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Querying XML with Update Syntax

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Abstract
This paper investigates a class of transform queries proposed by XQuery Update [6]. A transform query is defined in terms of XML update syntax. When posed on an XML tree $T$, it returns another XML tree that would be produced by executing its embedded update on $T$, without destructive impact on $T$. Transform queries support a variety of applications including XML hypothetical queries, the simulation of updates on virtual views, and the enforcement of XML access control. In light of the wide-range of applications for transform queries, we develop automaton-based techniques for efficiently evaluating transform queries and for computing their compositions with user queries in standard XQuery. We also present experimental results comparing the efficiency of our evaluation and composition algorithms for transform queries.

Categories and Subject Descriptors
H.2.8 [Database Management]: Systems—Query Processing

General Terms
Algorithm, Performance

Keywords
Transform queries, XML, Updates, Query Composition

1. Introduction
A recent W3C XQuery Update Working Draft [6] proposes the notion of a transform query for XML. The idea is to use update syntax to define a query without affecting the underlying data store. As such, transform queries are in fact an XQuery syntax for hypothetical query [1, 4, 12, 16]. Traditionally, a hypothetical query has the form “$Q$ when $\{U\}$”, and is to find the value that query $Q$ would return on a database that would be obtained by executing update $U$ on the original database $DB$, without actually updating $DB$. Prior work has noted the utility of hypothetical queries in decision support, version management, active databases and integrity maintenance, among other things.

While SQL engines offer some support for hypothetical queries (for example, consider the within group syntax for finding the rank of a hypothetical row that would have in an ordered list [7]), the syntax proposed in [6] would provide a general hypothetical-query facility for XML. In addition to hypothetical queries, we now identify some other general applications of transform queries. These examples also illustrate the difficulty of accomplishing certain simple tasks in XQuery without the transform syntax.

Example 1.1: Consider an XML document $T_0$ depicted in Fig. 1. The document contains a list of parts. Each part has a name (part name), a list of suppliers and a subpart hierarchy; a supplier in turn has a name (supplier name), a price (offered by the supplier), and a country (where the supplier is based).

- Updates as queries. One wants to write a query that finds all the information in $T_0$ except price; in other words, the query is to return an XML tree that contains all nodes of $T_0$ excluding the price elements. Such a query cannot be easily expressed in standard XQuery [3] without complicated user-defined recursive functions. In contrast, this can be readily expressed as a simple transform query:

$$\text{transform copy } S \text{ do delete } S//\text{price return } S \text{ where } doc("foo")$$

- Security views. In an organization, a number of user groups with access to $T_0$ may be subject to different access-control policies. Such a policy might, for example, prevent disclosure of price information from suppliers of certain countries for which the group of users was not responsible. To enforce the access control policy, each group can be provided with a security view [10] that returns a document containing all the data from $T_0$ excluding the sensitive price information. Since each user group has a slightly different view, it is not in general reasonable to materialize and maintain each of the provided security views; thus the views should be kept virtual. Unfortunately, as mentioned above, such views are far from trivial to write by hand in XQuery. In this example, a recursive function is required since the price information may appear at arbitrary depths in $T_0$. In contrast, it is conceptually straightforward to define the view as a transform query:
transform copy $a:=\text{doc("foo")}$ modify 
do delete /$\text{Supplier}\text{\{country=\textit{c}_1 \lor \ldots \lor \textit{c}_n\}}$/price return $a$

The view prevents the disclosure of price information of those suppliers based in countries $c_1, \ldots, c_n$. Note that the intention is not to delete this data in the source; instead, it is merely to define the security view of a client with the update syntax.

- **Updating virtual views.** Consider a virtual view defined as an XQuery view $Q_i$ on top of $T_0$. A user may want to pose an update on the virtual view. In this case, there may be no sensible notion of performing an update on the virtual data. Leveraging transform queries one could still query a new document that would result from such an update on the view. This can be done by (a) writing a transform query $Q_i$ in terms of the desired update; (b) upon receiving a user query $Q$, composing $Q$ with the transform query $Q_i$, denoted by $Q_i \circ Q$; (c) composing $Q_i$ with the view definition $Q_v$, denoted by $Q_i \circ Q_v$. Then, the user query $Q$ can be answered by evaluating $Q_i \circ Q_v$ directly on the underlying data $T_0$. Thus one can query an "updated" virtual view without materialization of the view.

- **Message transformation.** Another application is XML message transformation where one often wants to create a modified version of the original XML message without destroying it.

However important, we are aware of no prior work on the evaluation of transform queries or their composition with user queries.

**Automaton Approach.** We approach the evaluation of transform queries as a natural extension of the automaton approach to XPath evaluation [9, 17, 19, 8]. The idea is to combine the automaton evaluation of the XPath expression, which defines the update embedded in a transform query, with a recursive transformation of the tree to evaluate the transform query. This provides a general and portable approach to efficient transform query evaluation, and we demonstrate two very different implementations, one on top of XQuery and another inside a SAX parser. Further, this approach facilitates analysis of transform queries: for example, we use our automaton representation to define a query composition technique between transform queries and a class of XQuery expressions.

**Copy-and-Update Approach.** Naturally, an alternative approach to implement a transform query is to copy and update the affected data. While in the worst case, the automaton approach can be linear in the size of the data, just like copying, in the majority of cases the automaton approach can evaluate a query while touching only a small subset of the data, while copying always requires a complete traversal of the entire XML document, and thus always linear time and space. Furthermore, the automaton approach is amenable to query composition, unlike the copy-and-update approach. In addition, as opposed to copy-and-update approach, the automaton approach does not rely on efficient support of XML updates, which is not yet in place for some existing XQuery engines.

**Contributions.** We provide efficient automaton-based evaluation algorithms, as well as an algorithm for computing compositions, for a class of transform queries in which embedded updates are defined in terms of XPath expressions.

1) **Transform algorithms.** We show three algorithms for transform-query evaluation, two of which are based on the automaton approach. Our first algorithm, referred to as Naive, is based on a simple query rewriting technique to translate transform queries (and their embedded updates) into standard XQuery. It has quadratic-time data complexity in the worst case. We then present two algorithms based on the automata approach, namely topDown and bottomUp. The topDown approach is appropriate when an efficient engine is available for evaluating qualifiers. Further, topDown can easily incorporate alternative XPath automaton techniques. The bottomUp algorithm incorporates qualifier evaluation, removing the requirement of an external engine and supporting streaming behavior, at the cost of increased complexity.

Our proposed algorithms have several useful features. (a) They can be readily migrated to XQuery engines that do not support updates. (b) They remain side-effect free and thus can benefit from the existing and upcoming optimizations utilizing referential transparency property of XQuery. (c) As opposed to the Naive evaluation strategy and the copy-and-update approach, algorithms topDown and bottomUp traverse only necessary part of an input XML tree $T$ rather than the entire tree.

While an advantage of our approach is that it can be applied with other automata formalisms, we note that the one we present is actually simpler than previous automaton models developed for evaluating XPath expressions (e.g., [9, 17, 19, 8]) and avoids some efficiency issues (see Section 8 for a detailed discussion).

2) **Composing user and transform queries.** Capitalizing on our automaton technique, we propose an algorithm for composing a user query $Q$ and a transform query $Q_i$ by computing the composition $Q_i \circ Q$, a single query in standard XQuery. We show that the algorithm significantly outperforms the conceptual strategy that sequentially evaluates $Q$ and $Q_i$ one by one. Indeed, $Q_i$ accesses only relevant part of an input XML document, without copying or traversing the entire document in many cases. To our knowledge, this is the first automaton-based composition algorithm for XML queries. The algorithm provides us with the ability to efficiently support hypothetical queries as well as query and “update” virtual views.

3) **An algorithm implemented on SAX.** As most existing XQuery engines represent XML documents as memory intensive DOM trees, they do not handle large XML documents very well. To cope with this, we propose another algorithm for evaluating transform queries, referred to as twoPassSAX, based on a seamless integration of our automaton-based algorithm with SAX parsing. This approach makes the facility easy to integrate with an XQuery engine or with other applications, since the result of transform may be accessed as a SAX event stream. In contrast to the algorithms outlined in (1), this algorithm needs to exist XQuery engines.

4) **Experimental Study.** We have implemented our evaluation algorithms both in XQuery on top of XQuery engines (Naive, topDown, bottomUp) and within XQuery engines (twoPassSAX), and evaluated them with data from XMark [24]. Our results show the following. (a) Usable transform queries can be generated for a wide variety of XML updates. (b) Our algorithms are efficient and scale well, both when implemented in XQuery on top of query processor and as part of the query processor implementation. (c) Our algorithm twoPassSAX can handle very large XML documents while the memory overhead is very small. We have also implemented and evaluated our composition algorithm. Our experimental results demonstrate that our composition technique is effective.

