EFFICIENT QUERYING OF TRANSFORMED XML DOCUMENTS

Sven Groppe, Stefan Böttcher, Georg Birkenheuer
University of Paderborn, Faculty 5, Fürstenallee 11, D-33102 Paderborn, Germany

Keywords: XSLT, XPath, query transformation, query reformulation.

Abstract: An application using XML for data representation requires the transformation of XML data if the application accesses XML data of other applications, or of a global database using another XML format. The common approach transforms entire XML documents from one format into another e.g. by using an XSLT stylesheet. The application can then work locally on a copy of the original document transformed in the application-specific format. Different from the common approach, we use an XSLT stylesheet in order to transform a given XPath query such that we retrieve and transform only that part of the XML document which is sufficient to answer the given query. Among other things, our approach avoids problems of replication, saves processing time and in distributed scenarios, transportation costs. Experimental results of a prototype prove that our approach is scalable and efficient.

1 INTRODUCTION

1.1 Problem definition and motivation

In database theory, the problem of query reformulation is commonly defined as follows (e.g. (Deutsch & Tannen, 2003)):

Given two schemas $F_{\text{orig}}$ and $F_{\text{trans}}$ and a correspondence $S$ between them, find a query $XP_{\text{orig}}$ formulated in terms of schema $F_{\text{orig}}$ that is equivalent to a given query $XP_{\text{trans}}$ formulated in terms of schema $F_{\text{trans}}$ modulo the correspondence $S$.

Query reformulation is used in database technology within different scenarios, for example within data integration, where schema $F_{\text{trans}}$ is the global schema and schema $F_{\text{orig}}$ is one of several local schemas, within schema evolution, where schema $F_{\text{orig}}$ is the old schema and schema $F_{\text{trans}}$ the new schema, or within bilateral situations, where two applications exchange data.

Within this paper, we apply query reformulation to XML, and in particular to XPath and XSLT. This enables similar scenarios, where XML, XPath and XSLT are continuously used, as for query reformulation in traditional databases. Within these scenarios, using query reformulation has several advantages in comparison to the state-of-the-art method of XML and XSLT, which at first transforms the entire XML document and then works on the copy of the original document transformed into $F_{\text{trans}}$: Using query reformulation avoids replication problems, saves processing time for the transformation and in distributed scenarios reduces transportation costs.

In terms of XML and within this paper, the schemas are XML formats, the correspondence is an XSLT stylesheet and the queries are XPath queries.

In the following, we use the notation $XP_{\text{orig}}(D)$ for the query result of applying the query $XP_{\text{orig}}$ to the data $D$, and $S(D)$ for the transformation of the data $D$ (which can again be a resultant XML fragment of a query) according to $S$.

Within this paper, we modify the definition of query reformulation above and call it query transformation: The algorithmic problem of query transformation is to determine $XP_{\text{orig}}$ according to a given XPath query $XP_{\text{trans}}$ and an XSLT stylesheet $S$ such that it meets the following conditions: The resultant XML fragment of $XP_{\text{orig}}(D)$ has to be as small as possible but has to guarantee the equivalence of $XP_{\text{trans}}(S(XP_{\text{orig}}(D)))$ and $XP_{\text{trans}}(S(D))$, i.e. that $XP_{\text{trans}}(S(XP_{\text{orig}}(D)))$ returns the same result as $XP_{\text{trans}}(S(D))$ for every XML document $D$.

This allows us to build a new query transformation framework for XPath and XSLT with
the core of a new query transformation algorithm for determining $\text{XP}_{\text{orig}}$ (see (Groppe & Böttcher, 2003a) and (Groppe & Böttcher, 2003b)).

Furthermore, we can use standard XSLT processors for transforming documents according to the XSLT stylesheet $\mathcal{S}$ and standard XPath evaluators for evaluating $\text{XP}_{\text{trans}}$.

Within this paper, we present the experimental results of a prototype of the query transformation algorithm. The experimental results demonstrate that our approach is scalable and efficient.

### 1.2 Relation to other work and our focus

For the transformation of XML queries into queries based upon other data storage formats, at least two major research directions can be distinguished. Firstly, the mapping of XML queries to object oriented or relational databases (e.g. (Bourret et al., 2000), (Deutsch & Tannen, 2003)), and secondly, the transformation of XML queries or XML documents into other XML queries or XML documents (e.g. (Abiteboul, 1999)). We follow the second approach; however, we focus on XSL (W3C, 2001) for the transformation of both data and XPath (W3C, 1999) queries.

