Typesetting SGML Documents Using \TeX

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Abstract
Since its publication as an international standard in 1986, the
Standard Generalized Markup Language (SGML) has become a
preferred document-markup standard within many industries.
Many users have developed their own document type definitions
(DTDs) that define the elements (tag sets) for their documents.
However, if SGML is to become a universally accepted standard
of document interchange, then a standard way of specifying
formatted output and a means of producing that output will be
needed.

The U.S. government's Computer-aided Acquisition and
Logistic Support (CALS) initiative selected SGML as the standard
for text interchange. The output specification section of the
CALS standards proposed the Formatted Output Specification
Instance (FOSI) as the means of formatted output specification
interchange.

\TeX can be used as the formatting engine to implement
FOSI-based formatting. But without extending \TeX, not every
FOSI formatting request can be fulfilled. Conversely, certain
\TeX capabilities cannot be formulated in terms of FOSI
characteristics. However, a FOSI/\TeX-based formatting system
would be a major advance towards fulfilling the document
interchange needs of a growing community of SGML users.

Document Interchange Standards
In the past ten years, \TeX has become a well known
and widespread language for typesetting technical
documents. From its original base of universities
and colleges, it has spread to such an extent that
people in industries with only incidental needs for
publishing have heard about it. A large part of
\TeX's appeal comes from its portability, since the
program is in the public domain and has been
ported to quite a number of operating systems.
There is no standard for the way a \TeX document
is "marked up"; this is dependent on the macro
package used. Given the right macro package
and fonts, the formatted output of two different
\TeX implementations on two different machines will
produce identical results.

By contrast, generic markup systems identify
document structures without making assumptions
about the end application of the document. This
makes the same document useful to various pro-
grams and for various applications. Generic markup
has been around in several flavors for over ten years.

These dissimilar flavors were a hindrance to its util-
ity. To remove this hindrance and to promote the
portability and acceptance of generic markup, an
international standard (IS) specification for generic
markup was established in 1986. Since then, SGML
(Standard Generalized Markup Language) has be-
come extremely important to industry, especially in
areas where huge quantities of data have created a
document-management nightmare. Today a large
number of programs can read and write SGML on a
variety of platforms.

The U.S. government's Computer-aided Acqui-
sition and Logistic Support (CALS) initiative gave
SGML additional clout by selecting SGML as the
standard of text interchange between the Depart-
ment of Defense and its subcontractors. However,
SGML contains no information pertaining to the
printed representation of a document or to the
meaning attached to the markup. The compan-
ion standard to SGML that addresses standardized
formatting specifications, the Document Style Se-
manics and Specification Language (DSSSL), is
still in the design stages. It is not expected to become an international standard until at least 1993. For this reason the output specification section of the CALS standards proposed the Formatted Output Specification Instance (FOSI) as the means of output specification interchange.

**SGML and FOSI Structure: An Overview**

All SGML documents must conform to certain rules that are defined partially by the standard and partially by a prolog to the document; this prolog is called the document type definition (DTD). The DTD defines the “elements” of a document; in a document instance, these are marked off by start tags and end tags. For example, a hypothetical section might be marked up like the fragment in Listing 1. Here, `<head>` and `</head>` (pronounced “head” and “end head”) are start and end tags that delimit the head element. The parent of head is section and its siblings are the two para elements.

A DTD also defines what “attributes” are associated with an element. An attribute is an annotation that appears in the document instance and augments the information provided by the markup. Attributes appear within an element’s start tag. If the element “head” has an attribute “id” for use in cross references, then that attribute can be assigned some value in the document instance, for example: `<head id="overview">`.

It is important to note that SGML allows the same element to appear in many contexts within a document structure. The same markup can be used to describe a chapter head, a section head, and even a table head. At some point, a distinction must be made between these various contexts, at least for the purpose of formatting the document. But since the DTD also restricts the context in which any element may appear, the task of defining the style of every element in every one of its possible contexts is fairly well defined. Thus, a FOSI will not define the formatted output style of a document element but of an element in context (or e-i-c).

