XML Technology Overview

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Administrivia

- Fire escapes
- Who am I?
- Pink sheets
- Green sheets
- Timing.

This course

- What we will (and won't) be covering
- The handouts
- Course website:

http://www-uxsup.csx.cam.ac.uk/~jw35/courses/xml/.

XML itself

In the beginning...

• SGML

- Invented in the 1970's at IBM
- Now ISO standard 8879
- A "semantic and structural markup language for text documents"
- HTML is the most famous 'application' of SGML
- XML is a reformulation of SGML
 - Missing out the complicated and redundant features
 - A W3C-endorsed standard
 - Designed for easy parsing
 - A "meta-markup language for text documents"
- *XML* is simple
 - it's the rest of the technology that's powerful
 - and in places complicated
- XML isn't just a web technology.

XML Documents

- XML documents contain text, never binary data
- These can be manipulated by any tool that understand text
- An XML document could be a disk file
 - but it could as easily be a field in a database
 - or delivered over a network connection
- When delivered by a web server, they will probably have a media type of text/xml or application/xml
- However the approved modern usage is to use something more like application/svg+xml.

Elements

- XML documents mainly consist of *elements*
- Have a start-tag and an end-tag
 <name>
 Computing Service
 </name>
- Everything between the tags is the element's *content*
- Whitespace is part of the content, though applications may ignore it
- Empty elements can be written: <name/>
- ...but not <name>.

Tag names

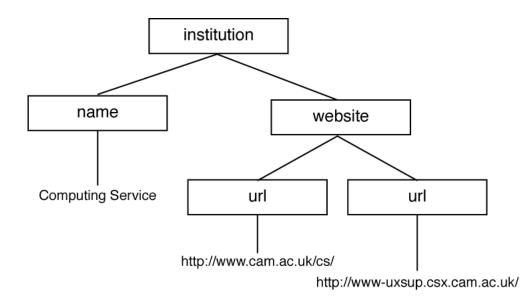
- Have no intrinsic meaning
- Are case sensitive
- Can contain any alphanumeric character, underscore(_), hyphen(-), and dot (.)
- Colon (:) should be avoided
 - it has a special meaning which we'll come to shortly
- Must start with a letter or underscore
- Names starting 'xml...' (in any case) are reserved.

Elements within elements

```
    Consider
    <institution>
        <name>Computing Service</name>
        <address>New Museums Site, Pembroke Street</address>
        <website>
        <url>http://www.cam.ac.uk/cs/</url>
        <url>http://www-uxsup.csx.cam.ac.uk/</url>
        </website>
    </institution>
```

- The <institution> element contains 3 'children': a <name> element, an <address> element and a <website> element
- The <website> element itself contains 2 <url> elements.

XML documents as a tree



XML document styles

Record orientated
 <institution>
 <name>Computing Service</name>
 <address>New Museums Site, Pembroke Street</address>
 <website>
 <url>http://www.cam.ac.uk/cs/</url>
 <url>http://www-uxsup.csx.cam.ac.uk/</url>
 </website>
 </institution>

Mixed content

<handbook>

<para>

The <inst>Computing Service</inst> provides services, including <service>Hermes</service> and <service>Raven</service>. It is really important that you find out how to access these services.

</para>

</handbook>

Attributes

- Elements can have attributes
- Name/value pairs in the start tag
- Name and value separated by '=' and optional white space
- Value enclosed in single or double quotes. Always
- Pairs separated by white space
 <institution type="non" key = 'ucs'>
 <name>
 Computing Service
 </name>
 </institution>
- Each attribute can appear only once in any particular tag
- Attribute names follow the same rules as element names
- When to use attribute values, when content?.

Character References

- Some characters can't appear as themselves in character data
 - e.g. < and & are never allowed
 - Some characters can't be typed easily, e.g. ¥
- They can be represented as
 - an entity reference, e.g. <
 - a numeric character reference, e.g. <
 - a hexadecimal numeric character reference, e.g. <
- XML pre-defines only 5 entity references
 - < for the less-than symbol: <</p>
 - & amp; for the ampersand: &
 - > for the greater-than symbol: >
 - " for straight, double quotation marks: "
 - ' for the apostrophe, a.k.a the straight quote: '.