Within related contributions to schema integration, two approaches to data and query translation can be distinguished. While the majority of contributions (e.g. (Cluet et al., 1998), (Abiteboul et al., 1997)) map the data to a unique representation, we follow (Chang and Garcia-Molina, 2000) and map the queries to those domains where the data resides.

The contribution in (Cluet et al., 2001) contains query reformulation according to path-to-path mappings. We go beyond this, as we use XSLT as a more powerful mapping language. (Moerkotte, 2002) describes how XSL processing can be incorporated into database engines, but focuses on efficient XSL processing. The complexity of XPath query evaluation on XML documents is examined in (Gottlob et al., 2003). In comparison, we use an evaluation based on output nodes of XSLT and consider query transformation. Altinel and Franklin present in (Altinel & Franklin, 2000) an algorithm to filter XML documents according to a given query and analyses the performance, but the algorithm does not contain query transformation.

(Marian & Siméon, 2003) projects XML documents to a sufficient XML fragment before processing XQuery queries. (Marian & Siméon, 2003) contains a static path analysis of XQuery queries, which computes a set of projection paths formulated in XPath from an arbitrary XQuery expression. In comparison to this approach and among other things, we describe a path analysis within XSLT stylesheets depending of an input XPath query. Furthermore, we analyze paths within recursive calls (of templates).

In contrast to all these approaches, we focus on the transformation of XPath queries according to an XSLT stylesheet.

Within this paper, we go beyond our previous contributions of (Groppe & Böttcher, 2003a), as we support a larger subset of XSLT (i.e. absolute paths are now allowed in select attributes of XSLT nodes) and a larger subset of XPath (i.e. predicates are now allowed) for the XPath query transformation. Furthermore, we show the advantages of our algorithm presented in (Groppe & Böttcher, 2003b).
like scalability and efficiency by experimental results of a prototype.

2 XPATH QUERY TRANSFORMATION

For an example of the usage of our approach, see Figure 1: The XSLT stylesheet $S$ transforms the representation of nested objects (XML document $D$) into a flat model of a list of products, i.e. the transformed XML document $S(D)$. Assume, we have to answer an XPath query

$$\text{XP} = */product[@label="cockpit"]/@*$$

on the transformed XML document $S(D)$. It is sufficient to transform only a resultant XML fragment $X_{\text{forig}}(D)$ (see bold face part of the left box of Figure 1) for answering $X_{\text{transf}}$, where $X_{\text{forig}}$ is a query in XML format $F_{\text{orig}}$ computed by our new query transformation algorithm.

Notice, that standard XPath evaluators only return a query result as a node set, not as a resultant XML fragment. This resultant XML fragment $X_{\text{forig}}(D)$ is defined to contain all nodes and all their ancestors up to the root of the original XML document $D$, which contribute to the successful evaluation of the query $X_{\text{forig}}$ given in XML format $F_{\text{orig}}$.

In the example, it is sufficient for answering $X_{\text{transf}}$ to transform the resultant XML fragment (see the bold face part of the left box in Figure 1) of the query

$$\text{XP}_{\text{forig}}=/*/object(/*/contains/object)[]/*[@name="cockpit"]$$

where $A^*$ is a short notation for an arbitrary number of paths $A$. Notice, that standard XPath evaluators do not support $A^*$, but we can retrieve a superset by replacing $A^*$ with $//$. 

In our approach of our new query transformation algorithm for determining $X_{\text{forig}}$, we search at first for paths within the XSLT stylesheet (see Section 2.2), which generate elements and attribute values in the correct order, i.e. as needed in order to answer the query $X_{\text{transf}}$.

For each of these successfully searched paths, we determine the input path expression of the XSLT stylesheet (see Section 2.3), which summarizes the XPath expressions of input nodes along the stylesheet path. The transformed query $X_{\text{forig}}$ is the disjunction of the determined input path expressions of each successfully searched path.

First of all, we describe the considered subsets of XPath and XSLT in the next Section 2.1.