Many industries have developed DTDs that define the elements (tag sets) used to mark up their documents. Before SGML becomes a universally accepted standard of document interchange, one of SGML’s companion standards for output specification must be fully implemented. **TeX** could be the engine in the implementation, the means of producing standardized output for any SGML document. The ultimate goal would be to make this process automatic for the arbitrary DTD document. The only information that would need to pass from one site to another in order to print a document would be the document instance, the DTD, and an output specification.

It appears that of all proposed output specification standards, the FOSI is the closest to becoming a recognized standard. In addition, the FOSI specification is the easiest to implement. A FOSI is itself an SGML document that conforms to the Output Specification (OS, or outspec) DTD. But, instead of being made up of parts, chapters, or sections, a FOSI is made up of divisions that describe page models and the output format of each of the document’s elements.

There are six major divisions in an output specification instance: the security description (secdesc), the page description (pagedesc), the element style description (styldesc), the table element style description (tabdesc), the graphical element description (grphdesc), and the footnote area description (ftndesc). All but the pagedesc and styldesc are optional. There still is no definition for the output style of mathematical formula elements. Thus, the mathematics must either be passed through in the native language of the formatting system and translated into the native language by the translator, or the output specification for the mathematical elements must be “hard wired” in the formatting system.

The style description is the most important division of the outspec for simple text documents. The styldesc contains a document description (docdesc), the page description (pagedesc), and the footnote area description (ftndesc). All but the pagedesc and styldesc are optional. There still is no definition for the output style of mathematical formula elements. Thus, the mathematics must either be passed through or translated into the native language by the translator, or the output specification for the mathematical elements must be “hard wired” in the formatting system.

The style description is the most important division of the outspec for simple text documents. The styldesc contains a document description (docdesc), zero or more environment descriptions (envdesc), and at least one formatting specification for an e-i-c. It is in these subdivisions that special FOSI elements called categories appear. Each category

```
<section>
  <head>SGML and FOSI Structure: An Overview</head>
  <para>All SGML documents must conform to certain rules that are defined partially by the standard and partially by a prolog to the document, which is called the document type definition (DTD). </para>
  <para>In addition to being first off the starting blocks to becoming a national standard, the FOSI is also the most manageable. </para>
</section>
```

Listing 1. A Document Instance Fragment.
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SGML and FOSI Structure:
An Overview

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Figure 1. Typeset Document Fragment.

provides data on a different aspect of the formatted output. There are 24 categories (with names such as font, leading, etc.), and each of these has from one to 13 attributes. These, when fully specified, exactly define the formatting aspect with which their category is concerned. These attributes are called characteristics, of which there are 128 in total. Once values for all the characteristics of any given e-i-c have been determined, it should be possible to define the appearance of that e-i-c on the printed page.

The categories control the font, leading, hyphenation, word spacing, letter spacing, indents, horizontal justification, highlight, change marks, prespace, postspace, page breaking, vertical justification, text breaking, spanning, page borders, ruling, character fill, enumeration, print suppression, automatic generation of text, automatic generation of graphics, the saving of text for cross reference, and the use of text saved for cross reference.

As mentioned above, the elements that may appear in a styldesc are docdesc, envdesc, and e-i-c. The characteristics of the docdesc define the style of the overall document and specify the default values for characteristics that are needed but not specified in an e-i-c. When used in this way, the docdesc is called the default environment. The envdesc section defines “named” environments that may be used instead of the default environment. The actual style definition for an element in a particular context in the document instance is given by an e-i-c. The SGML terminology for an element’s name is the generic identifier (gi). An e-i-c specifies an element, its context, and its occurrence within that context by using the gi, context, and occur attributes, as shown in Listing 2.