**Organization.** Section 2 defines transform queries. Section 3 introduces algorithms Naive and topDown, as well as our automaton technique, for evaluating transform queries. As an immediate application of the automaton technique, we provide our algorithm for composing user and transform queries in Section 4. Section 5 presents algorithm bottomUp, our optimization technique for evaluating expensive XPath qualifiers. Section 6 provides algorithm twoPassSAX for evaluating transform queries on large XML documents. Experimental results are presented in Section 7, followed by related work in Section 8, and conclusions in Section 9.
2. Transform Queries

We study a class of transform queries [6] of the form:

\[
\text{transform copy } S_a := \text{doc}("T_0") \text{ modify do } u(S_a) \text{ return } S_a
\]

where \(u(S_a)\) is an embedded update expression. Here we study updates supported by most proposals for XML update languages [20, 21, 23, 25, 6, 14], which are of one of the following four forms:

- \text{insert } e \text{ into } S_a/p
- \text{delete } S_a/p
- \text{replace } S_a/p \text{ with } e
- \text{rename } S_a/p \text{ as } l

where \(p\) is an XPath expression, \(e\) is a constant XML element (substring), and \(l\) is a label. Example transform queries can be found in Example 1.1.

To give the semantics of transform queries we first review XPath and XML updates defined in terms of XPath.

XPath. We consider core XPath [15] with downward modality. This class of queries, referred to as \(X\), is defined by:

\[
p ::= \epsilon \mid t \mid s \mid p/p \mid p/p[p[q]],
q ::= p \mid p = \text{label}() = l \mid q \land q \mid q \lor q \mid \neg q,
\]

where \(\epsilon, t, s\) and \(p/p\) denote \text{self} (i.e., \text{current node}), a label, and a wildcard, and the child-axis, respectively; \(s/p[q]\) stands for \text{/descendant-or-self::node()}; \text{q in }p[q]\text{ is a qualifier, in which }s\text{ is a string value; and }\Lambda, \lor, \land\text{ and }\neg\text{ denote conjunction, disjunction and negation, respectively.}\)

We abbreviate \(p_1/\text{/p}_2\text{ as }p_1/p_2\).

The class \(X\) subsumes tree patterns commonly used. We consider this practically useful fragment of XPath (updates) to simplify the discussion and focus on the main idea of transform queries.

On an XML tree \(T\), an XPath query \(p\) is evaluated at a context node \(v\) in \(T\), and its result is the set of nodes of \(T\) reachable via \(p\) from \(v\). We denote the result of the query by \(r(p)\).

XML updates. Given an XML tree \(T\) with root \(r\) (i.e., \(r\) takes the place of \(S_a\) in \(S_a := \text{doc}("T_0")\)), an update \(u\) does the following:

- \text{insert } e \text{ into } r/p.
- \text{delete } r/p.
- \text{replace } r/p \text{ with } e.
- \text{rename } r/p \text{ as } l.

The operation finds all the elements reachable from \(r\) via \(p\) in \(T\), and adds the new element \(e\) as the last child of each of those elements. Specifically, (a) it computes \(r[p]\), and (b) for each element \(v\) in \(r[p]\), it adds \(e\) as the rightmost child of \(v\).

transformation queries. Given an XML tree \(T_0\) (i.e., \(\text{doc}("T_0")\)), the tree returned by a transform query \(Q_i\) is the one that would be produced by the following:

(a) create a copy \(\tilde{T}_0\),
(b) apply update \(u\) on \(\tilde{T}_0\), and
(c) return \(\tilde{T}_0\) as the answer of \(Q_i\).

We denote the XML tree returned by \(Q_i\) as \(\tilde{T}_i(T)\).

We provide techniques to execute and compose transform queries without resorting to the naive approach suggested by the semantics.

3. Evaluating Transform Queries

In this section we propose two algorithms for evaluating transform queries on top of existing XQuery engines.

The first algorithm, referred to as the Naive Method, is based on a simple query rewriting technique that translates a transform query into an equivalent query in standard XQuery. It shows that transform queries can be readily supported by available XQuery engines. As XML updates can be embedded in transform queries, this provides the capability of supporting XML updates within the immediate reach of existing XQuery engines, by first expressing XML updates as transform queries, and then rewriting the transform queries into equivalent queries in standard XQuery.

While the Naive Method is conceptually simple, it may perform poorly. In light of this we present the second algorithm, referred to as the Top Down Method, based on an automaton technique. The Top Down Method provides performance guarantees, and the automaton technique also serves as the basis of the evaluation and composition algorithms to be introduced in later sections.

3.1 The Naive Method

The Naive Method is based on query rewriting: given a transform query \(Q_i\), it finds a query \(Q^*\) in standard XQuery such that \(Q^*(T) = Q_i(T)\) for any XML document \(T\).

First consider \(Q_i = \text{transform copy } S_a := \text{doc}("T_b") \text{ modify do } u(S_a/p) \text{ return } S_a\). Suppose that \(e\) evaluates to an XML element, and \(p\) is an XPath query. The query \(Q_i\) can be rewritten into \(Q^*\) in standard XQuery, as shown in Fig. 2, following recursive-query transformations suggested by the XQuery standard [3].

Let \(r\) be the root of \(T\). In a nutshell, the query \(Q^*\) first evaluates the XPath query \(p\) to compute \(r[p]\), the set of nodes selected by \(p\), and then invokes a function \(\text{insert}(\ )\). This function takes a node \(S_n\) and \(r[p]\) as input, and it processes \(S_n\) as follows. If \(S_n\) is an element, then it constructs an element that has the same label as that of \(S_n\) and carries the children of \(S_n\); furthermore, if \(S_n\) is in \(r[p]\), then it adds \(e\) as the last child of \(S_n\). The function then recursively processes the children of \(S_n\) in the same way. If \(n\) is not an element, it is returned without change. Obviously \(Q^*(T)\) produces the same result as \(Q(T)\). This yields a generic complete-rewrite query template for \text{insert} transform queries. Observe that \text{no copy of }doc(T)\text{ needs to be made in order to evaluate }Q^*.

Similarly, one can rewrite \text{delete}, \text{replace} and \text{rename} transform queries \(Q_i\) into equivalent queries \(Q^*\) in standard XQuery.

Note that \(doc(T)/p\) and \(e\) in this template can be instantiated with arbitrary XQuery queries, not just \(X\) or constant expressions. Thus we have in fact shown that transform queries defined in terms of a wide variety of updates can be rewritten into standard XQuery.

However, unless the XQuery engine optimizes the test \(n \in \mathbb{E}_{xp}\), the rewritten queries are inefficient when the scope of the update is broad (i.e., when \(p\) is not very selective and \(\mathbb{E}_{xp}\) is large): in the worst case it takes quadratic \(O(|T|^2)\) time in the size of \(T\).
by using a function nextStates(). At any point, the current node is matched by \( p \) if any of the states in \( S \) are final states of the automaton. Details of the construction will be given in Section 3.4.

### 3.3 The Top Down Method

We now introduce the Top Down Method, denoted by topDown, that avoids the quadratic complexity of the Naive method by matching paths with an automaton and recursively producing the transform in the same step. We illustrate the Top Down Method for an insert transform query. The method is described by Algorithm topDown given in Fig. 5: the algorithms for delete, rename and replace transform queries are similar.

The (recursive) algorithm takes as input an insert transform query \( Q_t \), the selecting NFA \( M_p \) of XPath \( p \) embedded in \( Q_t \), a set \( S \) of current states in \( M_p \), and a node \( n \) in the XML tree \( T \). When called with \( n \) as the root of an XML tree \( T \) and \( S \) consisting of \((\varepsilon\text{-closure of})\) the start state for \( M_p \), topDown computes \( Q_t(T) \). Given the set \( S \) that keeps track of the states reached after traversing \( T \) from the root to the parent of \( n \), topDown computes the set \( S' \) of the states for the current node \( n \) by using nextStates(). If \( S' \) is empty, then the subtree of \( n \) should not be changed, and thus it is simply copied to the result (lines 2–3). Otherwise topDown recursively processes the children of \( n \), taking \( S' \) as a parameter (lines 5–6). Furthermore, if \( S' \) includes the final state and its corresponding qualifier is satisfied, then the new element \( e \) is evaluated and inserted as the last child of \( n \) (lines 7–8). The qualifier checking is done by calling a predefined function checkp(), where checkp(q, n) returns true iff \( p(q, n) \) is non-empty at \( n \).

**Remark.** Observe the following about topDown. First, it can be readily realized in a way that incurs no side effects and thus can work directly on any existing XQuery engine. Second, if checkp() takes constant time, then for any transform query \( Q_t \) on an XML tree \( T \), the evaluation of \( Q_t \) takes at most \( O(|T|) \) time, where \( p \) is the XML tree embedded in \( Q_t \). That is, \( p \) is linear in \( |T| \).

### 3.4 Automaton Construction

We now give details of our automaton construction.