2.1 Considered subsets of XPath and XSLT

In order to keep the presentation simple, we currently restrict XPath queries $X_{\text{transf}}$ such that they conform to the following rule for AttributeQuery given in the Extended Backus Naur Form (EBNF):

$$\text{AttributeQuery ::= LocationPath } */@*|("/") Name.$$ 

$$\text{LocationPath ::= Step*}.$$ 

$$\text{Step ::= } (/"|/"") Name Predicate*.$$ 

$$\text{Predicate ::= } [" "] Name =" String "]\)$$.

This subset of XPath allows querying for an XML fragment which can be described by succeeding elements (in an arbitrary depth), the attributes of which can be restricted to a constant value.

Similarly, we restrict XSLT, i.e., we consider the following nodes of an XSLT stylesheet:

- `<xsl:stylesheet>`
- `<xsl:template match=M name=N>`
- `<xsl:element name=N>`
- `<xsl:attribute name=N>`
- `<xsl:apply-templates select=I>`
- `<xsl:text>`
- `<xsl:value-of select=I>`
- `<xsl:for-each select=I>`
- `<xsl:call-template name=N>`
- `<xsl:attribute-set name=N>`
- `<xsl:if test=T>`
- `<xsl:choose>`
- `<xsl:when test=T>`
- `<xsl:otherwise>`
- `<xsl:processing-instruction>`
- `<xsl:comment>` and `<xsl:sort>`

where $I$ and $M$ contain an XPath expression without function calls, $T$ is a boolean expression and $N$ is a string constant.

Whenever attribute values are generated by the
XSLT stylesheet, we assume that this is only done in one XSLT node (i.e. `<xsl:text>` or `<xsl:value-of select=I>`).

We define the following terms for later use.

**Definition relative and absolute part:** An XPath expression I can be divided into a *relative part* rp(I) and an *absolute part* ap(I) (both of which may be empty) in such a way, that rp(I) contains a relative path expression, ap(I) contains an absolute path expression, and the union of ap(I) and rp(I) is equivalent to I.

**Example:** The relative part of I=/E1/E2/E3/E4/E5 is rp(I)=(E2/E3/E4)/E5, and the absolute part is ap(I)=/E1/E5.

### 2.2 Searching for relevant output nodes

We firstly look at the *output nodes* of the XSLT stylesheet S, which generate an element E by the XSLT node `<xsl:element name=E>` or generate an attribute A by the XSLT node `<xsl:attribute name=A>`.

In the example of Figure 1, all the product_list elements in S(D) in the right part of Figure 1 are generated by the node (3) of S (see the middle box of Figure 1), all the product elements in S(D) are generated by node (6). These output nodes (3) and (6) of the XSLT stylesheet S are reached, after a sequence of nodes of the XSLT stylesheet S are executed. In the example, <(1),(2),(3),(4),(5),(6)> is one sequence which reaches the nodes (3) and (6), i.e. which generates output that is relevant for an XPath query /product_list/product.

For the purpose of using an adequate data structure for a goal-oriented search through an XSLT stylesheet according to a query \(\text{XP}_{\text{transf}}\), we define a *stylesheets path* as a list of entries of the form (N, \(\text{XP}_{\text{transf}}\)) where N is a node in the XSLT stylesheet and \(\text{XP}_{\text{transf}}\) is the suffix of \(\text{XP}_{\text{transf}}\) which still has to be searched for. We call the stylesheet path, which contains all the visited nodes of the path from the start node to the current node of the search in the visited order, the *current stylesheet path*.

We call the stylesheet paths, which begin with the node `<xsl:stylesheet>` and may generate output that is relevant to \(\text{XP}_{\text{transf}}\), *successful element stylesheet paths*. Each successful element stylesheet path can be attached by attribute, filler and loop stylesheet paths (see below).

We start the search at the node `<xsl:stylesheet>`, which does not generate any output. The search continues from a node S1 to a node S2, if

- a. S2 is a child node of S1 within the XSLT stylesheet, or
- b. S1 is a node with an attribute xsl:use-attribute-sets=N and S2 is a node `<xsl:attribute-set name=N>` with the same N, or
- c. S1 is a node `<xsl:call-template name=N>` and S2 is a node `<xsl:template name=N>` with the same N, or
- d. S1 is `<xsl:apply-templates select=I>` and S2 is `<xsl:template match=M>` and the template of S2 can possibly be called from the selected node set I. This is the case if ap(I)|//rp(I) and ap(M)|//rp(M) are possibly not disjointed which can be checked by a fast (but incomplete) tester (e.g., the tester presented in (Böttcher & Türling, 2003)).