Furthermore, this FOSI also uses the occur attribute of an e-i-c to make a distinction between the output format of the first and non-first occurrences of the para element. The paragraph indent of the first para within a structure is zero, while non-first paragraphs have an indent of 15 points and an additional prespace of 6 points. Figure 1 shows the formatted output from the document instance fragment. Characteristics not explicitly listed in the e-i-c definitions default to the values specified in the docdesc (not shown).

Listing 2. FOSI fragment.

SGML-to-\TeX Translation

As with most SGML documents, the FOSI must first be read by an SGML parser or a dedicated program, and then translated into a form suitable for the formatting engine. Likewise, the document instance
must be translated by some process into a suitable form.

Translating a FOSI into \TeX creates a series of macro definitions that appear in the \TeX translation of the document instance. Given a suitable starting set of macros, it is possible to load the new macro definitions produced automatically from the FOSI translation and to format the document.

Because the output specification for a given document element is context sensitive, either the translation process or \TeX must track and differentiate between differing contexts. To make the work of the macro package easier, the context sensitivity should be built into the translation process. In fact, \TeX's limited look-ahead capability dictates that the translation will be context sensitive. \TeX cannot recognize when an element is the last of its kind within the parent structure, but some occurrence conditions require that this distinction be made. For example, the last item in a list may need to inhibit a page break from separating it from the second-to-last item. This occurrence recognition must therefore be done by the translation process.

The easiest way to accomplish this is to give each e-i-c in the FOSI a distinct name and to use that name, when appropriate, in the translation of the document instance. Listing 3 and 4 show the translation into \TeX of the document instance from Listing 1 and the sample FOSI fragment of Listing 2. Notice how the two sets of <para>...</para> tags are translated according to their occurrence.

\section{SGML and FOSI Structure: An Overview}

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\sectionhead{Implicit Specification of Characteristics}

Let us examine more closely the specification of the first para e-i-c in the FOSI fragment in Listing 2. It explicitly sets the values for the firstln characteristic of the "indent" category and the startln and endln characteristics of the "textbrk" category; however, it neglects to explicitly define many other important formatting parameters. Nowhere was the font mentioned, or the prespace, or the justification (quadding). Nonetheless, as the formatted output suggests, these characteristics are well defined. In general, one of two implicit methods is used to determine the value of a characteristic not mentioned explicitly in an e-i-c.

One of the methods is inheritance. An unspecified characteristic that is inherited assumes the value it had at the level of its parent. In the example of Listing 1, the font family of the head is inherited from its parent (the section). If the font family characteristic for section is changed, this will in turn affect the head. This method of determining the value of an unspecified characteristic has to

\begin{verbatim}
\def\section{\starteic{section}}\font{\def\family{cm}}\presp{\nominal=30\pt \minimum=30\pt \maximum=30\pt}\eiccontent \endsection{endeic{section}}
\def\sectionhead{\starteic{head}}\font{\inherit=1 \def\style{sanserif} \size=14\pt \def\weight{bold}}\leading{\lead=14\pt}\quadding{\def\quad[right]}\keeps{\keep=1 \next=1}\posts{\nominal=24\pt \minimum=20\pt \maximum=30\pt}\eiccontent \def\endsectionhead{\endeic{head}}
\def\firstpara{\starteic{para} \indent{\firstln=0\pt} \eiccontent} \def\endfirstpara{\endeic{para}}
\def\nonfirstpara{\starteic{para} \indent{\firstln=15\pt} \presp{\nominal=6\pt \minimum=4\pt \maximum=6\pt} \eiccontent} \def\endnonfirstpara{\endeic{para}}
\endverbatim


Listing 4. Translation of a FOSI Fragment.
be explicitly requested by setting the \texttt{inherit} attribute of the affected category to one, as shown in Listing 2. Explicitly assigned characteristic values override inherited values.

