [attribute].
{annotations}	The <code>·annotation mapping·</code> of the <code><element></code> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

3.3.2.5 Examples of Element Declarations

Example

```
<xs:element name="unconstrained"/>

<xs:element name="emptyElt">
  <xs:complexType>
    <xs:attribute ...> . . .</xs:attribute>
  </xs:complexType>
</xs:element>

<xs:element name="contextOne">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="myLocalElement" type="myFirstType"/>
      <xs:element ref="globalElement"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>

<xs:element name="contextTwo">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="myLocalElement" type="mySecondType"/>
      <xs:element ref="globalElement"/>
    </xs:sequence>
  </xs:complexType>
</xs:element>
```

The first example above declares an element whose type, by default, is `·xs:anyType·`. The second uses an embedded anonymous complex type definition.

The last two examples illustrate the use of local element declarations. Instances of `myLocalElement` within `contextOne` will be constrained by `myFirstType`, while those within `contextTwo` will be constrained by `mySecondType`.

Note: The possibility that differing attribute declarations and/or content models would

apply to elements with the same name in different contexts is an extension beyond the expressive power of a DTD in XML.

Example

```
<xs:complexType name="facet">
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:attribute name="value" use="required"/>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>

<xs:element name="facet" type="xs:facet" abstract="true"/>

<xs:element name="encoding" substitutionGroup="xs:facet">
  <xs:complexType>
    <xs:complexContent>
      <xs:restriction base="xs:facet">
        <xs:sequence>
          <xs:element ref="annotation" minOccurs="0"/>
        </xs:sequence>
        <xs:attribute name="value" type="xs:encodings"/>
      </xs:restriction>
    </xs:complexContent>
  </xs:complexType>
</xs:element>

<xs:element name="period" substitutionGroup="xs:facet">
  <xs:complexType>
    <xs:complexContent>
      <xs:restriction base="xs:facet">
        <xs:sequence>
          <xs:element ref="annotation" minOccurs="0"/>
        </xs:sequence>
        <xs:attribute name="value" type="xs:duration"/>
      </xs:restriction>
    </xs:complexContent>
  </xs:complexType>
</xs:element>

<xs:complexType name="datatype">
  <xs:sequence>
    <xs:element ref="facet" minOccurs="0" maxOccurs="unbounded"/>
  </xs:sequence>
  <xs:attribute name="name" type="xs:NCName" use="optional"/>
  . . .
</xs:complexType>
```

An example from a previous version of the schema for datatypes. The `facet` type is defined and the `facet` element is declared to use it. The `facet` element is abstract -- it's *only* defined to stand as the head for a substitution group. Two further elements are declared, each a member of the `facet` substitution group. Finally a type is defined which refers to `facet`, thereby allowing *either* `period` or `encoding` (or any other member of the group).

Example

The following example illustrates conditional type assignment to an element, based on the value of one of the element's attributes. Each instance of the `message` element will

be assigned either to type `messageType` or to a more specific type derived from it.

The type `messageType` accepts any well-formed XML or character sequence as content, and carries a `kind` attribute which can be used to describe the kind or format of the message. The value of `kind` is either one of a few well known keywords or, failing that, any string.

```
<xs:complexType name="messageType" mixed="true">
  <xs:sequence>
    <xs:any processContents="skip" minOccurs="0" maxOccurs="unbounded"/>
  </xs:sequence>
  <xs:attribute name="kind">
    <xs:simpleType>
      <xs:union>
        <xs:simpleType>
          <xs:restriction base="xs:string">
            <xs:enumeration value="string"/>
            <xs:enumeration value="base64"/>
            <xs:enumeration value="binary"/>
            <xs:enumeration value="xml"/>
            <xs:enumeration value="XML"/>
          </xs:restriction>
        </xs:simpleType>
        <xs:simpleType>
          <xs:restriction base="xs:string"/>
        </xs:simpleType>
      </xs:union>
    </xs:simpleType>
  </xs:attribute>
  <xs:anyAttribute processContents="skip"/>
</xs:complexType>
```

Three restrictions of `messageType` are defined, each corresponding to one of the three well-known formats: `messageTypeString` for `kind="string"`, `messageTypeBase64` for `kind="base64"` and `kind="binary"`, and `messageTypeXML` for `kind="xml"` or `kind="XML"`.

```
<xs:complexType name="messageTypeString">
  <xs:simpleContent>
    <xs:restriction base="messageType">
      <xs:simpleType>
        <xs:restriction base="xs:string"/>
      </xs:simpleType>
    </xs:restriction>
  </xs:simpleContent>
</xs:complexType>

<xs:complexType name="messageTypeBase64">
  <xs:simpleContent>
    <xs:restriction base="messageType">
      <xs:simpleType>
        <xs:restriction base="xs:base64Binary"/>
      </xs:simpleType>
    </xs:restriction>
  </xs:simpleContent>
</xs:complexType>

<xs:complexType name="messageTypeXML">
  <xs:complexContent>
    <xs:restriction base="messageType">
      <xs:sequence>
        <xs:any processContents="strict"/>
      </xs:sequence>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>
```

```
</xs:restriction>
</xs:complexContent>
</xs:complexType>
```

The `message` element itself uses `messageType` both as its declared type and as its default type, and uses `test` attributes on its `<alternative>` [children] to assign the appropriate specialized message type to messages with the well known values for the `kind` attribute:

```
<xs:element name="message" type="messageType">
  <xs:alternative test="@kind='string'" type="messageTypeString"/>
  <xs:alternative test="@kind='base64'" type="messageTypeBase64"/>
  <xs:alternative test="@kind='binary'" type="messageTypeBase64"/>
  <xs:alternative test="@kind='xml'" type="messageTypeXML"/>
  <xs:alternative test="@kind='XML'" type="messageTypeXML"/>
</xs:element>
```

3.3.3 Constraints on XML Representations of Element Declarations

Schema Representation Constraint: Element Declaration Representation OK

In addition to the conditions imposed on `<element>` element information items by the schema for schema documents: **all** of the following **MUST** be true:

- 1 `default` and `fixed` are not both present.
- 2 If the item's parent is not `<schema>`, then **all** of the following are true:
 - 2.1 One of `ref` or `name` is present, but not both.
 - 2.2 If `ref` is present, then all of `<complexType>`, `<simpleType>`, `<key>`, `<keyref>`, `<unique>`, `nillable`, `default`, `fixed`, `form`, `block` and `type` are absent, i.e. only `minOccurs`, `maxOccurs`, `id` and `<annotation>` are allowed to appear together with `ref`.
- 3 The `<element>` element does not have both a `<simpleType>` or `<complexType>` child and a `type` attribute.
- 4 If `targetNamespace` is present then **all** of the following are true:
 - 4.1 `name` is present.
 - 4.2 `form` is not present.
 - 4.3 If the ancestor `<schema>` does not have a `targetNamespace` [attribute] or its `·actual value·` is different from the `·actual value·` of `targetNamespace` of `<element>`, then **all** of the following are true:
 - 4.3.1 `<element>` has `<complexType>` as an ancestor
 - 4.3.2 There is a `<restriction>` ancestor between the `<element>` and the nearest `<complexType>` ancestor, and the `·actual value·` of the `base` [attribute] of `<restriction>` does not `·match·` the name of `·xs:anyType·`.
- 5 Every `<alternative>` element but the last has a `test` [attribute]; the last `<alternative>` element **MAY** have such an [attribute].

3.3.4 Element Declaration Validation Rules

When an element is `·assessed·`, it is first checked against its `·governing element declaration·`, if any; this in turn entails checking it against its `·governing type definition·`. The second step is recursive: the element's [attributes] and [children] are `·assessed·` in turn with respect to the declarations assigned to them by their parent's `·governing type definition·`.

3.3.4.1 Selected and Instance-specified Type Definitions

The *governing type definition* of an element is normally the declared {type definition} associated with the *governing element declaration*, but this may be *overridden* using conditional type assignment in the Element Declaration or using an *instance-specified type definition*, or both. When the element is declared with conditional type assignment, the *selected type definition* is used as the *governing type definition* unless *overridden* by an *instance-specified type definition*.

[Definition:] The **selected type definition** **S** of an element information item **E** is a type definition associated with **E** in the following way. Let **D** be the *governing element declaration* of **E**. Then:

- 1 If **D** has a {type table}, then **S** is the type *conditionally selected* for **E** by **D**.{type table}.
 - 2 If **D** has no {type table}, then **S** is **D**.{type definition}.
- If **E** has no *governing element declaration*, then **E** has no selected type definition.

Note: It is a consequence of [Element Declaration Properties Correct \(§3.3.6.1\)](#) that if **D** is valid, then **S** will be *validly substitutable* for **D**'s declared {type definition}, or else that **S** will be `*xs:error*`.

[Definition:] Given a Type Table **T** and an element information item **E**, **T** **conditionally selects** a type **S** for **E** in the following way. The {test} expressions in **T**'s {alternatives} are evaluated, in order, until one of the Type Alternatives *successfully selects* a type definition for **E**, or until all have been tried without success. If any Type Alternative *successfully selects* a type definition, none of the following Type Alternatives are tried. Then the type **S** **conditionally selected** for **E** by **T** is as described in the appropriate **case** among the following:

- 1 If at least one Type Alternative in **T**.{alternatives} *successfully selects* a type definition for **E**, then **S** is the type definition selected by the first such Type Alternative.
- 2 If no Type Alternative in **T**.{alternatives} *successfully selects* a type definition, then **S** is **T**.{default type definition}.{type definition}.

[Definition:] An **instance-specified type definition** is a type definition associated with an element information item in the following way:

- 1 Among the element's attribute information items is one named `xsi:type`.
- 2 The *normalized value* of that attribute information item is a qualified name *valid* with respect to the built-in [QName](#) simple type, as defined by [String Valid \(§3.16.4\)](#).
- 3 The *actual value* (a *QName*) *resolves* to a type definition. It is this type definition which is the **instance-specified type definition**.

3.3.4.2 Type Override and Valid Substitutability

[Definition:] An *instance-specified type definition* **S** is said to **override** another type definition **T** if and only if all of the following are true:

- 1 **S** is the *instance-specified type definition* on some element information item **E**. A *governing element declaration* may or may not be known for **E**.
- 2 **S** is *validly substitutable* for **T**, subject to the blocking keywords of the {disallowed substitutions} of **E**'s *governing element declaration*, if any, or *validly substitutable without limitation* for **T** (if no *governing element declaration* is known).

Note: Typically, *T* would be the governing type definition for *E* if it were not overridden. (This will be the case if *T* was stipulated by the processor, as described in [Assessing Schema-Validity \(§5.2\)](#), or *E* has a governing element declaration and *T* is its declared type, or *T* is the locally declared type of *E*.)

Note: The use of the term "override" to denote the relation between an instance-specified type definition *S* and another type *T* has nothing to do with the <override> element; the two mechanisms are distinct and unrelated.

[Definition:] A type definition *S* is **validly substitutable** for another type *T*, subject to a set of blocking keywords *K* (typically drawn from the set {*substitution*, *extension*, *restriction*, *list*, *union*} used in the {disallowed substitutions} and {prohibited substitutions} of element declarations and type definitions), if and only if either

- *S* and *T* are both complex type definitions and *S* is validly derived from *T* subject to the blocking keywords in the union of *K* and *T*. {prohibited substitutions}, as defined in [Type Derivation OK \(Complex\) \(§3.4.6.5\)](#)

or

- *S* is a complex type definition, *T* is a simple type definition, and *S* is validly derived from *T* subject to the blocking keywords in *K*, as defined in [Type Derivation OK \(Complex\) \(§3.4.6.5\)](#)

or

- *S* is a simple type definition and *S* is validly derived from *T* subject to the blocking keywords in *K*, as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

[Definition:] If the set of keywords controlling whether a type *S* is validly substitutable for another type *T* is the empty set, then *S* is said to be **validly substitutable for *T* without limitation or absolutely**. The phrase **validly substitutable**, without mention of any set of blocking keywords, means "validly substitutable without limitation".

Sometimes one type *S* is validly substitutable for another type *T* only if *S* is derived from *T* by a chain of restrictions, or if *T* is a union type and *S* a member type of the union. The concept of valid substitutability is appealed to often enough in such contexts that it is convenient to define a term to cover this specific case. [Definition:] A type definition *S* is **validly substitutable as a restriction** for another type *T* if and only if *S* is validly substitutable for *T*, subject to the blocking keywords {*extension*, *list*, *union*}.

3.3.4.3 Element Locally Valid (Element)

The concept of local validity of an element information item against an element declaration is an important part of the schema-validity assessment of elements. (The other important part is the recursive assessment of attributes and descendant elements.) Local validity partially determines the element information item's [validity] property, and fully determines the [local element validity] property, in the post-schema-validation infoset.

Informally, an element is locally valid against an element declaration when:

1. The declaration is present in the schema and the name of the element matches the name of the declaration.
2. The element is declared concrete (i.e. not abstract).
3. Any `xsi:nil` attribute on the element obeys the rules. The element is allowed to have an `xsi:nil` attribute only if the element is declared nillable, and `xsi:nil = 'true'` is allowed only if the element itself is empty. If the element declaration specifies a fixed value for the element, `xsi:nil='true'` will make the element invalid.
4. Any `xsi:type` attribute present names a type which is `·validly substitutable·` for the element's declared {type definition}.
5. The element's content satisfies the appropriate constraints: If the element is empty and the declaration specifies a default value, the default is checked against the appropriate type definitions. Otherwise, the content of the element is checked against the `·governing type definition·`; additionally, if the element declaration specifies a fixed value, the content is checked against that value.
6. The element satisfies all the identity constraints specified on the element declaration.
7. Additionally, on the `·validation root·`, document-level ID and IDREF constraints are checked.

The following validation rule gives the normative formal definition of local validity of an element against an element declaration.

Validation Rule: Element Locally Valid (Element)

For an element information item ***E*** to be locally `·valid·` with respect to an element declaration ***D*** all of the following MUST be true:

- 1 ***D*** is not `·absent·` and ***E*** and ***D*** have the same [expanded name](#).
- 2 ***D***.{abstract} = **false**.
- 3 **One** of the following is true:
 - 3.1 ***D***.{nillable} = **false**, and ***E*** has no `xsi:nil` attribute.
 - 3.2 ***D***.{nillable} = **true** and **one** of the following is true
 - 3.2.1 ***E*** has no `xsi:nil` attribute information item.
 - 3.2.2 ***E*** has `xsi:nil = false`.
 - 3.2.3 ***E*** has `xsi:nil = true` (that is, ***E*** is `·nilled·`), and **all** of the following are true:
 - 3.2.3.1 ***E*** has no character or element information item [children].
 - 3.2.3.2 ***D*** has no {value constraint} with {variety} = **fixed**.
- 4 If ***E*** has an `xsi:type` attribute, then **all** of the following are true:
 - 4.1 ***E*** has an `·instance-specified type definition·` which is not **absent**.
 - 4.2 The `·instance-specified type definition·` is `·validly substitutable·` for the `·selected type definition·` of ***E***, subject to the blocking keywords in ***D***.{disallowed substitutions}.That is, the `·instance-specified type definition·` `·overrides·` the `·selected type definition·`.

If an instance-specified type definition exists and overrides the selected type definition, then the governing type definition of **E** is the instance-specified type definition, otherwise it is the selected type definition.

5 The appropriate **case** among the following is true:

5.1 If **D** has a {value constraint}, and **E** has neither element nor character [children], and **E** is not nilled with respect to **D**, then all of the following are true:

5.1.1 If **E**'s governing type definition is an instance-specified type definition, then **D**.{value constraint} is a valid default for the governing type definition as defined in [Element Default Valid \(Immediate\) \(§3.3.6.2\)](#).

5.1.2 The element information item with **D**.{value constraint}.{lexical form} used as its normalized value is valid with respect to the governing type definition as defined by [Element Locally Valid \(Type\) \(§3.3.4.4\)](#).

5.2 If **D** has no {value constraint}, or **E** has either element or character [children], or **E** is nilled with respect to **D**, then all of the following are true:

5.2.1 **E** is valid with respect to the governing type definition as defined by [Element Locally Valid \(Type\) \(§3.3.4.4\)](#).

5.2.2 If **D**.{value constraint}.{variety} = **fixed** and **E** is not nilled with respect to **D**, then all of the following are true:

5.2.2.1 **E** has no element information item [children].

5.2.2.2 The appropriate **case** among the following is true:

5.2.2.2.1 If **E**'s governing type definition is a Complex Type Definition with {content type}.{variety} = **mixed**, then the initial value of **E** matches **D**.{value constraint}.{lexical form}.

5.2.2.2.2 If **E**'s governing type definition is a Simple Type Definition or a Complex Type Definition with {content type}.{variety} = **simple**, then the actual value of **E** is equal to **D**.{value constraint}.{value}.

6 **E** is valid with respect to each of the {identity-constraint definitions} as per [Identity-constraint Satisfied \(§3.11.4\)](#).

7 If **E** is the validation root, then it is valid per [Validation Root Valid \(ID/IDREF\) \(§3.3.4.5\)](#).

Note: If an element has an `xsi:type` attribute whose value does not resolve to a type definition, or if the type definition fails to override the selected type definition, then the selected type definition of its governing element declaration becomes the governing type definition. The local validity of the element with respect to the governing type definition is recorded in the [local type validity] property.

3.3.4.4 Element Locally Valid (Type)

The following validation rule specifies formally what it means for an element to be locally valid against a type definition. This concept is appealed to in the course of checking an element's local validity against its governing type definition. It is also part of schema-validity assessment of an element when the element is laxly assessed, by checking its local validity against `xs:anyType`.

Informally, local validity against a type requires first that the type definition be present in the schema and not declared abstract. For a simple type definition, the element must lack attributes (except for namespace declarations and the special attributes in the `xsi`

namespace) and child elements, and must be type-valid against that simple type definition. For a complex type definition, the element must be locally valid against that complex type definition. Also, if the element has an `xsi:type` attribute, then it is not locally valid against any type other than the one named by that attribute.

Validation Rule: Element Locally Valid (Type)

For an element information item **E** to be locally *valid* with respect to a type definition **T** **all** of the following **MUST** be true:

- 1 **T** is not *absent*;
- 2 If **T** is a complex type definition, then **T**.{abstract} = **false**.
- 3 The appropriate **case** among the following is true:
 - 3.1 If **T** is a simple type definition, **then all** of the following are true:
 - 3.1.1 **E**.[attributes] is empty, except for attributes named `xsi:type`, `xsi:nil`, `xsi:schemaLocation`, Or `xsi:noNamespaceSchemaLocation`.
 - 3.1.2 **E** has no element information item [children].
 - 3.1.3 If **E** is not *nilled*, then the *initial value* is *valid* with respect to **T** as defined by [String Valid \(§3.16.4\)](#).
 - 3.2 If **T** is a complex type definition, **then E** is *valid* with respect to **T** as per [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#);
- 4 If **E** has an `xsi:type` [attribute] and does not have a *governing element declaration*, then the *actual value* of `xsi:type` *resolves* to **T**.

Note: This rule only covers the case when a *governing element declaration* is not available. When a *governing element declaration* is present, the same rule is checked in clause 4 of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#).

3.3.4.5 Validation Root Valid (ID/IDREF)

The following validation rule specifies document-level ID/IDREF constraints checked on the *validation root* if it is an element; this rule is not checked on other elements. Informally, the requirement is that each ID identifies a single element within the *validation root*, and that each IDREF value matches one ID.

Validation Rule: Validation Root Valid (ID/IDREF)

For an element information item **E** which is the *validation root* to be *valid* **all** of the following **MUST** be true:

- 1 There is no **ID/IDREF binding** in **E**.[ID/IDREF table] whose [binding] is the empty set.
- 2 There is no **ID/IDREF binding** in **E**.[ID/IDREF table] whose [binding] has more than one member.

See [ID/IDREF Table \(§3.17.5.2\)](#) for the definition of **ID/IDREF binding**.

Note: The first clause above applies when there is a reference to an undefined ID. The second applies when there is a multiply-defined ID. They are separated out to ensure that distinct error codes (see [Outcome Tabulations \(normative\) \(§B\)](#)) are associated with these two cases.

Note: Although this rule applies at the *validation root*, in practice processors,

particularly streaming processors, will perhaps wish to detect and signal the clause 2 case as it arises.

Note: This reconstruction of [XML 1.1](#)'s ID/IDREF functionality is imperfect in that if the ·validation root· is not the document element of an XML document, the results will not necessarily be the same as those a validating parser would give were the document to have a DTD with equivalent declarations.

3.3.4.6 Schema-Validity Assessment (Element)

This section gives the top-level rule for ·assessment· of an element information item. Informally:

1. Assessment begins with the identification of a ·governing element declaration· for the element and then checks that the element is locally valid against the declaration; if no ·governing element declaration· is available, a ·governing type definition· can be used instead.
2. The element's attributes are to be ·assessed· recursively, unless they match a **skip** wildcard and are thus ·skipped·.
3. The element's children are to be ·assessed· recursively, unless they match a **skip** wildcard and are thus ·skipped·. For each child element, the ·governing element declaration· is the one identified in the course of checking the local validity of the parent, unless that declaration is not available. If the ·governing element declaration· is not available, the element may still be ·strictly assessed· if a ·governing type definition· can be identified (e.g. via the `xsi:type` attribute), otherwise the element will be ·laxly assessed·.

[Definition:] The **governing element declaration** of an element information item, in a given schema-validity ·assessment· episode, is the first of the following which applies:

- 1 A declaration stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).
- 2 Its ·context-determined declaration·.
- 3 A declaration ·resolved· to by its [local name] and [namespace name], provided that **none** of the following is true:
 - 3.1 it is ·attributed· to a **skip** ·wildcard particle·
 - 3.2 the processor has stipulated a type definition for it
 - 3.3 a ·non-absent· ·locally declared type· exists for it

If none of these apply, there is no ·governing element declaration· (or, in equivalent words, it is ·absent·).

[Definition:] The **governing type definition** of an element information item **E**, in a given schema-validity ·assessment· episode, is the first of the following which applies:

- 1 An ·instance-specified type definition· which ·overrides· a type definition stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).
- 2 A type definition stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).
- 3 An ·instance-specified type definition· which ·overrides· the ·selected type definition· of **E**.
- 4 The ·selected type definition· of **E**.
- 5 The value ·absent· if **E** is ·skipped·.

- 6 An instance-specified type definition which overrides the locally declared type.
 - 7 The locally declared type.
 - 8 An instance-specified type definition.
- If none of these apply, there is no governing type definition (or, in equivalent words, it is absent).

Validation Rule: Schema-Validity Assessment (Element)

The schema-validity assessment of an element information item depends on its validation and the assessment of its element information item children and associated attribute information items, if any.

[Definition:] For the schema-validity of an element information item **E** to be **strictly assessed**, all of the following MUST be true:

- 1 **One** of the following is true:
 - 1.1 **All** of the following are true:
 - 1.1.1 A non-absent element declaration is known for **E**, namely its governing declaration.
 - 1.1.2 **E**'s validity with respect to that declaration has been evaluated as per [Element Locally Valid \(Element\) \(§3.3.4.3\)](#).
 - 1.1.3 If that evaluation involved the evaluation of [Element Locally Valid \(Type\) \(§3.3.4.4\)](#), clause 1 thereof is satisfied.
 - 1.2 **All** of the following are true:
 - 1.2.1 **E** does not have a governing element declaration.
 - 1.2.2 A non-absent type definition is known for **E**, namely its governing type definition.
 - 1.2.3 The validity of **E** with respect to its governing type definition has been evaluated as per [Element Locally Valid \(Type\) \(§3.3.4.4\)](#).
- 2 For each of the attribute information items among **E**.[attributes], the appropriate **case** among the following is true:
 - 2.1 If the attribute has a governing attribute declaration, then its schema-validity is assessed with respect to that declaration, as defined in [Schema-Validity Assessment \(Attribute\) \(§3.2.4.3\)](#).
 - 2.2 otherwise its schema-validity is not assessed.
- 3 For each of the element information items among its [children], the appropriate **case** among the following is true:
 - 3.1 If the child has a governing element declaration or a governing type definition, then its schema-validity is assessed with respect to that declaration or type definition, as defined in [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#).
 - 3.2 If the child is attributed to a **skip** Wildcard, then its schema-validity is not assessed.
 - 3.3 otherwise its schema-validity is laxly assessed with respect to `*xs:anyType*`.

[Definition:] If the item cannot be strictly assessed, because neither clause 1.1 nor clause 1.2 above is satisfied or the necessary components are missing (see [Missing Sub-components \(§5.3\)](#), and the item is not skipped, the element information item's schema validity MUST be **laxly assessed** by validating with respect to `*xs:anyType*` as per [Element Locally Valid \(Type\) \(§3.3.4.4\)](#) and assessing schema-validity of its [attributes] and [children] as per clause 2 and clause 3 above. If the element information item is skipped, it MUST NOT be **laxly assessed**.

Note: When an element information item is *strictly assessed* or *laxly assessed*, clause 2 above requires that all `xsi: [attributes]` be assessed with respect to the corresponding attribute declarations from [Built-in Attribute Declarations \(§3.2.7\)](#). The result of such assessment is present in the *post-schema-validation infoset*, as defined in [Attribute Declaration Information Set Contributions \(§3.2.5\)](#).

3.3.5 Element Declaration Information Set Contributions

3.3.5.1 Assessment Outcome (Element)

Schema Information Set Contribution: Assessment Outcome (Element)

If and only if the schema-validity of an element information item has been assessed as per [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#), then in the *post-schema-validation infoset* it has properties as follows:

PSVI Contributions for element information items

[validation context]

The nearest ancestor element information item with a [schema information] property (or this element item itself if it has such a property).

[validity]

The appropriate **case** among the following:

1 **If** it was *strictly assessed*, **then** the appropriate **case** among the following:

1.1 **If all** of the following are true:

1.1.1 **One** of the following is true:

1.1.1.1 clause 1.1 of [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) applied and the item was *valid* as defined by [Element Locally Valid \(Element\) \(§3.3.4.3\)](#);

1.1.1.2 clause 1.2 of [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) applied and the item was *valid* as defined by [Element Locally Valid \(Type\) \(§3.3.4.4\)](#).

1.1.2 Neither its [children] nor its [attributes] contains an information item (element or attribute respectively) whose [validity] is *invalid*.

1.1.3 Neither its [children] nor its [attributes] contains an information item (element or attribute respectively) which is *attributed* to a *strict* wildcard particle and whose [validity] is *notKnown*.

then valid;

1.2 **otherwise invalid.**

2 **otherwise notKnown.**

[validation attempted]

The appropriate **case** among the following:

1 **If** it was *strictly assessed* and neither its [children] nor its [attributes] contains an information item (element or attribute respectively) whose [validation attempted] is not *full*, **then full;**

2 **If** it was not *strictly assessed* and neither its [children] nor its [attributes] contains an information item (element or attribute respectively) whose [validation attempted] is not *none*, **then none;**

3 otherwise *partial*.

3.3.5.2 Validation Failure (Element)

Schema Information Set Contribution: Validation Failure (Element)

If and only if the local `·validity·`, as defined by [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above and/or [Element Locally Valid \(Type\) \(§3.3.4.4\)](#) below, of an element information item has been assessed, then in the `·post-schema-validation infoset·` the item has a property:

PSVI Contributions for element information items

[schema error code]

The appropriate **case** among the following:

- 1 **If** the item is `·invalid·`, **then** a list. Applications wishing to provide information as to the reason(s) for the `·validation·` failure are encouraged to record one or more error codes (see [Outcome Tabulations \(normative\) \(§B\)](#) herein.
- 2 **otherwise** `·absent·`.

[subsequence-valid]

The appropriate **case** among the following:

- 1 **If** the element information item is locally `·invalid·`, because unexpected attributes or elements were found among its [attributes] and [children] **and** clause 1 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) would be satisfied, if those unexpected attributes and children (those with [match information] = **none**) were removed, **then true**
- 2 **otherwise false**

[failed identity constraints]

A list of Identity-Constraint Definitions that are not satisfied by the element information item, as defined by [Identity-constraint Satisfied \(§3.11.4\)](#).

Note: In principle, the value of this property includes all of the Identity-Constraint Definitions which are not satisfied for this element item; in practice, some processors will expose a subset of the items in this value, rather than the full value. For example, a processor could choose not to check further identity constraints after detecting the first failure.

[failed assertions]

A list of Assertions that are not satisfied by the element information item, as defined by [Assertion Satisfied \(§3.13.4.1\)](#).

Note: In principle, the value of this property includes all of the Assertions which are not satisfied by this element item; in practice, some processors will expose a subset of the items in this value, rather than the full value. For example, a processor could choose not to check further assertions after detecting the first failure.

3.3.5.3 Element Declaration

Schema Information Set Contribution: Element Declaration

If and only if a `·governing element declaration·` is known for an element information item, then in the `·post-schema-validation infoSet·` the element information item has the properties:

PSVI Contributions for element information items

[element declaration]

an *item isomorphic* to the *governing* declaration component itself

[nil]
true if clause [3.2.3](#) of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above is satisfied, otherwise **false**

[expected element declaration]
 if the element information item is *attributed* to an *element particle*, then the {term} of that Particle, otherwise *absent*.

Note: The [element declaration] either is the same as or is in the *substitution group* of the [expected element declaration].

[declared type]
 an *item isomorphic* to the declared {type definition} of the *governing* element declaration.

[local element validity]
 The appropriate **case** among the following:
 1 **If** the item was *valid* as defined by [Element Locally Valid \(Element\) \(§3.3.4.3\)](#), **then valid**
 2 **otherwise** (the item was *invalid* as defined by [Element Locally Valid \(Element\) \(§3.3.4.3\)](#)) **invalid**.

3.3.5.4 Element Validated by Type

Schema Information Set Contribution: Element Validated by Type

If and only if a *governing type definition* is known for an element information item, then in the *post-schema-validation infoset* the item has the properties:

PSVI Contributions for element information items

[schema normalized value]
 The appropriate **case** among the following:
 1 **If** the element information item is not *nilled* and either the *governing* type definition is a simple type definition or its {content type} has {variety} **simple**, **then** the appropriate **case** among the following:
 1.1 **If** clause [5.1](#) of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above has applied, **then** the {lexical form} of the {value constraint}
 1.2 **If** clause [5.1](#) of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above has *not* applied and the the element's *initial value* is *valid* with respect to the simple type definition as defined by [String Valid \(§3.16.4\)](#), **then** the *normalized value* of the item as *validated*.
 1.3 **otherwise** *absent*.
 2 **otherwise** *absent*.

[schema actual value]
 If the [schema normalized value] is not *absent*, then the corresponding *actual value*; otherwise *absent*.

[type definition]
 An *item isomorphic* to the *governing type definition* component itself.

<p>[type definition type] simple or complex, depending on the [type definition].</p> <p>[type definition namespace] [type definition].{target namespace}.</p> <p>[type definition anonymous] true if [type definition].{name} is <code>absent</code>, otherwise false.</p> <p>[type definition name] If [type definition].{name} is not <code>absent</code>, then [type definition].{name}, otherwise schema processors MAY, but need not, provide a value unique to the definition. It is <code>implementation-defined</code> whether a processor provides a name for such a type definition. If a processor does provide a value in this situation, the choice of what value to use is <code>implementation-dependent</code>.</p> <p>[type fallback] A keyword indicating whether the expected type definition was unavailable and the element had a fallback type as its <code>governing type definition</code>.</p> <ul style="list-style-type: none"> • declared if the element information item has a <code>governing element declaration</code> which has no {type table}, and also an <code>xsi:type</code> attribute which fails to <code>resolve</code> to a type definition that <code>overrides</code> the declared {type definition} • selected if the element information item has a <code>governing element declaration</code> with a {type table} and also has an <code>xsi:type</code> attribute which fails to <code>resolve</code> to a type definition that <code>overrides</code> the <code>selected type definition</code>. • lax if the element was <code>laxly assessed</code> using <code>*xs:anyType*</code> • none otherwise <p>[type alternative] If the element's <code>governing element declaration</code> does not have a {type table}, then <code>absent</code>; otherwise the first Type Alternative that <code>successfully selected</code> the element's <code>selected type definition</code>, if any; otherwise the {default type definition}.</p> <p>[local type validity] The appropriate case among the following: 1 If the element information item was <code>valid</code> as defined by Element Locally Valid (Type) (§3.3.4.4), then valid 2 otherwise (the item was <code>invalid</code> as defined by Element Locally Valid (Type) (§3.3.4.4)) invalid.</p> <p>[descendent validity] The appropriate case among the following: 1 If neither its [children] nor its [attributes] contains an information item I (element or attribute respectively) where either I's [validity] is invalid or I is <code>attributed</code> to a strict <code>wildcard particle</code> and I's [validity] is notKnown, then valid; 2 otherwise invalid.</p>
--

Note: The [type definition type], [type definition namespace], [type definition name],

and [type definition anonymous] properties are redundant with the [type definition] property; they are defined for the convenience of implementations which wish to expose those specific properties but not the entire type definition.

Note: When clause 5.1 of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above applies and the default or fixed value constraint {value} is of type [QName](#) or [NOTATION](#), it is implementation-dependent whether namespace fixup occurs; if it does not, the prefix used in the lexical representation (in [schema normalized value]) will not necessarily map to the namespace name of the value (in [schema actual value]). To reduce problems and confusion, users may prefer to ensure that the required namespace information item is present in the input infoset.

If the [schema normalized value] is not absent and the governing type definition is a simple type definition with {variety} **union**, or its {content type} has {variety} **simple** and {simple type definition} a simple type definition with {variety} **union**, then calling [\[Definition:\]](#) that [basic member of its transitive membership](#) which actually validated the [schema normalized value] **the actual member type definition**, there are four additional properties:

PSVI Contributions for element information items

[member type definition]

An item isomorphic to the actual member type definition.

[member type definition namespace]

The {target namespace} of the actual member type definition.

[member type definition anonymous]

true if the {name} of the actual member type definition is absent, otherwise **false**.

[member type definition name]

The {name} of the actual member type definition, if it is not absent. If it is absent, schema processors MAY, but need not, provide a value unique to the definition. It is implementation-defined whether a processor provides a name for such a type definition. If a processor does provide a value in this situation, the choice of what value to use is implementation-dependent.

The [type definition] property is provided for applications such as query processors which need access to the full range of details about an item's assessment, for example the type hierarchy; the [type definition type], [type definition namespace], [type definition name], and [type definition anonymous] properties are defined for the convenience of those specifying lighter-weight interfaces, in which exposing the entire type hierarchy and full component details might be a significant burden.

If **all** of the following are true:

1 the [schema normalized value] is not absent;

2 **One** of the following is true:

2.1 the simple type definition used to validate the normalized value (either the governing type definition or its {simple type definition}) has {variety} = **list**;

2.2 the simple type definition has {variety} = **union** and the actual member type definition has {variety} = **list**;

3 the {item type definition} of the list type (from the previous clause) has {variety} =

union;

then there is an additional property:

PSVI Contributions for element information items

[member type definitions]

a sequence of Simple Type Definition components, with the same length as the [schema actual value], each one an *item isomorphic* to the [basic member](#) which actually *validated* the corresponding space-delimited substring in the [schema normalized value].

Also, if the declaration has a {value constraint}, the item has a property:

PSVI Contributions for element information items

[schema default]

The {lexical form} of the declaration's {value constraint}.

Note that if an element is *laxly assessed*, then the [type definition] and [member type definition] properties, or their alternatives, are based on *xs:anyType*.

3.3.5.5 Element Default Value

Schema Information Set Contribution: Element Default Value

If and only if the local *validity*, as defined by [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above, of an element information item has been assessed, in the *post-schema-validation infoset* the item has a property:

PSVI Contributions for element information items

[schema specified]

The appropriate **case** among the following:

- 1 **If** clause [5.1](#) of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) above applies, **then schema**.
- 2 **otherwise infoset**.

See also [Match Information \(§3.4.5.2\)](#), [Identity-constraint Table \(§3.11.5\)](#), [Validated with Notation \(§3.14.5\)](#), and [Schema Information \(§3.17.5.1\)](#), which describe other information set contributions related to element information items.

3.3.5.6 Inherited Attributes

Schema Information Set Contribution: Inherited Attributes

[Definition:] An attribute information item **A**, whether explicitly specified in the input

information set or defaulted as described in [Attribute Default Value \(§3.4.5.1\)](#), is **potentially inherited** by an element information item **E** if and only if **all** of the following are true:

- 1 **A** is among the [attributes] of one of **E**'s ancestors.
- 2 **A** and **E** have the same [validation context].
- 3 **One** of the following is true:
 - 3.1 **A** is ·attributed to· an Attribute Use whose {inheritable} = **true**.
 - 3.2 **A** is *not* ·attributed to· any Attribute Use but **A** has a ·governing attribute declaration· whose {inheritable} = **true**.

If and only if an element information item **P** is not ·skipped· (that is, it is either ·strictly· or ·laxly· assessed), in the ·post-schema-validation info set· each of **P**'s element information item [children] **E** which is not ·attributed to· a **skip** Wildcard, has a property:

PSVI Contributions for element information items

[inherited attributes]

A list of attribute information items. An attribute information item **A** is included if and only if **all** of the following are true:

- 1 **A** is ·potentially inherited· by **E**.
- 2 Let **O** be **A**'s [owner element]. **A** does not have the same [expanded name](#) as another attribute which is also ·potentially inherited· by **E** and whose [owner element] is a descendant of **O**.

3.3.6 Constraints on Element Declaration Schema Components

All element declarations (see [Element Declarations \(§3.3\)](#)) MUST satisfy the following constraint.

3.3.6.1 Element Declaration Properties Correct

Schema Component Constraint: Element Declaration Properties Correct

For any element declaration **E**, **all** of the following MUST be true:

- 1 The values of **E**'s properties are as described in the property tableau in [The Element Declaration Schema Component \(§3.3.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If **E** has a ·non-absent· {value constraint}, then **E**.{value constraint} is a valid default with respect to **E**.{type definition} as defined in [Element Default Valid \(Immediate\) \(§3.3.6.2\)](#).
- 3 If **E**.{substitution group affiliations} is non-empty, then **E**.{scope}.{variety} = **global**.
- 4 For each member **M** of **E**.{substitution group affiliations}, **E**.{type definition} is ·validly substitutable· for **M**.{type definition}, subject to the blocking keywords in **M**.{substitution group exclusions}.
- 5 There are no circular substitution groups. That is, it is not possible to return to **E** by repeatedly following any member of the {substitution group affiliations} property.
- 6 If **E**.{type table} exists, then for each Type Alternative in **E**.{type table}.{alternatives}, the {test} property is not ·absent·.

- 7 If E .{type table} exists, then for each {type definition} T in E .{type table}.{alternatives}, and also for E .{type table}.{default type definition}.{type definition}, **one** of the following is true
- 7.1 T is ·validly substitutable· for E .{type definition}, subject to the blocking keywords of E .{disallowed substitutions}.
 - 7.2 T is the type `xs:error`.

3.3.6.2 Element Default Valid (Immediate)

This and the following sections define relations appealed to elsewhere in this specification.

Schema Component Constraint: Element Default Valid (Immediate)

For a Value Constraint V to be a valid default with respect to a type definition T the appropriate **case** among the following **MUST** be true:

- 1 If T is a simple type definition or a complex type definition with {content type}.{variety} = **simple**, then V is a valid default with respect either to T (if T is simple) or (if T is complex) to T .{content type}.{simple type definition} as defined by [Simple Default Valid \(§3.2.6.2\)](#).
- 2 If T is a complex type definition with {content type}.{variety} \neq **simple**, then all of the following are true:
 - 2.1 T .{content type}.{variety} = **mixed**.
 - 2.2 The particle T .{content type}.{particle} is ·emptiable· as defined by [Particle Emptiable \(§3.9.6.3\)](#).

3.3.6.3 Substitution Group OK (Transitive)

Schema Component Constraint: Substitution Group OK (Transitive)

For an element declaration (call it M , for member) to be substitutable for another element declaration (call it H , for head) at least **one** of the following **MUST** be true:

- 1 M and H are the same element declaration.
- 2 **All** of the following are true:
 - 2.1 H . {disallowed substitutions} does not contain **substitution**.
 - 2.2 There is a chain of {substitution group affiliations} properties from M to H , that is, either M .{substitution group affiliations} contains H , or M .{substitution group affiliations} contains a declaration whose {substitution group affiliations} contains H , or . . .
 - 2.3 The set of all {derivation method}s involved in the ·derivation· of M .{type definition} from H .{type definition} does not intersect with the union of (1) H .{disallowed substitutions}, (2) H .{type definition}.{prohibited substitutions} (if H .{type definition} is complex, otherwise the empty set), and (3) the {prohibited substitutions} (respectively the empty set) of any intermediate declared {type definition}s in the ·derivation· of M .{type definition} from H .{type definition}.

3.3.6.4 Substitution Group

[Definition:] One element declaration is **substitutable** for another if together they satisfy constraint [Substitution Group OK \(Transitive\) \(§3.3.6.3\)](#).

[Definition:] Every element declaration (call this **HEAD**) in the {element declarations} of a schema defines a **substitution group**, a subset of those {element declarations}. An element declaration is in the **substitution group** of **HEAD** if and only if it is substitutable for **HEAD**.

3.4 Complex Type Definitions

- 3.4.1 [The Complex Type Definition Schema Component](#)
- 3.4.2 [XML Representation of Complex Type Definition Schema Components](#)
 - 3.4.2.1 [Common Mapping Rules for Complex Type Definitions](#)
 - 3.4.2.2 [Mapping Rules for Complex Types with Simple Content](#)
 - 3.4.2.3 [Mapping Rules for Complex Types with Complex Content](#)
 - 3.4.2.4 [Mapping Rule for Attribute Uses Property](#)
 - 3.4.2.5 [Mapping Rule for Attribute Wildcard Property](#)
 - 3.4.2.6 [Examples of Complex Type Definitions](#)
- 3.4.3 [Constraints on XML Representations of Complex Type Definitions](#)
- 3.4.4 [Complex Type Definition Validation Rules](#)
 - 3.4.4.1 [Locally Declared Type and Context-determined Type Table](#)
 - 3.4.4.2 [Element Locally Valid \(Complex Type\)](#)
 - 3.4.4.3 [Element Sequence Locally Valid \(Complex Content\)](#)
 - 3.4.4.4 [Attribution](#)
 - 3.4.4.5 [Conditional Type Substitutable](#)
- 3.4.5 [Complex Type Definition Information Set Contributions](#)
 - 3.4.5.1 [Attribute Default Value](#)
 - 3.4.5.2 [Match Information](#)
- 3.4.6 [Constraints on Complex Type Definition Schema Components](#)
 - 3.4.6.1 [Complex Type Definition Properties Correct](#)
 - 3.4.6.2 [Derivation Valid \(Extension\)](#)
 - 3.4.6.3 [Derivation Valid \(Restriction, Complex\)](#)
 - 3.4.6.4 [Content Type Restricts \(Complex Content\)](#)
 - 3.4.6.5 [Type Derivation OK \(Complex\)](#)
- 3.4.7 [Built-in Complex Type Definition](#)

Complex Type Definitions provide for:

- Constraining element information items by providing [Attribute Declaration \(§2.2.2.3\)](#)s governing the appearance and content of [attributes]
- Constraining element information item [children] to be empty, or to conform to a specified element-only or mixed content model, or else constraining the character information item [children] to conform to a specified simple type definition.
- Constraining elements and attributes to exist, not to exist, or to have specified values, with [Assertion \(§2.2.4.3\)](#)s.
- Using the mechanisms of [Type Definition Hierarchy \(§2.2.1.1\)](#) to derive a complex type from another simple or complex type.
- Specifying post-schema-validation info set contributions for elements.

- Limiting the ability to *derive* additional types from a given complex type.
- Controlling the permission to substitute, in an instance, elements of a *derived* type for elements declared in a content model to be of a given complex type.

Example

```
<xs:complexType name="PurchaseOrderType">
  <xs:sequence>
    <xs:element name="shipTo" type="USAddress"/>
    <xs:element name="billTo" type="USAddress"/>
    <xs:element ref="comment" minOccurs="0"/>
    <xs:element name="items" type="Items"/>
  </xs:sequence>
  <xs:attribute name="orderDate" type="xs:date"/>
</xs:complexType>
```

The XML representation of a complex type definition.

3.4.1 The Complex Type Definition Schema Component

A complex type definition schema component has the following properties:

Schema Component: Complex Type Definition, a kind of Type Definition

{ annotations }	A sequence of Annotation components.
{ name }	An xs:NCName value. Optional.
{ target namespace }	An xs:anyURI value. Optional.
{ base type definition }	A type definition component. Required.
{ final }	A subset of { <i>extension</i> , <i>restriction</i> }.
{ context }	Required if {name} is <i>absent</i> , otherwise MUST be <i>absent</i> . Either an Element Declaration or a Complex Type Definition.
{ derivation method }	One of { <i>extension</i> , <i>restriction</i> }. Required.
{ abstract }	An xs:boolean value. Required.
{ attribute uses }	A set of Attribute Use components.
{ attribute wildcard }	A Wildcard component. Optional.
{ content type }	A Content Type property record. Required.
{ prohibited substitutions }	A subset of { <i>extension</i> , <i>restriction</i> }.
{ assertions }	A sequence of Assertion components.

Property Record: Content Type

{variety}

One of **{empty, simple, element-only, mixed}**. Required.

{particle}

A Particle component. Required if {variety} is **element-only** or **mixed**, otherwise MUST be **absent**.

{open content}

An Open Content property record. Optional if {variety} is **element-only** or **mixed**, otherwise MUST be **absent**.

{simple type definition}

A Simple Type Definition component. Required if {variety} is **simple**, otherwise MUST be **absent**.

Property Record: Open Content

{mode}

One of **{interleave, suffix}**. Required.

{wildcard}

A Wildcard component. Required.

Complex type definitions are identified by their {name} and {target namespace}. Except for anonymous complex type definitions (those with no {name}), since type definitions (i.e. both simple and complex type definitions taken together) MUST be uniquely identified within an XSD schema, no complex type definition can have the same name as another simple or complex type definition. Complex type {name}s and {target namespace}s are provided for reference from instances (see [xsi:type \(§2.6.1\)](#)), and for use in the XML representation of schema components (specifically in <element>). See [References to schema components across namespaces \(<import>\) \(§4.2.5\)](#) for the use of component identifiers when importing one schema into another.

Note: The {name} of a complex type is not *ipso facto* the [(local) name] of the element information items **validated** by that definition. The connection between a name and a type definition is described in [Element Declarations \(§3.3\)](#).

As described in [Type Definition Hierarchy \(§2.2.1.1\)](#), each complex type is **derived** from a {base type definition} which is itself either a [Simple Type Definition \(§2.2.1.2\)](#) or a [Complex Type Definition \(§2.2.1.3\)](#). {derivation method} specifies the means of **derivation** as either **extension** or **restriction** (see [Type Definition Hierarchy \(§2.2.1.1\)](#)).

A complex type with an empty specification for {final} can be used as a {base type definition} for other types **derived** by either of extension or restriction; the explicit values **extension**, and **restriction** prevent further **derivations** by extension and restriction respectively. If all values are specified, then **[Definition:] the complex type is said to be final, because no further derivations are possible**. Finality is *not* inherited, that is, a type definition **derived** by restriction from a type definition which is final for extension is not itself, in the absence of any explicit `final` attribute of its own, final for anything.

The {context} property is only relevant for anonymous type definitions, for which its value is the component in which this type definition appears as the value of a property, e.g. {type definition}.

Complex types for which {abstract} is **true** have no valid instances and thus cannot be used in the normal way as the {type definition} for the ·validation· of element information items (if for some reason an abstract type is identified as the ·governing type definition· of an element information item, the item will invariably be invalid). It follows that such abstract types MUST NOT be referenced from an [xsi:type \(§2.6.1\)](#) attribute in an instance document. Abstract complex types can be used as {base type definition}s, or even as the declared {type definition}s of element declarations, provided in every case a concrete ·derived· type definition is used for ·validation·, either via [xsi:type \(§2.6.1\)](#) or the operation of a ·substitution group·.

{attribute uses} are a set of attribute uses. See [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) and [Attribute Locally Valid \(§3.2.4.1\)](#) for details of attribute ·validation·.

{attribute wildcard}s provide a more flexible specification for ·validation· of attributes not explicitly included in {attribute uses}. See [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#), [The Wildcard Schema Component \(§3.10.1\)](#) and [Wildcard allows Expanded Name \(§3.10.4.2\)](#) for formal details of attribute wildcard ·validation·.

{content type} determines the ·validation· of [children] of element information items. Informally:

- A {content type} with {variety} **empty** ·validates· elements with no character or element information item [children].
- A {content type} with {variety} **simple** ·validates· elements with character-only [children] using its {simple type definition}.
- A {content type} with {variety} **element-only** ·validates· elements with [children] that conform to the ·content model· supplied by its {particle}.
- A {content type} with {variety} **mixed** ·validates· elements whose element [children] (i.e. specifically ignoring other [children] such as character information items) conform to the ·content model· supplied by its {particle}.
- A {content type} with ·non-absent· {open content} ·validates· elements with some [children] conforming to the ·content model· and others conforming to the {open content}.

Note: Not all combinations of {derivation method} and {content type} are compatible with all properties of the {base type definition}. For example, it is not allowed to derive a complex type with complex content from a simple type. The XML mapping rules specified in the following section (in particular clause [5](#) of the rule for the {simple type definition} in the rule for {content type} of complex types with simple content, and clause [4.1](#) and clause [4.2.1](#) of the rule for {content type} for complex types with complex content) do not detect such incompatible combinations of properties; in such cases the mapping rules will build a complex type regardless of the fact that the properties specified are incompatible. But the resulting complex type does not satisfy component rules outlined in [Derivation Valid \(Extension\) \(§3.4.6.2\)](#) or [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#).

The {prohibited substitutions} property of a complex type definition **T** determines whether

type definitions derived from *T* are or are not ·validly substitutable· for *T*. Examples include (but are not limited to) the substitution of another type definition:

- as the ·governing type definition· of an element instance *E*, when *T* is the ·selected type definition· of *E* (often, the declared {type definition} of *E*'s ·governing element declaration·); this can occur when *E* specifies a type definition using the `xsi:type` attribute; see [xsi:type \(§2.6.1\)](#);
- as the ·selected type definition· of an element instance *E*, when *T* is the declared {type definition} of *E*'s ·governing element declaration·; this can occur when conditional type assignment is used; see [Type Alternatives \(§3.12\)](#);
- as the ·governing type definition· of element instances whose ·governing element declaration· is included in a model group only ·implicitly·, by virtue of being included in the ·substitution group· of some element declaration present ·directly· ·indirectly· in the model group, whose declared {type definition} is *T*.
- as the {type definition} of an Element Declaration *E1* where
 - *E1* is contained in a Complex Type Definition *D*
 - *D* is derived from another Complex Type Definition *B*
 - *B* contains an Element Declaration *E2* that has the same [expanded name](#) as *E1*
 - *E2* has *T* as its {type definition}.

If {prohibited substitutions} is empty, then all such substitutions are allowed; if it contains the keyword **restriction**, then no type definition is ·validly substitutable· for *T* if its derivation from *T* involves any restriction steps; if {prohibited substitutions} contains the keyword **extension**, then no type definition is ·validly substitutable· for *T* if its derivation from *T* involves any extension steps.

Editorial Note: Priority Feedback Request

In version 1.0 of this specification, {prohibited substitutions} of a Complex Type Definition is only used when type substitution (`xsi:type`) or element substitution (substitution groups) appear in the instance document. It has been changed to take effect whenever complex type derivation is checked, including cases beyond type and element substitutions in instance documents. In particular, it affects clause 4 of [Element Declaration Properties Correct \(§3.3.6.1\)](#), clause 2.1 of [Conditional Type Substitutable \(§3.4.4.5\)](#), clause 1.6 of [Derivation Valid \(Extension\) \(§3.4.6.2\)](#), clause 4 of [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#), and clause 4.5 of [Content type restricts \(Complex Content\) \(§3.4.6.4\)](#). Because of the consideration of {prohibited substitutions}, existing schemas may be rendered invalid by the above rules. The XML Schema Working Group solicits input from implementors and users of this specification as to whether this change is desirable and acceptable.

{assertions} constrain elements and attributes to exist, not to exist, or to have specified values. Though specified as a sequence, the order among the assertions is not significant during assessment. See [Assertions \(§3.13\)](#).

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.4.2 XML Representation of Complex Type Definition Schema Components

The XML representation for a complex type definition schema component is a <complexType> element information item.

The XML representation for complex type definitions with a {content type} with {variety} **simple** is significantly different from that of those with other {content type}s, and this is reflected in the presentation below, which describes the mappings for the two cases in separate subsections. Common mapping rules are factored out and given in separate sections.

XML Representation Summary: `complexType` Element Information Item

```
<complexType
  abstract = boolean : false
  block = (#all | List of (extension | restriction))
  final = (#all | List of (extension | restriction))
  id = ID
  mixed = boolean
  name = NCName
  defaultAttributesApply = boolean : true
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (simpleContent | complexContent | (openContent?,
(group | all | choice | sequence)?, ((attribute | attributeGroup)*,
anyAttribute?), assert*)))
</complexType>
```

Note: It is a consequence of the concrete syntax given above that a top-level type definition need consist of no more than a name, i.e. that <complexType name="anything"/> is allowed.

Note: Aside from the simple coherence requirements outlined below, the requirement that type definitions identified as restrictions actually *be* restrictions — that is, the requirement that they accept as valid only a subset of the items which are accepted as valid by their base type definition — is enforced in [Constraints on Complex Type Definition Schema Components \(§3.4.6\)](#).

The following sections describe different sets of mapping rules for complex types; some are common to all or many source declarations, others only in specific circumstances.

- If the <complexType> source declaration has a <simpleContent> element as a child, then it maps to a Complex Type Definition using the mapping rules in
 - [Mapping Rules for Complex Types with Simple Content \(§3.4.2.2\)](#),
 - [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#),
 - [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and
 - [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#).

- If the <complexType> source declaration has a <complexContent> element as a child, then it maps to a Complex Type Definition using the mapping rules in
 - [Mapping Rules for Complex Types with Explicit Complex Content \(§3.4.2.3.1\)](#),
 - [Mapping Rules for Content Type Property of Complex Content \(§3.4.2.3.3\)](#),
 - [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#),
 - [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and
 - [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#).
- If the <complexType> source declaration has neither a <simpleContent> nor a <complexContent> element as a child, then it maps to a Complex Type Definition using the mapping rules in
 - [Mapping Rules for Complex Types with Implicit Complex Content \(§3.4.2.3.2\)](#),
 - [Mapping Rules for Content Type Property of Complex Content \(§3.4.2.3.3\)](#),
 - [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#),
 - [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and
 - [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#).

Where convenient, the mapping rules are described exclusively in terms of the schema document's information set. The mappings, however, depend not only upon the source declaration but also upon the schema context. Some mappings, that is, depend on the properties of other components in the schema. In particular, several of the mapping rules given in the following sections depend upon the {base type definition} having been identified before they apply.

3.4.2.1 Common Mapping Rules for Complex Type Definitions

Whichever alternative for the content of <complexType> is chosen, the following property mappings apply. Except where otherwise specified, attributes and child elements are to be sought among the [attributes] and [children] of the <complexType> element.

XML Mapping Summary for [Complex Type Definition](#) Schema Component

Property	Representation
{name}	The ·actual value· of the <code>name</code> [attribute] if present, otherwise ·absent·.
{target namespace}	The ·actual value· of the <code>targetNamespace</code> [attribute] of the <schema> ancestor element information item if present, otherwise ·absent·.
{abstract}	The ·actual value· of the <code>abstract</code> [attribute], if present, otherwise

false.

{prohibited substitutions} A set corresponding to the ·actual value· of the `block` [attribute], if present, otherwise to the ·actual value· of the `blockDefault` [attribute] of the ancestor <schema> element information item, if present, otherwise on the empty string. Call this the **EBV** (for effective block value). Then the value of this property is the appropriate **case** among the following:

- 1 If the **EBV** is the empty string, then the empty set;
- 2 If the **EBV** is `#all`, then **{extension, restriction}**;
- 3 **otherwise** a set with members drawn from the set above, each being present or absent depending on whether the ·actual value· (which is a list) contains an equivalently named item.

Note: Although the `blockDefault` [attribute] of <schema> MAY include values other than **restriction** or **extension**, those values are ignored in the determination of {prohibited substitutions} for complex type definitions (they *are* used elsewhere).

{final} As for {prohibited substitutions} above, but using the `final` and `finalDefault` [attributes] in place of the `block` and `blockDefault` [attributes].

{context} If the `name` [attribute] is present, then ·absent·, otherwise (the parent element information item will be <element>), the Element Declaration corresponding to that parent information item.

{assertions} A sequence whose members are Assertions drawn from the following sources, in order:

- 1 The {assertions} of the {base type definition}.
- 2 Assertions corresponding to all the <assert> element information items among the [children] of <complexType>, <restriction> and <extension>, if any, in document order.

{annotations} The ·annotation mapping· of the set of elements containing the <complexType>, the <openContent> [child], if present, the <attributeGroup> [children], if present, the <simpleContent> and <complexContent> [children], if present, and their <restriction> and <extension> [children], if present, and their <openContent> and <attributeGroup> [children], if present, as defined in [XML Representation of Annotation Schema Components \(§3.15.2\)](#).

Note: If the {base type definition} is a complex type definition, then the {assertions} always contain members of the {assertions} of the {base type definition}, no matter which alternatives are chosen in the XML representation, <simpleContent> or <complexContent>, <restriction> or <extension>.

3.4.2.2 Mapping Rules for Complex Types with Simple Content

When the <complexType> source declaration has a <simpleContent> child, the following

elements are relevant (as are <attribute>, <attributeGroup>, and <anyAttribute>), and the property mappings are as below, supplemented by the mappings in [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#), [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#). Note that either <restriction> or <extension> MUST appear in the content of <simpleContent>.

XML Representation Summary: `simpleContent` Element Information Item et al.

```

<simpleContent
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (restriction | extension))
</simpleContent>

<restriction
  base = QName
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (simpleType?, (minExclusive | minInclusive |
maxExclusive | maxInclusive | totalDigits | fractionDigits | maxScale |
minScale | length | minLength | maxLength | enumeration | whiteSpace |
pattern | assertion | {any with namespace: ##other})*)?, ((attribute |
attributeGroup)*, anyAttribute?), assert*)
</restriction>

<extension
  base = QName
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, ((attribute | attributeGroup)*, anyAttribute?),
assert*)
</extension>

```

When the <complexType> element has a <simpleContent> child, then the <complexType> element maps to a complex type with simple content, as follows.

XML Mapping Summary for [Complex Type Definition with simple content Schema Component](#)

Property	Representation
{base type definition}	The type definition ·resolved· to by the ·actual value· of the <code>base</code> [attribute] on the <restriction> or <extension> element appearing as a child of <simpleContent>
{derivation method}	If the <restriction> alternative is chosen, then restriction , otherwise (the <extension> alternative is chosen) extension .
{content type}	A Content Type as follows:

Property	Value
{variety}	simple

{particle}	·absent·
{open content}	·absent·
{simple type definition}	<p>the appropriate case among the following:</p> <p>1 If the {base type definition} is a complex type definition whose own {content type} has {variety} simple and the <restriction> alternative is chosen, then starting from either</p> <p>1.1 the simple type definition corresponding to the <simpleType> among the [children] of <restriction> if there is one;</p> <p>1.2 otherwise (<restriction> has no <simpleType> among its [children]), the simple type definition which is the {simple type definition} of the {content type} of the {base type definition} a simple type definition which restricts the simple type definition identified in clause 1.1 or clause 1.2 with a set of facet components corresponding to the appropriate element information items among the <restriction>'s [children] (i.e. those which specify facets, if any), as defined in Simple Type Restriction (Facets) (§3.16.6.4);</p> <p>2 If the {base type definition} is a complex type definition whose own {content type} has {variety} mixed and {particle} a Particle which is ·emptiable·, as defined in Particle Emptiable (§3.9.6.3) and the <restriction> alternative is chosen, then (let SB be the simple type definition corresponding to the <simpleType> among the [children] of <restriction> if any, otherwise ·xs:anySimpleType·) a simple type definition which restricts SB with a set of facet components corresponding to the appropriate element information items among the <restriction>'s [children] (i.e. those which specify facets, if any), as defined in Simple Type Restriction (Facets) (§3.16.6.4);</p> <p>Note: If there is no <simpleType> among the [children] of <restriction></p>

(and if therefore **SB** is `*xs:anySimpleType*`), the result will be a simple type definition component which fails to obey the constraints on simple type definitions, including for example clause 1.1 of [Derivation Valid \(Restriction, Simple\) \(§3.16.6.2\)](#).

- 3 **If** the {base type definition} is a complex type definition whose own {content type} has {variety} **simple** and the <extension> alternative is chosen, **then** the {simple type definition} of the {content type} of that complex type definition;
- 4 **If** the {base type definition} is a simple type definition and the <extension> alternative is chosen, **then** that simple type definition;
- 5 **otherwise** `*xs:anySimpleType*`.

3.4.2.3 Mapping Rules for Complex Types with Complex Content

When the <complexType> element does not have a <simpleContent> child element, then it maps to a complex type with complex content. The following elements are relevant (as are the <attribute>, <attributeGroup>, and <anyAttribute> elements, not repeated here), and the additional property mappings are as below, supplemented by the mappings in [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#), [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#). Note that either <restriction> or <extension> MUST appear in the content of <complexContent>, but their content models are different in this case from the case above when they occur as children of <simpleContent>.

XML Representation Summary: `complexContent` Element Information Item et al.

```
<complexContent
  id = ID
  mixed = boolean
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (restriction | extension))
</complexContent>
```

```
<restriction
  base = QName
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, openContent?, (group | all | choice | sequence)?,
  ((attribute | attributeGroup)*, anyAttribute?), assert*)
```

```

</restriction>
<extension
  base = QName
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, openContent?, ((group | all | choice |
sequence)?, ((attribute | attributeGroup)*, anyAttribute?), assert*)
</extension>
<openContent
  id = ID
  mode = (none | interleave | suffix) : interleave
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, any?)
</openContent>

```

Complex types with complex content can be the image of two different forms of <complexType> element: one with a <complexContent> child (discussed in [Mapping Rules for Complex Types with Explicit Complex Content \(§3.4.2.3.1\)](#)), and one with neither <simpleContent> nor <complexContent> as a child (discussed in [Mapping Rules for Complex Types with Implicit Complex Content \(§3.4.2.3.2\)](#)). The mapping of the {content type} is the same in both cases; it is described in [Mapping Rules for Content Type Property of Complex Content \(§3.4.2.3.3\)](#).

3.4.2.3.1 MAPPING RULES FOR COMPLEX TYPES WITH EXPLICIT COMPLEX CONTENT

When the <complexType> source declaration has a <complexContent> child, the following mappings apply, supplemented by those specified in [Mapping Rules for Content Type Property of Complex Content \(§3.4.2.3.3\)](#), [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#), [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#).

XML Mapping Summary for [Complex Type Definition with complex content Schema Component](#)

Property	Representation
{base type definition}	The type definition ·resolved· to by the ·actual value· of the <code>base</code> [attribute]
{derivation method}	If the <restriction> alternative is chosen, then restriction , otherwise (the <extension> alternative is chosen) extension .

3.4.2.3.2 MAPPING RULES FOR COMPLEX TYPES WITH IMPLICIT COMPLEX CONTENT

When the <complexType> source declaration has neither <simpleContent> nor <complexContent> as a child, it is taken as shorthand for complex content restricting ·xs:anyType·. The mapping rules specific to this situation are as follows; the mapping rules

for properties not described here are as given in [Mapping Rules for Content Type Property of Complex Content \(§3.4.2.3.3\)](#), [Common Mapping Rules for Complex Type Definitions \(§3.4.2.1\)](#), [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#), and [Mapping Rule for Attribute Wildcard Property \(§3.4.2.5\)](#).

XML Mapping Summary for [Complex Type Definition with complex content Schema Component](#)

Property	Representation
{base type definition}	*xs:anyType*
{derivation method}	restriction

3.4.2.3.3 MAPPING RULES FOR CONTENT TYPE PROPERTY OF COMPLEX CONTENT

For complex types with complex content, the {content type} property is calculated as follows. (For the {content type} on complex types with simple content, see [Mapping Rules for Complex Types with Simple Content \(§3.4.2.2\)](#).)

Note: The mapping rule below refers here and there to elements not necessarily present within a <complexType> source declaration. For purposes of evaluating tests like "If the *abc* attribute is present on the *xyz* element", if no *xyz* element information item is present, then no *abc* attribute is present on the (non-existent) *xyz* element.

When the mapping rule below refers to "the [children]", then for a <complexType> source declaration with a <complexContent> child, then the [children] of <extension> or <restriction> (whichever appears as a child of <complexContent>) are meant. If no <complexContent> is present, then the [children] of the <complexType> source declaration itself are meant.

The mapping rule also refers to the value of the {derivation method} property, whose value is determined as specified in the preceding sections.

XML Mapping Summary for [Complex Type Definition with complex content Schema Component](#)

Property	Representation
{content type}	1 [Definition:] Let the effective mixed be the appropriate case among the following: 1.1 If the <i>mixed</i> [attribute] is present on <complexContent>, then its <i>actual value</i> ; 1.2 If the <i>mixed</i> [attribute] is present on <complexType>, then its <i>actual value</i> ; 1.3 otherwise <i>false</i> .

Note: It is a consequence of clause 3 of [Complex Type Definition Representation OK \(§3.4.3\)](#) that clause 1.1 and clause 1.2 above will never contradict each other in a conforming schema document.

2 [Definition:] Let the **explicit content** be the appropriate **case** among the following:

2.1 **If** at least **one** of the following is true

2.1.1 There is no <group>, <all>, <choice> or <sequence> among the [children];

2.1.2 There is an <all> or <sequence> among the [children] with no [children] of its own excluding <annotation>;

2.1.3 There is a <choice> among the [children] whose `minOccurs` [attribute] has the `·actual value·` 0 and which has no [children] of its own except for <annotation>;

2.1.4 The <group>, <all>, <choice> or <sequence> element among the [children] has a `maxOccurs` [attribute] with an `·actual value·` of 0;

then empty

2.2 **otherwise** the particle corresponding to the <all>, <choice>, <group> or <sequence> among the [children].

3 [Definition:] Let the **effective content** be the appropriate **case** among the following:

3.1 **If** the `·explicit content·` is **empty**, **then** the appropriate **case** among the following:

3.1.1 **If** the `·effective mixed·` is `true`, **then** A particle whose properties are as follows:

Property	Value
{min occurs}	1
{max occurs}	1
{term}	a model group whose {compositor} is sequence and whose {particles} is empty.

3.1.2 **otherwise empty**

3.2 **otherwise** the `·explicit content·`.

4 [Definition:] Let the **explicit content type** be the appropriate **case** among the following:

4.1 **If** {derivation method} = **restriction**, **then** the appropriate **case** among the following:

4.1.1 **If** the `·effective content·` is **empty**, **then** a Content Type as follows:

Property	Value
----------	-------

{variety}	empty
{particle}	·absent·
{open content}	·absent·
{simple type definition}	·absent·

4.1.2 **otherwise** a Content Type as follows:

Property	Value
{variety}	mixed if the ·effective mixed· is true, otherwise element-only
{particle}	The ·effective content·
{open content}	·absent·
{simple type definition}	·absent·

4.2 If {derivation method} = **extension** , then the appropriate **case** among the following:

4.2.1 If the {base type definition} is a simple type definition or is a complex type definition whose {content type}.{variety} = **empty** or **simple**, then a Content Type as per clause [4.1.1](#) and clause [4.1.2](#) above;

4.2.2 If the {base type definition} is a complex type definition whose {content type}.{variety} = **element-only** or **mixed** and the ·effective content· is **empty**, then {base type definition}.{content type};

4.2.3 **otherwise** a Content Type as follows:

Property	Value
{variety}	mixed if the ·effective mixed· is true, otherwise element-only
{particle}	[Definition:] Let the base particle be the particle of the {content type} of the {base type definition}. Then the appropriate case among the following: 4.2.3.1 If the {term} of the ·base particle· has {compositor} all and the ·explicit content· is empty, then the ·base particle·. 4.2.3.2 If the {term} of the ·base particle· has {compositor} all and the {term} of the ·effective

content· also has {compositor} **all**,
then a Particle whose properties
are as follows:

{min occurs}

the {min occurs} of the
·effective content·.