**Selecting NFA.** Given an X expression \( p \), we generate the selecting NFA of \( p \), denoted by \( M_p \), to identify nodes in \( \tau(p) \). Observe that \( p \) can be rewritten to an equivalent form \( \beta_1[q_1] \cdots \beta_t[q_t] \), where \( \beta_i \) is either either label \( l \), wildcard \( * \) or descendant \( l \). We define the selecting NFA \( M_p = (\Gamma, \delta, s, f) \) where

1. \( \Gamma \) the set of states consists of the start state \( s = (s_0, [true]) \), and for each \( i \in [0, k-1] \), a state \((s_i, [q_i])\) denoting the step \( \beta_i \) with the qualifier \( [q_i] \), where the final state \( f \) is \((s_k, [q_k]) \);
2. alphabet \( \Gamma \) consists of all the tags in \( p \) and a special wildcard \(*\);
3. the transition function \( \delta \) is defined for each \( i \in [0, k-1] \):
   - \( \delta((s_i, [q_i]), \beta_{i+1}) = \{(s_{i+1}, [q_{i+1}])\} \) if \( \beta_{i+1} \) is a label or *
   - \( \delta((s_i, [q_i]), \epsilon) = \{(s_{i+1}, [q_{i+1}])\} \), and
   - \( \delta((s_i, [q_i]), \epsilon) = \{(s_i, [q_i])\} \) if \( \beta_{i+1} \) is a.

**Example 3.1:** Consider \( p_1 = //\text{part}[@q]///\text{part}[@q] \) in \( X \), where \( q_1 \) is \( \text{pname} = \text{`keyboard'} \) and \( q_2 = \text{`supplier/sname = `HP' \text{ and } ~ supplier/price < 15'} \). Figure 5 gives the selecting NFA of \( p_1 \).

**Remark.** A selecting NFA \( M_p \) has the following notable features. First, \( M_p \) has a semi-linear structure: the only cycles in \( M_p \) are self-cycles labeled * and introduced by \( \tau \). Note that from any state \((s_i, [q_i])\) to any most two states can be reached via the \( \delta \) function. Second, while \( M_p \) is based on the “selecting path” of \( p \), it incorporates its qualifiers into the states, which, as remarked earlier, is effective in pruning unaffected subtrees. Third, \( M_p \) can be constructed in \( O(|p|) \) time, and its size is bounded by \( O(|p|) \).

As we have already seen, the set \( S \) of (current) states in \( M_p \) is maintained during a top-down traversal of the input XML tree \( T \). For each node \( n \) in \( T \) encountered, \( n \)’s label is used to change \( S \) to \( S' \) according to the function nextStates() shown in Fig. 4, which will be described shortly. Based on the set \( S' \), Algorithm topDown takes action at the node as follows: (1) if \( S' \) includes the final state of \( M_p \), then \( n \) is selected by \( p \) and the appropriate update action is simulated such that the updated subtree will be returned; (2) if \( S' \) is empty, then no change is made to the subtree rooted at \( n \) and thus it can be simply copied and returned; and (3) otherwise, \( n \) may be on a path to a node selected by \( p \), and the top down traversal proceeds to the children of \( n \). In both cases 1 and 3, topDown proceeds to process the subtree of \( n \) in the same way.

**Example 3.2:** Consider a transform query \( Q_t \) with embedded update insert \( e \) into \( p_1 \), where \( e \) is a supplier element with name HP and \( p_1 \) is given in Example 3.1. Given the root of the XML tree \( T_0 \) of Fig. 1, the NFA of Fig. 5, the query \( Q_t \), and a set \( S \) consisting of the start state \((s_0, [true])\) of \( M_p \) and \((s_1, [true])\), topDown returns an XML tree that is the same as \( T_0 \) except that supplier HP is added to every part whose states contain the final state \( s_k \).
reached from \((s, [q])\) by inspecting the label of \(n\) and the transition function \(\delta\) of \(M_p\) (line 2); moreover, it checks whether the qualifier \([q']\) is satisfied at \(n\) by calling a predefined function checkp().

Note that, to cope with the \(e\) transitions in the NFA \(M_p\), we need to compute the \(e\)-closure of \(S'\) (line 4), which is the set of all the states reachable from any state of \(S'\) via one or more \(e\) transitions in \(M_p\). It is easy to compute the \(e\)-closure of \(S'\) in \(O(|p|)\) time. Also, by the construction of selecting NFAs given earlier, if \(\delta((s, [q]), \cdot)\) (or \(\delta((s, [q]), fn:local-name(r(n)))\) is defined, then it maps to a single state rather than a set. The cardinality of \(S'\) is bounded by \(O(|p|)\) when computed by repeated calls to nextState().

4. Composing User and Transform Queries

Based on the automaton technique given in the last section, we now develop an algorithm for computing an efficient composition of a user query and a transform query.

Given a transform query \(Q_t\), followed by a user query \(Q_u\), we want to compute a query \(Q_u^t\) in standard XQuery such that \(Q(Q_u^t(T)) = Q_u(T)\) for any XML document \(T\). As remarked in Section 1, this is important for, among other things, processing hypothetical queries as well as querying and updating virtual views.

Since XQuery allows query composition, a straightforward rewriting \(Q_u^t\) can be given by:

\[
\text{let } Sd := Q_t(T) \text{ let } Sd' := Q(d) \text{ return } Sd'
\]

This gives us the desired query \(Q_u^t\) in XQuery. We refer to this method as the Naïve Composition Method.

Example 4.1: Consider an access control policy that denies a user group the access to suppliers from country ‘A’. As shown by Example 1.1, this can be enforced by defining a (virtual) security view in terms of a transform query \(Q_t\). Now suppose the user poses a query \(Q_u\) in XQuery on the security view, which is to find suppliers for keyboard. The composition \(Q_u^t\) of the two can be written as follows, which shows both the transform query \(Q_t\) that defines the virtual security view, and the user query \(Q_u\).

\[
<\text{result}> \{ \\
\quad \text{let } Sd := \text{transform copy } \text{Sd} := \text{doc("foo") modify do } P^s Q_t \forall \text{ delete } \text{Sd/supplier[country = 'A'] return } \text{Sd} \\
\quad \text{for } Sx \in \text{Sd/part}[pname = 'keyboard'\text{/supplier } P^s Q_u \forall \text{ return } Sx \\
\} <\text{result}>
\]

This is an example of the Naïve Composition Method.

The Naïve method, however, may not be efficient since, given such \(Q_u\), an XQuery engine will evaluate \(Q_t\) and \(Q_u\) sequentially, one after the other.

We now describe a more efficient technique, referred to as the Compose Method, that makes use of the automaton representation of the transform query to compose a user query with it. This technique can avoid copying the input document as well as performing update on those parts of the document that are not needed by the user query. This technique is illustrated by the example below.

Example 4.2: Recall the user query and the security view defined in Example 4.1. Leveraging the Compose Method, the composition \(Q_u^t\) of the two queries can be written as follows:

1. \(<\text{result}> \{ \\
2. \quad \text{for } Sx_1 \text{ in part}[pname = 'keyboard'], \text{Sd1 in Sd/supplier } P^s Q_t \forall \text{ delete } \text{Sd1/supplier[country = 'A'] return } \text{Sd1} \\
3. \quad \text{for } Sx \in \text{Sd/part}[pname = 'keyboard'\text{/supplier } P^s Q_u \forall \text{ return } Sx \\
4. \quad \text{let } Sx := Sx_1 \\
5. \quad \text{return if empty}(Sx/country = 'A') \text{ then } Sx \text{ else } ( \\
6. \} <\text{result}>
\]

Contrast this with the composed query \(Q_u^t\) given in Example 4.1. Instead of separating the evaluations of the transform query and the user query, \(Q_t\) integrates the two queries and can be answered without traversing or copying the entire input document. □

We first present user queries and then the Compose Method.

User Queries. To simplify the discussion we focus on a simple form of XQuery specified by \(for\), \(where\), \(and\), \(or\), \(return\), \(in\), \(and\), \(repeat\) clauses:

\[
\begin{align*}
&\text{for } Sx \text{ in } \rho \\
&\quad \text{where } \rho_1 = \rho_1' \text{ and } \ldots \text{ and } \rho_k = \rho_k' \\
&\quad \text{return } \exp(q_1, q_2, \ldots, q_m)
\end{align*}
\]

where (a) \(\rho\) is an XPath expression in \(\chi\); (b) \(\rho_1', \rho_2', \ldots, \rho_m\) are either a text-value constant or are of the form of \(Sx/\rho\), where \(\rho\) is an \(\chi\) expression; (c) \(\exp\) is an XML element template, which is the same as an XML element except that it may contain \(q_1, \ldots, q_m\) as parameters; a template yields an XML element given a substitution of concrete XML element for \(Sx\). The semantics of the query is standard as defined by XQuery [3].

It should be mentioned that the Compose Method can be extended to handle more general user queries.