The usual method of determining the value of a characteristic that has not been explicitly assigned in the e-i-c is to look up its value in an environment. Every FOSI contains the document environment that explicitly mentions all 128 formatting characteristics. This is the default or "unnamed" environment normally used when a lookup must be done. For example, the prespace category (presp) was entirely omitted from the declaration for head in Listing 2. So head was typeset using the default environment’s prespace characteristic values, which were all zero.

Other "named" environments may optionally be defined in the \texttt{envdesc} section. For an e-i-c’s characteristic to be looked up from a named environment, the structure in an e-i-c that contains the categories (charlist) must set its \texttt{envname} attribute to the environment name.

Of the two methods of determining the values of unspecified characteristics (inheriting from a parent and defaulting from an environment), the inheritance method is the more problematic. Since the value of an inherited characteristic cannot be decided until the element’s context is known, current characteristic values must be tracked by \TeX. Fortunately, \TeX’s grouping already works this way. The characteristic values that must be looked up from an environment can be added to the definitions in the FOSI as part of the translation process, or the lookup can be performed by \TeX as part of the typesetting process.

### Typesetting the Translated SGML Document

The processes performed by \TeX that culminate in typesetting the translated document can be separated into two levels. The top level is responsible for the inheritance, lookup, and setting of characteristic values, as discussed above. Macros, such as \texttt{\starteic} and \texttt{\endeic} used in Listing 4, group these values to restrict inheritance, while \texttt{\font}, \texttt{\textbrk}, and the like are used to set explicit overrides.

The bottom level is responsible for the setting of \TeX parameters. This layer is invoked at the end of every start tag. In Listing 4, it is the call to \texttt{\eiccontent} that triggers this processing.

Various optimizations are possible. For example, if the only category changed since the last text fragment is the leading category (which controls line spacing), then there is no reason to change the current font. By keeping track of the categories that have not changed since the last time the bottom layer was called, we save the overhead of computing any \TeX parameter that relies entirely on those unchanged categories.

Whatever optimizations are used, it is required that the current font, horizontal and vertical sizes, margins, indent, interword space, page and line breaking, and baselineskip parameters be properly set. Some non-primitive parameters (for example, for controlling the number of columns) must also be set. In addition, certain \TeX commands, such as inserts, vertical and horizontal skips, counter increments, macro text expansions for typesetting, and so on, must be executed at the appropriate times. All of these actions must conform to the current settings of the FOSI characteristics.

Sometimes the correspondence between FOSI characteristics and \TeX capabilities is close, and a simple transformation will allow \TeX to produce the results specified by the FOSI. An example is the transformation of the pre-space category (presp), which controls vertical spacing. Presp contains characteristics, called minimum, nominal, and maximum, that specify the whitespace that precedes an e-i-c. The actions \TeX must take can be defined by means of the transformation:

\begin{verbatim}
<T-final> nominal=x minimum=y maximum=z>  ⟷  \vskip x plus min(z - x, 0) minus min(x - y, 0)
\end{verbatim}

The indent category’s characteristics are also easy to transform into \TeX. There are only three indent characteristics, all of which are dimensions: leftind, rightind, and firstln. It is possible to specify that a dimension be absolute or relative to its current value. So, assuming that the conditional \texttt{\ifabsind} is set to false if the leftind is specified relatively and to true if it is specified as an absolute value, and likewise assuming that \texttt{\ifabsrind} and \texttt{\ifabsflnd} are appropriately set, the transformation becomes:

\begin{verbatim}
<indent leftind=x rightind=y firstind=z>  ⟷  \ifabsind\else\advance\fi\leftskip x
\ifabsrind\else\advance\fi\rightskip y
\ifabsflnd\else\advance\fi\parindent (z - x)
\end{verbatim}

Another fairly straightforward transformation between FOSI characteristics and \TeX parameters is the font assignment. The FOSI font category includes characteristics named style, famname, size, posture, weight, width, allcap, smallcap, and offset. A table lookup scheme can be devised that allocates...
the fonts found on the user’s system based on the classification given by these characteristics. I would exclude allcap and offset from the classification, as these are not really properties of a font.

