



# Web Services Reliable Messaging Policy Assertion (WS-RM Policy) Version 1.1

## OASIS Standard

14 June 2007

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#### Related Work:

This specification replaces or supercedes:

- WS-ReliableMessaging Policy v1.0

#### Declared XML Namespaces:

<http://docs.oasis-open.org/ws-rx/wsrmp/200702>

#### Abstract:

This specification describes a domain-specific policy assertion for WS-ReliableMessaging [WS-RM] that can be specified within a policy alternative as defined in WS-Policy Framework [WS-Policy].

By using the XML [XML], SOAP [SOAP 1.1], [SOAP 1.2] and WSDL [WSDL 1.1] extensibility models, the WS\* specifications are designed to be composed with each other to provide a rich Web services environment. This by itself does not provide a negotiation solution for Web services. This is a building block that is used in conjunction with other Web service and application-specific protocols to accommodate a wide variety of policy exchange models.

43 **Status:**

44 This document was last revised or approved by the WS-RX Technical Committee on the above  
45 date. The level of approval is also listed above. Check the "Latest Version" or "Latest Approved  
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50 [open.org/committees/ws-rx/](http://www.oasis-open.org/committees/ws-rx/).

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55 The non-normative errata page for this specification is located at [http://www.oasis-](http://www.oasis-open.org/committees/ws-rx/)  
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## 1 Introduction

This specification defines a domain-specific policy assertion for reliable messaging for use with WS-Policy and WS-ReliableMessaging.

### 1.1 Terminology

The keywords "MUST", "MUST NOT", "REQUIRED", "SHALL", "SHALL NOT", "SHOULD", "SHOULD NOT", "RECOMMENDED", "MAY", and "OPTIONAL" in this document are to be interpreted as described in RFC 2119 [KEYWORDS].

This specification uses the following syntax to define normative outlines for messages:

- The syntax appears as an XML instance, but values in *italics* indicate data types instead of values.
- Characters are appended to elements and attributes to indicate cardinality:
  - "?" (0 or 1)
  - "\*" (0 or more)
  - "+" (1 or more)
- The character "|" is used to indicate a choice between alternatives.
- The characters "[" and "]" are used to indicate that contained items are to be treated as a group with respect to cardinality or choice.
- An ellipsis (i.e. "...") indicates a point of extensibility that allows other child, or attribute, content. Additional children and/or attributes MAY be added at the indicated extension points but MUST NOT contradict the semantics of the parent and/or owner, respectively. If an extension is not recognized it SHOULD be ignored.
- XML namespace prefixes (see section 1.4) are used to indicate the namespace of the element being defined.

Elements and Attributes defined by this specification are referred to in the text of this document using XPath 1.0 [XPATH 1.0] expressions. Extensibility points are referred to using an extended version of this syntax:

- An element extensibility point is referred to using {any} in place of the element name. This indicates that any element name can be used, from any namespace other than the wsrn: namespace.
- An attribute extensibility point is referred to using @{any} in place of the attribute name. This indicates that any attribute name can be used, from any namespace other than the wsrn: namespace.

### 1.2 Normative

- |                   |  |
|-------------------|--|
| <b>[KEYWORDS]</b> | S. Bradner, "Key words for use in RFCs to Indicate Requirement Levels," RFC 2119, Harvard University, March 1997.<br><a href="http://www.ietf.org/rfc/rfc2119.txt">http://www.ietf.org/rfc/rfc2119.txt</a> |
| <b>[SOAP 1.1]</b> | W3C Note, "SOAP: Simple Object Access Protocol 1.1" 08 May 2000.<br><a href="http://www.w3.org/TR/2000/NOTE-SOAP-20000508/">http://www.w3.org/TR/2000/NOTE-SOAP-20000508/</a>                              |

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170 <http://www.w3.org/TR/REC-xml/>  
171 [XML-ns] W3C Recommendation, "Namespaces in XML," 14 January 1999.  
172 <http://www.w3.org/TR/1999/REC-xml-names-19990114/>  
173 [XML-Schema Part1] W3C Recommendation, "XML Schema Part 1: Structures," October 2004.  
174 <http://www.w3.org/TR/xmlschema-1/>  
175 [XML-Schema Part2] W3C Recommendation, "XML Schema Part 2: Datatypes," October 2004.  
176 <http://www.w3.org/TR/xmlschema-2/>  
177 [XPath 1.0] W3C Recommendation, "XML Path Language (XPath) Version 1.0," 16 November  
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180 1.3 Non Normative