Character sets and encodings

- XML documents are 'text documents' containing 'characters'
- Internally, XML processors work in Unicode, a.k.a ISO 10646
- But computers can only process sequences of octets
- Characters are mapped to octets by two-stage process
 - A character set maps characters to numbers
 - An *encoding* maps those numbers to bytes
- The name of an encoding refers to a combination of these, for example
 - iso-8859-1, a.k.a ISO Latin-1, defines a sub-set of characters, mainly European, mapped to numbers on the range 0-255 which are directly encoded as octets
 - UCS-2 consists of the first 65,536 characters from Unicode encoded as a pair of bytes
 - UTF-8 encodes all the characters from Unicode using a variable number of bytes. Unicode characters 0-127 (ASCII) encode to the same single byte as ASCII.

The XML declaration

• XML documents *should* start with an XML declaration <?xml version="1.0" encoding="UTF-8"?>

- If present, it *must* be the *very* first thing in the document
- In the absence of other information it is used to guess the character encoding
- It contains 3 things that look like attributes (though they aren't):
 - version: 1.0 or *perhaps* 1.1
 - encoding: the character encoding used in the document. Optional, default from external metadata
 - standalone. Optional, default no.

Processing instructions

- Intended for passing information to particular parsers
- Look like a tag starting <? immediately followed by an XML name, and ending ?>
- The rest is arbitrary, but often looks like a sequence of attributes

<?xml-stylesheet href="person.css" type="test/css" ?>

- They are not entities: no end tag; no nesting
- XML declarations are not processing instructions.

CDATA

- Raw characters can appear between '<![CDATA[' and ']]>'
- To a parser this is identical to the equivalent text expressed using entities
- Very useful for including XML examples in XML!

```
<![CDATA[
<tag1>
<!-- comment here -->
<tag2>foo</tag2>
</tag1>
]]>
```

Beware that the sequence ']]>' can not itself appear in an XML document - use ']]>'.

Comments

- XML documents can contain *comments*
- They start with <!--
- and end -->
- They may not contain --
- XML parsers are not required to preserve comments <!-- insert example here -->

Well-formedness

- XML documents are required to be 'well formed'
- Every start-tag must have an end-tag
- Elements must not overlap
- One and only one root element
- Attribute values must be quoted
- No more than one attribute with the same name in any element
- No comments or processing instructions inside tags
- No un-escaped '<' or '&' in character data.

XML: Summary

- A meta-markup language
- XML documents are text, processed internally in Unicode
- They contain
 - elements (surrounded by tags)
 - an XML declaration
 - comments
 - processing instructions
- Elements can have *attributes* and can nest
- Character data can contain *references*
- Two general styles: record orientated vs. mixed content
- XML documents must be well formed.

Document Type Definitions

Defining XML documents

- XML is used to create languages XML applications
- How are these languages defined?
- Use a set of rules about what elements and attributes are required where
- This set of rules is a *schema*
- A document that abides by these rules is said to be *valid*
- There are various languages for expressing schemas
- We'll concentrate on Document Type Definition (DTD)
- Many XML tools can check a document against a DTD, including
 - xmllint from Gnome libxml (common on Linux systems, even if they don't run Gnome)
 - James Clark's onsgmls
 - The website at

http://www.stg.brown.edu/service/xmlvalid/

Document Type Definition

- Old, quirky, and with a limited syntax
- Inherited from SGML
- DTDs are not themselves XML documents
- They let you define:
 - Elements and their nesting
 - The attributes of each element
 - Short cuts (a.k.a. Entities)
- Even if you never write one of these, the ability to read them is invaluable.

Defining Elements

- Write <! ELEMENT tag content>
- *tag* is the name of the element being defined
- content is
 - **EMPTY** if the element must be empty
 - **ANY** if the element can contain text or any other element (bad idea)
 - (content), where content can be...

What can appear as *content*?