The Compose Method. Consider a user query \(Q_u\) and a transform query \(Q_t\), in which XPath expression \(\rho\) in \(\chi\) is embedded. Given \(Q_u, Q_t, \) the Compose Method finds a composed query \(Q_u^t\) such that \(Q(Q_u^t(T)) = Q_u(T)\) for any XML document \(T\). The key idea of the method is to rewrite the XPath expressions \(\rho_1, \rho_1', \ldots, \rho_m\) in the user query \(Q_u\) based on the \(\chi\) expression \(\rho\) in \(Q_t\), by simulating the evaluation of \(\rho\) on these path expressions. More specifically, leveraging the selecting NFA \(M_p\) of \(p\), we treat the path expressions in \(Q_u\) as "words" and execute \(M_p\) on them; when a final state of \(M_p\) is reached, we add actions in the composed query \(Q_u^t\) to capture the corresponding "updates" in \(Q_t\). In this way we evaluate both \(Q_t\) and \(Q_u\) via a single pass of the input XML document.

Below we outline the composition algorithm. We first rewrite the for clause (for \(Sx\) in \(\rho\) of \(Q_u\) in terms of \(M_p\)). Note that the presence of qualifiers and other is in both the selecting NFA \(M_p\) and \(p\) in the user query \(Q_u\) make the rewriting nontrivial.

Recall from Section 3 that \(\rho\) can be rewritten to an equivalent form \(\beta_1[q_1]\ldots/\beta_n[q_n]\), where \(\beta_i\) is either label \(l\), wildcard \(\ast\) or descendant-or-self \(///\), and \([q_i]\) is either a qualifier or [true]. To simplify the rewriting of qualifiers \([q_i]\) based on \(M_p\), we first rewrite the for clause into an equivalent sequences of for clauses:

\[
\begin{align*}
&\text{for } Sx_1 \text{ in } \beta_1 \quad \text{where not empty}(Sx_1/[q_1]) \text{ return } \text{Sx}_1 \\
&\text{for } Sx_2 \text{ in } Sx_1/\beta_2 \quad \text{where not empty}(Sx_2/[q_2]) \text{ return } \text{Sx}_2 \\
&\ldots \\
&\text{for } Sx_n \text{ in } Sx_{n-1}/\beta_n \quad \text{where not empty}(Sx_n/[q_n]) \text{ return } \text{Sx}_n
\end{align*}
\]

If either \([q_i]\) is [true] or is disjoint from \(M_p\) (to be illustrated shortly), there is no need to have separate where and return clauses in the for loop for \(\beta_i[q_i]\), as shown in Example 4.2 (lines 2-4).

For \(i \in [1, n]\), we rewrite the for loop for \(\beta_i[q_i]\) as follows.

- Computing the states \(S_i\) of \(M_p\). By treating each step \(\beta_i\) as an input "letter" of the NFA \(M_p\), we find the set \(S_i\) of states of \(M_p\) reached via \(\beta_i\) from the set \(S_{i-1}\) of states. As will be shown shortly, we use \(S_i\) to determine whether or not we should rewrite the for loop to accommodate the corresponding update operation in the transform query \(Q_t\). The initial set \(S_0\) of states (for \(\beta_1\)) is the \(e\)-closure of the start state of \(M_p\). Given \(S_{i-1}\), the set \(S_i\) can be computed by using a mild variation of the function nextStates() of Fig. 4: we extend the transition function \(\delta\) of \(M_p\) to define \(\delta'\) such that (1) \(\delta'(s, [q])\), \(s\) also includes \((s', [q'])\) if \(\delta((s, [q]), l)\) contains \((s', [q'])\) for any tag \(l\), and (2) \(\delta'(s, [q])\), \(l/\) includes all the states that are reached given an (unbounded) sequence of \(s\).

Referring to Example 4.2, the selecting NFA of the transform query \(Q_t\) is shown in Fig. 6, in which \(q\) denotes country = \('A'\). The
initial set $S_0$ is $\{(s_0, \text{true})\}$, $\{(s_1, \text{true})\}$, and $S_1, S_2$ (for the first and second for loop) are $\{(s_1, \text{true})\}$ and $\{(f, [q])\}$, respectively.

- **Handling qualifiers and the final state in $S_i$.** If a state in $S_{i+1}$ is obtained by applying $δ$ to a state $(s_i, [q])$ in $S_i$ and if $q \neq \text{true}$, then the qualifier $q$ needs to be checked at this stage. Let $C$ be the conjunction of all such qualifiers in $S_i$. We rewrite the return clause of the for loop by adding a conditional statement:

```
return if empty ($y_{i-1}$/$C$) then $F_1$ else $F_2$,
```

where both $F_1$ and $F_2$ denote the rest of the query “for $β_{i+1}[q_{i+1}]$/$\ldots$/$β_i[q_i]$ where ... return ...”. That is, we separate the treatment ($F_2$) when $C$ is satisfied from the handling ($F_1$) when $C$ is false. While we proceed to rewrite $F_2$ in the same way, $F_1$ remains unchanged, since the update in $Q$ is not invoked if the qualifiers in $C$ are not satisfied.

- **Updating the state.** If the final state is in $S_i$, then the corresponding update operation of the transform query $Q$ should be incorporated into the composed query $Q_i$. More specifically, if $Q_i$ is an insert, then we add a new clause before the for clause: “let $z_i := T_i$” and change the for loop to: “for $y_i$ in $z_i$/$β_i[q_i]$”, where $T_i$ denotes $y_{i-1}$ incremented by adding the new element $e$ of $Q_i$ as the last child of $y_{i-1}$, which can be coded in XQuery as shown in Fig. 2. If $Q_i$ is an delete, then $T_i$ is the empty tree ‘’. The update and replace operations are accommodated similarly.

For example, Example 4.2 (line 5) illustrates the processing of qualifier and final state w.r.t a delete transform query.

Another special case is when $S_i$ is empty, i.e., $β_i$ is disjoint from $M_{P_i}$. If so no rewriting is needed for the rest of the query.

- **Processing the qualifier $[q_i]$ in the for loop.** Along the same lines, the qualifier $[q_i]$ in $β_i[q_i]$ is processed by rewriting the where clause of the for loop for $β_i[q_i]$. More specifically, each path expression in $q_i$ is treated as a “word” for $M_{P_i}$, ignoring the Boolean operators in $q_i$. These expressions are processed in the same way as $ρ$, by introducing necessary for and/or let clauses into the where clause. Again if a path expression is disjoint from $M_{P_i}$, no rewriting is needed. For instance, $S_{y_1/\text{part}/\text{pname} = \text{keyboard}}$ in Example 4.2 is disjoint from $M_{P_i}$ and left unchanged in the composed query. Furthermore, $[q_i]$ is a Boolean query and in some cases can be evaluated to a truth value directly when some path expression in $q_i$ reaches a final state of $M_{P_i}$ (see Example 4.3).

The rewriting of where and return clauses and their associated path expressions (namely, $ρ_i$, $ρ_i'$ and $q_i$) are carried out in the same systematic way, except the handling of the values to be returned.

- **The value to be returned.** When processing “return exp($q_1$, $q_2$, ..., $q_n$)” following the rewriting method given above, we may reduce a path expression $q_j$ to a variable $sz$ with a nonempty set $S$ of states in $M_{P_i}$. To capture the effect of the transform query $Q_i$, we need to add a let clause “let $y_i := \text{topDown}(M_{P_i}, S, Q_i, [sz])$” and substitute $y_i$ for $q_j$, where topDown() is the function given in Fig. 3. In this case topDown() is included in the rewritten query as a user-defined function. It should be mentioned that in many cases topDown() is not needed, e.g., when the states in $S$ do not have outgoing edges to self-cycles (‘$P$’) in $M_{P_i}$ (in this case one can inline the code of topDown() rather than recursively invoking it).

**Example 4.3:** Following the Compose Method given above, the following pairs $(Q_1, Q_1')$ of transform and user queries can be rewritten into single composed queries $Q_i$ in standard XQuery.

\[
\begin{align*}
Q_1: & \quad \text{transform copy } S_r := \text{doc("") modify do delete } a/b/q \text{ return } S_r \\
Q_1': & \quad \text{for } Sz \in a/b/c \text{ return } Sz \\
Q_2: & \quad \text{for } S_{y_1} \in a, S_{y_2} \in S_{y_1}/b \text{ return } if empty(S_{y_2}(q)) \text{ then return } S_x \\
& \quad \text{let } Sz := S_{y_2}/c \text{ else } () \\
Q_2': & \quad \text{for } Sz \in a/b/\text{not}(/c = \text{A}) \text{ return } Sz \\
Q_2: & \quad \text{for } S_{y_1} \in a, S_{y_2} \in S_{y_1}/b \text{ let } Sz := S_{y_2} \text{ return } Sz \\
Q_2': & \quad \text{for } Sz \in a/b/\text{not}(/c = \text{A}) \text{ return } Sz \\
\end{align*}
\]

Note that the qualifier in $Q_2'$ is already evaluated to true at compile time, taking into account of the deletion.

\[
\begin{align*}
Q_3: & \quad \text{transform copy } S_r := \text{doc("") modify do insert } e \text{ into } a/c \text{ return } S_r \\
Q_3': & \quad \text{for } Sz \in a/b \text{ return } Sz \\
Q_3: & \quad \text{for } S_{y_1} \in a, S_{y_2} \in S_{y_1}/b \text{ let } Sz := S_{y_2} \text{ return } \text{topDown}(M_{P_i}, S, Q_3, [sz]) \\
\end{align*}
\]

where $e$ is a new element to be inserted, $M_P$ is the selecting NFA of $Q_3$, and $S$ consists of the states of $M_P$ reached by following $a$ from the start state of $M_P$, which is computed at compile time.