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182 (RDDL) 2.0," January 2004  
183 <http://www.openhealth.org/RDDL/20040118/rddl-20040118.html>  
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185 SecurityPolicy)," July 2005  
186 <http://specs.xmlsoap.org/ws/2005/07/securitypolicy/ws-securitypolicy.pdf>  
187 [WS-Policy] W3C Member Submission "Web Services Policy 1.2 - Framework", April 2006  
188 <http://www.w3.org/Submission/2006/SUBM-WS-Policy-20060425/>  
189  
190 W3C ~~Candidate~~ Recommendation, "Web Services Policy 1.5 - Framework,"  
191 ~~September~~ February 2007.  
192 <http://www.w3.org/TR/2007/REC-WS-Policy-20070904228>  
193 [WS-PolicyAttachment] W3C Member Submission "Web Services Policy 1.2 - Attachment", April  
194 2006  
195 <http://www.w3.org/Submission/2006/SUBM-WS-PolicyAttachment-20060425/>  
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204 [security-1.0.pdf](http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-soap-message-security-1.0.pdf)

Field Code Changed

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205  
206 Anthony Nadalin, Chris Kaler, Phillip Hallam-Baker, Ronald Monzillo, eds. "OASIS  
207 Web Services Security: SOAP Message Security 1.1 (WS-Security 2004)", OASIS  
208 Standard 200602, February 2006.  
209 <http://docs.oasis-open.org/wss/v1.1/wss-v1.1-spec-os-SOAPMessageSecurity.pdf>

210 **1.4 Namespace**

211 The XML namespace [XML-ns] URI that MUST be used by implementations of this specification is:

212 <http://docs.oasis-open.org/ws-rx/wsrmp/200702>

213 Dereferencing the above URI will produce the Resource Directory Description Language [RDDL 2.0]  
214 document that describes this namespace.

215 Table 1 lists the XML namespaces that are used in this specification. The choice of any namespace prefix  
216 is arbitrary and not semantically significant. The assertions defined within this specification have been  
217 designed to work independently of a specific version of WS-Policy. At the time of the publication of this  
218 specification the versions of WS-Policy known to correctly compose with this specification are WS-Policy  
219 1.2 and 1.5. Within this specification the use of the namespace prefix wsp refers generically to the WS-  
220 Policy namespace, not a specific version.

221 Table 1

Prefix	Namespace	Specification
wsdl	<a href="http://schemas.xmlsoap.org/wsdl/">http://schemas.xmlsoap.org/wsdl/</a>	[WSDL 1.1]
wsrmp	<a href="http://docs.oasis-open.org/ws-rx/wsrmp/200702">http://docs.oasis-open.org/ws-rx/wsrmp/200702</a>	This specification.
wsu	<a href="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd">http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-wssecurity-utility-1.0.xsd</a>	WS-Security-Utility Schema

222 The normative schema for WS-ReliableMessaging can be found linked from the namespace document that  
223 is located at the namespace URI specified above.

224 All sections explicitly noted as examples are informational and are not to be considered normative.

225 **1.5 Conformance**

226 An implementation is not compliant with this specification if it fails to satisfy one or more of the MUST or  
227 REQUIRED level requirements defined herein. A SOAP Node MUST NOT use the XML namespace  
228 identifier for this specification (listed in section 1.4) within SOAP Envelopes unless it is compliant with this  
229 specification.

230 Normative text within this specification takes precedence over normative outlines, which in turn take  
231 precedence over the XML Schema [XML-Schema Part1, XML-Schema Part2] descriptions.

## 232 2 RM Policy Assertions

233 WS-Policy Framework and WS-Policy Attachment [WS-PolicyAttachment] collectively define a framework,  
234 model and grammar for expressing the requirements, and general characteristics of entities in an XML  
235 Web services-based system. To enable an RM Destination and an RM Source to describe their  
236 requirements for a given Sequence, this specification defines a single RM policy assertion that leverages  
237 the WS-Policy framework.