For example, for \(\text{XP}_{\text{transf}}=/\text{product_list/ product[@label="cockpit"]}/*\) and the XSLT stylesheet of Figure 1, we search for the output nodes which generate the product_list elements (see node (3)) and then product (see node (6)). The search can pass non-output nodes as they do not generate any output, which does not fit to \(\text{XP}_{\text{transf}}\). The search can also pass any output nodes if we search next for an element E in arbitrary depth, i.e. for //E.

While searching for attributes (e.g., for //@* see nodes (7) and (8) in Figure 1), we branch off the successful element stylesheet path. In order to allow a sequential (but recursive) computation of the input path expressions in Section 2.3, we store paths resulting from a search for attributes separately in *attribute stylesheet paths*.

We store the filter itself and paths resulting from a search for filters in *filter stylesheet paths* (e.g., for [@label="cockpit"] see nodes (7) and (8) in Figure 1). If the attribute value of the filter is generated by an input node `<xsl:value-of select=I/>`, we can transform the filter to a filter in XML format \(F_{\text{orig}}\) within \(F_{\text{orig}}\) (see Section 2.3), which restricts the node set of the input XML document more precisely when we apply \(\text{XP}_{\text{orig}}\).

If the value of the attribute of the filter is generated by an output node `<xsl:text>const</xsl:text>` within the XSLT stylesheet, we can currently decide without access to the XML document that a filter [A1 = V] will always be

- true, if V is equal to const. In order to be sure,
that the attribute \( @A1 \) and its value \( V \) will be nevertheless generated by the XSL processor, we store the suitable information in the set of attribute stylesheet paths.

- **false**, if \( V \) is not equal to \( \text{const} \). We abort the search at this node.

---

**Figure 2**: Computing Input Path Expressions of the running example

During the search it may occur, that we revisit a node \( N \) of the XSLT stylesheet without any progress in the processing of \( \text{XPTrans} \). For example, we can visit node (1), (2), (3), (4), (5), then node (9) and the node (5) again in Figure 1. We call this a **loop** and we define a loop as follows: The loop is the current stylesheet path minus the stylesheet path of the first visit of \( N \). In the example of Figure 1, the loop contains the nodes (9) and (5). For each loop in the XSLT stylesheet, we store the loop itself, the current node \( N \) and \( \text{XPTrans} \) as an entry to the set of **loop stylesheet paths**, because we need to know the input which is consumed when the XSLT processor executes the nodes of a loop (see Section 2.3). In order to avoid an infinite search, we do not continue the search at the final node when the loop is detected.

### 2.3 Determining the sufficient node set of the original document

While executing the successful element stylesheet paths (and attached attribute, filter and loop stylesheet paths) computed in Section 2.2, the XSLT processor also processes **input nodes** (e.g. node (4) in Figure 1) each of which selects a certain node set described by a **local input path expression** \( I \) of the input XML document \( D \). The input nodes of the considered XSLT subset with local input path
expression \( I \) are
- \(<\text{xsl:apply-templates select}=I/>,\)
- \(<\text{xsl:value-of select}=I/>,\)
- \(<\text{xsl:for-each select}=I/>,\)
- \(<\text{xsl:if test}=T>\) and
- \(<\text{xsl:when test}=T>,\)

where \( T \) is a Boolean expression and \( I \) occurs in \( T \).

When considering all executed input nodes of a successful element stylesheet path (and its attached paths), the input nodes altogether select a certain node set of the input XML document \( D \). If we can determine the whole node set (described using all stylesheet paths, which generate output relevant to the query \( XP_{\text{Orig}} \), which is selected on \( \text{all paths} \), \( \text{which} \) generate output relevant to the query \( XP_{\text{Transf}} \) and which we already computed in Section 2.2, we can then select a smaller, but sufficient part \( XP_{\text{Transf}}(D) \) of the input XML document \( D \), where \( XP_{\text{Transf}}(S(XP_{\text{Orig}}(D))) \) is equivalent to \( XP_{\text{Transf}}(S(D)) \).

For this reason, we have to combine all the local input path expressions of input nodes along a successful element stylesheet path (and its attached paths). For this purpose, we use two different variables:

- The current input path expression (\( \text{current ipe} \)) contains the whole input path expression of the successful element stylesheet path down to (and including) the current XSLT node. We guarantee that the XSLT processor processes the current XSLT node with a subset of the XML nodes of the original XML document described by \( \text{current ipe} \) while the XSLT processor executes the successful element stylesheet path.