{max occurs}

1

{term}

a model group whose
{compositor} is **all** and
whose {particles} are the
{particles} of the {term} of
the ·base particle· followed
by the {particles} of the
{term} of the ·effective
content·.

4.2.3.3 **otherwise**

{min occurs}

1

{max occurs}

1

{term}

a model group whose
{compositor} is **sequence**
and whose {particles} are
the ·base particle· followed
by the ·effective content·.

{open content} the {open content} of the {content
type} of the {base type definition}.

{simple type
definition} ·absent·

5 [Definition:] Let the **wildcard element be** the appropriate **case**
among the following:

5.1 **If** the <openContent> [child] is present , **then** the
<openContent> [child].

5.2 **If** the <openContent> [child] is not present, the <schema>
ancestor has a <defaultOpenContent> [child], and **one** of the

following is true

5.2.1 the `<explicit content type>` has `{variety} ≠ empty`

5.2.2 the `<explicit content type>` has `{variety} = empty` and the `<defaultOpenContent>` element has `appliesToEmpty = true` then the `<defaultOpenContent>` [child] of the `<schema>`.

5.3 otherwise `<absent>`.

6 Then the value of the property is the appropriate **case** among the following:

6.1 If the `<wildcard element>` is `<absent>`, then the `<explicit content type>`.

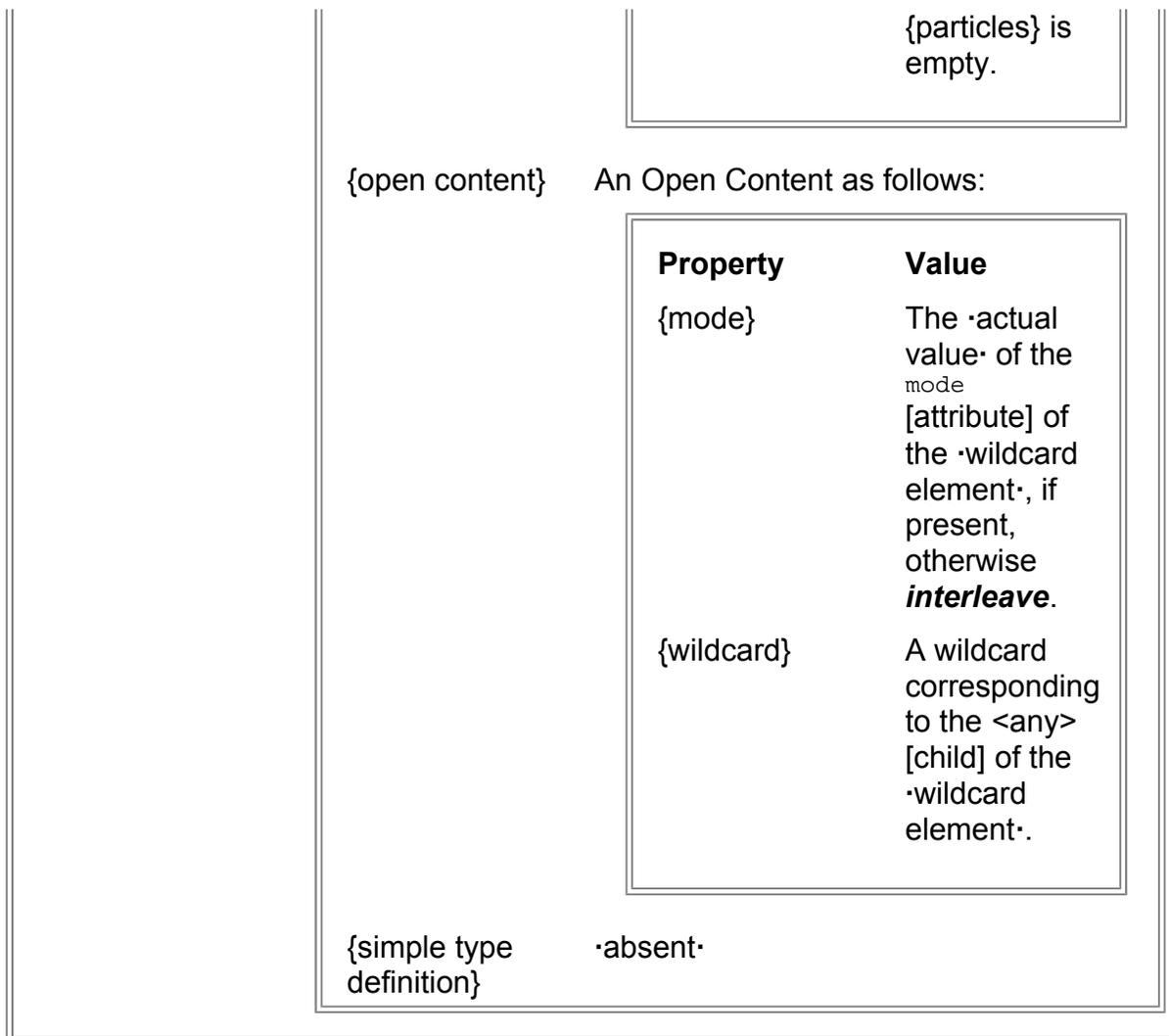
6.2 If the `<wildcard element>` is present and has `mode = 'none'`, then a Content Type as follows:

Property	Value
<code>{variety}</code>	The <code>{variety}</code> of the <code><explicit content type></code>
<code>{particle}</code>	The <code>{particle}</code> of the <code><explicit content type></code>
<code>{open content}</code>	<code><absent></code>
<code>{simple type definition}</code>	<code><absent></code>

6.3 otherwise

Property	Value
<code>{variety}</code>	The <code>{variety}</code> of the <code><explicit content type></code> if it's not empty ; otherwise element-only .
<code>{particle}</code>	The <code>{particle}</code> of the <code><explicit content type></code> if the <code>{variety}</code> of the <code><explicit content type></code> is not empty ; otherwise a Particle as follows:

Property	Value
<code>{min occurs}</code>	1
<code>{max occurs}</code>	1
<code>{term}</code>	a model group whose <code>{compositor}</code> is sequence and whose



Note: It is a consequence of clause 4.2 above that when a type definition is extended, the same particles appear in both the base type definition and the extension; the particles are reused without being copied.

3.4.2.4 Mapping Rule for Attribute Uses Property

Any <complexType> source declaration can have <attribute> and <attributeGroup> elements as children, or descendants. The <attribute> element is described in [XML Representation of Attribute Declaration Schema Components \(§3.2.2\)](#) and will not be repeated here.

XML Representation Summary: attributeGroup Element Information Item

```
<attributeGroup
  id = ID
  ref = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</attributeGroup>
```

The <attribute> and <attributeGroup> elements map to the {attribute uses} property of the Complex Type Definition component as described below. This mapping rule is the same for all complex type definitions.

Note: In the following rule, references to "the [children]" refer to the [children] of the <extension> or <restriction> element (whichever appears as a child of <simpleContent> or <complexContent> in the <complexType> source declaration), if present, otherwise to the [children] of the <complexType> source declaration itself.

The rule also refers to the value of the {derivation method} property, which is described elsewhere.

XML Mapping Summary for [Complex Type Definition \(Attribute Uses\) Schema Component](#)

Property	Representation
{attribute uses}	<p>If the <schema> ancestor has a <code>defaultAttributes</code> attribute, and the <complexType> element does not have <code>defaultAttributesApply = false</code>, then the {attribute uses} property is computed as if there were an <attributeGroup> [child] with empty content and a <code>ref</code> [attribute] whose <code>actual value</code> is the same as that of the <code>defaultAttributes</code> [attribute] appearing after any other <attributeGroup> [children]. Otherwise proceed as if there were no such <attributeGroup> [child].</p> <p>Then the value is a union of sets of attribute uses as follows</p> <ol style="list-style-type: none"> 1 The set of attribute uses corresponding to the <attribute> [children], if any. 2 The {attribute uses} of the attribute groups <code>resolved</code> to by the <code>actual value</code>s of the <code>ref</code> [attribute] of the <attributeGroup> [children], if any. 3 The attribute uses "inherited" from the {base type definition} <i>T</i>, as described by the appropriate case among the following: <ol style="list-style-type: none"> 3.1 If <i>T</i> is a complex type definition and {derivation method} = <i>extension</i>, then the attribute uses in <i>T</i>.{attribute uses} are inherited. 3.2 If <i>T</i> is a complex type definition and {derivation method} = <i>restriction</i>, then the attribute uses in <i>T</i>.{attribute uses} are inherited, with the exception of those with an {attribute declaration} whose expanded name is one of the following: <ol style="list-style-type: none"> 3.2.1 the expanded name of the {attribute declaration} of an attribute use which has already been included in the set, following the rules in clause 1 or clause 2 above; 3.2.2 the expanded name of the {attribute declaration} of what would have been an attribute use corresponding to an <attribute> [child], if the <attribute> had not had <code>use = prohibited</code>. 3.3 otherwise no attribute use is inherited.

Note: The *only* substantive function of the value **prohibited** for the `use` attribute of an `<attribute>` is in establishing the correspondence between a complex type defined by restriction and its XML representation. It serves to prevent inheritance of an identically named attribute use from the {base type definition}. Such an `<attribute>` does not correspond to any component, and hence there is no interaction with either explicit or inherited wildcards in the operation of [Complex Type Definition Validation Rules \(§3.4.4\)](#) or [Constraints on Complex Type Definition Schema Components \(§3.4.6\)](#). It is pointless, though not an error, for the `use` attribute to have the value **prohibited** in other contexts (e.g. in complex type extensions or named model group definitions), in which cases the `<attribute>` element is simply ignored, provided that it does not violate other constraints in this specification.

3.4.2.5 Mapping Rule for Attribute Wildcard Property

The {attribute wildcard} property of a Complex Type Definition depends on the `<anyAttribute>` element which may be present within the `<complexType>` element or within the attribute groups referred to within `<complexType>`. The `<attributeGroup>` element is described in the preceding section [Mapping Rule for Attribute Uses Property \(§3.4.2.4\)](#) and will not be repeated here.

Note: The following mapping rule is the same for all complex type definitions.

References to "the [children]" refer to the [children] of the `<extension>` or `<restriction>` element (whichever appears as a child of `<simpleContent>` or `<complexContent>` in the `<complexType>` source declaration), if present, otherwise to the [children] of the `<complexType>` source declaration itself.

The rule also refers to the value of the {derivation method} property, which is described elsewhere.

XML Mapping Summary for [Complex Type Definition \(Attribute Wildcard\) Schema Component](#)

Property	Representation
{attribute wildcard}	<p>If the <code><schema></code> ancestor has a <code>defaultAttributes</code> attribute, and the <code><complexType></code> element does not have <code>defaultAttributesApply = false</code>, then the {attribute wildcard} property is computed as if there were an <code><attributeGroup></code> [child] with empty content and a <code>ref</code> [attribute] whose <code>·actual value·</code> is the same as that of the <code>defaultAttributes</code> [attribute] appearing after any other <code><attributeGroup></code> [children]. Otherwise proceed as if there were no such <code><attributeGroup></code> [child].</p> <ol style="list-style-type: none"> 1 [Definition:] Let the complete wildcard be the Wildcard computed as described in Common Rules for Attribute Wildcards (§3.6.2.2). 2 The value is then determined by the appropriate case among the following: <ol style="list-style-type: none"> 2.1 If {derivation method} = restriction , then the <code>·complete</code>

- wildcard·;
- 2.2 If {derivation method} = **extension** , then
- 2.2.1 [Definition:] let the **base wildcard** be defined as the appropriate **case** among the following:
- 2.2.1.1 If the {base type definition} is a complex type definition with an {attribute wildcard}, then that {attribute wildcard}.
- 2.2.1.2 **otherwise** ·absent·.
- 2.2.2 The value is then determined by the first **case** among the following which applies:
- 2.2.2.1 If the ·base wildcard· is ·absent·, then the ·complete wildcard·;
- 2.2.2.2 If the ·complete wildcard· is ·absent·, then the ·base wildcard·;
- 2.2.2.3 **otherwise** a wildcard whose {process contents} and {annotations} are those of the ·complete wildcard·, and whose {namespace constraint} is the wildcard union of the {namespace constraint} of the ·complete wildcard· and of the ·base wildcard·, as defined in [Attribute Wildcard Union \(§3.10.6.3\)](#).

3.4.2.6 Examples of Complex Type Definitions

Example: Three ways to define a type for length

The following declaration defines a type for specifications of length by creating a complex type with simple content, with `xs:nonNegativeInteger` as the type of the content, and a `unit` attribute to give the unit of measurement.

```
<xs:complexType name="length1">
  <xs:simpleContent>
    <xs:extension base="xs:nonNegativeInteger">
      <xs:attribute name="unit" type="xs:NMTOKEN"/>
    </xs:extension>
  </xs:simpleContent>
</xs:complexType>

<xs:element name="width" type="length1"/>
```

An instance using this type might look like this:

```
<width unit="cm">25</width>
```

A second approach to defining length uses two elements, one for size and one for the unit of measure. The definition of the type and the declaration of the element might look like this:

```
<xs:complexType name="length2">
  <xs:complexContent>
    <xs:restriction base="xs:anyType">
      <xs:sequence>
        <xs:element name="size" type="xs:nonNegativeInteger"/>
        <xs:element name="unit" type="xs:NMTOKEN"/>
      </xs:sequence>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>
```

```

    </xs:restriction>
  </xs:complexContent>
</xs:complexType>

<xs:element name="depth" type="length2"/>

```

An instance using this method might look like this:

```

<depth>
  <size>25</size><unit>cm</unit>
</depth>

```

A third definition of type leaves the base type implicit; at the component level, the following declaration is equivalent to the preceding one.

```

<xs:complexType name="length3">
  <xs:sequence>
    <xs:element name="size" type="xs:nonNegativeInteger"/>
    <xs:element name="unit" type="xs:NMTOKEN"/>
  </xs:sequence>
</xs:complexType>

```

Example

```

<xs:complexType name="personName">
  <xs:sequence>
    <xs:element name="title" minOccurs="0"/>
    <xs:element name="forename" minOccurs="0" maxOccurs="unbounded"/>
    <xs:element name="surname"/>
  </xs:sequence>
</xs:complexType>

<xs:complexType name="extendedName">
  <xs:complexContent>
    <xs:extension base="personName">
      <xs:sequence>
        <xs:element name="generation" minOccurs="0"/>
      </xs:sequence>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>

<xs:element name="addressee" type="extendedName"/>

<addressee>
  <forename>Albert</forename>
  <forename>Arnold</forename>
  <surname>Gore</surname>
  <generation>Jr</generation>
</addressee>

```

A type definition for personal names, and a definition ·derived· by extension which adds a single element; an element declaration referencing the ·derived· definition, and a ·valid· instance thereof.

Example

```

<xs:complexType name="simpleName">
  <xs:complexContent>
    <xs:restriction base="personName">
      <xs:sequence>

```

```

    <xs:element name="forename" minOccurs="1" maxOccurs="1"/>
    <xs:element name="surname"/>
  </xs:sequence>
</xs:restriction>
</xs:complexContent>
</xs:complexType>

<xs:element name="who" type="simpleName"/>

  <who>
    <forename>Bill</forename>
    <surname>Clinton</surname>
  </who>

```

A simplified type definition ·derived· from the base type from the previous example by restriction, eliminating one optional child and fixing another to occur exactly once; an element declared by reference to it, and a ·valid· instance thereof.

Example

```

<xs:complexType name="paraType" mixed="true">
  <xs:choice minOccurs="0" maxOccurs="unbounded">
    <xs:element ref="emph"/>
    <xs:element ref="strong"/>
  </xs:choice>
  <xs:attribute name="version" type="xs:decimal"/>
</xs:complexType>

```

An illustration of the abbreviated form, with the `mixed` attribute appearing on `complexType` itself.

Example

```

<xs:complexType name="name">
  <xs:openContent>
    <xs:any namespace="##other" processContents="skip"/>
  </xs:openContent>
  <xs:sequence>
    <xs:element name="given" type="xs:string"/>
    <xs:element name="middle" type="xs:string" minOccurs="0"/>
    <xs:element name="family" type="xs:string"/>
  </xs:sequence>
</xs:complexType>

```

A complex type definition that allows three explicitly declared child elements, in the specified order (but not necessarily adjacent), and furthermore allows additional elements of any name from any namespace other than the target namespace to appear anywhere in the children.

Example

To restrict away a local element declaration that ·competes· with a wildcard, use a wildcard in the derived type that explicitly disallows the element's [expanded name](#). For example:

```

<xs:complexType name="computer">

```

```

<xs:all>
  <xs:element name="CPU" type="CPUType"/>
  <xs:element name="memory" type="memoryType"/>
  <xs:element name="monitor" type="monitorType"/>
  <xs:element name="speaker" type="speakerType"
    minOccurs="0"/>
  <!-- Any additional information about the computer -->
  <xs:any processContents="lax"
    minOccurs="0" maxOccurs="unbounded"/>
</xs:all>
</xs:complexType>

<xs:complexType name="quietComputer">
  <xs:complexContent>
    <xs:restriction base="computer">
      <xs:all>
        <xs:element name="CPU" type="CPUType"/>
        <xs:element name="memory" type="memoryType"/>
        <xs:element name="monitor" type="monitorType"/>
        <!-- Any additional information about the computer -->
        <xs:any processContents="lax" notQName="speaker"
          minOccurs="0" maxOccurs="unbounded"/>
      </xs:all>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>

```

The restriction type `quietComputer` has a *lax* wildcard, which matches any element but one with the name `speaker`.

Without the specification of the `notQName` attribute, the wildcard would match elements named `speaker`, as well. In that case, the restriction would be valid only if there is a top-level declaration for `speaker` that also has type `speakerType` or a type derived from it. Otherwise, there would be instances locally valid against the restriction `quietComputer` that are not locally valid against the base type `computer`.

For example, if there is no `notQName` attribute on the wildcard and no top-level declaration for `speaker`, then the following is allowed by `quietComputer`, but not by `computer`:

```
<speaker xsi:type="xs:string"/>
```

The specific rule violated in this case is clause [2](#) of constraint [Content type restricts \(Complex Content\) \(§3.4.6.4\)](#)

3.4.3 Constraints on XML Representations of Complex Type Definitions

Schema Representation Constraint: Complex Type Definition Representation OK

In addition to the conditions imposed on `<complexType>` element information items by the schema for schema documents, **all** of the following also apply:

- 1 If the `<simpleContent>` alternative is chosen, the `<complexType>` element **MUST NOT** have `mixed = true`.
- 2 If `<openContent>` is present and has `mode ≠ 'none'`, then there **MUST** be an `<any>` among the [children] of `<openContent>`.

- 3 If the <complexContent> alternative is chosen and the `mixed` [attribute] is present on both <complexType> and <complexContent>, then 'actual values' of those [attributes] MUST be the same.

3.4.4 Complex Type Definition Validation Rules

3.4.4.1 Locally Declared Type and Context-determined Type Table

This section defines the concepts of 'locally declared type' and 'context-determined type table'; these concepts play a role in determining whether restrictions and extensions of complex type definitions are legitimate. The 'locally declared type' is also used to help determine the 'governing element declaration' and 'governing type definition' of an element information item.

[Definition:] Every Complex Type Definition determines a partial functional mapping from element or attribute information items (and their [expanded names](#)) to type definitions. This mapping serves as a **locally declared type** for elements and attributes which are allowed by the Complex Type Definition.

The attribute case is simpler and will be taken first.

[Definition:] For a given Complex Type Definition **CTD** and a given attribute information item **A**, the 'locally declared type' of **A** within **CTD** is the appropriate **case** among the following:

- 1 If **CTD** is `*xs:anyType*`, **then** 'absent'.
- 2 If **A** has the same [expanded name](#) as some attribute declaration **D** which is the {attribute declaration} of some Attribute Use contained by **CTD**'s {attribute uses}, **then** the {type definition} of **D**.
- 3 **otherwise** the 'locally declared type' of **A** within **CTD**.{base type definition}.

The definition for elements is slightly more complex.

[Definition:] For a given Complex Type Definition **CTD** and a given element information item **E**, the 'locally declared type' of **E** within **CTD** is the appropriate **case** among the following:

- 1 If **CTD** is `*xs:anyType*`, **then** 'absent'.
- 2 If **E** has the same [expanded name](#) as some element declaration **D** which is 'contained' by **CTD**'s content model, whether 'directly', 'indirectly', or 'implicitly', **then** the declared {type definition} of **D**.
- 3 **otherwise** the 'locally declared type' of **E** within **CTD**.{base type definition}.

Note: The constraint [Element Declarations Consistent \(§3.8.6.3\)](#) ensures that even if there is more than one such declaration **D**, there will be just one type definition.

Note: The reference to 'implicit' containment ensures that if **E** has a 'governing element declaration' 'substitutable' for a declaration 'contained' by **CTD**'s content model, a 'locally declared type' is defined for **E**.

Similarly: [Definition:] Every Complex Type Definition determines a partial functional mapping from element information items (and their [expanded names](#)) to Type Tables. The

Type Table identified by this mapping is the **context-determined type table** for elements which match a Particle contained by the content model of the Complex Type Definition. For a given Complex Type Definition *T* and a given element information item *E*, the context-determined type table of *E* in *T* is as follows:

- 1 If *T* is `*xs:anyType*`, then *E* has no context-determined type table in *T*.
- 2 Let *D* be an Element Declaration matched by *E*, given by the first case among the following which applies:
 - 2.1 If *E* has the same [expanded name](#) as some element declaration(s) contained by *T*'s content model, whether directly, indirectly, or implicitly, then let *D* be any one of those Element Declarations.
 - 2.2 If *E* matches some **strict** or **lax** wildcard particle contained by *T*'s content model, whether directly or indirectly, and *E* matches some top-level Element Declaration, then let *D* be that top-level Element Declaration.
- 3 If *E* matches some Element Declaration as described above in clause 2, then the context-determined type table of *E* in *T* is given by the appropriate case among the following:
 - 3.1 If *D* has a Type Table, then the context-determined type table of *E* in *T* is the Type Table of *D*.
 - 3.2 If *D* has no Type Table, then the context-determined type table of *E* in *T* is the Type Table whose {alternatives} is the empty sequence and whose {default type definition} is a Type Alternative whose {test} is absent and whose {type definition} is the declared {type definition} of *D*.
- 4 If *E* matches no Element Declaration as described above in clause 2, then the context-determined type table of *E* in *T* is the context-determined type table of *E* in *T*'s {base type definition}.

Note: The constraint [Element Declarations Consistent \(§3.8.6.3\)](#) ensures that even if *E* matches more than one such declaration *D*, there will be just one context-determined type table.

Note: It is a consequence of the definition of context-determined type table that if any element *E* has a context-determined type table in any complex type *T*, then *E* has a context-determined type table in any complex type derived from *T*.

3.4.4.2 Element Locally Valid (Complex Type)

Validation Rule: Element Locally Valid (Complex Type)

For an element information item *E* to be locally valid with respect to a complex type definition *T* all of the following MUST be true:

- 1 If *E* is not nilled, then all of the following are true:
 - 1.1 If *T*.{content type}.{variety} = **empty**, then *E* has no character or element information item [children].
 - 1.2 If *T*.{content type}.{variety} = **simple**, then *E* has no element information item [children], and the initial value of *E* is valid with respect to *T*.{content type}.{simple type definition} as defined by [String Valid \(§3.16.4\)](#).
 - 1.3 If *T*.{content type}.{variety} = **element-only**, then *E* has no character information item [children] other than those whose [character code] is defined as a [white space](#) in [XML 1.1](#).

- 1.4 If $T.\{\text{content type}\}.\{\text{variety}\} = \textit{element-only}$ or $T.\{\text{content type}\}.\{\text{variety}\} = \textit{mixed}$, then the sequence of element information items in $E.\{\text{children}\}$, if any, taken in order, is *valid* with respect to $T.\{\text{content type}\}$, as defined in [Element Sequence Locally Valid \(Complex Content\) \(§3.4.4.3\)](#).
- 2 For each attribute information item A in $E.\{\text{attributes}\}$ excepting those named `xsi:type`, `xsi:nil`, `xsi:schemaLocation`, or `xsi:noNamespaceSchemaLocation` (see [Built-in Attribute Declarations \(§3.2.7\)](#)), the appropriate **case** among the following is true:
- 2.1 If there is among the $\{\text{attribute uses}\}$ an attribute use U whose $\{\text{attribute declaration}\}$ has the same [expanded name](#) as A , then A is *valid* with respect to U as per [Attribute Locally Valid \(Use\) \(§3.5.4\)](#). In this case $U.\{\text{attribute declaration}\}$ is the *context-determined declaration* for A with respect to [Schema-Validity Assessment \(Attribute\) \(§3.2.4.3\)](#) and [Assessment Outcome \(Attribute\) \(§3.2.5.1\)](#). Also A is *attributed to* U .
- 2.2 otherwise all of the following are true:
- 2.2.1 There is an $\{\text{attribute wildcard}\}$.
- 2.2.2 A is *valid* with respect to it as defined in [Item Valid \(Wildcard\) \(§3.10.4.1\)](#). In this case A is *attributed to* the $\{\text{attribute wildcard}\}$.
- 3 For each attribute use U in $T.\{\text{attribute uses}\}$, if $U.\{\text{required}\} = \textit{true}$, then $U.\{\text{attribute declaration}\}$ has the same [expanded name](#) as one of the attribute information items in $E.\{\text{attributes}\}$.
- Note:** It is a consequence that each such U will have the matching attribute information item *attributed to* it by clause [2.1](#) above.
- 4 For each *defaulted attribute* A belonging to E , the $\{\text{lexical form}\}$ of A 's *effective value constraint* is *valid* with respect to $A.\{\text{attribute declaration}\}.\{\text{type definition}\}$ as defined by [String Valid \(§3.16.4\)](#).
- Note:** When an $\{\text{attribute wildcard}\}$ is present, this does *not* introduce any ambiguity with respect to how attribute information items for which an attribute use is present amongst the $\{\text{attribute uses}\}$ whose name and target namespace match are *assessed*. In such cases the attribute use *always* takes precedence, and the *assessment* of such items stands or falls entirely on the basis of the attribute use and its $\{\text{attribute declaration}\}$. This follows from the details of clause [2](#).
- 5 For each element information item in $E.\{\text{children}\}$ and each attribute information item in $E.\{\text{attributes}\}$, if neither the *governing type definition* nor the *locally declared type* is *absent*, then the *governing type definition* is the same as, or is *validly substitutable* for, the *locally declared type*, *without limitation*.
- 6 E is *valid* with respect to each of the assertions in $T.\{\text{assertions}\}$ as per [Assertion Satisfied \(§3.13.4.1\)](#).
- 7 Each element information item in $E.\{\text{children}\}$, together with T , satisfies [Conditional Type Substitutable \(§3.4.4.5\)](#).

[Definition:] A **defaulted attribute** belonging to an element information item E *governed by* a complex type T is any Attribute Use U for which **all** of the following are true:

- 1 U is a member of $T.\{\text{attribute uses}\}$.
- 2 $U.\{\text{required}\} = \textit{false}$.

- 3 **U**s ·effective value constraint· is not ·absent·.
- 4 **U**.{attribute declaration} is not one of the Attribute Declarations from [Built-in Attribute Declarations \(§3.2.7\)](#).
- 5 **U**.{attribute declaration} does not match any of the attribute information items in **E**.[attributes] as per clause 2.1 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) above.

3.4.4.3 Element Sequence Locally Valid (Complex Content)

Validation Rule: Element Sequence Locally Valid (Complex Content)

For a sequence **S** (possibly empty) of element information items to be locally ·valid· with respect to a Content Type **CT**, the appropriate **case** among the following MUST be true:

- 1 If **CT**.{open content} is ·absent·, then **S** is ·valid· with respect to **CT**.{particle}, as defined in [Element Sequence Locally Valid \(Particle\) \(§3.9.4.2\)](#).
- 2 If **CT**.{open content}.{mode} = **suffix**, then **S** can be represented as two subsequences **S1** and **S2** (either can be empty) such that **all** of the following are true:
 - 2.1 **S** = **S1** + **S2**
 - 2.2 **S1** is ·valid· with respect to **CT**.{particle}, as defined in [Element Sequence Locally Valid \(Particle\) \(§3.9.4.2\)](#).
 - 2.3 If **S2** is not empty, let **E** be the first element in **S2**, then **S1** + **E** does *not* have a ·path· in **CT**.{particle}
 - 2.4 Every element in **S2** is ·valid· with respect to the wildcard **CT**.{open content}.{wildcard}, as defined in [Item Valid \(Wildcard\) \(§3.10.4.1\)](#).
- 3 **otherwise** (**CT**.{open content}.{mode} = **interleave**) **S** can be represented as two subsequences **S1** and **S2** (either can be empty) such that **all** of the following are true:
 - 3.1 **S** is a member of **S1** × **S2** (where × is the interleave operator, see [All-groups \(§3.8.4.1.3\)](#))
 - 3.2 **S1** is ·valid· with respect to **CT**.{particle}, as defined in [Element Sequence Locally Valid \(Particle\) \(§3.9.4.2\)](#).
 - 3.3 For every element **E** in **S2**, let **S3** be the longest prefix of **S1** where members of **S3** are before **E** in **S**, then **S3** + **E** does *not* have a ·path· in **CT**.{particle}
 - 3.4 Every element in **S2** is ·valid· with respect to the wildcard **CT**.{open content}.{wildcard}, as defined in [Item Valid \(Wildcard\) \(§3.10.4.1\)](#).

[Definition:] A sequence of element information items is **locally valid** with respect to a Content Type if and only if it satisfies [Element Sequence Locally Valid \(Complex Content\) \(§3.4.4.3\)](#) with respect to that Content Type.

3.4.4.4 Attribution

[Definition:] During ·validation· of an element information item against its (complex) ·governing type definition·, associations between element and attribute information items among the [children] and [attributes] on the one hand, and attribute uses, attribute wildcards, particles and open contents on the other, are established. The element or attribute information item is **attributed to** the corresponding component.

When an attribute information item has the same [expanded name](#) as the {attribute

declaration} of an Attribute Use, then the item is **attributed to** that attribute use. Otherwise, if the item matches an attribute wildcard, as described in [Item Valid \(Wildcard\) \(§3.10.4.1\)](#), then the item is **attributed to** that wildcard. Otherwise the item is *not attributed to* any component.

When a sequence **S** of [child] element information items are checked against the ·governing type definition·'s {content type} **CT**, let **S1** and **S2** be subsequences of **S** such that

1. **S** is a member of **S1** × **S2**
2. **S1** is a prefix of some element sequence that is ·locally valid· with respect to **CT**, as defined in [Element Sequence Locally Valid \(Complex Content\) \(§3.4.4.3\)](#).
3. for every element **E** in **S2**, let **S3** be the longest prefix of **S1** where members of **S3** are before **E** in **S**, then **S3** + **E** is *not* a prefix of any element sequence that is ·locally valid· with respect to **CT**.

Then members of **S1** that form a ·validation-path· in **CT**.{particle} (see [Element Sequence Locally Valid \(Complex Content\) \(§3.4.4.3\)](#)) are **attributed to** the particles they match up with in the ·validation-path·. Other members of **S1** are **attributed to** the {open content} of **CT**. Members of **S2** are *not attributed to* any component.

Note: The above definition makes sure that ·attribution· happens even when the sequence of element information items is not ·locally valid· with respect to a Content Type. For example, if a complex type definition has the following content model:

```
<xs:sequence>
  <xs:element name="a"/>
  <xs:element name="b"/>
  <xs:element name="c"/>
</xs:sequence>
```

and an input sequence

```
<a/><b/><d/>
```

Then the element <a> is ·attributed· to the particle whose term is the "a" element declaration. Similarly, is ·attributed· to the "b" particle.

[Definition:] During ·validation·, associations between element and attribute information items among the [children] and [attributes] on the one hand, and element and attribute declarations on the other, are also established. When an item is ·attributed· to an ·element particle·, then it is associated with the declaration which is the {term} of the particle. Similarly, when an attribute information item is ·attributed to· an Attribute Use, then the item is associated with the {attribute declaration} of that Attribute Use. Such declarations are called the **context-determined declarations**. See clause 2.1 (in [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#)) for attribute declarations, clause 2 (in [Element Sequence Locally Valid \(Particle\) \(§3.9.4.2\)](#)) for element declarations.

3.4.4.5 Conditional Type Substitutable

Validation Rule: Conditional Type Substitutable

Given an element information item E and a complex type T , let

- B be the {base type definition} of T
- T_T be the {context-determined type table} of E in T , if any
- T_B be the {context-determined type table} of E in B , if any
- S_T be the Type Definition {conditionally selected} for E by T_T , if T_T exists
- S_B be the Type Definition {conditionally selected} for E by T_B , if T_B exists

E and T satisfy this constraint if and only if **one** of the following is true

1 T_B does not exist (i.e. E has no {context-determined type table} in B).

2 T_T and T_B both exist and at least **one** of the following is true

2.1 T has {derivation method} *restriction*, and S_T is {validly substitutable as a restriction} for S_B , and E and B together satisfy this constraint.

2.2 T has {derivation method} *extension*, and S_T is identical to S_B , and E and B together satisfy this constraint.

Note: This constraint has (by clause [2.1](#)) the effect of ensuring that if T is a restriction of B , then any type conditionally assigned to E in the context of T is a restriction of the type which would be assigned to E in the context of B .

It also ensures (by clause [2.2](#), together with clause [4](#) of the definition of {context-determined type table}) that if any element declaration in a complex type T has a {type table}, then the {type table}s used for same-named elements in any types derived from T will be consistent with that used in T .

Editorial Note: [Priority Feedback Request](#)

The constraint [Conditional Type Substitutable \(§3.4.4.5\)](#) above is intended to ensure that the use of Type Tables for conditional type assignment does not violate the usual principles of complex type restriction. More specifically, if T is a complex type definition derived from its base type B by restriction, then the rule seeks to ensure that a type definition conditionally assigned by T to some child element is always derived by restriction from that assigned by B to the same child. The current design enforces this using a "run-time" rule: instead of marking T as invalid if it could possibly assign types incompatible with those assigned by B , the run-time rule accepts the schema as valid if the usual constraints on the declared {type definition}s are satisfied, without checking the details of the {type table}s. Element instances are then checked as part of validation, and any instances that would cause T (or any type in T 's {base type definition} chain) to assign the incompatible types are made invalid with respect to T . This rule may prove hard to understand or implement. The Working Group is uncertain whether the current design has made the right trade-off and whether we should use a simpler but more restrictive rule. We solicit input from implementors and users of this specification as to whether the current run-time rule should be retained.

3.4.5 Complex Type Definition Information Set Contributions

3.4.5.1 Attribute Default Value

Schema Information Set Contribution: Attribute Default Value

For each *defaulted attribute*, the *post-schema-validation info set* has an attribute information item whose properties are as below added to the [attributes] of the element information item.

In addition, if necessary *namespace fixup* is performed on the element information item for the {attribute declaration}'s {target namespace}.

[local name]

The {attribute declaration}'s {name}.

[namespace name]

The {attribute declaration}'s {target namespace}.

[prefix]

If the {attribute declaration} has a *non-absent* {target namespace} **N**, then a namespace prefix bound to **N** in the [in-scope namespaces] property of the element information item in the *post-schema-validation info set*. If the {attribute declaration}'s {target namespace} is *absent*, then *absent*.

If more than one prefix is bound to **N** in the [in-scope namespaces], it is *implementation-dependent* which of those prefixes is used.

[normalized value]

The *effective value constraint*'s {lexical form}.

[owner element]

The element information item being assessed.

[schema normalized value]

The *effective value constraint*'s {lexical form}.

[schema actual value]

The *effective value constraint*'s {value}.

[schema default]

The *effective value constraint*'s {lexical form}.

[validation context]

The nearest ancestor element information item with a [schema information]

property.

[validity]

valid.

[validation attempted]

full.

[schema specified]

schema.

The added items also have [type definition] (and [member type definition] and [member type definitions] if appropriate) properties, and their lighter-weight alternatives, as specified in [Attribute Validated by Type \(§3.2.5.4\)](#).

[Definition:] When default values are supplied for attributes, **namespace fixup** may be required, to ensure that the `·post-schema-validation infoset·` includes the namespace bindings needed and maintains the consistency of the namespace information in the infoset. To perform namespace fixup on an element information item **E** for a namespace **N**:

- 1 If the [in-scope namespaces] of **E** binds a prefix to **N**, no namespace fixup is needed; the properties of **E** are not changed.
- 2 Otherwise, first select some prefix **P** which is not bound by the [in-scope namespaces] of **E** (the choice of prefix is `·implementation-dependent·`).
- 3 Add an entry to the [in-scope namespaces] of **E** binding **P** to **N**.
- 4 Add a namespace attribute to the [namespace attributes] of **E**.
- 5 Maintain the consistency of the information set by adjusting the namespace bindings on the descendants of **E**. This may be done in either of two ways:

▲ Add the binding of **P** to **N** to the [in-scope namespaces] of all descendants of **E**, except where that binding is overridden by another binding for **P**.

▲ Add to the [namespace attributes] of each child of **E** a namespace attribute which undeclares the binding for **P** (i.e. a namespace attribute for prefix **P** whose `·normalized value·` is the empty string), unless that child already has a namespace declaration for prefix **P**. Note that this approach is possible only if [\[XML Namespaces 1.1\]](#) is in use, rather than [\[XML Namespaces 1.0\]](#).

The choice between the two methods of maintaining consistency in the information set is `·implementation-dependent·`.

If the `·namespace fixup·` is occasioned by a defaulted attribute with a non-absent target namespace, then (as noted above), the [prefix] of the attribute information item supplied in the `·post-schema-validation infoset·` is set to **P**.

Note: When a default value of type [QName](#) or [NOTATION](#) is applied, it is `·implementation-dependent·` whether `·namespace fixup·` occurs; if it does not, the prefix used in the lexical representation (in [normalized value] or [schema normalized value]) will not necessarily map to the namespace name of the value (in [schema

actual value]). To reduce problems and confusion, users may prefer to ensure that the required namespace information item is present in the input infoset.

3.4.5.2 Match Information

Schema Information Set Contribution: Match Information

To allow users of the `post-schema-validation` infoset to distinguish element information items which are `attributed` to `element particles` from those `attributed` to `wildcard particles`, if and only if the local `validity` of an element information item has been assessed as defined by [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#), then each attribute information item in its `[attributes]` has the following properties in the `post-schema-validation` infoset:

PSVI Contributions for attribute information items

`[attribute attribution]`

The appropriate **case** among the following:

- 1 **If** the attribute information item is `attributed` to an Attribute Use, **then** an `item isomorphic` to the Attribute Use.
- 2 **If** the attribute information item is `attributed` to an `{attribute wildcard}`, **then** an `item isomorphic` to the attribute wildcard.
- 3 **otherwise** (the item is not `attributed` to an Attribute Use or an `{attribute wildcard}`) `absent`.

`[match information]`

A keyword indicating what kind of component the attribute information item is `attributed` to. The appropriate **case** among the following:

- 1 **If** the item is `attributed` to an Attribute Use, **then** *attribute*
- 2 **If** the item is `attributed` to a *strict* `{attribute wildcard}`, **then** *strict*
- 3 **If** the item is `attributed` to a *lax* `{attribute wildcard}`, **then** *lax*
- 4 **If** the item is `attributed` to a *skip* `{attribute wildcard}`, **then** *skip*
- 5 **otherwise** (the item is not `attributed` to an Attribute Use or an `{attribute wildcard}`) *none*

And each element information item in its `[children]` has the following properties in the `post-schema-validation` infoset:

PSVI Contributions for element information items

`[element attribution]`

The appropriate **case** among the following:

- 1 **If** the element information item is `attributed` to an `element particle` or a `wildcard particle`, **then** an `item isomorphic` to the Particle.
- 2 **If** the item is `attributed` to an Open Content, **then** an `item isomorphic` to the Open Content.
- 3 **otherwise** (the item is not `attributed` to a Particle or an Open Content) `absent`.

`[match information]`

A keyword indicating what kind of Particle the item is attributed to. The appropriate **case** among the following:

- 1 If the item is attributed to an element particle, then **element**
- 2 If the item is attributed to a **strict** wildcard particle, then **strict**
- 3 If the item is attributed to a **lax** wildcard particle, then **lax**
- 4 If the item is attributed to a **skip** wildcard particle, then **skip**
- 5 If the item is attributed to an Open Content, then **open**
- 6 **otherwise** (the item is not attributed to a Particle or an Open Content)
none

3.4.6 Constraints on Complex Type Definition Schema Components

All complex type definitions (see [Complex Type Definitions \(§3.4\)](#)) MUST satisfy the following constraints.

3.4.6.1 Complex Type Definition Properties Correct

Schema Component Constraint: Complex Type Definition Properties Correct

All of the following MUST be true:

- 1 The values of the properties of a complex type definition are as described in the property tableau in [The Complex Type Definition Schema Component \(§3.4.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If the {base type definition} is a simple type definition, the {derivation method} is **extension**.
- 3 There are no circular definitions, except for that of `xs:anyType`. That is, it is possible to reach the definition of `xs:anyType` by repeatedly following the {base type definition}.
- 4 No two distinct attribute declarations in the {attribute uses} have identical [expanded names](#).
- 5 If {content type}.{open content} is non-absent, then {content type}.{variety} is either **element-only** or **mixed**.

3.4.6.2 Derivation Valid (Extension)

Schema Component Constraint: Derivation Valid (Extension)

For every complex type **T** with {base type definition} **B** where **T**.{derivation method} = **extension**, the appropriate **case** among the following MUST be true:

- 1 If **B** is a complex type definition, then all of the following are true:
 - 1.1 **B**.{final} does not contain **extension**.
 - 1.2 **B**.{attribute uses} is a subset of **T**.{attribute uses}. That is, for every attribute use **U** in **B**.{attribute uses}, there is an attribute use in **T**.{attribute uses} whose properties, recursively, are identical to those of **U**.
 - 1.3 If **B** has an {attribute wildcard}, then **T** also has one, and **B**.{attribute wildcard}.{namespace constraint} is a subset of **T**.{attribute wildcard}.{namespace constraint}, as defined by [Wildcard Subset \(§3.10.6.2\)](#).
 - 1.4 **One** of the following is true:

- 1.4.1 **B** and **T** both have {content type}.{variety} = **simple** and both have the same {content type}.{simple type definition}.
 - 1.4.2 **B** and **T** both have {content type}.{variety} = **empty**.
 - 1.4.3 All of the following are true:
 - 1.4.3.1 **T**.{content type}.{variety} = **element-only** or **mixed**.
 - 1.4.3.2 One of the following is true:
 - 1.4.3.2.1 **B**.{content type}.{variety} = **empty**.
 - 1.4.3.2.2 All of the following are true:
 - 1.4.3.2.2.1 Both **B** and **T** have {content type}.{variety} = **mixed** or both have {content type}.{variety} = **element-only**.
 - 1.4.3.2.2.2 **T**.{content type}.{particle} is a valid extension of **B**.{content type}.{particle}, as defined in [Particle Valid \(Extension\) \(§3.9.6.2\)](#).
 - 1.4.3.2.2.3 One or more of the following is true:
 - 1.4.3.2.2.3.1 **B**.{content type}.{open content} (call it **BOT**) is absent.
 - 1.4.3.2.2.3.2 **T**.{content type}.{open content} (call it **EOT**) has {mode} **interleave**.
 - 1.4.3.2.2.3.3 Both **BOT** and **EOT** have {mode} **suffix**.
 - 1.4.3.2.2.4 If neither **BOT** nor **EOT** is absent, then **BOT**.{wildcard}.{namespace constraint} is a subset of **EOT**.{wildcard}.{namespace constraint}, as defined by [Wildcard Subset \(§3.10.6.2\)](#).
- 1.5 It is in principle possible to derive **T** in two steps, the first an extension and the second a restriction (possibly vacuous), from that type definition among its ancestors whose {base type definition} is "xs:anyType".

Note: This requirement ensures that nothing removed by a restriction is subsequently added back by an extension in an incompatible way (for example, with a conflicting type assignment or value constraint).

Constructing the intermediate type definition to check this constraint is straightforward: simply re-order the derivation to put all the extension steps first, then collapse them into a single extension. If the resulting definition can be the basis for a valid restriction to the desired definition, the constraint is satisfied.

- 1.6 For any element or attribute information item, its locally declared type within **T** is validly substitutable for the locally declared type within **B**, without limitation, if neither is absent.
- 1.7 **B**.{assertions} is a prefix of **T**.{assertions}.
- 2 If **B** is a simple type definition, then all of the following are true:
 - 2.1 **T**.{content type}.{variety} = **simple** and **T**.{content type}.{simple type definition} = **B**.
 - 2.2 **B**.{final} does not contain **extension**.

[Definition:] A complex type **T** is a **valid extension** of its {base type definition} if and only if **T**.{derivation method} = **extension** and **T** satisfies the constraint [Derivation Valid \(Extension\) \(§3.4.6.2\)](#).

3.4.6.3 Derivation Valid (Restriction, Complex)

Schema Component Constraint: Derivation Valid (Restriction, Complex)

For every complex type *T* with {base type definition} *B* where *T*.{derivation method} = **restriction**, all of the following MUST be true:

- 1 *B* is a complex type definition whose {final} does not contain **restriction**.
 - 2 **One or more** of the following is true:
 - 2.1 *B* is `*xs:anyType*`.
 - 2.2 **All** of the following are true:
 - 2.2.1 *T*.{content type}.{variety} = **simple**
 - 2.2.2 **One** of the following is true:
 - 2.2.2.1 Let *S_B* be *B*.{content type}.{simple type definition}, and *S_T* be *T*.{content type}.{simple type definition}. Then *S_T* is validly derived from *S_B* as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).
 - 2.2.2.2 *B*.{content type}.{variety} = **mixed** and *B*.{content type}.{particle} is a Particle which is `·emptiable·` as defined in [Particle Emptiable \(§3.9.6.3\)](#).
 - 2.3 **All** of the following are true:
 - 2.3.1 *T*.{content type}.{variety} = **empty**.
 - 2.3.2 **One** of the following is true:
 - 2.3.2.1 *B*.{content type}.{variety} = **empty**.
 - 2.3.2.2 *B*.{content type}.{variety} = **element-only** or **mixed**, and *B*.{content type}.{particle} is a Particle which is `·emptiable·` as defined in [Particle Emptiable \(§3.9.6.3\)](#).
 - 2.4 **All** of the following are true:
 - 2.4.1 **One** of the following is true:
 - 2.4.1.1 *T*.{content type}.{variety} = **element-only** and *B*.{content type}.{variety} = **element-only** or **mixed**.
 - 2.4.1.2 *T* and *B* both have {content type}.{variety} = **mixed**.
 - 2.4.2 The {content type} of *T* `·restricts·` that of *B* as defined in [Content type restricts \(Complex Content\) \(§3.4.6.4\)](#).
 - 3 For every element information item *E*, if the [attributes] of *E* satisfy clause 2 and clause 3 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) with respect to *T*, then they also satisfy the same clauses with respect to *B*, and for every attribute information item *A* in *E*.[attributes], *B*'s `·default binding·` for *A* `·subsumes·` that defined by *T*.
 - 4 For any element or attribute information item, its `·locally declared type·` within *T* is `·validly substitutable·` for its `·locally declared type·` within *B*, subject to the blocking keywords {**extension**, **list**, **union**}, if the item has a `·locally declared type·` both in *T* and in *B*.
 - 5 *B*.{assertions} is a prefix of *T*.{assertions}.
- [Definition:] A complex type definition with {derivation method} = **restriction** is a **valid restriction** of its {base type definition} if and only if the constraint [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#) is satisfied.

Note: Valid restriction involves both a subset relation on the set of elements valid against *T* and those valid against *B*, and a derivation relation, explicit in the type hierarchy, between the types assigned to attributes and child elements by *T* and those assigned to the same attributes and children by *B*.

The constraint just given, like other constraints on schemas, MUST be satisfied by every complex type *T* to which it applies.

Editorial Note: Priority Feedback Request

The above constraint allows a complex type with an <all> model groups to restrict another complex type with either <all>, <sequence>, or <choice> model groups. Even when the base type has an <all> model group, the list of member elements and wildcard may be very different between the two types. The working group solicits feedback on how useful this is in practice, and on the difficulty in implementing this feature.

However, under certain conditions conforming processors need not (although they MAY) detect some violations of this constraint. If (1) the type definition being checked has T . {content type} . {particle} . {term} . {compositor} = **all** and (2) an implementation is unable to determine by examination of the schema in isolation whether or not clause [2.4.2](#) is satisfied, then the implementation MAY provisionally accept the derivation. If any instance encountered in the ·assessment· episode is valid against T but not against T .{base type definition}, then the derivation of T does not satisfy this constraint, the schema does not conform to this specification, and no ·assessment· can be performed using that schema.

It is ·implementation-defined· whether a processor (a) always detects violations of clause [2.4.2](#) by examination of the schema in isolation, (b) detects them only when some element information item in the input document is valid against T but not against T .{base type definition}, or (c) sometimes detects such violations by examination of the schema in isolation and sometimes not. In the latter case, the circumstances in which the processor does one or the other are ·implementation-dependent·.

Note: This provision for validation-time checking of this constraint on schemas is similar, in some ways, to the validation-time checking of restrictions involving conditional type assignment specified in [Conditional Type Substitutable \(§3.4.4.5\)](#). Both involve checking information items in the instance being ·assessed· against both a type and its {base type definition}.

The two cases differ, however, in that a failure to satisfy [Conditional Type Substitutable \(§3.4.4.5\)](#) makes the document instance invalid (clause [7](#) of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#)), while a failure to satisfy the rule just given indicates an ·error· in the schema.

Editorial Note: Priority Feedback Request

The above rule allows an implementation to use a potentially non-conforming schema to perform schema assessment and produce PSVI. This results in an exception of rules specified in [Errors in Schema Construction and Structure \(§5.1\)](#). The Working Group solicits input from implementors and users of this specification as to whether this is an acceptable implementation behavior.

3.4.6.4 Content Type Restricts (Complex Content)

Schema Component Constraint: Content type restricts (Complex Content)

[Definition:] A Content Type **R** (for "restriction") with complex content (i.e. one with a ·non-absent· {particle}) **restricts** another Content Type **B** (for "base") with complex

content if and only if **all** of the following are true:

- 1 Every sequence of element information items which is *·locally valid·* with respect to **R** is also *·locally valid·* with respect to **B**.
- 2 For all sequences of element information items **ES** which are *·locally valid·* with respect to **R**, for all elements **E** in **ES**, **B**'s *·default binding·* for **E** *·subsumes·* that defined by **R**.

[Definition:] When a sequence of element information items **ES** is *·locally valid·* with respect to a Content Type **CT** or when a set of attribute information items **AS** satisfies clause 2 and clause 3 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) with respect to a Complex Type Definition, there is a (partial) functional mapping from the element information items **E** in the sequence **ES** or the attribute information items in **AS** to a **default binding** for the item, where the default binding is an Element Declaration, an Attribute Use, or one of the keywords **strict**, **lax**, or **skip**, as follows:

- 1 When the item has a *·governing element declaration·*, the default binding is that Element Declaration.
- 2 When the item has a *·governing attribute declaration·* and it is *·attributed·* to an Attribute Use, the default binding is that Attribute Use.
- 3 When the item has a *·governing attribute declaration·* and it is *·attributed·* to an attribute wildcard, the default binding is an Attribute Use whose {attribute declaration} is the *·governing attribute declaration·*, whose {value constraint} is *·absent·*, and whose {inheritable} is the *·governing attribute declaration·*'s {inheritable} (the other properties in the Attribute Use are not relevant).
- 4 When the item is *·attributed·* to a **strict** wildcard particle or attribute wildcard or an Open Content with a **strict** Wildcard and it does not have a *·governing element declaration·* or a *·governing attribute declaration·*, then the default binding is the keyword **strict**.
- 5 When the item is *·attributed·* to a **lax** wildcard particle or attribute wildcard or an Open Content with a **lax** Wildcard and it does not have a *·governing element declaration·* or a *·governing attribute declaration·*, then the default binding is the keyword **lax**.
- 6 When the item is *·attributed·* to a **skip** wildcard particle or attribute wildcard or an Open Content with a **skip** Wildcard then the default binding is the keyword **skip**.

[Definition:] A *·default binding·* **G** (for general) **subsumes** another *·default binding·* **S** (for specific) if and only if **one** of the following is true

- 1 **G** is **skip**.
- 2 **G** is **lax** and **S** is not **skip**.
- 3 Both **G** and **S** are **strict**.
- 4 **G** and **S** are both Element Declarations and **all** of the following are true:
 - 4.1 Either **G**.{nillable} = **true** or **S**.{nillable} = **false**.
 - 4.2 Either **G** has no {value constraint}, or it is not **fixed**, or **S** has a **fixed** {value constraint} with an equal value.
 - 4.3 **S**.{identity-constraint definitions} is a superset of **G**.{identity-constraint definitions}.
 - 4.4 **S** disallows a superset of the substitutions that **G** does.
 - 4.5 **S**'s declared {type definition} is *·validly substitutable as a restriction·* for **G**'s declared {type definition}.
- 5 **G** and **S** are both Attribute Uses and **all** of the following are true:
 - 5.1 **G**.{attribute declaration}.{type definition} is *·validly derived·* from **S**.{attribute declaration}.{type definition}, as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

5.2 Let **GVC** be **G**'s ·effective value constraint· and **SVC** be **S**'s ·effective value constraint·, then **one or more** of the following is true:

5.2.1 **GVC** is ·absent· or has {variety} **default**.

5.2.2 **SVC**.{variety} = **fixed** and **SVC**.{value} is equal to **GVC**.{value}.

5.3 **G**.{inheritable} = **S**.{inheritable}.

Note: To restrict a complex type definition with a simple base type definition to **empty**, use a simple type definition with a **fixed** value of the empty string: this preserves the type information.

Note: To restrict away a local element declaration that ·competes· with a wildcard, use a wildcard in the derived type that explicitly disallows the element's [expanded name](#). See the example given in [XML Representation of Complex Type Definition Schema Components \(§3.4.2\)](#).

3.4.6.5 Type Derivation OK (Complex)

The following constraint defines a relation appealed to elsewhere in this specification.

Schema Component Constraint: Type Derivation OK (Complex)

For a complex type definition (call it **D**, for ·derived·) to be validly ·derived· from a type definition (call this **B**, for base) subject to the blocking keywords in a subset of {**extension**, **restriction**} **all** of the following **MUST** be true:

- 1 If **B** and **D** are not the same type definition, then the {derivation method} of **D** is not in the subset.
- 2 **One or more** of the following is true:
 - 2.1 **B** = **D**.
 - 2.2 **B** = **D**.{base type definition}.
 - 2.3 **All** of the following are true:
 - 2.3.1 **D**.{base type definition} ≠ `*xs:anyType*`.
 - 2.3.2 The appropriate **case** among the following is true:
 - 2.3.2.1 If **D**.{base type definition} is complex, **then** it is validly ·derived· from **B** subject to the subset as defined by this constraint.
 - 2.3.2.2 If **D**.{base type definition} is simple, **then** it is validly ·derived· from **B** subject to the subset as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

Note: This constraint is used to check that when someone uses a type in a context where another type was expected (either via `xsi:type` or ·substitution groups·), that the type used is actually ·derived· from the expected type, and that that ·derivation· does not involve a form of ·derivation· which was ruled out by the expected type.

Note: The wording of clause [2.1](#) above appeals to a notion of component identity which is only incompletely defined by this version of this specification. In some cases, the wording of this specification does make clear the rules for component identity. These cases include:

- When they are both top-level components with the same component type, namespace name, and local name;

- When they are necessarily the same type definition (for example, when the two type definitions in question are the type definitions associated with two attribute or element declarations, which are discovered to be the same declaration);
- When they are the same by construction (for example, when an element's type definition defaults to being the same type definition as that of its substitution-group head or when a complex type definition inherits an attribute declaration from its base type definition).

In other cases it is possible that conforming implementations will disagree as to whether components are identical.

Note: When a complex type definition **S** is said to be "validly derived" from a type definition **T**, without mention of any specific set of blocking keywords, or with the explicit phrase "without limitation", then what is meant is that **S** is validly derived from **T**, subject to the empty set of blocking keywords, i.e. without any particular limitations.

3.4.7 Built-in Complex Type Definition

There is a complex type definition for `·xs:anyType·` present in every schema by definition. It has the following properties:

Complex Type Definition of anyType									
Property	Value								
{name}	anyType								
{target namespace}	http://www.w3.org/2001/XMLSchema								
{base type definition}	itself								
{derivation method}	restriction								
{content type}	A Content Type as follows:								
<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>mixed</td> </tr> <tr> <td>{particle}</td> <td>a Particle with the properties shown below in Outer Particle for Content Type of anyType (§3.4.7).</td> </tr> <tr> <td>{simple type definition}</td> <td>·absent·</td> </tr> </tbody> </table>		Property	Value	{variety}	mixed	{particle}	a Particle with the properties shown below in Outer Particle for Content Type of anyType (§3.4.7) .	{simple type definition}	·absent·
Property	Value								
{variety}	mixed								
{particle}	a Particle with the properties shown below in Outer Particle for Content Type of anyType (§3.4.7) .								
{simple type definition}	·absent·								
{attribute uses}	The empty set								
{attribute									

wildcard} a wildcard with the following properties::

Property	Value
{namespace constraint}	A Namespace Constraint with the following properties:

Property	Value
{variety}	any
{namespaces}	The empty set
{disallowed names}	The empty set

{process contents}	lax
--------------------	------------

{final}	The empty set
{context}	·absent·
{prohibited substitutions}	The empty set
{assertions}	The empty sequence
{abstract}	false

The outer particle of `*xs:anyType` contains a sequence with a single term:

Outer Particle for Content Type of anyType

Property	Value
{min occurs}	1
{max occurs}	1
{term}	a model group with the following properties:

Property	Value
{compositor}	sequence
{particles}	a list containing one particle with the properties shown below in Inner Particle for Content Type of anyType (§3.4.7) .

The inner particle of `*xs:anyType` contains a wildcard which matches any element:

Inner Particle for Content Type of anyType																	
Property	Value																
{min occurs}	0																
{max occurs}	<i>unbounded</i>																
{term}	a wildcard with the following properties:																
<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{namespace constraint}</td> <td>A Namespace Constraint with the following properties:</td> </tr> <tr> <td colspan="2"> <table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td><i>any</i></td> </tr> <tr> <td>{namespaces}</td> <td>The empty set</td> </tr> <tr> <td>{disallowed names}</td> <td>The empty set</td> </tr> </tbody> </table> </td> </tr> <tr> <td>{process contents}</td> <td><i>lax</i></td> </tr> </tbody> </table>		Property	Value	{namespace constraint}	A Namespace Constraint with the following properties:	<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td><i>any</i></td> </tr> <tr> <td>{namespaces}</td> <td>The empty set</td> </tr> <tr> <td>{disallowed names}</td> <td>The empty set</td> </tr> </tbody> </table>		Property	Value	{variety}	<i>any</i>	{namespaces}	The empty set	{disallowed names}	The empty set	{process contents}	<i>lax</i>
Property	Value																
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<table border="1"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td><i>any</i></td> </tr> <tr> <td>{namespaces}</td> <td>The empty set</td> </tr> <tr> <td>{disallowed names}</td> <td>The empty set</td> </tr> </tbody> </table>		Property	Value	{variety}	<i>any</i>	{namespaces}	The empty set	{disallowed names}	The empty set								
Property	Value																
{variety}	<i>any</i>																
{namespaces}	The empty set																
{disallowed names}	The empty set																
{process contents}	<i>lax</i>																

Note: This specification does not provide an inventory of built-in complex type definitions for use in user schemas. A preliminary library of complex type definitions is available which includes both mathematical (e.g. `rational`) and utility (e.g. `array`) type definitions. In particular, there is a `text` type definition which is recommended for use as the type definition in element declarations intended for general text content, as it makes sensible provision for various aspects of internationalization. For more details, see the schema document for the type library at its namespace name: <http://www.w3.org/2001/03/XMLSchema/TypeLibrary.xsd>.

3.5 Attribute Uses

- 3.5.1 [The Attribute Use Schema Component](#)
- 3.5.2 [XML Representation of Attribute Use Schema Components](#)
- 3.5.3 [Constraints on XML Representations of Attribute Uses](#)
- 3.5.4 [Attribute Use Validation Rules](#)
- 3.5.5 [Attribute Use Information Set Contributions](#)
- 3.5.6 [Constraints on Attribute Use Schema Components](#)

An attribute use is a utility component which controls the occurrence and defaulting behavior of attribute declarations. It plays the same role for attribute declarations in

complex types that particles play for element declarations.

Example

```
<xs:complexType>
  .
  .
  .
  <xs:attribute ref="xml:lang" use="required"/>
  <xs:attribute ref="xml:space" default="preserve"/>
  <xs:attribute name="version" type="xs:decimal" fixed="1.0"/>
</xs:complexType>
```

XML representations which all involve attribute uses, illustrating some of the possibilities for controlling occurrence.

3.5.1 The Attribute Use Schema Component

The attribute use schema component has the following properties:

Schema Component: Attribute Use, a kind of Annotated Component	
{ annotations }	A sequence of Annotation components.
{ required }	An xs:boolean value. Required.
{ attribute declaration }	An Attribute Declaration component. Required.
{ value constraint }	A Value Constraint property record. Optional.
{ inheritable }	An xs:boolean value. Required.

Property Record: Value Constraint	
{ variety }	One of { default , fixed }. Required.
{ value }	An actual value. Required.
{ lexical form }	A character string. Required.

{required} determines whether this use of an attribute declaration requires an appropriate attribute information item to be present, or merely allows it.

{attribute declaration} provides the attribute declaration itself, which will in turn determine the simple type definition used.

{value constraint} allows for local specification of a default or fixed value. This **MUST** be consistent with that of the {attribute declaration}, in that if the {attribute declaration} specifies a fixed value, the only allowed {value constraint} is the same fixed value, or a value equal to it.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.5.2 XML Representation of Attribute Use Schema Components

Attribute uses correspond to all uses of <attribute> which allow a `use` attribute. These in turn correspond to *two* components in each case, an attribute use and its {attribute declaration} (although note the latter is not new when the attribute use is a reference to a top-level attribute declaration). The appropriate mapping is described in [XML Representation of Attribute Declaration Schema Components \(§3.2.2\)](#).

3.5.3 Constraints on XML Representations of Attribute Uses

None as such.

3.5.4 Attribute Use Validation Rules

[Definition:] The **effective value constraint** of an attribute use *U* is *U*.{value constraint}, if present, otherwise *U*.{attribute declaration}.{value constraint}, if present, otherwise the **effective value constraint** is `absent`.

Validation Rule: Attribute Locally Valid (Use)

For an attribute information item to be `valid` with respect to an attribute use its `actual value` MUST be equal to the {value} of the attribute use's {value constraint}, if it is present and has {variety} *fixed*.

3.5.5 Attribute Use Information Set Contributions

None as such.

3.5.6 Constraints on Attribute Use Schema Components

All attribute uses (see [Attribute Uses \(§3.5\)](#)) MUST satisfy the following constraints.

Schema Component Constraint: Attribute Use Correct

All of the following MUST be true:

- 1 The values of the properties of an attribute use *U* are as described in the property tableau in [The Attribute Use Schema Component \(§3.5.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If *U*.{value constraint} is not `absent`, then it is a valid default with respect to *U*.{attribute declaration}.{type definition} as defined in [Simple Default Valid \(§3.2.6.2\)](#).
- 3 If *U*.{attribute declaration} has {value constraint}.{variety} = *fixed* and *U* itself has a {value constraint}, then *U*.{value constraint}.{variety} = *fixed* and *U*.{value constraint}.{value} is identical to *U*.{attribute declaration}.{value constraint}.{value}.

3.6 Attribute Group Definitions

3.6.1 [The Attribute Group Definition Schema Component](#)

3.6.2 [XML Representation of Attribute Group Definition Schema Components](#)

3.6.2.1 [XML Mapping Rule for Named Attribute Groups](#)



- 3.6.2.2 [Common Rules for Attribute Wildcards](#)
- 3.6.3 [Constraints on XML Representations of Attribute Group Definitions](#)
- 3.6.4 [Attribute Group Definition Validation Rules](#)
- 3.6.5 [Attribute Group Definition Information Set Contributions](#)
- 3.6.6 [Constraints on Attribute Group Definition Schema Components](#)

A schema can name a group of attribute declarations so that they can be incorporated as a group into complex type definitions.

Attribute group definitions do not participate in ·validation· as such, but the {attribute uses} and {attribute wildcard} of one or more complex type definitions MAY be constructed in whole or part by reference to an attribute group. Thus, attribute group definitions provide a replacement for some uses of XML's [parameter entity](#) facility. Attribute group definitions are provided primarily for reference from the XML representation of schema components (see <complexType> and <attributeGroup>).

Example

```
<xs:attributeGroup name="myAttrGroup">
  <xs:attribute . . ./>
  .
  .
  .
</xs:attributeGroup>

<xs:complexType name="myelement">
  .
  .
  .
  <xs:attributeGroup ref="myAttrGroup"/>
</xs:complexType>
```

XML representations for attribute group definitions. The effect is as if the attribute declarations in the group were present in the type definition.

The example above illustrates the pattern mentioned in [XML Representations of Components \(§3.1.2\)](#): The same element, in this case `attributeGroup`, serves both to define and to incorporate by reference. In the first `attributeGroup` element in the example, the `name` attribute is required and the `ref` attribute is forbidden; in the second the `ref` attribute is required, the `name` attribute is forbidden.

3.6.1 The Attribute Group Definition Schema Component

The attribute group definition schema component has the following properties:

Schema Component: Attribute Group Definition, a kind of Annotated Component

```
{annotations}
  A sequence of Annotation components.
{name}
  An xs:NCName value. Required.
{target namespace}
  An xs:anyURI value. Optional.
{attribute uses}
```

A set of Attribute Use components.
 {attribute wildcard}
 A Wildcard component. Optional.

Attribute groups are identified by their {name} and {target namespace}; attribute group identities MUST be unique within an ·XSD schema·. See [References to schema components across namespaces \(<import>\) \(§4.2.5\)](#) for the use of component identifiers when importing one schema into another.

{attribute uses} is a set of attribute uses, allowing for local specification of occurrence and default or fixed values.

{attribute wildcard} provides for an attribute wildcard to be included in an attribute group. See above under [Complex Type Definitions \(§3.4\)](#) for the interpretation of attribute wildcards during ·validation·.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.6.2 XML Representation of Attribute Group Definition Schema Components

3.6.2.1 XML Mapping Rule for Named Attribute Groups

The XML representation for an attribute group definition schema component is an <attributeGroup> element information item. It provides for naming a group of attribute declarations and an attribute wildcard for use by reference in the XML representation of complex type definitions and other attribute group definitions. The correspondences between the properties of the information item and properties of the component it corresponds to are given in this section.

XML Representation Summary: `attributeGroup` **Element Information Item**

```
<attributeGroup
  id = ID
  name = NCName
  ref = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, ((attribute | attributeGroup)*, anyAttribute?))
</attributeGroup>
```

When an <attributeGroup> appears as a child of <schema> or <redefine>, it corresponds to an attribute group definition as below. When it appears as a child of <complexType> or <attributeGroup>, it does not correspond to any component as such.

XML Mapping Summary for [Attribute Group Definition Schema Component](#)

Property	Representation
{name}	The ·actual value· of the <code>name</code> [attribute]
{target	The ·actual value· of the <code>targetNamespace</code> [attribute] of the <schema>

namespace}	ancestor element information item if present, otherwise <code>·absent·</code> .
{attribute uses}	The union of the set of attribute uses corresponding to the <code><attribute></code> [children], if any, with the {attribute uses} of the attribute groups <code>·resolved·</code> to by the <code>·actual value·</code> s of the <code>ref</code> [attribute] of the <code><attributeGroup></code> [children], if any. Note: As described below, circular references from <code><attributeGroup></code> to <code><attributeGroup></code> are not errors.
{attribute wildcard}	The Wildcard determined by applying the attribute-wildcard mapping described in Common Rules for Attribute Wildcards (§3.6.2.2) to the <code><attributeGroup></code> element information item.
{annotations}	The <code>·annotation mapping·</code> of the <code><attributeGroup></code> element and its <code><attributeGroup></code> [children], if present, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Note: It is a consequence of this rule and the rule in [XML Representation of Complex Type Definition Schema Components \(§3.4.2\)](#) that any annotations specified in attribute group references are included in the sequence of Annotations of the enclosing Complex Type Definition or Attribute Group Definition components.