Note that $Q_3^2$ includes topDown() as a user-defined query.

**Remark.** The size of the final composition query $Q_i$ obtained as above is linear in the sizes of $Q_i$ and $Q$. Note that $Q_3$ combines the evaluations of $Q_1$ and $Q$, and $Q$ does not need to make a copy of a tree $T$ when evaluating both $Q_1$ and $Q$ on $T$. We remark that while we model complex conditions and disjunction in the embedded XPath fragment $\mathcal{X}$ to simplify the discussion, it is also possible to allow these conditions to the where clause of user queries without increasing the complexity of the composition algorithm.

### 5. Handling Expensive Qualifiers in One Pass

The Top Down method (algorithm topDown) of Section 3 has a linear-time data complexity if checkp() can be implemented in constant time. In this section we present an algorithm, bottomUp, that implements checkp(). Taken together with algorithm topDown, algorithm bottomUp yields an implementation of transform queries that is guaranteed to execute in time linear in the size of the document, including the cost of implementing checkp(). Practically, if complex qualifiers are handled well by the XQuery processor, the bottomUp algorithm is not necessary. However, (1) not all processors handle complex qualifiers efficiently [15]; (2) one may use bottomUp for only those qualifiers that are not known to be handled efficiently, and (3) new techniques will be introduced in the next section to efficiently evaluate transform queries on large XML documents, and these techniques extend bottomUp.

In a nutshell, given a transform query $Q_1$ over an XML tree $T$, bottomUp evaluates all the qualifiers in the XPath expression $p$ embedded in $Q_1$ via a single bottom-up traversal of $T$, and annotates nodes of $T$ with the truth values of related qualifiers. Given the annotations, at each node checkp() takes constant time to check the satisfaction of a qualifier at the node.

**Qualifiers and Sub-Qualifiers.** In the algorithm below, we deal with a list of qualifiers $L_Q$ that includes not only all the qualifiers appearing in $p$, but also all sub-expressions of these qualifiers. Furthermore, $L_Q$ is topologically sorted such that for any expression $e$ in $L_Q$, if $s$ is a sub-expression of $e$, $s$ appears before $e$ in $L_Q$. To simplify the presentation we adopt a “normalized” form of $\mathcal{X}$ qualifiers such that each path $p$ in a qualifier is of the form $\eta/p'$ where $\eta$ is one of $*$, $// or $e[q]$, and $p'$ is a path. This normalization can be achieved by using the following rewriting rules: (1) $l$
Figure 7: Algorithm QualDP

to \(*/label()=\{\}\) to p/label() to p/label() to p/label() where \(q=q_1\land\ldots\land q_n\); and (4) \(p=p^*\) to p/label() = 's'.' The normalization process can be done in \(O(|p|)\) time.

Example 5.1: For the \(X\) query \(p_1\) given in Example 3.1, the list \(LQ_1\) contains the expressions \(q_1=[\text{PNamed|q}1]\), \(q_6=[\text{HP}\}, q_7=[\text{Name|q}1], q_8=[\text{Supplier|q}1], q_9=[\text{Price}<15], q_{10}=[\text{Price}|q]J, q_{11}=[\text{Supplier}|q]J\) and \(q_{12}=[\text{Price}\land\neg q]\). Note that all expressions are in the normal form mentioned above, and sub-expressions appear before their containing expressions.

Dynamic Programming. A key step of bottomUp is the evaluation of qualifiers. It is done based on dynamic programming, as follows. Assume that the truth values of all the qualifiers \(q\) in \(LQ\) are already known for (1) the immediate children of \(n\) (denoted by \(c_{sat}(q)\)), and (2) for all the descendants of \(n\) excluding \(n\) \((d_{sat}(q))\). Then, in order to compute the satisfaction of the qualifiers at \(n\), denoted by \(s_{sat}(q)\), it suffices to do a constant amount of work per qualifier, as summarized in function QualDP() in Fig. 7.

Special care is needed for this recursion to work when computing \(s_{sat}(q)\) at leaf nodes \(n\) of the tree. To do this, we define \(c_{sat}(q)\) (resp. \(d_{sat}(q)\)) such that it is false when \(q\) ranges over expressions of the form \(*/p; otherwise it is computed in the same way as in QualDP().

One can verify that the truth values for all qualifiers in \(LQ\) can be computed in time \(O(|Q|)\) at any node in a tree \(T\). A similar qualifier evaluation technique is applied to distributed processing [5].

Filtering NFA. Another key issue for bottomUp is to determine the list \(LQ\) of qualifiers to be evaluated at each node of \(T\). To do this, we introduce a notion of filtering NFA. Given an \(X\) query \(p\), we construct a NFA for filtering NFA of \(p\) and denoted by \(MF\), which is an extension of selecting NFAs used in topDown. In a nutshell, \(MF\) is built on both the selecting path and the qualifiers of \(p\), stripping off the logical connectives in the qualifiers; the states of \(MF\) are also annotated with corresponding qualifiers. We use \(MF\) to keep track of whether a node \(n\) is possibly involved in the node selecting of \(p\) and what qualifiers are needed at \(n\). The size of the filtering NFA \(MF\) for an \(X\) query \(p\) is in \(O(|p|)\). We illustrate filtering automata with an example instead of giving its long yet simple definition (which is similar to its selecting NFA counterpart).

Example 5.2: The filtering NFA for the query \(p_1\) of Example 3.1 is depicted in Fig. 8, in which qualifiers \([q_1]\ldots[q_n]\) are given in Example 5.1.

For a set \(S\) of states of a filtering NFA \(MF\), we use \(LQ(S)\) to denote the list of all qualifiers appearing in the states of \(S\), along

with their sub-expressions, properly ordered with sub-expressions preceding their containing expressions.

Bottom Up Computation of Qualifiers. The algorithm, bottomUp, is given in Fig. 9. Its input consists of (1) a node \(n\) in \(T\), (2) the filtering NFA \(MF\) for \(p\), and (3) a set \(S\) consisting of the \(MF\) states reached after traversing \(T\) from the root to the parent of \(n\). Using \(MF\), and the label of \(n\), the algorithm computes the new set of states \(S'\) (in a manner similar to nextStates()) but without calls to checkp()). From these states, the qualifiers \(LQ(S')\) that need to be computed at \(n\) are derived and evaluated.

To compute \(s_{sat}(q)\) the algorithm associates two vectors of boolean values with \(n\):

- \(rs_{sat}(q)\) holds iff \(q\) is satisfied at \(n\) or at any right siblings of \(n\) (if any);
- \(ds_{sat}(q)\) holds iff \(q\) is satisfied at \(n\), or at a descendant of a right sibling of \(n\).

These vectors have the following properties. Assume that \(n_0\) and \(n_1\) are the left-most child and the immediate right sibling of \(n\), respectively. Then for \(q \in LQ, s_{sat}(q)\) is true if and only if there exists a child of \(n\) that satisfies \(q\) and thus \(s_{sat}(q) = cs_{sat}(q)\). Furthermore, \(rds_{sat}(q)\) is true if and only if there exists a descendant of \(n\) at which \(q\) is satisfied, thus \(rds_{sat}(q) = ds_{sat}(q)\). Note that \(s_{sat}(q)\) and \(rds_{sat}(q)\) can be computed based on \(rs_{sat}(q), (rds_{sat}(q), and \(d_{sat}(q)\) by their definitions.

Taken together, the algorithm bottomUp first computes the set \(S'\) of \(MF\) states reached from \(S\) by inspecting the label of \(n\) and the transition function \(\delta\) of \(MF\) (lines 1–2)—these steps mirror nextStates(), but omit the checking of qualifiers. Next, bottomUp calls itself recursively on its right sibling (line 3) and left-most child (line 8), which returns the children list \(L_r\) and the list of right siblings \(L_s\). It uses QualDP() to compute \(s_{sat}(q)\) (line 13). Finally, bottomUp returns a list (lines 14–21) with an element \(n'\) as the head, which has the same label as \(n\), carries children \(L_r\) and is annotated with \(s_{sat}(q), \text{rs}_{sat}(q), \text{ds}_{sat}(q)\); the tail of the list is the right-sibling list \(L_s\).