• '**#PCDATA**' - character data:

<!ELEMENT name (#PCDATA)>

• The name of a single other element:

<!ELEMENT founded (date)>

• A comma-separated sequence of other elements:

<!ELEMENT institution (name,address,website)>

• A ' | '-separated list of alternatives:

<!ELEMENT website (url|hostname)>

 Anywhere an element name can appear, you can also have either sort of list in brackets

<!ELEMENT institution (seeother | (name, address))>

Repeating elements

- Element names, and bracketed lists, can be followed by:
 - '?' if the element (or list) can occur zero or one times
 - '*' if the element (or list) can occur zero or more times
 - '+' if the element (or list) can occur one or more times
- '*', applied to a list of choices implies any number of any of the choices, in any order
- '#PCDATA' can only appear in a list of choices if there is a '*' in force

Defining Attributes

- Write <! ATTLIST tag attribute type default>
- *tag* is the element in which this attribute appears
- *attribute* is the name of the attribute
- *type* is one of:
 - CDATA if the attribute's value consists of plain characters
 - (choice_1|choice_2|...) where each choice_n represents one possibility
- *default* is one of:
 - **#REQUIRED** if the attribute must appear
 - #IMPLIED if the attribute is optional and has no default
- There are additional types: ID, IDREF, IDREFS, NMTOKEN and NMTOKENS
- ... and other defaults: "value" and #FIXED "value".

Defining entities

- Entities are shortcuts to save typing
- You can define your own entities in a DTD
- Confusingly, the can stand for text in the DTD itself ...
- ... or in the document the DTD describes.

Shortcuts for the document being described

- An 'Internal General Entity'
- <!ENTITY uoc "the University of Cambridge">
- With that in our DTD, our XML document can say Here at &uoc; we all love our work
- Entities are oftern used to stand for characters that are hard to type
- <!ENTITY copy "©">
- Or we can define an 'External General Entity'
- <!ENTITY footer SYSTEM "/boilerplate/footer.xml">
- Then we can include footer.xml by saying &footer;
- External General Entities are useful if you want to maintain your XML document in multiple files
- External General Entities dont need to have a single root element but otherwise must be well formed.

Shortcuts for the DTD

An 'Internal Parameter Entity' acts as a 'macro' inside the DTD
 <!ENTITY % contact_details "name,address,website">

• Now, instead of saying

<!ELEMENT department (name,address,website)> <!ELEMENT college (name,address,website)>

• we can say

<!ELEMENT department (%contact_details;)> <!ELEMENT college (%contact_details;)>

 An 'External Parameter Entity' lets us include sections of DTD just like external general entities do for XML documents

<!ENTITY % website_stuff SYSTEM "website.dtd">

• This can be useful for 'modulising' DTDs.

Associating DTDs with XML documents

- To be valid, an XML document must include a reference to its DTD in a 'Document Type Declaration'
 - Note that 'Document Type Definition' and 'Document Type Declaration' have the same initials - DTD means 'Document Type Definition'
- The Document Type Declaration comes after the XML Declaration and before the start-tag of the root element
- The Document Type Declaration can either refer to a DTD in a seperate document
 - called an *External DTD Subset*
- Or can contain it in-line
 - called an Internal DTD Subset.

Using External DTD Subsets

To refer to a DTD in a local file, you need something like
 <?xml version="1.0" encoding="UTF-8" standalone="no"?>
 !DOCTYPE institutions SYSTEM "/dtd/inst.dtd">
 <institutions>

...
</institutions>

• The thing after 'SYSTEM' is a URL

- 'Official' DTDs can be named using a 'Formal Public Identifier' (FPI). FPIs are just names in a fixed format
- To refer to a DTD by FPI you need something like

<!DOCTYPE book PUBLIC

"-//OASIS//DTD DocBook XML V4.2//EN" "http://www.oasis-open.org/docbook/xml/4.0/docbookx.dtd"

- A 'catalogue' then maps the FPI to an appropriate copy of the corresponding DTD document
- The URL is a backup in case the FPI can't be resolved.

Using Internal DTD Subsets

```
    The DTD can be included in-line between square brackets
    <?xml version="1.0" encoding="UTF-8" standalone="yes"?>
    <!DOCTYPE institutions [
        <!ELEMENT institution (name,address)>
        <!ELEMENT name (#PCDATA)>
        <!ELEMENT address (#PCDATA)>
]>
```

```
</institutions>
```

- You can have both at once, but note:
 - element declarations can't be overridden
 - the internal subset can override entities in the external subset.

DTDs: Summary

- A schema is a set of rules defining an XML Application
- An XML document conforming to a schema is said to be *valid*
- A Document Type Definition is one language for doing this
- Lets you define elements and their nesting, attribute, entities
- A DTD can be associated with an XML document by including a *Document Type Declaration*.

Namespaces

What's the problem?