The rules given above for {attribute uses} and {attribute wildcard} specify that if an `<attributeGroup>` element **A** contains a reference to another attribute group **B** (i.e. **A**'s [children] include an `<attributeGroup>` with a `ref` attribute pointing at **B**), then **A** maps to an Attribute Group Definition component whose {attribute uses} reflect not only the `<attribute>` [children] of **A** but also those of **B** and of any `<attributeGroup>` elements referred to in **B**. The same is true for attribute groups referred to from complex types.

Circular reference is *not* disallowed. That is, it is not an error if **B**, or some `<attributeGroup>` element referred to by **B** (directly, or indirectly at some remove) contains a reference to **A**. An `<attributeGroup>` element involved in such a reference cycle maps to a component whose {attribute uses} and {attribute wildcard} properties reflect all the `<attribute>` and `<any>` elements contained in, or referred to (directly or indirectly) by elements in the cycle.

Note: In version 1.0 of this specification, circular group reference was not allowed except in the [children] of `<redefine>`. As described above, this version allows it. The effect is to take the transitive closure of the reference relation between `<attributeGroup>` elements and take into account all their {attribute uses} and {attribute wildcard} properties.

3.6.2.2 Common Rules for Attribute Wildcards

The following mapping for attribute-wildcards forms part of the XML mapping rules for different kinds of source declaration (most prominently `<attributeGroup>`). It can be applied to any element which can have an `<anyAttribute>` element as a child, and produces as a result either a Wildcard or the special value `·absent·`. The mapping depends on the concept of the `·local wildcard·`:

[Definition:] The **local wildcard** of an element information item **E** is the appropriate **case** among the following:

- 1 If **E** has an <anyAttribute> child, then the Wildcard mapped to by the <anyAttribute> element using the wildcard mapping set out in [XML Representation of Wildcard Schema Components \(§3.10.2\)](#);
- 2 otherwise absent.

The mapping is defined as follows:

- 1 Let **L** be the local wildcard.
- 2 Let **W** be a sequence containing all the non-absent {attribute wildcard}s of the attribute groups referenced by **E**, in document order.
- 3 The value is then determined by the appropriate **case** among the following:
 - 3.1 If **W** is empty, then the local wildcard **L**.
 - 3.2 otherwise the appropriate **case** among the following:
 - 3.2.1 If **L** is non-absent, then a wildcard whose properties are as follows:

Property	Value
{process contents}	L .{process contents}
{annotations}	L .{annotations}
{namespace constraint}	the wildcard intersection of L .{namespace constraint} and of the {namespace constraint}s of all the wildcards in W , as defined in Attribute Wildcard Intersection (§3.10.6.4)

- 3.2.2 otherwise (no <anyAttribute> is present) a wildcard whose properties are as follows:

Property	Value
{process contents}	The {process contents} of the first wildcard in W
{namespace constraint}	The wildcard intersection of the {namespace constraint}s of all the wildcards in W , as defined in Attribute Wildcard Intersection (§3.10.6.4)
{annotations}	The empty sequence.

3.6.3 Constraints on XML Representations of Attribute Group Definitions

Schema Representation Constraint: Attribute Group Definition Representation OK

None as such.

3.6.4 Attribute Group Definition Validation Rules

None as such.

3.6.5 Attribute Group Definition Information Set Contributions

None as such.

3.6.6 Constraints on Attribute Group Definition Schema Components

All attribute group definitions (see [Attribute Group Definitions \(§3.6\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Attribute Group Definition Properties Correct

All of the following MUST be true:

- 1 The values of the properties of an attribute group definition are as described in the property tableau in [The Attribute Group Definition Schema Component \(§3.6.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#);
- 2 No two distinct members of the {attribute uses} have {attribute declaration}s with the same [expanded name](#).

3.7 Model Group Definitions

3.7.1 [The Model Group Definition Schema Component](#)

3.7.2 [XML Representation of Model Group Definition Schema Components](#)

3.7.3 [Constraints on XML Representations of Model Group Definitions](#)

3.7.4 [Model Group Definition Validation Rules](#)

3.7.5 [Model Group Definition Information Set Contributions](#)

3.7.6 [Constraints on Model Group Definition Schema Components](#)

A model group definition associates a name and optional annotations with a Model Group. By reference to the name, the entire model group can be incorporated by reference into a {term}.

Model group definitions are provided primarily for reference from the [XML Representation of Complex Type Definition Schema Components \(§3.4.2\)](#) (see <complexType> and <group>). Thus, model group definitions provide a replacement for some uses of XML's [parameter entity](#) facility.

Example

```
<xs:group name="myModelGroup">
  <xs:sequence>
    <xs:element ref="something"/>
    .
    .
    .
  </xs:sequence>
</xs:group>

<xs:complexType name="trivial">
  <xs:group ref="myModelGroup"/>
  <xs:attribute .../>
</xs:complexType>

<xs:complexType name="moreSo">
  <xs:choice>
    <xs:element ref="anotherThing"/>
    <xs:group ref="myModelGroup"/>
  </xs:choice>
  <xs:attribute .../>
```

```
</xs:complexType>
```

A minimal model group is defined and used by reference, first as the whole content model, then as one alternative in a choice.

3.7.1 The Model Group Definition Schema Component

The model group definition schema component has the following properties:

Schema Component: Model Group Definition, a kind of Annotated Component

<pre>{annotations} A sequence of Annotation components. {name} An xs:NCName value. Required. {target namespace} An xs:anyURI value. Optional. {model group} A Model Group component. Required.</pre>
--

Model group definitions are identified by their {name} and {target namespace}; model group identities **MUST** be unique within an ·XSD schema·. See [References to schema components across namespaces \(<import>\) \(§4.2.5\)](#) for the use of component identifiers when importing one schema into another.

Model group definitions *per se* do not participate in ·validation·, but the {term} of a particle **MAY** correspond in whole or in part to a model group from a model group definition.

{model group} is the Model Group for which the model group definition provides a name.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.7.2 XML Representation of Model Group Definition Schema Components

The XML representation for a model group definition schema component is a <group> element information item. It provides for naming a model group for use by reference in the XML representation of complex type definitions and model groups. The correspondences between the properties of the information item and properties of the component it corresponds to are given in this section.

XML Representation Summary: group Element Information Item

```
<group
  id = ID
  maxOccurs = (nonNegativeInteger | unbounded) : 1
  minOccurs = nonNegativeInteger : 1
  name = NCName
  ref = QName
  {any attributes with non-schema namespace . . .}>
```

```
Content: (annotation?, (all | choice | sequence)?)
</group>
```

If there is a `name` [attribute] (in which case the item will have `<schema>` or `<redefine>` as parent), then the item maps to a model group definition component with properties as follows:

XML Mapping Summary for [Model Group Definition Schema Component](#)

Property	Representation
{name}	The <code>·actual value·</code> of the <code>name</code> [attribute]
{target namespace}	The <code>·actual value·</code> of the <code>targetNamespace</code> [attribute] of the <code><schema></code> ancestor element information item if present, otherwise <code>·absent·</code> .
{model group}	A model group which is the {term} of a particle corresponding to the <code><all></code> , <code><choice></code> or <code><sequence></code> among the [children] (there MUST be exactly one).
{annotations}	The <code>·annotation mapping·</code> of the <code><group></code> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Otherwise, if the item has a `ref` [attribute] and does *not* have `minOccurs=maxOccurs=0`, then the `<group>` element maps to a particle component with properties as follows:

XML Mapping Summary for [Particle Schema Component](#)

Property	Representation
{min occurs}	The <code>·actual value·</code> of the <code>minOccurs</code> [attribute], if present, otherwise 1.
{max occurs}	unbounded , if the <code>maxOccurs</code> [attribute] equals unbounded , otherwise the <code>·actual value·</code> of the <code>maxOccurs</code> [attribute], if present, otherwise 1.
{term}	The {model group} of the model group definition <code>·resolved·</code> to by the <code>·actual value·</code> of the <code>ref</code> [attribute]
{annotations}	The <code>·annotation mapping·</code> of the <code><group></code> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Otherwise, the `<group>` has `minOccurs=maxOccurs=0`, in which case it maps to no component at all.

Note: The name of this section is slightly misleading, in that the second, un-named, case above (with a `ref` and no `name`) is not really a named model group at all, but a reference to one. Also note that in the first (named) case above no reference is made to `minOccurs` or `maxOccurs`: this is because the schema for schema documents does not allow them on the child of `<group>` when it is named. This in turn is because the {min occurs} and {max occurs} of the particles which *refer* to the definition are what

count.

3.7.3 Constraints on XML Representations of Model Group Definitions

None as such.

3.7.4 Model Group Definition Validation Rules

None as such.

3.7.5 Model Group Definition Information Set Contributions

None as such.

3.7.6 Constraints on Model Group Definition Schema Components

All model group definitions (see [Model Group Definitions \(§3.7\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Model Group Definition Properties Correct

The values of the properties of a model group definition MUST be as described in the property tableau in [The Model Group Definition Schema Component \(§3.7.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).

3.8 Model Groups

- 3.8.1 [The Model Group Schema Component](#)
- 3.8.2 [XML Representation of Model Group Schema Components](#)
- 3.8.3 [Constraints on XML Representations of Model Groups](#)
- 3.8.4 [Model Group Validation Rules](#)
 - 3.8.4.1 [Language Recognition by Groups](#)
 - 3.8.4.2 [Principles of Validation against Groups](#)
 - 3.8.4.3 [Element Sequence Valid](#)
- 3.8.5 [Model Group Information Set Contributions](#)
- 3.8.6 [Constraints on Model Group Schema Components](#)
 - 3.8.6.1 [Model Group Correct](#)
 - 3.8.6.2 [All Group Limited](#)
 - 3.8.6.3 [Element Declarations Consistent](#)
 - 3.8.6.4 [Unique Particle Attribution](#)
 - 3.8.6.5 [Effective Total Range \(all and sequence\)](#)
 - 3.8.6.6 [Effective Total Range \(choice\)](#)

When the [children] of element information items are not constrained to be **empty** or by reference to a simple type definition ([Simple Type Definitions \(§3.16\)](#)), the sequence of element information item [children] content MAY be specified in more detail with a model group. Because the {term} property of a particle can be a model group, and model groups contain particles, model groups can indirectly contain other model groups; the grammar for model groups is therefore recursive. [Definition:] A model group **directly contains the particles in the value of its {particles} property**. [Definition:] A model group **indirectly**

contains the particles, groups, wildcards, and element declarations which are contained by the particles it directly contains. [Definition:] A model group **contains** the components which it either directly contains or indirectly contains.

Example

```
<xs:all>
  <xs:element ref="cats"/>
  <xs:element ref="dogs"/>
</xs:all>

<xs:sequence>
  <xs:choice>
    <xs:element ref="left"/>
    <xs:element ref="right"/>
  </xs:choice>
  <xs:element ref="landmark"/>
</xs:sequence>
```

XML representations for the three kinds of model group, the third nested inside the second.

3.8.1 The Model Group Schema Component

The model group schema component has the following properties:

Schema Component: Model Group, a kind of Term

<code>{annotations}</code>	A sequence of Annotation components.
<code>{compositor}</code>	One of {all, choice, sequence} . Required.
<code>{particles}</code>	A sequence of Particle components.

specifies a sequential (**sequence**), disjunctive (**choice**) or conjunctive (**all**) interpretation of the {particles}. This in turn determines whether the element information item [children] validated by the model group MUST:

- (**sequence**) correspond, in order, to the specified {particles};
- (**choice**) correspond to exactly one of the specified {particles};
- (**all**) correspond to the specified {particles}. The elements can occur in any order.

When two or more particles contained directly, indirectly, or implicitly in the {particles} of a model group have identically named element declarations as their {term}, the type definitions of those declarations MUST be the same.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.8.2 XML Representation of Model Group Schema Components

The XML representation for a model group schema component is either an <all>, a <choice> or a <sequence> element information item. The correspondences between the properties of those information items and properties of the component they correspond to are given in this section.

XML Representation Summary: [all](#) Element Information Item et al.

```

<all
  id = ID
  maxOccurs = 1 : 1
  minOccurs = (0 | 1) : 1
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (element | any)*)
</all>

<choice
  id = ID
  maxOccurs = (nonNegativeInteger | unbounded) : 1
  minOccurs = nonNegativeInteger : 1
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (element | group | choice | sequence | any)*)
</choice>

<sequence
  id = ID
  maxOccurs = (nonNegativeInteger | unbounded) : 1
  minOccurs = nonNegativeInteger : 1
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (element | group | choice | sequence | any)*)
</sequence>

```

Each of the above items corresponds to a particle containing a model group, with properties as follows (unless `minOccurs=maxOccurs=0`, in which case the item corresponds to no component at all):

XML Mapping Summary for [Particle](#) Schema Component

Property	Representation
{min occurs}	The 'actual value' of the <code>minOccurs</code> [attribute], if present, otherwise 1.
{max occurs}	unbounded , if the <code>maxOccurs</code> [attribute] equals unbounded , otherwise the 'actual value' of the <code>maxOccurs</code> [attribute], if present, otherwise 1.
{term}	A model group as given below.
{annotations}	The same annotations as the {annotations} of the model group. See below.

The particle just described has a Model Group as the value of its {term} property, as follows.

XML Mapping Summary for [Model Group](#) Schema Component

Property	Representation
{compositor}	One of <i>all</i> , <i>choice</i> , <i>sequence</i> depending on the element information item.
{particles}	A sequence of particles corresponding to all the <all>, <choice>, <sequence>, <any>, <group> or <element> items among the [children], in order.
{annotations}	The ·annotation mapping· of the <all>, <choice>, or <sequence> element, whichever is present, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

3.8.3 Constraints on XML Representations of Model Groups

None as such.

3.8.4 Model Group Validation Rules

In order to define the validation rules for model groups clearly, it will be useful to define some basic terminology; this is done in the next two sections, before the validation rules themselves are formulated.

3.8.4.1 Language Recognition by Groups

Each model group M denotes a language $L(M)$, whose members are the sequences of element information items ·accepted· by M .

Within $L(M)$ a smaller language $V(M)$ can be identified, which is of particular importance for schema-validity assessment. The difference between the two languages is that $V(M)$ enforces some constraints which are ignored in the definition of $L(M)$. Informally $L(M)$ is the set of sequences which are accepted by a model group if no account is taken of the schema component constraint [Unique Particle Attribution \(§3.8.6.4\)](#) or the related provisions in the validation rules which specify how to choose a unique ·path· in a non-deterministic model group. By contrast, $V(M)$ takes account of those constraints and includes only the sequences which are ·locally valid· against M . For all model groups M , $V(M)$ is a subset of $L(M)$. $L(M)$ and related concepts are described in this section; $V(M)$ is described in the next section, [Principles of Validation against Groups \(§3.8.4.2\)](#).

[Definition:] When a sequence S of element information items is checked against a model group M , the sequence of ·basic particles· which the items of S match, in order, is a **path** of S in M . For a given S and M , the path of S in M is not necessarily unique. Detailed rules for the matching, and thus for the construction of paths, are given in [Language Recognition by Groups \(§3.8.4.1\)](#) and [Principles of Validation against Particles \(§3.9.4.1\)](#). Not every sequence has a path in every model group, but every sequence accepted by the model group does have a path. [Definition:] For a model group M and a sequence S in $L(M)$, the path of S in M is a **complete path**; prefixes of complete paths which are themselves not complete paths are **incomplete paths**. For example, in the model group

```

<xs:sequence>
  <xs:element name="a"/>
  <xs:element name="b"/>
  <xs:element name="c"/>
</xs:sequence>

```

the sequences ($\langle a \rangle \langle b \rangle \langle c \rangle$) and ($\langle a \rangle \langle b \rangle$) have *paths* (the first a *complete path* and the second an *incomplete path*), but the sequences ($\langle a \rangle \langle b \rangle \langle c \rangle \langle d \rangle$) and ($\langle a \rangle \langle x \rangle$) do not have paths.

Note: It is possible, but unusual, for a model group to have some paths which are neither complete paths, nor prefixes of complete paths. For example, the model group

```

<xs:sequence>
  <xs:element name="a"/>
  <xs:element name="b"/>
  <xs:choice/>
</xs:sequence>

```

accepts no sequences because the empty *choice* recognizes no input sequences. But the sequences ($\langle a \rangle$) and ($\langle a \rangle \langle b \rangle$) have paths in the model group.

The definitions of $L(M)$ and *paths* in M , when M is a *basic term* or a *basic particle*, are given in [Principles of Validation against Particles \(§3.9.4.1\)](#). The definitions for groups are given below.

3.8.4.1.1 SEQUENCES

This section defines $L(M)$, the set of *paths* in M , and $V(M)$, if M is a sequence group.

If M is a Model Group, and the {compositor} of M is *sequence*, and the {particles} of M is the sequence P_1, P_2, \dots, P_n , then $L(M)$ is the set of sequences $S = S_1 + S_2 + \dots + S_n$ (taking "+" as the concatenation operator), where S_j is in $L(P_j)$ for $0 < i \leq n$. The sequence of sequences S_1, S_2, \dots, S_n is a *partition* of S . Less formally, when M is a sequence of P_1, P_2, \dots, P_n , then $L(M)$ is the set of sequences formed by taking one sequence which is accepted by P_1 , then one accepted by P_2 , and so on, up through P_n , and then concatenating them together in order.

[Definition:] A **partition** of a sequence is a sequence of sub-sequences, some or all of which MAY be empty, such that concatenating all the sub-sequences yields the original sequence.

When M is a sequence group and S is a sequence of input items, the set of *paths* of S in M is the set of all paths $Q = Q_1 + Q_2 + \dots + Q_j$, where

- $j \leq n$, and
- $S = S_1 + S_2 + \dots + S_j$ (i.e. S_1, S_2, \dots, S_j is a *partition* of S), and
- S_j is in $L(P_j)$ for $0 < i < j$, and

- Q_i is a ·path· of S_j in P_i for $0 < i \leq j$.

Example

By this definition, some sequences which do not satisfy the entire model group nevertheless have ·paths· in a model group. For example, given the model group M

```
<xs:sequence>
  <xs:element name="a"/>
  <xs:element name="b"/>
  <xs:element name="c"/>
</xs:sequence>
```

and an input sequence S

```
<a/><b/>
```

where $n = 3$, $j = 2$, then S_1 is ($\langle a/\rangle$), S_2 is ($\langle b/\rangle$), and S has a ·path· in M , even though S is not in $L(M)$. The ·path· has two items, first the Particle for the a element, then the Particle for the b element.

When M is a sequence group, the set $V(M)$ (the set of sequences ·locally valid· against M) is the set of sequences S which are in $L(M)$ and which have a ·validation-path· in M . Informally, $V(M)$ contains those sequences which are accepted by M and for which no element information item is ever ·attributed to· a ·wildcard particle· if it can, in context, instead be ·attributed to· an ·element particle·. There will invariably be a ·partition· of S whose members are ·locally valid· against {particles} of M .

Note: For sequences with more than one ·path· in M , the ·attributions· of the ·validation-path· are used in validation and for determining the contents of the ·post-schema-validation info-set·. For example, if M is

```
<xs:sequence>
  <xs:any minOccurs="0"/>
  <xs:element name="a" minOccurs="0"/>
</xs:sequence>
```

then the sequence ($\langle a/\rangle$) has two ·paths· in M , one containing just the ·wildcard particle· and the other containing just the ·element particle·. It is the latter which is a ·validation-path· and which determines which Particle the item in the input is ·attributed to·.

Note: There are model groups for which some members of $L(M)$ are not in $V(M)$. For example, if M is

```
<xs:sequence>
  <xs:any minOccurs="0"/>
  <xs:element name="a"/>
</xs:sequence>
```

then the sequence ($\langle a/\rangle\langle a/\rangle$) is in $L(M)$, but not in $V(M)$, because the validation rules require that the first a be ·attributed to· the ·wildcard particle·. In a ·validation-path· the

initial a will invariably be attributed to the element particle, and so no sequence with an initial a can be locally valid against this model group.

3.8.4.1.2 CHOICES

This section defines $L(M)$, the set of paths in M , and $V(M)$, if M is a choice group.

When the {compositor} of M is **choice**, and the {particles} of M is the sequence P_1, P_2, \dots, P_n , then $L(M)$ is $L(P_1) \cup L(P_2) \cup \dots \cup L(P_n)$, and the set of paths of S in P is the set $Q = Q_1 \cup Q_2 \cup \dots \cup Q_n$, where Q_i is the set of paths of S in P_i , for $0 < i \leq n$. Less formally, when M is a choice of P_1, P_2, \dots, P_n , then $L(M)$ contains any sequence accepted by any of the particles P_1, P_2, \dots, P_n , and any path of S in any of the particles P_1, P_2, \dots, P_n is a path of S in P .

The set $V(M)$ (the set of sequences locally valid against M) is the set of sequences S which are in $L(M)$ and which have a validation-path in M . In effect, this means that if one of the choices in M attributes an initial element information item to a wildcard particle, and another attributes the same item to an element particle, then the latter choice is used for validation.

Note: For example, if M is

```
<xs:choice>
  <xs:any/>
  <xs:element name="a"/>
</xs:choice>
```

then the validation-path for the sequence ($\langle a \rangle$) contains just the element particle and it is to the element particle that the input element will be attributed; the alternate path containing just the wildcard particle is not relevant for validation as defined in this specification.

3.8.4.1.3 ALL-GROUPS

This section defines $L(M)$, the set of paths in M , and $V(M)$, if M is an all-group.

When the {compositor} of M is **all**, and the {particles} of M is the sequence P_1, P_2, \dots, P_n , then $L(M)$ is the set of sequences $S = S_1 \times S_2 \times \dots \times S_n$ (taking "x" as the interleave operator), where for $0 < i \leq n$, S_i is in $L(P_i)$. The set of sequences $\{S_1, S_2, \dots, S_n\}$ is a grouping of S . The set of paths of S in P is the set of all paths $Q = Q_1 \times Q_2 \times \dots \times Q_n$, where Q_i is a path of S_i in P_i , for $0 < i \leq n$.

Less formally, when M is an all-group of P_1, P_2, \dots, P_n , then $L(M)$ is the set of sequences formed by taking one sequence which is accepted by P_1 , then one accepted by P_2 , and so on, up through P_n , and then interleaving them together. Equivalently, $L(M)$ is the set of sequences S such that the set $\{S_1, S_2, \dots, S_n\}$ is a grouping of S , and for $0 < i \leq n$, S_i is

in $L(P_i)$.

[Definition:] A **grouping** of a sequence is a set of sub-sequences, some or all of which may be empty, such that each member of the original sequence appears once and only once in one of the sub-sequences and all members of all sub-sequences are in the original sequence.

For example, given the model group M

```
<xs:all>
  <xs:element name="a" minOccurs="0" maxOccurs="5">
  <xs:element name="b" minOccurs="1" maxOccurs="1">
  <xs:element name="c" minOccurs="0" maxOccurs="5">
</xs:element>
</xs:all>
```

and an input sequence S

```
<a/><b/><a/>
```

where $n = 3$, then S_1 is ($\langle a/\rangle\langle a/\rangle$), S_2 is ($\langle b/\rangle$), and the *path* of S in M is the sequence containing first the Particle for the a element, then the Particle for the b element, then once more the Particle for the a element.

The set $V(M)$ (the set of sequences *locally valid* against M) is the set of sequences S which are in $L(M)$ and which have a *validation-path* in M . In effect, this means that if one of the Particles in M *attributes* an element information item to a *wildcard particle*, and a *competing* Particle *attributes* the same item to an *element particle*, then the *element particle* is used for validation.

Note: For example, if M is

```
<xs:all>
  <xs:any/>
  <xs:element name="a"/>
</xs:all>
```

then M accepts sequences of length two, containing one a element and one other element.

The other element can be anything at all, including a second a element. After the first a the *element particle* accepts no more elements and so no longer *competes* with the *wildcard particle*. So if the sequence ($\langle a/\rangle\langle a/\rangle$) is checked against M , in the *validation-path* the first a element will be *attributed to* the *element particle* and the second to the *wildcard particle*.

If the intention is not to allow the second a , use a wildcard that explicitly disallows it. That is,

```
<xs:all>
  <xs:any notQName="a"/>
  <xs:element name="a"/>
</xs:all>
```

Now the sequence ($\langle a/\rangle\langle a/\rangle$) is not accepted by the particle.

3.8.4.1.4 MULTIPLE PATHS IN GROUPS

It is possible for a given sequence of element information items to have multiple *paths* in a given model group *M*; this is the case, for example, when *M* is ambiguous, as for example

```
<xs:choice>
  <xs:sequence>
    <xs:element ref="my:a" maxOccurs="unbounded"/>
    <xs:element ref="my:b"/>
  </xs:sequence>
  <xs:sequence>
    <xs:element ref="my:a"/>
    <xs:element ref="my:b" maxOccurs="unbounded"/>
  </xs:sequence>
</xs:choice>
```

which can match the sequence (*a*/*b*) in more than one way. It may also be the case with unambiguous model groups, if they do not correspond to a [deterministic](#) expression (as it is termed in [XML 1.1](#)) or a "1-unambiguous" expression, as it is defined by [\[Brüggemann-Klein / Wood 1998\]](#). For example,

```
<xs:sequence>
  <xs:element name="a" minOccurs="0"/>
  <xs:element name="a"/>
</xs:sequence>
```

Note: Because these model groups do not obey the constraint [Unique Particle Attribution \(§3.8.6.4\)](#), they cannot appear in a conforming schema.

3.8.4.2 Principles of Validation against Groups

As noted above, each model group *M* denotes a language *L(M)*, whose members are sequences of element information items. Each member of *L(M)* has one or more *paths* in *M*, as do other sequences of element information items.

By imposing conditions on *paths* in a model group *M* it is possible to identify a set of *validation-paths* in *M*, such that if *M* is a model group which obeys the [Unique Particle Attribution \(§3.8.6.4\)](#) constraint, then any sequence *S* has at most one *validation-path* in *M*. The language *V(M)* can then be defined as the set of sequences which have *validation-paths* in *M*.

[Definition:] Two Particles *P*₁ and *P*₂ contained in some Particle *P* **compete** with each other if and only if some sequence *S* of element information items has two *paths* in *P* which are identical except that one path has *P*₁ as its last item and the other has *P*₂.

For example, in the content model

```
<xs:sequence>
  <xs:element name="a"/>
  <xs:choice>
    <xs:element name="b"/>
    <xs:any/>
  </xs:choice>
```

```
</xs:sequence>
```

the sequence (`<a/>`) has two paths, one (Q_1) consisting of the Particle whose {term} is the declaration for `a` followed by the Particle whose {term} is the declaration for `b`, and a second (Q_2) consisting of the Particle whose {term} is the declaration for `a` followed by the Particle whose {term} is the wildcard. The sequences Q_1 and Q_2 are identical except for their last items, and so the two Particles which are the last items of Q_1 and Q_2 are said to *·compete·* with each other.

By contrast, in the content model

```
<xs:choice>
  <xs:sequence>
    <xs:element name="a"/>
    <xs:element name="b"/>
  </xs:sequence>
  <xs:sequence>
    <xs:element name="c"/>
    <xs:any/>
  </xs:sequence>
</xs:choice>
```

the Particles for `b` and the wildcard do not *·compete·*, because there is no pair of *·paths·* in P which differ only in one having the *·element particle·* for `b` and the other having the *·wildcard particle·*.

[Definition:] Two (or more) *·paths·* of a sequence S in a Particle P are **competing paths** if and only if they are identical except for their final items, which differ.

[Definition:] For any sequence S of element information items and any particle P , a *·path·* of S in P is a **validation-path** if and only if for each prefix of the *·path·* which ends with a *·wildcard particle·*, the corresponding prefix of S has no *·competing path·* which ends with an *·element particle·*.

Note: It is a consequence of the definition of *·validation-path·* that for any content model M which obeys constraint [Unique Particle Attribution \(§3.8.6.4\)](#) and for any sequence S of element information items, S has at most one *·validation-path·* in M .

[Definition:] A sequence S of element information items is **locally valid** against a particle P if and only if S has a *·validation-path·* in P . The set of all such sequences is written $V(P)$.

3.8.4.3 Element Sequence Valid

Validation Rule: Element Sequence Valid

For a sequence S (possibly empty) of element information items to be locally *·valid·* with respect to a model group M , S MUST be in $V(M)$.

Note: It is possible to define groups whose {particles} is empty. When a **choice**-group M has an empty {particles} property, then $L(M)$ is the empty set. When M is a **sequence**- or **all**-group with an empty {particles} property, then $L(M)$ is the set containing the empty (zero-length) sequence.

3.8.5 Model Group Information Set Contributions

None as such.

3.8.6 Constraints on Model Group Schema Components

All model groups (see [Model Groups \(§3.8\)](#)) MUST satisfy the following constraints.

3.8.6.1 Model Group Correct

Schema Component Constraint: Model Group Correct

All of the following MUST be true:

- 1 The values of the properties of a model group are as described in the property tableau in [The Model Group Schema Component \(§3.8.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 There are no circular groups. That is, within the {particles} of a group there is no particle at any depth whose {term} is the group itself.

3.8.6.2 All Group Limited

Schema Component Constraint: All Group Limited

When a model group has {compositor} **all**, then **all** of the following MUST be true:

- 1 It appears only as the value of one or both of the following properties:
 - 1.1 the {model group} property of a model group definition.
 - 1.2 the {term} property of a Particle with {max occurs}=1 which is the {particle} of the {content type} of a complex type definition.

3.8.6.3 Element Declarations Consistent

Schema Component Constraint: Element Declarations Consistent

If the {particles} property contains, either directly, indirectly (that is, within the {particles} property of a contained model group, recursively), or *implicitly*, two or more element declarations with the same [expanded name](#), then all their type definitions MUST be the same top-level definition, that is, **all** of the following MUST be true:

- 1 All their declared {type definition}s have a *non-absent* {name}.
- 2 All their declared {type definition}s have the same {name}.
- 3 All their declared {type definition}s have the same {target namespace}.
- 4 All their {type table}s are either all *absent* or else all are present and have the same sequence of {alternatives} and the same {default type definition}.

If **all** of the following are true:

- 1 The {particles} property contains (either directly, indirectly, or *implicitly*) one or more element declarations with the same [expanded name Q](#); call these element declarations **EDS**.
- 2 At least **one** of the following is true

- 2.1 The {particles} property contains one or more **strict** or **lax** wildcard particles which match **Q**.
- 2.2 The Model Group is the {term} of the content model of some Complex Type Definition **CTD** and **CTD**.{content type} has an {open content} with a **strict** or **lax** Wildcard which matches **Q**.
- 3 There exists a top-level element declaration **G** with the [expanded name Q](#). then the {type table}s of **EDS** and the {type table} of **G** MUST either all be absent or else all be present and have the same sequence of {alternatives} and the same {default type definition}.

[Definition:] A list of particles **implicitly contains** an element declaration if and only if a member of the list contains that element declaration in its substitution group.

3.8.6.4 Unique Particle Attribution

[Definition:] An **element particle** is a Particle whose {term} is an Element Declaration.

[Definition:] A **wildcard particle** is a Particle whose {term} is a Wildcard. Wildcard particles may be referred to as "strict", "lax", or "skip" particles, depending on the {process contents} property of their {term}.

Schema Component Constraint: Unique Particle Attribution

A content model MUST NOT contain two element particles which compete with each other, nor two wildcard particles which compete with each other.

Note: Content models in which an element particle and a wildcard particle compete with each other are *not* prohibited. In such cases, the Element Declaration is chosen; see the definitions of attribution and validation-path.

Note: This constraint reconstructs for XSD the equivalent constraints of [XML 1.1](#) and SGML. See [Analysis of the Unique Particle Attribution Constraint \(non-normative\) \(§K\)](#) for further discussion.

Since this constraint is expressed at the component level, it applies to content models whose origins (e.g. via type derivation and references to named model groups) are no longer evident. So particles at different points in the content model are always distinct from one another, even if they originated from the same named model group.

Note: It is a consequence of [Unique Particle Attribution \(§3.8.6.4\)](#), together with the definition of validation-path, that any sequence **S** of element information items has at most one validation-path in any particle **P**. This means in turn that each item in **S** is attributed to at most one particle in **P**. No item can match more than one Wildcard or more than one Element Declaration (because no two wildcard particles and no two element particles MAY compete), and if an item matches both a wildcard particle and an element particle, it is attributed by the rules for validation-paths to the element particle.

Note: Because locally-scoped element declarations sometimes have and sometimes do not have a {target namespace}, the scope of declarations is *not* relevant to enforcing either the [Unique Particle Attribution \(§3.8.6.4\)](#) constraint or the [Element](#)

[Declarations Consistent \(§3.8.6.3\)](#) constraint.

3.8.6.5 Effective Total Range (*all* and *sequence*)

The following constraints define relations appealed to elsewhere in this specification.

Schema Component Constraint: Effective Total Range (*all* and *sequence*)

The effective total range of a particle *P* whose {term} is a group *G* whose {compositor} is *all* or *sequence* is a pair of minimum and maximum, as follows:

minimum

The product of *P*.{min occurs} and the sum of the {min occurs} of every wildcard or element declaration particle in *G*.{particles} and the minimum part of the effective total range of each of the group particles in *G*.{particles} (or 0 if there are no {particles}).

maximum

unbounded if the {max occurs} of any wildcard or element declaration particle in *G*.{particles} or the maximum part of the effective total range of any of the group particles in *G*.{particles} is *unbounded*, or if any of those is non-zero and *P*.{max occurs} = *unbounded*, otherwise the product of *P*.{max occurs} and the sum of the {max occurs} of every wildcard or element declaration particle in *G*.{particles} and the maximum part of the effective total range of each of the group particles in *G*.{particles} (or 0 if there are no {particles}).

3.8.6.6 Effective Total Range (*choice*)

Schema Component Constraint: Effective Total Range (*choice*)

The effective total range of a particle *P* whose {term} is a group *G* whose {compositor} is *choice* is a pair of minimum and maximum, as follows:

minimum

The product of *P*.{min occurs} and the minimum of the {min occurs} of every wildcard or element declaration particle in *G*.{particles} and the minimum part of the effective total range of each of the group particles in *G*.{particles} (or 0 if there are no {particles}).

maximum

unbounded if the {max occurs} of any wildcard or element declaration particle in *G*.{particles} or the maximum part of the effective total range of any of the group particles in *G*.{particles} is *unbounded*, or if any of those is non-zero and *P*.{max occurs} = *unbounded*, otherwise the product of *P*.{max occurs} and the maximum of the {max occurs} of every wildcard or element declaration particle in

G.{particles} and the maximum part of the effective total range of each of the group particles in **G**.{particles} (or 0 if there are no {particles}).

3.9 Particles

- 3.9.1 [The Particle Schema Component](#)
- 3.9.2 [XML Representation of Particle Components](#)
- 3.9.3 [Constraints on XML Representations of Particles](#)
- 3.9.4 [Particle Validation Rules](#)
 - 3.9.4.1 [Principles of Validation against Particles](#)
 - 3.9.4.2 [Element Sequence Locally Valid \(Particle\)](#)
 - 3.9.4.3 [Element Sequence Accepted \(Particle\)](#)
- 3.9.5 [Particle Information Set Contributions](#)
- 3.9.6 [Constraints on Particle Schema Components](#)
 - 3.9.6.1 [Particle Correct](#)
 - 3.9.6.2 [Particle Valid \(Extension\)](#)
 - 3.9.6.3 [Particle Emptiable](#)

As described in [Model Groups \(§3.8\)](#), particles contribute to the definition of content models.

When an element is validated against a complex type, its sequence of child elements is checked against the content model of the complex type and the children are attributed to Particles of the content model. The attribution of items to Particles determines the calculation of the items' context-determined declarations and thus partially determines the governing element declarations for the children: when an element information item is attributed to an element particle, that Particle's Element Declaration, or an Element Declaration substitutable for it, becomes the item's context-determined declaration and thus normally its governing element declaration; when the item is attributed to a wildcard particle, the governing element declaration depends on the {process contents} property of the wildcard and on [QName resolution \(Instance\) \(§3.17.6.3\)](#).

Example

```
<xs:element ref="egg" minOccurs="12" maxOccurs="12"/>
<xs:group ref="omelette" minOccurs="0"/>
<xs:any maxOccurs="unbounded"/>
```

XML representations which all involve particles, illustrating some of the possibilities for controlling occurrence.

3.9.1 The Particle Schema Component

The particle schema component has the following properties:

Schema Component: Particle, a kind of Component

<code>{min occurs}</code>	An <code>xs:nonNegativeInteger</code> value. Required.
<code>{max occurs}</code>	Either a positive integer or <i>unbounded</i> . Required.
<code>{term}</code>	A Term component. Required.
<code>{annotations}</code>	A sequence of Annotation components.

In general, multiple element information item [children], possibly with intervening character [children] if the content type is ***mixed***, can be ·validated· with respect to a single particle. When the {term} is an element declaration or wildcard, {min occurs} determines the minimum number of such element [children] that can occur. The number of such children MUST be greater than or equal to {min occurs}. If {min occurs} is **0**, then occurrence of such children is optional.

Again, when the {term} is an element declaration or wildcard, the number of such element [children] MUST be less than or equal to any numeric specification of {max occurs}; if {max occurs} is ***unbounded***, then there is no upper bound on the number of such children.

When the {term} is a model group, the permitted occurrence range is determined by a combination of {min occurs} and {max occurs} and the occurrence ranges of the {term}'s {particles}.

[Definition:] A particle **directly contains** the component which is the value of its {term} property. [Definition:] A particle **indirectly contains** the particles, groups, wildcards, and element declarations which are contained by the value of its {term} property.

[Definition:] A particle **contains** the components which it either ·directly contains· or ·indirectly contains·.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.9.2 XML Representation of Particle Components

Particles correspond to all three elements (<element> not immediately within <schema>, <group> not immediately within <schema> and <any>) which allow `minOccurs` and `maxOccurs` attributes. These in turn correspond to *two* components in each case, a particle and its {term}. The appropriate mapping is described in [XML Representation of Element Declaration Schema Components \(§3.3.2\)](#), [XML Representation of Model Group Schema Components \(§3.8.2\)](#) and [XML Representation of Wildcard Schema Components \(§3.10.2\)](#) respectively.

3.9.3 Constraints on XML Representations of Particles

None as such.

3.9.4 Particle Validation Rules

3.9.4.1 Principles of Validation against Particles

Every particle P recognizes some language $L(P)$. When $\{min\ occurs\}$ and $\{max\ occurs\}$ of P are both 1, $L(P)$ is the language of P 's $\{term\}$, as described in [Validation of Basic Terms \(§3.9.4.1.2\)](#). The following section ([Language Recognition for Repetitions \(§3.9.4.1.1\)](#)) describes how more complicated counts are handled.

3.9.4.1.1 LANGUAGE RECOGNITION FOR REPETITIONS

When $P.\{min\ occurs\} = P.\{max\ occurs\} = n$, and $P.\{term\} = T$, then $L(P)$ is the set of sequences $S = S_1 + S_2 + \dots + S_n$ such that S_i is in $L(T)$ for $0 < i \leq n$. Less formally: $L(P)$ is the set of sequences which have partitions into n sub-sequences for which each of the n subsequences is in the language accepted by the $\{term\}$ of P .

When $P.\{min\ occurs\} = j$ and $P.\{max\ occurs\} = k$, and $P.\{term\} = T$, then $L(P)$ is the set of sequences $S = S_1 + S_2 + \dots + S_n$, i.e. the set of sequences which have partitions into n sub-sequences such that $n \geq j$ and $n \leq k$ (or k is **unbounded**) and S_i is in $L(T)$ for $0 < i \leq n$.

When $P.\{min\ occurs\} = 0$, then $L(P)$ also includes the empty sequence.

If (1) Particle P has $\{min\ occurs\} = j$, $\{max\ occurs\} = k$, and $\{term\} = T$, and (2) S is a sequence of element information items such that $S = S_1 + S_2 + \dots + S_n$ (i.e. S_1, S_2, \dots, S_n is a partition of S), and (3) $n \leq k$ (or k is **unbounded**), and (4) S_i is in $L(T)$ for $0 < i < n$, then:

- If T is a model group, then the set of paths of S in P is the set of all paths Q such that $Q = Q_1 + Q_2 + \dots + Q_n$, where Q_i is a path of S_i in T for $0 < i \leq n$. (For the definition of paths in model groups, see [Language Recognition by Groups \(§3.8.4.1\)](#).)
- If T is a basic term, then the (sole) path of S in P is a sequence of n occurrences of P .

Note: Informally: the path of an input sequence S in a particle P may go through the basic particles in P as many times as is allowed by $P.\{max\ occurs\}$. If the path goes through P more than once, each time before the last one must correspond to a sequence accepted by $P.\{term\}$; because the last iteration in the path may not be complete, it need not be accepted by the $\{term\}$.

3.9.4.1.2 VALIDATION OF BASIC TERMS

In the preceding section ([Language Recognition for Repetitions \(§3.9.4.1.1\)](#)), the language $L(P)$ accepted by a Particle P is defined in terms of the language accepted by P 's $\{term\}$. This section defines $L(T)$ for basic terms; for the definition of $L(T)$ when T is a group, see [Language Recognition by Groups \(§3.8.4.1\)](#).

[Definition:] For any Element Declaration D , the language $L(D)$ accepted by D is the set

of all sequences of length 1 whose sole member is an element information item which ·matches· **D**.

[Definition:] An element information item **E matches** an Element Declaration **D** if and only if **one** of the following is true:

- 1 **E** and **D** have the same [expanded name](#),
- 2 The [expanded name](#) of **E** ·resolves· to an element declaration **D₂** which is ·substitutable· for **D**.

[Definition:] An [expanded name](#) **E matches** an ·NCName· **N** and a namespace name **NS** (or, equivalently, **N** and **NS match E**) if and only if all of the following are true:

- The local name of **E** is identical to **N**.
- Either the namespace name of **E** is identical to **NS**, or else **E** has no namespace name (**E** is an unqualified name) and **NS** is ·absent·.

Note: For convenience, [expanded names](#) are sometimes spoken of as ·matching· a Type Definition, an Element Declaration, an Attribute Declaration, or other schema component which has both a {name} and a {target namespace} property (or vice versa, the component is spoken of as ·matching· the [expanded name](#)), when what is meant is, strictly speaking, that the [expanded name](#) ·matches· the {name} and {target namespace} properties of the component.

[Definition:] For any Wildcard **W**, the language **L(W)** ·accepted· by **W** is the set of all sequences of length 1 whose sole member is an element information item which ·matches· **W**.

[Definition:] An element information item **E matches** a Wildcard **W** (or a ·wildcard particle· whose {term} is **W**) if and only if **E** is locally ·valid· with respect to **W**, as defined in the validation rule [Item Valid \(Wildcard\) \(§3.10.4.1\)](#).

[Definition:] Two namespace names **N₁** and **N₂** are said to **match** if and only if they are identical or both are ·absent·.

For principles of validation when the {term} is a model group instead of a ·basic particle·, see [Language Recognition by Groups \(§3.8.4.1\)](#) and [Principles of Validation against Groups \(§3.8.4.2\)](#).

3.9.4.2 Element Sequence Locally Valid (Particle)

Validation Rule: Element Sequence Locally Valid (Particle)

For a sequence (possibly empty) of element information items to be locally ·valid· with respect to a Particle **all** of the following **MUST** be true:

- 1 The sequence must be accepted by the Particle, as defined in [Element Sequence Accepted \(Particle\) \(§3.9.4.3\)](#).

3.9.4.3 Element Sequence Accepted (Particle)

Validation Rule: Element Sequence Accepted (Particle)

For a sequence (possibly empty) of element information items to be accepted by a Particle ***P***,

the appropriate **case** among the following **MUST** be true:

1 If ***P***.{term} is a wildcard, **then all** of the following are true:

1.1 The length of the sequence is greater than or equal to ***P***.{min occurs}.

1.2 If ***P***.{max occurs} is a number, then the length of the sequence is less than or equal to the {max occurs}.

1.3 Each element information item in the sequence is *valid* with respect to the wildcard as defined by [Item Valid \(Wildcard\) \(§3.10.4.1\)](#).

In this case, each element information item in the sequence is *attributed to* ***P*** and has no *context-determined declaration*.

2 If ***P***.{term} is an element declaration ***D***, **then all** of the following are true:

2.1 The length of the sequence is greater than or equal to ***P***.{min occurs}.

2.2 If ***P***.{max occurs} is a number, then the length of the sequence is less than or equal to the {max occurs}.

2.3 For each element information item ***E*** in the sequence **one or more** of the following is true:

2.3.1 ***D*** has the same [expanded name](#) as ***E***.

In this case ***D*** is the *context-determined declaration* for ***E*** with respect to [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) and [Assessment Outcome \(Element\) \(§3.3.5.1\)](#).

2.3.2 ***D*** is top-level (i.e. ***D***.{scope}.{variety} = ***global***), its {disallowed substitutions} does not contain ***substitution***, ***E***'s [expanded name](#) *resolves* to an element declaration ***S*** — [Definition:] call this declaration the **substituting declaration** — and ***S*** is *substitutable* for ***D*** as defined in [Substitution Group OK \(Transitive\) \(§3.3.6.3\)](#).

In this case ***S*** is the *context-determined declaration* for ***E*** with respect to [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) and [Assessment Outcome \(Element\) \(§3.3.5.1\)](#).

In this case ***E*** is *attributed to* ***P***.

Note: This clause is equivalent to requiring that the sequence of length 1 containing ***E*** is in ***L(D)***.

3 If ***P***.{term} is a model group, **then all** of the following are true:

3.1 There is a *partition* of the sequence into ***n*** sub-sequences such that ***n*** is greater than or equal to ***P***.{min occurs}.

3.2 If ***P***.{max occurs} is a number, ***n*** is less than or equal to ***P***.{max occurs}.

3.3 Each sub-sequence in the *partition* is *valid* with respect to that model group as defined in [Element Sequence Valid \(§3.8.4.3\)](#).

In this case, the element information items in each sub-sequence are *attributed to* Particles within the model group which is the {term}, as described in [Language Recognition by Groups \(§3.8.4.1\)](#).

Note: The rule just given does not require that the content model be deterministic. In practice, however, most non-determinism in content models is ruled out by the schema component constraint [Unique Particle Attribution \(§3.8.6.4\)](#). Non-determinism can occur despite that constraint for several reasons. In some such cases, some particular element information item may be accepted by either a Wildcard or an Element Declaration. In such situations, the validation process defined in this specification matches the element information item against the Element Declaration, both in identifying the Element Declaration as the item's 'context-determined declaration', and in choosing alternative paths through a content model. Other cases of non-determinism involve nested particles each of which has {max occurs} greater than 1, where the input sequence can be partitioned in multiple ways. In those cases, there is no fixed rule for eliminating the non-determinism.

Note: clause [1](#) and clause [2.3.2](#) do not interact: an element information item validatable by a declaration with a substitution group head is *not* validatable by a wildcard which accepts the head's (namespace, name) pair but not its own.

3.9.5 Particle Information Set Contributions

None as such.

3.9.6 Constraints on Particle Schema Components

3.9.6.1 Particle Correct

All particles (see [Particles \(§3.9\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Particle Correct

All of the following MUST be true:

- 1 The values of the properties of a particle are as described in the property tableau in [The Particle Schema Component \(§3.9.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If {max occurs} is not **unbounded**, that is, it has a numeric value, then **all** of the following are true:
 - 2.1 {min occurs} is not greater than {max occurs}.

3.9.6.2 Particle Valid (Extension)

The following constraint defines a relation appealed to elsewhere in this specification.

Schema Component Constraint: Particle Valid (Extension)

[Definition:] For a particle (call it **E**, for extension) to be a **valid extension** of another particle (call it **B**, for base) **one or more** of the following is true:

- 1 They are the same particle.
- 2 **E**.{min occurs} = **E**.{max occurs} = 1 and **E**.{term} is a **sequence** group whose {particles}' first member is a particle all of whose properties, recursively, are identical

to those of **B**.

3 **All** of the following are true:

3.1 **E**.{min occurs} = **B**.{min occurs}.

3.2 Both **E** and **B** have **all** groups as their {term}s.

3.3 The {particles} of **B**'s **all** group is a prefix of the {particles} of **E**'s **all** group.

3.9.6.3 Particle Emptiable

The following constraint defines a relation appealed to elsewhere in this specification.

Schema Component Constraint: Particle Emptiable

[Definition:] For a particle to be **emptiable** one or more of the following is true:

1 Its {min occurs} is 0.

2 Its {term} is a group and the minimum part of the effective total range of that group, as defined by [Effective Total Range \(**all** and **sequence**\) \(§3.8.6.5\)](#) (if the group is **all** or **sequence**) or [Effective Total Range \(**choice**\) \(§3.8.6.6\)](#) (if it is **choice**), is 0.

3.10 Wildcards

3.10.1 [The Wildcard Schema Component](#)

3.10.2 [XML Representation of Wildcard Schema Components](#)

3.10.2.1 [Mapping from <any> to a Particle](#)

3.10.2.2 [Mapping from <any> and <anyAttribute> to a Wildcard Component](#)

3.10.3 [Constraints on XML Representations of Wildcards](#)

3.10.4 [Wildcard Validation Rules](#)

3.10.4.1 [Item Valid \(Wildcard\)](#)

3.10.4.2 [Wildcard allows Expanded Name](#)

3.10.4.3 [Wildcard allows Namespace Name](#)

3.10.5 [Wildcard Information Set Contributions](#)

3.10.6 [Constraints on Wildcard Schema Components](#)

3.10.6.1 [Wildcard Properties Correct](#)

3.10.6.2 [Wildcard Subset](#)

3.10.6.3 [Attribute Wildcard Union](#)

3.10.6.4 [Attribute Wildcard Intersection](#)

In order to exploit the full potential for extensibility offered by XML plus namespaces, more provision is needed than DTDs allow for targeted flexibility in content models and attribute declarations. A wildcard provides for ·validation· of attribute and element information items dependent on their namespace names and optionally on their local names.

Example

```
<xs:any processContents="skip"/>

<xs:any namespace="##other" processContents="lax"/>

<xs:any namespace="http://www.w3.org/1999/XSL/Transform"
  xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
  notQName="xsl:comment xsl:fallback"/>

<xs:any notNamespace="##targetNamespace"/>
```

```
<xs:anyAttribute namespace="http://www.w3.org/XML/1998/namespace"/>
```

XML representations of the four basic types of wildcard, plus one attribute wildcard.

3.10.1 The Wildcard Schema Component

The wildcard schema component has the following properties:

Schema Component: Wildcard, a kind of Term
<p><code>{annotations}</code> A sequence of Annotation components.</p> <p><code>{namespace constraint}</code> A Namespace Constraint property record. Required.</p> <p><code>{process contents}</code> One of <code>{skip, strict, lax}</code>. Required.</p>
Property Record: Namespace Constraint
<p><code>{variety}</code> One of <code>{any, enumeration, not}</code>. Required.</p> <p><code>{namespaces}</code> A set each of whose members is either an <code>xs:anyURI</code> value or the distinguished value <code>·absent·</code>. Required.</p> <p><code>{disallowed names}</code> A set each of whose members is either an <code>xs:QName</code> value or the keyword <code>defined</code> or the keyword <code>sibling</code>. Required.</p>

`{namespace constraint}` provides for `·validation·` of attribute and element items that:

1. (`{variety}` **`any`**) have any namespace or are not namespace-qualified;
2. (`{variety}` **`not`** and `{namespaces}` a set whose members are either namespace names or `·absent·`) have any namespace other than the specified namespaces and/or, if `·absent·` is included in the set, are namespace-qualified;
3. (`{variety}` **`enumeration`** and `{namespaces}` a set whose members are either namespace names or `·absent·`) have any of the specified namespaces and/or, if `·absent·` is included in the set, are unqualified.
4. (`{disallowed names}` contains [QName](#) members) have any [expanded name](#) other than the specified names.
5. (`{disallowed names}` contains the keyword **`defined`**) have any [expanded name](#) other than those matching the names of global element or attribute declarations.
6. (`{disallowed names}` contains the keyword **`sibling`**) have any [expanded name](#) other than those matching the names of element or attribute declarations in the containing complex type definition.

{process contents} controls the impact on ·assessment· of the information items allowed by wildcards, as follows:

strict

There **MUST** be a top-level declaration for the item available, or the item **MUST** have an `xsi:type`, and the item **MUST** be ·valid· as appropriate.

skip

No constraints at all: the item **MUST** simply be well-formed XML.

lax

If the item has a uniquely determined declaration available, it **MUST** be ·valid· with respect to that declaration, that is, ·validate· if you can, don't worry if you can't.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

Editorial Note: Priority Feedback Request

The keywords **defined** and **sibling** allow a kind of wildcard which matches only elements not declared in the current schema or contained within the current complex type, respectively. They are new in this version of this specification. The Working Group is uncertain whether their value outweighs their liabilities; we solicit input from implementors and users of this specification as to whether they should be retained or not.

3.10.2 XML Representation of Wildcard Schema Components

The XML representation for a wildcard schema component is an <any> or <anyAttribute> element information item.

XML Representation Summary: any Element Information Item

```
<any
  id = ID
  maxOccurs = (nonNegativeInteger | unbounded) : 1
  minOccurs = nonNegativeInteger : 1
  namespace = ((##any | ##other) | List of (anyURI | (##targetNamespace | ##local)))
  notNamespace = List of (anyURI | (##targetNamespace | ##local))
  notQName = List of (QName | (##defined | ##definedSibling))
  processContents = (lax | skip | strict) : strict
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</any>
```

XML Representation Summary: anyAttribute Element Information Item

```
id = ID
namespace = ((##any | ##other) | List of (anyURI | (##targetNamespace | ##local)))
notNamespace = List of (anyURI | (##targetNamespace | ##local))
```

```

notQName = List of (QName | ##defined)
processContents = (lax | skip | strict) : strict
{any attributes with non-schema namespace . . .}>
Content: (annotation?)
</anyAttribute>

```

An <any> information item corresponds both to a wildcard component and to a particle containing that wildcard (unless `minOccurs=maxOccurs=0`, in which case the item corresponds to no component at all). The mapping rules are given in the following two subsections.

3.10.2.1 Mapping from <any> to a Particle

The mapping from an <any> information item to a particle is as follows.

XML Mapping Summary for [Particle](#) Schema Component

Property	Representation
{min occurs}	The <i>actual value</i> of the <code>minOccurs</code> [attribute], if present, otherwise 1.
{max occurs}	unbounded , if <code>maxOccurs</code> = unbounded , otherwise the <i>actual value</i> of the <code>maxOccurs</code> [attribute], if present, otherwise 1.
{term}	A wildcard as given below.
{annotations}	The same annotations as the {annotations} of the wildcard. See below.

3.10.2.2 Mapping from <any> and <anyAttribute> to a Wildcard Component

The mapping from an <any> information item to a wildcard component is as follows. This mapping is also used for mapping <anyAttribute> information items to wildcards, although in some cases the result of the mapping is further modified, as specified in the rules for <attributeGroup> and <complexType>.

XML Mapping Summary for [Wildcard](#) Schema Component

Property	Representation				
{namespace constraint}	A Namespace Constraint with the following properties: <table border="1" data-bbox="516 1654 1446 1906"> <thead> <tr> <th>Property</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>{variety}</td> <td>the appropriate case among the following: 1 If the <code>namespace</code> [attribute] is present, then the appropriate case among the</td> </tr> </tbody> </table>	Property	Value	{variety}	the appropriate case among the following: 1 If the <code>namespace</code> [attribute] is present, then the appropriate case among the
Property	Value				
{variety}	the appropriate case among the following: 1 If the <code>namespace</code> [attribute] is present, then the appropriate case among the				

following:

- 1.1 If `namespace = "##any"`, then *any*;
 - 1.2 If `namespace = "##other"`, then *not*;
 - 1.3 otherwise *enumeration*;
- 2 If the `notNamespace [attribute]` is present, then *not*;
- 3 otherwise (neither `namespace` nor `notNamespace` is present) *any*.

{namespaces}

the appropriate **case** among the following:

- 1 If neither `namespace` nor `notNamespace` is present, then the empty set;
- 2 If `namespace = "##any"`, then the empty set;
- 3 If `namespace = "##other"`, then a set consisting of `·absent·` and, if the `targetNamespace [attribute]` of the `<schema>` ancestor element information item is present, its `·actual value·`;
- 4 otherwise a set whose members are namespace names corresponding to the space-delimited substrings of the `·actual value·` of the `namespace` or `notNamespace [attribute]` (whichever is present), except
 - 4.1 if one such substring is `##targetNamespace`, the corresponding member is the `·actual value·` of the `targetNamespace [attribute]` of the `<schema>` ancestor element information item if present, otherwise `·absent·`;
 - 4.2 if one such substring is `##local`, the corresponding member is `·absent·`.

{disallowed names}

If the `notQName [attribute]` is present, then a set whose members correspond to the items in the `·actual value·` of the `notQName [attribute]`, as follows.

- If the item is a [QName](#) value (i.e. an [expanded name](#)), then that [QName](#) value is a member of the set.
- If the item is the token `"##defined"`, then the keyword *defined* is a member of the set.
- If the item is the token `"##definedSibling"`, then the keyword

sibling is a member of the set.

If the `notQName` [attribute] is not present, then the empty set.

{process contents} The ·actual value· of the `processContents` [attribute], if present, otherwise **strict**.

{annotations} The ·annotation mapping· of the <any> element, as defined in [XML Representation of Annotation Schema Components \(§3.15.2\)](#).

Note: When this rule is used for an attribute wildcard (see [XML Representation of Complex Type Definition Schema Components \(§3.4.2\)](#)), the {annotations} is the ·annotation mapping· of the <anyAttribute> element.

Wildcards are subject to the same ambiguity constraints ([Unique Particle Attribution \(§3.8.6.4\)](#)) as other content model particles: If an instance element could match one of two wildcards, within the content model of a type, that model is in error.

3.10.3 Constraints on XML Representations of Wildcards

Schema Representation Constraint: Wildcard Representation OK

In addition to the conditions imposed on <any> and <anyAttribute> element information items by the schema for schema documents, `namespace` and `notNamespace` attributes MUST NOT both be present.

3.10.4 Wildcard Validation Rules

3.10.4.1 Item Valid (Wildcard)

Validation Rule: Item Valid (Wildcard)

For an element or attribute information item *I* to be locally ·valid· with respect to a wildcard *W* all of the following MUST be true:

- 1 The [expanded name](#) of *I* is ·valid· with respect to *W*.{namespace constraint}, as defined in [Wildcard allows Expanded Name \(§3.10.4.2\)](#).
- 2 If *W*.{namespace constraint}.{disallowed names} contains the keyword **defined**, then **both** of the following are true:
 - 2.1 If *W* is an element wildcard (i.e., *W* appears in a content model), then the [expanded name](#) of *I* does not ·resolve· to an element declaration. (Informally, no such top-level element is declared in the schema.)
 - 2.2 If *W* is an attribute wildcard, then the [expanded name](#) of *I* does not ·resolve· to an attribute declaration.
- 3 If **all** of the following are true:
 - 3.1 *W*.{namespace constraint}.{disallowed names} contains the keyword **sibling**;

- 3.2 **W** is an element wildcard
 - 3.3 **I** is an element information item
 - 3.4 **I** has a [parent] **P** that is also an element information item
 - 3.5 **I** and **P** have the same [validation context]
 - 3.6 **P** has an ‘governing type definition’ **T** (which is always a complex type and contains **W** in its ‘content model’)
- then** the [expanded name](#) of **I** does not ‘match’ any element declaration ‘contained’ in the content model of **T**, whether ‘directly’, ‘indirectly’, or ‘implicitly’.

Informally, the keyword **sibling** disallows any element declared as a possible sibling of the wildcard **W**.

When an element or attribute information item is ‘attributed’ to a wildcard and the preceding constraint ([Item Valid \(Wildcard\) \(§3.10.4.1\)](#)) is satisfied, then the item has no ‘context-determined declaration’. Its ‘governing’ declaration, if any, is found by matching its [expanded name](#) as described in [QName resolution \(Instance\) \(§3.17.6.3\)](#). Note that QName resolution is performed only if the item is ‘attributed’ to a **strict** or **lax** wildcard; if the wildcard has a {process contents} property of **skip**, then the item has no ‘governing’ declaration.

[Definition:] An element or attribute information item is **skipped** if it is ‘attributed’ to a **skip** wildcard or if one of its ancestor elements is.

3.10.4.2 Wildcard allows Expanded Name

Validation Rule: Wildcard allows Expanded Name

For an [expanded name](#) **E**, i.e. a (namespace name, local name) pair, to be ‘valid’ with respect to a namespace constraint **C** all of the following MUST be true:

- 1 The namespace name is ‘valid’ with respect to **C**, as defined in [Wildcard allows Namespace Name \(§3.10.4.3\)](#);
- 2 **C**.{disallowed names} does not contain **E**.

3.10.4.3 Wildcard allows Namespace Name

Validation Rule: Wildcard allows Namespace Name

For a value **V** which is either a namespace name or ‘absent’ to be ‘valid’ with respect to a namespace constraint **C** (the value of a {namespace constraint}) **one** of the following MUST be true:

- 1 **C**.{variety} = **any**.
- 2 **C**.{variety} = **not**, and **V** is not identical to any of the members of **C**.{namespaces}.
- 3 **C**.{variety} = **enumeration**, and **V** is identical to one of the members of **C**.{namespaces}.

3.10.5 Wildcard Information Set Contributions

None as such.

3.10.6 Constraints on Wildcard Schema Components

3.10.6.1 Wildcard Properties Correct

All wildcards (see [Wildcards \(§3.10\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Wildcard Properties Correct

All of the following MUST be true:

- 1 The values of the properties of a wildcard are as described in the property tableau in [The Wildcard Schema Component \(§3.10.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If {variety} is **not**, {namespaces} has at least one member.
- 3 If {variety} is **any**, {namespaces} is empty.
- 4 The namespace name of each [QName](#) member in {disallowed names} is allowed by the {namespace constraint}, as defined in [Wildcard allows Namespace Name \(§3.10.4.3\)](#).
- 5 Attribute wildcards do not contain **sibling** in their {namespace constraint}.{disallowed names}.

3.10.6.2 Wildcard Subset

The following constraints define a relation appealed to elsewhere in this specification.

Schema Component Constraint: Wildcard Subset

[Definition:] Given two Namespace Constraints **sub** and **super**, **sub** is a **wildcard subset** of **super** if and only if **one** of the following is true

- 1 **super**.{variety} = **any**.
- 2 Both **sub** and **super** have {variety} = **enumeration**, and **super**.{namespaces} is a superset of **sub**.{namespaces}.
- 3 **sub**.{variety} = **enumeration**, **super**.{variety} = **not**, and the {namespaces} of the two are disjoint.
- 4 Both **sub** and **super** have {variety} = **not**, and **super**.{namespaces} is a subset of **sub**.{namespaces}.

And **all** of the following are true:

- 1 Each [QName](#) member of **super**.{disallowed names} is not allowed by **sub**, as defined in [Wildcard allows Expanded Name \(§3.10.4.2\)](#).
- 2 If **super**.{disallowed names} contains **defined**, then **sub**.{disallowed names} also contains **defined**.
- 3 If **super**.{disallowed names} contains **sibling**, then **sub**'s {disallowed names} also contains **sibling**.

3.10.6.3 Attribute Wildcard Union

Schema Component Constraint: Attribute Wildcard Union

[Definition:] Given three Namespace Constraints **O**, **O1**, and **O2**, **O** is the **wildcard**

union of **O1** and **O2** if and only if, first, the {variety} and {namespaces}, and, second, the {disallowed names} of **O** are consistent with **O** being the union of **O1** and **O2**, as that is defined below.

The {variety} and {namespaces} of **O** are consistent with **O** being the wildcard union of **O1** and **O2** if and only if **one or more** of the following is true:

- 1 **O**, **O1**, and **O2** all have the same {variety} and {namespaces}.
- 2 Either **O1**.{variety} = **any** or **O2**.{variety} = **any**, and **O**.{variety} = **any**.
- 3 **O**, **O1**, and **O2** all have {variety} **enumeration**, and **O**.{namespaces} is the union of **O1**.{namespaces} and **O2**.{namespaces}.
- 4 **O1**.{variety} = **O2**.{variety} = **not**, and **one** of the following is true
 - 4.1 The intersection of the {namespaces} of **O1** and **O2** is the empty set, and **O**.{variety} = **any**.
 - 4.2 **O**.{variety} = **not**, and **O**.{namespaces} is the non-empty intersection of **O1**.{namespaces} and **O2**.{namespaces}.
- 5 Either **O1** or **O2** has {variety} = **not** and {namespaces} = **S1**, and the other has {variety} = **enumeration** and {namespaces} = **S2**, and **one** of the following is true
 - 5.1 The set difference **S1** minus **S2** is the empty set, and **O**.{variety} = **any**.
 - 5.2 **O**.{variety} = **not** and **O**.{namespaces} is the non-empty set difference **S1** minus **S2**.

The {disallowed names} property of **O** is consistent with **O** being the wildcard union of **O1** and **O2** if and only if **O**.{disallowed names} includes all and only the following:

- 1 **QName** members of **O1**.{disallowed names} that are not allowed by **O2**, as defined in [Wildcard allows Expanded Name \(§3.10.4.2\)](#).
- 2 **QName** members of **O2**.{disallowed names} that are not allowed by **O1**.
- 3 The keyword **defined** if it is contained in both **O1**.{disallowed names} and **O2**.{disallowed names}.

Note: When one of the wildcards has **defined** in {disallowed names} and the other does not, then **defined** is *not* included in the union. This may allow QNames that are not allowed by either wildcard. This is to ensure that all unions are expressible. If **defined** is intended to be included, then it is necessary to have it in both wildcards.

In the case where there are more than two Namespace Constraints to be combined, the wildcard union is determined by identifying the wildcard union of two of them as above, then the wildcard union of the result with the third, and so on as required.

3.10.6.4 Attribute Wildcard Intersection

Schema Component Constraint: Attribute Wildcard Intersection

[Definition:] Given three Namespace Constraints **O**, **O1**, and **O2**, **O** is the **wildcard intersection** of **O1** and **O2** if and only if both its {variety} and {namespaces} properties, on the one hand, and its {disallowed names} property, on the other, are consistent with **O** being the intersection of **O1** and **O2**, as that is defined below.

The {variety} and {namespaces} of **O** are consistent with **O** being the wildcard intersection of **O1** and **O2** if and only if **one or more** of the following is true:

- 1 **O**, **O1**, and **O2** have the same {variety} and {namespaces}.
- 2 Either **O1** or **O2** has {variety} = **any** and **O** has {variety} and {namespaces} identical to those of the other.
- 3 **O**, **O1**, and **O2** all have {variety} = **enumeration**, and **O**.{namespaces} is the intersection of the {namespaces} of **O1** and **O2**.
- 4 **O**, **O1**, and **O2** all have {variety} = **not**, and **O**.{namespaces} is the union of the {namespaces} of **O1** and **O2**.
- 5 Either **O1** or **O2** has {variety} = **not** and {namespaces} = **S1** and the other has {variety} = **enumeration** and {namespaces} = **S2**, and **O**.{variety} = **enumeration** and **O**.{namespaces} = the set difference **S2** minus **S1**.

The {disallowed names} property of **O** is consistent with **O** being the wildcard intersection of **O1** and **O2** if and only if **O**.{disallowed names} includes all and only the following:

- 1 **QName** members of **O1**.{disallowed names} whose namespace names are allowed by **O2**, as defined in [Wildcard allows Namespace Name \(§3.10.4.3\)](#).
- 2 **QName** members of **O2**.{disallowed names} whose namespace names are allowed by **O1**.
- 3 The keyword **defined** if it is a member of either {disallowed names}.

In the case where there are more than two Namespace Constraints to be combined, the wildcard intersection is determined by identifying the wildcard intersection of two of them as above, then the wildcard intersection of the result with the third, and so on as required.

