
**Information technology — Abstract
Syntax Notation One (ASN.1): Constraint
specification**

*Technologies de l'information — Notation de syntaxe abstraite numéro
un (ASN.1): Spécification des contraintes*

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Foreword

ISO (the International Organization for Standardization) and IEC (the International Electrotechnical Commission) form the specialized system for worldwide standardization. National bodies that are members of ISO or IEC participate in the development of International Standards through technical committees established by the respective organization to deal with particular fields of technical activity. ISO and IEC technical committees collaborate in fields of mutual interest. Other international organizations, governmental and non-governmental, in liaison with ISO and IEC, also take part in the work.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 3.

In the field of information technology, ISO and IEC have established a joint technical committee, ISO/IEC JTC 1. Draft International Standards adopted by the joint technical committee are circulated to national bodies for voting. Publication as an International Standard requires approval by at least 75 % of the national bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this part of ISO/IEC 8824 may be the subject of patent rights. ISO and IEC shall not be held responsible for identifying any or all such patent rights.

International Standard ISO/IEC 8824-3 was prepared by Joint Technical Committee ISO/IEC JTC 1, *Information technology*, Subcommittee SC 6, *Telecommunications and information exchange between systems*, in collaboration with ITU-T. The identical text is published as ITU-T Recommendation X.682.

This second edition cancels and replaces the first edition (ISO/IEC 8824-3:1995), which has been technically revised.

ISO/IEC 8824 consists of the following parts, under the general title *Information technology — Abstract Syntax Notation One (ASN.1)*:

- *Part 1: Specification of basic notation*
- *Part 2: Information object specification*
- *Part 3: Constraint specification*
- *Part 4: Parameterization of ASN.1 specifications*

Annex A forms a normative part of this part of ISO/IEC 8824. Annex B is for information only.

Introduction

Application designers require a notation to define a structured data type to convey their semantics. This is provided in ITU-T Rec. X.680 | ISO/IEC 8824-1 and ITU-T Rec. X.681 | ISO/IEC 8824-2. A notation is also required to further constrain the values that can appear. Examples of such constraints are restricting the range of some component(s), or using a specified information object set to constrain an "ObjectClassFieldType" component, or using the "AtNotation" to specify a relation between components.

This Recommendation | International Standard provides the notation for the general case of constraint specification.

NOTE 1 – For historical reasons the special case of a "subtype constraint" is specified in ITU-T Rec. X.680 | ISO/IEC 8824-1.

Constraint notation can appear (in round brackets) after any use of the syntactic construct "Type", and the purpose of this Recommendation | International Standard is to specify the general case of what goes in the round brackets.

NOTE 2 – Multiple constraints (each inside its own round brackets) can be applied to the same "Type" as the result of constraining a "Type" is itself formally a "Type" construct.

When a constraint is applied to the textually outermost use of a "Type" construct, it results in the creation of a new type which is a subtype of the original (parent) type.

A subtype of a parent type can itself be used in defining other subtypes of the same parent type in other uses of the constraint notation. Thus the subset of values constituting a subtype can be defined either by limiting the range of the parent type, or by specifying the subtype as a union of sets of values.

NOTE 3 – The "ValueSet" notation specified in ITU-T Rec. X.680 | ISO/IEC 8824-1, 15.5, provides a further means of specifying a subtype.

Constraints may also be used to produce a subtype of a parent type (as described above) when the notation is embedded within another type. However, some "component relation" constraints are textually included following a "Type" (within a set or sequence type definition), but are not used to restrict the set of possible values of the "Type" which they follow (the referencing component). Rather, they specify a relation between the value of the referencing component and the value of one or more other "Type"s in the same set or sequence type (called the referenced components).

Component relation constraints can be seen as subtyping the sequence type within which they are embedded, but not necessarily the referencing type.

A constraint on an "ObjectClassFieldType" component can be applied by restricting the type or values in the component by using an information object set. Such constraints are called table constraints, since they are specified in terms of the "associated table" of the object set. The component relation constraints defined in this Recommendation | International Standard are a special case of table constraints.