The completed input path expression (\( \text{completed ipe} \)) contains all such input path expressions, which are selected within the stylesheet path before the current node, but which will not be used further in the computation of a current ipe.

Figure 2 shows the computation of the current input path expressions and the completed input path expressions of the example of Figure 1 and a given query \( XP_{\text{Transf}} = /\text{product list/product[@label="cockpit"]}/@* \). The node identifiers (1) to (8) in Figure 2 refer to the node identifiers of the XSLT stylesheet in Figure 1.

The completed ipe is always initialized with the empty set. For the example within Figure 2, the current ipe is initialized with /. In general, the XSLT processor starts executing the successful element stylesheet path with the node set described by the match attribute \( M \) of the first template \(<\text{xsl:template match}=M>\) within the successful element stylesheet path. The template can match nodes of the node set \( \text{rp}(M) \) occurring in

<table>
<thead>
<tr>
<th>Current Node</th>
<th>Computation of current ipe and completed ipe</th>
<th>Example Nodes</th>
<th>Nodes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-input nodes without attached paths</td>
<td>$\text{current ipe}<em>\text{new} = \text{current ipe}</em>\text{old}$</td>
<td>(2), (3), (7)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{completed ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Input node</td>
<td>$\text{current ipe}_\text{new} = \text{if}(\text{rp}(I) \text{ is empty}) \text{ap}(I)$</td>
<td>(4), (8), (9)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{else current ipe}_\text{old} / \text{rp}(I)</td>
<td>\text{ap}(I)$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{if}(\text{ap}(I) \text{ is empty}) \text{completed ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{else completed ipe}_\text{old}</td>
<td>\text{current ipe}_\text{old}$</td>
<td></td>
</tr>
<tr>
<td>Attached attribute stylesheet path</td>
<td>$\text{current ipe}<em>\text{new} = \text{current ipe}</em>\text{old}$</td>
<td>(6)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{completed ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{current ipe}<em>\text{old} = \text{current ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{old} = \text{current ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{current ipe}</em>\text{path}</td>
<td>\text{completed ipe}_\text{path}$</td>
<td>(6)</td>
</tr>
<tr>
<td>Attached filter stylesheet path according to a</td>
<td>$\text{current ipe}_\text{new} = \text{empty}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{completed ipe}</em>\text{old}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{current ipe}<em>\text{old} = \text{current ipe}</em>\text{old}[\text{current ipe}_\text{path}=\text{const}]$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{old} = \text{completed ipe}</em>\text{path}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attached loop stylesheet paths 1..n</td>
<td>$\text{current ipe}_\text{new} = \text{empty}$</td>
<td>(5)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}_\text{new} = \text{empty}$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{current ipe}<em>\text{old} = (\text{current ipe}</em>\text{old})$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{ap}(\text{current ipe}_\text{path})</td>
<td>...</td>
<td>\text{ap}(\text{current ipe}_\text{path})$</td>
</tr>
<tr>
<td></td>
<td>$\text{rp}(\text{current ipe}_\text{path})</td>
<td>...</td>
<td>\text{rp}(\text{current ipe}_\text{path})$</td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{new} = \text{if}(\text{rp}(\text{completed ipe}</em>\text{path}) = \text{-})$</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{else completed ipe}_\text{old}</td>
<td>\text{current ipe}_\text{new}$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{old} = \text{completed ipe}</em>\text{old}</td>
<td>\text{rp}(\text{completed ipe}_\text{path})$</td>
<td></td>
</tr>
<tr>
<td></td>
<td>$\text{completed ipe}<em>\text{old} = \text{completed ipe}</em>\text{old}</td>
<td>\text{ap}(\text{completed ipe}_\text{path})$</td>
<td></td>
</tr>
</tbody>
</table>

Figure 3: Computing steps of current ipe and completed ipe
arbitrary depth of the XML document because of built-in templates. Therefore, we initialize current ipe with $\text{ap}(M) // \text{rp}(M)$.

Figure 3 lists the different computing steps for current ipe and completed ipe (column 2). These steps depend on the type of the current node or the type of paths attached to the current node (column 1).

Furthermore, Figure 3 contains the identifiers of example nodes (column 3) for each computing step applied to these example nodes in Figure 2.