It is to cope with the referential transparency (side-effect free) of XQuery that we simulate the bottom-up traversal of the XML tree by recursively invoking bottomUp at the left-most child and the immediate right sibling of \(n\), if any. In this way we ensure that each node is visited at most once. Observe that the emptiness check of \(S'\) (lines 6) allows us to avoid recursively processing the subtrees that will contribute neither to the node-selecting path of \(p\) nor to the qualifiers needed in the node selecting decision. That is, only if \(S'\) is not empty, bottomUp is invoked at the children of \(n\) and QualDP() is called.

The combined complexity of bottomUp is \(O(|T|^2|p|^2)\) in the worst case, and its data complexity is linear in \(|T|\). In practice \(|p|\) is often small. Like in topDown of Fig. 3, the emptiness check of \(S'\) allows us to prune unaffected subtrees.

Example 5.3: Consider again \(p_1\) of Example 3.1. Given the root of the tree \(T_0\) of Fig. 1, the filtering NFA of \(MF\) in Fig. 8 and the
The function bottomUp(M, S, n)

Input: node n in an XML document T, filtering NFA M with
transition function δ, a set S of states in M.

Output: a list consisting of (1) head: the node n annotated with
satn(q), rsatn(q), rdsatn(q) for qualifiers q computed from
M, S, n with its annotated sub treeNode: (2) tail:
annotated right siblings of n.

1. S+ := ∪{SatS(q), δSAT(S, q)}, δSAT(S, q) for qualifier q computed
from M, S, n with its annotated sub tree.
2. S+ := ε-closure(S+).
3. if n has a right sibling
   ε call bottomUp at its first right sibling ⋄
4. then let Lq = bottomUp(M, S, following_sibling(n)[1]);
5. else let Lq = [ ];
6. if S+ ≠ ∅ */ prune ⋄
7. then if n has a child
   ε call bottomUp at the left-most child of n ⋄
8. then let Lq = bottomUp(M, S, n[1][1]);
9. else let Lq = [ ];
10. */ left-most child ⋄
11. let nq = if Lq ≠ [ ] then first(Lq) else ∅;
12. let nq = if Lq ≠ [ ] then first(Lq) else ∅;
13. else let Lq = the children of n;
14. return element q followed by Lq

where nq has the same label as n and its children consists of

Figure 9: Algorithm bottomUp

ε-closure of the initial state of M, the algorithm bottomUp computes
satn(q), rsatn(q) and rdsatn(q) for each node n in T0 and its
related qualifier q, and returns T0 annotated with boolean values.
Note that, for example, only qualifiers [q[a], [q[b], [q[c]]] and [q[d]] are
evaluated at supplier elements, rather than the entire [q[e]]-[q[f]].

As another example, given p′ = supplier//part and the root r
of T0, bottomUp returns T0 right after checking the immediate
children of r, since the filtering NFA for p′ reaches no state from r,
which has no supplier children.

Algorithm twoPass. Putting bottomUp and topDown together,
one immediately gets an implementation of transform queries, re-
tended to twoPass, conducted by invoking bottomUp followed
by topDown. For example, the evaluation of an insert transform
query is shown in Fig. 10 (similarly for delete, replace and
rename). Now checkp(q, n) in topDown simply checks satn(q)
associated with node n, and thus takes constant time. Since
the NFAS M and M are computed in O(|p|) time, and topDown,
bottomUp are in O(|T|) and O(|T|) time, respectively, the
data complexity of the evaluation of Qi is linear-time in |T|.

Remark. The twoPass implementation of transform queries Qi
has several salient features. First, it is optimal: the entire com-
putation of Qi(T) can be done with two passes of T, which, as
shown in [19], are necessary for evaluating the embedded XPath
query p alone (note that our algorithm is quite different from that
of [19]; see Section 8). Second, twoPass can be readily coded in
XQuery and can thus benefit from the any optimization techniques
utilizing the referential transparency property of XQuery. Indeed,
the list Lq and the NFAS can be coded in XML, sat, rsat and
rdsat can be treated as XML attributes, and assignment statements can be

Input: Qi = insert const-expr into a/p return a,
and an XML tree T with root r, indicated by a.

Output: Q(T).
1. compute filtering NFA M for p, with start state (a, true);
2. S = ε-closure(rsat, true) in M;
3. let T′ = bottomUp(M, S, r);
4. compute selecting NFA M for p, with start state (a, true);
5. S = ε-closure(rsat, true) in M;
6. return topDown(M, S, Q, root(T));

Figure 10: Implementation of an insert transform query

easily replaced with side-effect free function calls. Third, twoPass
is implemented on top of any existing XQuery engine, without
relying on the support of XML updates. Finally, in contrast to the
conceptual evaluation strategy for transform queries, twoPass does
not need to copy the entire input document.

6. Integrating Evaluation with SAX Parsing

The evaluation algorithms given so far aim to be implemented in
XQuery on top of existing XQuery engines. However, as remarked
in Section 1, most XQuery engines employ memory-intensive DOM
trees and thus do not handle large XML documents very well. In this
section we present another algorithm, referred to as twoPassSAX,
which shows that algorithms bottomUp and topDown can be nat-
urally combined with SAX parsing to answer transform queries on
large XML documents.

SAX Parsing. A SAX parser reads an XML document and gen-
erates a stream of SAX events of five types, whose seman-
tics is self-explanatory: startDocument(), startElement(n), text(t),
endElement(n), endDocument(), where n is an element node and t
is a string (PCDATA).

Algorithm twoPassSAX. Given a transform query Qi and an XML
document T, the algorithm evaluates Qi(T) via two passes of SAX
parsing on T. In the first pass, the algorithm bottomUp is inte-
rated with an SAX parser to evaluate the qualifiers in Qi. Making
use of the boolean values of qualifiers returned from the first pass,
topDown is combined with the second pass of SAX parsing to
compute the updated tree.

Integrating bottomUp with SAX parsing. We first outline the
SAX-based bottomUp algorithm. The algorithm takes as input the
same parameters as those of bottomUp (Fig. 9). However, instead of
returning an annotated XML tree, it produces a list Lq of boolean
values (0 or 1) of the top-level qualifiers (excluding sub-qualifiers)
in Qi, and writes it to disk as output. Each of these truth values is
associated with a unique id determined by the traversal order of T
by SAX parsing, which will be used in the second pass of parsing
to identify both the corresponding node and qualifier.

More specifically, the algorithm maintains two variables: a cur-
or c and a stack S. The cursor c is used to generate the ids for
qualifiers; whenever we encounter a qualifier that needs to be evaluated
at a node, we assign the value of cursor c as its id and increment
c by 1. Each entry of the stack S has the following components:
(1) the set of automaton states at element node n, (2) the list of
sub-qualifiers Lq (see Section 5) to be evaluated at element node n,
(3) the three vectors sat c, rsat c and rdsat c to be used to compute
the values of (sub-)qualifiers as in the algorithm in Fig. 7, (4) the
PCDATA of text children and attributes of node n, if any, which will
be used to evaluate (sub-)qualifiers, and (5) the ids of the top-level
qualifiers that need to be evaluated at node n. Initially, the cursor c
is set to 0 and the stack is empty.

The SAX-based bottomUp algorithm incorporates the state transi-
tion of filtering NFA M and the evaluation of qualifiers into the
processing of each SAX event, as follows.

- \texttt{startDocument}(). An entry corresponding to the root of the input XML tree \( T \) is pushed onto the stack \( S \), in which the NFA state is the \( c \)-closure of the start state \( s_0 \) of \( M_f \).

- \texttt{startElement}(n). When the start tag of an element node \( n \) is encountered, the algorithm computes a new entry of \( S \) as follows: (1) computing the set of \( M_f \) states reached from the set of states of its parent node, which is stored in the entry at the top of \( S \); (2) identifying the list \( L_Q \) of (sub-)qualifiers to be evaluated at node \( n \) (see Section 5); (3) for each top-level qualifier that needs to be evaluated at node \( n \), setting its id to be the value of the cursor \( c \) and incrementing \( c \) by 1; and (4) extracting the attributes, if any, of node \( n \). This new entry is pushed onto the stack \( S \) and will be used to evaluate (sub-)qualifiers at subsequent SAX events.

- \texttt{endElement}(n). When the end tag of \( n \) is encountered, the algorithm invokes algorithm QualDP (of Fig. 7) to compute the vector \( \text{sat}_n \) for the list \( L_Q \) of (sub-)qualifiers, which was identified at the event \texttt{startElement}(n). Note that at this point, the values of vectors \( \text{csat}_n \) and \( \text{dcsat}_n \) are available since all the descendant nodes of \( n \) have been processed. We then pop the entry corresponding to \( n \) off stack \( S \). Now the top entry of the stack corresponds to the parent node of \( n \). The algorithm then updates the values of vectors \( \text{csat} \) and \( \text{dcsat} \) of the parent node of \( n \) with the value of \( \text{sat}_n \). If there are any qualifiers evaluated at \( n \), the algorithm outputs their truth values and associated ids, which are appended to the list \( L_d \).