Finally, a "Type" may be subtyped by specifying the set of values in the subtype by human-readable text. Such a constraint is called a user-defined constraint. For example, a user-defined constraint can be specified to constrain a BIT STRING to the set of values produced by the encryption of a value of a specified ASN.1 type.

It is the purpose of this Recommendation | International Standard to provide the notation to be used for specifying table constraints (including component relation constraints), and user-defined constraints.

NOTE 4 – In general, full support for the specification of constraints in a flexible way (particularly component relation constraints, subtyping constraints, and user-defined constraints with a formally defined body) would require notation with a power comparable to that of programming languages. Such power can only be sensibly provided by the establishment of links from the ASN.1 notation into some other defined computer language. This version of this Recommendation | International Standard does not provide such links, and hence supports only a small number of constraining mechanisms.

While the embedding of notation defining constraints (subtypes and relationships) will frequently be the most convenient form of specification (particularly for the simple subtyping of primitive components of structures), separate (external) specification will sometimes be preferred, particularly where the constraints are being imposed by a separate group from that which defined the basic protocol.

NOTE 5 – The parameterization defined in ITU-T Rec. X.683 | ISO/IEC 8824-4 is specifically designed to enable a piece of ASN.1 specification (and in particular, a constraint) to be parameterized, allowing the actual constraint to be imposed by some other group that provides actual parameters for the parameterized construct.

The notations for constraint specification supported here are:

- user-defined constraints (see clause 9);
- table constraints, including component relation constraints between two components which are carrying values related to an information object, defined using the notation of ITU-T Rec. X.681 | ISO/IEC 8824-2 (see clause 10).

The application of table constraints to the "InstanceOfType" construct of ITU-T Rec. X.681 | ISO/IEC 8824-2, Annex C, is specified in Annex A of this Recommendation | International Standard.

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INTERNATIONAL STANDARD

ITU-T RECOMMENDATION

**INFORMATION TECHNOLOGY –
ABSTRACT SYNTAX NOTATION ONE (ASN.1):
CONSTRAINT SPECIFICATION**

1 Scope

This Recommendation | International Standard is part of Abstract Syntax Notation One (ASN.1) and provides notation for specifying user-defined constraints and table constraints.

2 Normative references

The following Recommendations and International Standards contain provisions which, through reference in this text, constitute provisions of this Recommendation | International Standard. At the time of publication, the editions indicated were valid. All Recommendations and Standards are subject to revision and parties to agreements based on this Recommendation | International Standard are encouraged to investigate the possibility of applying the most recent edition of the Recommendations and Standards listed below. Members of IEC and ISO maintain registers of currently valid International Standards. The Telecommunication Standardization Bureau of the ITU maintains a list of currently valid ITU-T Recommendations.

2.1 Identical Recommendations | International Standards

- ITU-T Recommendation X.680 (1997) | ISO/IEC 8824-1:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Specification of basic notation*.
- ITU-T Recommendation X.681 (1997) | ISO/IEC 8824-2:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Information object specification*.
- ITU-T Recommendation X.683 (1997) | ISO/IEC 8824-4:1998, *Information technology – Abstract Syntax Notation One (ASN.1): Parameterization of ASN.1 specifications*.

3 Definitions

For the purposes of this Recommendation | International Standard, the following definitions apply.

3.1 Specification of basic notation

This Recommendation | International Standard uses the terms defined in ITU-T Rec. X.680 | ISO/IEC 8824-1.

3.2 Information object specification

This Recommendation | International Standard uses the terms defined in ITU-T Rec. X.681 | ISO/IEC 8824-2.

3.3 Parameterization of ASN.1 specification

This Recommendation | International Standard uses the following term defined in ITU-T Rec. X.683 | ISO/IEC 8824-4:

- parameterized type.

3.4 Additional definitions

3.4.1 component relation constraint: A constraint on the values of a set type or sequence type which is textually associated with one of the component types (the referencing component) of the set type or sequence type, and which specifies the relationship between the value of that component and the values of one or more other components (the referenced components).

3.4.2 constrained type: The innermost "Type" which contains the referencing component and all of the referenced components of some component relation constraint.

3.4.3 constraining set: The information object set referenced in some component relation constraint.