In order to compute current ipe and completed ipe for each node along the successful element stylesheet path and its attached paths (as e.g. for the nodes (2) to (8) in Figure 2), we mainly iterate through the successful element stylesheet path. Then depending on the current node we:

- compute new path expressions of the current ipe ($\text{current ipe}_{\text{new}}$) and the completed ipe ($\text{completed ipe}_{\text{new}}$). The result is based on the local input path expression of the current node (1) and the old input path expressions of the current ipe ($\text{current ipe}_{\text{old}}$) and the completed ipe ($\text{completed ipe}_{\text{old}}$).

- recursively compute and combine current ipes and completed ipes of attached attribute stylesheet paths, filter stylesheet paths, and loop stylesheet paths. For this purpose, at first we initialize current ipe (current ipe$_{\text{init}}$) and completed ipe (completed ipe$_{\text{init}}$), then recursively compute along the attached path as before and get the current ipe (current ipe$_{\text{path}}$) and completed ipe (completed ipe$_{\text{path}}$) after the last node of the attached path. At last we compute current ipe$_{\text{new}}$ and completed ipe$_{\text{new}}$ of the node with the attached path.

The complete input path expression which is used as query $X_{\text{orig}}$ on the input XML document is the union of all the completed ipes and the current ipes of the last node of each of the $n$ successful element stylesheet paths (1..n),

$$X_{\text{orig}} = \text{completed ipe}_1 | \text{current ipe}_1 | \ldots | \text{completed ipe}_n | \text{current ipe}_n.$$ 

If there is no entry in the set of successful element stylesheet paths, i.e. $n=0$, $X_{\text{orig}}$ remains empty.

In the example of Figure 2, we get $X_{\text{orig}} = /\text{object}(/\text{contains}/\text{object})*$

[@name="cockpit"] | /\text{object}(/\text{contains}/\text{object})*[@name="cockpit"]" /name

### 3 PERFORMANCE ANALYSIS

Within this section, we show the results of the experiments with our prototype in comparison to the standard approach, which transforms the entire XML document in order to answer a query.

#### 3.1 Experimental Environment

The test system for all runtime measurements is an Intel Pentium 4 processor 2.66 Ghz with 512 Megabyte DDR-RAM, Windows XP as operating system and Java VM build version 1.4.2. We use Xerces2 Java parser 2.5.0 release as XML parser and the Xalan-Java version 2.5.1 as XSLT processor.

```xml
<xsl:stylesheet>
  <xsl:template match="/root">
    <xsl:element name="root">
      <xsl:apply-templates select="object"/>
    </xsl:element>
  </xsl:template>
  <xsl:template match="object">
    <xsl:element name="product">
      <xsl:attribute name="id">
        <xsl:value-of select="/id"/>
      </xsl:attribute>
      <xsl:attribute name="sel1Percent">
        <xsl:value-of select="/sel1Percent"/>
      </xsl:attribute>
      <xsl:attribute name="sel25Percent">
        <xsl:value-of select="/sel25Percent"/>
      </xsl:attribute>
      <xsl:attribute name="sel50Percent">
        <xsl:value-of select="/sel50Percent"/>
      </xsl:attribute>
      <xsl:attribute name="sel75Percent">
        <xsl:value-of select="/sel75Percent"/>
      </xsl:attribute>
      <xsl:attribute name="sel100Percent">
        <xsl:value-of select="/sel100Percent"/>
      </xsl:attribute>
    </xsl:element>
  </xsl:template>
</xsl:stylesheet>
```

Figure 4: Used XSLT stylesheet for the measurements
Figure 4 contains the XSLT stylesheet, which we used for all experiments.

We have generated test XML documents of different size according to the DTD in Figure 5. The id attribute of the object tag contains an unambiguous identifier for the purpose of querying for a single entry with \( \text{XPath} = /\text{root/product}[\text{@id} = "1"]/\text{@*}. \)

The selectivity of a query is defined to be the size of the query result divided by the size of the original document.

The \( \text{selXPercent} \) attributes occurring within the generated test XML documents are set to the value "1" with a probability of \( X \) percentage where \( X \) is in \{1, 25, 50, 75, 100\}. For the
measurements, we use the query \( \text{XP}_{\text{transf}} = /\text{root}/\text{product[@selXPercent="1"]}/*/\) for a query with a selectivity of \( X \) percentage.