3.11 Identity-constraint Definitions

- 3.11.1 [The Identity-constraint Definition Schema Component](#)
- 3.11.2 [XML Representation of Identity-constraint Definition Schema Components](#)
- 3.11.3 [Constraints on XML Representations of Identity-constraint Definitions](#)
- 3.11.4 [Identity-constraint Definition Validation Rules](#)
- 3.11.5 [Identity-constraint Definition Information Set Contributions](#)
- 3.11.6 [Constraints on Identity-constraint Definition Schema Components](#)
 - 3.11.6.1 [Identity-constraint Definition Properties Correct](#)
 - 3.11.6.2 [Selector Value OK](#)
 - 3.11.6.3 [Fields Value OK](#)

Identity-constraint definition components provide for uniqueness and reference constraints with respect to the contents of multiple elements and attributes.

Example

```
<xs:key name="fullName">
  <xs:selector xpath="./person"/>
  <xs:field xpath="forename"/>
  <xs:field xpath="surname"/>
</xs:key>

<xs:keyref name="personRef" refer="fullName">
  <xs:selector xpath="./personPointer"/>
  <xs:field xpath="@first"/>
  <xs:field xpath="@last"/>
</xs:keyref>
```

```

<xs:unique name="nearlyID">
  <xs:selector xpath=".*"/*"/>
  <xs:field xpath="@id"/>
</xs:unique>

```

XML representations for the three kinds of identity-constraint definitions.

3.11.1 The Identity-constraint Definition Schema Component

The identity-constraint definition schema component has the following properties:

Schema Component: Identity-Constraint Definition, a kind of Annotated Component	
{annotations}	A sequence of Annotation components.
{name}	An xs:NCName value. Required.
{target namespace}	An xs:anyURI value. Optional.
{identity-constraint category}	One of {key, keyref, unique} . Required.
{selector}	An XPath Expression property record. Required.
{fields}	A sequence of XPath Expression property records.
{referenced key}	An Identity-Constraint Definition component. Required if {identity-constraint category} is keyref , otherwise ({identity-constraint category} is key or unique) MUST be absent. If a value is present, its {identity-constraint category} must be key or unique .

Identity-constraint definitions are identified by their {name} and {target namespace}; identity-constraint definition identities MUST be unique within an XSD schema. See [References to schema components across namespaces \(<import>\) \(§4.2.5\)](#) for the use of component identifiers when importing one schema into another.

Informally, {identity-constraint category} identifies the identity-constraint definition as playing one of three roles:

- (**unique**) the identity-constraint definition asserts uniqueness, with respect to the content identified by {selector}, of the tuples resulting from evaluation of the {fields} XPath expression(s).
- (**key**) the identity-constraint definition asserts uniqueness as for **unique**. **key** further asserts that all selected content actually has such tuples.
- (**keyref**) the identity-constraint definition asserts a correspondence, with respect to the content identified by {selector}, of the tuples resulting from evaluation of the {fields} XPath expression(s), with those of the {referenced key}.

These constraints are specified along side the specification of types for the attributes and elements involved, i.e. something declared as of type integer can also serve as a key. Each constraint declaration has a name, which exists in a single symbol space for constraints. The equality and inequality conditions appealed to in checking these constraints apply to the *values* of the fields selected, not their lexical representation, so that for example 3.0 and 3 would be conflicting keys if they were both decimal, but non-conflicting if they were both strings, or one was a string and one a decimal. When equality and identity differ for the simple types involved, all three forms of identity-constraint test for equality, not identity, of values.

Overall the augmentations to XML's ID/IDREF mechanism are:

- Functioning as a part of an identity-constraint is in addition to, not instead of, having a type;
- Not just attribute values, but also element content and combinations of values and content can be declared to be unique;
- Identity-constraints are specified to hold within the scope of particular elements;
- (Combinations of) attribute values and/or element content can be declared to be keys, that is, not only unique, but always present and non-nullable;
- The comparison between **keyref** {fields} and **key** or **unique** {fields} is by value equality, not by string equality.

{selector} specifies a restricted XPath ([XPath 2.0](#)) expression relative to instances of the element being declared. This MUST identify a sequence of element nodes that are contained within the declared element to which the constraint applies.

{fields} specifies XPath expressions relative to each element selected by a {selector}. Each XPath expression in the {fields} property MUST identify a single node (element or attribute), whose content or value, which MUST be of a simple type, is used in the constraint. It is possible to specify an ordered list of {fields}s, to cater to multi-field keys, keyrefs, and uniqueness constraints.

In order to reduce the burden on implementers, in particular implementers of streaming processors, only restricted subsets of XPath expressions are allowed in {selector} and {fields}. The details are given in [Constraints on Identity-constraint Definition Schema Components \(§3.11.6\)](#).

Note: Provision for multi-field keys etc. goes beyond what is supported by `xsl:key`.

Note: In version 1.0 of this specification, identity constraints used [XPath 1.0](#). They now use [XPath 2.0](#).

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.11.2 XML Representation of Identity-constraint Definition Schema Components

The XML representation for an identity-constraint definition schema component is either a

<key>, a <keyref> or a <unique> element information item. The correspondences between the properties of those information items and properties of the component they correspond to are as follows:

XML Representation Summary: `unique` Element Information Item et al.

```
<unique
  id = ID
  name = NCName
  ref = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (selector, field+)?)
</unique>
```

```
<key
  id = ID
  name = NCName
  ref = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (selector, field+)?)
</key>
```

```
<keyref
  id = ID
  name = NCName
  ref = QName
  refer = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (selector, field+)?)
</keyref>
```

```
<selector
  id = ID
  xpath = a subset of XPath expression, see below
  xpathDefaultNamespace = (anyURI | ##defaultNamespace | ##targetNamespace
| ##local)
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</selector>
```

```
<field
  id = ID
  xpath = a subset of XPath expression, see below
  xpathDefaultNamespace = (anyURI | ##defaultNamespace | ##targetNamespace
| ##local)
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</field>
```

If the `ref` [attribute] is absent, the corresponding schema component is as follows:

XML Mapping Summary for [Identity-constraint Definition](#) Schema Component

Property	Representation
{name}	The ·actual value· of the <code>name</code> [attribute]
{target namespace}	The ·actual value· of the <code>targetNamespace</code> [attribute] of the <schema> ancestor element information item if present, otherwise ·absent·.
{identity-	

constraint category}	One of <i>key</i> , <i>keyref</i> or <i>unique</i> , depending on the item.
{selector}	An XPath Expression property record, as described in section XML Representation of Assertion Schema Components (§3.13.2) , with <selector> as the "host element" and <code>xpath</code> as the designated expression [attribute].
{fields}	A sequence of XPath Expression property records, corresponding to the <field> element information item [children], in order, following the rules given in XML Representation of Assertion Schema Components (§3.13.2) , with <field> as the "host element" and <code>xpath</code> as the designated expression [attribute].
{referenced key}	If the item is a <keyref>, the identity-constraint definition ·resolved· to by the ·actual value· of the <code>refer</code> [attribute], otherwise ·absent·.
{annotations}	The ·annotation mapping· of the set of elements containing the <key>, <keyref>, or <unique> element, whichever is present, and the <selector> and <field> [children], if present, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Otherwise (the `ref` [attribute] is present), the corresponding schema component is the identity-constraint definition ·resolved· to by the ·actual value· of the `ref` [attribute].

Example

```

<xs:element name="vehicle">
  <xs:complexType>
    . . .
    <xs:attribute name="plateNumber" type="xs:integer"/>
    <xs:attribute name="state" type="twoLetterCode"/>
  </xs:complexType>
</xs:element>

<xs:element name="state">
  <xs:complexType>
    <xs:sequence>
      <xs:element name="code" type="twoLetterCode"/>
      <xs:element ref="vehicle" maxOccurs="unbounded"/>
      <xs:element ref="person" maxOccurs="unbounded"/>
    </xs:sequence>
  </xs:complexType>

  <xs:key name="reg"> <!-- vehicles are keyed by their plate within states -->
    <xs:selector xpath="./vehicle"/>
    <xs:field xpath="@plateNumber"/>
  </xs:key>
</xs:element>

<xs:element name="root">
  <xs:complexType>
    <xs:sequence>
      . . .
      <xs:element ref="state" maxOccurs="unbounded"/>
      . . .
    </xs:sequence>
  </xs:complexType>

  <xs:key name="state"> <!-- states are keyed by their code -->

```

```

<xs:selector xpath="./state"/>
<xs:field xpath="code"/>
</xs:key>

<xs:keyref name="vehicleState" refer="state">
  <!-- every vehicle refers to its state -->
  <xs:selector xpath="./vehicle"/>
  <xs:field xpath="@state"/>
</xs:keyref>

<xs:key name="regKey"> <!-- vehicles are keyed by a pair of state and plate -->
  <xs:selector xpath="./vehicle"/>
  <xs:field xpath="@state"/>
  <xs:field xpath="@plateNumber"/>
</xs:key>

<xs:keyref name="carRef" refer="regKey"> <!-- people's cars are a reference -->
  <xs:selector xpath="./car"/>
  <xs:field xpath="@regState"/>
  <xs:field xpath="@regPlate"/>
</xs:keyref>

</xs:element>

<xs:element name="person">
  <xs:complexType>
    <xs:sequence>
      . . .
      <xs:element name="car">
        <xs:complexType>
          <xs:attribute name="regState" type="twoLetterCode"/>
          <xs:attribute name="regPlate" type="xs:integer"/>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>

```

A `state` element is defined, which contains a `code` child and some `vehicle` and `person` children. A `vehicle` in turn has a `plateNumber` attribute, which is an integer, and a `state` attribute. State's `codes` are a key for them within the document. Vehicle's `plateNumbers` are a key for them within states, and `state` and `plateNumber` is asserted to be a **key** for `vehicle` within the document as a whole. Furthermore, a `person` element has an empty `car` child, with `regState` and `regPlate` attributes, which are then asserted together to refer to `vehicles` via the `carRef` constraint. The requirement that a `vehicle`'s `state` match its containing `state`'s `code` is not expressed here.

Example

```

<xs:element name="stateList">
  <xs:complexType>
    <xs:sequence>
      . . .
      <xs:element name="state" maxOccurs="unbounded">
        <xs:complexType>
          <xs:sequence>
            . . .
            <xs:element name="code" type="twoLetterCode"/>
            . . .
          </xs:sequence>
        </xs:complexType>
      </xs:element>
    </xs:sequence>
  </xs:complexType>
</xs:element>

```

```

    . . .
  </xs:sequence>
</xs:complexType>

  <xs:key ref="state"/> <!-- reuse the key constraint from the above example -->
</xs:element>

```

A list of `state` elements can appear as child elements under `stateList`. A **key** constraint can be used to ensure that there is no duplicate `state code`. We already defined a **key** in the above example for the exact same purpose (the key constraint is named "`state`"). We can reuse it directly via the `ref` attribute on the `key` element.

3.11.3 Constraints on XML Representations of Identity-constraint Definitions

Schema Representation Constraint: Identity-constraint Definition Representation OK

In addition to the conditions imposed on `<key>`, `<keyref>` and `<unique>` element information items by the schema for schema documents, **all** of the following **MUST** be true:

- 1 One of `ref` or `name` is present, but not both.
- 2 If `name` is present, then `<selector>` appears in `[children]`.
- 3 If `name` is present on `<keyref>`, then `refer` is also present.
- 4 If `ref` is present, then only `id` and `<annotation>` are allowed to appear together with `ref`.
- 5 If `ref` is present, then the `{identity-constraint category}` of the identity-constraint definition `·resolved·` to by the `·actual value·` of the `ref` [attribute] matches the name of the element information item.

3.11.4 Identity-constraint Definition Validation Rules

Validation Rule: Identity-constraint Satisfied

For an element information item ***E*** to be locally `·valid·` with respect to an identity-constraint **all** of the following **MUST** be true:

- 1 A data model instance is constructed from the input information set, as described in [\[XDM\]](#). The `{selector}`, with the element node corresponding to ***E*** as the context node, evaluates to a sequence of element nodes, as defined in [XPath Evaluation \(§3.13.4.2\)](#). **[Definition:]** The **target node set** is the set of nodes in that sequence, after omitting all element nodes corresponding to element information items that are `·skipped·`.
- 2 Each node in the `·target node set·` is either the context node or an element node among its descendants.
- 3 For each node in the `·target node set·` all of the `{fields}`, with that node as the context node, evaluates to a sequence of nodes (as defined in [XPath Evaluation \(§3.13.4.2\)](#)) that only contains `·skipped·` nodes and at most one node whose `·governing·` type definition is either a simple type definition or a complex type definition with `{variety}` **simple**. **[Definition:]** Call the sequence of the `[schema actual value]s` of the element and/or attribute information items in those node-sets in order the **key-sequence** of the node.

Note: The use of [schema actual value] in the definition of ·key sequence· above means that **default** or **fixed** value constraints MAY play a part in ·key sequence·s.

- 4 [Definition:] The **qualified node set** is the subset of the ·target node set· consisting of those nodes for which all the {fields} evaluate to a node sequence one of whose members is an element or attribute node with a ·non-absent· [schema actual value]. The appropriate **case** among the following is true:
- 4.1 If the {identity-constraint category} is **unique**, then no two members of the ·qualified node set· have ·key-sequences· whose members are pairwise equal, as defined by [Equality](#) in [XML Schema: Datatypes](#).
- 4.2 If the {identity-constraint category} is **key**, then all of the following are true:
- 4.2.1 The ·target node set· and the ·qualified node set· are equal, that is, every member of the ·target node set· is also a member of the ·qualified node set· and *vice versa*.
- 4.2.2 No two members of the ·qualified node set· have ·key-sequences· whose members are pairwise equal, as defined by [Equality](#) in [XML Schema: Datatypes](#).
- 4.2.3 No element member of the ·key-sequence· of any member of the ·qualified node set· was assessed as ·valid· by reference to an element declaration whose {nillable} is **true**.
- 4.3 If the {identity-constraint category} is **keyref**, then for each member of the ·qualified node set· (call this the **keyref member**), there is a ·node table· associated with the {referenced key} in the [identity-constraint table] of **E** (see [Identity-constraint Table \(§3.11.5\)](#), which is understood as logically prior to this clause of this constraint, below) and there is an entry in that table whose ·key-sequence· is equal to the **keyref member's** ·key-sequence· member for member, as defined by [Equality](#) in [XML Schema: Datatypes](#).

Note: For **unique** identity constraints, the ·qualified node set· is allowed to be different from the ·target node set·. That is, a selected unique node may have fields that do not have corresponding [schema actual value]s.

Note: Because the validation of **keyref** (see clause [4.3](#)) depends on finding appropriate entries in a element information item's ·node table·, and ·node tables· are assembled strictly recursively from the node tables of descendants, only element information items within the sub-tree rooted at the element information item being ·validated· can be referenced successfully.

Note: Although this specification defines a ·post-schema-validation infoSet· contribution which would enable schema-aware processors to implement clause [4.2.3](#) above ([Element Declaration \(§3.3.5.3\)](#)), processors are not required to provide it. This clause can be read as if in the absence of this infoSet contribution, the value of the relevant {nillable} property MUST be available.

For purposes of checking identity-constraints, single atomic values are not distinguished from lists with single items. An atomic value **V** and a list **L** with a single item are treated as equal, for purposes of this specification, if **V** is equal to the atomic value which is the single item of **L**.

3.11.5 Identity-constraint Definition Information Set Contributions

Schema Information Set Contribution: Identity-constraint Table

[Definition:] An **eligible identity-constraint** of an element information item is one such that clause 4.1 or clause 4.2 of [Identity-constraint Satisfied \(§3.11.4\)](#) is satisfied with respect to that item and that constraint, or such that any of the element information item [children] of that item have an [identity-constraint table] property whose value has an entry for that constraint.

[Definition:] A **node table** is a set of pairs each consisting of a ·key-sequence· and an element node.

Whenever an element information item has one or more ·eligible identity-constraints·, in the ·post-schema-validation infoset· that element information item has a property as follows:

PSVI Contributions for element information items

[identity-constraint table]

one **Identity-constraint Binding** information item for each ·eligible identity-constraint·, with properties as follows:

PSVI Contributions for Identity-constraint Binding information items

[definition]

The ·eligible identity-constraint·.

[node table]

A ·node table· with one entry for every ·key-sequence· (call it **k**) and node (call it **n**) such that **one** of the following is true

1 There is an entry in one of the ·node tables· associated with the [definition] in an **Identity-constraint Binding** information item in at least one of the [identity-constraint table]s of the element information item [children] of the element information item whose ·key-sequence· is **k** and whose node is **n**;

2 **n** appears with ·key-sequence· **k** in the ·qualified node set· for the [definition].

provided no two entries have the same ·key-sequence· but distinct nodes. Potential conflicts are resolved by not including any conflicting entries which would have owed their inclusion to clause 1 above. Note that if all the conflicting entries arose under clause 1 above, this means no entry at all will appear for the offending ·key-sequence·.

Note: The complexity of the above arises from the fact that *keyref* identity-constraints can be defined on domains distinct from the embedded domain of the identity-constraint they reference, or on domains which are the same but self-embedding at some depth. In either case the ·node table· for the referenced

identity-constraint needs to propagate upwards, with conflict resolution.

The **Identity-constraint Binding** information item, unlike others in this specification, is essentially an internal bookkeeping mechanism. It is introduced to support the definition of [Identity-constraint Satisfied \(§3.11.4\)](#) above.

3.11.6 Constraints on Identity-constraint Definition Schema Components

3.11.6.1 Identity-constraint Definition Properties Correct

All identity-constraint definitions (see [Identity-constraint Definitions \(§3.11\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Identity-constraint Definition Properties Correct

All of the following MUST be true:

- 1 The values of the properties of an identity-constraint definition are as described in the property tableau in [The Identity-constraint Definition Schema Component \(§3.11.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If the {identity-constraint category} is **keyref**, the cardinality of the {fields} is equal to that of the {fields} of the {referenced key}.

3.11.6.2 Selector Value OK

Schema Component Constraint: Selector Value OK

All of the following MUST be true:

- 1 The {selector} satisfies the constraint [XPath Valid \(§3.13.6.2\)](#).
- 2 **One or more** of the following is true:
 - 2.1 Its {expression} conforms to the following extended BNF:

Selector XPath expressions

[1]	Selector	::=	Path (' ' Path)*
[2]	Path	::=	('./')? Step ('/' Step)*
[3]	Step	::=	'.' NameTest
[4]	NameTest	::=	QName '*' NCName ':' '*'

- 2.2 Its {expression} is an XPath expression involving the `child` axis whose abbreviated form is as given above.

For readability, whitespace MAY be used in selector XPath expressions even though not explicitly allowed by the grammar: [whitespace](#) MAY be freely added within patterns before or after any [token](#).

Lexical productions

[5]	token	::=	'.' '/' '// ' ' ' '@' NameTest
-----	-------	-----	--

```
[6] whitespace ::= s
```

When tokenizing, the longest possible token is always returned.

[Definition:] The subset of XPath defined in [Selector Value OK \(§3.11.6.2\)](#) is called the **selector subset** of XPath.

3.11.6.3 Fields Value OK

Schema Component Constraint: Fields Value OK

All of the following MUST be true:

- 1 Each member of the {fields} satisfies the constraint [XPath Valid \(§3.13.6.2\)](#).
- 2 For each member of the {fields} **one or more** of the following is true:
 - 2.1 Its {expression} conforms to the extended BNF given above for [Selector](#), with the following modification:

Path in Field XPath expressions

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

This production differs from the one above in allowing the final step to match an attribute node.

- 2.2 Its {expression} is an XPath expression involving the `child` and/or `attribute` axes whose abbreviated form is as given above.

For readability, whitespace MAY be used in field XPath expressions even though not explicitly allowed by the grammar: [whitespace](#) MAY be freely added within patterns before or after any [token](#).

When tokenizing, the longest possible token is always returned.

[Definition:] The subset of XPath defined in [Fields Value OK \(§3.11.6.3\)](#) is called the **field subset** of XPath.

3.12 Type Alternatives

- 3.12.1 [The Type Alternative Schema Component](#)
- 3.12.2 [XML Representation of Type Alternative Schema Components](#)
- 3.12.3 [Constraints on XML Representations of Type Alternatives](#)
- 3.12.4 [Type Alternative Validation Rules](#)
- 3.12.5 [Type Alternative Information Set Contributions](#)
- 3.12.6 [Constraints on Type Alternative Schema Components](#)

Type Alternative components provide associations between boolean conditions (as XPath expressions) and Type Definitions. They are used in conditional type assignment.

3.12.1 The Type Alternative Schema Component

The type alternative schema component has the following properties:

Schema Component: Type Alternative, a kind of Annotated Component	
{ <i>annotations</i> }	A sequence of Annotation components.
{ <i>test</i> }	An XPath Expression property record. Optional.
{ <i>type definition</i> }	A Type Definition component. Required.

Type alternatives can be used by an Element Declaration to specify a condition ({*test*}) under which a particular type ({*type definition*}) is used as the governing type definition for element information items governed by that Element Declaration. Each Element Declaration MAY have multiple Type Alternatives in its {*type table*}.

3.12.2 XML Representation of Type Alternative Schema Components

The XML representation for a type alternative schema component is an <alternative> element information item. The correspondences between the properties of that information item and properties of the component it corresponds to are as follows:

XML Representation Summary: <i>alternative</i> Element Information Item	
<pre> <alternative id = <u>ID</u> test = <i>an XPath expression</i> type = <u>QName</u> xpathDefaultNamespace = (<u>anyURI</u> (##defaultNamespace ##targetNamespace ##local)) {<i>any attributes with non-schema namespace . . .</i>}> Content: (annotation?, (simpleType complexType)?) </alternative> </pre>	

Each <alternative> element maps to a Type Alternative component as follows.

XML Mapping Summary for <u>Type Alternative</u> Schema Component	
Property	Representation
{ <i>test</i> }	If the <i>test</i> [attribute] is not present, then 'absent'; otherwise an XPath Expression property record, as described in section XML Representation of Assertion Schema Components (§3.13.2) , with <alternative> as the "host element" and <i>test</i> as the designated expression [attribute].
{ <i>type definition</i> }	The type definition 'resolved' to by the 'actual value' of the <i>type</i> [attribute], if one is present, otherwise the type definition corresponding to the <i>complexType</i> or <i>simpleType</i> among the [children] of the <alternative> element.

{annotations} The ·annotation mapping· of the <alternative> element, as defined in [XML Representation of Annotation Schema Components \(§3.15.2\)](#).

3.12.3 Constraints on XML Representations of Type Alternatives

Schema Representation Constraint: Type Alternative Representation OK

In addition to the conditions imposed on <alternative> element information items by the schema for schema documents, every <alternative> element MUST have a `type` attribute, or a `complexType` child element, or a `simpleType` child element. Each <alternative> element MUST have one and only one of these.

3.12.4 Type Alternative Validation Rules

[Definition:] A Type Alternative **A** **successfully selects** a Type Definition **T** for an element information item **E** if and only if **A**.{test} evaluates to `true` and **A**.{type definition} = **T**. The {test} is evaluated in the following way:

- 1 An instance of the [\[XDM\]](#) data model is constructed as follows:
 - 1.1 An information set is constructed by copying the base information set properties (and not any of the properties specific to ·post-schema-validation infoSet·) of the following information items:
 - 1.1.1 **E** itself.
 - 1.1.2 **E**'s [attributes] (but not its [children]).
 - 1.1.3 **E**'s [inherited attributes] which do not have the same [expanded names](#) as any of **E**'s [attributes]. They are copied as if they were among **E**'s [attributes] and had **E** as their [owner element]. When an attribute with a non-empty [namespace name] is copied, ·namespace fixup· may need to be performed on the resulting information set to ensure that a prefix **P** is bound to the [namespace name] and the [prefix] of the copied attribute is set to **P**.
 - 1.2 An [\[XDM\]](#) data model instance is constructed from that information set, following the rules given in [\[XDM\]](#).
- 2 The XPath expression which is the value of the {test}, is evaluated as described in [XPath Evaluation \(§3.13.4.2\)](#). If a [dynamic error](#) or a [type error](#) is raised during evaluation, then the {test} is treated as if it had evaluated (without error) to `false`.

Note: [Dynamic errors](#) and [type errors](#) in the evaluation of {test} expressions cause neither the schema nor the document instance to be invalid. But conforming processors MAY issue a warning if they occur.

Note: As a consequence of the rules just given, the root node of the [\[XDM\]](#) instance is necessarily constructed from **E**; the ancestors, siblings, children, and descendants of **E** are not represented in the data model instance, and they are thus not accessible to the tests expressed in the {test}s in the {type table}. The element **E** and its [attributes] will be represented in the data model instance by nodes labeled as untyped. If the {test} expressions being evaluated include comparisons which require type information, then explicit casts will sometimes be necessary.

3.12.5 Type Alternative Information Set Contributions

None.

3.12.6 Constraints on Type Alternative Schema Components

All type alternatives (see [Type Alternatives \(§3.12\)](#)) MUST satisfy the following constraints.

Schema Component Constraint: Type Alternative Properties Correct

All of the following MUST be true:

- 1 The values of the properties of a type alternatives are as described in the property tableau in [The Type Alternative Schema Component \(§3.12.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 If the {test} is not 'absent', then it satisfies the constraint [XPath Valid \(§3.13.6.2\)](#). The [function signatures](#) in the [static context](#) MUST include signatures for **all** of the following:
 - 2.1 The [fn:not](#) function defined in the [\[Functions and Operators\]](#) specification.
 - 2.2 Constructor functions for the built-in datatypes.
The further contents of [function signatures](#) are 'implementation-defined'.

A conforming processor MUST accept and process any XPath expression conforming to the "required subset" of [\[XPath 2.0\]](#) defined by the following grammar.

Note: Any XPath expression valid according to [\[XPath 2.0\]](#) may appear in a conforming schema. Conforming processors MAY but are not required to support XPath expressions not belonging to the required subset of XPath.

An XPath expression belongs to the required subset of XPath if and only if **all** of the following are true:

- 1 The {expression} property of the XPath Expression is a valid XPath expression, as defined in [\[XPath 2.0\]](#).
- 2 **One or more** of the following is true:
 - 2.1 It conforms to the following extended BNF:

Test XPath expressions

[8]	Test	::=	OrExpr			
[9]	OrExpr	::=	AndExpr ('or' AndExpr)*			
[10]	AndExpr	::=	BooleanExpr ('and' BooleanExpr)*			
[11]	BooleanExpr	::=	'(' OrExpr ')'		BooleanFunction	ValueExpr (Comparator ValueExpr)?
[12]	BooleanFunction	::=	QName '(' OrExpr ')'			
[13]	Comparator	::=	'=' '!=' '<' '<=' '>' '>='			
[14]	ValueExpr	::=	CastExpr ConstructorFunction			
[15]	CastExpr	::=	SimpleValue ('cast' 'as' QName '??')?			
[16]	SimpleValue	::=	AttrName Literal			
[17]	AttrName	::=	'@' NameTest			
[18]	ConstructorFunction	::=	QName '(' SimpleValue ')'			

2.2 It is an XPath expression involving the `attribute` axis whose abbreviated form is as given above.

Note: For readability, [XPath 2.0](#) allows whitespace to be used between tokens in XPath expressions, even though this is not explicitly shown in the grammar. For details of whitespace handling, consult [XPath 2.0](#).

3 Any strings matching the [BooleanFunction](#) production are function calls to `fn:not` defined in the [Functions and Operators](#) specification. Any strings matching the [ConstructorFunction](#) production are function calls to constructor functions for the built-in datatypes.

Note: The minimal content of the [function signatures](#) in the [static context](#) is given in clause 2 of [Type Alternative Properties Correct \(§3.12.6\)](#): `fn:not` and constructors for the built-in datatypes.

Note: The above extended BNF is ambiguous. For example, the string `"a:b('123')"` has 2 paths in the grammar, by matching either [BooleanFunction](#) or [ConstructorFunction](#). The rules given here require different function names for the productions. As a result, the ambiguity can be resolved based on the function name.

4 Any explicit casts (i.e. any strings which match the optional `"cast as" QName` in the [CastExpr](#) production) are casts to built-in datatypes.

Note: Implementations MAY choose to support a bigger subset of [XPath 2.0](#).

Note: The rule given above for the construction of the data model instance has as a consequence that even when implementations support full [XPath 2.0](#) expressions, it is not possible to refer successfully to the children, siblings, ancestors, etc. of the element whose type is being selected.

3.13 Assertions

3.13.1 [The Assertion Schema Component](#)

3.13.2 [XML Representation of Assertion Schema Components](#)

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Assertion components constrain the existence and values of related elements and attributes.

Example

```
<xs:assert test="@min le @max"/>
```

The XML representation for assertions.

The <assert> element requires that the value of the `min` attribute be less than or equal to that of the `max` attribute, and fails if that is not the case.

3.13.1 The Assertion Schema Component

The assertion schema component has the following properties:

Schema Component: Assertion, a kind of Annotated Component
<code>{annotations}</code> A sequence of Annotation components.
<code>{test}</code> An XPath Expression property record. Required.
Property Record: XPath Expression
<code>{namespace bindings}</code> A set of Namespace Binding property records.
<code>{default namespace}</code> An <code>xs:anyURI</code> value. Optional.
<code>{base URI}</code> An <code>xs:anyURI</code> value. Optional.
<code>{expression}</code> An XPath 2.0 expression. Required.
Property Record: Namespace Binding
<code>{prefix}</code> An <code>xs:NCName</code> value. Required.
<code>{namespace}</code> An <code>xs:anyURI</code> value. Required.

To check an assertion, an instance of the XPath 2.0 data model ([XDM](#)) is constructed, in which the element information item being assessed is the root element, and elements and attributes are assigned types and values according to XPath 2.0 data model construction rules, with some exceptions. See [Assertion Satisfied \(§3.13.4.1\)](#) for details about how the data model is constructed. When evaluated against this data model instance, `{test}` evaluates to either `true` or `false` (if any other value is returned, it's converted to either `true` or `false` as if by a call to the XPath [fn:boolean](#) function).

See [Annotations \(§3.15\)](#) for information on the role of the `{annotations}` property.

3.13.2 XML Representation of Assertion Schema Components

The XML representation for an assertion schema component is an <assert> element information item. The correspondences between the properties of that information item

and properties of the component it corresponds to are as follows:

XML Representation Summary: `assert` Element Information Item

```
<assert
  id = ID
  test = an XPath expression
  xpathDefaultNamespace = (anyURI | (##defaultNamespace | ##targetNamespace
| ##local))
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</assert>
```

The `<assert>` element maps to an Assertion component as follows.

XML Mapping Summary for [Assertion Schema Component](#)

Property	Representation
{test}	An XPath Expression property record, as described below, with <code><assert></code> as the "host element" and <code>test</code> as the designated expression [attribute].
{annotations}	The ·annotation mapping· of the <code><assert></code> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Assertions, like identity constraints and conditional type assignment, use [XPath 2.0](#) expressions. The expression itself is recorded, together with relevant parts of the context, in an XPath Expression property record. The mapping is as described below; in each case, the XPath expression itself is given in a **designated attribute** of the appropriate "host element".

XML Mapping Summary for [XPath Expression Property Record](#)

Property	Representation
{namespace bindings}	A set of Namespace Binding property records. Each member corresponds to an entry in the [in-scope namespaces] of the host element, with {prefix} being the [prefix] and {namespace} the [namespace name].
{default namespace}	Let D be the ·actual value· of the <code>xpathDefaultNamespace</code> [attribute], if present on the host element, otherwise that of the <code>xpathDefaultNamespace</code> [attribute] of the <code><schema></code> ancestor. Then the value is the appropriate case among the following: <ol style="list-style-type: none"> 1 If D is <code>##defaultNamespace</code>, then the appropriate case among the following: <ol style="list-style-type: none"> 1.1 If there is an entry in the [in-scope namespaces] of the host element whose [prefix] is ·absent·, then the corresponding [namespace name]; 1.2 otherwise ·absent·;

- 2 If **D** is `##targetNamespace`, then the appropriate **case** among the following:
 - 2.1 If the `targetNamespace` [attribute] is present on the `<schema>` ancestor, then its `·actual value·`;
 - 2.2 otherwise `·absent·`;
- 3 If **D** is `##local`, then `·absent·`;
- 4 otherwise (**D** is an `xs:anyURI` value) **D**.

{base URI} The [base URI] of the host element.

{expression} An XPath expression corresponding to the `·actual value·` of the designated [attribute] of the host element.

Example

```
<xs:complexType name="intRange">
  <xs:attribute name="min" type="xs:int"/>
  <xs:attribute name="max" type="xs:int"/>
  <xs:assert test="@min le @max"/>
</xs:complexType>
```

The value of the `min` attribute must be less than or equal to that of the `max` attribute. Note that the attributes are validated before the assertion on the parent element is checked, so the typed values of the attributes are available for comparison; it is not necessary to cast the values to `int` or some other numeric type before comparing them.

Example

```
<xs:complexType name="arrayType">
  <xs:sequence>
    <xs:element name="entry" minOccurs="0" maxOccurs="unbounded"/>
  </xs:sequence>
  <xs:attribute name="length" type="xs:int"/>
  <xs:assert test="@length eq fn:count(./entry)"/>
</xs:complexType>
```

The value of the `length` attribute must be the same as the number of occurrences of `entry` sub-elements.

3.13.3 Constraints on XML Representations of Assertions

None as such.

3.13.4 Assertion Validation Rules

3.13.4.1 Assertion Satisfied

Validation Rule: Assertion Satisfied

An element information item **E** is locally `·valid·` with respect to an assertion if and only if the {test} evaluates to `true` (see below) without raising any [dynamic error](#) or [type error](#).

Evaluation of {test} is performed as defined in [XPath 2.0](#), with the following conditions:

- 1 A data model instance (see [XDM](#)) is constructed in the following way:
 - 1.1 *E* is validated with respect to its ·governing element declaration·, as defined in [Element Locally Valid \(Element\) \(§3.3.4.3\)](#), if the ·governing element declaration· exists, otherwise against its ·governing type definition·, as defined in [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#), except that for *E* itself (though not for its element information item descendents), clause 6 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) is skipped. (Informally, the element is validated normally, except that assertions are not checked.)

Note: It is a consequence of this rule that the [attributes] and [children] of *E* will be validated in the usual way.
 - 1.2 A "partial" ·post-schema-validation infoSet· describing the results of this partial validation of *E* is constructed. The ·post-schema-validation infoSet· properties of *E*'s [children] and [attributes] are defined in the usual way. On *E* itself, all ·post-schema-validation infoSet· properties are supplied as described elsewhere in this specification if their values are known. The element's [validity] property is given the value *invalid* if and only if the element is known to be invalid; otherwise it is given the value *notKnown*. The element's [validation attempted] property is given the value *partial*.

Note: Since the assertions of its ·governing type definition· have not been checked, *E* has been only partially validated, and can be known to be invalid, but not known to be valid. The values of the [validity] and [validation attempted] properties are set accordingly.

- 1.3 From the "partial" ·post-schema-validation infoSet·, a data model instance is constructed as described in [XDM](#). The root node of the [XDM](#) instance is constructed from *E*; the data model instance contains only that node and nodes constructed from the [attributes], [children], and descendents of *E*.

Note: It is a consequence of this construction that attempts to refer, in an assertion, to the siblings or ancestors of *E*, or to any part of the input document outside of *E* itself, will be unsuccessful. Such attempted references are not in themselves errors, but the data model instance used to evaluate them does not include any representation of any parts of the document outside of *E*, so they cannot be referred to.

- 2 The XPath expression {test} is evaluated, following the rules given in [XPath Evaluation \(§3.13.4.2\)](#), with the following conditions and modifications:
 - 2.1 The root node of the [XDM](#) instance described in clause 1 serves as the [context node](#) for evaluation of the XPath expression.
 - 2.2 The [static context](#) is augmented with the variable "\$value", as described in [Assertion Properties Correct \(§3.13.6.1\)](#).
 - 2.3 The variable "\$value" appears as a member of the [variable values](#) in the [dynamic context](#). The expanded QName of that member has no namespace URI and has "value" as the local name. The value of the member is determined by the appropriate **case** among the following:
 - 2.3.1 **If all** of the following are true:

- 2.3.1.1 *E*s [validity] in the "partial" ·post-schema-validation infoset· is not *invalid*;
- 2.3.1.2 *E*s [nil] in the "partial" ·post-schema-validation infoset· does not exist or has value *false*;
- 2.3.1.3 the {content type} of *E*'s ·governing type definition· has {variety} *simple*, then the *value* is the [XDM representation](#) of *E*.[schema actual value] under the {content type} . {simple type definition} of *E*'s ·governing type definition·.

Note: This clause provides type information to simple contents of elements, to make type-aware comparisons and operations possible without explicit casting in the XPath expressions.

Note: For complex types with simple content, the element node may be referred to as ".", while its content may be referred to as "\$value". Since the element node, as a consequence of clause 1.2, will normally have the type annotation `anyType`, its [atomized](#) value will be a single atomic value of type `untypedAtomic`. By contrast, `$value` will be a sequence of one or more atomic values, whose types are the most specific (narrowest) built-in types available.

- 2.3.2 **otherwise** (in the "partial" ·post-schema-validation infoset·, *E*.[validity] = *invalid* or *E*.[nil] = *true* or *E*'s ·governing type definition· does not have {content type} . {variety} = *simple*) the *value* is the empty sequence.

- 3 The evaluation result is converted to either `true` or `false` as if by a call to the XPath [fn:boolean](#) function.

Note: Although the rules just given describe how an ·post-schema-validation infoset· and a [\[XDM\]](#) instance are constructed, processors are not required to construct actual data structures representing them. However, the result of XPath evaluation MUST be the same as if such ·post-schema-validation infoset· and [\[XDM\]](#) instance data structures were constructed.

3.13.4.2 XPath Evaluation

Validation Rule: XPath Evaluation

An XPath Expression property record *X*, with a context node *E*, is evaluated as defined in [\[XPath 2.0\]](#), with a [static context](#) as described in [XPath Valid \(§3.13.6.2\)](#) (unless otherwise specified elsewhere) and with the following [dynamic context](#) (again, unless otherwise specified elsewhere):

- 1 The [context item](#) is *E*.
- 2 The [context position](#) is 1.
- 3 The [context size](#) is 1.
- 4 The [variable values](#) is the empty set.
- 5 The [function implementations](#) include an implementation of every function in the [function signatures](#) of the [static context](#). See [XPath Valid \(§3.13.6.2\)](#).
- 6 The [current dateTime](#) is ·implementation-defined·, but is constant during an ·assessment· episode.
- 7 The [implicit timezone](#) is ·implementation-defined·, but is constant during an ·assessment· episode.
- 8 The [available documents](#) is the empty set.

- 9 The [available collections](#) is the empty set.
10 The [default collection](#) is the empty sequence.

Note: [XPath 2.0](#) does not currently require support for the [precisionDecimal](#) datatype, but conforming XPath processors are allowed to support additional primitive data types, including precisionDecimal.

For interoperability, it is recommended that XPath processors intending to support precisionDecimal as an additional primitive data type follow the recommendations in [\[Chamberlin 2006\]](#). If the XPath processor used to evaluate XPath expressions supports precisionDecimal, then any precisionDecimal values in the ·post-schema-validation infoset· SHOULD be labeled as `xs:precisionDecimal` in the data model instance and handled accordingly in XPath.

If the XPath processor does not support precisionDecimal, then any precisionDecimal values in the ·post-schema-validation infoset· SHOULD be mapped into [decimal](#), unless the [numericalValue](#) is not a decimal number (for example, it is **positiveInfinity**, **negativeInfinity**, or **notANumber**), in which case they SHOULD be mapped to [float](#). Whether this is done by altering the type information in the partial ·post-schema-validation infoset·, or by altering the usual rules for mapping from a ·post-schema-validation infoset· to an [XDM](#) data model instance, or by treating precisionDecimal as an unknown type which is coerced as appropriate into decimal or float by the XPath processor, is ·implementation-defined· and out of scope for this specification.

As a consequence of the above variability, it is possible that XPath expressions that perform various kinds of type introspections will produce different results when different XPath processors are used. If the schema author wishes to ensure interoperable results, such introspections will need to be avoided.

3.13.5 Assertion Information Set Contributions

None as such.

3.13.6 Constraints on Assertion Schema Components

All assertions (see [Assertions \(§3.13\)](#)) MUST satisfy the following constraints.

3.13.6.1 Assertion Properties Correct

Schema Component Constraint: Assertion Properties Correct

All of the following MUST be true:

- 1 The values of the properties of an assertion are as described in the property tableau in [The Assertion Schema Component \(§3.13.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 The {test} satisfies the constraint [XPath Valid \(§3.13.6.2\)](#), with the following modifications to the [static context](#):
 - 2.1 The [in-scope variables](#) is a set with a single member. The `expanded QName` of that member has no namespace URI and has `value` as the local name. The (static) `type`

of the member is `anyAtomicType*`.

2.2 The [function signatures](#) includes signatures for **all** of the following:

2.2.1 Functions in the `http://www.w3.org/2005/xpath-functions` namespace as defined in the [\[Functions and Operators\]](#) specification.

2.2.2 Constructor functions for the built-in datatypes.

Note: The XDM type label `anyAtomicType*` simply says that for static typing purposes the variable `$value` will have a value consisting of a sequence of zero or more atomic values.

3.13.6.2 XPath Valid

Schema Component Constraint: XPath Valid

For an XPath Expression property record **X** to be valid, **all** of the following **MUST** be true:

1 The {expression} of **X** is a valid XPath expression, as defined in [\[XPath 2.0\]](#).

2 **X** does not produce any [static error](#), under the following conditions (except as specified elsewhere):

2.1 The [Static Typing Feature](#) is disabled.

2.2 The [static context](#) is given as follows:

2.2.1 [XPath 1.0 compatibility mode](#) is **false**.

2.2.2 The [statically known namespaces](#) is the {namespace bindings} of **X**.

2.2.3 The [default element/type namespace](#) is the {default namespace} of **X**.

2.2.4 The [default function namespace](#) is `http://www.w3.org/2005/xpath-functions`.

2.2.5 The [in-scope schema definitions](#) are those components that are present in every schema by definition, as defined in [Built-in Attribute Declarations \(§3.2.7\)](#), [Built-in Complex Type Definition \(§3.4.7\)](#) and [Built-in Simple Type Definitions \(§3.16.7\)](#).

2.2.6 The [in-scope variables](#) is the empty set.

2.2.7 The [context item static type](#) is not applicable, because the [Static Typing Feature](#) is disabled.

2.2.8 The [function signatures](#) are `implementation-defined`.

Note: If **X** belongs to an Assertion or a Type Alternative, [Assertion Properties Correct \(§3.13.6.1\)](#) and [Type Alternative Properties Correct \(§3.12.6\)](#) impose additional constraints on the set of required functions.

2.2.9 The [statically known collations](#) are `implementation-defined`, but always include the [Unicode codepoint collation](#)

(`http://www.w3.org/2005/xpath-functions/collation/codepoint`) defined by [\[Functions and Operators\]](#).

2.2.10 The [default collation](#) is the Unicode codepoint collation.

2.2.11 The [base URI](#) is the {base URI} of **X**.

2.2.12 The [statically known documents](#) is the empty set.

2.2.13 The [statically known collections](#) is `implementation-defined`.

2.2.14 The [statically known default collection type](#) is `implementation-defined`.

3.14 Notation Declarations

3.14.1 [The Notation Declaration Schema Component](#)



- 3.14.2 [XML Representation of Notation Declaration Schema Components](#)
- 3.14.3 [Constraints on XML Representations of Notation Declarations](#)
- 3.14.4 [Notation Declaration Validation Rules](#)
- 3.14.5 [Notation Declaration Information Set Contributions](#)
- 3.14.6 [Constraints on Notation Declaration Schema Components](#)

Notation declarations reconstruct XML NOTATION declarations.

Example

```
<xs:notation name="jpeg" public="image/jpeg" system="viewer.exe">
```

The XML representation of a notation declaration.

3.14.1 The Notation Declaration Schema Component

The notation declaration schema component has the following properties:

Schema Component: Notation Declaration, a kind of Annotated Component

```
{annotations}
    A sequence of Annotation components.
{name}
    An xs:NCName value. Required.
{target namespace}
    An xs:anyURI value. Optional.
{system identifier}
    An xs:anyURI value. Required if {public identifier} is ·absent·, otherwise
    ({public identifier} is present) optional.
{public identifier}
    A publicID value. Required if {system identifier} is ·absent·, otherwise
    ({system identifier} is present) optional.
    As defined in \[XML 1.1\].
```

Notation declarations do not participate in ·validation· as such. They are referenced in the course of ·validating· strings as members of the [NOTATION](#) simple type. An element or attribute information item with its ·governing· type definition or its ·actual member type definition· derived from the [NOTATION](#) simple type is ·valid· only if its value was among the enumerations of such simple type. As a consequence such a value is required to be the {name} of a notation declaration.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.14.2 XML Representation of Notation Declaration Schema Components

The XML representation for a notation declaration schema component is a <notation> element information item. The correspondences between the properties of that information item and properties of the component it corresponds to are as follows:

XML Representation Summary: notation Element Information Item

```
<notation
  id = ID
  name = NCName
  public = token
  system = anyURI
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</notation>
```

The <notation> element maps to a Notation Declaration component as follows.

XML Mapping Summary for [Notation Declaration](#) Schema Component

Property	Representation
{name}	The ·actual value· of the <code>name</code> [attribute]
{target namespace}	The ·actual value· of the <code>targetNamespace</code> [attribute] of the <schema> ancestor element information item if present, otherwise ·absent·.
{system identifier}	The ·actual value· of the <code>system</code> [attribute], if present, otherwise ·absent·.
{public identifier}	The ·actual value· of the <code>public</code> [attribute], if present, otherwise ·absent·.
{annotations}	The ·annotation mapping· of the <notation> element, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Example

```
<xs:notation name="jpeg"
             public="image/jpeg" system="viewer.exe" />

<xs:element name="picture">
  <xs:complexType>
    <xs:simpleContent>
      <xs:extension base="xs:hexBinary">
        <xs:attribute name="pictype">
          <xs:simpleType>
            <xs:restriction base="xs:NOTATION">
              <xs:enumeration value="jpeg"/>
              <xs:enumeration value="png"/>
              . . .
            </xs:restriction>
          </xs:simpleType>
        </xs:attribute>
      </xs:extension>
    </xs:simpleContent>
  </xs:complexType>
</xs:element>

<picture pictype="jpeg">...</picture>
```

3.14.3 Constraints on XML Representations of Notation Declarations

None as such.

3.14.4 Notation Declaration Validation Rules

None as such.

3.14.5 Notation Declaration Information Set Contributions

Schema Information Set Contribution: Validated with Notation

Whenever an attribute information item is *valid* with respect to a [NOTATION](#), in the *post-schema-validation infoset* its parent element information item has the following properties:

PSVI Contributions for element information items

[notation]

An *item isomorphic* to the notation declaration *resolved* to by the attribute item's *actual value*.

[notation system]

The value of the {system identifier} of that notation declaration.

[notation public]

The value of the {public identifier} of that notation declaration.

Note: For compatibility, only one such attribute SHOULD appear on any given element. If more than one such attribute *does* appear, which one supplies the infoset property or properties above is not defined.

Note: Element as well as attribute information items may be *valid* with respect to a [NOTATION](#), but only attribute information items cause a notation declaration to appear in the *post-schema-validation infoset* as a property of their parent.

3.14.6 Constraints on Notation Declaration Schema Components

All notation declarations (see [Notation Declarations \(§3.14\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Notation Declaration Correct

The values of the properties of a notation declaration MUST be as described in the property tableau in [The Notation Declaration Schema Component \(§3.14.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).

3.15 Annotations

3.15.1 [The Annotation Schema Component](#)

3.15.2 [XML Representation of Annotation Schema Components](#)

3.15.3 [Constraints on XML Representations of Annotations](#)

3.15.4 [Annotation Validation Rules](#)

3.15.5 [Annotation Information Set Contributions](#)



3.15.6 [Constraints on Annotation Schema Components](#)

Annotations provide for human- and machine-targeted annotations of schema components.

Example

```
<xs:simpleType fn:note="special">
  <xs:annotation>
    <xs:documentation>A type for experts only</xs:documentation>
    <xs:appinfo>
      <fn:specialHandling>checkForPrimes</fn:specialHandling>
    </xs:appinfo>
  </xs:annotation>
</xs:simpleType>
```

XML representations of three kinds of annotation.

3.15.1 The Annotation Schema Component

The annotation schema component has the following properties:

Schema Component: Annotation, a kind of Component

```
{application information}
  A sequence of Element information items.
{user information}
  A sequence of Element information items.
{attributes}
  A set of Attribute information items.
```

{user information} is intended for human consumption, {application information} for automatic processing. In both cases, provision is made for an optional URI reference to supplement the local information, as the value of the `source` attribute of the respective element information items. ·validation· does *not* involve dereferencing these URIs, when present. In the case of {user information}, indication SHOULD be given as to the identity of the (human) language used in the contents, using the `xml:lang` attribute.

{attributes} ensures that when schema authors take advantage of the provision for adding attributes from namespaces other than the XSD namespace to schema documents, they are available within the components corresponding to the element items where such attributes appear.

Annotations do not participate in ·validation· as such. Provided an annotation itself satisfies all relevant ·Schema Component Constraints· it *cannot* affect the ·validation· of element information items.

The name [Definition:] **Annotated Component** covers all the different kinds of component which may have annotations.

3.15.2 XML Representation of Annotation Schema Components

Annotation of schemas and schema components, with material for human or computer consumption, is provided for by allowing application information and human information at the beginning of most major schema elements, and anywhere at the top level of schemas. The XML representation for an annotation schema component is an <annotation> element information item. The correspondences between the properties of that information item and properties of the component it corresponds to are as follows:

XML Representation Summary: `annotation` Element Information Item et al.

```

<annotation
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (appinfo | documentation)*
</annotation>

<appinfo
  source = anyURI
  {any attributes with non-schema namespace . . .}>
  Content: ({any})*
</appinfo>

<documentation
  source = anyURI
  xml:lang = language
  {any attributes with non-schema namespace . . .}>
  Content: ({any})*
</documentation>

```

The <annotation> element and its descendants map to an Annotation component as follows.

XML Mapping Summary for [Annotation](#) Schema Component

Property	Representation
{application information}	A sequence of the <appinfo> element information items from among the [children], in order, if any, otherwise the empty sequence.
{user information}	A sequence of the <documentation> element information items from among the [children], in order, if any, otherwise the empty sequence.
{attributes}	A set of attribute information items, namely those allowed by the attribute wildcard in the type definition for the <annotation> item itself or for the enclosing items which correspond to the component within which the annotation component is located.

The annotation component corresponding to the <annotation> element in the example above will have one element item in each of its {user information} and {application information} and one attribute item in its {attributes}.

Virtually every kind of schema component defined in this specification has an {annotations} property. When the component is described in a schema document, the mapping from the XML representation of the component to the Annotation components in the appropriate {annotations} property follows the rules described in the next paragraph.

[Definition:] The **annotation mapping** of a set of element information items **ES** is a sequence of annotations **AS**, with the following properties:

1 For every <annotation> element information item among the [children] of any element information item in **ES**, there is a corresponding Annotation component in **AS**.

Note: As described above (earlier in this section), the {attributes} property of each Annotation component includes any attribute information items on the parent (and possibly ancestors) of the <annotation> element which have a [namespace name] different from the XSD namespace.

2 If there are any attribute information items among the [attributes] of any element information item **E** in **ES** with a [namespace name] different from the XSD namespace, which are not included in the {attributes} of any Annotation from clause 1, then there is an Annotation component in **AS** whose {application information} and {user information} are the empty sequence and whose {attributes} contains all and only such attribute information items among **E**.{attributes}.

3 **AS** contains no other Annotation components.

[Definition:] The **annotation mapping** of a single element information item is the ·annotation mapping· of the singleton set containing that element.

Note: The order of Annotation components within the sequence is ·implementation-dependent·.

Note: When the input set has more than one member, the Annotation components in the resulting sequence do not record which element in the set they correspond to. The attribute information items in the {attributes} of any Annotation similarly do not indicate which element information item in the schema document was their parent.

3.15.3 Constraints on XML Representations of Annotations

None as such.

3.15.4 Annotation Validation Rules

None as such.

3.15.5 Annotation Information Set Contributions

None as such: the addition of annotations to the ·post-schema-validation info set· is covered by the ·post-schema-validation info set· contributions of the enclosing components.

3.15.6 Constraints on Annotation Schema Components

All annotations (see [Annotations \(§3.15\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Annotation Correct

The values of the properties of an annotation MUST be as described in the property

tableau in [The Annotation Schema Component \(§3.15.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).

3.16 Simple Type Definitions

- 3.16.1 [The Simple Type Definition Schema Component](#)
- 3.16.2 [XML Representation of Simple Type Definition Schema Components](#)
 - 3.16.2.1 [Common mapping rules for Simple Type Definitions](#)
 - 3.16.2.2 [Mapping Rules for Atomic Simple Type Definitions](#)
 - 3.16.2.3 [Mapping Rules for Lists](#)
 - 3.16.2.4 [Mapping Rules for Unions](#)
- 3.16.3 [Constraints on XML Representations of Simple Type Definitions](#)
- 3.16.4 [Simple Type Definition Validation Rules](#)
- 3.16.5 [Simple Type Definition Information Set Contributions](#)
- 3.16.6 [Constraints on Simple Type Definition Schema Components](#)
 - 3.16.6.1 [Simple Type Definition Properties Correct](#)
 - 3.16.6.2 [Derivation Valid \(Restriction, Simple\)](#)
 - 3.16.6.3 [Type Derivation OK \(Simple\)](#)
 - 3.16.6.4 [Simple Type Restriction \(Facets\)](#)
- 3.16.7 [Built-in Simple Type Definitions](#)
 - 3.16.7.1 [xs:anySimpleType](#)
 - 3.16.7.2 [xs:anyAtomicType](#)
 - 3.16.7.3 [xs:error](#)
 - 3.16.7.4 [Built-in primitive datatypes](#)
 - 3.16.7.5 [Other built-in datatypes](#)

Note: This section consists of a combination of copies of normative material from [\[XML Schema: Datatypes\]](#), for local cross-reference purposes, and material unique to this specification, relating to the interface between schema components defined in this specification and the simple type definition component.

Simple type definitions provide for constraining character information item [children] of element and attribute information items.

Example

```
<xs:simpleType name="celsiusWaterTemp">
  <xs:restriction base="xs:decimal">
    <xs:fractionDigits value="2"/>
    <xs:minExclusive value="0.00"/>
    <xs:maxExclusive value="100.00"/>
  </xs:restriction>
</xs:simpleType>
```

The XML representation of a simple type definition.

3.16.1 The Simple Type Definition Schema Component

The simple type definition schema component has the following properties:

Schema Component: Simple Type Definition, a kind of Type Definition

<code>{annotations}</code>	A sequence of Annotation components.
<code>{name}</code>	An <code>xs:NCName</code> value. Optional.
<code>{target namespace}</code>	An <code>xs:anyURI</code> value. Optional.
<code>{final}</code>	A subset of <code>{extension, restriction, list, union}</code> .
<code>{context}</code>	Required if <code>{name}</code> is <code>·absent·</code> , otherwise MUST be <code>·absent·</code> . Either an Attribute Declaration, an Element Declaration, a Complex Type Definition or a Simple Type Definition.
<code>{base type definition}</code>	A Type Definition component. Required. With one exception, the <code>{base type definition}</code> of any Simple Type Definition is a Simple Type Definition. The exception is <code>·xs:anySimpleType·</code> , which has <code>·xs:anyType·</code> , a Complex Type Definition, as its <code>{base type definition}</code> .
<code>{facets}</code>	A set of Constraining Facet components.
<code>{fundamental facets}</code>	A set of Fundamental Facet components.
<code>{variety}</code>	One of <code>{atomic, list, union}</code> . Required for all Simple Type Definitions except <code>·xs:anySimpleType·</code> , in which it is <code>·absent·</code> .
<code>{primitive type definition}</code>	A Simple Type Definition component. With one exception, required if <code>{variety}</code> is <i>atomic</i> , otherwise MUST be <code>·absent·</code> . The exception is <code>·xs:anyAtomicType·</code> , whose <code>{primitive type definition}</code> is <code>·absent·</code> . If non- <code>·absent·</code> , MUST be a primitive definition.
<code>{item type definition}</code>	A Simple Type Definition component. Required if <code>{variety}</code> is <i>list</i> , otherwise MUST be <code>·absent·</code> .
<code>{member type definitions}</code>	A sequence of Simple Type Definition components. MUST if <code>{variety}</code> is <i>union</i> , otherwise MUST be <code>·absent·</code> if <code>{variety}</code> is not <i>union</i> .

Simple types are identified by their `{name}` and `{target namespace}`. Except for anonymous simple types (those with no `{name}`), since type definitions (i.e. both simple and complex type definitions taken together) **MUST** be uniquely identified within an `·XSD schema·`, no simple type definition can have the same name as another simple or complex type definition. Simple type `{name}`s and `{target namespace}`s are provided for reference from instances (see [xsi:type \(§2.6.1\)](#)), and for use in the XML representation of schema components (specifically in `<element>` and `<attribute>`). See [References to schema components across namespaces \(<import> \(§4.2.5\)\)](#) for the use of component identifiers when importing one schema into another.

Note: The `{name}` of a simple type is not *ipso facto* the [(local) name] of the element or attribute information items `·validated·` by that definition. The connection between a name and a type definition is described in [Element Declarations \(§3.3\)](#) and [Attribute](#)

[Declarations \(§3.2\).](#)

A simple type definition with an empty specification for {final} can be used as the {base type definition} for other types ·derived· by either of extension or restriction, or as the {item type definition} in the definition of a list, or in the {member type definitions} of a union; the explicit values **extension**, **restriction**, **list** and **union** prevent further ·derivations· by extension (to yield a complex type) and restriction (to yield a simple type) and use in ·constructing· lists and unions respectively.

{variety} determines whether the simple type corresponds to an **atomic**, **list** or **union** type as defined by [XML Schema: Datatypes](#).

As described in [Type Definition Hierarchy \(§2.2.1.1\)](#), every simple type definition is a ·restriction· of some other simple type (the {base type definition}), which is `*xs:anySimpleType*` if and only if the type definition in question is `*xs:anyAtomicType*` or a list or union type definition which is not itself ·derived· by restriction from a list or union respectively. A type definition has `*xs:anyAtomicType*` as its {base type definition} if and only if it is one of the primitive datatypes. Each **atomic** type is ultimately a restriction of exactly one such primitive datatype, which is its {primitive type definition}.

The {facets} property contains a set of constraining facets which are used to specify constraints on the datatype described by the simple type definition. For **atomic** definitions, these are restricted to those appropriate for the corresponding {primitive type definition}. Therefore, the value space and lexical space (i.e. what is ·validated· by any atomic simple type) is determined by the pair ({primitive type definition}, {facets}).

Constraining facets are defined in [XML Schema: Datatypes](#). All conforming implementations of this specification MUST support all of the facets defined in [XML Schema: Datatypes](#). It is ·implementation-defined· whether additional facets are supported; if they are, the implementation MUST satisfy the rules for ·implementation-defined· facets described in [XML Schema: Datatypes](#).

As specified in [XML Schema: Datatypes](#), **list** simple type definitions ·validate· space separated tokens, each of which conforms to a specified simple type definition, the {item type definition}. The item type specified MUST NOT itself be a **list** type, and MUST be one of the types identified in [XML Schema: Datatypes](#) as a suitable item type for a list simple type. In this case the {facets} apply to the list itself, and are restricted to those appropriate for lists.

A **union** simple type definition ·validates· strings which satisfy at least one of its {member type definitions}. As in the case of **list**, the {facets} apply to the union itself, and are restricted to those appropriate for unions.

`*xs:anySimpleType*` Or `*xs:anyAtomicType*` MUST *not* be named as the {base type definition} of any user-defined atomic simple type definitions: as they allow no constraining facets, this would be incoherent.

See [Annotations \(§3.15\)](#) for information on the role of the {annotations} property.

3.16.2 XML Representation of Simple Type Definition Schema Components

Note: This section reproduces a version of material from [\[XML Schema: Datatypes\]](#), for local cross-reference purposes.

XML Representation Summary: `simpleType` Element Information Item et al.

```
<simpleType
  final = (#all | List of (list | union | restriction | extension))
  id = ID
  name = NCName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (restriction | list | union))
</simpleType>

<restriction
  base = QName
  id = ID
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, (simpleType?, (minExclusive | minInclusive |
maxExclusive | maxInclusive | totalDigits | fractionDigits | maxScale |
minScale | length | minLength | maxLength | enumeration | whiteSpace |
pattern | assertion | explicitTimezone | {any with namespace: ##other}*))
</restriction>

<list
  id = ID
  itemType = QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, simpleType?)
</list>

<union
  id = ID
  memberTypes = List of QName
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, simpleType*)
</union>
```

The `<simpleType>` element and its descendants normally, when there are no errors, map to a Simple Type Definition component. The case in which an [unknown](#) facet is used in the definition of a simple type definition is handled specially: the `<simpleType>` in question is not in error, but it does not map to any component at all.

Note: The effect of the special handling of [unknown](#) facets is to ensure (1) that ·implementation-defined· facets which are not supported by a particular implementation result in the types which depend upon them not being present in the schema, and (2) that the presence of references to [unknown](#) facets in a schema document does not prevent the rest of the schema document being processed and used.

The following subsections define one set of common mapping rules for simple type definitions, and three specialized sets of mapping rules for atomic, list, and union datatypes, respectively.

- If the `<simpleType>` element has a `<restriction>` element among its children, and the base type definition has {variety} = **atomic**, then the mapping rules in [Common mapping rules for Simple Type Definitions \(§3.16.2.1\)](#) and [Mapping Rules for Atomic Simple Type Definitions \(§3.16.2.2\)](#) apply.

- If the <simpleType> element has a <list> element among its children, or if it has a <restriction> child and the base type definition has {variety} = **list**, then the mapping rules in [Common mapping rules for Simple Type Definitions \(§3.16.2.1\)](#) and [Mapping Rules for Lists \(§3.16.2.3\)](#) apply.
- If the <simpleType> element has a <union> element among its children, or if it has a <restriction> child and the base type definition has {variety} = **union**, then the mapping rules in [Common mapping rules for Simple Type Definitions \(§3.16.2.1\)](#) and [Mapping Rules for Unions \(§3.16.2.4\)](#) apply.

3.16.2.1 Common mapping rules for Simple Type Definitions

The following rules apply to all simple type definitions.

XML Mapping Summary for [Simple Type Definition](#) Schema Component

Property	Representation
{name}	The ·actual value· of the <code>name</code> [attribute] if present on the <simpleType> element, otherwise ·absent·.
{target namespace}	The ·actual value· of the <code>targetNamespace</code> [attribute] of the ancestor <schema> element information item if present, otherwise ·absent·.
{base type definition}	The appropriate case among the following: 1 If the <restriction> alternative is chosen, then the type definition ·resolved· to by the ·actual value· of the <code>base</code> [attribute] of <restriction>, if present, otherwise the type definition corresponding to the <simpleType> among the [children] of <restriction>. 2 If the <list> or <union> alternative is chosen, then ·xs:anySimpleType·.
{final}	A subset of { restriction, extension, list, union }, determined as follows. [Definition:] Let FS be the ·actual value· of the <code>final</code> [attribute], if present, otherwise the ·actual value· of the <code>finalDefault</code> [attribute] of the ancestor <code>schema</code> element, if present, otherwise the empty string. Then the property value is the appropriate case among the following: 1 If ·FS· is the empty string, then the empty set; 2 If ·FS· is "#all", then { restriction, extension, list, union }; 3 otherwise Consider ·FS· as a space-separated list, and include restriction if "restriction" is in that list, and similarly for extension, list and union .
{context}	The appropriate case among the following: 1 If the <code>name</code> [attribute] is present, then ·absent·. 2 otherwise the appropriate case among the following: 2.1 If the parent element information item is <attribute>, then the corresponding Attribute Declaration 2.2 If the parent element information item is <element>, then the

corresponding Element Declaration

2.3 **If** the parent element information item is <list> or <union>, **then** the Simple Type Definition corresponding to the grandparent <simpleType> element information item

2.4 **otherwise** (the parent element information item is <restriction>), the appropriate **case** among the following:

2.4.1 **If** the grandparent element information item is <simpleType>, **then** the Simple Type Definition corresponding to the grandparent

2.4.2 **otherwise** (the grandparent element information item is <simpleContent>), the Simple Type Definition which is the {content type} of the Complex Type Definition corresponding to the great-grandparent <complexType> element information item.

{variety} If the <list> alternative is chosen, then **list**, otherwise if the <union> alternative is chosen, then **union**, otherwise (the <restriction> alternative is chosen), then the {variety} of the {base type definition}.

{facets} The appropriate **case** among the following:

- 1 **If** the <restriction> alternative is chosen **and** the children of the <restriction> element are all either <simpleType> elements, <annotation> elements, or elements which refer to constraining facets supported by the processor, **then** a set of Constraining Facet components ·constituting a restriction· of the {facets} of the {base type definition} with respect to a set of Constraining Facet components corresponding to the appropriate element information items among the [children] of <restriction> (i.e. those which specify facets, if any), as defined in [Simple Type Restriction \(Facets\) \(§3.16.6.4\)](#).
- 2 **If** the <restriction> alternative is chosen **and** the children of the <restriction> element include at least one element of which the processor has no prior knowledge (i.e. not a <simpleType> element, an <annotation> element, or an element denoting a constraining facet known to and supported by the processor), **then** the <simpleType> element maps to no component at all (but is not in error solely on account of the presence of the unknown element).
- 3 **If** the <list> alternative is chosen, **then** a set with one member, a whiteSpace facet with {value} = **collapse** and {fixed} = **true**.
- 4 **otherwise** the empty set

{fundamental facets} Based on {variety}, {facets}, {base type definition} and {member type definitions}, a set of Fundamental Facet components, one each as specified in [The ordered Schema Component](#), [The bounded Schema Component](#), [The cardinality Schema Component](#) and [The numeric Schema Component](#).

{annotations} The ·annotation mapping· of the set of elements containing the <simpleType>, and one of the <restriction>, <list> or <union> [children], whichever is present, as defined in [XML Representation of](#)

3.16.2.2 Mapping Rules for Atomic Simple Type Definitions

The following rule applies if the {variety} is **atomic**

[Definition:] The **ancestors** of a ·type definition· are its {base type definition} and the ·ancestors· of its {base type definition}. (The ancestors of a Simple Type Definition **T** in the type hierarchy are themselves ·type definitions·; they are distinct from the XML elements which may be ancestors, in the XML document hierarchy, of the <simpleType> element which declares **T**.)

XML Mapping Summary for [Atomic Simple Type Definition](#) Schema Component

Property	Representation
{primitive type definition}	From among the ·ancestors· of this Simple Type Definition, that Simple Type Definition which corresponds to a primitive datatype.