3.4.4 constraining table: The associated table (see ITU-T Rec. X.681 | ISO/IEC 8824-2, clause 13) corresponding to a constraining set.

3.4.5 referenced component: A component of a set type or sequence type identified in a component relation constraint.

3.4.6 referencing component: A component of a set type or sequence type which has an associated component relation constraint.

3.4.7 selected rows: Those rows of a constraining table which contain, in the appropriate columns, the values of all of the referenced components.

3.4.8 table constraint: A constraint applied to an object class field type which demands that its values conform to the contents of the appropriate column of some table.

3.4.9 user-defined constraint: A constraint which requires a more complicated statement than can be accommodated by the other forms of constraint, and which must therefore involve specification by some means outside of ASN.1.

4 Abbreviations

For the purposes of this Recommendation | International Standard, the following abbreviation applies:

ASN.1 Abstract Syntax Notation One

5 Convention

This Recommendation | International Standard employs the notational convention defined in ITU-T Rec. X.680 | ISO/IEC 8824-1, clause 5.

6 Notation

This clause summarizes the notation defined in this Recommendation | International Standard.

6.1 Constraint

The following notation which can be used as an alternative for "ConstraintSpec" (see ITU-T Rec. X.680 | ISO/IEC 8824-1, 44.5) is defined in this Recommendation | International Standard:

- GeneralConstraint (see 8.1).

7 ASN.1 items

In addition to the ASN.1 items specified in ITU-T Rec. X.680 | ISO/IEC 8824-1, clause 11, this Recommendation | International Standard makes use of the ASN.1 items specified in the following subclauses. The general rules applicable to these items are as defined in ITU-T Rec. X.680 | ISO/IEC 8824-1, 11.1. These new ASN.1 items make use of the ASN.1 character set, as specified in ITU-T Rec. X.680 | ISO/IEC 8824-1, clause 10.

7.1 Additional keyword items

The names CONSTRAINED and BY are listed in ITU-T Rec. X.680 | ISO/IEC 8824-1, 11.18 as reserved words.

8 General constraint specification

8.1 The notation for a "GeneralConstraint" is as follows:

```
GeneralConstraint ::=
    UserDefinedConstraint |
    TableConstraint
```

8.2 The various possibilities for specification of the constraint are defined as follows:

- a) "UserDefinedConstraint", in clause 9;
- b) "TableConstraint", in clause 10.

9 User-defined constraints

NOTE 1 – This form of constraint specification can be regarded as a special form of ASN.1 comment, since it is not fully machine-processable. However, it would be possible for an automatic tool to use the presence of a particular user-defined constraint to invoke user-supplied constraint checking.

NOTE 2 – Protocol designers should be aware that since the definition of a constraint in this way is not fully machine-processable, a specification which employs this capability may be less easy to handle with automatic tools.

9.1 A user-defined constraint is specified by the syntax:

```
UserDefinedConstraint ::=
    CONSTRAINED BY "{" UserDefinedConstraintParameter "," * "}"
```

9.2 It is recommended that the actual constraint be referenced by a comment anywhere inside the braces ("{" and "}"). This comment should clearly state what constraint is imposed by the "UserDefinedConstraint".

NOTE – If there are any "UserDefinedConstraintParameter"s within the braces (see 9.3), the comments may precede, follow, or be interspersed among them, at the definer's convenience.

9.3 The actual constraint to be applied may depend on some parameters. For each such parameter, a "UserDefinedConstraintParameter" shall be included in the "UserDefinedConstraint":

```
UserDefinedConstraintParameter ::= Governor ":" ActualParameter | ActualParameter
```

The notations "Governor" and "ActualParameter" are defined in ITU-T Rec. X.683 | ISO/IEC 8824-4, 8.3 and 9.5 respectively. When the "ActualParameter" is a "Type" or "ObjectClass" there shall be no "Governor"; when the "ActualParameter" is a "Value" or "ValueSet", the "Governor" shall be present, and shall be a "Type"; when the "ActualParameter" is an "Object" or "ObjectSet", the "Governor" shall be present, and shall be a "DefinedObjectClass".