- \texttt{text}(t). This event occurs after \texttt{startElement}(n), but before \texttt{endElement}(n), where \( n \) is the element containing text \( t \). The text \( t \) is stored in the top entry of the stack, which corresponds to \( n \), and will be used to evaluate (sub-)qualifiers at subsequent SAX events.

- \texttt{endDocument}(). Now the top entry is popped off the stack. This is the last event of the SAX-based bottomUp processing.

Example 6.1: Recall the transform query \( Q_3 \) given in Example 3.2, its filtering NFA in Fig. 8, and the XML tree in Fig. 1. For \texttt{startDocument}(), an entry corresponding to the root \( db \) is pushed onto the stack. The entry records the set of states \( \{s_0, s_1\} \) reached from the start state \( s_0 \) via \( \epsilon \) transitions, while the rest of the entry are empty. At the event \texttt{startElement}(n) of the first part node \( n \) under the root, another entry is pushed onto the stack, which contains (a) \( \{s_1, s_2, s_3\} \): the states reached from \( s_0, s_1 \) via part and then \( \epsilon \) transitions; (b) \( \{q_1, q_1\} \): the list of sub-qualifiers to be evaluated at \( n \); (c) \( q_1 \): the qualifier that needs to be evaluated as part of the output at \( n \) along with its id 0 (the first qualifier encountered); and (d) \( \text{csat}, \text{csat} \) and \( \text{dcsat} \): the vectors, initialized with false.

Integrating topDown with SAX parsing. The bottomUp phase is followed by a second pass of SAX parsing of the document \( T \) that incorporates topDown (Fig. 3) processing. The SAX-based topDown algorithm takes as input the same parameters as topDown. Using the list \( L_d \) of truth values computed in the first pass, it computes \( Q_3(T) \) as output. It also uses cursor \( c \) and stack \( S \) as variables, where \( c \) is to identify the node and qualifier with which a truth value in \( L_d \) is associated, and each entry of \( S \) simply records the current states of the selecting NFA \( M_p \).

Recall that the SAX-based bottomUp algorithm associates an id with a truth value of a top-level qualifier \( q \) at a node \( n \), and that the id is determined by the traversal order of SAX parsing of \( T \). Following the same traversal order on the same document \( T \), SAX-based topDown repeats the same process of assigning ids to qualifier and incrementing the cursor \( c \). Furthermore, note that the selecting automaton \( M_p \) used in this phase and the filtering NFA \( M_f \) used in the last phase have the same structure when sub-qualifiers and their associated paths are striking out. In other words, \( M_p \) and \( M_f \) share the same set of top-level qualifiers. Putting these together, one can verify that the value of the cursor \( c \) suffices to map the qualifier \( q \) at node \( n \) to its truth value in the list \( L_d \). The SAX based topDown algorithm incorporates the state transition of selecting NFA and the computation of \( Q_3(T) \) into the processing of SAX events. Due to the space limitation, we only give the integration of topDown processing with one type of SAX events.

Example 6.2: Recall the processing of the query \( Q_1 \) described in Example 6.1. In the topDown phase, at the event \texttt{startElement}(n) for the first part node \( n \) under the root, the entry pushed onto the stack consists of the states \( \{s_1, s_2, s_3\} \) of the selecting NFA of Fig. 5. The value of the top-level qualifier \( q_1 \) at \( n \) is extracted from the list \( L_d \) of boolean values. This is done by using the current value of the cursor \( c \) as the index, which is 0, precisely the same as when \( q_1 \) at \( n \) was encountered in the bottomUp processing.

Remark. Observe the following about algorithm twoPassSAX. First, it inherits the nice properties of the twoPass algorithm presented earlier; for instance, twoPassSAX has a linear data complexity. Second, compared to DOM-tree based implementation it requires much less memory. Indeed, the size of the stack \( S \) is bounded by the depth of the XML document \( T \) and the size of each entry of the stack \( S \) is linear in the size of transform query \( Q_1 \). The list \( L_d \) of boolean values is written to secondary storage and in fact, it does not incur much memory overhead even when stored in main memory. These show that twoPassSAX is capable of efficiently evaluating transform queries on very large documents. It should be mentioned, however, in contrast to the evaluation algorithms given in previous sections, twoPassSAX is not implemented in XQuery.

7. Experimental Study

Our experimental study focuses on the performance of the implementation and composition methods developed in this paper for transform queries. To demonstrate the effects of datasets, transform queries and the size of affected areas in a document by transform

| U1 | /site/people/person | U2 | /site/people/person[@id = "person10"] | U3 | /site/people/person[profile/age &gt; 20] | U4 | /site/regions/item | U5 | /site/description | U6 | /site/closed_auctions/closed_auction/annotation/description | U7 | /site/open_auctions/open_auction/bidder/increase &gt; 50/annotation/happiness &lt; 20 | U8 | /site/open_auctions/open_auction[initial &gt; 10] &amp; reserve &gt; 50] | U9 | /site/open_auctions/open_auction[not[@id = "open_auction2"] | U10 | /site/open_auctions/open_auction[not[@id = "open_auction2" ]]

Figure 11: Embedded XPath queries
queries, we ran a set of experiments on Qizx\footnote{http://www.axyana.com/qizxopen} and GalaX \cite{GalaX}. Due to space constraint we only report the experimental results on Qizx that is faster than GalaX on our queries; the results on GalaX are comparable. It should be remarked that although we chose Qizx and GalaX to conduct our experiments, our techniques are also applicable to other XQuery 1.0 engines.

We used datasets generated by XMark \cite{xmark}. We generated a set of XML files by varying XMark scaling factors between 0.02 and 0.34, to obtain files of size 2.22M, 11.1M, 19.9M, 29.1M, 37.8M respectively. We also generated five files from 224M to 1.1G by varying XMark scaling factors from 2 to 10. The results presented here are mainly based on insert transform queries; we have found that transform queries of the other types consistently yield qualitatively similar results.

The experiments were performed on a PC with a Pentium IV 2.4 Ghz CPU and 500MB RAM, running Linux. Each experiment was repeated 5 times and the average is reported here; we do not show confidence interval since the variance is smaller than 5%.

We evaluate our algorithms for evaluating transform queries implemented both in XQuery and as part of a query processor in Section 7.1, and composition of user and transform queries in Section 7.2. We give a summary and discussion in Section 7.3.

Note that except for the SAX based two-pass algorithm all of our algorithms are coded in XQuery and implemented on top of Qizx.

7.1 Transform Query Engines

We first evaluate our proposed techniques for implementing transform queries in XQuery, namely, the rewriting-based Naive Method of Section 3.1, the TopDown method of Section 3.3 and the Two-pass method of Section 5, denoted as NAIVE, GENTOP and TD-BU, respectively. We also consider the SAX based Two-pass algorithm of Section 6, denoted as twoPassSAX, and an implementation of transform query in GalaX (which supports XML updates and transform queries), denoted by GalaXUpdate. We should remark that Qixz supports neither updates nor transform queries.

Based on the benchmark queries of XMark \cite{xmark}, we designed 10 insertion transform queries, which differ only in the XPath expressions used to select the target nodes. The embedded XPath expressions are shown in Fig. 11. In transform queries U1-U3, the paths contain at most one simple qualifier and no descendant axis. Transform queries U4 and U5 have descendant axis. U6 has a long path, U7 and U8 have a relatively complicated qualifier, and transform queries U9 and U10 contain both descendant axis and qualifiers.

Figure 12 shows the running time of each of the five methods for evaluating transform queries, for U1-U10, using the dataset of size 2.22M. As shown in this figure, twoPassSAX performs the best in all five methods while GENTOP usually runs the fastest among the three algorithm implemented on top of Qizx. Both twoPassSAX and GENTOP outperform the GalaXUpdate.

While NAIVE does reasonably well on U2-U3, U6 and U10, it fares worse on queries when the set of selected nodes is large (i.e., when $|xp|$ in Fig. 2 is large), as expected. For example, in U2, NAIVE performs well due to $|xp| = 1$ while its performance deteriorates greatly in U1 since $|xp|$ is the set of all persons in the XML file. The Top Down method improves on NAIVE since they use the NFA to prune the search space and avoid the lookup in $|xp|$. TD-BU handles qualifiers with algorithm bottomUp while the other two methods on top of XQuery engines utilize the native processing ability of Qizx. As shown in these figures, although TD-BU pays a price for implementing the complexity of bottomUp on top of XQuery, TD-BU is usually comparable with GENTOP when the qualifiers are relatively simple, e.g., in U1-U6. When the qualifyers get complicated, e.g., in U7 and U8, or when transform queries contain both descendant axis and qualifiers, e.g., in U9 and U10, the performance disparity between TD-BU and GENTOP becomes larger. This disparity may be emphasized by Qixz, which handles a wide variety of qualifiers very efficiently according to our experimental study. Of course, our top-down variants can easily switch between native qualifier evaluation and bottomUp, and we believe TD-BU may still provide advantages if Xquery processors with different performance tradeoffs are encountered.