- The need to include elements from one XML Application within documents belonging to a different one
- e.g. use a 'People' application to add contact details for people in Institutions
- ... but People uses <name> for the names of people, and Institution uses <name> for the names of institutions.

And the solution is...

- Add a application-specific prefix to elements and attributes
 - ople:name> and <institution:name>
- But we still need a way to create unique names
- For that we use URIs
- These URIs are called 'Namespace Names'
- Since URLs are URIs they are often used
 - ... but they don't have to point to anything!

http://purl.org/dc/ http://www.w3c.org/TR/REC-rdf-syntax# http://www.w3.org/1999/XSL/Transform

 But we can't use URIs directly in tag names, so we either declare a default namespace, or we associate the name with a prefix and use the prefix.

Associating names with elements - default namespace

- We can declare a default namespace with an xmlns attribute <title xmlns="http://purl.org/dc/">...</title>
- This namespace applies to the element it is declared in and to all its children

```
<institution type="acad"
    xmlns="http://www.example.org/inst">
    <name>Division of Anaesthesia</name>
    <contact method="tel">+44 1223 217889</contact>
    <website>
        <url xmlns="http://www.example.org/url">
            http://www.example.org/url">
            http://www.medschl.cam.ac.uk/anaesthetics/
        </url>
        <//website>
<//institution>
```

Associating names with elements - by prefix

- We can declare a nickname or prefix
 <dc:title xmlns:dc="http://purl.org/dc/">
 ...
 </dc:title>
- Prefix and element name are written separated by ':'
- Each namespaces often has a 'conventional' prefixes, like dc for http://purl.org/dc/above, but they can be anything
 <snoopy:title xmlns:snoopy="http://purl.org/dc/">

```
</snoopy:title>
```

 Prefixes are available to the element they are declared in and to all its children

Attributes

- Attributes can be associated with a namespace
 - but normally are not
 - in which case they are in no namespace
- The default namespace *doesn't* apply to attributes.

Namespaces: Summary

- Namespaces allow XML schemas to be combined
- Namespace names are URIs
- These URIs are often URLs, but don't have to point to anything
- You can associate a default namespace with an element and its children with xmlns="..."
- You can define a prefix for use in an element and its children with **xmlns:**prefix="...".

Transforming XML - XSLT

XSLT

- Specifies rules to transform one XML document into another
- An XSLT stylesheet contains rules consisting of
 - a pattern, and
 - a template
- An XSLT processor tries to match parts of the input document to each patterns
- If it can, it process the template and saves the results
- When processing is finished, these results are used to create an output document
- To apply an XML stylesheet you need a processor. Some examples include:
 - xsltproc from Gnome libxml (common on Unix systems, even if they don't run Gnome)
 - The Apache project's Xalan processor, available in Java and C++ versions
 - Michael Kay's SAXON.

An Example Document

We'll use inst.xml for the following examples:
 <!xml version="1.0"?>
 <!DOCTYPE institutions SYSTEM "inst.dtd">
 <institutions>

 institutions>

 institution type="acad">

 institution of Anaesthesia
 contact type="tel">+44 1223 217889
 contact type="tel">+44 1223 217889

 website>

 (url>http://www.medschl.cam.ac.uk/anaesthetics/
 (url>
 (url>
 (url>
 (url>
 (url>
 (url>
 (url)
 (url)

</website>

```
</institution>
```

• • •

</institutions>

XSLT Stylesheets are XML documents

```
• See example1.xslt.
```

```
<?xml version="1.0"?>
```

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

- The namespace name must be exactly as above
- the version attribute is required
- This is a complete, though largely useless, stylesheet
- For reasons that we'll get to later, applying it to *inst.xml* returns all the text from within elements but nothing else!.

A simple template rule

See example2.xslt:
<?xml version="1.0"?>

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

```
<xsl:template match="institution">
    An institution
</xsl:template>
```

- In effect this says
 - for every <institution> element
 - output "An institution"
 - and ignore the element's content
- Anything other than XSLT tags is automatically added to the result of the transformation.

Adding elements

```
• See example3.xslt:
<?xml version="1.0"?>
<xsl:stylesheet
    xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
    version="1.0">
```

- Tags not in the XSLT namespace are also added to the results
- The style sheet must remain well formed.