9.4 Example

If an application designer wishes to specify that certain components are to be bit strings carrying an encryption of the value of some ASN.1 type (different for each component), then (using the parameterization of ITU-T Rec. X.683 | ISO/IEC 8824-4) the parameterized ENCRYPTED type can be defined as follows:

```
ENCRYPTED {ToBeEnciphered} ::= BIT STRING
    (CONSTRAINED BY
        {-- must be the result of the encipherment of some BER-encoded value of -- ToBeEnciphered}
        ! Error : securityViolation)

Error ::= ENUMERATED {securityViolation}
```

and a use of the ENCRYPTED parameterized subtype of BIT STRING (which is what the ENCRYPTED type is) becomes simply:

ENCRYPTED{SecurityParameters}

or, equivalently, at the whim of the designer:

BIT STRING (ENCRYPTED{SecurityParameters})

The occurrence of a securityViolation is handled according to local security policy.

10 Table constraints, including component relation constraints

NOTE 1 – Information object classes, information objects, information object sets, and the object class field type are defined in ITU-T Rec. X.681 | ISO/IEC 8824-2. An understanding of these concepts is assumed in this clause.

NOTE 2 – This clause describes the application of the table constraint using an information object set that is identified within the main notation defining the parent type, in other words, defined and identified by the protocol designer. This does not satisfy the requirement for the actual information object set which is to be used as the constraint in particular abstract syntaxes to vary from syntax to syntax. ITU-T Rec. X.683 | ISO/IEC 8824-4 provides notation which, among other things, enables the information object set used in this constraint to be a parameter whose value is supplied at a later date by varying groups.

Example

For the purpose of illustrating the text of this clause, the following example will be used. An ErrorReturn type carries an errorCategory and one or more errorCodes with corresponding errorInfo from that category. This is supported by an ERROR-CLASS information object class with a specific set of objects defined in the information object set ErrorSet that is used to constrain the fields of ErrorReturn.

We have:

```

ERROR-CLASS ::= CLASS
{
    &category    PrintableString (SIZE(1)),
    &code        INTEGER,
    &Type
}
WITH SYNTAX {&category &code &Type}

ErrorSet ERROR-CLASS ::=
{
    {"A" 1 INTEGER} |
    {"A" 2 REAL} |
    {"B" 1 CHARACTER STRING} |
    {"B" 2 GeneralString}
}

ErrorReturn ::= SEQUENCE
{
    errorCategory    ERROR-CLASS.&category ({ErrorSet}) OPTIONAL,
    errors           SEQUENCE OF SEQUENCE
    {
        errorCode    ERROR-CLASS.&code ({ErrorSet}{@errorCategory}),
        errorInfo    ERROR-CLASS.&Type ({ErrorSet}{@errorCategory,@.errorCode})
    } OPTIONAL
}

```

The associated table of ErrorSet can be depicted as follows:

&category	&code	&Type
"A"	1	INTEGER
"A"	2	REAL
"B"	1	CHARACTER STRING
"B"	2	GeneralString

10.1 A table constraint can only be applied to types "ObjectClassFieldType" or an "InstanceOfType". The former case is defined in the remainder of this clause, the latter in Annex A.

10.2 An "ObjectClassFieldType" identifies an information object class, and one of the permissible "FieldName"s of that class. The table constraint identifies the set of information objects whose associated table (as defined in ITU-T Rec. X.681 | ISO/IEC 8824-2, clause 13) determines the set of constrained values.

10.3 The "TableConstraint" notation is:

TableConstraint ::=
SimpleTableConstraint |
ComponentRelationConstraint

SimpleTableConstraint ::= ObjectSet

10.4 The "ObjectSet" in the "SimpleTableConstraint" is governed by the class which appears in the "ObjectClassFieldType" being constrained.

10.5 The semantics of the "SimpleTableConstraint" are specified using the associated table of the constraining information object set.

10.6 The "FieldName" of the type being constrained is used to select the applicable column of the associated table, and the following rules then apply:

- for a type field, the component is constrained to be any value of any one of the types in any of the rows of that column;
- for a value field, the component is constrained to be any one of the values in any of the rows of that column;
- for a value set field, the component is constrained to be any one of the values in the value set in any one of the rows of that column.