3.16.2.3 Mapping Rules for Lists

If the {variety} is **list**, the following additional property mapping applies:

XML Mapping Summary for [List Simple Type Definition](#) Schema Component

Property	Representation
{item type definition}	<p>The appropriate case among the following:</p> <p>1 If the {base type definition} is <code>*xs:anySimpleType*</code>, then the Simple Type Definition (a) ·resolved· to by the ·actual value· of the <code>itemType</code> [attribute] of <list>, or (b), corresponding to the <simpleType> among the [children] of <list>, whichever is present.</p> <p style="padding-left: 40px;">Note: In this case, a <list> element will invariably be present; it will invariably have either an <code>itemType</code> [attribute] or a <simpleType> [child], but not both.</p> <p>2 otherwise (that is, the {base type definition} is not <code>*xs:anySimpleType*</code>), the {item type definition} of the {base type definition}.</p> <p style="padding-left: 40px;">Note: In this case, a <restriction> element will invariably be present.</p>

3.16.2.4 Mapping Rules for Unions

If the {variety} is **union**, the following additional property mapping applies:

XML Mapping Summary for Union Simple Type Definition Schema Component

Property	Representation
{member type definitions}	<p>The appropriate case among the following:</p> <ol style="list-style-type: none">1 If the {base type definition} is <code>*xs:anySimpleType*</code>, then the sequence of Simple Type Definitions (a) <code>·resolved·</code> to by the items in the <code>·actual value·</code> of the <code>memberTypes</code> [attribute] of <code><union></code>, if any, and (b) corresponding to the <code><simpleType></code>s among the [children] of <code><union></code>, if any, in order. <p>Note: In this case, a <code><union></code> element will invariably be present; it will invariably have either a <code>memberTypes</code> [attribute] or one or more <code><simpleType></code> [children], or both.</p> <ol style="list-style-type: none">2 otherwise (that is, the {base type definition} is not <code>*xs:anySimpleType*</code>), the {member type definitions} of the {base type definition}. <p>Note: In this case, a <code><restriction></code> element will invariably be present.</p>

3.16.3 Constraints on XML Representations of Simple Type Definitions

Schema Representation Constraint: Simple Type Definition Representation OK

In addition to the conditions imposed on `<simpleType>` element information items by the schema for schema documents, **all** of the following **MUST** be true:

- 1 With the exception of `<enumeration>`, `<pattern>`, and `<assert>`, the [children] of `<restriction>` do not contain more than one element information item with the same name.
- 2 If the `<restriction>` alternative is chosen, it has either a `base` [attribute] or a `<simpleType>` among its [children], but not both.
- 3 If the `<list>` alternative is chosen, it has either an `itemType` [attribute] or a `<simpleType>` among its [children], but not both.
- 4 If the `<union>` alternative is chosen, either it has a non-empty `memberTypes` [attribute] or it has at least one `simpleType` [child].

3.16.4 Simple Type Definition Validation Rules

Validation Rule: String Valid

For a string **S** to be locally `·valid·` with respect to a simple type definition **T** **all** of the following **MUST** be true:

- 1 The "normalized value" of **S**, **N**, is calculated using the [whiteSpace facet](#), and any other [pre-lexical facets](#) associated with **T**, as described in the definition of the term "normalized value".
- 2 **N** is schema-valid with respect to **T** as defined by [Datatype Valid](#) in [\[XML Schema: Datatypes\]](#).
- 3 The appropriate **case** among the following is true:
 - 3.1 If **T** is [ENTITY](#) or is validly "derived" from [ENTITY](#), as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#), then **N** is a "declared entity name".
 - 3.2 If **T** is [ENTITIES](#) or is validly "derived" from [ENTITIES](#), as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#), then every whitespace-delimited substring of **N** is a "declared entity name".
 - 3.3 **otherwise** no further condition applies.

[Definition:] A string is a **declared entity name** if and only if it is equal to the [name] of some unparsed entity information item in the value of the [unparsedEntities] property of the document information item at the root of the infoset containing the element or attribute information item whose "normalized value" the string is.

3.16.5 Simple Type Definition Information Set Contributions

None as such.

3.16.6 Constraints on Simple Type Definition Schema Components

3.16.6.1 Simple Type Definition Properties Correct

All simple type definitions MUST satisfy both the following constraints.

Schema Component Constraint: Simple Type Definition Properties Correct

All of the following MUST be true:

- 1 The values of the properties of a simple type definition are as described in the property tableau in [The Simple Type Definition Schema Component](#), modulo the impact of [Missing Sub-components \(§5.3\)](#).
- 2 All simple type definitions are, or are "derived" ultimately from, `*xs:anySimpleType*` (so circular definitions are disallowed). That is, it is possible to reach a primitive datatype or `*xs:anySimpleType*` by following the {base type definition} zero or more times.
- 3 The {final} of the {base type definition} does not contain **restriction**.
- 4 There is not more than one member of {facets} of the same kind.
- 5 Each member of {facets} is supported by the processor.

Note: As specified normatively elsewhere, all conforming processors MUST support the facets defined by [\[XML Schema: Datatypes\]](#); support for additional facets is "implementation-defined". If a schema document applies an [unknown](#) facet, the immediate result will be a violation of this constraint, so that the simple type defined by means of that facet will be excluded from the schema, and any references to it will be treated as undischarged references.

3.16.6.2 Derivation Valid (Restriction, Simple)

Schema Component Constraint: Derivation Valid (Restriction, Simple)

For any Simple Type Definition **D** whose {base type definition} is some Simple Type Definition **B**, the appropriate **case** among the following MUST be true:

1 If **D**.{variety} = **atomic**, then all of the following are true:

1.1 Either **D** is `*xs:anyAtomicType*`, or else **B** is an atomic simple type definition.

Note: The type `*xs:anyAtomicType*` is an exception because its {base type definition} is `*xs:anySimpleType*`, whose {variety} is `absent`.

1.2 **B**.{final} does not contain **restriction**.

1.3 For each facet in **D**.{facets} (call this **DF**) all of the following are true:

1.3.1 **DF** is applicable to **D**, as specified in [Applicable Facets](#) of [XML Schema: Datatypes](#).

1.3.2 **DF** satisfies the constraints on facet components given in the appropriate subsection of [Constraining Facets](#) in [XML Schema: Datatypes](#).

2 If **D**.{variety} = **list**, then all of the following are true:

2.1 Either **D**.{item type definition}.{variety} = **atomic** or **D**.{item type definition}.{variety} = **union** and there are no types whose {variety} is **list** among the union's [transitive membership](#).

2.2 The appropriate **case** among the following is true:

2.2.1 If **B** is `*xs:anySimpleType*`, then all of the following are true:

2.2.1.1 **D**.{item type definition}.{final} does not contain **list**.

2.2.1.2 **D**.{facets} contains only the **whiteSpace** facet component.

2.2.2 otherwise all of the following are true:

2.2.2.1 **B**.{variety} = **list**.

2.2.2.2 **B**.{final} does not contain **restriction**.

2.2.2.3 **D**.{item type definition} is validly `derived` from **B**.{item type definition}, as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

2.2.2.4 All facets in {facets} are applicable to **D**, as specified in [Applicable Facets](#).

2.2.2.5 All facets in {facets} satisfy the constraints on facet components given in the appropriate subsection of [Constraining Facets](#).

The first case above will apply when a list is [constructed](#) by specifying an item type, the second when `derived` by restriction from another list.

3 If **D**.{variety} is **union**, then all of the following are true:

3.1 The appropriate **case** among the following is true:

3.1.1 If **B** is `*xs:anySimpleType*`, then all of the following are true:

3.1.1.1 All of the {member type definitions} have a {final} which does not contain **union**.

3.1.1.2 **D**.{facets} is empty.

3.1.2 otherwise all of the following are true:

3.1.2.1 **B**.{variety} = **union**.

3.1.2.2 **B**.{final} does not contain **restriction**.

3.1.2.3 Each type definition in **D**.{member type definitions} is validly `derived` from the corresponding type definition in **B**.{member type definitions}, as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

3.1.2.4 All facets in {facets} are applicable to **D**, as specified in [Applicable](#)

[Facets](#).

3.1.2.5 All facets in {facets} satisfy the constraints on facet components given in the appropriate subsection of [Constraining Facets](#).

The first case above will apply when a union is [constructed](#) by specifying one or more member types, the second when `·derived·` by restriction from another union.

3.2 Neither **D** nor any type `·derived·` from it is a member of its own [transitive membership](#).

[Definition:] A simple type definition **T** is a **valid restriction** of its {base type definition} if and only if **T** satisfies constraint [Derivation Valid \(Restriction, Simple\) \(§3.16.6.2\)](#).

3.16.6.3 Type Derivation OK (Simple)

The following constraint defines relations appealed to elsewhere in this specification.

Schema Component Constraint: Type Derivation OK (Simple)

For a simple type definition (call it **D**, for `·derived·`) to be validly `·derived·` from a type definition (call this **B**, for base) subject to a set of blocking keywords drawn from the set {**extension**, **restriction**, **list**, **union**} (of which only **restriction** is actually relevant; call this set **S**) one of the following MUST be true:

1 They are the same type definition.

2 All of the following are true:

2.1 **restriction** is not in **S**, or in **D**.{base type definition}.{final};

2.2 One or more of the following is true:

2.2.1 **D**.{base type definition} = **B**.

2.2.2 **D**.{base type definition} is not `*xs:anyType*` and is validly `·derived·` from **B** given **S**, as defined by this constraint.

2.2.3 **D**.{variety} = **list** or **union** and **B** is `*xs:anySimpleType*`.

2.2.4 All of the following are true:

2.2.4.1 **B**.{variety} = **union**.

2.2.4.2 **D** is validly `·derived·` from a type definition **M** in **B**'s [transitive membership](#) given **S**, as defined by this constraint.

2.2.4.3 The {facets} property of **B** and of any [intervening union](#) datatypes is empty.

Note: It is a consequence of this requirement that the [value space](#), [lexical space](#), and [lexical mapping](#) of **D** will be subsets of those of **B**.

Note: With respect to clause [1](#), see the Note on identity at the end of [§3.4.6.5](#) above.

Note: When a simple type definition **S** is said to be "validly `·derived·`" from a type definition **T**, without mention of any specific set of blocking keywords, then what is meant is that **S** is validly derived from **T**, subject to the empty set of blocking keywords, i.e. without any particular limitations.

Note: It is a consequence of clause [2.2.4](#) that the constraint [§3.16.6.2](#) can hold

between a Simple Type Definition in the [transitive membership](#) of a union type, and the union type, even though neither is actually *derived* from the other. The slightly misleading terminology is retained for historical reasons and for compatibility with version 1.0 of this specification.

3.16.6.4 Simple Type Restriction (Facets)

Schema Component Constraint: Simple Type Restriction (Facets)

For a simple type definition (call it **R**) to restrict another simple type definition (call it **B**) with a set of facets (call this **S**) **all** of the following **MUST** be true:

- 1 The {variety} of **R** is the same as that of **B**.
- 2 If {variety} is **atomic**, the {primitive type definition} of **R** is the same as that of **B**.
- 3 The {facets} of **R** constitute a restriction of the {facets} of **B** with respect to **S**.

Additional constraint(s) sometimes apply depending on the kind of facet, see the appropriate sub-section of [4.3 Constraining Facets](#).

[Definition:] Given three sets of facets **R**, **B**, and **S**, **R** constitutes a restriction of **B** with respect to **S** if and only if **all** of the following are true:

- 1 Every facet in **S** is in **R**.
- 2 Every facet in **B** is in **R**, unless it is of the same kind as some facet in **S**, in which case it is not included in **R**.
- 3 Every facet in **R** is required by clause [1](#) or clause [2](#) above.

3.16.7 Built-in Simple Type Definitions

3.16.7.1 *xs:anySimpleType*

The Simple Type Definition of [anySimpleType](#) is present in every schema. It has the following properties:

Simple Type Definition of anySimpleType	
Property	Value
{name}	'anySimpleType'
{target namespace}	'http://www.w3.org/2001/XMLSchema'
{final}	The empty set
{context}	<i>absent</i>
{base type definition}	<i>xs:anyType</i>
{facets}	The empty set
{fundamental}	

facets}	The empty set
{variety}	·absent·
{primitive type definition}	·absent·
{item type definition}	·absent·
{member type definitions}	·absent·
{annotations}	The empty sequence

The definition of `·xs:anySimpleType·` is the root of the simple type definition hierarchy, and as such mediates between the other simple type definitions, which all eventually trace back to it via their {base type definition} properties, and `·xs:anyType·`, which is *its* {base type definition}.

3.16.7.2 `xs:anyAtomicType`

The Simple Type Definition of [anyAtomicType](#) is present in every schema. It has the following properties:

Simple Type Definition of anyAtomicType	
Property	Value
{name}	'anyAtomicType'
{target namespace}	'http://www.w3.org/2001/XMLSchema'
{final}	The empty set
{context}	·absent·
{base type definition}	·xs:anySimpleType·
{facets}	The empty set
{fundamental facets}	The empty set
{variety}	atomic
{primitive type definition}	·absent·
{item type definition}	·absent·
{member type definitions}	·absent·

{annotations}	The empty sequence
---------------	--------------------

3.16.7.3 *xs:error*

A Simple Type Definition for `xs:error` is present in every schema by definition. It has the following properties:

Simple Type Definition of <code>xs:error</code>	
Property	Value
{name}	'error'
{target namespace}	'http://www.w3.org/2001/XMLSchema'
{final}	{extension, restriction, list, union}
{context}	·absent·
{base type definition}	·xs:anySimpleType·
{facets}	The empty set
{fundamental facets}	The empty set
{variety}	union
{primitive type definition}	·absent·
{item type definition}	·absent·
{member type definitions}	The empty sequence
{annotations}	The empty sequence

Note: The datatype `xs:error` has no valid instances (i.e. it has an empty value space and an empty lexical space). This is a natural consequence of its construction: a value is a value of a union type if and only if it is a value of at least one member of the {member type definitions} of the union. Since `xs:error` has no member type definitions, there can be no values which are values of at least one of its member types. And since the value space is empty, the lexical space is also empty.

The type `xs:error` is expected to be used mostly in conditional type assignment. Whenever it serves as the ·governing· type definition for an attribute or element information item, that item will be invalid.

3.16.7.4 Built-in primitive datatypes

Simple type definitions corresponding to all the built-in primitive datatypes, namely *string*, *boolean*, *float*, *double*, *decimal*, *precisionDecimal*, *dateTime*, *duration*, *time*, *date*, *gMonth*, *gMonthDay*, *gDay*, *gYear*, *gYearMonth*, *hexBinary*, *base64Binary*, *anyURI*, *QName* and *NOTATION* (see the [Primitive Datatypes](#) section of [XML Schema: Datatypes](#)) are present by definition in every schema as follows:

Simple Type Definition corresponding to the built-in primitive datatypes	
Property	Value
{name}	[as appropriate]
{target namespace}	'http://www.w3.org/2001/XMLSchema'
{base type definition}	'xs:anyAtomicType'
{final}	The empty set
{variety}	atomic
{primitive type definition}	[this simple type definition itself]
{facets}	{a whitespace facet with [value] = collapse and [fixed] = true in all cases except string , which has [value] = preserve and [fixed] = false }
{fundamental facets}	[as appropriate]
{context}	·absent·
{item type definition}	·absent·
{member type definitions}	·absent·
{annotations}	The empty sequence

All conforming implementations of this specification MUST support all the primitive datatypes defined in [XML Schema: Datatypes](#). It is ·implementation-defined· whether additional primitive datatypes are supported, and whether, if so, they are automatically incorporated in every schema or not. If ·implementation-defined· primitives are supported, the implementation MUST satisfy the rules for ·implementation-defined· primitive datatypes described in [XML Schema: Datatypes](#).

[Definition:] A type about which a processor possesses prior knowledge, and which the processor can support without any declaration of the type being supplied by the user, is said to be **automatically known** to the processor.

Note: By their nature, primitive types can be supported by a processor only if ·automatically known· to that processor.

Types ·automatically known· to a processor, whether primitive or derived, can be included automatically by that processor in all schemas, but need not be. It is possible, for example, for a processor to have built-in prior knowledge of a set of primitive and derived types, but to include them in the schema only when the relevant namespace is explicitly imported, or a given run-time option is selected, or on some other conditions; such conditions are not defined by this specification.

Note: The definition of "·automatically known·" is not intended to prevent implementations from allowing users to specify new primitive types. If an implementation defines a mechanism by which users can define or supply an implementation of a primitive type, then when those mechanisms are successfully used, such user-supplied types are ·automatically known· to the implementation, as that term is used in this specification.

3.16.7.5 Other built-in datatypes

Similarly, simple type definitions corresponding to all the other built-in datatypes (see the [Other Built-in Datatypes](#) section of [XML Schema: Datatypes](#)) are present by definition in every schema, with properties as specified in [XML Schema: Datatypes](#) and as represented in XML in [Illustrative XML representations for the built-in ordinary type definitions](#).

Simple Type Definition corresponding to the built-in ordinary datatypes	
Property	Value
{name}	[as appropriate]
{target namespace}	'http://www.w3.org/2001/XMLSchema'
{base type definition}	[as specified in the appropriate sub-section of Other Built-in Datatypes]
{final}	The empty set
{variety}	[atomic or list , as specified in the appropriate sub-section of Other Built-in Datatypes]
{primitive type definition}	[if {variety} is atomic , then the {primitive type definition} of the {base type definition}, otherwise ·absent·]
{facets}	[as specified in the appropriate sub-section of Other Built-in Datatypes]
{fundamental facets}	[as specified in the appropriate sub-section of Other Built-in Datatypes]
{context}	·absent·
{item type definition}	if {variety} is atomic , then ·absent·, otherwise as specified in the appropriate sub-section of Other Built-in Datatypes]
{member type	

definitions}	·absent·
{annotations}	As shown in the XML representations of the ordinary built-in datatypes in Illustrative XML representations for the built-in ordinary type definitions

All conforming implementations of this specification MUST support all the built-in datatypes defined in [\[XML Schema: Datatypes\]](#). It is ·implementation-defined· whether additional derived types are ·automatically known· to the implementation without declaration and whether, if so, they are automatically incorporated in every schema or not.

3.17 Schemas as a Whole

- 3.17.1 [The Schema Itself](#)
- 3.17.2 [XML Representations of Schemas](#)
 - 3.17.2.1 [References to Schema Components](#)
 - 3.17.2.2 [References to Schema Components from Elsewhere](#)
- 3.17.3 [Constraints on XML Representations of Schemas](#)
- 3.17.4 [Validation Rules for Schemas as a Whole](#)
- 3.17.5 [Schema Information Set Contributions](#)
 - 3.17.5.1 [Schema Information](#)
 - 3.17.5.2 [ID/IDREF Table](#)
- 3.17.6 [Constraints on Schemas as a Whole](#)
 - 3.17.6.1 [Schema Properties Correct](#)
 - 3.17.6.2 [QName resolution \(Schema Document\)](#)
 - 3.17.6.3 [QName resolution \(Instance\)](#)

A schema consists of a set of schema components.

Example

```
<xs:schema
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  targetNamespace="http://www.example.com/example">
  .
  .
  .
</xs:schema>
```

The XML representation of the skeleton of a schema.

3.17.1 The Schema Itself

At the abstract level, the schema itself is just a container for its components.

Schema Component: Schema, a kind of Annotated Component

{annotations}	A sequence of Annotation components.
{type definitions}	A set of Type Definition components.
{attribute declarations}	

<p>A set of Attribute Declaration components. {element declarations}</p> <p>A set of Element Declaration components. {attribute group definitions}</p> <p>A set of Attribute Group Definition components. {model group definitions}</p> <p>A set of Model Group Definition components. {notation declarations}</p> <p>A set of Notation Declaration components. {identity-constraint definitions}</p> <p>A set of Identity-Constraint Definition components.</p>
--

3.17.2 XML Representations of Schemas

A schema is represented in XML by one or more ‘schema documents’, that is, one or more <schema> element information items. A ‘schema document’ contains representations for a collection of schema components, e.g. type definitions and element declarations, which have a common {target namespace}. A ‘schema document’ which has one or more <import> element information items corresponds to a schema with components with more than one {target namespace}, see [Import Constraints and Semantics \(§4.2.5.2\)](#).

XML Representation Summary: schema Element Information Item et al.

```

<schema
  attributeFormDefault = (qualified | unqualified) : unqualified
  blockDefault = (#all | List of (extension | restriction | substitution))
  : ''
  defaultAttributes = QName
  xpathDefaultNamespace = (anyURI | (##defaultNamespace | ##targetNamespace
  | ##local)) : ##local
  elementFormDefault = (qualified | unqualified) : unqualified
  finalDefault = (#all | List of (extension | restriction | list | union))
  : ''
  id = ID
  targetNamespace = anyURI
  version = token
  xml:lang = language
  {any attributes with non-schema namespace . . .}>
  Content: ((include | import | redefine | override | annotation)*,
  (defaultOpenContent, annotation)*), ((simpleType | complexType | group |
  attributeGroup | element | attribute | notation), annotation)*
</schema>

<defaultOpenContent
  appliesToEmpty = boolean : false
  id = ID
  mode = (interleave | suffix) : interleave
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?, any)
</defaultOpenContent>

```

The <schema> element information item maps to a Schema component as follows.

XML Mapping Summary for [Schema](#) Schema Component

Property	Representation
{type definitions}	The simple and complex type definitions corresponding to all the <simpleType> and <complexType> element information items in the [children], if any, plus any definitions brought in via <include> (see Assembling a schema for a single target namespace from multiple schema definition documents (<include> (§4.2.2))), <redefine> (see Including modified component definitions (<redefine> (§4.2.3))) and <import> (see References to schema components across namespaces (<import> (§4.2.5))).
{attribute declarations}	The (top-level) attribute declarations corresponding to all the <attribute> element information items in the [children], if any, plus any declarations brought in via <include>, <redefine> and <import>.
{element declarations}	The (top-level) element declarations corresponding to all the <element> element information items in the [children], if any, plus any declarations brought in via <include>, <redefine> and <import>.
{attribute group definitions}	The attribute group definitions corresponding to all the <attributeGroup> element information items in the [children], if any, plus any definitions brought in via <include>, <redefine> and <import>.
{model group definitions}	The model group definitions corresponding to all the <group> element information items in the [children], if any, plus any definitions brought in via <include>, <redefine> and <import>.
{notation declarations}	The notation declarations corresponding to all the <notation> element information items in the [children], if any, plus any declarations brought in via <include>, <redefine> and <import>.
{identity-constraint definitions}	The identity-constraint definitions corresponding to all the <key>, <keyref> and <unique> element information items anywhere within the [children], if any, plus any definitions brought in via <include>, <redefine> and <import>.
{annotations}	The ·annotation mapping· of the set of elements containing the <schema> and all the <include>, <redefine>, <override>, <import> and <defaultOpenContent> [children], if any, as defined in XML Representation of Annotation Schema Components (§3.15.2) .

Note that none of the attribute information items displayed above correspond directly to properties of schemas. The `blockDefault`, `finalDefault`, `attributeFormDefault`, `elementFormDefault` and `targetNamespace` attributes are appealed to in the sub-sections above, as they provide global information applicable to many representation/component correspondences. The other attributes (`id` and `version`) are for user convenience, and this specification defines no semantics for them.

The definition of the schema abstract data model in [XSD Abstract Data Model \(§2.2\)](#) makes clear that most components have a {target namespace}. Most components corresponding to representations within a given <schema> element information item will have a {target namespace} which corresponds to the `targetNamespace` attribute.

Since the empty string is not a legal namespace name, supplying an empty string for `targetNamespace` is incoherent, and is *not* the same as not specifying it at all. The appropriate form of schema document corresponding to a `·schema·` whose components have no `{target namespace}` is one which has no `targetNamespace` attribute specified at all.

Note: [\[XML Namespaces 1.1\]](#) discusses only instance document syntax for elements and attributes; it therefore provides no direct framework for managing the names of type definitions, attribute group definitions, and so on. Nevertheless, the specification applies the target namespace facility uniformly to all schema components, i.e. not only declarations but also definitions have a `{target namespace}`.

Although the example schema at the beginning of this section might be a complete XML document, `<schema>` need not be the document element, but can appear within other documents. Indeed there is no requirement that a schema correspond to a (text) document at all: it could correspond to an element information item constructed 'by hand', for instance via a DOM-conformant API.

Aside from `<include>` and `<import>`, which do not correspond directly to any schema component at all, each of the element information items which *MAY* appear in the content of `<schema>` corresponds to a schema component, and all except `<annotation>` are named. The sections below present each such item in turn, setting out the components to which it corresponds.

3.17.2.1 References to Schema Components

Reference to schema components from a schema document is managed in a uniform way, whether the component corresponds to an element information item from the same schema document or is imported ([References to schema components across namespaces \(<import> \(§4.2.5\)\)](#)) from an external schema (which *MAY*, but need not, correspond to an actual schema document). The form of all such references is a `·QName·`.

[Definition:] A **QName** is a name with an optional namespace qualification, as defined in [\[XML Namespaces 1.1\]](#). When used in connection with the XML representation of schema components or references to them, this refers to the simple type [QName](#) as defined in [\[XML Schema: Datatypes\]](#). For brevity, the term `·QName·` is also used to refer to `·actual values·` in the value space of the [QName](#) simple type, which are [expanded names](#) with a [Definition:] **local name** and a [Definition:] **namespace name**.

[Definition:] An **NCName** is a name with no colon, as defined in [\[XML Namespaces 1.1\]](#). When used in connection with the XML representation of schema components in this specification, this refers to the simple type [NCName](#) as defined in [\[XML Schema: Datatypes\]](#).

Note: It is `·implementation-defined·` whether a schema processor supports the definitions of [QName](#) and [NCName](#) found in [\[XML Namespaces 1.1\]](#) or those found in [\[XML Namespaces 1.0\]](#) or both.

[Definition:] A `·QName·` in a schema document **resolves to** a component in a schema if and only if in the context of that schema the QName and the component together satisfy

the rule [QName resolution \(Schema Document\) \(§3.17.6.2\)](#). A `QName` in an input document, or a pair consisting of a local name and a namespace name, **resolves to a component** in a schema if and only if in the context of that schema the `QName` (or the name + namespace pair) and the component together satisfy the rule [QName resolution \(Instance\) \(§3.17.6.3\)](#).

In each of the XML representation expositions in the following sections, an attribute is shown as having type `QName` if and only if it is interpreted as referencing a schema component.

Example

```
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
           xmlns:xhtml="http://www.w3.org/1999/xhtml"
           xmlns="http://www.example.com"
           targetNamespace="http://www.example.com">
  . . .

  <xs:element name="elem1" type="Address"/>

  <xs:element name="elem2" type="xhtml:blockquote"/>

  <xs:attribute name="attr1"
               type="xsl:quantity"/>
  . . .
</xs:schema>
```

The first of these is most probably a local reference, i.e. a reference to a type definition corresponding to a `<complexType>` element information item located elsewhere in the schema document, the other two refer to type definitions from schemas for other namespaces and assume that their namespaces have been declared for import. See [References to schema components across namespaces \(<import> \(§4.2.5\)](#) for a discussion of importing.

3.17.2.2 References to Schema Components from Elsewhere

The names of schema components such as type definitions and element declarations are not of type `ID`: they are not unique within a schema, just within a symbol space. This means that simple fragment identifiers will not always work to reference schema components from outside the context of schema documents.

There is currently no provision in the definition of the interpretation of fragment identifiers for the `text/xml` MIME type, which is the MIME type for schemas, for referencing schema components as such. However, [XPointer](#) provides a mechanism which maps well onto the notion of symbol spaces as it is reflected in the XML representation of schema components. A fragment identifier of the form

`#xpointer(xs:schema/xs:element[@name="person"])` will uniquely identify the representation of a top-level element declaration with name `person`, and similar fragment identifiers can obviously be constructed for the other global symbol spaces.

Short-form fragment identifiers MAY also be used in some cases, that is when a DTD or

XSD schema is available for the schema in question, and the provision of an `id` attribute for the representations of all primary and secondary schema components, which *is* of type [ID](#), has been exploited.

It is a matter for applications to specify whether they interpret document-level references of either of the above varieties as being to the relevant element information item (i.e. without special recognition of the relation of schema documents to schema components) or as being to the corresponding schema component.

3.17.3 Constraints on XML Representations of Schemas

None as such.

3.17.4 Validation Rules for Schemas as a Whole

None as such.

3.17.5 Schema Information Set Contributions

3.17.5.1 Schema Information

Schema Information Set Contribution: Schema Information

Schema components provide a wealth of information about the basis of `assessment`, which can often be useful for subsequent processing. Reflecting component structure into a form suitable for inclusion in the `post-schema-validation info set` is the way this specification provides for making this information available.

Accordingly, [Definition:] by an **item isomorphic** to a component is meant an information item whose type is equivalent to the component's, with one property per property of the component, with the same name, and value either the same atomic value, or an information item corresponding in the same way to its component value, recursively, as necessary.

The `validation root` has the following properties:

PSVI Contributions for element or attribute information items

[`schema information`]

A set of **namespace schema information** information items, one for each namespace name which appears as the `{target namespace}` of any schema component in the schema used for that assessment, and one for `absent` if any schema component in the schema had no `{target namespace}`. Each **namespace schema information** information item has the following properties and values:

PSVI Contributions for namespace schema information information items

[schema namespace]

A namespace name or `·absent·`.

[schema components]

A (possibly empty) set of schema component information items, each one an `·item isomorphic·` to a component whose {target namespace} is the sibling [schema namespace] property above, drawn from the schema used for `·assessment·`.

[schema documents]

A (possibly empty) set of **schema document** information items, with properties and values as follows, for each schema document which contributed components to the schema, and whose `targetNamespace` matches the sibling [schema namespace] property above (or whose `targetNamespace` was `·absent·` but that contributed components to that namespace by being `<include>`d by a schema document with that `targetNamespace` as per [Assembling a schema for a single target namespace from multiple schema definition documents \(<include> \(§4.2.2\)\)](#):

PSVI Contributions for schema document information items

[document location]

Either a URI reference, if available, otherwise `·absent·`

[document]

A document information item, if available, otherwise `·absent·`.

The [schema components] property is provided for processors which wish to provide a single access point to the components of the schema which was used during `·assessment·`. Lightweight processors are free to leave it empty, but if it *is* provided, it **MUST** contain at a minimum all the top-level (i.e. named) components which actually figured in the `·assessment·`, either directly or (because an anonymous component which figured is contained within) indirectly.

3.17.5.2 ID/IDREF Table

Schema Information Set Contribution: ID/IDREF Table

In the `·post-schema-validation infoset·` a set of **ID/IDREF binding** information items is associated with the `·validation root·`:

PSVI Contributions for element information items

[ID/IDREF table]

A (possibly empty) set of **ID/IDREF binding** information items, as specified below.

[Definition:] Let the **eligible item set** be the set consisting of every attribute or element information item for which **all** of the following are true:

- 1 its [validation context] is the ·validation root·;
- 2 its [schema actual value] is not ·absent· and its ·governing· type definition is the built-in simple type definition for [ID](#), [IDREF](#), or [IDREFS](#), or a simple type definition ·derived· or ·constructed· directly (in a single derivation step) or indirectly (through one or more steps) from any of these;
- 3 if it is an element information item, then it is not ·nilled·.

Note: The use of [schema actual value] in the definition of ·eligible item set· above means that **default** or **fixed** value constraints MAY play a part in the ·eligible item set·.

Then there is one **ID/IDREF binding** in the [ID/IDREF table] for every distinct string which is

one of the following:

- 1 the ·actual value· of a member of the ·eligible item set· whose [type definition] or [member type definition] is or is ·derived· from [ID](#) or [IDREF](#);
- 2 an item in the ·actual value· of a member of the ·eligible item set· whose [type definition] or [member type definition] has {variety} **list** and either its {item type definition} or the item's corresponding entry in [member type definitions] is or is ·derived· from [ID](#) or [IDREF](#).

Each **ID/IDREF binding** has properties as follows:

PSVI Contributions for ID/IDREF binding information items

[id]

The string identified above.

[binding]

A set consisting of every element information item for which **all** of the following are true:

- 1 its [validation context] is the ·validation root·;
- 2 it has an attribute information item in its [attributes] or an element information item in its [children] whose ·actual value· is or contains the [id] of this **ID/IDREF binding** and the corresponding type definition is or is ·derived· from [ID](#).

The net effect of the above is to have one entry for every string used as an id, whether by declaration or by reference, associated with those elements, if any, which actually purport to have that id. See [Validation Root Valid \(ID/IDREF\) \(§3.3.4.5\)](#) above for the validation rule which actually checks for errors here.

Note: The **ID/IDREF binding** information item, unlike most other aspects of this

specification, is essentially an internal bookkeeping mechanism. It is introduced to support the definition of [Validation Root Valid \(ID/IDREF\) \(§3.3.4.5\)](#) above.

3.17.6 Constraints on Schemas as a Whole

3.17.6.1 Schema Properties Correct

All schemas (see [Schemas as a Whole \(§3.17\)](#)) MUST satisfy the following constraint.

Schema Component Constraint: Schema Properties Correct

All of the following MUST be true:

- 1 The values of the properties of a schema are as described in the property tableau in [The Schema Itself \(§3.17.1\)](#), modulo the impact of [Missing Sub-components \(§5.3\)](#);
- 2 None of the {type definitions}, {attribute declarations}, {element declarations}, {attribute group definitions}, {model group definitions}, {notation declarations}, or {identity-constraint definitions} properties contains two or more schema components with the same [expanded name](#).

3.17.6.2 QName resolution (Schema Document)

Schema Representation Constraint: QName resolution (Schema Document)

For a ·QName· to resolve to a schema component of a specified kind **all** of the following MUST be true:

- 1 That component is a member of the value of the appropriate property of the schema which corresponds to the schema document within which the ·QName· appears, that is the appropriate **case** among the following is true:
 - 1.1 **If** the kind specified is simple or complex type definition, **then** the property is the {type definitions}.
 - 1.2 **If** the kind specified is attribute declaration, **then** the property is the {attribute declarations}.
 - 1.3 **If** the kind specified is element declaration, **then** the property is the {element declarations}.
 - 1.4 **If** the kind specified is attribute group, **then** the property is the {attribute group definitions}.
 - 1.5 **If** the kind specified is model group, **then** the property is the {model group definitions}.
 - 1.6 **If** the kind specified is notation declaration, **then** the property is the {notation declarations}.
 - 1.7 **If** the kind specified is identity-constraint definition, **then** the property is the {identity-constraint definitions}.
- 2 The component's {name} matches the ·local name· of the ·QName·;
- 3 The component's {target namespace} is identical to the ·namespace name· of the ·QName·;
- 4 The appropriate **case** among the following is true:
 - 4.1 **If** the ·namespace name· of the ·QName· is ·absent·, **then one** of the following is true
 - 4.1.1 The <schema> element information item of the schema document containing

- the `QName` has no `targetNamespace` [attribute].
- 4.1.2 The `<schema>` element information item of the that schema document contains an `<import>` element information item with no `namespace` [attribute].
- 4.2 **otherwise** the `namespace name` of the `QName` is the same as **one** of the following:
- 4.2.1 The `actual value` of the `targetNamespace` [attribute] of the `<schema>` element information item of the schema document containing the `QName`.
- 4.2.2 The `actual value` of the `namespace` [attribute] of some `<import>` element information item contained in the `<schema>` element information item of that schema document.
- 4.2.3 <http://www.w3.org/2001/XMLSchema>.
- 4.2.4 <http://www.w3.org/2001/XMLSchema-instance>.

3.17.6.3 QName resolution (Instance)

As the discussion above at [Schema Component Details \(§3\)](#) makes clear, at the level of schema components and `validation`, reference to components by name is normally not involved. In a few cases, however, qualified names appearing in information items being `validated` **MUST** be resolved to schema components by such lookup. The following constraint is appealed to in these cases.

Validation Rule: QName resolution (Instance)

A pair of a local name and a namespace name (or `absent`) resolve to a schema component of a specified kind in the context of `validation` by appeal to the appropriate property of the schema being used for the `assessment`. Each such property indexes components by name. The property to use is determined by the kind of component specified, that is, the appropriate **case** among the following **MUST** be true:

- 1 **If** the kind specified is simple or complex type definition, **then** the property is the {type definitions}.
- 2 **If** the kind specified is attribute declaration, **then** the property is the {attribute declarations}.
- 3 **If** the kind specified is element declaration, **then** the property is the {element declarations}.
- 4 **If** the kind specified is attribute group, **then** the property is the {attribute group definitions}.
- 5 **If** the kind specified is model group, **then** the property is the {model group definitions}.
- 6 **If** the kind specified is notation declaration, **then** the property is the {notation declarations}.

The component resolved to is the entry in the table whose {name} matches the local name of the pair and whose {target namespace} is identical to the namespace name of the pair.

4 Schemas and Namespaces: Access and Composition

This chapter defines the mechanisms by which this specification establishes the necessary precondition for `assessment`, namely access to one or more schemas. This chapter also sets out in detail the relationship between schemas and namespaces, as well as mechanisms for modularization of schemas, including provision for incorporating

definitions and declarations from one schema in another, possibly with modifications.

[Conformance \(§2.4\)](#) describes three levels of conformance for schema processors, and [Schemas and Schema-validity Assessment \(§5\)](#) provides a formal definition of ·assessment·. This section sets out in detail the 3-layer architecture implied by the three conformance levels. The layers are:

1. The ·assessment· core, relating schema components and instance information items;
2. Schema representation: the connections between XML representations and schema components, including the relationships between namespaces and schema components;
3. XSD web-interoperability guidelines: instance->schema and schema->schema connections for the WWW.

Layer 1 specifies the manner in which a schema composed of schema components can be applied to in the ·assessment· of an instance element information item. Layer 2 specifies the use of <schema> elements in XML documents as the standard XML representation for schema information in a broad range of computer systems and execution environments. To support interoperation over the World Wide Web in particular, layer 3 provides a set of conventions for schema reference on the Web. Additional details on each of the three layers is provided in the sections below.

4.1 Layer 1: Summary of the Schema-validity Assessment Core

The fundamental purpose of the ·assessment· core is to define ·assessment· for a single element information item and its descendants with respect to a complex type definition. All processors are required to implement this core predicate in a manner which conforms exactly to this specification.

·Assessment· is defined with reference to an ·XSD schema· (note *not* a ·schema document·).

As specified above, each schema component is associated directly or indirectly with a target namespace, or explicitly with no namespace. In the case of multi-namespace documents, components for more than one target namespace will co-exist in a schema.

Processors have the option to assemble (and perhaps to optimize or pre-compile) the entire schema prior to the start of an ·assessment· episode, or to gather the schema lazily as individual components are required. In all cases it is required that:

- The processor succeed in locating the ·schema components· transitively required to complete an ·assessment· (note that components derived from ·schema documents· can be integrated with components obtained through other means);
- no definition or declaration changes once it has been established;
- if the processor chooses to acquire declarations and definitions dynamically, that there be no side effects of such dynamic acquisition that would cause the results of

·assessment· to differ from that which would have been obtained from the same schema components acquired in bulk.

Note: the ·assessment· core is defined in terms of schema components at the abstract level, and no mention is made of the schema definition syntax (i.e. <schema>). Although many processors will acquire schemas in this format, others MAY operate on compiled representations, on a programmatic representation as exposed in some programming language, etc.

The obligation of a schema-aware processor as far as the ·assessment· core is concerned is to implement one or more of the options for ·assessment· given below in [Assessing Schema-Validity \(§5.2\)](#). Neither the choice of element information item for that ·assessment·, nor which of the means of initiating ·assessment· are used, is within the scope of this specification.

Although ·assessment· is defined recursively, it is also intended to be implementable in streaming processors. Such processors MAY choose to incrementally assemble the schema during processing in response, for example, to encountering new namespaces. The implication of the invariants expressed above is that such incremental assembly MUST result in an ·assessment· outcome that is the *same* as would be given if ·assessment· was undertaken again with the final, fully assembled schema.

4.2 Layer 2: Schema Documents, Namespaces and Composition

4.2.1 [Conditional inclusion](#)

4.2.2 [Assembling a schema for a single target namespace from multiple schema definition documents \(<include>\)](#)

4.2.3 [Including modified component definitions \(<redefine>\)](#)

4.2.4 [Overriding component definitions \(<override>\)](#)

4.2.5 [References to schema components across namespaces \(<import>\)](#)

4.2.5.1 [Licensing References to Components Across Namespaces](#)

4.2.5.2 [Providing Hints for Schema Document Locations](#)

The sub-sections of [Schema Component Details \(§3\)](#) define an XML representation for type definitions and element declarations and so on, specifying their target namespace and collecting them into schema documents. The two following sections relate to assembling a complete schema for ·assessment· from multiple sources. They should *not* be understood as a form of text substitution, but rather as providing mechanisms for distributed definition of schema components, with appropriate schema-specific semantics.

Note: The core ·assessment· architecture requires that a complete schema with all the necessary declarations and definitions be available. This will sometimes involve resolving both instance → schema and schema-document → schema references. As observed earlier in [Conformance \(§2.4\)](#), the precise mechanisms for resolving such references are expected to evolve over time. In support of such evolution, this specification observes the design principle that references from one schema document to a schema use mechanisms that directly parallel those used to reference a schema from an instance document.

Note: In the sections below, "schemaLocation" really belongs at layer 3. For convenience, it is documented with the layer 2 mechanisms of import and include, with which it is closely associated.

4.2.1 Conditional inclusion

Whenever a conforming XSD processor reads a `·schema document·` in order to include the components defined in it in a schema, it first performs on the schema document the pre-processing described in this section.

Every element in the `·schema document·` is examined to see whether any of the attributes `vc:minVersion`, `vc:maxVersion`, `vc:typeAvailable`, `vc:typeUnavailable`, `vc:facetAvailable`, or `vc:facetUnavailable` appear among its [attributes].

Where they appear, the attributes `vc:minVersion` and `vc:maxVersion` are treated as if declared with type `xs:decimal`, and their `·actual values·` are compared to a decimal value representing the version of XSD supported by the processor (here represented as a variable V). For processors conforming to this version of this specification, the value of V is 1.1.

If V is less than the value of `vc:minVersion`, or if V is greater than or equal to the value of `vc:maxVersion`, then the element on which the attribute appears is to be ignored, along with all its attributes and descendants. The effect is that portions of the schema document marked with `vc:minVersion` and/or `vc:maxVersion` are retained if $vc:minVersion \leq V < vc:maxVersion$.

Where they appear, the attributes `vc:typeAvailable` and `vc:typeUnavailable` are treated as if declared with type `list of xs:QName`, and the items in their `·actual values·` are checked to see whether they name types `·automatically known·` to the processor. The attributes `vc:facetAvailable` and `vc:facetUnavailable` are similarly typed, and checked to see if they name facets supported by the processor.

If an element in a schema document has any of the following:

1. `vc:typeAvailable = T`, where any item in the `·actual value·` T is *not* the [expanded name](#) of some type definition `·automatically known·` to the processor
2. `vc:typeUnavailable = T`, where every item in the `·actual value·` T is the [expanded name](#) of some type definition `·automatically known·` to and supported by the processor
3. `vc:facetAvailable = F`, where any item in the `·actual value·` F is not the [expanded name](#) of some facet known to and supported by the processor
4. `vc:facetUnavailable = F`, where every item in the `·actual value·` F is the [expanded name](#) of some facet known to and supported by the processor

then the element on which the attribute appears is to be ignored, along with all its attributes and descendants.

Note: It is expected that `vc:typeAvailable` etc. will be most useful in testing for `·implementation-defined·` primitive datatypes and facets, or for derived types for which the processor supplies a definition automatically. The rules just given do not, however, attempt to restrict their use to such tests. If the `vc:typeAvailable` attribute is used with the [expanded name](#) associated with one of the built-in primitive datatypes,

the datatype will (in a conforming processor) always be available, so the test is unlikely to filter out any elements, ever, from the schema document. But such a usage is not in itself an error.

Note: The [expanded names](#) of the built-in datatypes are as specified in [\[XML Schema: Datatypes\]](#); the [expanded name](#) of any `·implementation-defined·` datatype is required by [\[XML Schema: Datatypes\]](#) to be specified by the implementation.

Note: The [expanded names](#) of the facets (built-in or `·implementation-defined·`) are the [expanded names](#) of the elements used in XSD schema documents to apply the facets, e.g. `xs:pattern` for the *pattern* facet.

Note: It is a consequence of the rules given above that if the `·actual value·` of `vc:typeAvailable` is the empty list (i.e. `vc:typeAvailable=""`), then the corresponding element is *not* ignored. (It does not list any type that is not available.) Conversely, if the `·actual value·` of `vc:typeUnavailable` is the empty list, then the corresponding element is ignored. Similar results hold for `vc:facetAvailable` and `vc:facetUnavailable`.

The pre-processing of a schema document **S1** results in a second schema document **S2**, identical to **S1** except that all elements and attributes in **S1** which are to be ignored are absent from **S2**. If the `<schema>` element information item in **S1** is to be ignored, then **S2** is identical to **S1** except that any attributes other than `targetNamespace`, `vc:minVersion` OR `vc:maxVersion` are removed from its [attributes], and its [children] is the empty sequence. It is **S2**, not **S1**, which is required to conform to this specification.

Note: If **S1** contains no elements or attributes to be ignored, then **S1** and **S2** are identical.

Except where conditional-inclusion pre-processing is explicitly mentioned, references to `·schema documents·` elsewhere in this specification invariably refer to the result of the pre-processing step described here, not to its input, which need not, and in the general case will not, always conform to the rules for schema documents laid out in this specification.

Example

Suppose some future version of XSD (say, version 3.2) introduces a new form of element declaration. A schema author might wish to exploit that new form of declaration if possible, but wish also to ensure that the schema document can be handled successfully by a processor written for XSD 1.1. In such a case, a schema document of the following form would be handled correctly by a conforming XSD 1.1 processor:

```
<xs:schema
  xmlns:xsd="http://www.w3.org/2001/XMLSchema"
  xmlns:vc="http://www.w3.org/2007/XMLSchema-versioning">

  <xs:element name="e" vc:minVersion="3.2">
    <!--* declaration suitable for 3.2
      * and later processors *-->
  </xs:element>
  <xs:element name="e"
    vc:minVersion="1.1"
    vc:maxVersion="3.2">
```

```

    <!--* declaration suitable for processors
        * supporting versions 1.1 through versions
        * up to (but not including) 3.2
    *-->
  </xs:element>
  ...
</xs:schema>

```

Even though the schema document as shown has two element declarations for element `e` and thus violates clause [2](#) of constraint [Schema Properties Correct \(§3.17.6.1\)](#), the pre-processing step described in this section filters out the first element declaration, making it possible for the resulting schema document to be valid and to conform to this specification.

Note that the semantics of the `vc:maxVersion` attribute is "exclusive". This makes it easier for schema authors to use this feature without leaving gaps in the numeric ranges used to select version numbers.

Suppose that a processor supports an `implementation-defined` primitive named `xpath_expression` in namespace `"http://example.org/extension_types"`, and is presented with the following schema document:

```

<xs:schema
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:vc="http://www.w3.org/2007/XMLSchema-versioning"
  xmlns:tns="http://example.org/extension_types"
  targetNamespace="http://example.org/extension_types" >

  <xs:element vc:typeAvailable="tns:xpath_expression"
    name="e" type="tns:xpath_expression" />
  <xs:element vc:typeUnavailable="tns:xpath_expression"
    name="e" type="string" />
</xs:schema>

```

The effect of conditional inclusion is to include the first declaration for `e` and omit the second, so that the effective schema document, after pre-processing for conditional inclusion, is:

```

<xs:schema
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:vc="http://www.w3.org/2007/XMLSchema-versioning"
  xmlns:tns="http://example.org/extension_types"
  targetNamespace="http://example.org/extension_types" >

  <xs:element vc:typeAvailable="tns:xpath_expression"
    name="e" type="tns:xpath_expression" />
</xs:schema>

```

A processor which does not support type `"tns:xpath_expression"`, by contrast, will use the other declaration for `e`: type in the namespace in question

```

<xs:schema
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:vc="http://www.w3.org/2007/XMLSchema-versioning"
  xmlns:tns="http://example.org/extension_types"
  targetNamespace="http://example.org/extension_types" >

  <xs:element vc:typeUnavailable="tns:xpath_expression"
    name="e" type="string" />

```

```
</xs:schema>
```

Schema Representation Constraint: Conditional Inclusion Constraints

Whenever the attribute `vc:minVersion` or `vc:maxVersion` appears on an element information item in a `·schema document·`, its `·initial value·` MUST be locally `·valid·` with respect to `xs:decimal` as per [String Valid \(§3.16.4\)](#).

Whenever any of the attributes `vc:typeAvailable`, `vc:typeUnavailable`, `vc:facetAvailable`, or `vc:facetUnavailable`, appears on an element information item in a `·schema document·`, its `·initial value·` MUST be locally `·valid·` with respect to a simple type definition with `{variety} = list` and `{item type definition} = xs:QName`, as per [String Valid \(§3.16.4\)](#).

Any attribute from the `vc:` namespace that appears on an element information item in a `·schema document·` SHOULD be one of the attributes described elsewhere in this document (i.e. one of `vc:minVersion`, `vc:maxVersion`, `vc:typeAvailable`, `vc:typeUnavailable`, `vc:facetAvailable`, or `vc:facetUnavailable`).

Note: Processors are encouraged to issue warnings about `vc:` attributes other than those named, but it is not an error for such attributes to appear in a `·schema document·`. The rule just given is formulated with a "SHOULD" and not a "MUST" in order to preserve the ability of future versions of this specification to add new attributes to the schema-versioning namespace.

4.2.2 Assembling a schema for a single target namespace from multiple schema definition documents (`<include>`)

Schema components for a single target namespace can be assembled from several `·schema documents·`, that is several `<schema>` element information items:

XML Representation Summary: `include` Element Information Item

```
<include
  id = ID
  schemaLocation = anyURI
  {any attributes with non-schema namespace . . .}>
  Content: (annotation?)
</include>
```

A `<schema>` information item MAY contain any number of `<include>` elements. Their `schemaLocation` attributes, consisting of a URI reference, identify other `·schema documents·`, that is `<schema>` information items.

If two `<include>` elements specify the same schema location (after resolving relative URI references) then they refer to the same schema document. If they specify different schema locations, then they refer to different schema documents, unless the implementation is able to determine that the two URIs are references to the same resource.

The `·XSD schema·` corresponding to `<schema>` contains not only the components

corresponding to its definition and declaration [children], but also all the components of all the XSD schemas corresponding to any <include>d schema documents. Such included schema documents MUST either (a) have the same `targetNamespace` as the <include>ing schema document, or (b) no `targetNamespace` at all, in which case the <include>d schema document is converted to the <include>ing schema document's `targetNamespace`

Schema Representation Constraint: Inclusion Constraints and Semantics

In addition to the conditions imposed on <include> element information items by the schema for schema documents, **all** of the following also apply:

- 1 If the `actual value` of the `schemaLocation` [attribute] successfully resolves **one or more** of the following is true:
 - 1.1 It resolves to (a fragment of) a resource which is an XML document (of type `application/xml` or `text/xml` with an XML declaration for preference, but this is not required), which in turn corresponds to a <schema> element information item in a well-formed information set.
 - 1.2 It resolves to a <schema> element information item in a well-formed information set.In either case call the <include>d <schema> item **D2** and the <include>ing item's parent <schema> item **D1**.
- 2 **One** of the following MUST be true:
 - 2.1 **D2** has a `targetNamespace` [attribute], and its `actual value` is identical to the `actual value` of the `targetNamespace` [attribute] of **D1** (which MUST have such an [attribute]).
 - 2.2 Neither **D2** nor **D1** have a `targetNamespace` [attribute].
 - 2.3 **D2** has no `targetNamespace` [attribute] (but **D1** does).
- 3 The appropriate **case** among the following MUST be true:
 - 3.1 **If** clause [2.1](#) or clause [2.2](#) above is satisfied, **then all** of the following are true:
 - 3.1.1 **D2** corresponds to a conforming schema (call it **S2**).
 - 3.1.2 The schema corresponding to **D1** includes not only definitions or declarations corresponding to the appropriate members of its own [children], but also components identical to all the `schema components` of **S2** (with the possible exception of its Schema component).
 - 3.2 **If** clause [2.3](#) above is satisfied, **then all** of the following are true:
 - 3.2.1 Let **D2'** be a <schema> information item obtained by performing on **D2** the transformation specified in [Transformation for Chameleon Inclusion \(§F.1\)](#); **D2'** corresponds to a conforming schema (call it **S2**).

Note: The transformation in [Transformation for Chameleon Inclusion \(§F.1\)](#) (a) adds a `targetNamespace` [attribute] to **D2**, whose value is the same as that of the `targetNamespace` [attribute] of **D1**, and (b) updates all unqualified QName references so that their namespace names become the `actual value` of the `targetNamespace` [attribute]. Implementations need not use the [XSLT 2.0](#) stylesheet given in [Transformation for Chameleon Inclusion \(§F.1\)](#), as long as an equivalent result is produced. In particular, different algorithms for generating a unique namespace prefix MAY be used, even if they produce different results.

- 3.2.2 The schema corresponding to **D1** includes not only definitions or declarations corresponding to the appropriate members of its own [children], but also

components identical to all the `·schema components·` of **S2** (with the possible exception of its Schema component).

Note: The above rule applies recursively. For example, if **A** includes **B** and **B** includes **C**, where **A** has a `targetNamespace` [attribute], but neither **B** nor **C** does, then the effect is as if **A** included **B'** and **B'** included **C'**, where **B'** and **C'** are identical to **B** and **C** respectively, except that they both have a `targetNamespace` [attribute] the same as **A**'s.

Note: In this case, it is **D2'**, not **D2**, which is required by clause [3.2.1](#) to correspond to a conforming schema. In particular, it is not an error for **D2** to fail to satisfy all of the constraints governing schema documents, while it *is* an error if **D2'** fails to satisfy them.

Note: If **D2** imports the target namespace of **D1**, then the effect of clause [3.2](#) will be to cause an error owing to the violation of clause [1](#) of [Import Constraints and Semantics \(§4.2.5.2\)](#) (which forbids a schema document to import its own target namespace). Other constraint violations may also be brought about; caution is advised.

It is *not* an error for the `·actual value·` of the `schemaLocation` [attribute] to fail to resolve at all, in which case the corresponding inclusion **MUST NOT** be performed. It *is* an error for it to resolve but the rest of clause 1 above to fail to be satisfied. Failure to resolve is likely to cause less than complete `·assessment·` outcomes, of course.

As discussed in [Missing Sub-components \(§5.3\)](#), `·QName·`s in XML representations will sometimes fail to `·resolve·`, rendering components incomplete and unusable because of missing subcomponents. During schema construction, implementations **MUST** retain `·QName·` values for such references, in case an appropriately-named component becomes available to discharge the reference by the time it is actually needed. `·Absent-target namespace name·`s of such as-yet unresolved reference `·QName·`s in `<include>`d components **MUST** also be converted if clause [3.2](#) is satisfied.

Note: The above is carefully worded so that multiple `<include>`ing of the same schema document will not constitute a violation of clause [2](#) of [Schema Properties Correct \(§3.17.6.1\)](#), but applications are allowed, indeed encouraged, to avoid `<include>`ing the same schema document more than once to forestall the necessity of establishing identity component by component.

If there is a sequence of schema documents **S1, S2, ... Sn**, and a sequence of `<include>` elements **E1, E2, ... En**, such that each **S_i** contains the corresponding **E_i**, and each **E_i** (where $i < n$) points to schema document **S_{i+1}**, and **E_n** points to **S1** (i.e. if there is a cycle in the relation defined by the `<include>` element), then the same schema corresponds to all of the schema documents **S1, ... Sn** in the cycle, and it includes the same components as the schema corresponding to **S1** in the similar case where **Sn** has no `<include>` element pointing at **S1**.

Note: Informally: cycles of `<include>` elements are legal, and processors should guard against infinite loops.

4.2.3 Including modified component definitions (<redefine>)

Note: The redefinition feature described in the remainder of this section is ·deprecated· and may be removed from future versions of this specification. Schema authors are encouraged to avoid its use in cases where interoperability or compatibility with later versions of this specification are important.

Editorial Note: [Priority Feedback Request](#)

The Working Group requests feedback from readers, schema authors, implementors, and other users of this specification as to the desirability of retaining, removing, deprecating, or not deprecating the use of <redefine>. Since the <override> facility provides similar functionality but does not require a restriction or extension relation between the new and the old definitions of redefined components, the Working Group is particularly interested in learning whether users of this specification find that requirement useful or not.

In order to provide some support for evolution and versioning, it is possible to incorporate components corresponding to a schema document *with modifications*. The modifications have a pervasive impact, that is, only the redefined components are used, even when referenced from other incorporated components, whether redefined themselves or not.

XML Representation Summary: `redefine` Element Information Item

```
<redefine
  id = ID
  schemaLocation = anyURI
  {any attributes with non-schema namespace . . .}>
  Content: (annotation | (simpleType | complexType | group |
attributeGroup))*
</redefine>
```

A <schema> information item MAY contain any number of <redefine> elements. Their `schemaLocation` attributes, consisting of a URI reference, identify other ·schema documents·, that is <schema> information items.

The ·XSD schema· corresponding to <schema> contains not only the components corresponding to its definition and declaration [children], but also all the components of all the ·XSD schemas· corresponding to any <redefine>d schema documents. Such schema documents MUST either (a) have the same `targetNamespace` as the <redefine>ing schema document, or (b) no `targetNamespace` at all, in which case the <redefine>d schema document is converted to the <redefine>ing schema document's `targetNamespace`.

The definitions within the <redefine> element itself are restricted to be redefinitions of components from the <redefine>d schema document, *in terms of themselves*. That is,

- Type definitions MUST use themselves as their base type definition;
- Attribute group definitions and model group definitions MUST be supersets or subsets of their original definitions, either by including exactly one reference to themselves or by containing only (possibly restricted) components which appear in a corresponding

way in their <redefine>d selves.

Not all the components of the <redefine>d schema document need be redefined.

This mechanism is intended to provide a declarative and modular approach to schema modification, with functionality no different except in scope from what would be achieved by wholesale text copying and redefinition by editing. In particular redefining a type is not guaranteed to be side-effect free: it can have unexpected impacts on other type definitions which are based on the redefined one, even to the extent that some such definitions become ill-formed.

Note: The pervasive impact of redefinition reinforces the need for implementations to adopt some form of lazy or 'just-in-time' approach to component construction, which is also called for in order to avoid inappropriate dependencies on the order in which definitions and references appear in (collections of) schema documents.

Example

```
v1.xsd:
<xs:complexType name="personName">
  <xs:sequence>
    <xs:element name="title" minOccurs="0"/>
    <xs:element name="forename" minOccurs="0" maxOccurs="unbounded"/>
  </xs:sequence>
</xs:complexType>

<xs:element name="addressee" type="personName"/>

v2.xsd:
<xs:redefine schemaLocation="v1.xsd">
  <xs:complexType name="personName">
    <xs:complexContent>
      <xs:extension base="personName">
        <xs:sequence>
          <xs:element name="generation" minOccurs="0"/>
        </xs:sequence>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:redefine>

<xs:element name="author" type="personName"/>
```

The schema corresponding to `v2.xsd` has everything specified by `v1.xsd`, with the `personName` type redefined, as well as everything it specifies itself. According to this schema, elements constrained by the `personName` type MAY end with a `generation` element. This includes not only the `author` element, but also the `addressee` element.

Schema Representation Constraint: Redefinition Constraints and Semantics

In addition to the conditions imposed on <redefine> element information items by the schema for schema documents **all** of the following also apply:

- 1 If there are any element information items among the [children] other than <annotation> then the 'actual value' of the `schemaLocation` [attribute] MUST successfully resolve.

- 2 If the *actual value* of the `schemaLocation` [attribute] successfully resolves **one or more** of the following is true:
 - 2.1 it resolves to (a fragment of) a resource which is an XML document (see clause [1.1](#) of [Inclusion Constraints and Semantics \(§4.2.2\)](#)), which in turn corresponds to a `<schema>` element information item in a well-formed information set.
 - 2.2 It resolves to a `<schema>` element information item in a well-formed information set.

In either case call the `<redefine>d <schema>` item **D2** and the `<redefine>`ing item's parent `<schema>` item **D1**.
- 3 **One** of the following **MUST** be true:
 - 3.1 **D2** has a `targetNamespace` [attribute], and its *actual value* is identical to the *actual value* of the `targetNamespace` [attribute] of **D1** (which **MUST** have such an [attribute]).
 - 3.2 Neither **D2** nor **D1** have a `targetNamespace` [attribute].
 - 3.3 **D2** has no `targetNamespace` [attribute] (but **D1** does).
- 4 The appropriate **case** among the following **MUST** be true:
 - 4.1 **If** clause [3.1](#) or clause [3.2](#) above is satisfied, **then**
 - 4.1.1 **D2** corresponds to a conforming schema (call it **S2**).
 - 4.1.2 The schema corresponding to **D1** includes not only definitions or declarations corresponding to the appropriate members of its own [children], but also components identical to all the *schema components* of **S2**, with the exception of those explicitly redefined (see [Individual Component Redefinition \(§4.2.3\)](#) below and with the possible exception of the Schema component of **S2**)).
 - 4.2 **If** clause [3.3](#) above is satisfied, **then**
 - 4.2.1 Let **D2'** be a `<schema>` information item obtained by performing on **D2** the transformation specified in [Transformation for Chameleon Inclusion \(§F.1\)](#); **D2'** corresponds to a conforming schema (call it **S2**).
 - 4.2.2 The schema corresponding to **D1** includes not only definitions or declarations corresponding to the appropriate members of its own [children], but also components identical to all the *schema components* of **S2**, with the exception of those explicitly redefined (see [Individual Component Redefinition \(§4.2.3\)](#) below).

Note: In this case, it is **D2'** and not **D2**, which is required by clause [4.2.1](#) to correspond to a conforming schema. In particular, it is not an error for **D2** to fail to satisfy all of the constraints governing schema documents, while it *is* an error if **D2'** fails to satisfy them.
- 5 Within the [children], each `<simpleType>` **MUST** have a `<restriction>` among its [children] and each `<complexType>` **MUST** have a `restriction` or `extension` among its grand-[children] the *actual value* of whose `base` [attribute] **MUST** be the same as the *actual value* of its own `name` attribute plus target namespace;
- 6 Within the [children], for each `<group>` the appropriate **case** among the following **MUST** be true:
 - 6.1 **If** it has a `<group>` among its contents at some level the *actual value* of whose `ref` [attribute] is the same as the *actual value* of its own `name` attribute plus target namespace and that `<group>` does not have an `<element>` ancestor, **then all** of the following are true:
 - 6.1.1 It has exactly one such group.
 - 6.1.2 The *actual value* of both that group's `minOccurs` and `maxOccurs` [attribute] is 1 (or *absent*).

- 6.2 If it has no such self-reference, **then all** of the following are true:
- 6.2.1 The `·actual value·` of its own `name` attribute plus target namespace successfully `·resolves·` to a model group definition in **S2**.
 - 6.2.2 The {model group} of the model group definition which corresponds to it per [XML Representation of Model Group Definition Schema Components \(§3.7.2\)](#) accepts a subset of the element sequences accepted by that model group definition in **S2**.
- 7 Within the [children], for each <attributeGroup> the appropriate **case** among the following **MUST** be true:
- 7.1 If it has an <attributeGroup> among its contents the `·actual value·` of whose `ref` [attribute] is the same as the `·actual value·` of its own `name` attribute plus target namespace, **then** it has exactly one such group.
 - 7.2 If it has no such self-reference, **then all** of the following are true:
 - 7.2.1 The `·actual value·` of its own `name` attribute plus target namespace successfully `·resolves·` to an attribute group definition in **S2**.
 - 7.2.2 The {attribute uses} and {attribute wildcard} of the attribute group definition which corresponds to it per [XML Representation of Attribute Group Definition Schema Components \(§3.6.2\)](#) viewed as the {attribute uses} and {attribute wildcard} of a Complex Type Definition and the {attribute uses} and {attribute wildcard} of that attribute group definition in **S2** viewed as the {attribute uses} and {attribute wildcard} of the {base type definition} satisfy clause [3](#) of [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#).

Note: An attribute group restrictively redefined per clause [7.2](#) corresponds to an attribute group whose {attribute uses} consist all and only of those attribute uses corresponding to <attribute>s explicitly present among the [children] of the <redefine>ing <attributeGroup>. No inheritance from the <redefine>d attribute group occurs. Its {attribute wildcard} is similarly based purely on an explicit <anyAttribute>, if present.

Schema Representation Constraint: Individual Component Redefinition

Corresponding to each non-<annotation> member of the [children] of a <redefine> there are one or two schema components in the <redefine>ing schema:

- 1 The <simpleType> and <complexType> [children] information items each correspond to two components:
 - 1.1 One component which corresponds to the top-level definition item with the same `name` in the <redefine>d schema document, as defined in [Schema Component Details \(§3\)](#), except that its {name} is `·absent·` and its {context} is the redefining component, as defined in clause [1.2](#) below;
 - 1.2 One component which corresponds to the information item itself, as defined in [Schema Component Details \(§3\)](#), except that its {base type definition} is the component defined in clause [1.1](#) above.

This pairing ensures the coherence constraints on type definitions are respected, while at the same time achieving the desired effect, namely that references to names of redefined components in both the <redefine>ing and <redefine>d schema documents `·resolve·` to the redefined component as specified in 1.2 above.

- 2 The <group> and <attributeGroup> [children] each correspond to a single component,

as defined in [Schema Component Details \(§3\)](#), except that if and when a self-reference based on a `ref` [attribute] whose `actualValue` is the same as the item's `name` plus target namespace is `resolved`, a component which corresponds to the top-level definition item of that name and the appropriate kind in **S2** is used.

In all cases there **MUST** be a top-level definition item of the appropriate name and kind in the `<redefine>`d schema document.

Note: The above is carefully worded so that multiple equivalent `<redefine>`ing of the same schema document will not constitute a violation of clause 2 of [Schema Properties Correct \(§3.17.6.1\)](#), but applications are allowed, indeed encouraged, to avoid `<redefine>`ing the same schema document in the same way more than once to forestall the necessity of establishing identity component by component (although this will have to be done for the individual redefinitions themselves).

4.2.4 Overriding component definitions (`<override>`)

The `<redefine>` construct defined in [Including modified component definitions \(<redefine> \(§4.2.3\)\)](#) is useful in schema evolution and versioning, when it is desirable to have some guaranteed restriction or extension relation between the old component and the redefined component. But there are occasions when the schema author simply wants to replace old components with new ones without any constraint. Also, existing XSD processors have implemented conflicting and non-interoperable interpretations of `<redefine>`, and the `<redefine>` construct is `deprecated`. The `<override>` construct defined in this section allows such unconstrained replacement.

Note: The name of the `<override>` element has nothing to do with the use of the term "override" to denote the relation between an `instance-specified type definition` and another type. The two mechanisms are distinct and unrelated.

XML Representation Summary: `override` Element Information Item

```
<override
  id = ID
  schemaLocation = anyURI
  {any attributes with non-schema namespace . . .}>
  Content: (annotation | (simpleType | complexType | group | attributeGroup
| element | attribute | notation))*
</override>
```

A `<schema>` information item **MAY** contain any number of `<override>` elements. Their `schemaLocation` attributes, consisting of a URI reference, identify ("point to") other `schema documents`, that is `<schema>` information items.

The `XSD schema` corresponding to `<schema>` contains not only the components corresponding to its definition and declaration [children], but also all the components mapped to by the (possibly modified) source declarations in any overridden schema documents (after the modifications described below). Overridden schema documents **MUST** either (a) have the same `targetNamespace` as the overriding schema document, or (b) no `targetNamespace` at all, in which case the overridden schema document is converted to the overriding schema document's `targetNamespace`.

The children of the <override> element MAY override any source declarations for ·named· components which appear among the [children] of the <schema>, <redefine>, or <override> elements in the ·target set· of the <override> element information item..

[Definition:] The **target set** of an <override> element information item **E** contains **all** of the following:

- 1 The schema document identified by the `schemaLocation` attribute of **E**.
 - 2 The schema document identified by the `schemaLocation` attribute of any <override> element information item in a schema document contained in the ·target set· of **E**.
 - 3 The schema document identified by the `schemaLocation` attribute of any <include> element information item in a schema document contained in the ·target set· of **E**.
- The **target set** of **E** contains no other schema documents.

Note: The ·target set· of an <override> element is the transitive closure of the union of the inclusion relation (which contains the pair (**S1**, **S2**) if and only if **S1** contains an <include> element pointing to **S2**) and the override relation (which contains the pair (**S1**, **S2**) if and only if **S1** contains an <override> element pointing to **S2**). It does not include schema documents which are pointed to by <import> or <redefine> elements, unless they are also pointed to by <include> or <override> elements in the relevant schema documents.

Source declarations not present in the target set of **E** cannot be overridden, even if they are present in other schema documents consulted in the creation of the schema (e.g. in schema documents pointed to by a <redefine> element).

Note: It is *not* forbidden for the schema document **D** containing an <override> element **E** to be in the ·target set· of **E**.

If applying the override transformation specified in [Transformation for `xs:override` \(§F.2\)](#) to **D** and **E** results in a schema document equivalent to **D** (e.g. when none of the [children] of **D**, or of any <redefine> and <override> elements in **D** match any of the [children] of **E**, except for the [children] of **E** themselves), then the effect is the same as for a cyclic set of <include> references, or as for multiple inclusions of the same document (as described in the note at the end of [Assembling a schema for a single target namespace from multiple schema definition documents \(<include>\) \(§4.2.2\)](#)).