Before the measurements start, all documents are loaded into main memory. The prototype uses the DOM-API for accessing the documents. The prototype generates the resultant XML fragment of \( \text{XP}_{\text{orig}}(D) \) by cloning the relevant nodes.

### 3.2 Analysis of Experimental Results

#### 3.2.1 Querying for single entries

Figure 6 shows how the runtime for querying for a single entry depends upon the size of the original document \( D \). As the resultant XML fragment always has a size of 100 bytes, the reduction of the original document grows from 98.7% for a document size of 7.5 Kilobytes to 99.9994% for a document size of 17 Megabytes. Within this experiment, our approach is 2 times faster compared to transforming the entire document at an original document size of 200 Kilobytes, 3 times faster at 500 Kilobytes and up to 40 times faster at 17 Megabytes. At 17 Megabytes, transforming the entire document requires 3 minutes and 20 seconds, whereas our approach requires 5 seconds.

Figure 7 zooms in a part of Figure 6, which shows, that our approach is faster with file sizes larger than 100 Kilobytes.

#### 3.2.2 Varying the selectivity whilst maintaining constant file size

Within Figure 8, the selectivity of the transformed query varies, but the file size 3.5 Megabytes of the original document is fixed. Figure 8 shows that given a document size of 3.5 Megabytes, our approach is faster for queries with a selectivity less than 30%. Similarly, Figure 9 shows that given a document size of 7 Megabytes our approach is faster for queries with a selectivity less than 53.3%.

Furthermore, Figure 8 and 9 show that the XPath transformation requires little time (<0.016 seconds). However, the time taken to retrieve the resultant XML fragment and its transformation increases with the selectivity and are the main processing costs.

Within the next section, we examine up to which limit of selectivity depending on the file size our approach is faster than the standard approach which transforms the entire XML document.

#### 3.2.3 When is our approach faster?

Figure 10 shows the biggest selectivity of transformed queries depending on the file size of the original query, where our approach is faster (solid line) than the standard approach. Furthermore, Figure 10 shows where our approach is two times faster (dashed line). Figure 10 demonstrates that our approach is scalable, i.e. our approach performs increasingly better the larger the XML documents are compared to the standard approach.

### 4 SUMMARY AND CONCLUSIONS

Whenever XML data \( D \) given in an XML format \( F_{\text{orig}} \) can be transformed by an XSLT stylesheet \( S \) into an XML format \( F_{\text{transf}} \), and a query expressed in terms of format \( F_{\text{transf}} \) has to be applied, our goals are as follows: to avoid replicas, to reduce the processing costs for document transformation by an XSLT processor and to reduce data shipping costs in distributed scenarios.

Within our approach, we transform a given query \( \text{XP}_{\text{transf}} \) by using a given XSLT stylesheet \( S \) into a query \( \text{XP}_{\text{orig}} \). \( \text{XP}_{\text{orig}} \) can be applied to the input XML document \( D \) in order to retrieve a smaller fragment \( \text{XP}_{\text{orig}}(D) \) which contains all the relevant data. \( \text{XP}_{\text{orig}}(D) \) can be transformed by the XSLT stylesheet into \( S(\text{XP}_{\text{orig}}(D)) \), from which the query \( \text{XP}_{\text{transf}} \) selects the relevant data.

We proved by experimental results that our approach to queries on transformed XML data has considerable advantages over transforming the entire XML document. Particularly this is the case when using queries with low selectivity and for queries on large XML documents. Furthermore, we showed
that our approach is scalable and becomes more efficient for larger XML documents.

Within a professional environment, the use of our approach can be switched on and off depending on the file size of the original XML document, and estimations of selectivity of the transformed query.

Summarizing all, our approach enables the seamless incorporation of XSL processing into database management systems in an efficient and scalable manner.

In order to keep this presentation simple, we have restricted our presentation to the given subset of XPath and a subset of XSLT. However, the approach is not limited to these subsets, and we consider it to be promising to extend it to a larger subset of XPath and XSLT.

ACKNOWLEDGEMENTS

This work is funded by the MEMPHIS project (IST-2000-25045).

REFERENCES

Groppe, S., and Böttcher, S., 2003b. XPath Query Transformation based on XSLT stylesheets, Fifth International Workshop on Web Information and Data Management (WIDM’03), New Orleans, Louisiana, USA.