NOTE – If, for some given object set, the above algorithms deliver no permissible value, then the constraint is always violated if that component is present in a value of a containing type.

Example

In the example in clause 10, case b) applies to the component errorCategory:

errorCategory ERROR-CLASS.&category ({ErrorSet}) OPTIONAL,

with the associated table of ErrorSet restricting its possible values to "A" and "B".

10.7 A component relation constraint is applied using the associated table of an information object set and the following production:

ComponentRelationConstraint ::=
"{" DefinedObjectSet "}" "{" AtNotation "," + "}"

AtNotation ::=
"@" ComponentIdList |
"@." ComponentIdList

ComponentIdList ::= identifier "." +

10.8 Each "identifier" in the "ComponentIdList" identifies a component whose parent is a set, sequence or choice type, and shall be the last "identifier" if the component it identifies is not a set, sequence or choice type.

10.9 In the case where the parent is a set or sequence type the "identifier" shall be one of the "identifier"s of the "NamedType" in the "ComponentTypeLists" of that parent. In the case where the parent is a choice type the "identifier" shall be one of the "identifier"s of a "NamedType" alternative in the "AlternativeTypeLists" of that choice type.

10.10 The "AtNotation" provides a pointer to other components of the ASN.1 structure in which it appears. The parent structure for the first "identifier" in the "ComponentIdList" is determined as follows:

- a) if the first alternative of "AtNotation" is selected (there is no "." following the "@"), then the parent structure is the outermost textually enclosing set type, sequence type or choice type.
- b) if the second alternative is selected (there is a "." following the "@"), then the parent structure is the innermost textually enclosing set type or sequence type.

NOTE – The "AtNotation" is only permitted when it is textually within a set type or sequence type, and references some other field which is textually within the same set or sequence type, though possibly at a different level of nesting.

Example

In the example in clause 10, the first "AtNotation" in component errorInfo ("@errorCategory") illustrates case a), while the second ("@.errorCode") illustrates case b).

10.11 The component where this notation is used is the referencing component, and the components identified by the "AtNotation"s are the referenced components.

10.12 The "ObjectSet" (see 10.3) or the "DefinedObjectSet" (see 10.7) is the constraining set, and the associated table derived from it (as specified in ITU-T Rec. X.681 | ISO/IEC 8824-2, clause 13) is the constraining table.

10.13 The component relation constraint can only be applied to an ASN.1 type which is textually within an enclosing "Type" (the constrained type) which textually contains all the referenced components. The constrained type is defined to be the innermost "Type" which satisfies the above condition.

Example

In the example in clause 10, the constrained type is ErrorReturn.

NOTE – In some respects it is possible to regard the application of this constraint as using the values of the referenced components to identify a row in the constraining table, and then using the value of the appropriate column to constrain the referencing component. With this view, the referenced components themselves could not be regarded as constrained.

However, the approach taken below is slightly different. It regards the constraint as operating over all possible values of the constrained type (which, as explained above, is not that of the referencing component), and selecting some of those values as satisfying the constraint. This approach makes it possible to discuss questions about values of the constrained type that do not contain values of either the referencing component or of one or more of the referenced components (because they were optional, or in choices), and values of the constrained type in which one of the referenced components has a value which does not correspond to any row in the constraining table.

10.14 The referencing and all the referenced components are required to be "ObjectClassFieldType"s referencing the same class. The constraining set is required to be an information object set of this class. The referenced components are required to be value fields or value set fields constrained by the same object set as the referencing component.

Example

In the example in clause 10, the "ObjectClassFieldType"s are all of class ERROR-CLASS, as is the constraining set, which is ErrorSet.

10.15 The following paragraphs determine the set of values of the constrained type that satisfy this constraint.

10.16 If the referencing component is absent in a value of the constrained type, that value always satisfies the constraint.

Example

In the example in clause 10, if the component "errors" is missing, then the constraints on errors are satisfied.

10.17 If any referenced component is absent in a value of the constrained type, that value does not satisfy the constraint unless the referencing component is also absent, in which case the constraint is always satisfied.