### 238 2.1 Assertion Model

239 The RM policy assertion indicates that the RM Source and RM Destination MUST use WS-  
240 ReliableMessaging to ensure reliable delivery of messages. Specifically, the WS-ReliableMessaging  
241 protocol determines invariants maintained by the reliable messaging endpoints and the directives used to  
242 track and manage the delivery of a Sequence of messages.

### 243 2.2 Normative Outline

244 The normative outline for the RM assertion is:

```
245 <wsrmp:RMAssertion [wsp:Optional="true"]? ... >
246   <wsp:Policy>
247     [ <wsrmp:SequenceSTR/> |
248       <wsrmp:SequenceTransportSecurity/> ] ?
249     <wsrmp:DeliveryAssurance>
250       <wsp:Policy>
251         [ <wsrmp:ExactlyOnce/> |
252           <wsrmp:AtLeastOnce/> |
253           <wsrmp:AtMostOnce/> ]
254         <wsrmp:InOrder/> ?
255       </wsp:Policy>
256     </wsrmp:DeliveryAssurance> ?
257   </wsp:Policy>
258   ...
259 </wsrmp:RMAssertion>
```

260 The following describes the content model of the RMAssertion element.

261 /wsrmp:RMAssertion

262     A policy assertion that specifies that WS-ReliableMessaging protocol MUST be used when  
263     sending messages.

264 /wsrmp:RMAssertion/@wsp:Optional="true"

265     Per WS-Policy, this is compact notation for two policy alternatives, one with and one without the  
266     assertion. The intuition is that the behavior indicated by the assertion is optional, or in this case,  
267     that WS-ReliableMessaging MAY be used.

268 /wsrmp:RMAssertion/wsp:Policy

269     This required element allows for the inclusion of nested policy assertions.

270 /wsrmp:RMAssertion/wsp:Policy/wsrmp:SequenceSTR

271     When present, this assertion defines the requirement that an RM Sequence MUST be bound to an  
272     explicit token that is referenced from a wsse:SecurityTokenReference in the  
273     CreateSequence message. See section 2.5.1.



274 /wsrmp:RMAssertion/wsp:Policy/wsrmp:SequenceTransportSecurity

275 When present, this assertion defines the requirement that an RM Sequence MUST be bound to

276 the session(s) of the underlying transport-level protocol used to carry the `CreateSequence` and

277 `CreateSequenceResponse` message. When present, this assertion MUST be used in

278 conjunction with the `sp:TransportBinding` assertion, see section 2.5.2.

279 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance

280 This expression, which may be omitted, describes the message delivery quality of service between

281 the RM and application layer. When used by an RM Destination it expresses the delivery

282 assurance in effect between the RM Destination and its corresponding application destination, and

283 it also indicates requirements on any RM Source that transmits messages to this RM destination.

284 Conversely when used by an RM Source it expresses the delivery assurance in effect between the

285 RM Source and its corresponding application source, as well as indicating requirements on any

286 RM Destination that receives messages from this RM Source. In either case the delivery

287 assurance does not affect the messages transmitted on the wire. Absence of this expression from

288 a `wsrmp:RMAssertion` policy assertion simply means that the endpoint has chosen not to

289 advertise its delivery assurance characteristics.

290 Note that when there are multiple policy alternatives of the RM Assertion, the Delivery Assurance

291 on each MUST NOT conflict.

292 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance/wsp:Policy

293 This required element identifies additional requirements for the use of the

294 `wsrmp:DeliveryAssurance`.

295 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance/wsp:Policy/wsrmp:ExactlyOnce

296 This expresses the ExactlyOnce Delivery Assurance defined in [\[WS-RM\]](#).

297 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance/wsp:Policy/wsrmp:AtLeastOnce

298 This expresses the AtLeastOnce Delivery Assurance defined in [\[WS-RM\]](#).

299 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance/wsp:Policy/wsrmp:AtMostOnce

300 This expresses the AtMostOnce Delivery Assurance defined in [\[WS-RM\]](#).

301 /wsrmp:RMAssertion/wsp:Policy/wsrmp:DeliveryAssurance/wsp:Policy/wsrmp:InOrder

302 This expresses the InOrder Delivery Assurance defined in [\[WS-RM\]](#).

303 /wsrmp:RMAssertion/{any}

304 This is an extensibility mechanism to allow different (extensible) types of information, based on a

305 schema, to be passed.