If applying the override transformation to **D** and **E** changes any of the XML representations of components, then the effect of **D** being in the ·target set· of **E** is the same as if two different schema documents containing conflicting definitions for the same components were included. ("As if" is inexact; in this case what happens is, precisely, that two schema documents with conflicting contents are included.)

The definitions within the <override> element itself are *not* required to be similar in any way to the source declarations being overridden. Not all the source declarations of the overridden schema document need be overridden.

As this mechanism is very similar to <redefine>, many similar kinds of caution need to be taken in using <override>. Please refer to [Including modified component definitions \(<redefine>\) \(§4.2.3\)](#) for details.

Example

```
v1.xsd:
<xs:complexType name="personName">
  <xs:sequence>
    <xs:element name="firstName"/>
    <xs:element name="lastName"/>
  </xs:sequence>
</xs:complexType>

<xs:element name="addressee" type="personName"/>

v2.xsd:
<xs:override schemaLocation="v1.xsd">
  <xs:complexType name="personName">
    <xs:sequence>
      <xs:element name="givenName"/>
      <xs:element name="surname"/>
    </xs:sequence>
  </xs:complexType>
</xs:override>

<xs:element name="author" type="personName"/>
```

The schema corresponding to `v1.xsd` has a complex type named `personName` with a sequence of `firstName` and `lastName` children. The schema corresponding to `v2.xsd` overrides `personName`, by providing a different sequence of element children. All elements with the `personName` type are now constrained to have the sequence of `givenName` and `surname`. This includes not only the `author` element, but also the `addressee` element.

Schema Representation Constraint: Override Constraints and Semantics

In addition to the conditions imposed on `<override>` element information items by the schema for schema documents **all** of the following also apply:

- 1 If the `·actual value·` of the `schemaLocation` [attribute] successfully resolves **one or more** of the following is true:
 - 1.1 It resolves to (a fragment of) a resource which is an XML document (see clause [1.1](#) of [Inclusion Constraints and Semantics \(§4.2.2\)](#)), which in turn corresponds to a `<schema>` element information item in a well-formed information set.
 - 1.2 It resolves to a `<schema>` element information item in a well-formed information set.In either case call the overridden `<schema>` item **D2** and the overriding item's parent `<schema>` item **D1**.
- 2 **One** of the following **MUST** be true:
 - 2.1 **D2** has a `targetNamespace` [attribute], and its `·actual value·` is identical to the `·actual value·` of the `targetNamespace` [attribute] of **D1** (which **MUST** have such an [attribute]).
 - 2.2 Neither **D2** nor **D1** have a `targetNamespace` [attribute].
 - 2.3 **D2** has no `targetNamespace` [attribute] (but **D1** does).
- 3 The appropriate **case** among the following **MUST** be true:
 - 3.1 If clause [2.1](#) or clause [2.2](#) above is satisfied, **then**
 - 3.1.1 Let **D2'** be a `<schema>` information item obtained by performing on **D2** the

transformation specified in [Transformation for `xs:override` \(§F.2\)](#). Then **D2'** corresponds to a conforming schema (call it **S2**).

- 3.1.2 The `<override>` element in schema document **D1** pointing to **D2** is replaced by an `<include>` element pointing to **D2'** and the inclusion is handled as described in [Assembling a schema for a single target namespace from multiple schema definition documents \(`<include>`\) \(§4.2.2\)](#).

Note: It is not necessary to perform a literal replacement of the `<override>` element in **D1** with an `<include>` element; any implementation technique can be used as long as it produces the required result.

Note: One effect of the rule just given is that the schema corresponding to **D1** includes not only definitions or declarations corresponding to the appropriate members of its own [children], but also components identical to all the `·schema components·` of **S2** (with the possible exception of the Schema component of **S2**).

Note: Another effect is that if schema document **A** contains a source declaration for a component **E**, and schema document **B** overrides **A** with its own declaration for **E**, and schema document **C** in turn overrides **B** with a third declaration for **E**, then

- 3.1.2.1 First, the override of **B** by **C** is handled. The resulting schema document still contains an `<override>` element referring to **C**, but the declaration for **E** contained in it has been replaced by that specified in **C**.
- 3.1.2.2 Then, the override of **A** by (the modified version of) **B** is handled.
- 3.1.2.3 The resulting version of **A**, containing the declaration for **E** originally present in **C**, is included by the modified version of **B**, which is itself included by **C**.
- 3.1.2.4 The resulting schema contains the version of **E** originally specified in schema document **C**.
- (The references to "first" and "next" here refer to the logical precedence of operations, not to a required order in which implementations are required to perform particular tasks.)

3.2 If clause [2.3](#) above is satisfied, then

- 3.2.1 Let **D2'** be a `<schema>` information item obtained by performing on **D2** first the transformation specified in [Transformation for Chameleon Inclusion \(§F.1\)](#) and then the transformation specified in [Transformation for `xs:override` \(§F.2\)](#). Then **D2'** corresponds to a conforming schema (call it **S2**).
- 3.2.2 The `<override>` element in schema document **D1** pointing to **D2** is replaced by an `<include>` element pointing to **D2'** and the inclusion is handled as described in [Assembling a schema for a single target namespace from multiple schema definition documents \(`<include>`\) \(§4.2.2\)](#).

Note: The effect of applying the stylesheet in [Transformation for `xs:override` \(§F.2\)](#) is to make **D2'** identical to **D2** except that some elements in **D2** are replaced or modified, as described in [Transformation for `xs:override` \(§F.2\)](#). Implementations do not have to use [XSLT 2.0](#) transformation, as long as the same result is produced.

Note: It is **D2'** and not **D2**, which is required to correspond to a conforming schema. In particular, it is not an error for **D2** to fail to satisfy all of the constraints governing

schema documents, while it *is* an error if **D2'** fails to satisfy them.

Note: In `<redefine>`, components are allowed or required to refer to themselves. There is no similar special treatment in `<override>`. Overriding components are constructed as if the overridden components had never existed.

Note: The above is carefully worded so that multiple equivalent overrides of the same schema document will not constitute a violation of clause 2 of [Schema Properties Correct \(§3.17.6.1\)](#), but applications are allowed, indeed encouraged, to avoid overriding the same schema document in the same way more than once to forestall the necessity of establishing identity component by component.

Note: It is a consequence of the semantics of inclusion, as defined in [Inclusion Constraints and Semantics \(§4.2.2\)](#) (in particular clause 3.1.2 and clause 3.2.2); redefinition, as defined in [Including modified component definitions \(<redefine> \(§4.2.3\)](#)); import, as defined in [References to schema components across namespaces \(<import>\) \(§4.2.5\)](#); and overriding, as defined in this section, that if the same schema document is both (a) included, imported, or redefined, and (b) non-vacuously overridden, or if the same schema document overridden twice in different ways, then the resulting schema will have duplicate and conflicting versions of some components and will not be conforming, just as if two different schema documents had been included, with different declarations for the same `·named·` components.

4.2.5 References to schema components across namespaces (`<import>`)

As described in [XSD Abstract Data Model \(§2.2\)](#), every top-level schema component is associated with a target namespace (or, explicitly, with none). Furthermore, each schema document carries on its `<schema>` element at most one `targetNamespace` attribute associating that document with a target namespace. This section sets out the syntax and mechanisms by which references MAY be made from within a `·schema document·` to components not within that document's target namespace. Also included within the same syntax is an optional facility for suggesting the URI of a `·schema document·` containing definitions and declarations for components from the foreign target namespace.

Note: Some users of version 1.0 of this specification have mistakenly assumed that the primary purpose of the `<import>` is to cause retrieval of a resource identified by the `schemaLocation` attribute. Although the function of `<import>` is unchanged in this version, the presentation below has been reorganized to clarify the two separate purposes served by `<import>`, namely (1) to license references, within a schema document, to components in the imported namespace, and (2) to provide information about the location of schema documents for imported namespaces.

XML Representation Summary: `import` Element Information Item

```
<import
  id = ID
  namespace = anyURI
  schemaLocation = anyURI
  {any attributes with non-schema namespace . . .}>
Content: (annotation?)
```

```
</import>
```

The `<import>` element information item identifies namespaces used in external references, i.e. those whose `·QName·` identifies them as coming from a different namespace (or none) than the enclosing schema document's `targetNamespace`.

4.2.5.1 Licensing References to Components Across Namespaces

At least two conditions must be satisfied for a reference to be made to a foreign component: (1) there must be a means of addressing such foreign components, and (2) there must be a signal to schema-aware processors that a schema document contains such references. The namespace mechanisms defined by [\[XML Namespaces 1.1\]](#) satisfy the first requirement by allowing foreign components to be addressed. (How those components are located is governed by the processor's strategies for locating schema components in a given namespace, in which the `schemaLocation` attribute on the `<import>` element can play a role; see also [Terminology of schema construction \(§C.2\)](#).) The `<import>` element information item serves to satisfy the second requirement, by identifying namespaces used in external component references, i.e. those whose `·QName·` identifies them as coming from a namespace different from that of the enclosing schema document's `targetNamespace`. By contrast, a namespace used for other purposes in a schema document need not be imported.

Note: There is no need, for example, to import the namespace of a vocabulary such as XHTML for use in schema `<documentation>` elements, unless that same namespace is also used as the target namespace for component references.

If the schema document does refer to components in the XHTML namespace, then the schema document **MUST** include an element of the form

```
<xs:import namespace="http://www.w3.org/1999/xhtml"/>
```

(with the possible addition of a `schemaLocation` attribute and annotations). As just described, this explicit import makes it legitimate to refer to components in the XHTML namespace, as base type definitions, or from within content models.

No import is needed in order to use XHTML to mark up the text appearing within `<documentation>` elements, since that usage does not require the schema being constructed to include components from the XHTML namespace. (As a practical matter, this saves the processor the effort to locate a schema for the XHTML namespace.) Importing or not importing the XHTML namespace in a schema document has no effect on the validity of XHTML within `<documentation>` elements: elements in the XHTML namespace (or any other namespace) are allowed within `<appinfo>` or `<documentation>` element in the schema document, because the schema for schema documents in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#) declares the type of those elements with a lax wildcard. Also, importing the namespace affects the schema being constructed, not the schema used to validate schema documents. The latter is specified in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#).

Note: Different designs for namespace import could of course be imagined. In

particular, declaring a prefix for a namespace could automatically import that namespace.

If each use of a foreign namespace within a schema document implicitly imported that namespace into the schema being constructed, then using XHTML for documentation would automatically result in the inclusion of XHTML components in the schema described by the schema document. The same logic would also apply to any vocabulary used for documentation. Such automatic import would lead processors to expend unnecessary extra effort to find components for the documentation namespace and would in many cases result in a schema which is not the one intended or desired by the schema author.

Additionally, the requirement that the `<import>` element be used explicitly provides a modest level of redundancy that makes it easier to detect some kinds of errors in the schema document.

The `namespace` [attribute] indicates that the containing schema document MAY contain qualified references to schema components in that namespace (via one or more prefixes declared with namespace declarations in the normal way). If that attribute is absent, then the import allows unqualified reference to components with no target namespace.

It is a consequence of rules defined elsewhere that if references to components in a given namespace **N** appear in a schema document **S**, then **S** MUST contain an `<import>` element importing **N**. Otherwise, the references will fail to resolve; see clause 4 of [QName resolution \(Schema Document\) \(§3.17.6.2\)](#). References in a schema document to foreign namespaces not imported by that schema document (or otherwise accounted for by [QName resolution \(Schema Document\) \(§3.17.6.2\)](#)) are *not* "forward references" in the sense of [The Mapping between XML Representations and Components \(§3.1.3\)](#) and are *not* handled as if they referred to "missing components" in the sense of [Missing Sub-components \(§5.3\)](#).

Note that components to be imported need not be in the form of a `<schema document>` and need not in particular be declared in the particular schema document identified by a `schemaLocation` attribute; the processor is free to access or construct components using means of its own choosing, whether or not a `schemaLocation` hint is provided.

Example

The same namespace can be used both as the namespace of elements and attributes appearing in the schema document, and in the course of defining schema components in terms of foreign components. The import in this example is necessary because there is a reference to the element component `xhtml:p`. If there were no component reference, then the import would be unnecessary; no import is needed for use of a namespace in a `<documentation>` or similar schema document element or attribute name.

```
<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
           xmlns:xhtml="http://www.w3.org/1999/xhtml"
           targetNamespace="uri:mywork" xmlns:my="uri:mywork">
```

```

<xs:import namespace="http://www.w3.org/1999/xhtml"/>

<xs:annotation>
  <xs:documentation>
    <!--* The XHTML 'p' element below requires us to
       define a prefix for the XHTML namespace, but it
       does NOT require us to import the XHTML
       namespace into the schema. The use of XHTML
       (or other) markup here is allowed by the lax
       wildcard in the schema for schema documents.
    *-->
    <xhtml:p>[Some documentation for my schema]</xhtml:p>
  </xs:documentation>
</xs:annotation>

. . .

<xs:complexType name="myType">
  <xs:sequence>
    <xs:element ref="xhtml:p" minOccurs="0"/>
  </xs:sequence>
  . . .
</xs:complexType>

<xs:element name="myElt" type="my:myType"/>
</xs:schema>

```

Since component references are given as `QNames`, and since the default namespace declaration can only be used for one of the target namespace and the XSD namespace (which typically differ, except in the case of the schema for schema documents), *either* internal references to the names being defined in a schema document *or* the schema declaration and definition elements themselves will normally be explicitly qualified. This example takes the first option — most other examples in this specification have taken the second.

4.2.5.2 Providing Hints for Schema Document Locations

The `actual value` of the `schemaLocation` attribute, if present on an `<import>` element, gives a hint as to where a serialization of a `schema document` with declarations and definitions for the imported namespace (or none) can possibly be found. When no `schemaLocation` [attribute] is present, the schema author is leaving the identification of that schema to the instance, application or user, via the mechanisms described below in [Layer 3: Schema Document Access and Web-interoperability \(§4.3\)](#). When a `schemaLocation` attribute is present, it **MUST** contain a single URI reference which the schema author warrants will resolve to a serialization of a `schema document` containing component(s) in the `<import>`ed namespace.

Conformance profiles may further restrict the use of the `schemaLocation` attribute. For example, one profile might mandate that the hint be honored by the schema software, perhaps calling for a processor-dependent error should the URI fail to resolve, or mandating that the hint agree with some expected URI value; another profile might mandate that the hint not be honored, etc.

Note: Since both the `namespace` and `schemaLocation` [attribute] are optional, a bare `<import/>` information item is allowed. This simply allows unqualified reference to

foreign components with no target namespace without giving any hints as to where to find them.

Schema Representation Constraint: Import Constraints and Semantics

In addition to the conditions imposed on <import> element information items by the schema for schema documents **all** of the following also apply:

- 1 The appropriate **case** among the following **MUST** be true:
 - 1.1 **If** the `namespace` [attribute] is present, **then** its `·actual value·` does not match the `·actual value·` of the enclosing <schema>'s `targetNamespace` [attribute].
 - 1.2 **If** the `namespace` [attribute] is not present, **then** the enclosing <schema> has a `targetNamespace` [attribute]
- 2 If the application schema reference strategy succeeds using the `·actual value·`s of the `schemaLocation` and `namespace` [attributes] **one** of the following **MUST** be true:
 - 2.1 The result is (a fragment of) a resource which is an XML document (see clause [1.1](#)), which in turn corresponds to a <schema> element information item in a well-formed information set, which in turn corresponds to a conforming schema.
 - 2.2 The result is a <schema> element information item in a well-formed information set, which in turn corresponds to a conforming schema.In either case call the <schema> item **D2** and the conforming schema **S2**.
- 3 If **D2** exists, that is, clause [2.1](#) or clause [2.2](#) above were satisfied, then the appropriate **case** among the following **MUST** be true:
 - 3.1 **If** there is a `namespace` [attribute], **then** its `·actual value·` is identical to the `·actual value·` of the `targetNamespace` [attribute] of **D2**.
 - 3.2 **If** there is no `namespace` [attribute], **then** **D2** has no `targetNamespace` [attribute]

It is *not* an error for the application schema component reference strategy to fail. It *is* an error for it to succeed but the rest of clause [2](#) above to fail to be satisfied. Failure is likely to cause less than complete `·assessment·` outcomes, of course.

The `·schema components·` (that is {type definitions}, {attribute declarations}, {element declarations}, {attribute group definitions}, {model group definitions}, {notation declarations}) of a schema corresponding to a <schema> element information item with one or more <import> element information items **MUST** include not only definitions or declarations corresponding to the appropriate members of its [children], but also, for each of those <import> element information items for which clause [2](#) above is satisfied, a set of `·schema components·` identical to all the `·schema components·` of **S2** (with the possible exception of the Schema component of **S2**).

Note: The above is carefully worded so that multiple <import>ing of the same schema document will not constitute a violation of clause [2](#) of [Schema Properties Correct \(§3.17.6.1\)](#), but applications are allowed, indeed encouraged, to avoid <import>ing the same schema document more than once to forestall the necessity of establishing identity component by component. Given that the `schemaLocation` [attribute] is only a hint, it is open to applications to ignore all but the first <import> for a given namespace, regardless of the `·actual value·` of `schemaLocation`, but such a strategy risks missing useful information when new `schemaLocations` are offered.

4.3 Layer 3: Schema Document Access and Web-interopability

4.3.1 [Standards for representation of schemas and retrieval of schema documents](#)

[on the Web](#)

4.3.2 [How schema definitions are located on the Web](#)

Layers 1 and 2 provide a framework for ·assessment· and XML definition of schemas in a broad variety of environments. Over time, it is possible that a range of standards and conventions will evolve to support interoperability of XSD implementations on the World Wide Web. Layer 3 defines the minimum level of function required of all conformant processors operating on the Web: it is intended that, over time, future standards (e.g. XML Packages) for interoperability on the Web and in other environments can be introduced without the need to republish this specification.

4.3.1 Standards for representation of schemas and retrieval of schema documents on the Web

For interoperability, serialized ·schema documents·, like all other Web resources, SHOULD be identified by URI and retrieved using the standard mechanisms of the Web (e.g. http, https, etc.) Such documents on the Web MUST be part of XML documents (see clause [1.1](#)), and are represented in the standard XML schema definition form described by layer 2 (that is as <schema> element information items).

Note: there will often be times when a schema document will be a complete XML document whose document element is <schema>. There will be other occasions in which <schema> items will be contained in other documents, perhaps referenced using fragment and/or XPointer notation.

Note: The variations among server software and web site administration policies make it difficult to recommend any particular approach to retrieval requests intended to retrieve serialized ·schema documents·. An `Accept` header of `application/xml, text/xml; q=0.9, */*` is perhaps a reasonable starting point.

4.3.2 How schema definitions are located on the Web

As described in [Layer 1: Summary of the Schema-validity Assessment Core \(§4.1\)](#), processors are responsible for providing the schema components (definitions and declarations) needed for ·assessment·. This section introduces a set of conventions to facilitate interoperability for instance and schema documents retrieved and processed from the Web.

Note: As discussed above in [Layer 2: Schema Documents, Namespaces and Composition \(§4.2\)](#), other non-Web mechanisms for delivering schemas for ·assessment· exist, but are outside the scope of this specification.

Processors on the Web are free to undertake ·assessment· against arbitrary schemas in any of the ways set out in [Assessing Schema-Validity \(§5.2\)](#). However, it is useful to have a common convention for determining the schema to use. Accordingly, general-purpose schema-aware processors (i.e. those not specialized to one or a fixed set of pre-determined schemas) undertaking ·assessment· of a document on the web MUST behave as follows:

- unless directed otherwise by the user, ·assessment· is undertaken on the document

element information item of the specified document;

- unless directed otherwise by the user, the processor is required to construct a schema corresponding to a schema document whose `targetNamespace` is identical to the namespace name, if any, of the element information item on which `assessment` is undertaken.

The composition of the complete schema for use in `assessment` is discussed in [Layer 2: Schema Documents, Namespaces and Composition \(§4.2\)](#) above. The means used to locate appropriate schema document(s) are processor and application dependent, subject to the following requirements:

1. Schemas are represented on the Web in the form specified above in [Standards for representation of schemas and retrieval of schema documents on the Web \(§4.3.1\)](#);
2. The author of a document uses namespace declarations to indicate the intended interpretation of names appearing therein; it is possible but not guaranteed that a schema is retrievable via the namespace name. Accordingly whether a processor's default behavior is or is not to attempt such dereferencing, it **MUST** always provide for user-directed overriding of that default.

Note: Experience suggests that it is not in all cases safe or desirable from a performance point of view to dereference namespace names as a matter of course. User community and/or consumer/provider agreements may establish circumstances in which such dereference is a sensible default strategy: this specification allows but does not require particular communities to establish and implement such conventions. Users are always free to supply namespace names as schema location information when dereferencing *is* desired: see below.

3. On the other hand, in case a document author (human or not) created a document with a particular schema in view, and warrants that some or all of the document conforms to that schema, the `schemaLocation` and `noNamespaceSchemaLocation` [attributes] (in the XSD instance namespace, that is, `http://www.w3.org/2001/XMLSchema-instance`) (hereafter `xsi:schemaLocation` and `xsi:noNamespaceSchemaLocation`) are provided. The first records the author's warrant with pairs of URI references (one for the namespace name, and one for a hint as to the location of a schema document defining names for that namespace name). The second similarly provides a URI reference as a hint as to the location of a schema document with no `targetNamespace` [attribute].

Processors **MAY** attempt to dereference each schema document location URI in the `actual value` of such `xsi:schemaLocation` and `xsi:noNamespaceSchemaLocation` [attributes]. Schema processors **SHOULD** provide an option to control whether they do so. It is *not* an error for such an attempt to fail, but failure may cause less than complete `assessment` outcomes.

Note: Whether schema location information in the document instance should or should not be dereferenced may vary with the purpose in view.

When systems rely on an input document being schema-valid with respect to a

particular agreed-upon schema, it is important that they be able to have complete control over the choice of schema used in assessment and in particular that they be able to instruct the processor *not* to follow any `schemaLocation` hints in the input. Otherwise, the input document could circumvent the agreement and the consumer's validation of the input, by referring to an alternative schema for the same namespaces, which declares the input document schema-valid but which does not adhere to the prior agreement between the data source and the data consumer.

In other cases the purpose of assessment may be not to enforce a prior agreement between data source and consumer, but to annotate the input with type definitions and other useful information from the `post-schema-validation infoset`. In such cases it will often be better to follow the `schemaLocation` hints.

Users who need to exert control over the choice of schema can normally be expected to be aware of the requirement; conversely, users unaware of the issue will typically be those who are not relying on the use of a particular schema to enforce a specific agreement with the data source. Casual users will often benefit from a default behavior of following `schemaLocation` hints.

Useful guidance on how to present this and other questions to end users may be found in the W3C's User Agent Accessibility Guidelines [\[UAAG 1.0\]](#), [\[UAAG 2.0\]](#).

4. When schema location values (i.e. `schemaLocation` attributes on `<include>`, `<redefine>`, `<override>`, and `<import>` in schema documents, or `xsi:schemaLocation` and `xsi:noNamespaceSchemaLocation` attributes in instance documents) are dereferenced and the values are relative references, then the [base URI] of the [owner element] MUST be used to resolve the relative references.
5. According to the rules of [Layer 1: Summary of the Schema-validity Assessment Core \(§4.1\)](#), the corresponding schema MAY be lazily assembled, but is otherwise stable throughout `assessment`. Although schema location attributes can occur on any element, and can be processed incrementally as discovered, their effect is essentially global to the `assessment`. Definitions and declarations remain in effect beyond the scope of the element on which the binding is declared.

Example

Multiple schema bindings can be declared using a single attribute. For example consider a stylesheet:

```
<xsl:stylesheet xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
  xmlns:xhtml="http://www.w3.org/1999/xhtml"
  xmlns:xsi="http://www.w3.org/2001/XMLSchema-instance"
  xsi:schemaLocation="http://www.w3.org/1999/XSL/Transform
    http://www.w3.org/1999/XSL/Transform.xsd
    http://www.w3.org/1999/xhtml
    http://www.w3.org/1999/xhtml.xsd">
```

The namespace names used in `schemaLocation` can, but need not be identical to those actually qualifying the element within whose start tag it is found or its other attributes.

For example, as above, all schema location information can be declared on the document element of a document, if desired, regardless of where the namespaces are actually used.

Improved or alternative conventions for Web interoperability can be standardized in the future without reopening this specification. For example, the W3C is currently considering initiatives to standardize the packaging of resources relating to particular documents and/or namespaces: this would be an addition to the mechanisms described here for layer 3. This architecture also facilitates innovation at layer 2: for example, it would be possible in the future to define an additional standard for the representation of schema components which allowed e.g. type definitions to be specified piece by piece, rather than all at once.

5 Schemas and Schema-validity Assessment

The architecture of schema-aware processing allows for a rich characterization of XML documents: schema validity is not a binary predicate.

This specification distinguishes between errors in schema construction and structure, on the one hand, and schema validation outcomes, on the other.

5.1 Errors in Schema Construction and Structure

Before `assessment` can be attempted, a schema is required. Special-purpose applications are free to determine a schema for use in `assessment` by whatever means are appropriate, but general purpose processors SHOULD implement and document a strategy for assembling a schema, exploiting at least some if not all of the non-hard-coded methods outlined in [Terminology of schema construction \(§C.2\)](#), starting with the namespaces declared in the document whose `assessment` is being undertaken, and the `actual value`s of the `xsi:schemaLocation` and `xsi:noNamespaceSchemaLocation` [attributes] thereof, if any, along with any other information about schema identity or schema document location provided by users in application-specific ways, if any.

It is an error if a schema and all the components which are the value of any of its properties, recursively, fail to satisfy all the relevant Constraints on Schemas set out in the last section of each of the subsections of [Schema Component Details \(§3\)](#).

If a schema is derived from one or more schema documents (that is, one or more `<schema>` element information items) based on the correspondence rules set out in [Schema Component Details \(§3\)](#) and [Schemas and Namespaces: Access and Composition \(§4\)](#), two additional conditions hold; both apply to the schema document after the conditional-inclusion pre-processing described in [Conditional inclusion \(§4.2.1\)](#) is performed:

- It is an error if any such schema document would not be fully valid with respect to a schema corresponding to the [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#), that is, following schema-validation with such a schema, the `<schema>` element information items would have a [validation attempted] property with value **full** or **partial** and a [validity] property with value **valid**.

- It is an error if any such schema document is or contains any element information items which violate any of the relevant Schema Representation Constraints set out in [Schema Representation Constraints \(§B.3\)](#).

The cases described above are the only types of error which this specification defines. With respect to the processes of the checking of schema structure and the construction of schemas corresponding to schema documents, this specification imposes no restrictions on processors in the presence of errors, beyond the requirement that if there are errors in a schema, or in one or more schema documents used in constructing a schema, then a conforming processor **MUST** report the fact. However, any further operations performed in the presence of errors are outside the scope of this specification and are not *·schema-validity assessment·* as that term is defined here.

5.2 Assessing Schema-Validity

With a schema which satisfies the conditions expressed in [Errors in Schema Construction and Structure \(§5.1\)](#) above, the schema-validity of an element or attribute information item (the *·validation root·*) can be assessed. Five primary approaches to this are described and given names here; conforming processors *MAY* but are not required to provide interfaces so that they can be invoked in ways consistent with any or all of these approaches.

type-driven validation

The user or application identifies a type definition from among the type definitions of the schema. If the *·validation root·* is an element, then it is validated as described in [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) (with the stipulated type definition as the *·governing type definition·*); if it is an attribute, then it is validated with respect to that type definition as described in [String Valid \(§3.16.4\)](#).

Note: Top-level (named) types **SHOULD** be supported; support for local types is optional.

element-driven validation

The user or application identifies an element declaration from among the element declarations of the schema and the item is validated as described in [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) (with the stipulated element declaration as the *·governing·* declaration);

Note: Top-level elements **SHOULD** be supported; support for local elements is optional.

attribute-driven validation

The user or application identifies an attribute declaration from among the attribute declarations of the schema and the item is validated as described in [Schema-Validity Assessment \(Attribute\) \(§3.2.4.3\)](#) (with the stipulated attribute declaration as its *·governing·* declaration);

lax wildcard validation

The processor starts from [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) with no stipulated declaration or definition. If the `·validation root·` and the schema determine an element declaration (by the name of the element), an attribute declaration (by the name of the attribute), or a type definition (by `xsi:type`), then `·strict validation·` is performed. If they do not identify any declaration or definition, then `·lax validation·` is performed.

Note: The name for this method of invocation reflects the fact that it is analogous to the validation of an element information item which matches a ***lax*** wildcard.

strict wildcard validation

The processor starts from [Schema-Validity Assessment \(Element\) \(§3.3.4.6\)](#) with no stipulated declaration or definition. If the `·validation root·` and the schema determine an element declaration (by the name of the element), an attribute declaration (by the name of the attribute), or a type definition (via `xsi:type`), then `·strict·` validation is performed; if they do not identify any declaration or definition, then `·lax assessment·` is performed.

Note: From the point of view of schema-validity assessment and the resulting `·post-schema-validation info set·`, lax and strict wildcard validation produce the same result. The distinction is provided in order to provide two different terms to express the different expectations of the invoking process.

In typical cases strict wildcard validation will be performed when the invoking process expects the `·validation root·` to be declared and valid and will otherwise report an error to its environment. If the absence of a declaration for the `·validation root·` counts as a successful outcome of validation, then it is preferable to use lax wildcard validation instead.

The name for this method of invocation reflects the fact that it is analogous to the validation of an element information item which matches a ***strict*** wildcard.

Note: For type-, element-, and attribute-driven validation, there is no requirement that the declaration or definition identified by the user or application be a top-level component of the schema. Mechanisms for referring to other components are out of scope for this specification, but see [\[XML Schema: Component Designators\]](#).

[Definition:] The element or attribute information item at which `·assessment·` begins is called the **validation root**.

The outcome of schema-validity assessment will be manifest in the `[validation attempted]` and `[validity]` properties on the `·validation root·`, and if the `·validation root·` is an element information item then also on its `[attributes]` and `[children]`, recursively, as defined by [Assessment Outcome \(Element\) \(§3.3.5.1\)](#) and [Assessment Outcome \(Attribute\) \(§3.2.5.1\)](#). There is no requirement that input which is not schema-valid be rejected by an application. It is up to applications to decide what constitutes a successful outcome of validation.

Note that every element and attribute information item participating in the `·assessment·`

will also have a [validation context] property which refers back to the ·validation root·.

Note: This specification does not reconstruct the XML notion of *root* in either schemas or instances. Equivalent functionality is provided for at ·assessment· invocation, via [element-driven validation](#) above.

Note: This specification has nothing normative to say about multiple ·assessment· episodes. It should however be clear from the above that if a processor restarts ·assessment· with respect to a ·post-schema-validation infoset· some ·post-schema-validation infoset· contributions from the previous ·assessment· are likely to be overwritten. Restarting can nonetheless be useful, particularly at a node whose [validation attempted] property is *none*, in which case there are three obvious cases in which additional useful information could result:

- ·assessment· was not attempted because of a ·validation· failure, but declarations and/or definitions are available for at least some of the [children] or [attributes];
- ·assessment· was not attempted because a named definition or declaration was missing, but after further effort the processor has retrieved it.
- ·assessment· was not attempted because it was ·skipped·, but the processor has at least some declarations and/or definitions available for at least some of the [children] or [attributes].

5.3 Missing Sub-components



At the beginning of [Schema Component Details \(§3\)](#), attention is drawn to the fact that most kinds of schema components have properties which are described therein as having other components, or sets of other components, as values, but that when components are constructed on the basis of their correspondence with element information items in schema documents, such properties usually correspond to [QNames](#), and the ·resolution· of such [QNames](#) can fail, resulting in one or more values of or containing ·absent· where a component is mandated.

If at any time during ·assessment·, an element or attribute information item is being ·validated· with respect to a component of any kind any of whose properties has or contains such an ·absent· value, the ·validation· is modified, as following:

- In the case of attribute information items, the effect is as if clause [1](#) of [Attribute Locally Valid \(§3.2.4.1\)](#) had failed;
- In the case of element information items, the effect is as if clause [1](#) of [Element Locally Valid \(Element\) \(§3.3.4.3\)](#) had failed;
- In the case of element information items, processors **MUST** fall back to ·lax assessment·.

Because of the value specification for [validation attempted] in [Assessment Outcome \(Element\) \(§3.3.5.1\)](#), if this situation ever arises, the document as a whole cannot show a [validation attempted] of *full*.

References in a Simple Type Definition to [unknown](#) datatypes, or to [unknown](#) constraining facets, make the simple type definition unusable in ways similar to having `·absent·` property values. Often, such references will result in component properties with `·absent·` values, but not necessarily. In either case they, and likewise any types derived or constructed from them, are handled in the same way as described above for components with `·absent·` property values.

5.4 Responsibilities of Schema-aware Processors

Schema-aware processors are responsible for processing XML documents, schemas and schema documents, as appropriate given the level of conformance (as defined in [Conformance \(§2.4\)](#)) they support, consistently with the conditions set out above.

A Schema for Schema Documents (Structures) (normative)

The XML representation of the schema for schema documents is presented here as a normative part of the specification, and as an illustrative example of how the XML Schema Definition Language can define itself using its own constructs. The names of XSD types, elements, attributes and groups defined here are evocative of their purpose, but are occasionally verbose.

There is some annotation in comments, but a fuller annotation will require the use of embedded documentation facilities or a hyperlinked external annotation for which tools are not yet readily available.

Like any other XML document, schema documents may carry XML and document type declarations. An XML declaration and a document type declaration are provided here for convenience. Since this schema document describes the XSD language, the `targetNamespace` attribute on the `schema` element refers to the XSD namespace itself.

Schema documents conforming to this specification may be in XML 1.0 or XML 1.1. Conforming implementations may accept input in XML 1.0 or XML 1.1 or both. See [Dependencies on Other Specifications \(§1.4\)](#).

Schema for schema documents

```
<?xml version='1.0'?>
<!DOCTYPE xs:schema PUBLIC "-//W3C//DTD XMLSCHEMA 200102//EN" "XMLSchema.dtd"
<!-- provide ID type information even for parsers which only read the
      internal subset -->
<!ATTLIST xs:schema          id ID #IMPLIED>
<!ATTLIST xs:complexType    id ID #IMPLIED>
<!ATTLIST xs:complexContent id ID #IMPLIED>
<!ATTLIST xs:simpleContent  id ID #IMPLIED>
<!ATTLIST xs:extension      id ID #IMPLIED>
<!ATTLIST xs:element        id ID #IMPLIED>
<!ATTLIST xs:group          id ID #IMPLIED>
<!ATTLIST xs:all             id ID #IMPLIED>
<!ATTLIST xs:choice         id ID #IMPLIED>
<!ATTLIST xs:sequence       id ID #IMPLIED>
<!ATTLIST xs:any            id ID #IMPLIED>
```

```

<!ATTLIST xs:anyAttribute      id ID #IMPLIED>
<!ATTLIST xs:attribute        id ID #IMPLIED>
<!ATTLIST xs:attributeGroup   id ID #IMPLIED>
<!ATTLIST xs:unique           id ID #IMPLIED>
<!ATTLIST xs:key              id ID #IMPLIED>
<!ATTLIST xs:keyref           id ID #IMPLIED>
<!ATTLIST xs:selector         id ID #IMPLIED>
<!ATTLIST xs:field            id ID #IMPLIED>
<!ATTLIST xs:assert           id ID #IMPLIED>
<!ATTLIST xs:include          id ID #IMPLIED>
<!ATTLIST xs:import           id ID #IMPLIED>
<!ATTLIST xs:redefine         id ID #IMPLIED>
<!ATTLIST xs:override         id ID #IMPLIED>
<!ATTLIST xs:notation         id ID #IMPLIED>
]>

<xs:schema xmlns:xs="http://www.w3.org/2001/XMLSchema"
  elementFormDefault="qualified" xml:lang="EN"
  targetNamespace="http://www.w3.org/2001/XMLSchema"
  version="structures.xsd (cr-20090430)">
  <xs:annotation>
    <xs:documentation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-2009"
      The schema corresponding to this document is normative,
      with respect to the syntactic constraints it expresses in the
      XML Schema Definition Language. The documentation (within <documentation>
      below, is not normative, but rather highlights important aspects of
      the W3C Recommendation of which this is a part</xs:documentation>
    </xs:documentation>
  </xs:annotation>
  <xs:annotation>
    <xs:documentation>
      The simpleType element and all of its members are defined
      in datatypes.xsd</xs:documentation>
    </xs:documentation>
  </xs:annotation>
  <xs:include schemaLocation="datatypes.xsd"/>
  <xs:import namespace="http://www.w3.org/XML/1998/namespace"
    schemaLocation="http://www.w3.org/2001/xml.xsd">
    <xs:annotation>
      <xs:documentation>
        Get access to the xml: attribute groups for xml:lang
        as declared on 'schema' and 'documentation' below
      </xs:documentation>
    </xs:annotation>
  </xs:import>
  <xs:complexType name="openAttrs">
    <xs:annotation>
      <xs:documentation>
        This type is extended by almost all schema types
        to allow attributes from other namespaces to be
        added to user schemas.
      </xs:documentation>
    </xs:annotation>
    <xs:complexContent>
      <xs:restriction base="xs:anyType">
        <xs:anyAttribute namespace="##other" processContents="lax"/>
      </xs:restriction>
    </xs:complexContent>
  </xs:complexType>
  <xs:complexType name="annotated">
    <xs:annotation>
      <xs:documentation>
        This type is extended by all types which allow annotation
        other than <schema> itself
      </xs:documentation>
    </xs:annotation>
    <xs:complexContent>
      <xs:extension base="xs:openAttrs">
        <xs:sequence>

```

```

        <xs:element ref="xs:annotation" minOccurs="0"/>
    </xs:sequence>
    <xs:attribute name="id" type="xs:ID"/>
</xs:extension>
</xs:complexContent>
</xs:complexType>
<xs:group name="schemaTop">
    <xs:annotation>
        <xs:documentation>
This group is for the
elements which occur freely at the top level of schemas.
All of their types are based on the "annotated" type by extension.</xs:docu
        </xs:annotation>
    <xs:choice>
        <xs:group ref="xs:redefinable"/>
        <xs:element ref="xs:element"/>
        <xs:element ref="xs:attribute"/>
        <xs:element ref="xs:notation"/>
    </xs:choice>
</xs:group>
<xs:group name="redefinable">
    <xs:annotation>
        <xs:documentation>
This group is for the
elements which can self-redefine (see &lt;redefine> below).</xs:documentati
        </xs:annotation>
    <xs:choice>
        <xs:element ref="xs:simpleType"/>
        <xs:element ref="xs:complexType"/>
        <xs:element ref="xs:group"/>
        <xs:element ref="xs:attributeGroup"/>
    </xs:choice>
</xs:group>
<xs:simpleType name="formChoice">
    <xs:annotation>
        <xs:documentation>
A utility type, not for public use</xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:NMTOKEN">
        <xs:enumeration value="qualified"/>
        <xs:enumeration value="unqualified"/>
    </xs:restriction>
</xs:simpleType>
<xs:simpleType name="reducedDerivationControl">
    <xs:annotation>
        <xs:documentation>
A utility type, not for public use</xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:derivationControl">
        <xs:enumeration value="extension"/>
        <xs:enumeration value="restriction"/>
    </xs:restriction>
</xs:simpleType>
<xs:simpleType name="derivationSet">
    <xs:annotation>
        <xs:documentation>
A utility type, not for public use</xs:documentation>
    <xs:documentation>
#all or (possibly empty) subset of {extension, restriction}</xs:documentati
    </xs:annotation>
    <xs:union>
        <xs:simpleType>
            <xs:restriction base="xs:token">
                <xs:enumeration value="#all"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:union>
</xs:simpleType>

```

```

        <xs:list itemType="xs:reducedDerivationControl"/>
    </xs:simpleType>
</xs:union>
</xs:simpleType>
<xs:simpleType name="typeDerivationControl">
    <xs:annotation>
        <xs:documentation>
            A utility type, not for public use</xs:documentation>
        </xs:annotation>
        <xs:restriction base="xs:derivationControl">
            <xs:enumeration value="extension"/>
            <xs:enumeration value="restriction"/>
            <xs:enumeration value="list"/>
            <xs:enumeration value="union"/>
        </xs:restriction>
    </xs:simpleType>
<xs:simpleType name="fullDerivationSet">
    <xs:annotation>
        <xs:documentation>
            A utility type, not for public use</xs:documentation>
        <xs:documentation>
            #all or (possibly empty) subset of {extension, restriction, list, union}</xs:
        </xs:annotation>
        <xs:union>
            <xs:simpleType>
                <xs:restriction base="xs:token">
                    <xs:enumeration value="#all"/>
                </xs:restriction>
            </xs:simpleType>
            <xs:simpleType>
                <xs:list itemType="xs:typeDerivationControl"/>
            </xs:simpleType>
        </xs:union>
    </xs:simpleType>
<xs:element name="schema" id="schema">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:openAttrs">
                <xs:sequence>
                    <xs:choice minOccurs="0" maxOccurs="unbounded">
                        <xs:element ref="xs:include"/>
                        <xs:element ref="xs:import"/>
                        <xs:element ref="xs:redefine"/>
                        <xs:element ref="xs:override"/>
                        <xs:element ref="xs:annotation"/>
                    </xs:choice>
                    <xs:sequence minOccurs="0">
                        <xs:element ref="xs:defaultOpenContent"/>
                        <xs:element ref="xs:annotation" minOccurs="0"
                            maxOccurs="unbounded"/>
                    </xs:sequence>
                    <xs:sequence minOccurs="0" maxOccurs="unbounded">
                        <xs:group ref="xs:schemaTop"/>
                        <xs:element ref="xs:annotation" minOccurs="0"
                            maxOccurs="unbounded"/>
                    </xs:sequence>
                </xs:sequence>
            </xs:complexContent>
        </xs:complexType>
        <xs:attribute name="targetNamespace" type="xs:anyURI"/>
        <xs:attribute name="version" type="xs:token"/>
        <xs:attribute name="finalDefault" type="xs:fullDerivationSet"
            default="" use="optional"/>
        <xs:attribute name="blockDefault" type="xs:blockSet" default=""
            use="optional"/>

```

```

        <xs:attribute name="attributeFormDefault" type="xs:formChoice"
                    default="unqualified" use="optional"/>
        <xs:attribute name="elementFormDefault" type="xs:formChoice"
                    default="unqualified" use="optional"/>
        <xs:attribute name="defaultAttributes" type="xs:QName"/>
        <xs:attribute name="xpathDefaultNamespace" type="xs:xpathDefaultNameSpace"
                    default="##local" use="optional"/>
        <xs:attribute name="id" type="xs:ID"/>
        <xs:attribute ref="xml:lang"/>
    </xs:extension>
</xs:complexContent>
</xs:complexType>
<xs:key name="element">
    <xs:selector xpath="xs:element"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="attribute">
    <xs:selector xpath="xs:attribute"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="type">
    <xs:selector xpath="xs:complexType|xs:simpleType"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="group">
    <xs:selector xpath="xs:group"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="attributeGroup">
    <xs:selector xpath="xs:attributeGroup"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="notation">
    <xs:selector xpath="xs:notation"/>
    <xs:field xpath="@name"/>
</xs:key>
<xs:key name="identityConstraint">
    <xs:selector xpath="./xs:key|./xs:unique|./xs:keyref"/>
    <xs:field xpath="@name"/>
</xs:key>
</xs:element>
<xs:simpleType name="allNNI">
    <xs:annotation>
        <xs:documentation>
            for maxOccurs</xs:documentation>
        </xs:annotation>
    <xs:union memberTypes="xs:nonNegativeInteger">
        <xs:simpleType>
            <xs:restriction base="xs:NMTOKEN">
                <xs:enumeration value="unbounded"/>
            </xs:restriction>
        </xs:simpleType>
    </xs:union>
</xs:simpleType>
<xs:attributeGroup name="occurs">
    <xs:annotation>
        <xs:documentation>
            for all particles</xs:documentation>
        </xs:annotation>
    <xs:attribute name="minOccurs" type="xs:nonNegativeInteger" default="1"
                    use="optional"/>
    <xs:attribute name="maxOccurs" type="xs:allNNI" default="1" use="optional",
</xs:attributeGroup>
<xs:attributeGroup name="defRef">
    <xs:annotation>
        <xs:documentation>
            for element, group and attributeGroup,

```

```

which both define and reference</xs:documentation>
</xs:annotation>
<xs:attribute name="name" type="xs:NCName"/>
<xs:attribute name="ref" type="xs:QName"/>
</xs:attributeGroup>
<xs:group name="typeDefParticle">
  <xs:annotation>
    <xs:documentation>
      'complexType' uses this</xs:documentation>
    </xs:annotation>
    <xs:choice>
      <xs:element name="group" type="xs:groupRef"/>
      <xs:element ref="xs:all"/>
      <xs:element ref="xs:choice"/>
      <xs:element ref="xs:sequence"/>
    </xs:choice>
  </xs:group>
<xs:group name="nestedParticle">
  <xs:choice>
    <xs:element name="element" type="xs:localElement"/>
    <xs:element name="group" type="xs:groupRef"/>

    <xs:element ref="xs:choice"/>
    <xs:element ref="xs:sequence"/>
    <xs:element ref="xs:any"/>
  </xs:choice>
</xs:group>
<xs:group name="particle">
  <xs:choice>
    <xs:element name="element" type="xs:localElement"/>
    <xs:element name="group" type="xs:groupRef"/>
    <xs:element ref="xs:all"/>
    <xs:element ref="xs:choice"/>
    <xs:element ref="xs:sequence"/>
    <xs:element ref="xs:any"/>
  </xs:choice>
</xs:group>
<xs:complexType name="attribute">
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:sequence>
        <xs:element name="simpleType" type="xs:localSimpleType" minOccurs="0" />
      </xs:sequence>
      <xs:attributeGroup ref="xs:defRef"/>
      <xs:attribute name="type" type="xs:QName"/>
      <xs:attribute name="use" default="optional" use="optional">
        <xs:simpleType>
          <xs:restriction base="xs:NMTOKEN">
            <xs:enumeration value="prohibited"/>
            <xs:enumeration value="optional"/>
            <xs:enumeration value="required"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:attribute>
      <xs:attribute name="default" type="xs:string"/>
      <xs:attribute name="fixed" type="xs:string"/>
      <xs:attribute name="form" type="xs:formChoice"/>
      <xs:attribute name="targetNamespace" type="xs:anyURI"/>

      <xs:attribute name="inheritable" type="xs:boolean"/>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>
<xs:complexType name="topLevelAttribute">
  <xs:complexContent>
    <xs:restriction base="xs:attribute">
      <xs:sequence>

```

```

        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:element name="simpleType" type="xs:localSimpleType" minOccurs="0"
    </xs:sequence>
    <xs:attribute name="ref" use="prohibited"/>
    <xs:attribute name="form" use="prohibited"/>
    <xs:attribute name="use" use="prohibited"/>
    <xs:attribute name="targetNamespace" use="prohibited"/>
    <xs:attribute name="name" type="xs:NCName" use="required"/>
    <xs:attribute name="inheritable" type="xs:boolean"/>
    <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
</xs:complexContent>
</xs:complexType>
<xs:group name="attrDecls">
    <xs:sequence>
        <xs:choice minOccurs="0" maxOccurs="unbounded">
            <xs:element name="attribute" type="xs:attribute"/>
            <xs:element name="attributeGroup" type="xs:attributeGroupRef"/>
        </xs:choice>
        <xs:element ref="xs:anyAttribute" minOccurs="0"/>
    </xs:sequence>
</xs:group>
<xs:element name="anyAttribute" id="anyAttribute">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:wildcard">
                <xs:attribute name="notQName" type="xs:qnameListA"
                    use="optional"/>
            </xs:extension>
        </xs:complexContent>
    </xs:complexType>
</xs:element>
<xs:group name="assertions">
    <xs:sequence>
        <xs:element name="assert" type="xs:assertion"
            minOccurs="0" maxOccurs="unbounded"/>
    </xs:sequence>
</xs:group>
<xs:complexType name="assertion">
    <xs:complexContent>
        <xs:extension base="xs:annotated">
            <xs:attribute name="test" type="xs:string"/>
            <xs:attribute name="xpathDefaultNamespace" type="xs:xpathDefaultNamesp:
        </xs:extension>
    </xs:complexContent>
</xs:complexType>
<xs:group name="complexTypeModel">
    <xs:choice>
        <xs:element ref="xs:simpleContent"/>
        <xs:element ref="xs:complexContent"/>
    </xs:choice>
    <xs:sequence>
        <xs:annotation>
            <xs:documentation>
                This branch is short for
            &lt;complexContent>
            &lt;restriction base="xs:anyType">
            ...
            &lt;/restriction>
            &lt;/complexContent></xs:documentation>
        </xs:annotation>
        <xs:element ref="xs:openContent" minOccurs="0"/>
        <xs:group ref="xs:typeDefParticle" minOccurs="0"/>
        <xs:group ref="xs:attrDecls"/>

```

```

        <xs:group ref="xs:assertions"/>
    </xs:sequence>
</xs:choice>
</xs:group>
<xs:complexType name="complexType" abstract="true">
    <xs:complexContent>
        <xs:extension base="xs:annotated">
            <xs:group ref="xs:complexTypeModel"/>
            <xs:attribute name="name" type="xs:NCName">
                <xs:annotation>
                    <xs:documentation>
Will be restricted to required or prohibited</xs:documentation>
                </xs:annotation>
            </xs:attribute>
            <xs:attribute name="mixed" type="xs:boolean" use="optional">
                <xs:annotation>
                    <xs:documentation>
Not allowed if simpleContent child is chosen.
May be overridden by setting on complexContent child.</xs:documentation>
                </xs:annotation>
            </xs:attribute>
            <xs:attribute name="abstract" type="xs:boolean" default="false"
                use="optional"/>
            <xs:attribute name="final" type="xs:derivationSet"/>
            <xs:attribute name="block" type="xs:derivationSet"/>
            <xs:attribute name="defaultAttributesApply" type="xs:boolean"
                default="true" use="optional"/>
        </xs:extension>
    </xs:complexContent>
</xs:complexType>
<xs:complexType name="topLevelComplexType">
    <xs:complexContent>
        <xs:restriction base="xs:complexType">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:group ref="xs:complexTypeModel"/>
            </xs:sequence>
            <xs:attribute name="name" type="xs:NCName" use="required"/>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:complexType name="localComplexType">
    <xs:complexContent>
        <xs:restriction base="xs:complexType">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:group ref="xs:complexTypeModel"/>
            </xs:sequence>
            <xs:attribute name="name" use="prohibited"/>
            <xs:attribute name="abstract" use="prohibited"/>
            <xs:attribute name="final" use="prohibited"/>
            <xs:attribute name="block" use="prohibited"/>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:complexType name="restrictionType">
    <xs:complexContent>
        <xs:extension base="xs:annotated">
            <xs:sequence>
                <xs:choice minOccurs="0">

                    <xs:sequence>
                        <xs:element ref="xs:openContent" minOccurs="0"/>
                        <xs:group ref="xs:typeDefParticle"/>
                    </xs:sequence>

```

```

        <xs:group ref="xs:simpleRestrictionModel"/>
    </xs:choice>
    <xs:group ref="xs:attrDecls"/>
    <xs:group ref="xs:assertions"/>
</xs:sequence>
    <xs:attribute name="base" type="xs:QName" use="required"/>
</xs:extension>
</xs:complexContent>
</xs:complexType>
<xs:complexType name="complexRestrictionType">
    <xs:complexContent>
        <xs:restriction base="xs:restrictionType">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:choice minOccurs="0">
                    <xs:annotation>
                        <xs:documentation>This choice is added simply to
                            make this a valid restriction per the REC</xs:documentation>
                    </xs:annotation>

                    <xs:sequence>
                        <xs:element ref="xs:openContent" minOccurs="0"/>
                        <xs:group ref="xs:typeDefParticle"/>
                    </xs:sequence>
                </xs:choice>
                <xs:group ref="xs:attrDecls"/>
                <xs:group ref="xs:assertions"/>
            </xs:sequence>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:complexType name="extensionType">
    <xs:complexContent>
        <xs:extension base="xs:annotated">
            <xs:sequence>
                <xs:element ref="xs:openContent" minOccurs="0"/>
                <xs:group ref="xs:typeDefParticle" minOccurs="0"/>
                <xs:group ref="xs:attrDecls"/>
                <xs:group ref="xs:assertions"/>
            </xs:sequence>
            <xs:attribute name="base" type="xs:QName" use="required"/>
        </xs:extension>
    </xs:complexContent>
</xs:complexType>
<xs:element name="complexContent" id="complexContent">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:annotated">
                <xs:choice>
                    <xs:element name="restriction" type="xs:complexRestrictionType"/>
                    <xs:element name="extension" type="xs:extensionType"/>
                </xs:choice>
                <xs:attribute name="mixed" type="xs:boolean">
                    <xs:annotation>
                        <xs:documentation>
                            Overrides any setting on complexType parent.</xs:documentation>
                    </xs:annotation>
                </xs:attribute>
            </xs:extension>
        </xs:complexContent>
    </xs:complexType>

```

```

</xs:element>
<xs:element name="openContent" id="openContent">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:sequence>
          <xs:element name="any" minOccurs="0" type="xs:wildcard"/>
        </xs:sequence>
        <xs:attribute name="mode" default="interleave" use="optional">
          <xs:simpleType>
            <xs:restriction base="xs:NMTOKEN">
              <xs:enumeration value="none"/>
              <xs:enumeration value="interleave"/>
              <xs:enumeration value="suffix"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:attribute>

      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:element name="defaultOpenContent" id="defaultOpenContent">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:sequence>
          <xs:element name="any" type="xs:wildcard"/>
        </xs:sequence>
        <xs:attribute name="appliesToEmpty" type="xs:boolean"
          default="false" use="optional"/>
        <xs:attribute name="mode" default="interleave" use="optional">
          <xs:simpleType>
            <xs:restriction base="xs:NMTOKEN">
              <xs:enumeration value="interleave"/>
              <xs:enumeration value="suffix"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:attribute>

      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:complexType name="simpleRestrictionType">
  <xs:complexContent>
    <xs:restriction base="xs:restrictionType">
      <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:choice minOccurs="0">
          <xs:annotation>
            <xs:documentation>This choice is added simply to
              make this a valid restriction per the REC</xs:documentation:
          </xs:annotation>
          <xs:group ref="xs:simpleRestrictionModel"/>
        </xs:choice>
        <xs:group ref="xs:attrDecls"/>
        <xs:group ref="xs:assertions"/>
      </xs:sequence>

```

```

        <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
</xs:complexContent>
</xs:complexType>
<xs:complexType name="simpleExtensionType">
    <xs:complexContent>
        <xs:restriction base="xs:extensionType">
            <xs:sequence>
                <xs:annotation>
                    <xs:documentation>
No typeDefParticle group reference</xs:documentation>
                </xs:annotation>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:group ref="xs:attrDecls"/>
                <xs:group ref="xs:assertions"/>
            </xs:sequence>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:element name="simpleContent" id="simpleContent">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    </xs:complexType>
    <xs:complexContent>
        <xs:extension base="xs:annotated">
            <xs:choice>
                <xs:element name="restriction" type="xs:simpleRestrictionType"/>
                <xs:element name="extension" type="xs:simpleExtensionType"/>
            </xs:choice>
        </xs:extension>
    </xs:complexContent>
</xs:complexType>
</xs:element>
<xs:element name="complexType" type="xs:topLevelComplexType" id="complexType">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
</xs:element>
<xs:simpleType name="blockSet">
    <xs:annotation>
        <xs:documentation>
A utility type, not for public use</xs:documentation>
        <xs:documentation>
#all or (possibly empty) subset of {substitution, extension,
restriction}</xs:documentation>
    </xs:annotation>
    <xs:union>
        <xs:simpleType>
            <xs:restriction base="xs:token">
                <xs:enumeration value="#all"/>
            </xs:restriction>
        </xs:simpleType>
        <xs:simpleType>
            <xs:list>
                <xs:simpleType>
                    <xs:restriction base="xs:derivationControl">
                        <xs:enumeration value="extension"/>
                        <xs:enumeration value="restriction"/>
                        <xs:enumeration value="substitution"/>
                    </xs:restriction>
                </xs:simpleType>
            </xs:list>
        </xs:simpleType>
    </xs:union>

```

```

    </xs:union>
  </xs:simpleType>
<xs:complexType name="element" abstract="true">
  <xs:annotation>
    <xs:documentation>
      The element element can be used either
      at the top level to define an element-type binding globally,
      or within a content model to either reference a globally-defined
      element or type or declare an element-type binding locally.
      The ref form is not allowed at the top level.</xs:documentation>
    </xs:annotation>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:sequence>
          <xs:choice minOccurs="0">
            <xs:element name="simpleType" type="xs:localSimpleType"/>
            <xs:element name="complexType" type="xs:localComplexType"/>
          </xs:choice>
          <xs:element name="alternative" type="xs:altType"
            minOccurs="0" maxOccurs="unbounded"/>
          <xs:group ref="xs:identityConstraint" minOccurs="0"
            maxOccurs="unbounded"/>
        </xs:sequence>
        <xs:attributeGroup ref="xs:defRef"/>
        <xs:attribute name="type" type="xs:QName"/>

        <xs:attribute name="substitutionGroup">
          <xs:simpleType>
            <xs:list itemType="xs:QName"/>
          </xs:simpleType>
        </xs:attribute>
        <xs:attributeGroup ref="xs:occurs"/>
        <xs:attribute name="default" type="xs:string"/>
        <xs:attribute name="fixed" type="xs:string"/>
        <xs:attribute name="nillable" type="xs:boolean" default="false"
          use="optional"/>
        <xs:attribute name="abstract" type="xs:boolean" default="false"
          use="optional"/>
        <xs:attribute name="final" type="xs:derivationSet"/>
        <xs:attribute name="block" type="xs:blockSet"/>
        <xs:attribute name="form" type="xs:formChoice"/>
        <xs:attribute name="targetNamespace" type="xs:anyURI"/>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
<xs:complexType name="topLevelElement">
  <xs:complexContent>
    <xs:restriction base="xs:element">
      <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:choice minOccurs="0">
          <xs:element name="simpleType" type="xs:localSimpleType"/>
          <xs:element name="complexType" type="xs:localComplexType"/>
        </xs:choice>
        <xs:element name="alternative" type="xs:altType"
          minOccurs="0" maxOccurs="unbounded"/>
        <xs:group ref="xs:identityConstraint" minOccurs="0"
          maxOccurs="unbounded"/>
      </xs:sequence>
      <xs:attribute name="ref" use="prohibited"/>
      <xs:attribute name="form" use="prohibited"/>
      <xs:attribute name="targetNamespace" use="prohibited"/>
      <xs:attribute name="minOccurs" use="prohibited"/>
      <xs:attribute name="maxOccurs" use="prohibited"/>
      <xs:attribute name="name" type="xs:NCName" use="required"/>
      <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
  </xs:complexContent>

```

```

    </xs:complexContent>
</xs:complexType>
<xs:complexType name="localElement">
  <xs:complexContent>
    <xs:restriction base="xs:element">
      <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:choice minOccurs="0">
          <xs:element name="simpleType" type="xs:localSimpleType"/>
          <xs:element name="complexType" type="xs:localComplexType"/>
        </xs:choice>
        <xs:element name="alternative" type="xs:altType"
          minOccurs="0" maxOccurs="unbounded"/>
        <xs:group ref="xs:identityConstraint" minOccurs="0"
          maxOccurs="unbounded"/>
      </xs:sequence>
      <xs:attribute name="substitutionGroup" use="prohibited"/>
      <xs:attribute name="final" use="prohibited"/>
      <xs:attribute name="abstract" use="prohibited"/>
      <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>
<xs:element name="element" type="xs:topLevelElement" id="element">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
</xs:element>
<xs:complexType name="altType">
  <xs:annotation>
    <xs:documentation>
      This type is used for 'alternative' elements.
    </xs:documentation>
  </xs:annotation>
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:choice minOccurs="0">
        <xs:element name="simpleType" type="xs:localSimpleType"/>
        <xs:element name="complexType" type="xs:localComplexType"/>
      </xs:choice>
      <xs:attribute name="test" type="xs:string" use="optional"/>
      <xs:attribute name="type" type="xs:QName" use="optional"/>
      <xs:attribute name="xpathDefaultNamespace" type="xs:xpathDefaultNamesp:
    </xs:extension>
  </xs:complexContent>
</xs:complexType>
<xs:complexType name="group" abstract="true">
  <xs:annotation>
    <xs:documentation>
      group type for explicit groups, named top-level groups and
      group references</xs:documentation>
  </xs:annotation>
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:group ref="xs:particle" minOccurs="0" maxOccurs="unbounded"/>
      <xs:attributeGroup ref="xs:defRef"/>
      <xs:attributeGroup ref="xs:occurs"/>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>
<xs:complexType name="realGroup">
  <xs:complexContent>
    <xs:restriction base="xs:group">
      <xs:sequence>

```

```

        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:choice minOccurs="0" maxOccurs="1">
            <xs:element ref="xs:all"/>
            <xs:element ref="xs:choice"/>
            <xs:element ref="xs:sequence"/>
        </xs:choice>

    </xs:sequence>
    <xs:anyAttribute namespace="##other" processContents="lax"/>
</xs:restriction>
</xs:complexContent>
</xs:complexType>
<xs:complexType name="namedGroup">
    <xs:complexContent>
        <xs:restriction base="xs:realGroup">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:choice minOccurs="1" maxOccurs="1">
                    <xs:element name="all">
                        <xs:complexType>
                            <xs:complexContent>
                                <xs:restriction base="xs:all">
                                    <xs:group ref="xs:allModel"/>
                                    <xs:attribute name="minOccurs" use="prohibited"/>
                                    <xs:attribute name="maxOccurs" use="prohibited"/>
                                    <xs:anyAttribute namespace="##other" processContents="lax",
                                </xs:restriction>
                                </xs:complexContent>
                            </xs:complexType>
                        </xs:element>
                        <xs:element name="choice" type="xs:simpleExplicitGroup"/>
                        <xs:element name="sequence" type="xs:simpleExplicitGroup"/>
                    </xs:choice>
                </xs:sequence>
                <xs:attribute name="name" type="xs:NCName" use="required"/>
                <xs:attribute name="ref" use="prohibited"/>
                <xs:attribute name="minOccurs" use="prohibited"/>
                <xs:attribute name="maxOccurs" use="prohibited"/>
                <xs:anyAttribute namespace="##other" processContents="lax"/>
            </xs:restriction>
        </xs:complexContent>
    </xs:complexType>
<xs:complexType name="groupRef">
    <xs:complexContent>
        <xs:restriction base="xs:realGroup">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
            </xs:sequence>
            <xs:attribute name="ref" type="xs:QName" use="required"/>
            <xs:attribute name="name" use="prohibited"/>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:complexType name="explicitGroup">
    <xs:annotation>
        <xs:documentation>
            group type for the three kinds of group</xs:documentation>
        </xs:annotation>
    <xs:complexContent>
        <xs:restriction base="xs:group">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:group ref="xs:nestedParticle" minOccurs="0" maxOccurs="unbounded"
            </xs:sequence>
            <xs:attribute name="name" use="prohibited"/>
            <xs:attribute name="ref" use="prohibited"/>

```

```

        <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
</xs:complexContent>
</xs:complexType>
<xs:complexType name="simpleExplicitGroup">
    <xs:complexContent>
        <xs:restriction base="xs:explicitGroup">
            <xs:sequence>
                <xs:element ref="xs:annotation" minOccurs="0"/>
                <xs:group ref="xs:nestedParticle" minOccurs="0" maxOccurs="unbounded" />
            </xs:sequence>
            <xs:attribute name="minOccurs" use="prohibited"/>
            <xs:attribute name="maxOccurs" use="prohibited"/>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:group name="allModel">
    <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:choice minOccurs="0" maxOccurs="unbounded">
            <xs:annotation>
                <xs:documentation>This choice with min/max is here to
                    avoid a pblm with the Elt:All/Choice/Seq
                    Particle derivation constraint</xs:documentation>
            </xs:annotation>
            <xs:element name="element" type="xs:localElement"/>
            <xs:element ref="xs:any"/>
        </xs:choice>
    </xs:sequence>
</xs:group>
<xs:complexType name="all">
    <xs:annotation>
        <xs:documentation>
Only elements allowed inside</xs:documentation>
    </xs:annotation>
    <xs:complexContent>
        <xs:restriction base="xs:explicitGroup">
            <xs:group ref="xs:allModel"/>
            <xs:attribute name="minOccurs" default="1" use="optional">
                <xs:simpleType>
                    <xs:restriction base="xs:nonNegativeInteger">
                        <xs:enumeration value="0"/>
                        <xs:enumeration value="1"/>
                    </xs:restriction>
                </xs:simpleType>
            </xs:attribute>
            <xs:attribute name="maxOccurs" default="1" use="optional">
                <xs:simpleType>
                    <xs:restriction base="xs:allNNI">
                        <xs:enumeration value="1"/>
                    </xs:restriction>
                </xs:simpleType>
            </xs:attribute>
            <xs:anyAttribute namespace="##other" processContents="lax"/>
        </xs:restriction>
    </xs:complexContent>
</xs:complexType>
<xs:element name="all" type="xs:all" id="all">
    <xs:annotation>
        <xs:documentation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
</xs:element>
<xs:element name="choice" type="xs:explicitGroup" id="choice">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:

```

```

    </xs:annotation>
  </xs:element>
  <xs:element name="sequence" type="xs:explicitGroup" id="sequence">
    <xs:annotation>
      <xs:documentation
        source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
      </xs:annotation>
    </xs:element>
    <xs:element name="group" type="xs:namedGroup" id="group">
      <xs:annotation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-2009!
      </xs:annotation>
    </xs:element>
    <xs:attributeGroup name="anyAttrGroup">
      <xs:attribute name="namespace" type="xs:namespaceList"
        use="optional"/>
      <xs:attribute name="notNamespace" use="optional">
        <xs:simpleType>
          <xs:restriction base="xs:basicNamespaceList">
            <xs:minLength value="1"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:attribute>
      <xs:attribute name="processContents" default="strict" use="optional">
        <xs:simpleType>
          <xs:restriction base="xs:NMTOKEN">
            <xs:enumeration value="skip"/>
            <xs:enumeration value="lax"/>
            <xs:enumeration value="strict"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:attribute>
    </xs:attributeGroup>
    <xs:complexType name="wildcard">
      <xs:complexContent>
        <xs:extension base="xs:annotated">

          <xs:attributeGroup ref="xs:anyAttrGroup"/>
        </xs:extension>
      </xs:complexContent>
    </xs:complexType>
  <xs:element name="any" id="any">
    <xs:annotation>
      <xs:documentation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-2009!
    </xs:annotation>
    <xs:complexType>
      <xs:complexContent>
        <xs:extension base="xs:wildcard">
          <xs:attribute name="notQName" type="xs:qnameList"
            use="optional"/>
          <xs:attributeGroup ref="xs:occurs"/>
        </xs:extension>
      </xs:complexContent>
    </xs:complexType>
  </xs:element>
  <xs:annotation>
    <xs:documentation>
      simple type for the value of the 'namespace' attr of
      'any' and 'anyAttribute'</xs:documentation>
    </xs:annotation>
  <xs:annotation>
    <xs:documentation>
      Value is
      ##any - - any non-conflicting WFXML/attribute at all
      ##other - - any non-conflicting WFXML/attribute from
        namespace other than targetNS