Including information from the input document

```
• See example4.xslt:
<?xml version="1.0"?>
<xsl:stylesheet
    xmlns:xsl="http://www.w3.org/1999/XSL/Transform"
    version="1.0">
    <xsl:template match="institution">
        <heading>
            <xsl:template match="institution">
            <heading>
            <xsl:value-of select="name"/>
        </heading>
        </xsl:template>
```

- xsl:value-of add a value to the results
- What to add is identified by the "select" attribute
- The value of an element is its text content after all the tags have been removed.

Controlling processing order

• See example5.xslt.

```
<xsl:template match="institution">
     <xsl:apply-templates select="website"/>
</xsl:template>
```

```
<xsl:template match="website">
    <site>
        <xsl:value-of select="url"/>
        </site>
</xsl:template>
```



xsl:apply-templates lets you choose when particular elements will be processed.

The rest of XSLT

- There is much more to XSLT than we've covered here, including
 - Modes
 - Named templates
 - Numbering and sorting output elements
 - Conditional processing
 - Iteration
 - Extension elements.

XSLT: Summary so far

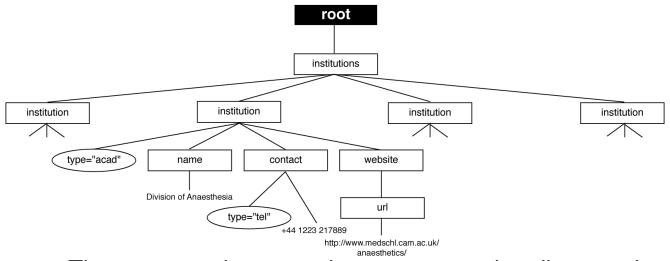
- XSLT transforms one XML document into another
- It does so using templates that are triggered by patterns in the input document
- Within templates, text and non-xslt elements are copied to the output document
- <xsl:value-of> can insert the string value of an element into the output
- <xsl:apply-templates> controls the processing order.

XPath

XPath

- XSLT needs a general way to identify parts of the input document
- Enter XPath, a non-XML language to identify parts of an XML document
- Used in XSLT match= and select= attributes
- In <xsl:template match="institution">, "institution" is an XPath expression, referring to elements of type "institution"
- XPATH is also used in XPointer, XML Schema, XForms, etc.

XPath's view of the world



- The tree contains root, element, text and attribute nodes
- ...also comment, processing-instruction, and namespace nodes (but that's not important right now)
- Root node is not the same as the root element.

Location paths

- Identify a set of 'nodes' in a document
- Operate relative to a 'context node' (c.f current directory)
- Simplest is a single element name

<xsl:apply-templates select="contact">

• "/" matches the root node

<xsl:apply-templates select="/">

 Attribute nodes can be selected using a "@" and the attribute name

<xsl:value-of select="@type">

• Text nodes can be selected using text()
<xsl:value-of select="text()">

All of these can be chained together
 <xsl:value-of select="website/url">

More paths

• Wildcards:

- * all element node
- @* all attribute nodes
- node() all nodes

institution/*/website

• Paths can specify alternatives with '|' contact | website

- '.' represents current node
- '..' represents the current node's parent

../../name

- A leading '/' makes a path absolute
- '// selects from all descendants
 /institutions//url

Predicates

- An XPath expression commonly selects more than one node
- Sometimes you don't want all of them
- Each step in a location path can have a condition attached
- This is called a *predicate*

The predicate contains a boolean expression
 //contact[@method="tel"]
 //institution[@type="acad"]/contact[@method="tel"]

Unabbreviated Location Paths

- So far we've been using abbreviated location paths
- There is an unabbreviated form that's even more powerful
- For example child::institution/attribute::type is the same as institution/@type
- Abbreviated paths allow you to navigate along the folowing
 - child and parent
 - ♦ self
 - attribute
 - descendant-or-self
- The unabbreviated form additionally lets you navigate
 - ancestor
 - following and preceding
 - following-sibling and preceding-sibling
 - namespace
 - descendant
 - ancestor-or-self.

Other sorts of XPath expression

- So far we've looked only at location paths
- These return *node-sets* which identify a set of nodes in a document
- XPath expressions can also represent numbers, strings, and booleans
- Most types convert as you might expect, for example an empty node-set is 'false' when used as a boolean
- XPATH also provides useful built-in functions, for example
 - **position()** returns the position of the current node in the node-set being processed
 - **round()** rounds a number to the nearest integer
 - concat() joins strings
 - ..etc.