**Difficult Transformations**

The three transformations listed above are among the easiest. The characteristics affecting one \TeX parameter do not necessarily come from a single category. Sometimes the transformation into \TeX requires a long and complex algorithm. The seemingly simple request `<span span=1>` would cause an element to interrupt the current column mode in a multicolumn document, balance off the existing text on the page, switch into one-column mode for the duration of the element contents, and then switch back into the interrupted-column mode. These changes would also affect any \TeX parameter whose setting depends on the `\hsize`. Nonetheless, multicolumn algorithms exist and the required side effects of switching column modes can be rigorously determined. So the span characteristic can, in theory, be implemented.

There are characteristics that are impossible to implement in \TeX: The category that controls page breaks (keeps) contains the characteristics keep, widow, and orphan. The first is a toggle (0 or 1) that inhibits the breakability of the entire e-i-c. The other two are integers that control the number of widow or orphan lines to be kept together if the element must break. But \TeX only provides widow/orphan control for page breaks between the first two and the last two lines of a paragraph. So the best transformation is only approximate: `<keeps keep=1 widow=0 orphan=0>`

```latex
\ifcase 1 \interlinepenalty=10000
\else
  \widowpenalty=\ifnum a>1 10000 \else 150 \fi
  \clubpenalty=\ifnum b>1 10000 \else 150 \fi
\fi
```

The lettersp category concerns kerns between letter pairs. \TeX can be made to do “track kerning” in limited circumstances, but the process is inefficient and the conditions under which it can be used are limited. There seems to be no point in attempting to implement this capability.

The quadding category controls justification of lines within an element. Among other possibilities, it gives the FOSI designer the power to request that paragraph lines be ragged on the inside margin only or the outside margin only. But \TeX cannot justify the lines of a single paragraph based on which page they fall on, at least not in a one-pass system. This is yet another esoteric request that would not cause a book designer to lose any sleep if it were glossed over.

Still other FOSI capabilities can be implemented by using extensions to \TeX. The category that controls underscoring and overstriking (highlt) may require a \TeX extension or some driver assistance via `\special` commands. This same category gives control over the background and foreground colors.

**\TeX Capabilities That Are Not Expressible In a FOSI**

It is interesting to note that just as there are FOSI capabilities that are not possible to implement by \TeX, there are \TeX capabilities that cannot be described in a FOSI.

The `plain.tex` package already provides many typographical parameters to which the FOSI designer will have no access. Only parameters and capabilities that may need to be used in the middle of a document will be listed, since the macro package can set up the other parameters easily. The list includes: horizontal kerning; `\vbox`es and `\hbox`es to any fixed dimension; the capabilities of `\halign`, `\valign`, and simple tabbing; mathematics and all parameters related to mathematics; `\looseness`, `\parskip`, and the paragraph-hanging parameters; `\lineskip` and `\lineskiplimit` control; `\topskip`; multilingual hyphenation patterns; marks of various flavors; and `\xspace`, although interword space can be adjusted.

Adding macro packages increases the shortcomings of the FOSI. Add to the list: mixed multi-column modes on one page, although spanning to one column is possible; precise control of figure placement and many insert categories; side-by-side paragraphs; “picture” modes; multiple levels of footnotes; marginal notes; paragraph line numbering. The list goes on.

In general, the major advanced capabilities that \TeX has over FOSI capabilities are macro expandability, conditionals, and the ability to define custom output routines. For the time being, these are not serious limitations. It is more important to find an interim solution to the arbitrary DTD formatting problem. The FOSI-driven \TeX formatting engine provides a good solution. Its wide acceptance in the SGML community would also mean a wide acceptance of \TeX, a factor that would weigh strongly in \TeX’s favor.