Scalability with data size. To show scalability, we chose several representative transform queries, while the other transform queries display properties similar to the four selected queries. Figure 13 shows that, as expected, NAIVE does not scale well with XML file size when the portion of the file affected by the transform queries is significant, while the two methods implemented on top of Qixz, TD-BU and GENTOP, are linearly scalable. twoPassSAX is also linearly scalable. This is consistent with our discussions in the previous sections. When the size of the set of selected nodes $|xp|$ is fixed with the change of file size, the Naive method will be linearly scalable, such as U2 in Fig. 13(a). GalaXUpdate ran out of memory on data with factor 0.26 on queries U2, U4 and U7, and on data with factor 0.18 on query U10 (in Fig. 13(d), GalaXUpdate works at the first two data points and a bit slower than TD-BU; the line for GalaXUpdate partly overlaps with that for TD-BU). It appears that GalaX implements transform queries by taking a snapshot of XML files while our techniques do not make a copy (snapshot) of XML files and have smaller memory overhead.

Handling large data. To show the feasibility of SAX based Two-pass algorithm for handling large datasets using small memory, we evaluate it on five files of size varying from 224M to 1.1G using four representative queries, U2, U4, U7 and U10. Figure 14 shows that algorithm twoPassSAX scales well on all the transform queries. The memory consumption of twoPassSAX is independent of file size. We observed that twoPassSAX used less than 5M memory while none of the other four algorithms ran to completion on data of such sizes.

7.2 Composition of User and Transform Queries

We next evaluate our proposed techniques for composing a user query and a transform query, namely the Naive Composition method and the Compose method presented in Section 4. For the Naive Composition method, we adopt the algorithm GENTOP to evaluate the transform query since it outperforms the other algorithms implemented on top of Qizx as reported in Section 7.1.

Using the XPath queries in Fig. 11, we generated four representative pairs of transform and user queries, (U1, U2), (U9, U1), (U9, U10) and (U1, U10), denoted as twoPassSAX, NAIVE, TD-BU and GENTOP. We report the execution time of each method on the transform queries (U1, U2, U9, U10) and the user queries (U1, U2, U9, U10) in Table 7.1. The results are consistent with the observations in Section 7.1.

Figure 12: Execution time

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The algorithm Compose integrates the evaluation of user queries and transform queries. The second reason is dominating for the improvement of transform queries; second, it avoids computing part of updates in processors, for example in I/O management and handling recursive queries in XQuery.

Figure 15 shows the runtime of four composed queries on XML files of various sizes. The algorithm Compose performs consistently better than the Naive Composition algorithm, and the improvement is especially significant on larger XML files as shown in all the four graphs. There are two reasons for the improvement: first, algorithm Compose integrates the evaluation of the user and transform queries; second, it avoids computing part of updates in transform queries on documents that are not needed by the user queries. The second reason is dominating for the improvement of algorithm Compose over Naive Composition on the pair (U9, U1) as shown in Fig. 15(b), where the user query U1 is largely disjoint from transform query U9 and the update in the transform query U9 is not required when evaluating user query U1. Note that the query results from these user queries are much smaller in size than those of their corresponding transform queries, and thus take less time to produce. Figure 15 also shows that both algorithms are linearly scalable while algorithm Compose scales better.

7.3 Summary and Discussion
Our experimental results demonstrate the practicality of efficiently supporting transform queries by existing XQuery engines. We show that our proposed algorithm GENTOP using the native predicate evaluation facility of Qixx performs the best. Moreover, GENTOP and TD-BU are linearly scalable to XML file size. We also show the ability of twoPassSAX to handle large files. For the composition of user and transform queries, our experimental results show that algorithm Compose is more efficient than Naive Composition while both algorithms scale well with the file size.

For our proposed techniques implemented on top of XQuery engine, we expect that the performance will be improved as XQuery processors mature, for example in I/O management and handling recursive queries in XQuery.

We note that algorithm twoPassSAX implemented as part of a query processor scales very well on large XML documents.

8. Related Work
Transform queries are proposed by W3C XQuery Update [6] and XQuery [14]. To our knowledge, the only implementation of transform queries so far is Galax [13]. No published work has addressed technical issues in connection with efficient evaluation of transform queries either on top of or within XQuery engines, or composition of transform queries and user queries. Prior work on XML updates has mostly focused on proposals for update languages [20, 21, 23, 25]. While there has been work on implementing XML updates on XML data stored in relational DBMS [26] or in native stores [18], the problems tackled there are to perform updates in place, which is entirely different from the idea of transform queries.

The idea of defining queries as updates has been well studied for traditional databases, notably hypothetical queries (recall from Example 1.1) and their evaluation techniques [1, 4, 12, 16]. The importance of hypothetical queries has long been recognized. When it comes to the implementation of hypothetical queries, it is already observed that while rewriting updates into relational queries is conceptually easy in absence of recursion in updates [1], the presence of recursion in updates makes the problem highly nontrivial. Indeed, [4] shows that datalog extended by hypothetical insertions and deletions has EXPTIME data complexity as opposed to the PTIME data complexity of datalog. The difference in the complexity bounds also show that hypothetical queries cannot be simply treated as views defined in terms of queries. In this work we study transform queries defined in terms of limited recursive XML updates (i.e. descendant-or-self::node() in embedded XPath queries). Rewriting and optimization techniques have been developed for hypothetical queries on relational databases [16]. These, however, do not apply directly to the evaluation of transform queries due to the tree data model of XML and the XQuery target language.

There is an analogy between transform queries and functional updates. Functional databases enforce referential transparency and support updates via versioning [27], which allows interesting optimization, e.g., parallel evaluation, that are also applicable to XML transform-query evaluation. Also related to transform queries are a variation of XPath queries studied in [2]. While the queries of [2] are a subset of transform queries defined in terms of delete (starting from the root of a source document), no specific evaluation or optimization techniques are published for their queries.

Several automaton-based evaluation algorithms have been developed for XPath, e.g., tree automata of [19], alternating finite state automata (AFA) of [17], and a form of NFA [8, 9]. Our proposed selecting and filtering NFA (Sections 3 and 5) differ from these automaton machinery in several aspects. As opposed to [19], the automata used in this work do not require to transform an XML tree to a binary-tree representation and moreover, they are linear in the size of input queries in contrast to possibly very large bottom-up and top-down tree automata of [19]. The AFA of [17] and NFA of [8, 9] aim at evaluating Boolean multiple XPath queries on stream XML
data treated as SAX events. The AFA [17] are required to be deterministic and are thus possibly quite large, and the NFA [8, 9] do not handle nested qualifiers. In contrast, our automata deal with transform queries that subsample a larger class of node-selecting XPath queries, they work on both SAX events and DOM trees; furthermore, they are much less costly than the AFA of [17] and are capable of handling complex qualifiers as opposed to [8, 9]. It is worth remarking that the implementation of our transform queries combines the evaluation of XPath and the handling of XML updates, which has not been considered by any previous work for XPath.

We are aware of no previous work on composition of transform queries and user queries (in XQuery). Composition of simple XQuery queries and canonical XML views of relational data was studied in [11]. In contrast to our composition algorithm of Section 4, [11] considers neither queries with embedded updates, nor complicated XML views (e.g., // or qualifiers). Recently rewriting of XQuery using views is studied in [22], which is an entirely different problem. No previous work on query composition has studied automaton-based rewriting, which we explore in this work.

9. Conclusion

We have proposed several techniques for evaluating transform queries and for composing user queries with transform queries, which can be readily implemented on top of any existing XQuery engines. These provide an immediate capability for these engines to support transform queries. We have also developed a scalable solution to evaluating transform queries as part of a query engine. This allows us to deal with large XML documents beyond what most publicly available XQuery engines using DOM trees can handle. Our experimental results verified that these techniques are effective and efficient. These techniques are useful in supporting hypothetical queries, updating virtual views, composing queries and updates, and enforcing XML access control, among other things.

For future work, first, we plan to evaluate the performance of our proposed techniques on other XQuery engines (e.g., http://monetdb.cwi.nl/XQuery/Overview/Benchmark). Second, we recognize the challenges of efficiently processing transform queries defined with more involved updates [6, 14], which are a subject of our ongoing work. Third, we plan to extend our composition techniques to work with the SAX based two-pass algorithm.

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10. References


Figure 15: The composition of user and transform queries

![Figure 15: The composition of user and transform queries](http://example.com/figure15.png)

(a) (U1, U2)  
(b) (U9, U1)  
(c) (U9, U4)  
(d) (U8, U10)