XSLT reprise - default rules

- XSLT processors start by trying to process the root node
- If nothing else matches they apply some default template rules
- For element and root nodes:

```
<xsl:template match="*|/">
    <xsl:apply-templates/>
</xsl:template>
```

For text and attribute nodes:

- Taken together, this means that all element nodes will be visited and the text from each added to the results
- While there is a default rule for attribute nodes, none of the default rules cause attributes to be processed.

XPath: Summary

- A language to identify parts of an XML document
- Used by XPATH and other XML technologies
- Needs it's own tree view of the data
- Location paths select nodes from the tree
- There are abbreviated and unabbreviated forms of location paths
- *Predicates* can filter node sets
- XPath expressions can also return numbers, strings, and booleans
- XPath includes a number of useful functions.

Programing with XML

Programing with XML

- While XML may be human readable, humans shouldn't have to read it
- So we want programs to do so
- Two approaches, exemplified by two standardised APIs
 - DOM (the Document Object Model)
 - SAX (the Simple API for XML)
- Implementations of both are available for Java, Perl, Python, C, etc., etc.

DOM

- Originally developed for working on HTML and XML in a browser context
- Involves parsing an entire document into an interlinked set of objects and traversing the resulting tree
- Successive versions defined as 'levels'
- Most recent is Level 3
- Defined in OS- and language-independent form, translated to concrete implementation in the various languages
- Upside being the ability to easily traverse the tree, add and delete parts, etc.
- Downside is the need to parse and store the entire document in memory
- See *dom.pl*.

SAX

- Originally defined for Java API, but subsequently ported
- An event-based API for reading XML
- Normal implementation involves a parser that invokes a user-supplied function for each event
- Upside:
 - Don't need to hold the entire tree in memory
 - Incremental processing possible
- Downside:
 - Can be harder to program
 - Need to maintain your own data structures to keep track of tree position, result data, etc.
- Note that many DOM implementations use a SAX parser to build the DOM tree
- See sax.pl.

XML Programming: Summary

- While human readable, XML is really for programs
- There are two main approaches
 - Tree-based, as exemplified by the DOM
 - Event based, as exemplified by SAX.

Some other core XML technologies

XSL Formatting Objects (XSL-FO)

- An XML application for describing the layout of text on a page
- Normally created as the target of an XSLT transformation
- See example7.xslt
- This can be hard, but that's because laying out pages is hard
- Needs a processor to convert XSL-FO to print
- Most free ones seem to be poor
- Examples include
 - The Apache project's FOP
 - Sebastian Rahtz's PassiveTeX.

XML Schema

- DTD's are traditionally used when defining XML schemas
- But they are limited in what they can do
- and are not themselves expressed in XML
- XML Schema, a W3C recommendation, attempts to address this
- Can describe complex restrictions on elements and attributes
- Understands namespaces
- Multiple XML Schemas can be combined
- There are yet more schema languages, such as RELAX NG and Schematron.

XLinks

- An attribute-based syntax for attaching links to XML documents
- Like HTML's <a> tag on steroids
 - Unidirectional
 - Bidirectional
 - Multidirectional

<book xmlns:xlink="http://www.w3.org/1999/xlink"</pre>

xlink:type="simple"

xlink:href=

"http://ftp.archive.org/etext/etext93/wizoz10.txt">

XPointer

- A non-XML syntax for identifying locations inside XML documents
- Intended to be used as a fragment identifier in a URL
- Leverages XPath

http://www.example.org/ inst.dtd#xpointer(//institution[1])

Other stuff

- XInclude technology for combining XML documents
- XForms reformulation and extension of HTML forms
- ... and many more.

Example XML applications

Narrative

- Text Encoding Initiate (TEI)
- DocBook
- OpenOffice
- XHTML
 - Can be created as the output from an XSLT transformation for example see example6.xslt
 - Even on-the-fly by modern browsers
 - Can also be styled using CSS see *example1.css*.

Data-oriented

- SVG scalable vector graphics
- RSS and Atom content summary
- Jabber Instant Messaging carried by XML
- Web services XML-RPC, SOAP carrying information over XML.

Where to go from here?

- Choose what interests you
- Remember it's a huge field
- Explore the available resources
 - in print
 - in the standards and recommendations
 - elsewhere on the web.

That's All Folks

If you have been, thanks for listening