306 /wsrmp:RMAssertion/@{any}

307 This is an extensibility mechanism to allow different (extensible) types of information, based on a

308 schema, to be passed.

### 309 2.3 Assertion Attachment

310 The RM policy assertion is allowed to have the following Policy Subjects [\[WS-PolicyAttachment\]](#):

- 311 • Endpoint Policy Subject
- 312 • Message Policy Subject

313 WS-PolicyAttachment defines a set of WSDL/1.1 policy attachment points for each of the above Policy  
314 Subjects. Since an RM policy assertion specifies a concrete behavior, it MUST NOT be attached to the  
315 abstract WSDL policy attachment points.

316 The following is the list of WSDL/1.1 elements whose scope contains the Policy Subjects allowed for an  
317 RM policy assertion but which MUST NOT have RM policy assertions attached:

- 318 • wsdl:message
- 319 • wsdl:portType/wsdl:operation/wsdl:input
- 320 • wsdl:portType/wsdl:operation/wsdl:output
- 321 • wsdl:portType/wsdl:operation/wsdl:fault
- 322 • wsdl:portType

323 The following is the list of WSDL/1.1 elements whose scope contains the Policy Subjects allowed for an  
324 RM policy assertion and which MAY have RM policy assertions attached:

- 325 • wsdl:port
- 326 • wsdl:binding
- 327 • wsdl:binding/wsdl:operation/wsdl:input
- 328 • wsdl:binding/wsdl:operation/wsdl:output
- 329 • wsdl:binding/wsdl:operation/wsdl:fault

330 If an RM policy assertion is attached to any of:

- 331 • wsdl:binding/wsdl:operation/wsdl:input
- 332 • wsdl:binding/wsdl:operation/wsdl:output
- 333 • wsdl:binding/wsdl:operation/wsdl:fault

334 then an RM policy assertion, specifying `wsp:Optional="true"` MUST be attached to the corresponding  
335 `wsdl:binding` or `wsdl:port`, indicating that the endpoint supports WS-RM. Any messages, regardless  
336 of whether they have an attached Message Policy Subject RM policy assertion, MAY be sent to that  
337 endpoint using WS-RM. Additionally, the receiving endpoint MUST NOT reject any message belonging to  
338 a Sequence, simply because there was no Message Policy Subject RM policy assertion attached to that  
339 message. There might be certain RM implementations that are incapable of applying RM Quality of  
340 Service (QoS) semantics on a per-message basis. In order to ensure the broadest interoperability, when  
341 an endpoint decorates its WSDL with RM policy assertions using Message Policy Subject, it MUST also be  
342 prepared to accept that all messages sent to that endpoint might be sent within the context of an RM  
343 Sequence, regardless of whether the corresponding `wsdl:input`, `wsdl:output` or `wsdl:fault` had an attached  
344 RM policy assertion.

345 Rather than turn away messages that were unnecessarily sent with RM semantics, the receiving endpoint  
346 described by the WSDL MUST accept these messages.

347 By attaching an RM policy assertion that specifies `wsp:Optional="true"` to the corresponding endpoint  
348 that has attached RM policy assertions at the Message Policy Subject level, the endpoint is describing the  
349 above constraint in policy.