```

```

        ##local      - - any unqualified non-conflicting WFXML/attribute
        one or      - - any non-conflicting WFXML/attribute from
        more URI    the listed namespaces
        references
        (space separated)

    ##targetNamespace or ##local may appear in the above list, to
    refer to the targetNamespace of the enclosing
    schema or an absent targetNamespace respectively</xs:documentation>
</xs:annotation>
<xs:simpleType name="namespaceList">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use</xs:documentation>
    </xs:annotation>

    <xs:union memberTypes="xs:specialNamespaceList xs:basicNamespaceList" />
  </xs:simpleType>
<xs:simpleType name="basicNamespaceList">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use</xs:documentation>
    </xs:annotation>
    <xs:list>
      <xs:simpleType>
        <xs:union memberTypes="xs:anyURI">
          <xs:simpleType>
            <xs:restriction base="xs:token">
              <xs:enumeration value="##targetNamespace"/>
              <xs:enumeration value="##local"/>
            </xs:restriction>
          </xs:simpleType>
        </xs:union>
      </xs:simpleType>
    </xs:list>
  </xs:simpleType>
<xs:simpleType name="specialNamespaceList">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use</xs:documentation>
    </xs:annotation>
    <xs:restriction base="xs:token">
      <xs:enumeration value="##any"/>
      <xs:enumeration value="##other"/>
    </xs:restriction>
  </xs:simpleType>
<xs:simpleType name="qnameList">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use
    </xs:documentation>
  </xs:annotation>
  <xs:list>
    <xs:simpleType>
      <xs:union memberTypes="xs:QName">
        <xs:simpleType>
          <xs:restriction base="xs:token">
            <xs:enumeration value="##defined"/>
            <xs:enumeration value="##definedSibling"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:union>
    </xs:simpleType>
  </xs:list>
</xs:simpleType>

```

```

<xs:simpleType name="qnameListA">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use
    </xs:documentation>
  </xs:annotation>
  <xs:list>
    <xs:simpleType>
      <xs:union memberTypes="xs:QName">
        <xs:simpleType>
          <xs:restriction base="xs:token">
            <xs:enumeration value="##defined"/>
          </xs:restriction>
        </xs:simpleType>
      </xs:union>
    </xs:simpleType>
  </xs:list>
</xs:simpleType>
<xs:simpleType name="xpathDefaultNamespace">
  <xs:union memberTypes="xs:anyURI">
    <xs:simpleType>
      <xs:restriction base="xs:token">
        <xs:enumeration value="##defaultNamespace"/>
        <xs:enumeration value="##targetNamespace"/>
        <xs:enumeration value="##local"/>
      </xs:restriction>
    </xs:simpleType>
  </xs:union>
</xs:simpleType>
<xs:element name="attribute" type="xs:topLevelAttribute" id="attribute">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:documentation>
  </xs:annotation>
</xs:element>
<xs:complexType name="attributeGroup" abstract="true">
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:group ref="xs:attrDecls"/>
      <xs:attributeGroup ref="xs:defRef"/>
    </xs:extension>
  </xs:complexContent>
</xs:complexType>
<xs:complexType name="namedAttributeGroup">
  <xs:complexContent>
    <xs:restriction base="xs:attributeGroup">
      <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
        <xs:group ref="xs:attrDecls"/>
      </xs:sequence>
      <xs:attribute name="name" type="xs:NCName" use="required"/>
      <xs:attribute name="ref" use="prohibited"/>
      <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>
<xs:complexType name="attributeGroupRef">
  <xs:complexContent>
    <xs:restriction base="xs:attributeGroup">
      <xs:sequence>
        <xs:element ref="xs:annotation" minOccurs="0"/>
      </xs:sequence>
      <xs:attribute name="ref" type="xs:QName" use="required"/>
      <xs:attribute name="name" use="prohibited"/>
    </xs:restriction>
  </xs:complexContent>
</xs:complexType>

```

```

        <xs:anyAttribute namespace="##other" processContents="lax"/>
    </xs:restriction>
</xs:complexContent>
</xs:complexType>
<xs:element name="attributeGroup" type="xs:namedAttributeGroup"
    id="attributeGroup">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    </xs:element>
<xs:element name="include" id="include">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:annotated">
                <xs:attribute name="schemaLocation" type="xs:anyURI" use="required"/:
            </xs:extension>
        </xs:complexContent>
    </xs:complexType>
</xs:element>
<xs:element name="redefine" id="redefine">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:openAttrs">
                <xs:choice minOccurs="0" maxOccurs="unbounded">
                    <xs:element ref="xs:annotation"/>
                    <xs:group ref="xs:redefinable"/>
                </xs:choice>
                <xs:attribute name="schemaLocation" type="xs:anyURI" use="required"/:
                <xs:attribute name="id" type="xs:ID"/>
            </xs:extension>
        </xs:complexContent>
    </xs:complexType>
</xs:element>

<xs:element name="override" id="override">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    <xs:complexType>
        <xs:complexContent>
            <xs:extension base="xs:openAttrs">
                <xs:sequence>
                    <xs:element ref="xs:annotation" minOccurs="0"/>
                    <xs:group ref="xs:schemaTop" minOccurs="0" maxOccurs="unbounded"/>
                </xs:sequence>
                <xs:attribute name="schemaLocation" type="xs:anyURI" use="required"/:
                <xs:attribute name="id" type="xs:ID"/>
            </xs:extension>
        </xs:complexContent>
    </xs:complexType>
</xs:element>
<xs:element name="import" id="import">
    <xs:annotation>
        <xs:documentation
            source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
        </xs:annotation>
    <xs:complexType>

```

```

    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:attribute name="namespace" type="xs:anyURI"/>
        <xs:attribute name="schemaLocation" type="xs:anyURI"/>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:element name="selector" id="selector">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:attribute name="xpath" use="required">
          <xs:simpleType>
            <xs:annotation>
              <xs:documentation>A subset of XPath expressions for use
in selectors</xs:documentation>
              <xs:documentation>A utility type, not for public
use</xs:documentation>
            </xs:annotation>
            <xs:restriction base="xs:token"/>
          </xs:simpleType>
        </xs:attribute>
        <xs:attribute name="xpathDefaultNamespace" type="xs:xpathDefaultName:
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:element name="field" id="field">
  <xs:annotation>
    <xs:documentation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-200:
  </xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:attribute name="xpath" use="required">
          <xs:simpleType>
            <xs:annotation>
              <xs:documentation>A subset of XPath expressions for use
in fields</xs:documentation>
              <xs:documentation>A utility type, not for public
use</xs:documentation>
            </xs:annotation>
            <xs:restriction base="xs:token"/>
          </xs:simpleType>
        </xs:attribute>
        <xs:attribute name="xpathDefaultNamespace" type="xs:xpathDefaultName:
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:complexType name="keybase">
  <xs:complexContent>
    <xs:extension base="xs:annotated">
      <xs:sequence minOccurs="0">
        <xs:element ref="xs:selector"/>
        <xs:element ref="xs:field" minOccurs="1" maxOccurs="unbounded"/>
      </xs:sequence>
      <xs:attribute name="name" type="xs:NCName"/>
      <xs:attribute name="ref" type="xs:QName"/>
    </xs:extension>
  </xs:complexContent>

```

```

    </xs:complexContent>
</xs:complexType>
<xs:group name="identityConstraint">
  <xs:annotation>
    <xs:documentation>The three kinds of identity constraints, all with
      type of or derived from 'keybase'.
    </xs:documentation>
  </xs:annotation>
  <xs:choice>
    <xs:element ref="xs:unique"/>
    <xs:element ref="xs:key"/>
    <xs:element ref="xs:keyref"/>
  </xs:choice>
</xs:group>
<xs:element name="unique" type="xs:keybase" id="unique">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
</xs:element>
<xs:element name="key" type="xs:keybase" id="key">
  <xs:annotation>
    <xs:documentation source="http://www.w3.org/TR/2009/CR-xmlschema11-1-2009
    </xs:annotation>
</xs:element>
<xs:element name="keyref" id="keyref">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:keybase">
        <xs:attribute name="refer" type="xs:QName"/>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:element name="notation" id="notation">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:annotated">
        <xs:attribute name="name" type="xs:NCName" use="required"/>
        <xs:attribute name="public" type="xs:public"/>
        <xs:attribute name="system" type="xs:anyURI"/>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:simpleType name="public">
  <xs:annotation>
    <xs:documentation>
      A utility type, not for public use</xs:documentation>
    <xs:documentation>
      A public identifier, per ISO 8879</xs:documentation>
  </xs:annotation>
  <xs:restriction base="xs:token"/>
</xs:simpleType>
<xs:element name="appinfo" id="appinfo">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:annotation>

```

```

<xs:complexType mixed="true">
  <xs:sequence minOccurs="0" maxOccurs="unbounded">
    <xs:any processContents="lax"/>
  </xs:sequence>
  <xs:attribute name="source" type="xs:anyURI"/>
  <xs:anyAttribute namespace="##other" processContents="lax"/>
</xs:complexType>
</xs:element>
<xs:element name="documentation" id="documentation">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:documentation>
  </xs:annotation>
  <xs:complexType mixed="true">
    <xs:sequence minOccurs="0" maxOccurs="unbounded">
      <xs:any processContents="lax"/>
    </xs:sequence>
    <xs:attribute name="source" type="xs:anyURI"/>
    <xs:attribute ref="xml:lang"/>
    <xs:anyAttribute namespace="##other" processContents="lax"/>
  </xs:complexType>
</xs:element>
<xs:element name="annotation" id="annotation">
  <xs:annotation>
    <xs:documentation
      source="http://www.w3.org/TR/2009/CR-xmlschema11-1-20090430/structu:
    </xs:documentation>
  </xs:annotation>
  <xs:complexType>
    <xs:complexContent>
      <xs:extension base="xs:openAttrs">
        <xs:choice minOccurs="0" maxOccurs="unbounded">
          <xs:element ref="xs:appinfo"/>
          <xs:element ref="xs:documentation"/>
        </xs:choice>
        <xs:attribute name="id" type="xs:ID"/>
      </xs:extension>
    </xs:complexContent>
  </xs:complexType>
</xs:element>
<xs:annotation>
  <xs:documentation>
    notations for use within schema documents</xs:documentation>
  </xs:annotation>
<xs:notation name="XMLSchemaStructures" public="structures"
  system="http://www.w3.org/2000/08/XMLSchema.xsd"/>
<xs:notation name="XML" public="REC-xml-19980210"
  system="http://www.w3.org/TR/1998/REC-xml-19980210"/>
<xs:complexType name="anyType" mixed="true">
  <xs:annotation>
    <xs:documentation>
      Not the real urType, but as close an approximation as we can
      get in the XML representation</xs:documentation>
    </xs:annotation>
  <xs:sequence>
    <xs:any minOccurs="0" maxOccurs="unbounded" processContents="lax"/>
  </xs:sequence>
  <xs:anyAttribute processContents="lax"/>
</xs:complexType>
</xs:schema>

```

B Outcome Tabulations (normative)

To facilitate consistent reporting of schema errors and ·validation· failures, this section tabulates and provides unique names for all the constraints listed in this document.

Wherever such constraints have numbered parts, reports SHOULD use the name given below plus the part number, separated by a period ('.'). Thus for example `cos-ct-extends.1.2` SHOULD be used to report a violation of the clause [1.2](#) of [Derivation Valid \(Extension\)](#) (§3.4.6.2).

B.1 Validation Rules

cvc-accept

[Element Sequence Accepted \(Particle\)](#)

cvc-assertion

[Assertion Satisfied](#)

cvc-assertions-valid

[Assertions Valid](#)

cvc-assess-attr

[Schema-Validity Assessment \(Attribute\)](#)

cvc-assess-elt

[Schema-Validity Assessment \(Element\)](#)

cvc-attribute

[Attribute Locally Valid](#)

cvc-au

[Attribute Locally Valid \(Use\)](#)

cvc-complex-content

[Element Sequence Locally Valid \(Complex Content\)](#)

cvc-complex-type

[Element Locally Valid \(Complex Type\)](#)

cvc-datatype-valid

[Datatype Valid](#)

cvc-elt

[Element Locally Valid \(Element\)](#)

cvc-enumeration-valid

[enumeration valid](#)

cvc-explicitTimezone-valid

[explicitOffset Valid](#)

cvc-facet-valid

[Facet Valid](#)

cvc-fractionDigits-valid

[fractionDigits Valid](#)

cvc-id

[Validation Root Valid \(ID/IDREF\)](#)

cvc-identity-constraint

[Identity-constraint Satisfied](#)

cvc-length-valid

[Length Valid](#)

cvc-maxExclusive-valid

[maxExclusive Valid](#)

cvc-maxInclusive-valid

[maxInclusive Valid](#)

cvc-maxLength-valid

[maxLength Valid](#)

cvc-maxScale-valid

[maxScale Valid](#)
cvc-minExclusive-valid
[minExclusive Valid](#)
cvc-minInclusive-valid
[minInclusive Valid](#)
cvc-minLength-valid
[minLength Valid](#)
cvc-minScale-valid
[minScale Valid](#)
cvc-model-group
[Element Sequence Valid](#)
cvc-particle
[Element Sequence Locally Valid \(Particle\)](#)
cvc-pattern-valid
[pattern valid](#)
cvc-resolve-instance
[QName resolution \(Instance\)](#)
cvc-simple-type
[String Valid](#)
cvc-totalDigits-valid
[totalDigits Valid](#)
cvc-type
[Element Locally Valid \(Type\)](#)
cvc-wildcard
[Item Valid \(Wildcard\)](#)
cvc-wildcard-name
[Wildcard allows Expanded Name](#)
cvc-wildcard-namespace
[Wildcard allows Namespace Name](#)
cvc-xpath
[XPath Evaluation](#)
vr-cta-substitutable
[Conditional Type Substitutable](#)

B.2 Contributions to the post-schema-validation infoset



attribute information item properties

[\[attribute attribution\]](#) ([Match Information](#))
[\[attribute declaration\]](#) ([Attribute Declaration](#))
[\[match information\]](#) ([Match Information](#))
[\[member type definition\]](#) ([Attribute Validated by Type](#))
[\[member type definition anonymous\]](#) ([Attribute Validated by Type](#))
[\[member type definition name\]](#) ([Attribute Validated by Type](#))
[\[member type definition namespace\]](#) ([Attribute Validated by Type](#))
[\[member type definitions\]](#) ([Attribute Validated by Type](#))
[\[schema actual value\]](#) ([Attribute Validated by Type](#))
[\[schema default\]](#) ([Attribute Declaration](#))
[\[schema error code\]](#) ([Validation Failure \(Attribute\)](#))
[\[schema normalized value\]](#) ([Attribute Validated by Type](#))
[\[schema specified\]](#) ([Assessment Outcome \(Attribute\)](#))

[\[type definition\]](#) (Attribute Validated by Type)
[\[type definition anonymous\]](#) (Attribute Validated by Type)
[\[type definition name\]](#) (Attribute Validated by Type)
[\[type definition namespace\]](#) (Attribute Validated by Type)
[\[type definition type\]](#) (Attribute Validated by Type)
[\[validation attempted\]](#) (Assessment Outcome (Attribute))
[\[validation context\]](#) (Assessment Outcome (Attribute))
[\[validity\]](#) (Assessment Outcome (Attribute))

element information item properties

[\[declared type\]](#) (Element Declaration)
[\[descendent validity\]](#) (Element Validated by Type)
[\[element attribution\]](#) (Match Information)
[\[element declaration\]](#) (Element Declaration)
[\[expected element declaration\]](#) (Element Declaration)
[\[failed assertions\]](#) (Validation Failure (Element))
[\[failed identity constraints\]](#) (Validation Failure (Element))
[\[ID/IDREF table\]](#) (ID/IDREF Table)
[\[identity-constraint table\]](#) (Identity-constraint Table)
[\[inherited attributes\]](#) (Inherited Attributes)
[\[local element validity\]](#) (Element Declaration)
[\[local type validity\]](#) (Element Validated by Type)
[\[match information\]](#) (Match Information)
[\[member type definition\]](#) (Element Validated by Type)
[\[member type definition anonymous\]](#) (Element Validated by Type)
[\[member type definition name\]](#) (Element Validated by Type)
[\[member type definition namespace\]](#) (Element Validated by Type)
[\[member type definitions\]](#) (Element Validated by Type)
[\[nil\]](#) (Element Declaration)
[\[notation\]](#) (Validated with Notation)
[\[notation public\]](#) (Validated with Notation)
[\[notation system\]](#) (Validated with Notation)
[\[schema actual value\]](#) (Element Validated by Type)
[\[schema default\]](#) (Element Validated by Type)
[\[schema error code\]](#) (Validation Failure (Element))
[\[schema normalized value\]](#) (Element Validated by Type)
[\[schema specified\]](#) (Element Default Value)
[\[subsequence-valid\]](#) (Validation Failure (Element))
[\[type alternative\]](#) (Element Validated by Type)
[\[type definition\]](#) (Element Validated by Type)
[\[type definition anonymous\]](#) (Element Validated by Type)
[\[type definition name\]](#) (Element Validated by Type)
[\[type definition namespace\]](#) (Element Validated by Type)
[\[type definition type\]](#) (Element Validated by Type)
[\[type fallback\]](#) (Element Validated by Type)
[\[validation attempted\]](#) (Assessment Outcome (Element))
[\[validation context\]](#) (Assessment Outcome (Element))
[\[validity\]](#) (Assessment Outcome (Element))

element or attribute information item properties

[\[schema information\]](#) (Schema Information)

ID/IDREF binding information item properties

[\[binding\]](#) (ID/IDREF Table)

[\[id\]](#) (ID/IDREF Table)

Identity-constraint Binding information item properties

[\[definition\]](#) (Identity-constraint Table)

[\[node table\]](#) (Identity-constraint Table)

namespace schema information information item properties

[\[schema components\]](#) (Schema Information)

[\[schema documents\]](#) (Schema Information)

[\[schema namespace\]](#) (Schema Information)

schema document information item properties

[\[document\]](#) (Schema Information)

[\[document location\]](#) (Schema Information)

B.3 Schema Representation Constraints



src-attribute

[Attribute Declaration Representation OK](#)

src-attribute_group

[Attribute Group Definition Representation OK](#)

src-cip

[Conditional Inclusion Constraints](#)

src-ct

[Complex Type Definition Representation OK](#)

src-element

[Element Declaration Representation OK](#)

src-enumeration-value

[Enumeration value](#)

src-expredef

[Individual Component Redefinition](#)

src-identity-constraint

[Identity-constraint Definition Representation OK](#)

src-import

[Import Constraints and Semantics](#)

src-include

[Inclusion Constraints and Semantics](#)

src-list-itemType-or-simpleType

[itemType attribute or simpleType child](#)

src-override

[Override Constraints and Semantics](#)

src-pattern-value

[Pattern value](#)

src-redefine

[Redefinition Constraints and Semantics](#)

src-resolve

[QName resolution \(Schema Document\)](#)

src-restriction-base-or-simpleType

[base attribute or simpleType child](#)

src-simple-type

[Simple Type Definition Representation OK](#)

src-ta

[Type Alternative Representation OK](#)
src-union-memberTypes-or-simpleTypes
[memberTypes attribute or simpleType children](#)
src-wildcard
[Wildcard Representation OK](#)

B.4 Schema Component Constraints

a-props-correct
[Attribute Declaration Properties Correct](#)

ag-props-correct
[Attribute Group Definition Properties Correct](#)

an-props-correct
[Annotation Correct](#)

as-props-correct
[Assertion Properties Correct](#)

au-props-correct
[Attribute Use Correct](#)

c-fields-xpaths
[Fields Value OK](#)

c-props-correct
[Identity-constraint Definition Properties Correct](#)

c-selector-xpath
[Selector Value OK](#)

cos-all-limited
[All Group Limited](#)

cos-applicable-facets
[Applicable Facets](#)

cos-assertions-restriction
[Valid restriction of assertions](#)

cos-aw-intersect
[Attribute Wildcard Intersection](#)

cos-aw-union
[Attribute Wildcard Union](#)

cos-choice-range
[Effective Total Range \(choice\)](#)

cos-content-act-restrict
[Content type restricts \(Complex Content\)](#)

cos-ct-derived-ok
[Type Derivation OK \(Complex\)](#)

cos-ct-extends
[Derivation Valid \(Extension\)](#)

cos-element-consistent
[Element Declarations Consistent](#)

cos-equiv-derived-ok-rec
[Substitution Group OK \(Transitive\)](#)

cos-group-emptiable
[Particle Emptiable](#)

cos-nonambig
[Unique Particle Attribution](#)

cos-ns-subset
[Wildcard Subset](#)

cos-particle-extend
[Particle Valid \(Extension\)](#)

cos-pattern-restriction
[Valid restriction of pattern](#)

cos-seq-range
[Effective Total Range \(all and sequence\)](#)

cos-st-derived-ok
[Type Derivation OK \(Simple\)](#)

cos-st-restricts
[Derivation Valid \(Restriction, Simple\)](#)

cos-valid-default
[Element Default Valid \(Immediate\)](#)

cos-valid-simple-default
[Simple Default Valid](#)

ct-props-correct
[Complex Type Definition Properties Correct](#)

derivation-ok-restriction
[Derivation Valid \(Restriction, Complex\)](#)

e-props-correct
[Element Declaration Properties Correct](#)

enumeration-required-notation
[enumeration facet value required for NOTATION](#)

enumeration-valid-restriction
[enumeration valid restriction](#)

fractionDigits-totalDigits
[fractionDigits less than or equal to totalDigits](#)

fractionDigits-valid-restriction
[fractionDigits valid restriction](#)

length-minLength-maxLength
[length and minLength or maxLength](#)

length-valid-restriction
[length valid restriction](#)

maxExclusive-valid-restriction
[maxExclusive valid restriction](#)

maxInclusive-maxExclusive
[maxInclusive and maxExclusive](#)

maxInclusive-valid-restriction
[maxInclusive valid restriction](#)

maxLength-valid-restriction
[maxLength valid restriction](#)

maxScale-valid-restriction
[maxScale valid restriction](#)

mg-props-correct
[Model Group Correct](#)

mgd-props-correct
[Model Group Definition Properties Correct](#)

minExclusive-less-than-equal-to-maxExclusive
[minExclusive <= maxExclusive](#)

minExclusive-less-than-maxInclusive
[minExclusive < maxInclusive](#)

minExclusive-valid-restriction
[minExclusive valid restriction](#)

minInclusive-less-than-equal-to-maxInclusive
[minInclusive <= maxInclusive](#)

minInclusive-less-than-maxExclusive
[minInclusive < maxExclusive](#)

minInclusive-minExclusive
[minInclusive and minExclusive](#)

minInclusive-valid-restriction
[minInclusive valid restriction](#)

minLength-less-than-equal-to-maxLength
[minLength <= maxLength](#)

minLength-valid-restriction
[minLength valid restriction](#)

minScale-totalDigits
[minScale less than or equal to maxScale](#)

minScale-valid-restriction
[minScale valid restriction](#)

n-props-correct
[Notation Declaration Correct](#)

no-xmlns
[xmlns Not Allowed](#)

no-xsi
[xsi: Not Allowed](#)

p-props-correct
[Particle Correct](#)

sch-props-correct
[Schema Properties Correct](#)

st-props-correct
[Simple Type Definition Properties Correct](#)

st-restrict-facets
[Simple Type Restriction \(Facets\)](#)

ta-props-correct
[Type Alternative Properties Correct](#)

timezone-valid-restriction
[timezone valid restriction](#)

totalDigits-valid-restriction
[totalDigits valid restriction](#)

w-props-correct
[Wildcard Properties Correct](#)

whiteSpace-valid-restriction
[whiteSpace valid restriction](#)

xpath-valid
[XPath Valid](#)

C Terminology for implementation-defined features (normative)

This section defines some terms for use in describing choices made by implementations in areas where the effect of XSD features is explicitly `·implementation-defined·`.

Future versions of this specification are expected to use the terminology defined here to specify conformance profiles. Conformance profiles may also be defined by other specifications without requiring any revision to this specification.

C.1 Subset of the Post-schema-validation Infoset

This specification defines a number of ways in which the information set taken as input is augmented in the course of schema-validity assessment. Conforming processors `MAY` provide access to some or all of this information; in the interests of simplifying discussion and documentation, this section defines names for several subsets of the PSVI, with the intention of simplifying short-hand descriptions of processors. These terms `MAY` be used to describe what parts of the PSVI a particular schema processor provides access to, or to specify requirements for processors, or for other purposes. A processor provides access to a particular subset of the PSVI if and only if it makes accessible some representation of the information in question, for information items to which it is applicable. (The properties labeled "if applicable" or "where applicable" below are simply the most obvious cases of properties which do not apply to every information item; the same qualification implicitly applies to all properties listed below.)

If other subsets of the PSVI prove important in practice it is expected that definitions of those subsets `MAY` be provided by other specifications or in later revisions of this one.

The definition in this section of a term denoting a particular subset of the PSVI does not constitute a requirement that conforming processors provide access to that subset.

root-validity subset

[Definition:] The **root-validity subset** of the PSVI consists of the following properties of the `·validation root·`:

- [validity]
- [validation attempted]
- [schema error code], if applicable

instance-validity subset

[Definition:] The **instance-validity subset** of the PSVI consists of the `·root-validity subset·`, plus the following properties on elements, wherever applicable:

- [validity]
- [validation attempted]
- [notation system]
- [notation public]

- [schema error code]

and the following properties on attributes, wherever applicable:

- [validity]
- [validation attempted]
- [schema error code]

type-aware subset

[Definition:] The **type-aware subset** of the PSVI consists of the ·instance-validity subset·, plus the following items and properties. It is intended that the type-aware subset of the PSVI include all the information needed by schema-aware XQuery 1.0 or XSLT 2.0 processors. In each case, the information is to be provided in some ·implementation-defined· representation. For elements:

- [element attribution]
- [element declaration]
- [nil]
- [type definition]
- [member type definition] (where applicable)
- [schema normalized value] (where applicable)
- [schema actual value] (where applicable)

and for attributes:

- [attribute attribution]
- [attribute declaration]
- [type definition]
- [member type definition] (where applicable)
- [schema normalized value] (where applicable)
- [schema actual value] (where applicable)

Note: In a future draft of this specification, it is expected that a list of specific component properties to which access SHOULD or MUST be provided will be included. No such list is present in the current draft; input from readers, users, schema authors, and implementors as to what properties are most usefully exposed in this subset would be very welcome.

lightweight type-aware subset

[Definition:] The **lightweight type-aware subset** of the PSVI provides the same information as the `·type-aware subset·`, except that instead of providing direct access to schema components, it provides only their names and related information. For elements:

- [match information]
- [type definition name]
- [type definition namespace]
- [type definition type]
- [type definition anonymous]
- [member type definition name] (where applicable)
- [member type definition namespace] (where applicable)
- [member type definition anonymous] (where applicable)

and for attributes:

- [match information]
- [type definition name]
- [type definition namespace]
- [type definition type]
- [type definition anonymous]
- [member type definition name] (where applicable)
- [member type definition namespace] (where applicable)
- [member type definition anonymous] (where applicable)

full instance subset

[Definition:] The **full instance subset** of the PSVI includes almost all properties defined by this specification as applying to element and attribute information items, but excludes schema components. It consists of the `·instance-validity subset·`, plus the following properties for elements:

- [descendent validity]
- [local element validity]
- [local type validity]
- [subsequence-valid]

- [match information]
- [type definition name]
- [type definition namespace]
- [type definition type]
- [type definition anonymous]
- [type fallback]
- [type alternative]
- [member type definition name] (where applicable)
- [member type definition namespace] (where applicable)
- [member type definition anonymous] (where applicable)
- [schema normalized value] (where applicable)
- [schema actual value] (where applicable)
- [schema default] (where applicable)
- [schema information] some implementation-defined representation (including at least the names of resources from which components were drawn)

and the following for attributes:

- [match information]
- [type definition name]
- [type definition namespace]
- [type definition type]
- [type definition anonymous]
- [member type definition name] (where applicable)
- [member type definition namespace] (where applicable)
- [member type definition anonymous] (where applicable)
- [schema normalized value]
- [schema actual value] (where applicable)
- [schema default] (where applicable)
- [schema specified] (where applicable)

full PSVI with components

The **full PSVI with components** consists of every property and information item defined in this specification.

In exposing element declarations, attribute declarations, type definitions, and other components, processors providing access to the full subset must provide some representation for all of the defined properties of the components. Note that although the properties are often redundant with other information, it is not required that the full subset include more than one representation of redundant information.

Note: The PSVI is a description of an information set, not a specification of a data structure or an application-programming interface. For convenience, this specification defines in some cases more than one term for denoting a particular piece of information: for example, the [type definition name] property of an element and the [name] property of the [type definition] property of that element are the same piece of information. If the [type definition] is supplied, then the [type definition name] is necessarily also available.

Similar observations can be made for other properties present in the full-instance subset but not mentioned here. Processors **SHOULD** allow access to the information without requiring users or applications to distinguish between the different names or access paths under which it might be described in this specification.

C.2 Terminology of schema construction



- C.2.1 [Identifying locations where components are sought](#)
- C.2.2 [Identifying methods of indirection](#)
- C.2.3 [Identifying the key for use in indirection](#)
- C.2.4 [Identifying when to stop searching](#)
- C.2.5 [Identifying how to react to failure](#)

Conforming processors **MAY** implement any combination of the following strategies for locating schema components, in any order. They **MAY** also implement other strategies.

The terminology offered here is intended to be useful in discussions of processor behavior, whether documenting existing behavior or describing required behavior.

General-purpose processors **SHOULD** support multiple methods for locating schema documents, and provide user control over which methods are used and how to fall back in case of failure.

C.2.1 Identifying locations where components are sought

Some terms describe how a processor identifies locations from which schema components can be sought:

hard-coded schemas

Full knowledge of one or more schemas is built into the processor. (Note: all processors are required to have some built-in knowledge of the built-in components. ·Schema-document aware· processors are additionally required to

have built-in knowledge of the XSD schema for schema documents.)

·automatically known· components

Full knowledge of one or more components is built into the processor; these components *MAY* be made available automatically by being included by that processor in every schema it constructs, or they *MAY* be included only under certain *·implementation-defined·* conditions (e.g. an explicit import of the relevant namespace, or choice of a specified invocation option).

Note: All processors are required to have some built-in knowledge of of the built-in components.

hard-coded schema locations

A list of locations at which schema documents will be sought is built into the processor. Particular locations can be associated with specific namespaces or can be used to seek any schema document.

named pairs

At invocation time, the user passes a set or sequence of (namespace-name, schema document) pairs to the processor, e.g. as a command-line option. (Can be used with early or slow exit strategy.) The namespace name is used as a check on the document, not as an instruction; if the schema document has a target namespace which differs from the namespace name specified, the processor signals an error.

schema documents

At invocation time, the user passes a set or sequence of schema documents, or identifiers for schema documents (e.g. URIs), to the processor, e.g. as a command-line option. Each schema document is associated with its target namespace, if any. (Can be used with early or slow exit strategy.)

interactive inquiry

For each namespace, the processor asks the user interactively (though mechanisms not specified here) where to seek the required schema components.

Note: This will perhaps be most useful as a fallback after other methods have failed.

namespace name

For each namespace, the processor attempts to dereference the namespace name; if a schema document is returned, it is processed. If some other kind of resource representation is returned, processors *MAY* interpret its content to locate a schema document.

Note: For example, if a RDDDL document is returned, a processor *MAY* search the RDDDL document for `rddl:resource` elements with the well-known property

`xlink:role = "http://www.w3.org/2001/XMLSchema"` and then attempt to dereference the location(s) indicated on the `xlink:href` attribute of the link.

schemaLocation hints in XML instance document

For each namespace, if the input document includes one or more `schemaLocation` hints for that namespace, the processor attempts to dereference those locations.

schemaLocation hints in schema documents

For each namespace, if a schema document being processed includes one or more `schemaLocation` hints for that namespace (e.g. on an `import` element, the processor attempts to dereference those locations.

local repository

For each namespace, a local repository of schema components is consulted. In some situations the consultation will require a key, in which see the terminology for indirection given below.

C.2.2 Identifying methods of indirection

Some terms describe various methods of indirection through local catalogs, search paths, or local repositories of schema documents and/or schema components. In each of these, a 'search key' is assumed which helps to control the indirection. Terms for different sorts of search key are defined below.

path indirection

The processor has (hard-coded or accepted as a parameter at invocation time or acquired from the environment) a series of expressions into which a search key is substituted. After substitution, each element of the series is interpreted as a file-system path and a schema document is sought at the location indicated by that path.

URI indirection

The processor has (hard-coded or accepted as a parameter at invocation time or acquired from the environment) a series of expressions into which a search key is substituted. After substitution, each element of the series is interpreted as a URI and a schema document is sought at the location indicated by that path.

catalog indirection

The processor consults an OASIS catalog (whose location can be hard-coded, passed as a parameter at invocation time or acquired from the environment) using a search key. The key can be sought for as a namespace name, as a public identifier, or as a system identifier.

local repository indirection

A local repository of schema components is consulted using a search key.

recursion

The location(s) returned by a catalog or other indirection mechanism are not consulted immediately but instead used as a key in a renewed indirection. Only after the indirection mechanism fails to return a value is an attempt made to dereference the last location returned.

non-recursion

The location(s) returned by a catalog or other indirection mechanism are consulted immediately; they are not used in recursive indirections.

C.2.3 Identifying the key for use in indirection

Locating schema components by means of any of the 'indirect' methods just identified will sometimes involve the specification of a value of some kind as a search key. Processors MAY vary in their choice of values to use as the key:

namespace key

The namespace name is used as a key.

location key

A location (e.g. a schema location hint or the location specified in a catalog or by the user) is used as a key.

C.2.4 Identifying when to stop searching

When more than one location is available for a given namespace, two distinct behaviors can be distinguished; these are orthogonal to other terms defined here:

early-exit

When more than one location is available for a given namespace, the processor attempts each in turn. When a location is successfully dereferenced and a schema document is obtained, the later locations on the list are ignored.

slow-exit

When more than one location is available for a given namespace, the processor attempts each in turn. All locations are tried, even if a schema document for the namespace has been obtained.

C.2.5 Identifying how to react to failure

When a processor seeks schema components at a particular location, but fails to find components of the namespace in question at that location, several different ways of responding to that failure can be distinguished:

error

The processor signals an error in some manner appropriate to its construction and environment. Some processors and some users will find it useful to distinguish fatal

errors (which cause processing to halt) from recoverable errors.

continue

The processor signals no fatal error and continues its search for components in the namespace in question by attempting another location.

C.3 Other Implementation-defined Features

This section defines terms intended to be useful in describing other implementation-defined choices.

XML-1.0-based datatypes

The datatypes defined by [\[XML Schema: Datatypes\]](#), taking the relevant definitions from [\[XML 1.0\]](#) and [\[XML Namespaces 1.0\]](#), for datatypes which depend on definitions from those specifications.

XML-1.1-based datatypes

The datatypes defined by [\[XML Schema: Datatypes\]](#), taking the relevant definitions from version 1.1 of [\[XML 1.1\]](#) and [\[XML Namespaces 1.1\]](#), for datatypes which depend on definitions from those specifications.

D Required Information Set Items and Properties (normative)

This specification requires as a precondition for `·assessment·` an information set as defined in [\[XML Infoset\]](#) which contains at least the following information items and properties:

Attribute Information Item

[local name], [namespace name], [normalized value], [prefix], [attribute type], [owner element]

Character Information Item

[character code], [parent]

Comment Information Item

[content], [parent]

Element Information Item

[local name], [namespace name], [children], [attributes], [in-scope namespaces], [namespace attributes], [prefix], [base URI], [parent]

Namespace Information Item

[prefix], [namespace name]

Processing Instruction Item

[target], [content], [base URI], [parent]

In addition, infosets SHOULD support the [unparsed entities] property of the Document Information Item. Failure to do so will mean all items of type [ENTITY](#) or [ENTITIES](#) will fail to ·validate·. If the [unparsed entities] property is supported, the following is also required:

Unparsed Entity Information Item

[name], [system identifier], [public identifier]

This specification does not require any destructive alterations to the input information set: all the information set contributions specified herein are additive.

This appendix is intended to satisfy the requirements for [Conformance](#) to the [XML Infoset](#) specification.

E Checklists of implementation-defined and implementation-dependent features (normative)

E.1 Checklist of implementation-defined features

[Definition:] An **implementation-defined** feature or behavior MAY vary among processors conforming to this specification; the precise behavior is not specified by this specification but MUST be specified by the implementor for each particular conforming implementation. (In the latter respect, ·implementation-defined· features differ from ·implementation-dependent· features.)

This appendix provides a summary of XSD features whose effect is explicitly ·implementation-defined·. Any software which claims to conform to this specification MUST describe how these choices have been exercised, in documentation which accompanies any conformance claim.

In describing the choices made for a given processor, it is hoped that the terminology defined in [Terminology for implementation-defined features \(normative\) \(§C\)](#) will be found useful.

1. For the datatypes defined by [XML Schema: Datatypes](#) which depend on [XML 1.1](#) or [XML Namespaces 1.1](#), it is ·implementation-defined· whether a schema processor takes the relevant definitions from [XML 1.1](#) and [XML Namespaces 1.1](#), or from [XML 1.0](#) and [XML Namespaces 1.0](#). Implementations MAY support either the ·XML-1.0-based· datatypes, or the ·XML-1.1-based· datatypes, or both. The same applies to the definition of whitespace.
2. It is ·implementation-defined· whether a schema processor can read schema documents in the form of XML documents. (See [Conformance \(§2.4\)](#) for distinction between "·minimally conforming·" processors and "·schema-document aware·" processors.)

3. Whether a ·schema-document aware· processor is able to retrieve schema documents from the Web is ·implementation-defined·. (See [Conformance \(§2.4\)](#), which defines "·Web-aware·" processors as ·schema-document aware· processors which can retrieve schema documents from the Web.)
4. The way in which a processor is invoked, and the way in which values are specified for the schema to be used, the information item to be validated, and the declaration or definition with which to begin validation, is ·implementation-defined·. (See [Assessing Schema-Validity \(§5.2\)](#).)
5. The manner in which a processor provides access to the information items and properties in the PSVI to any downstream or user applications, or to the invoker, is ·implementation-defined·.
6. The information items and properties in the PSVI to which the processor provides access, if any, is ·implementation-defined·. (See [Subset of the Post-schema-validation Infoset \(§C.1\)](#) for some subsets of the PSVI for which this specification provides names and definitions.)
7. When the ·post-schema-validation infoset· includes [type definition name] and similar properties, it is ·implementation-defined· whether unique names are provided for anonymous type definitions.
8. The method used for assembling a set of schema components for use in validation is ·implementation-defined·. (See [How schema definitions are located on the Web \(§4.3.2\)](#) for the normative prose and [Terminology of schema construction \(§C.2\)](#) for some terminology which can be used in describing implementation choices.)
9. It is ·implementation-defined· whether a schema processor provides a value for the [type definition name] and [member type definition name] properties of attribute and element information-items. If it does so, the choice of name is ·implementation-dependent·.
10. Everything ·implementation-defined· in [\[XML Schema: Datatypes\]](#) is also ·implementation-defined· in this specification.

Note: This includes, but is not limited to, the choice of ·XML-1.0-based· or ·XML-1.1-based· datatypes, or both; support for ·implementation-defined· primitive datatypes; and support for ·implementation-defined· constraining facets. See the [appendix](#) on implementation-defined and implementation-dependent features in [\[XML Schema: Datatypes\]](#).
11. It is ·implementation-defined· whether a processor detects violations of clause [2.4.2 of Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#) (a) always by examination of the schema in isolation, (b) only when some element information item in the input document is valid against its ·governing type definition· **T** but not against **T**·{base type definition}, or (c) sometimes the one and sometimes the other. In case (c), the circumstances in which the processor does one or the other are ·implementation-dependent·.

E.2 Checklist of implementation-dependent features



[Definition:] An **implementation-dependent** feature or behavior MAY vary among processors conforming to this specification; the precise behavior is not specified by this or any other W3C specification and is not required to be specified by the implementor for any particular implementation. (In the latter respect, ·implementation-dependent· features differ from ·implementation-defined· features.)

This appendix provides a summary of XSD features whose effect is explicitly ·implementation-dependent·. Choices made by processors in these areas are *not* required to be documented.

1. When a default value of type [QName](#) or [NOTATION](#) is applied to an element or attribute information item, it is ·implementation-dependent· whether ·namespace fixup· occurs to ensure that the {lexical form} maps to the {value}.
2. When a default value is supplied for a defaulted attribute and more than one prefix is bound to the namespace of the attribute in the [in-scope namespaces], it is ·implementation-dependent· which prefix is used for the attribute.
3. When a default value is supplied for a defaulted attribute and ·namespace fixup· is performed, it is ·implementation-dependent· what prefix is used in the new namespace information item.
4. When a default value is supplied for a defaulted attribute and ·namespace fixup· is performed, it is ·implementation-dependent· whether the consistency of the information set is preserved by (a) adding the new binding to the descendants of the element on which the defaulted attribute occurred, or by (b) undeclaring the new binding on the children of that element. When [XML Namespaces 1.0](#) rather than [XML Namespaces 1.1](#) is in use, namespace bindings cannot be undeclared, so the behavior is ·implementation-dependent· only for those implementations which do support [XML Namespaces 1.1](#) .
5. If more than one Identity-Constraint Definition fails to be satisfied, it is ·implementation-dependent· which of them are included in the [failed identity constraints] property of PSVI.
6. If more than one Assertion fails to be satisfied, it is ·implementation-dependent· which of them are included in the [failed assertions] property of PSVI.
7. The order of Annotation components within various components' {annotations} property is ·implementation-dependent·.
8. If a name is supplied for anonymous components (for example, [type definition name] and [member type definition name] properties in the ·post-schema-validation info set·), the choice of name is ·implementation-dependent·.
9. If a processor detects some violations of clause [2.4.2](#) of [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#) by examination of the schema in isolation, and others only when some element information item in the input document is valid against its ·governing type definition· *T* but not against *T*.{base type definition}, then the circumstances in which the processor does one or the other are ·implementation-dependent·.

F Stylesheets for Composing Schema Documents (Normative)

The transformations specified in the following sections in the form of [XSLT 2.0](#) stylesheets are used when assembling schemas from multiple schema documents. Implementations do not have to perform [XSLT 2.0](#) transformation, or use the stylesheets given here, as long as the same result is produced.

F.1 Transformation for Chameleon Inclusion

When a <schema> information item **D2** without a `targetNamespace` [attribute] is included ([Assembling a schema for a single target namespace from multiple schema definition documents \(<include> \(§4.2.2\)\)](#)), redefined ([Including modified component definitions \(<redefine> \(§4.2.3\)\)](#)), or overridden ([Overriding component definitions \(<override> \(§4.2.4\)\)](#)) by another <schema> **D1** with a `targetNamespace` [attribute], the following transformation, specified here as an [XSLT 2.0](#) stylesheet, is applied to **D2** before its contents are mapped to schema components. The transformation performs two tasks:

1. Add a `targetNamespace` [attribute] to **D2**, whose value is the same as that of the `targetNamespace` [attribute] of **D1**.
2. Update all QName references in **D2** that do not have a namespace name so that their namespace names become the `actual value` of the `targetNamespace` [attribute].

Stylesheet for Chameleon Inclusion

```
<xsl:transform version="2.0"
  xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:f="http://www.w3.org/2008/05/XMLSchema-misc">

  <xsl:param name="newTargetNamespace" as="xs:anyURI"
    required="yes"/>
  <xsl:param name="prefixForTargetNamespace" as="xs:NCName"
    select="f:generateUniquePrefix(0)"/>

  <xsl:template match="@*|node()">
    <xsl:copy><xsl:apply-templates select="@*|node()" /></xsl:copy>
  </xsl:template>

  <xsl:template match="xs:schema">
    <xsl:copy>
      <xsl:namespace name="{ $prefixForTargetNamespace }"
        select="$newTargetNamespace"/>
      <xsl:apply-templates select="@*"/>
      <xsl:attribute name="targetNamespace"
        select="$newTargetNamespace"/>
      <xsl:apply-templates/>
    </xsl:copy>
  </xsl:template>

  <xsl:template match="attribute(*, xs:QName)
    [namespace-uri-from-QName(.)='']">
    <xsl:attribute name="{ name() }"
      select="concat($prefixForTargetNamespace,
        ':',
        local-name-from-QName(.))"/>
  </xsl:template>
```

```

<xsl:function name="f:generateUniquePrefix" as="xs:NCName">
  <xsl:param name="try" as="xs:integer"/>
  <xsl:variable name="disallowed"
    select="distinct-values(//*[in-scope-prefixes()])"/>
  <xsl:variable name="candidate"
    select="xs:NCName(concat('p', $try))"/>
  <xsl:sequence select="if ($candidate = $disallowed) then
    f:generateUniquePrefix($try+1)
    else
    $candidate"/>
</xsl:function>

</xsl:transform>

```

F.2 Transformation for `xs:override`

When a `<schema>` information item **D1** contains `<override>` elements, the transformation specified in the following [XSLT 2.0](#) stylesheet is performed once for each such `<override>` element. It requires as parameters (a) the `<override>` element in **D1** (call it **O1**) as the `overrideElement` parameter and (b) the `<schema>` element of the schema document **D2** identified by the `schemaLocation` attribute of **O1** as the `overriddenSchema` parameter. The transformation produces another `<schema>` **D2'**, which is equivalent to **D2** except that some elements in **D2** are replaced or modified, as follows.

For each element information item **E2** in the [children] of **D2's** `<schema>`, `<redefine>`, or `<override>` information item, the appropriate **case** among the following is true:

- 1 If **E2** has element type `<simpleType>`, `<complexType>`, `<group>`, `<attributeGroup>`, `<element>`, `<attribute>`, or `<notation>`, and **O1** has a child **E1** with the same element type and the same value for its `name` attribute, then **D2'** has an element identical to **E1** in **E2's** place.
- 2 If **E2** has one of the element types specified in clause 1, but **O1** has no matching child, then **D2'** has an element identical to **E2** in the same place as where **E2** is in **D2**.
- 3 If **E2** has element type `<include>`, then **D2'** has an `<override>` element with `schemaLocation` = **E2.schemaLocation** and [children] identical to those of **O1**.
- 4 If **E2** has element type `<override>`, then **D2'** has an `<override>` element **O2**, with `schemaLocation` = **E2.schemaLocation** and [children] which are drawn from among the [children] of **E2** and **O1**, as specified by the appropriate **case** among the following:
 - 4.1 If a child of **E2** and a child of **O1** match as described in clause 1, then **O2** has a child identical to the child of **O1**.
 - 4.2 If a child of **E2** matches no child of **O1** as described in clause 1, then (as described in clause 2) **O2** has a child identical to the child of **E2**.
 - 4.3 If a child of **O1** matches no child of **E2** as described in clause 1, then **O2** has a child identical to the child of **O1**.

Note: Informally, the rule just given has the effect that **O2** contains (a) all the [children] of **O1**, as well as (b) all of the [children] of **E2** which are not overridden by some child of **O1**. The elements corresponding to [children] of **E2** come first, followed by the [children] of **O1** which matched nothing in **E2**.

The base URI of **D2'** is the same as that of **D2**.

Note: Informally, **D2'** is like **D2** except that (a) any elements matched by any [children] of **O1** are overridden (replaced) by the corresponding [children] of **O1**, (b) any schema documents included by means of <include> elements in **D2** are overridden (transformed) by **O1** instead of being included without change, and (c) any schema documents overridden by means of <override> elements in **D2** are to be overridden (transformed) both as specified in the <override> elements in **D2** and as specified in **O1**; if both apply, the information in **O1** takes precedence.

The result is that the transformation described by **O1** is applied to all the document in the ·target set· of **O1**.

Note: Because **D2** and **D2'** have the same base URI, relative references in **D2'** will be unaffected by the transformation.

Stylesheet for xs:override

```
<xsl:transform version="2.0"
  xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
  xmlns:xs="http://www.w3.org/2001/XMLSchema"
  xmlns:f="http://www.w3.org/2008/05/XMLSchema-misc"
  exclude-result-prefixes="f">

  <xsl:import-schema
    namespace="http://www.w3.org/2001/XMLSchema"
    schema-location="./XMLSchema.xsd"/>

  <xsl:param name="overrideElement" as="schema-element(xs:override)"/>
  <xsl:param name="overriddenSchema" as="schema-element(xs:schema)"/>

  <xsl:template name="start">
    <xsl:result-document validation="strict">
      <xsl:apply-templates select="$overriddenSchema"/>
    </xsl:result-document>
  </xsl:template>

  <xsl:template match="schema-element(xs:schema)
    | schema-element(xs:redefine)">
    <xsl:copy>
      <xsl:copy-of select="@*"/>
      <xsl:apply-templates/>
    </xsl:copy>
  </xsl:template>

  <xsl:template match="schema-element(xs:import)" priority="5">
    <xsl:copy-of select="."/>
  </xsl:template>

  <!--* replace children of xs:schema, xs:redefine, and xs:override
    * which match children of $overrideElement. Retain others.
  *-->
  <xsl:template match="schema-element(xs:schema)/*
    | schema-element(xs:redefine)/*
    | schema-element(xs:override)/*"
    priority="3">
    <xsl:variable name="original" select="."/>
    <xsl:variable name="replacement"
      select="$overrideElement/*
        [node-name(.)=node-name($original)
        and
```

```

        f:componentName(.)=f:componentName($original)]"/>
    <xsl:copy-of select="($replacement, $original)[1]"/>
</xsl:template>

<!--* replace xs:include elements with overrides
*-->
<xsl:template match="schema-element(xs:include)"
    priority="5">
    <xsl:element name="xs:override">

        <xsl:copy-of select="@schemaLocation, $overrideElement/*"/>
    </xsl:element>
</xsl:template>

<!--* change xs:override elements:  children which match
* children of $overrideElement are replaced, others are
* kept, and at the end all children of $overrideElement
* not already inserted are added.
*-->
<xsl:template match="schema-element(xs:override)"
    priority="5">
    <xsl:element name="xs:override">
        <xsl:attribute name="schemaLocation">
            <xsl:value-of select="@schemaLocation"/>
        </xsl:attribute>
        <xsl:apply-templates/>
        <xsl:apply-templates select="$overrideElement/*"
            mode="copy-unmatched">
            <xsl:with-param name="overriddenOverride" select="."/>
        </xsl:apply-templates>
    </xsl:element>
</xsl:template>

<xsl:template match="*" mode="copy-unmatched">
    <xsl:param name="overriddenOverride"></xsl:param>
    <xsl:variable name="overriding" select="."/>
    <xsl:variable name="overridden" select="$overriddenOverride/*[
        node-name(.) = node-name($overriding)
        and
        f:componentName(.) = f:componentName($overriding)
    ]"/>
    <xsl:choose>
        <xsl:when test="count($overridden) > 0">
            <!--* do nothing; this element has already been copied *-->
        </xsl:when>
        <xsl:when test="count($overridden) = 0">
            <!--* copy this element, it isn't already there *-->
            <xsl:copy-of select="."/>
        </xsl:when>
    </xsl:choose>
</xsl:template>

<xsl:function name="f:componentName" as="xs:QName">
    <xsl:param name="component" as="element()"/>
    <xsl:sequence select="
        QName($component/ancestor::xs:schema/@targetNamespace,
            $component/@name)"/>
</xsl:function>

</xsl:transform>

```

G Changes since version 1.0 (non-normative)

G.1 Changes made since version 1.0



Note: The grouping of changes in the paragraphs below is intended to make the list easier to scan. It is an ad hoc grouping for convenience to which no great significance should be attached. Some changes could have been listed in more than one place; in such cases the choice was arbitrary.

Changes to the relationship between this and other specifications:

- Support for XML 1.1 has been added. It is now implementation defined whether datatypes dependent on definitions in XML ([\[XML 1.1\]](#), [\[XML 1.0\]](#)) and Namespaces in XML ([\[XML Namespaces 1.1\]](#), [\[XML Namespaces 1.0\]](#)) use the definitions as found in version 1.1 or version 1.0 of those specifications.

Schema language versions:

- A conditional inclusion mechanism is defined, roughly analogous to the XSLT 2.0 `use-when` attribute or to the C preprocessor `#ifdef` construct. By means of the `vc:minVersion` and `vc:maxVersion` attributes, a simple forward-processing mechanism is supplied, so that conforming XSD 1.1 processors can successfully ignore constructs introduced in future versions (if any) of XSD, and so that schema authors can define schemas which use newer constructs when available but can fall back on older constructs when the newer constructs are not available.
- Identifiers for different versions of XSD are now defined in section [Schema Language Identifiers \(§1.3.4\)](#).

Content models:

- The [Unique Particle Attribution \(§3.8.6.4\)](#) constraint has been relaxed. While competition between two `·element particles·` is still forbidden, as is competition between two `·wildcard particles·`, competition between an `·element particle·` and a `·wildcard particle·` is no longer forbidden. In the course of making this substantive change, some editorial changes have also been made, in order to make the exposition clearer. (Readers familiar with version 1.0 of this specification will find that the constraint works in almost exactly the same way as it did in 1.0, except that content models in which an input item matches either a `·wildcard particle·` or an `·element particle·` are now allowed.)
- Content models may now use the `<openContent>` element to specify content models with "open content". Such content models allow elements not explicitly mentioned in the content model to appear in the document instance; it is as if wildcards were automatically inserted at appropriate points within the content model. By specifying what kind of wildcard is implicitly inserted, the schema author can adjust the degree of openness and determine what elements are accepted by the open content; the schema author can also specify that the content model should be open everywhere, or only at the end. A schema-document wide default may be set, which causes all content models to be open unless otherwise specified.
- Wildcards may now be defined which allow names in any namespace but those in a set of proscribed namespaces. (In version 1.0 of this specification, only a single

namespace, the target namespace of a schema document, could be proscribed.) Also, wildcards can now be written which match any element in a set of namespaces but which exclude a particular set of qualified names from matching the wildcard. Finally, the keyword **##definedSibling** can be used to exclude all elements explicitly mentioned in a content model (and all elements substitutable for those elements).

- Wildcards can now be defined which match any element (in the specified namespaces) which does *not* match an element declaration in the schema (so-called "not-in-schema" wildcards).
- Several of the constraints imposed by version 1.0 of this specification on **all**-groups have been relaxed:
 - Wildcards are now allowed in **all** groups.
 - The value of `maxOccurs` may now be greater than 1 on particles in an **all** group. The elements which match a particular particle need not be adjacent in the input.
 - **all** groups can now be extended by adding more members to them.
- Complex types whose content models are `all`-groups can now be extended; the result is an `all`-group (usually a larger one).

Assertions and rules for evaluation of XPath

- Support for check clauses to implement some co-occurrence constraints has been added. Each complex type can carry a list of assertions, which are checked when the complex type is used to validate an element information item.
- The facility for assertions defined in the working draft of 31 August 2006 has been revised.
 - The `report` element described in earlier drafts has been removed. This involves no loss of functionality: the same effect can be obtained by wrapping the test expression on an `<assert>` element in a negation.
 - The XPath subset defined for assertions has been eliminated. (A somewhat smaller subset is now defined for conditional type assignment.)
- Rules are defined for the evaluation of XPath expressions (in assertions, in conditional type assignment, or in identity-constraint definitions).
 - The static and dynamic contexts for XPath evaluation are explicitly specified.
 - Rules are provided for constructing the [XDM](#) data model instance against which the XPath expressions are to be evaluated. Different rules apply in different situations:
 - When assertions on a complex type are evaluated, only the subtree rooted in an element of that type is mapped into the data model instance. References to ancestor elements or other nodes outside the subtree are

not illegal but will not be effective.

- For conditional type assignment, neither the ancestors nor the children of the element in question are included; the conditions for type assignment are thus effectively restricted to the attributes of the element.
- For assertions on simple types, only the value is provided; the dynamic context includes no context item.
- Rules for assigning types to the nodes of the data model instance are defined. Again, the rules differ for the different uses of XPath:
 - When assertions are evaluated, all of the elements and attributes descended from the element being validated are typed in the normal way; this has the effect that comparisons among attribute values (for example) are performed in a way consistent with the declarations of the attributes. The element node itself, however, is not typed (since it has not yet been completely validated).
 - For conditional type assignment, the nodes of the data model instance are untyped.

Derivation of complex types;

- The rules for checking validity of complex-type restrictions have been simplified by reformulating the constraint in terms of local validity: the set of elements or attributes accepted by a restriction as locally valid must be a subset of those accepted by its base type. The rules for attributes have also been changed.

The complex rules involving matching up particles in the base type and particles in the restriction, with their complex case by case analysis, have been replaced by a statement of the constraint which is shorter and more correct.

- It is now possible to specify a target namespace for local elements and attributes which differs from the target namespace of the schema document itself, when restricting a complex type which has local elements or attributes and which itself is in another namespace. This should simplify the reuse of types from other namespaces.
- The rules for complex type restriction now allow identity constraints on local elements. To make this possible, identity constraints may now be given names and referred to from elsewhere. Corresponding changes have been made in the description of the Schema component and in the rules for 'QName resolution'.
- This draft clarifies the rule requiring that any complex type derived by extension could, in principle, be derived in three steps from `*xs:anyType*` (first a restriction step, then an extension step, then a restriction step). A misleading note about the purpose of this rule has been deleted.

Complex type definitions (miscellaneous changes):

- The constraint [Element Declarations Consistent \(§3.8.6.3\)](#) has been revised to

require more consistency in type assignment when elements with the same expanded name may match both a local element declaration and a wildcard in the same content model. XSD 1.0 allows such content models even if there is a discrepancy between the type assigned to elements by the local element declarations and by the top-level element declaration which will govern elements which match the wildcard. For compatibility reasons, such content models are still allowed, but any element instance which matches the wildcard is required to have a governing type definition compatible with the type assigned by the local element declarations matched by the element's expanded name.

- The elements `<complexType>` and `<complexContent>` are now forbidden to have different values for the `mixed` attribute.
- Skip wildcards are now excluded from the [Element Declarations Consistent \(§3.8.6.3\)](#) constraint, and that constraint now also takes open content into account; these changes resolve issue [5940 Element Declarations Consistent](#).

ID, IDREF, and related types:

- Certain constraints involving `ID` have been extended to include lists of `ID` and unions including `ID`. See e.g. [Constraints on Attribute Declaration Schema Components \(§3.2.6\)](#).
- An element may now have multiple attributes of type `xs:ID`. Elements have always been able to have multiple children of type `xs:ID`, but XSD 1.0 forbade multiple attributes of this type for compatibility with XML DTDs. (Schemas intended to be translatable into DTD form should still avoid the practice.) This change should make it easier for XML vocabularies to support both existing ID attributes and `xml:ID`.
- The validation rules for values of type `xs:IDREF`, `xs:ENTITY`, or `xs:ENTITIES` are now enforced on default values.
- Elements and attributes of type `xs:ID` may now have default or fixed values. XSD 1.0 had forbidden this, for compatibility with XML DTDs.

Changes involving simple type definitions and related constraints:

- A new type definition called `anyAtomicType` has been introduced into the type hierarchy between `anySimpleType` and all the *atomic* built-in type definitions. See [Built-in Simple Type Definitions \(§3.16.7\)](#).
- An error in version 1.0 of this specification relating to the construction of union types from other union types has been corrected. Unions may now appear as members of other unions, and all restrictions of unions are correctly enforced, even when `xsi:type` is used on an element to name a member of the union.
- The requirement that a facet value be a "valid restriction" of another, in the context of simple type restriction, has been clarified.
- No union type may be a member of its own transitive membership, nor may any type derived from the union. (XSD 1.0 forbade union datatypes to be members of other unions and thus had no need to forbid this explicitly.)

- Since not all datatypes have a defined canonical representation for all of their values, appeals to the canonical forms of values have been eliminated.
- Changes have been made to ensure that the descriptions of the Simple Type Definition component and of `*xs:anySimpleType*` agree in all details with those of [\[XML Schema: Datatypes\]](#).
- Equality and identity of lists have been clarified.

Changes to element declarations:

- A new form of co-occurrence constraint has now been defined, by allowing the type assigned to element instances to be conditional on properties of the instance (typically attribute values). The addition of conditional type assignment has entailed a number of changes:
 - Introduction of a Type Table property on element declarations, to hold a sequence of Type Alternatives (condition - selected-type pairs) and a default type definition
 - Constraints on that table: all types named in the table (including the default) must be `*validly substitutable*` for the declared {type definition}.
 - Changes to the XML syntax and XML mapping rules to allow expression of conditional type bindings: the `<alternative>` element is added, the content model of `<element>` is changed.
 - Validation rules for conditional types: a validation-time check on restrictions of complex types ensures that the conditionally assigned types of their children are appropriately related to the types assigned by their base type; see [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) and [Conditional Type Substitutable \(§3.4.4.5\)](#); the definition of `*governing type definition*` is also adjusted
 - Rules for evaluating the conditional typing tests (more specifically, rules for constructing a temporary infoset and then building the XDM instance and evaluating the XPath expressions as defined elsewhere; priority of tests is given by document order / component order)
 - PSVI changes to reflect details of the conditional typing: a {type alternative} property is added, and the discussion of [type fallback] now refers to the `*selected type definition*` rather than to either the declared {type definition} or to the `*governing type definition*` of the element information item
 - Introduction of some terminology for discussing conditional types (define `*selected type definition*`, `*conditionally selects*`, `*validly substitutable as a restriction*`, `*context-determined type table*`)
 - Rules for checking type restriction in the presence of conditional types
 - Introduction of a special `*xs:error*` type for use in identifying conditionally assigned types which violate restriction rules

- Miscellaneous supporting editorial changes
- Element declarations may now specify multiple substitution-group heads.
- Abstract elements may now appear in substitution groups.

Attributes:

- Attribute declarations can now be marked {inheritable} (see [Inherited Attributes \(§3.3.5.6\)](#)) and the values of inherited attributes are accessible in the XDM data model instance constructed for checking assertions (see [Assertions \(§3.13\)](#)) and for conditional type assignment (see [Type Alternatives \(§3.12\)](#)).

Among other consequences, this allows conditional type assignment and assertions to be sensitive to the inherited value of the `xml:lang` attribute and thus to the language of the element's contents. This change was introduced to resolve issue [5003 Applicability of <alternative> element to xml:lang](#), raised by the [W3C Internationalization Core Working Group](#).

- The rules for default attribute values now refer to the 'effective value constraint', rather than to the [Value Constraint]; this resolves a bug in the handling of default values for global attribute declarations.
- The text now makes clear that it is pointless (although not illegal) for schema documents to supply default or fixed values for `xsi:type` and other attributes in the namespace `http://www.w3.org/2001/XMLSchema-instance`, since they will not be applied.
- Default attribute groups are now supported. The `<schema>` element can carry a `defaultAttributes` attribute, which identifies a named Attribute Group Definition; each complex type defined in the schema document then automatically includes that attribute group, unless this is overridden by the `defaultAttributesApply` attribute on the `<complexType>` element. Default attribute groups make it easier to specify attributes which should be accepted by every complex type in a schema (e.g. `xml:id` and `xml:lang`).
- All wildcard unions are now expressible, and wildcard union is used to combine multiple attribute wildcards, rather than wildcard intersection; this change resolves issue [6163 3.10.6.3 Attribute Wildcard Union](#).

Changes in the structure of schema components:

- Every component now has an {annotations} property whose value is a sequence of annotation elements and out-of-band attributes. See e.g. [The Complex Type Definition Schema Component \(§3.4.1\)](#).

Annotations are no longer allowed to vary in the part of a content model shared by a complex type and its extensions. (This was never possible in components specified using schema documents, but was possible in "born-binary" components.)

- A {context} property has been defined for the definitions of complex and of simple types; this property simplifies testing for the identity of anonymous type definitions.

See e.g. [The Complex Type Definition Schema Component \(§3.4.1\)](#). The {context} property replaces the {scope} property found in some earlier drafts of this document.

- The Schema component has an additional {identity-constraint definitions} property containing all the identity constraints in the corresponding schema. See [The Schema Itself \(§3.17.1\)](#) and [XML Representations of Schemas \(§3.17.2\)](#).
- The underlying basis for the definition of all the different kinds of components has changed to make use of a regular and formal tabulation of their properties. This has been achieved by introducing *property records* wherever version 1.0 had complex property values. For example instead of describing the {scope} property as having "either **global** or a complex type definition" for its value, a Scope property record is called for, which in turn has its own simple properties and values. See e.g. [The Element Declaration Schema Component \(§3.3.1\)](#).

The process of validation:

- When an `xsi:type` attribute appears on an element, and has a QName as its value, but the QName does not resolve to a known type definition, processors are now required to "fall back" to lax validation, using the declared {type definition} of the ·governing element declaration· as the ·governing type definition·.
- Element information items which match no particle in a content model are now to be validated using their ·locally declared type·. Earlier drafts did not specify what happened in such cases.
- ·Lax assessment· is now required when an element information item to be validated has neither a ·governing element declaration· nor a ·governing type definition·; also, lax assessment now requires that the [children] and [attributes] of the element be assessed as well. In XSD 1.0 and in earlier drafts, lax assessment was optional and did not require the recursive assessment of [children] and [attributes].
- The text now specifies that if an element has an `xsi:type` attribute, the ·actual value· of that attribute must ·resolve· to a type definition, and that type definition must be the ·governing type definition· of the element. (This affects only elements without a ·governing element declaration·; other cases were already handled.)
- The terminology of assessment has been changed to avoid the suggestion that an element information item can be ·strictly assessed· without being ·assessed·.

Changes in the description of the ·post-schema-validation infoset·:

- The presentation of the ·post-schema-validation infoset· has been simplified by removing the suggestion that the ·post-schema-validation infoset· varies from processor to processor. Instead, the exposition now makes clearer that the body of information available in principle after schema-validity assessment is consistent across all processors; processors may make different subsets of the ·post-schema-validation infoset· accessible to downstream applications, but when they do so the variation reflects the implementors' decisions about what information to expose, not variation in the information in the ·post-schema-validation infoset·.

- Terms have been defined to describe different subsets of the ·post-schema-validation infoset· which may be exposed by processors.
- Provision is made for exposing the ·actual values· of elements and attributes in the ·post-schema-validation infoset·, in the {schema actual value} property.
- The [element declaration] property and various other properties in the ·post-schema-validation infoset· are now described as being present in the ·post-schema-validation infoset· whenever a ·governing· declaration and/or ·governing· type definition is known for the item, instead of only when the item is valid.
- When the ·governing· type definition of an attribute or element information item is a list type whose item type is a union, the ·post-schema-validation infoset· now includes the ·actual member type definition· for each item in the list.
- When default values are supplied for attributes with qualified names, ·namespace fixup· is performed to ensure that the [in-scope namespaces] property of the attribute's host element has an appropriate binding for the namespace name. It is ·implementation-defined· whether ·namespace fixup· is also performed on descendants of that element so as to retain consistency of the infoset. ·Namespace fixup· may also be helpful if the defaulted value is of type [QName](#) or [NOTATION](#); it is ·implementation-dependent· whether fixup is performed for such values.
- Annotations given in the XML form of identity-constraint declarations with `ref` attributes are now retained in the ·post-schema-validation infoset· form of the containing element declaration. This change resolves issue [6144 annotation on IDC with a 'ref' attribute is lost](#).

Changes to the description of conformance:

- The different levels of conformance have been given shorter and more convenient names.
- A checklist has been included listing ways in which conforming processors may vary from each other, and terminology has been provided for some of the more important properties of conforming processors, in an attempt to make it easier for implementors to describe concisely which options their processors exercise, and easier for users to describe what kinds of processor they require.
- The definition of MUST and ·error· have been revised to specify that conforming processors MUST detect and report error in the schema or schema documents. The quality and detail of the error messages are not constrained.
- Implementations are now allowed to support primitive datatypes and facets beyond those defined in [\[XML Schema: Datatypes\]](#).
- The validity requirements for schema documents are stated more fully and correctly.

Schema assembly and composition:

- The <redefine> construct is ·deprecated·.

- An `<override>` construct has been defined; in some ways it resembles `<redefine>`, but imposes no constraints on the new definitions provided for components whose definitions are being overridden.
- The discussion of `<include>` and `<override>` has been revised to eliminate an ambiguity in earlier versions of this spec regarding the meaning of cyclic dependencies formed by use of `<include>` and `<override>`: such cyclic dependencies are now clearly allowed and have a well defined meaning.
- When an `xsi:schemaLocation` attribute provides information about a schema document location for a particular namespace, it is no longer an error for it to be encountered after the first occurrence of an element or attribute information item in that namespace. Note, however, that if processing such an `xsi:schemaLocation` attribute causes new components to be added to the schema, then the new components cannot change the assessment outcome of any information items already seen before the element bearing the `xsi:schemaLocation` attribute.
- No `<import>` is needed in a schema document in order to refer to components in namespaces `http://www.w3.org/2001/XMLSchema` OR `http://www.w3.org/2001/XMLSchema-instance`. In XSD 1.0, the examples showed no such imports, but there was no rule making it legal to omit the `<import>`.
- The handling of "chameleon" inclusion and redefinition in schema documents has been simplified. The new target namespace affects any component or property which would have the target namespace if the schema document specified one. This change makes it easier to write assertions in schema documents without a namespace which are intended to be included by schema documents with varying target namespaces.
- Section [Identifying how to react to failure \(§C.2.5\)](#) has now been added, defining the terms **error** and **continue** for use in specifying what a processor does or should do when it seeks components for a given namespace in a given location but fails to find them there.
- Schema processors are now explicitly recommended to provide a user option to control whether the processor attempts to dereference schema locations indicated in `schemaLocation` attributes in the instance document being validated; this resolves issue [5476 xsi:schemaLocation should be a hint, should be MAY not SHOULD](#).