350 In the case where an optional RM Assertion applies to an output message, there is no requirement on the  
351 client to support an RM Destination implementation

352 **2.4 Assertion Example**

353 Table 2 lists an example use of the RM policy assertion.

354 Table 2: Example policy with RM policy assertion

```
355 (01) <wsdl:definitions
356 (02)   targetNamespace="example.com"
357 (03)   xmlns:tns="example.com"
358 (04)   xmlns:wsdl="http://schemas.xmlsoap.org/wsdl/"
359 (05)   xmlns:wsp="http://schemas.xmlsoap.org/ws/2004/09/policy"
360 (06)   xmlns:wsrmp="http://docs.oasis-open.org/ws-rx/wsrmp/200702"
361 (07)   xmlns:wsu="http://docs.oasis-open.org/wss/2004/01/oasis-200401-wss-
362 wssecurity-utility-1.0.xsd">
363 (08)
364 (09)   <wsp:UsingPolicy wsdl:required="true" />
365 (10)
366 (11)   <wsp:Policy wsu:Id="MyPolicy" >
367 (12)     <wsrmp:RMAssertion>
368 (13)       <wsp:Policy/>
369 (14)     </wsrmp:RMAssertion>
370 (15)     <!-- omitted assertions -->
371 (16)   </wsp:Policy>
372 (17)
373 (18)   <!-- omitted elements -->
374 (19)
375 (20)   <wsdl:binding name="MyBinding" type="tns:MyPortType" >
376 (21)     <wsp:PolicyReference URI="#MyPolicy" />
377 (22)     <!-- omitted elements -->
378 (23)   </wsdl:binding>
379 (24)
380 (25) </wsdl:definitions>
```

381 Line (09) in Table 2 indicates that WS-Policy is in use as a required extension.

382 Lines (11-16) are a policy expression that includes a RM policy assertion (lines 12-14) to indicate that WS-  
383 ReliableMessaging must be used.

384 Lines (20-23) are a WSDL binding. Line (21) indicates that the policy in lines (11-16) applies to this  
385 binding, specifically indicating that WS-ReliableMessaging must be used over all the messages in the  
386 binding.

387 **2.5 Sequence Security Policy**

388 WS-SecurityPolicy [SecurityPolicy] provides a framework and grammar for expressing the security  
389 requirements and characteristics of entities in a XML web services based system. The following assertions  
390 MAY be used in conjunction with WS-SecurityPolicy to express additional security requirements particular  
391 to RM Sequences.

392 **2.5.1 RM Assertion with Sequence STR Assertion**

393 This version of the RM assertion includes the requirement that an RM Sequence MUST be bound to an  
394 explicit token that is referenced from a wsse:SecurityTokenReference in the CreateSequence  
395 message.

396 This assertion MUST apply to [Endpoint Policy Subject]. The normative outline for this form of the  
397 Sequence STR Assertion is:

```
398 <wsrmp:RMAssertion [wsp:Optional="true"]? ...>
399 <wsp:Policy>
```

```
400     <wsrmp:SequenceSTR/>
401     <wsp:Policy>
402 </wsrmp:RMAssertion>
```

403 The following describes the content model of the `SequenceSTR` element.

404 `/wsrmp:SequenceSTR`

405 A policy assertion that specifies security requirements which MUST be used with an RM Sequence  
406 that are particular to WS-RM and beyond what can be expressed in WS-SecurityPolicy.

## 407 2.5.2 RM Assertion with Sequence Transport Security Assertion

408 This version of the RM assertion includes the requirement that an RM Sequence MUST be bound to the  
409 session(s) of the underlying transport-level security protocol (e.g. SSL/TLS) used to carry the  
410 `CreateSequence` and `CreateSequenceResponse` messages.

411 This assertion MUST apply to [Endpoint Policy Subject]. This assertion MUST be used in conjunction with  
412 the `sp:TransportBinding` assertion that requires the use of some transport-level security mechanism  
413 (e.g. `sp:HttpsToken`).

414 The normative outline for this form of the RM Assertion with the Sequence Transport Security Assertion is:

```
415 <wsp:Policy>
416   <wsp:ExactlyOne>
417     <wsp:All>
418       <wsrm:RMAssertion [wsp:Optional="true"]> ...>
419       <wsp:Policy>
420         <wsrmp:SequenceTransportSecurity/>
421       </wsp:Policy>
422     </wsrm:RMAssertion>
423     <sp:TransportBinding ...>
424       ...
425     </sp:TransportBinding>
426   </wsp:All>
427   <wsp:ExactlyOne>
428 </wsp:Policy>
```

429 The following describes the content model of the `SequenceTransportSecurity` element.

430 `/wsrmp:SequenceTransportSecurity`

431 A policy assertion that specifies that any Sequences targeted to the indicated endpoint MUST be  
432 bound to the underlying session(s) of the transport-level security used to carry messages related to the  
433 Sequence.

434 This form of the RM Assertion says that an endpoint MAY have RM as an option but always requires  
435 HTTPS to be used. All the `SequenceTransportSecurity` assertion indicates is that RM's rules for  
436 protecting the Sequence over TLS are followed.

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### 437 3 Security Considerations

438 It is strongly RECOMMENDED that policies and assertions be signed to prevent tampering.

439 It is RECOMMENDED that policies SHOULD NOT be accepted unless they are signed and have an  
440 associated security token to specify the signer has proper claims for the given policy. That is, a relying  
441 party shouldn't rely on a policy unless the policy is signed and presented with sufficient claims to pass the  
442 relying parties acceptance criteria.

443 It should be noted that the mechanisms described in this document could be secured as part of a SOAP  
444 message using WS-Security [[WS-Security](#)] or embedded within other objects using object-specific security  
445 mechanisms.

## 446 Appendix A. Schema

447 A normative copy of the XML Schema [XML-Schema Part1, XML-Schema Part2] description for this  
448 specification may be retrieved from the following address:

449 <http://docs.oasis-open.org/ws-rx/wsrmp/200702/wsrmp-1.1-schema-200702.xsd>

450 The following copy is provided for reference.

```
451 <?xml version="1.0" encoding="UTF-8"?>
452 <!-- Copyright (C) OASIS (R) 1993-2007. All Rights Reserved.
453 OASIS trademark, IPR and other policies apply. -->
454 <xs:schema xmlns:tns="http://docs.oasis-open.org/ws-rx/wsrmp/200702"
455 xmlns:xs="http://www.w3.org/2001/XMLSchema" targetNamespace="http://docs.oasis-
456 open.org/ws-rx/wsrmp/200702" elementFormDefault="qualified"
457 attributeFormDefault="unqualified">
458   <xs:element name="RMAssertion">
459     <xs:complexType>
460       <xs:sequence>
461         <xs:any namespace="##other" processContents="lax" minOccurs="0"
462 maxOccurs="unbounded"/>
463       </xs:sequence>
464       <xs:anyAttribute namespace="##any" processContents="lax"/>
465     </xs:complexType>
466   </xs:element>
467   <xs:element name="SequenceSTR">
468     <xs:complexType>
469       <xs:sequence>
470         <xs:anyAttribute namespace="##any" processContents="lax"/>
471       </xs:sequence>
472     </xs:complexType>
473   </xs:element>
474   <xs:element name="SequenceTransportSecurity">
475     <xs:complexType>
476       <xs:sequence>
477         <xs:anyAttribute namespace="##any" processContents="lax"/>
478       </xs:sequence>
479     </xs:complexType>
480   </xs:element>
481   <xs:element name="DeliveryAssurance">
482     <xs:complexType>
483       <xs:sequence>
484         <xs:any namespace="##any" processContents="lax" minOccurs="0"
485 maxOccurs="unbounded"/>
486       </xs:sequence>
487     </xs:complexType>
488   </xs:element>
489   <xs:element name="ExactlyOnce">
490     <xs:complexType>
491       <xs:sequence>
492         <xs:anyAttribute namespace="##any" processContents="lax"/>
493       </xs:sequence>
494     </xs:complexType>
495   </xs:element>
496   <xs:element name="AtLeastOnce">
497     <xs:complexType>
498       <xs:sequence>
499         <xs:anyAttribute namespace="##any" processContents="lax"/>
500       </xs:sequence>
501     </xs:complexType>
502   </xs:element>
503   <xs:element name="AtMostOnce">
504     <xs:complexType>
505       <xs:sequence>
506         <xs:anyAttribute namespace="##any" processContents="lax"/>
507       </xs:sequence>
508     </xs:complexType>
509   </xs:element>
510 </xs:schema>
```

```
501     </xs:element>
502     <xs:element name="InOrder">
503       <xs:complexType>
504         <xs:sequence/>
505       </xs:complexType>
506     </xs:element>
507 </xs:schema>
```

## Appendix B. Acknowledgments

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