Miscellaneous substantive changes:

- The discussion of schema-validity assessment and the invocation of conforming processors has been revised; additional invocation patterns have been identified, and names have been given to the different methods of invoking a processor.
- When an element cannot be strictly validated because no element declaration or type definition is available for it, fallback to lax validation (validating the element against the built-in type `*xs:anyType*`) is now required; in earlier drafts of this document, fallback to lax validation was optional.
- The XML Representation Constraints no longer refer to the component level; this makes it possible to test a schema document in isolation to determine whether it

conforms or fails to conform to these rules.

- The constraints on the XML representation of schemas have been reformulated to allow them to be checked on schema documents in isolation, rather than requiring knowledge of the rest of the schema into which they will be embedded. The consequence is that some errors are caught not in the XML representation constraints but by having the XML mapping rules generate faulty components so that the error can be detected at the component level. These changes resolve issue [6235 Restriction from xs:anySimpleType](#).
- The <schema> element is now declared with open content in the schema for schema documents. This change addresses issue [5930 defaultOpenContent in the S4SD](#).
- The setting `blockDefault="#all"` has been removed from the schema for schema documents; this change resolves issue [6120 Reconsider blockDefault=#all](#).
- Namespace fixup is now explicitly required in some places where it is needed but was not mentioned before; these changes resolve issue [6445 Namespace fixup and default namespace](#) and issue [6465 Namespace fixup and inherited attributes](#).

Clarifications and other editorial changes:

- Each named constraint is now given in a separate section, to simplify reference to them.
- The XML mapping rules have been reorganized to make them more perspicuous.
- The keywords defined by [\[IETF RFC 2119\]](#) to designate different levels of requirement have been marked up to distinguish more consistently between cases where their normative meaning is intended (e.g. "MUST") and cases where the words are used in its everyday sense without conformance implications (e.g. "must"). See [Documentation Conventions and Terminology \(§1.5\)](#).
- A note has been added, warning that the **replace** and **collapse** values for whitespace handling are not a reliable means of neutralizing the effects of word-wrapping and pretty-printing of natural-language data and should not be used for that purpose.
- Several minor corrections and clarifications have been made. The usage of some technical terminology has been clarified, normalized, and aligned where appropriate with the usage in [\[XML Schema: Datatypes\]](#). Conditionals using "if" have been rephrased to use "if and only if" where appropriate.
- The title of the specification has been changed, and the language defined here is referred to as XSD, not using the name "XML Schema". This may help reduce confusion between the language defined here and the broader class of XML schema languages in general.
- Conformance-related language has been reviewed to avoid confusion between the conformance-related usage of the verbs MAY, MUST, and SHOULD, and other usages.

- Various new terms have been defined, and some existing terms have been redefined, to reduce confusion and improve legibility. In some cases, existing terms which were felt insufficiently informative have been replaced by new terms which may be more useful.
- Following the example of XQuery 1.0 and XSLT 2.0, the terms "·implementation-defined·" and "·implementation-dependent·" have been defined and the two concepts distinguished. The appendix contains lists both of ·implementation-defined· and of ·implementation-dependent· features.
- The term "context-determined-declaration" has been replaced with the term ·locally declared type·; this resolves issue [4690 Editorial: 'context-determined declarations' needs more work](#).
- The namespace prefixes used to refer to well known namespaces have been changed and are now more consistent; this resolves issue [4316 Make sure namespace prefixes are used appropriately throughout structures](#).
- Numerous small changes were made in the interests of clarity, completeness, consistency, and precision, and to correct typographical errors. These changes resolve a number of issues, including: [5140 small editorial changes section 3.3](#); [5148 inconsistent target ns description](#); [5639 when is value V a valid restriction of value Y?](#); [5800 Possibly revise list of required infoset properties](#); [5916 Obsolete editorial note](#); [5917 Typo in 3.1.1](#); [5934 Typo concerning <simpleContent mixed="true">](#); [6011 \[schema11\] base URI comments](#); [6156 Typo in 3.4.2](#); [6162 <anyAttribute> allows ##definedSibling](#); [6165 Constraints on XML representation of anyAttribute](#); [6166 Schema Component Model for Wildcards](#); [6167 Attribute Wildcard Intersection](#); [6170 Wildcards and defaultAttributes](#); [6175 Wildcard overlap](#); [6227 Type Derivation OK \(simple\)](#); and [6233 Wrong pointer for \[nil\] PSVI property](#).

G.2 Issues not resolved

It may be useful to mention some points where possible changes to the specification have been discussed, but on which no changes have, in the end, been made. In some cases, this resulted from the XML Schema Working Group's determination that no change was desirable; in other cases, there was no consensus on the desirability of change, or no consensus on what change should be made.

- As noted above, some restrictions on **all** groups have been relaxed; **all** groups, however, must still be top-level groups; they are not allowed to appear within sequences or choice groups.
- The namespace-related properties of the basic infoset are ·fixed up· when attributes with qualified names are assigned default values.

Other kinds of infoset fixup, however, are still not performed. Attributes of type `ID`, `IDREF`, `IDREFS`, and `NOTATION` do not have the same effect on the base infoset as they do if declared in a DTD. (An infoset-to-infoset transformation can be used to migrate the appropriate information into the base infoset.)

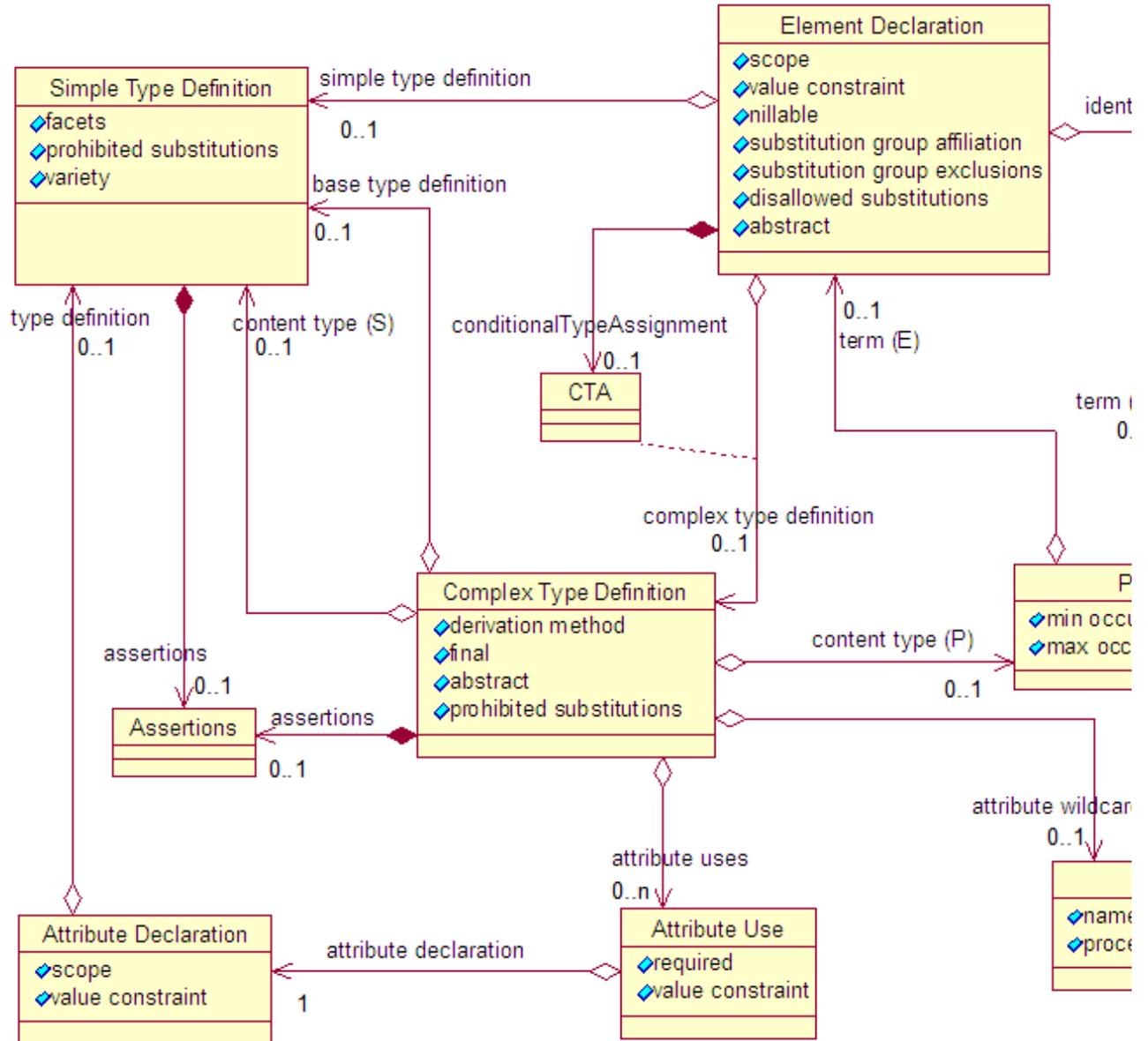
- Some existing implementations (and specifications) assume that elements of type

`xs:ID` uniquely identify themselves, instead of uniquely identifying their parent. This version of this specification reaffirms the existing rule, which is that elements and attributes of type `xs:ID` uniquely identify the parent element of the ID attribute or element.

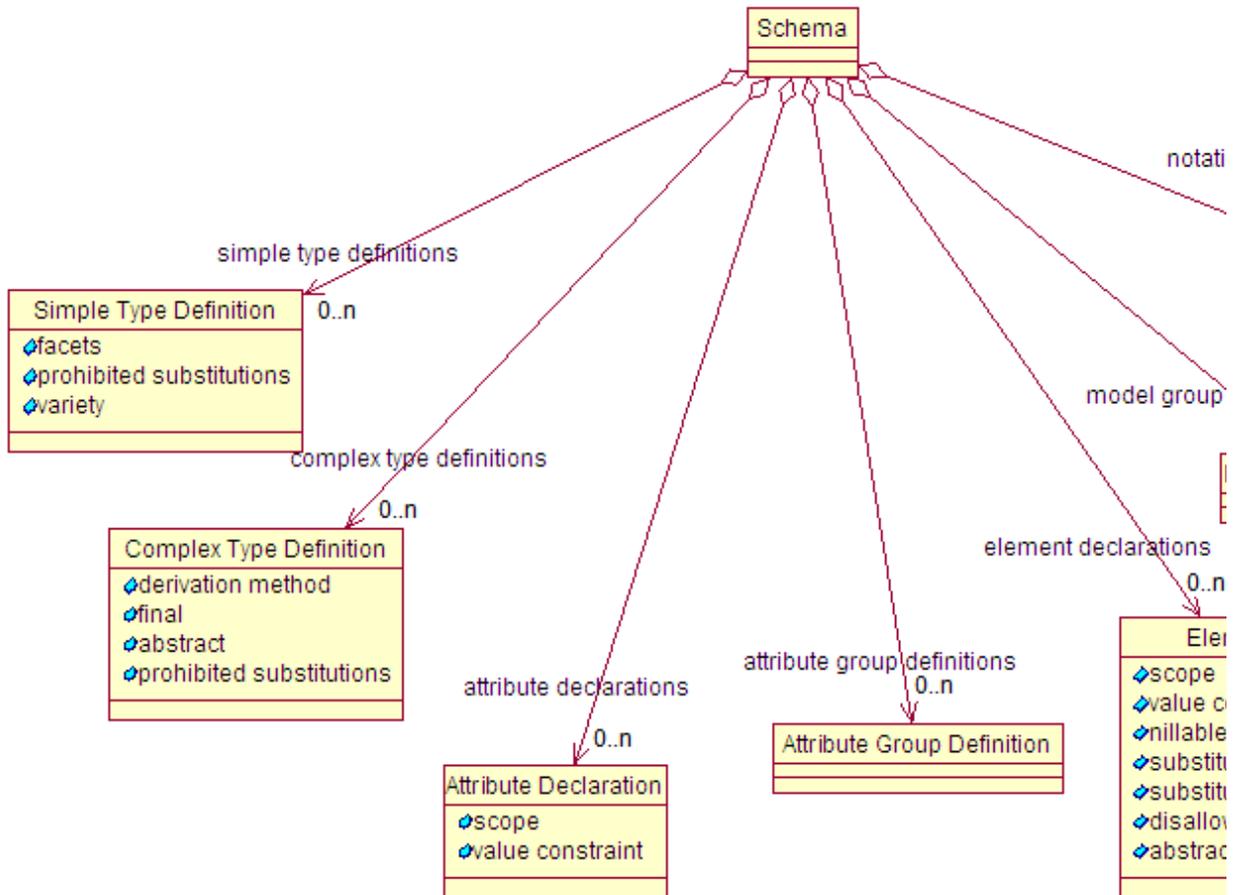
- The identity of components is still underspecified (although a number of points have been clarified, e.g. by the specification of the {scope} property), with the result that some schemas can be interpreted either as conformant or as non-conformant, depending on the interpretation of the specification's appeals to component identity.
- The constraint [Element Declarations Consistent \(§3.8.6.3\)](#) has been recast, but not at the higher level of abstraction originally required and expected.
- The account of schema composition given here has not eliminated all the uncertainties present in XSD 1.0; edge cases remain which different conformant implementations will treat differently.
- A systematic tabulation of error conditions and definition of a new system of error codes was originally foreseen for XSD 1.1, but has not been completed for inclusion here. No further work in this area is currently anticipated.

H Schema Components Diagram (non-normative)

The following UML class diagram shows the interrelations of element declarations, simple and complex type definitions, and related component classes. In the interests of simplicity, a few liberties have been taken with the notation. For example, direct links are shown from Element Declaration to Simple Type Definition and Complex Type Definition, rather than a single link to a generic Type Definition class specialized by simple and complex types. Similarly, a particle in a content model has exactly one term, which is either an element declaration, a wildcard, or a model group, but this diagram does not show any class created as a generalization of these three.



The following UML class diagram shows the relation of various component classes to the Schema component.



I Glossary (non-normative)

The listing below is for the benefit of readers of a printed version of this document: it collects together all the definitions which appear in the document above.

absent

Throughout this specification, the term **absent** is used as a distinguished property value denoting absence

accept

A model group **G** is said to **accept** or **recognize** the members of $L(G)$.

accept

A particle **P** is said to **accept** or **recognize** the members of $L(P)$. Similarly, a term **T** **accepts** or **recognizes** the members of $L(T)$.

actual value

With reference to any string, interpreted as denoting an instance of a given datatype, the term **actual value** denotes the value to which the [lexical mapping](#) of that datatype maps the string.

ancestor

The **ancestors** of a ·type definition· are its {base type definition} and the ·ancestors· of its {base type definition}.

annotation mapping

The **annotation mapping** of a set of element information items **ES** is a sequence of

annotations **AS**, with the following properties:

- 1 For every <annotation> element information item among the [children] of any element information item in **ES**, there is a corresponding Annotation component in **AS**.

Note: As described above (earlier in this section), the {attributes} property of each Annotation component includes any attribute information items on the parent (and possibly ancestors) of the <annotation> element which have a [namespace name] different from the XSD namespace.

- 2 If there are any attribute information items among the [attributes] of any element information item **E** in **ES** with a [namespace name] different from the XSD namespace, which are not included in the {attributes} of any Annotation from clause **1**, then there is an Annotation component in **AS** whose {application information} and {user information} are the empty sequence and whose {attributes} contains all and only such attribute information items among **E**.{attributes}.
- 3 **AS** contains no other Annotation components.

annotation mapping

The **annotation mapping** of a single element information item is the ·annotation mapping· of the singleton set containing that element.

anyAtomicType

There is a further special datatype called **anyAtomicType**, a ·restriction· of ·xs:anySimpleType·, which is the ·base type definition· of all the primitive datatypes.

anySimpleType

A special ·restriction· of ·xs:anyType·, whose name is **anySimpleType** in the XSD namespace, is the root of the ·Type Definition Hierarchy· for all simple type definitions. ·xs:anySimpleType· has a lexical space containing all sequences of characters in the Universal Character Set (UCS) and a value space containing all atomic values and all finite-length lists of atomic values.

assessment

the word **assessment** is used to refer to the overall process of local validation, schema-validity assessment and info set augmentation

attributed to

During ·validation· of an element information item against its (complex) ·governing type definition·, associations between element and attribute information items among the [children] and [attributes] on the one hand, and attribute uses, attribute wildcards, particles and open contents on the other, are established. The element or attribute information item is **attributed to** the corresponding component.

automatically known

A type about which a processor possesses prior knowledge, and which the processor can support without any declaration of the type being supplied by the user, is said to be **automatically known** to the processor.

base particle

Let the **base particle** be the particle of the {content type} of the {base type definition}.

base type definition

The type definition used as the basis for an ·extension· or ·restriction· is known as the **base type definition** of that definition

basic particle

A **basic particle** is a Particle whose {term} is a ·basic term·.

basic term

A **basic term** is an Element Declaration or a Wildcard.

compete

Two Particles P_1 and P_2 contained in some Particle P **compete** with each other if and only if some sequence S of element information items has two ·paths· in P which are identical except that one path has P_1 as its last item and the other has P_2 .

competing paths

Two (or more) ·paths· of a sequence S in a Particle P are **competing paths** if and only if they are identical except for their final items, which differ.

complete path

For a model group M and a sequence S in $L(M)$, the path of S in M is a **complete path**; prefixes of complete paths which are themselves not complete paths are **incomplete paths**.

component name

Declarations and definitions MAY and in some cases MUST have and be identified by **names**, which are NCNames as defined by [\[XML Namespaces 1.1\]](#)

conditionally selects

Given a Type Table T and an element information item E , T **conditionally selects** a type S for E in the following way. The {test} expressions in T 's {alternatives} are evaluated, in order, until one of the Type Alternatives ·successfully selects· a type definition for E , or until all have been tried without success. If any Type Alternative ·successfully selects· a type definition, none of the following Type Alternatives are tried. Then the type S **conditionally selected** for E by T is as described in the appropriate **case** among the following:

- 1 If at least one Type Alternative in T .{alternatives} ·successfully selects· a type definition for E , then S is the type definition selected by the first such Type Alternative.
- 2 If no Type Alternative in T .{alternatives} ·successfully selects· a type definition, then S is T .{default type definition}.{type definition}.

constructed

Datatypes can be **constructed** from other datatypes by **restricting** the value space or lexical space of a {base type definition} using zero or more Constraining Facets, by specifying the new datatype as a **list** of items of some {item type definition}, or by defining it as a **union** of some specified sequence of {member type definitions}.

contains

A model group **contains** the components which it either ·directly contains· or ·indirectly contains·.

contains

A particle **contains** the components which it either ·directly contains· or ·indirectly contains·.

content model

A particle can be used in a complex type definition to constrain the ·validation· of the [children] of an element information item; such a particle is called a **content model**

context-determined declaration

During ·validation·, associations between element and attribute information items among the [children] and [attributes] on the one hand, and element and attribute declarations on the other, are also established. When an item is ·attributed· to an ·element particle·, then it is associated with the declaration which is the {term} of the

particle. Similarly, when an attribute information item is attributed to an Attribute Use, then the item is associated with the {attribute declaration} of that Attribute Use. Such declarations are called the **context-determined declarations**.

context-determined type table

Every Complex Type Definition determines a partial functional mapping from element information items (and their [expanded names](#)) to Type Tables. The Type Table identified by this mapping is the **context-determined type table** for elements which match a Particle contained by the content model of the Complex Type Definition.

declaration

declaration components are associated by (qualified) name to information items being validated.

declared entity name

A string is a **declared entity name** if and only if it is equal to the [name] of some unparsed entity information item in the value of the [unparsedEntities] property of the document information item at the root of the infoset containing the element or attribute information item whose normalized value the string is.

default binding

When a sequence of element information items **ES** is locally valid with respect to a Content Type **CT** or when a set of attribute information items **AS** satisfies clause 2 and clause 3 of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) with respect to a Complex Type Definition, there is a (partial) functional mapping from the element information items **E** in the sequence **ES** or the attribute information items in **AS** to a **default binding** for the item, where the default binding is an Element Declaration, an Attribute Use, or one of the keywords **strict**, **lax**, or **skip**, as follows:

- 1 When the item has a governing element declaration, the default binding is that Element Declaration.
- 2 When the item has a governing attribute declaration and it is attributed to an Attribute Use, the default binding is that Attribute Use.
- 3 When the item has a governing attribute declaration and it is attributed to an attribute wildcard, the default binding is an Attribute Use whose {attribute declaration} is the governing attribute declaration, whose {value constraint} is absent, and whose {inheritable} is the governing attribute declaration's {inheritable} (the other properties in the Attribute Use are not relevant).
- 4 When the item is attributed to a **strict** wildcard particle or attribute wildcard or an Open Content with a **strict** Wildcard and it does not have a governing element declaration or a governing attribute declaration, then the default binding is the keyword **strict**.
- 5 When the item is attributed to a **lax** wildcard particle or attribute wildcard or an Open Content with a **lax** Wildcard and it does not have a governing element declaration or a governing attribute declaration, then the default binding is the keyword **lax**.
- 6 When the item is attributed to a **skip** wildcard particle or attribute wildcard or an Open Content with a **skip** Wildcard then the default binding is the keyword **skip**.

defaulted attribute

A **defaulted attribute** belonging to an element information item **E** governed by a complex type **T** is any Attribute Use **U** for which **all** of the following are true:

- 1 **U** is a member of **T**.{attribute uses}.
- 2 **U**.{required} = **false**.
- 3 **U**'s effective value constraint is not absent.

- 4 **U**.{attribute declaration} is not one of the Attribute Declarations from [Built-in Attribute Declarations \(§3.2.7\)](#).
- 5 **U**.{attribute declaration} does not match any of the attribute information items in **E**.{attributes} as per clause [2.1](#) of [Element Locally Valid \(Complex Type\) \(§3.4.4.2\)](#) above.

[definition](#)

definition components define internal schema components that can be used in other schema components

[definition of anyType](#)

A special complex type definition, (referred to in earlier versions of this specification as 'the ur-type definition') whose name is **anyType** in the XSD namespace, is present in each XSD schema. The **definition of anyType** serves as default type definition for element declarations whose XML representation does not specify one

[derived](#)

If a type definition **D** can reach a type definition **B** by following its base type definition chain, then **D** is said to be **derived** from **B**.

[directly contains](#)

A model group **directly contains** the particles in the value of its {particles} property.

[directly contains](#)

A particle **directly contains** the component which is the value of its {term} property.

[effective value constraint](#)

The **effective value constraint** of an attribute use **U** is **U**.{value constraint}, if present, otherwise **U**.{attribute declaration}.{value constraint}, if present, otherwise the **effective value constraint** is 'absent'.

[element particle](#)

An **element particle** is a Particle whose {term} is an Element Declaration.

[element substitution group](#)

Through the mechanism of **element substitution groups**, XSD provides a more powerful model supporting substitution of one named element for another

[extension](#)

A complex type definition which allows element or attribute content in addition to that allowed by another specified type definition is said to be an **extension**

[final](#)

the complex type is said to be **final**, because no further 'derivations' are possible

[full instance subset](#)

The **full instance subset** of the PSVI includes almost all properties defined by this specification as applying to element and attribute information items, but excludes schema components. It consists of the 'instance-validity subset', plus the following properties for elements:

[governing](#)

The declaration associated with an information item, if any, and with respect to which its validity is 'assessed' in a given assessment episode is said to **govern** the item, or to be its **governing** element or attribute declaration. Similarly the type definition with respect to which the type-validity of an item is assessed is its **governing** type definition.

[governing attribute declaration](#)

In a given schema-validity 'assessment' episode, the 'governing' declaration of an attribute (its **governing attribute declaration**) is the first of the following which applies:

- 1 A declaration which was stipulated by the processor (see [Assessing](#)

Schema-Validity (§5.2).

2 Its ·context-determined declaration·;

3 A declaration ·resolved· to by its [local name] and [namespace name], provided the attribute is not ·attributed· to a **skip** ·wildcard particle· and the processor has not stipulated a type definition at the start of ·assessment·.

If the attribute is ·attributed· to a **skip** ·wildcard particle· or if the processor has stipulated a type definition, then it has no ·governing· declaration.

governing element declaration

The **governing element declaration** of an element information item, in a given schema-validity ·assessment· episode, is the first of the following which applies:

1 A declaration stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).

2 Its ·context-determined declaration·.

3 A declaration ·resolved· to by its [local name] and [namespace name], provided that **none** of the following is true:

3.1 it is ·attributed· to a **skip** ·wildcard particle·

3.2 the processor has stipulated a type definition for it

3.3 a ·non-absent· ·locally declared type· exists for it

If none of these apply, there is no ·governing element declaration· (or, in equivalent words, it is ·absent·).

governing type definition

The **governing type definition** of an element information item **E**, in a given schema-validity ·assessment· episode, is the first of the following which applies:

1 An ·instance-specified type definition· which ·overrides· a type definition stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).

2 A type definition stipulated by the processor (see [Assessing Schema-Validity \(§5.2\)](#)).

3 An ·instance-specified type definition· which ·overrides· the ·selected type definition· of **E**.

4 The ·selected type definition· of **E**.

5 The value ·absent· if **E** is ·skipped·.

6 An ·instance-specified type definition· which ·overrides· the ·locally declared type·.

7 The ·locally declared type·.

8 An ·instance-specified type definition·.

If none of these apply, there is no ·governing type definition· (or, in equivalent words, it is ·absent·).

governing type definition

The **governing type definition** of an attribute, in a given schema-validity ·assessment· episode, is the {type definition} of the ·governing attribute declaration·, unless the processor has stipulated another type definition at the start of ·assessment· (see [Assessing Schema-Validity \(§5.2\)](#)), in which case it is the stipulated type definition.

grouping

A **grouping** of a sequence is a set of sub-sequences, some or all of which may be empty, such that each member of the original sequence appears once and only once in one of the sub-sequences and all members of all sub-sequences are in the original sequence.

implementation-defined

An **implementation-defined** feature or behavior MAY vary among processors conforming to this specification; the precise behavior is not specified by this specification but MUST be specified by the implementor for each particular

conforming implementation.

implementation-dependent

An **implementation-dependent** feature or behavior MAY vary among processors conforming to this specification; the precise behavior is not specified by this or any other W3C specification and is not required to be specified by the implementor for any particular implementation.

implicitly contains

A list of particles **implicitly contains** an element declaration if and only if a member of the list contains that element declaration in its `·substitution group·`.

indirectly contains

A model group **indirectly contains** the particles, groups, wildcards, and element declarations which are `·contained·` by the particles it `·directly contains·`.

indirectly contains

A particle **indirectly contains** the particles, groups, wildcards, and element declarations which are contained by the value of its `{term}` property.

initial value

the **initial value** of some attribute information item is the value of the `[normalized value]` property of that item. Similarly, the **initial value** of an element information item is the string composed of, in order, the `[character code]` of each character information item in the `[children]` of that element information item

instance-specified type definition

An **instance-specified type definition** is a type definition associated with an element information item in the following way:

- 1 Among the element's attribute information items is one named `xsi:type`.
- 2 The `·normalized value·` of that attribute information item is a qualified name `·valid·` with respect to the built-in [QName](#) simple type, as defined by [String Valid \(§3.16.4\)](#).
- 3 The `·actual value·` (a `·QName·`) `·resolves·` to a type definition. It is this type definition which is the **instance-specified type definition**.

instance-validity subset

The **instance-validity subset** of the PSVI consists of the `·root-validity subset·`, plus the following properties on elements, wherever applicable:

item isomorphic to a component

by an **item isomorphic** to a component is meant an information item whose type is equivalent to the component's, with one property per property of the component, with the same name, and value either the same atomic value, or an information item corresponding in the same way to its component value, recursively, as necessary

L(D)

For any Element Declaration **D**, the language **L(D)** `·accepted·` by **D** is the set of all sequences of length 1 whose sole member is an element information item which `·matches·` **D**.

L(W)

For any Wildcard **W**, the language **L(W)** `·accepted·` by **W** is the set of all sequences of length 1 whose sole member is an element information item which `·matches·` **W**.

laxly assessed

If the item cannot be `·strictly assessed·`, because neither clause [1.1](#) nor clause [1.2](#) above is satisfied or the necessary components are missing (see [Missing Sub-components \(§5.3\)](#), and the item is not `·skipped·`, the element information item's schema validity MUST be **laxly assessed** by `·validating·` with respect to `*xs:anyType*` as per [Element Locally Valid \(Type\) \(§3.3.4.4\)](#) and assessing schema-validity of its

[attributes] and [children] as per clause 2 and clause 3 above. If the element information item is `·skipped·`, it MUST NOT be **laxly assessed**

locally declared type

Every Complex Type Definition determines a partial functional mapping from element or attribute information items (and their [expanded names](#)) to type definitions. This mapping serves as a **locally declared type** for elements and attributes which are allowed by the Complex Type Definition.

locally declared type

For a given Complex Type Definition **CTD** and a given attribute information item **A**, the `·locally declared type·` of **A** within **CTD** is the appropriate **case** among the following:

- 1 If **CTD** is `·xs:anyType·`, then `·absent·`.
- 2 If **A** has the same [expanded name](#) as some attribute declaration **D** which is the {attribute declaration} of some Attribute Use contained by **CTD**'s {attribute uses}, then the {type definition} of **D**.
- 3 otherwise the `·locally declared type·` of **A** within **CTD**.{base type definition}.

locally declared type

For a given Complex Type Definition **CTD** and a given element information item **E**, the `·locally declared type·` of **E** within **CTD** is the appropriate **case** among the following:

- 1 If **CTD** is `·xs:anyType·`, then `·absent·`.
- 2 If **E** has the same [expanded name](#) as some element declaration **D** which is `·contained·` by **CTD**'s content model, whether `·directly·`, `·indirectly·`, or `·implicitly·`, then the declared {type definition} of **D**.
- 3 otherwise the `·locally declared type·` of **E** within **CTD**.{base type definition}.

locally valid

A sequence of element information items is **locally valid** with respect to a Content Type if and only if it satisfies [Element Sequence Locally Valid \(Complex Content\) \(§3.4.4.3\)](#) with respect to that Content Type.

locally valid

A sequence **S** of element information items is **locally valid** against a particle **P** if and only if **S** has a `·validation-path·` in **P**. The set of all such sequences is written **V(P)**.

match

An element information item **E** **matches** an Element Declaration **D** if and only if **one** of the following is true:

- 1 **E** and **D** have the same [expanded name](#),
- 2 The [expanded name](#) of **E** `·resolves·` to an element declaration **D**₂ which is `·substitutable·` for **D**.

match

An [expanded name](#) **E** **matches** an `·NCName·` **N** and a namespace name **NS** (or, equivalently, **N** and **NS** **match** **E**) if and only if all of the following are true:

- The local name of **E** is identical to **N**.
- Either the namespace name of **E** is identical to **NS**, or else **E** has no namespace name (**E** is an unqualified name) and **NS** is `·absent·`.

match

An element information item **E** **matches** a Wildcard **W** (or a `·wildcard particle·`

whose {term} is **W**) if and only if **E** is locally *valid* with respect to **W**, as defined in the validation rule [Item Valid \(Wildcard\) \(§3.10.4.1\)](#).

match

Two namespace names **N**₁ and **N**₂ are said to **match** if and only if they are identical or both are *absent*.

minimally conforming

Minimally conforming processors MUST completely and correctly implement the *Schema Component Constraints*, *Validation Rules*, and *Schema Information Set Contributions* contained in this specification

namespace fixup

When default values are supplied for attributes, **namespace fixup** may be required, to ensure that the *post-schema-validation infoset* includes the namespace bindings needed and maintains the consistency of the namespace information in the infoset.

To perform namespace fixup on an element information item **E** for a namespace **N**:

- 1 If the [in-scope namespaces] of **E** binds a prefix to **N**, no namespace fixup is needed; the properties of **E** are not changed.
- 2 Otherwise, first select some prefix **P** which is not bound by the [in-scope namespaces] of **E** (the choice of prefix is *implementation-dependent*).
- 3 Add an entry to the [in-scope namespaces] of **E** binding **P** to **N**.
- 4 Add a namespace attribute to the [namespace attributes] of **E**.
- 5 Maintain the consistency of the information set by adjusting the namespace bindings on the descendants of **E**. This may be done in either of two ways:

▲ Add the binding of **P** to **N** to the [in-scope namespaces] of all descendants of **E**, except where that binding is overridden by another binding for **P**.

▲ Add to the [namespace attributes] of each child of **E** a namespace attribute which undeclares the binding for **P** (i.e. a namespace attribute for prefix **P** whose *normalized value* is the empty string), unless that child already has a namespace declaration for prefix **P**. Note that this approach is possible only if [\[XML Namespaces 1.1\]](#) is in use, rather than [\[XML Namespaces 1.0\]](#).

The choice between the two methods of maintaining consistency in the information set is *implementation-dependent*.

NCName

An **NCName** is a name with no colon, as defined in [\[XML Namespaces 1.1\]](#). When used in connection with the XML representation of schema components in this specification, this refers to the simple type [NCName](#) as defined in [\[XML Schema: Datatypes\]](#)

nilled

An element information item **E** is **nilled** with respect to some element declaration **D** if and only if **all** of the following are true:

- 1 **E** has `xsi:nil = true`.
- 2 **D**.{nillable} = `true`.

non-schema-document-aware

A *minimally conforming* processor which is not *schema-document aware* is said to be a **non-schema-document-aware** processor.

normalized value

The **normalized value** of an element or attribute information item is an *initial value*

which has been normalized according to the value of the [whiteSpace facet](#), and the values of any other [pre-lexical facets](#), associated with the simple type definition used in its ·validation·. The keywords for whitespace normalization have the following meanings:

preserve

No normalization is done, the whitespace-normalized value is the ·initial value·

replace

All occurrences of #x9 (tab), #xA (line feed) and #xD (carriage return) are replaced with #x20 (space).

collapse

Subsequent to the replacements specified above under **replace**, contiguous sequences of #x20s are collapsed to a single #x20, and initial and/or final #x20s are deleted.

Similarly, the **normalized value** of any string with respect to a given simple type definition is the string resulting from normalization using the [whiteSpace facet](#) and any other [pre-lexical facets](#), associated with that simple type definition.

override

An ·instance-specified type definition· **S** is said to **override** another type definition **T** if and only if all of the following are true:

- 1 **S** is the ·instance-specified type definition· on some element information item **E**. A ·governing element declaration· may or may not be known for **E**.
- 2 **S** is ·validly substitutable· for **T**, subject to the blocking keywords of the {disallowed substitutions} of **E**'s ·governing element declaration·, if any, or ·validly substitutable without limitation· for **T** (if no ·governing element declaration· is known).

Note: Typically, **T** would be the ·governing type definition· for **E** if it were not overridden. (This will be the case if **T** was stipulated by the processor, as described in [Assessing Schema-Validity \(§5.2\)](#), or **E** has a ·governing element declaration· and **T** is its declared type, or **T** is the ·locally declared type· of **E**.)

partition

A **partition** of a sequence is a sequence of sub-sequences, some or all of which MAY be empty, such that concatenating all the sub-sequences yields the original sequence

path

When a sequence **S** of element information items is checked against a model group **M**, the sequence of ·basic particles· which the items of **S** match, in order, is a **path** of **S** in **M**. For a given **S** and **M**, the path of **S** in **M** is not necessarily unique. Detailed rules for the matching, and thus for the construction of paths, are given in [Language Recognition by Groups \(§3.8.4.1\)](#) and [Principles of Validation against Particles \(§3.9.4.1\)](#).

post-schema-validation infoset

We refer to the augmented infoset which results from conformant processing as defined in this specification as the **post-schema-validation infoset**, or **PSVI**

potentially inherited

An attribute information item **A**, whether explicitly specified in the input information set or defaulted as described in [Attribute Default Value \(§3.4.5.1\)](#), is **potentially inherited** by an element information item **E** if and only if **all** of the following are true:

- 1 **A** is among the [attributes] of one of **E**'s ancestors.
- 2 **A** and **E** have the same [validation context].
- 3 **One** of the following is true:
 - 3.1 **A** is attributed to an Attribute Use whose {inheritable} = **true**.
 - 3.2 **A** is *not* attributed to any Attribute Use but **A** has a governing attribute declaration whose {inheritable} = **true**.

present

A property value which is not *absent* is **present**.

property record

a property value may itself be a collection of named values, which we call a **property record**

QName

A **QName** is a name with an optional namespace qualification, as defined in [XML Namespaces 1.1](#). When used in connection with the XML representation of schema components or references to them, this refers to the simple type [QName](#) as defined in [XML Schema: Datatypes](#)

resolve

A *QName* in a schema document **resolves to** a component in a schema if and only if in the context of that schema the QName and the component together satisfy the rule [QName resolution \(Schema Document\) \(§3.17.6.2\)](#). A *QName* in an input document, or a pair consisting of a local name and a namespace name, **resolves to** a component in a schema if and only if in the context of that schema the QName (or the name + namespace pair) and the component together satisfy the rule [QName resolution \(Instance\) \(§3.17.6.3\)](#).

restriction

A type defined with the same constraints as its *base type definition*, or with more, is said to be a **restriction**.

root-validity subset

The **root-validity subset** of the PSVI consists of the following properties of the *validation root*:

schema component

Schema component is the generic term for the building blocks that make up the abstract data model of the schema.

Schema Component Constraint

Constraints on the schema components themselves, i.e. conditions components MUST satisfy to be components at all. They are located in the sixth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Schema Component Constraints \(§B.4\)](#)

schema document

A document in this form (i.e. a <schema> element information item) is a **schema document**

Schema Information Set Contribution

Augmentations to *post-schema-validation info*set's expressed by schema components, which follow as a consequence of *validation* and/or *assessment*. They are located in the fifth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Contributions to the post-schema-validation](#)

[infoset \(§B.2\)](#)

Schema Representation Constraint

Constraints on the representation of schema components in XML beyond those which are expressed in [Schema for Schema Documents \(Structures\) \(normative\) \(§A\)](#). They are located in the third sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Schema Representation Constraints \(§B.3\)](#)

schema-document aware

·Minimally conforming· processors which accept schemas represented in the form of XML documents as described in [Layer 2: Schema Documents, Namespaces and Composition \(§4.2\)](#) are additionally said to be **schema-document aware**.

selected type definition

The **selected type definition S** of an element information item **E** is a type definition associated with **E** in the following way. Let **D** be the ·governing element declaration· of **E**. Then:

- 1 If **D** has a {type table}, then **S** is the type ·conditionally selected· for **E** by **D**.{type table}.
 - 2 If **D** has no {type table}, then **S** is **D**.{type definition}.
- If **E** has no ·governing element declaration·, then **E** has no selected type definition.

selector subset of XPath

The subset of XPath defined in [Selector Value OK \(§3.11.6.2\)](#) is called the **selector subset** of XPath.

selector subset of XPath

The subset of XPath defined in [Fields Value OK \(§3.11.6.3\)](#) is called the **field subset** of XPath.

skipped

An element or attribute information item is **skipped** if it is ·attributed· to a **skip** wildcard or if one of its ancestor elements is.

substitutable

One element declaration is **substitutable** for another if together they satisfy constraint [Substitution Group OK \(Transitive\) \(§3.3.6.3\)](#).

substitution group

Every element declaration (call this **HEAD**) in the {element declarations} of a schema defines a **substitution group**, a subset of those {element declarations}. An element declaration is in the **substitution group** of **HEAD** if and only if it is ·substitutable· for **HEAD**.

successfully selects

A Type Alternative **A** **successfully selects** a Type Definition **T** for an element information item **E** if and only if **A**.{test} evaluates to `true` and **A**.{type definition} = **T**.

symbol space

this specification introduces the term **symbol space** to denote a collection of names, each of which is unique with respect to the others

target namespace

Several kinds of component have a **target namespace**, which is either ·absent· or a namespace name, also as defined by [XML Namespaces 1.1](#)

target set

The **target set** of an <override> element information item **E** contains **all** of the following:

- 1 The schema document identified by the `schemaLocation` attribute of **E**.
- 2 The schema document identified by the `schemaLocation` attribute of any <override>

element information item in a schema document contained in the ·target set· of **E**.
3 The schema document identified by the `schemaLocation` attribute of any <include> element information item in a schema document contained in the ·target set· of **E**.
The **target set** of **E** contains no other schema documents.

Type Definition Hierarchy

Except for `*xs:anyType*`, every ·type definition· is, by construction, either a ·restriction· or an ·extension· of some other type definition. The exception `*xs:anyType*` is a ·restriction· of itself. With the exception of the loop on `*xs:anyType*`, the graph of these relationships forms a tree known as the **Type Definition Hierarchy** with `*xs:anyType*` as its root

type definition

This specification uses the phrase **type definition** in cases where no distinction need be made between simple and complex types

type-aware subset

The **type-aware subset** of the PSVI consists of the ·instance-validity subset·, plus the following items and properties.

type-aware subset

The **lightweight type-aware subset** of the PSVI provides the same information as the ·type-aware subset·, except that instead of providing direct access to schema components, it provides only their names and related information.

valid

the word **valid** and its derivatives are used to refer to clause [1](#) above, the determination of local schema-validity

valid extension

A complex type **T** is a **valid extension** of its {base type definition} if and only if **T**.{derivation method} = **extension** and **T** satisfies the constraint [Derivation Valid \(Extension\) \(§3.4.6.2\)](#)

valid restriction

A complex type definition with {derivation method} = **restriction** is a **valid restriction** of its {base type definition} if and only if the constraint [Derivation Valid \(Restriction, Complex\) \(§3.4.6.3\)](#) is satisfied

valid restriction

A simple type definition **T** is a **valid restriction** of its {base type definition} if and only if **T** satisfies constraint [Derivation Valid \(Restriction, Simple\) \(§3.16.6.2\)](#)

Validation Rules

Contributions to ·validation· associated with schema components. They are located in the fourth sub-section of the per-component sections of [Schema Component Details \(§3\)](#) and tabulated in [Validation Rules \(§B.1\)](#)

validation root

The element or attribute information item at which ·assessment· begins is called the **validation root**.

validation-path

For any sequence **S** of element information items and any particle **P**, a ·path· of **S** in **P** is a **validation-path** if and only if for each prefix of the ·path· which ends with a ·wildcard particle·, the corresponding prefix of **S** has no ·competing path· which ends with an ·element particle·.

validly substitutable

A type definition **S** is **validly substitutable** for another type **T**, subject to a set of blocking keywords **K** (typically drawn from the set {**substitution**, **extension**, **restriction**, **list**, **union**}) used in the {disallowed substitutions} and {prohibited

substitutions} of element declarations and type definitions), if and only if either

- **S** and **T** are both complex type definitions and **S** is validly derived from **T** subject to the blocking keywords in the union of **K** and **T**. {prohibited substitutions}, as defined in [Type Derivation OK \(Complex\) \(§3.4.6.5\)](#)

or

- **S** is a complex type definition, **T** is a simple type definition, and **S** is validly derived from **T** subject to the blocking keywords in **K**, as defined in [Type Derivation OK \(Complex\) \(§3.4.6.5\)](#)

or

- **S** is a simple type definition and **S** is validly derived from **T** subject to the blocking keywords in **K**, as defined in [Type Derivation OK \(Simple\) \(§3.16.6.3\)](#).

validly substitutable without limitation

If the set of keywords controlling whether a type **S** is validly substitutable for another type **T** is the empty set, then **S** is said to be **validly substitutable for T without limitation** or **absolutely**. The phrase **validly substitutable**, without mention of any set of blocking keywords, means "validly substitutable without limitation".

validly substitutable as a restriction

A type definition **S** is **validly substitutable as a restriction** for another type **T** if and only if **S** is validly substitutable for **T**, subject to the blocking keywords {**extension**, **list**, **union**}.

Web-aware

Web-aware processors are network-enabled processors which are not only both minimally conforming and schema-document aware, but which additionally MUST be capable of accessing schema documents from the World Wide Web as described in [Representation of Schemas on the World Wide Web \(§2.7\)](#) and [How schema definitions are located on the Web \(§4.3.2\)](#).

wildcard particle

A **wildcard particle** is a Particle whose {term} is a Wildcard. Wildcard particles may be referred to as "strict", "lax", or "skip" particles, depending on the {process contents} property of their {term}.

xs:error

A special simple type definition, whose name is **error** in the XSD namespace, is also present in each XSD schema. The **XSD error type** has no valid instances. It can be used in any place where other types are normally used; in particular, it can be used in conditional type assignment to cause elements which satisfy certain conditions to be invalid.

XSD schema

An **XSD schema** is a set of schema components.

J DTD for Schemas (non-normative)

The DTD for schema documents is given below. Note there is *no* implication here that `schema` MUST be the root element of a document.

Although this DTD is non-normative, any XML document which is not valid per this DTD, given redefinitions in its internal subset of the 'p' and 's' parameter entities below appropriate to its namespace declaration of the XSD namespace, is almost certainly not a valid schema document, with the exception of documents with multiple namespace prefixes for the XSD namespace itself. Accordingly authoring ·schema documents· using this DTD and DTD-based authoring tools, and specifying it as the DOCTYPE of documents intended to be ·schema documents· and validating them with a validating XML parser, are sensible development strategies which users are encouraged to adopt until XSD-based authoring tools and validators are more widely available.

DTD for Schema Documents

```

<!-- DTD for XML Schema Definition Language Part 1: Structures
Public Identifier: "-//W3C//DTD XMLSCHEMA 200102//EN"
Official Location: http://www.w3.org/2001/XMLSchema.dtd -->
<!-- Id: structures.dtd,v 1.1 2003/08/28 13:30:52 ht Exp -->
<!-- With the exception of cases with multiple namespace
prefixes for the XSD namespace, any XML document which is
not valid per this DTD given redefinitions in its internal subset of the
'p' and 's' parameter entities below appropriate to its namespace
declaration of the XSD namespace is almost certainly not
a valid schema document. -->

<!-- The simpleType element and its constituent parts
are defined in XML Schema Definition Language Part 2: Datatypes -->
<!ENTITY % xs-datatypes PUBLIC 'datatypes' 'datatypes.dtd' >

<!ENTITY % p 'xs:'> <!-- can be overridden in the internal subset of a
schema document to establish a different
namespace prefix -->
<!ENTITY % s ':xs'> <!-- if %p is defined (e.g. as foo:) then you must
also define %s as the suffix for the appropriate
namespace declaration (e.g. :foo) -->
<!ENTITY % nds 'xmlns%s;'>

<!-- Define all the element names, with optional prefix -->
<!ENTITY % schema "%p;schema">
<!ENTITY % defaultOpenContent "%p;defaultOpenContent">
<!ENTITY % complexType "%p;complexType">
<!ENTITY % complexContent "%p;complexContent">
<!ENTITY % openContent "%p;openContent">
<!ENTITY % simpleContent "%p;simpleContent">
<!ENTITY % extension "%p;extension">
<!ENTITY % element "%p;element">
<!ENTITY % alternative "%p;alternative">
<!ENTITY % unique "%p;unique">
<!ENTITY % key "%p;key">
<!ENTITY % keyref "%p;keyref">
<!ENTITY % selector "%p;selector">
<!ENTITY % field "%p;field">
<!ENTITY % group "%p;group">
<!ENTITY % all "%p;all">
<!ENTITY % choice "%p;choice">
<!ENTITY % sequence "%p;sequence">
<!ENTITY % any "%p;any">
<!ENTITY % anyAttribute "%p;anyAttribute">
<!ENTITY % attribute "%p;attribute">
<!ENTITY % attributeGroup "%p;attributeGroup">
<!ENTITY % include "%p;include">
<!ENTITY % import "%p;import">
<!ENTITY % redefine "%p;redefine">
<!ENTITY % override "%p;override">

```

```

<!ENTITY % notation "%p;notation">
<!ENTITY % assert "%p;assert">

<!-- annotation elements -->
<!ENTITY % annotation "%p;annotation">
<!ENTITY % appinfo "%p;appinfo">
<!ENTITY % documentation "%p;documentation">

<!-- Customisation entities for the ATTLIST of each element type.
Define one of these if your schema takes advantage of the
anyAttribute='##other' in the
schema for schema documents -->

<!ENTITY % schemaAttrs ''>
<!ENTITY % defaultOpenContentAttrs ''>
<!ENTITY % complexTypeAttrs ''>
<!ENTITY % complexContentAttrs ''>
<!ENTITY % openContentAttrs ''>
<!ENTITY % simpleContentAttrs ''>
<!ENTITY % extensionAttrs ''>
<!ENTITY % elementAttrs ''>
<!ENTITY % groupAttrs ''>
<!ENTITY % allAttrs ''>
<!ENTITY % choiceAttrs ''>
<!ENTITY % sequenceAttrs ''>
<!ENTITY % anyAttrs ''>
<!ENTITY % anyAttributeAttrs ''>
<!ENTITY % attributeAttrs ''>
<!ENTITY % attributeGroupAttrs ''>
<!ENTITY % uniqueAttrs ''>
<!ENTITY % keyAttrs ''>
<!ENTITY % keyrefAttrs ''>
<!ENTITY % selectorAttrs ''>
<!ENTITY % fieldAttrs ''>
<!ENTITY % assertAttrs ''>

<!ENTITY % includeAttrs ''>
<!ENTITY % importAttrs ''>
<!ENTITY % redefineAttrs ''>
<!ENTITY % overrideAttrs ''>
<!ENTITY % notationAttrs ''>
<!ENTITY % annotationAttrs ''>
<!ENTITY % appinfoAttrs ''>
<!ENTITY % documentationAttrs ''>

<!ENTITY % complexDerivationSet "CDATA">
  <!-- #all or space-separated list drawn from derivationChoice -->
<!ENTITY % blockSet "CDATA">
  <!-- #all or space-separated list drawn from
  derivationChoice + 'substitution' -->

<!ENTITY % mgs "%all; | %choice; | %sequence;">
<!ENTITY % cs "%choice; | %sequence;">
<!ENTITY % formValues "(qualified|unqualified)">

<!ENTITY % attrDecls '((%attribute; | %attributeGroup;)*, (%anyAttribute;)?)' :
<!ENTITY % assertions '(%assert;)*'>

<!ENTITY % particleAndAttrs '(%openContent;?, (%mgs; | %group;)?,
  %attrDecls;, %assertions;)'>

<!-- This is used in part2 -->
<!ENTITY % restriction1 '((%mgs; | %group;)?)'>

```

```

%xs-datatypes;

<!-- the duplication below is to produce an unambiguous content model
      which allows annotation everywhere -->
<!ELEMENT %schema; ((%include; | %import; | %redefine; | %override; | %annotat:
                    (%defaultOpenContent;, (%annotation;)*)?,
                    ((%simpleType; | %complexType;
                     | %element; | %attribute;
                     | %attributeGroup; | %group;
                     | %notation; ),
                     (%annotation;)* * )>
<!ATTLIST %schema;
  targetNamespace      %URIref;          #IMPLIED
  version              CDATA             #IMPLIED
  %nds;                %URIref;          #FIXED 'http://www.w3.org/2001/:
  xmlns                CDATA             #IMPLIED
  finalDefault         %complexDerivationSet; '
  blockDefault         %blockSet;        '
  id                   ID                #IMPLIED
  elementFormDefault  %formValues;       'unqualified'
  attributeFormDefault %formValues;      'unqualified'
  defaultAttributes   CDATA             #IMPLIED
  xpathDefaultNamespace CDATA           '##local'
  xml:lang             CDATA             #IMPLIED
  %schemaAttrs;>
<!-- Note the xmlns declaration is NOT in the
      schema for schema documents,
      because at the Infoset level where schemas operate,
      xmlns(:prefix) is NOT an attribute! -->
<!-- The declaration of xmlns is a convenience for schema authors -->

<!-- The id attribute here and below is for use in external references
      from non-schemas using simple fragment identifiers.
      It is NOT used for schema-to-schema reference, internal or
      external. -->

<!ELEMENT %defaultOpenContent; ((%annotation;)?, %any;)>
<!ATTLIST %defaultOpenContent;
  appliesToEmpty (true|false)          'false'
  mode           (interleave|suffix)   'interleave'
  id             ID                     #IMPLIED
  %defaultOpenContentAttrs;>

<!-- a type is a named content type specification which allows attribute
      declarations-->
<!-- -->

<!ELEMENT %complexType; ((%annotation;)?,
                        (%simpleContent; | %complexContent; |
                         %particleAndAttrs;))>

<!ATTLIST %complexType;
  name          %NCName;          #IMPLIED
  id            ID                #IMPLIED
  abstract      %boolean;         #IMPLIED
  final         %complexDerivationSet; #IMPLIED
  block         %complexDerivationSet; #IMPLIED
  mixed         (true|false)      'false'
  defaultAttributesApply %boolean; 'true'
  %complexTypeAttrs;>

<!-- particleAndAttrs is shorthand for a root type -->
<!-- mixed is disallowed if simpleContent, overridden if complexContent has on

<!-- If anyAttribute appears in one or more referenced attributeGroups
      and/or explicitly, the intersection of the permissions is used -->

```

```

<!ELEMENT %complexContent; ((%annotation;)?, (%restriction;|%extension;))>
<!ATTLIST %complexContent;
    mixed (true|false) #IMPLIED
    id ID #IMPLIED
    %complexContentAttrs;>

<!ELEMENT %openContent; ((%annotation;)?, (%any;)?)>
<!ATTLIST %openContent;
    mode (none|interleave|suffix) 'interleave'
    id ID #IMPLIED
    %openContentAttrs;>

<!-- restriction should use the branch defined above, not the simple
    one from part2; extension should use the full model -->

<!ELEMENT %simpleContent; ((%annotation;)?, (%restriction;|%extension;))>
<!ATTLIST %simpleContent;
    id ID #IMPLIED
    %simpleContentAttrs;>

<!-- restriction should use the simple branch from part2, not the
    one defined above; extension should have no particle -->

<!ELEMENT %extension; ((%annotation;)?, (%particleAndAttrs;))>
<!ATTLIST %extension;
    base %QName; #REQUIRED
    id ID #IMPLIED

    %extensionAttrs;>

<!-- an element is declared by either:
    a name and a type (either nested or referenced via the type attribute)
    or a ref to an existing element declaration -->

<!ELEMENT %element; ((%annotation;)?, (%complexType;| %simpleType;)?,
    (%alternative;)*,
    (%unique; | %key; | %keyref;)*)>
<!-- simpleType or complexType only if no type|ref attribute -->
<!-- ref not allowed at top level -->
<!ATTLIST %element;
    name %NCName; #IMPLIED
    id ID #IMPLIED
    ref %QName; #IMPLIED
    type %QName; #IMPLIED
    minOccurs %nonNegativeInteger; #IMPLIED
    maxOccurs CDATA #IMPLIED
    nillable %boolean; #IMPLIED
    substitutionGroup %QName; #IMPLIED
    abstract %boolean; #IMPLIED
    final %complexDerivationSet; #IMPLIED
    block %blockSet; #IMPLIED
    default CDATA #IMPLIED
    fixed CDATA #IMPLIED
    form %formValues; #IMPLIED
    targetNamespace %URIref; #IMPLIED
    %elementAttrs;>

<!-- type and ref are mutually exclusive.
    name and ref are mutually exclusive, one is required -->
<!-- In the absence of type AND ref, type defaults to type of
    substitutionGroup, if any, else xs:anyType, i.e. unconstrained -->
<!-- default and fixed are mutually exclusive -->

<!ELEMENT %alternative; ((%annotation;)?,
    (%simpleType; | %complexType;)? ) >
<!ATTLIST %alternative;
    test CDATA #IMPLIED
    type %QName; #IMPLIED

```

```

        xpathDefaultNamespace    CDATA    #IMPLIED
        id                        ID       #IMPLIED >

<!ELEMENT %group; ((%annotation;)?, (%mgs;)?)>
<!ATTLIST %group;
    name          %NCName;          #IMPLIED
    ref           %QName;           #IMPLIED
    minOccurs     %nonNegativeInteger; #IMPLIED
    maxOccurs     CDATA             #IMPLIED
    id            ID                #IMPLIED
    %groupAttrs;>

<!ELEMENT %all; ((%annotation;)?, (%element;)*)>
<!ATTLIST %all;
    minOccurs     (1)                #IMPLIED
    maxOccurs     (1)                #IMPLIED
    id            ID                #IMPLIED
    %allAttrs;>

<!ELEMENT %choice; ((%annotation;)?, (%element;| %group;| %cs; | %any;)*)>
<!ATTLIST %choice;
    minOccurs     %nonNegativeInteger; #IMPLIED
    maxOccurs     CDATA             #IMPLIED
    id            ID                #IMPLIED
    %choiceAttrs;>

<!ELEMENT %sequence; ((%annotation;)?, (%element;| %group;| %cs; | %any;)*)>
<!ATTLIST %sequence;
    minOccurs     %nonNegativeInteger; #IMPLIED
    maxOccurs     CDATA             #IMPLIED
    id            ID                #IMPLIED
    %sequenceAttrs;>

<!-- an anonymous grouping in a model, or
      a top-level named group definition, or a reference to same -->

<!-- Note that if order is 'all', group is not allowed inside.
      If order is 'all' THIS group must be alone (or referenced alone) at
      the top level of a content model -->
<!-- If order is 'all', minOccurs==maxOccurs==1 on element/any inside -->
<!-- Should allow minOccurs=0 inside order='all' . . . -->

<!ELEMENT %any; (%annotation;)?>
<!ATTLIST %any;
    namespace     CDATA             #IMPLIED
    notNamespace  CDATA             #IMPLIED
    notQName      CDATA             ''
    processContents (skip|lax|strict) 'strict'
    minOccurs     %nonNegativeInteger; '1'
    maxOccurs     CDATA             '1'
    id            ID                #IMPLIED
    %anyAttrs;>

<!-- namespace is interpreted as follows:
      ##any      - - any non-conflicting WFXML at all

      ##other    - - any non-conflicting WFXML from namespace other:
                  than targetNamespace

      ##local    - - any unqualified non-conflicting WFXML/attribut
      one or     - - any non-conflicting WFXML from
      more URI   the listed namespaces
      references

      ##targetNamespace ##local may appear in the above list,
      with the obvious meaning -->

```

```

<!-- notNamespace is interpreted as follows:
      ##local      - - any unqualified non-conflicting WFXML/attribu
one or          - - any non-conflicting WFXML from
more URI        the listed namespaces
references

      ##targetNamespace ##local may appear in the above list,
      with the obvious meaning -->

<!ELEMENT %anyAttribute; (%annotation;)?>
<!ATTLIST %anyAttribute;
      namespace      CDATA          #IMPLIED
      notNamespace   CDATA          #IMPLIED
      notQName       CDATA          ''
      processContents (skip|lax|strict) 'strict'
      id             ID             #IMPLIED
      %anyAttributeAttrs;>
<!-- namespace and notNamespace are interpreted as for 'any' above -->

<!-- simpleType only if no type|ref attribute -->
<!-- ref not allowed at top level, name iff at top level -->
<!ELEMENT %attribute; ((%annotation;)?, (%simpleType;)?>
<!ATTLIST %attribute;
      name           %NCName;      #IMPLIED
      id             ID             #IMPLIED
      ref            %QName;       #IMPLIED
      type           %QName;       #IMPLIED
      use            (prohibited|optional|required) #IMPLIED
      default        CDATA         #IMPLIED
      fixed          CDATA         #IMPLIED
      form           %formValues;  #IMPLIED
      targetNamespace %URIref;     #IMPLIED
      inheritable   %URIref;      #IMPLIED
      %attributeAttrs;>
<!-- type and ref are mutually exclusive.
      name and ref are mutually exclusive, one is required -->
<!-- default for use is optional when nested, none otherwise -->
<!-- default and fixed are mutually exclusive -->
<!-- type attr and simpleType content are mutually exclusive -->

<!-- an attributeGroup is a named collection of attribute decls, or a
      reference thereto -->
<!ELEMENT %attributeGroup; ((%annotation;)?,
      (%attribute; | %attributeGroup;)*,
      (%anyAttribute;)?) >
<!ATTLIST %attributeGroup;
      name           %NCName;      #IMPLIED
      id             ID             #IMPLIED
      ref            %QName;       #IMPLIED
      %attributeGroupAttrs;>

<!-- ref iff no content, no name.  ref iff not top level -->

<!-- better reference mechanisms -->
<!ELEMENT %unique; ((%annotation;)?, %selector;, (%field;)+>
<!ATTLIST %unique;
      name           %NCName;      #IMPLIED
      ref            %QName;       #IMPLIED
      id             ID             #IMPLIED
      %uniqueAttrs;>

<!ELEMENT %key;      ((%annotation;)?, %selector;, (%field;)+>
<!ATTLIST %key;
      name           %NCName;      #IMPLIED
      ref            %QName;       #IMPLIED
      id             ID             #IMPLIED

```

```

        %keyAttrs;>

<!ELEMENT %keyref; ((%annotation;)?, %selector;, (%field;)+)>
<!ATTLIST %keyref;
    name                %NCName;          #IMPLIED
    ref                 %QName;           #IMPLIED
    refer               %QName;           #IMPLIED
    id                  ID                 #IMPLIED
    %keyrefAttrs;>

<!ELEMENT %selector; ((%annotation;)?>
<!ATTLIST %selector;
    xpath                %XPathExpr; #REQUIRED
    xpathDefaultNamespace CDATA        #IMPLIED
    id                   ID           #IMPLIED
    %selectorAttrs;>

<!ELEMENT %field; ((%annotation;)?>
<!ATTLIST %field;
    xpath                %XPathExpr; #REQUIRED
    xpathDefaultNamespace CDATA        #IMPLIED
    id                   ID           #IMPLIED
    %fieldAttrs;>

<!-- co-constraint assertions -->
<!ELEMENT %assert; ((%annotation;)?>
<!ATTLIST %assert;
    test                %XPathExpr; #REQUIRED
    id                   ID           #IMPLIED
    xpathDefaultNamespace CDATA        #IMPLIED
    %assertAttrs;>

<!-- Schema combination mechanisms -->
<!ELEMENT %include; (%annotation;)?>
<!ATTLIST %include;
    schemaLocation %URIref; #REQUIRED
    id             ID       #IMPLIED
    %includeAttrs;>

<!ELEMENT %import; (%annotation;)?>
<!ATTLIST %import;
    namespace        %URIref; #IMPLIED
    schemaLocation %URIref; #IMPLIED
    id               ID       #IMPLIED
    %importAttrs;>

<!ELEMENT %redefine; (%annotation; | %simpleType; | %complexType; |
    %attributeGroup; | %group;)*>
<!ATTLIST %redefine;
    schemaLocation %URIref; #REQUIRED
    id             ID       #IMPLIED
    %redefineAttrs;>

<!ELEMENT %override; ((%annotation;)?,
    ((%simpleType; | %complexType; | %group; | %attributeGroup;
    %element; | %attribute; | %notation;)*>
<!ATTLIST %override;
    schemaLocation %URIref; #REQUIRED
    id             ID       #IMPLIED
    %overrideAttrs;>

<!ELEMENT %notation; (%annotation;)?>
<!ATTLIST %notation;
    name            %NCName;    #REQUIRED
    id              ID          #IMPLIED
    public          CDATA       #REQUIRED
    system          %URIref;    #IMPLIED

```

```

%notationAttrs;>

<!-- Annotation is either application information or documentation -->
<!-- By having these here they are available for datatypes as well
as all the structures elements -->

<!ELEMENT %annotation; (%appinfo; | %documentation;)*>
<!ATTLIST %annotation; %annotationAttrs;>

<!-- User must define annotation elements in internal subset for this
to work -->
<!ELEMENT %appinfo; ANY> <!-- too restrictive -->
<!ATTLIST %appinfo;
    source %URIref; #IMPLIED
    id ID #IMPLIED
    %appinfoAttrs;>
<!ELEMENT %documentation; ANY> <!-- too restrictive -->
<!ATTLIST %documentation;
    source %URIref; #IMPLIED
    id ID #IMPLIED
    xml:lang CDATA #IMPLIED
    %documentationAttrs;>

<!NOTATION XMLSchemaStructures PUBLIC
    'structures' 'http://www.w3.org/2001/XMLSchema.xsd' >
<!NOTATION XML PUBLIC
    'REC-xml-1998-0210' 'http://www.w3.org/TR/1998/REC-xml-19980210' >

```

K Analysis of the Unique Particle Attribution Constraint (non-normative)

A specification of the import of [Unique Particle Attribution \(§3.8.6.4\)](#) which does not appeal to a processing model is difficult. What follows is intended as guidance, without claiming to be complete.

[Definition:] Two non-group particles **overlap** if

- They are both element declaration particles whose declarations have the same [expanded name](#).

or

- They are both element declaration particles and one of them has the same [expanded name](#) as an element declaration in the other's ·substitution group·.

or

- They are both **global** element declaration particles and their ·substitution groups· contain the same element declaration.

or

- They are both wildcards, and any one of the following is true of the wildcard intersection of their {namespace constraint}s as defined in [Attribute Wildcard Intersection \(§3.10.6.4\)](#):

1. It has {variety} = **any**.
2. It has {variety} = **not**.
3. It has {variety} = **enumeration** and {namespaces} ≠ the empty set.

A content model will violate the unique attribution constraint if it contains two particles which ·overlap· and which either

- are both in the {particles} of a **choice** or **all** group

or

- may ·validate· adjacent information items and the first has {min occurs} less than {max occurs}.

Two particles may ·validate· adjacent information items if they are separated by at most epsilon transitions in the most obvious transcription of a content model into a finite-state automaton.

A precise formulation of this constraint can also be offered in terms of operations on finite-state automaton: transcribe the content model into an automaton in the usual way using epsilon transitions for optionality and unbounded maxOccurs, unfolding other numeric occurrence ranges and treating the heads of ·substitution groups· as if they were choices over all elements in the group, *but* using not element QNames as transition labels, but rather pairs of element QNames and positions in the model. Determinize this automaton, treating wildcard transitions as if they were distinct from all other edge labels for the purposes of the determinization. Now replace all QName+position transition labels with the element QNames alone. If the result has any states with two or more identical-QName-labeled transitions from it, or two wildcard transitions whose intentional intersection is non-empty, the model does not satisfy the Unique Attribution constraint.

L XSD Language Identifiers (non-normative)

<http://www.w3.org/XML/XMLSchema>

XSD

<http://www.w3.org/XML/XMLSchema/v1.0>

XSD 1.0

<http://www.w3.org/XML/XMLSchema/v1.1>

XSD 1.1

<http://www.w3.org/XML/XMLSchema/v1.0/1e>

XSD 1.0 First Edition

<http://www.w3.org/XML/XMLSchema/v1.0/2e>

XSD 1.0 Second Edition

<http://www.w3.org/XML/XMLSchema/v1.1/1e>

XSD 1.1 First Edition

<http://www.w3.org/XML/XMLSchema/v1.0/1e/19990506>

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XSD 1.0 in 24 September 1999 working draft

<http://www.w3.org/XML/XMLSchema/v1.0/1e/19991105>

XSD 1.0 in 5 November 1999 working draft

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XSD 1.0 Candidate Recommendation (CR)

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XSD 1.0 first Proposed Recommendation (PR)

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XSD 1.0 second Proposed Recommendation (PR)

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XSD 1.0 Recommendation

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XSD 1.0 Second Edition Proposed Edited Recommendation (PER)

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<http://www.w3.org/XML/XMLSchema/v1.1/1e/20060116>

XSD 1.1 in 16 January 2006 working draft

<http://www.w3.org/XML/XMLSchema/v1.1/1e/20060217>

XSD 1.1 in 17 February 2006 working draft

<http://www.w3.org/XML/XMLSchema/v1.1/1e/20060330>

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<http://www.w3.org/XML/XMLSchema/v1.1/1e/20060831>

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