

SAX & DOM

CPS 196.3
Introduction to Database Systems

Review

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- ❖ XML: tree (or graph)-structured data
- ❖ DTD: simple schema for XML
 - Well-formed XML: syntactically correct
 - Valid XML: well-formed and conforms to a DTD
- ❖ XPath: path expression language for XML
 - An XPath expression selects a list of nodes in an XML document
 - Used in other languages
- ❖ XQuery: SQL-like query language for XML
 - FLWR expression, quantified expression, sort-by expression, etc.
- ❖ XSLT: stylesheet language for XML, in XML
 - Transforms input XML by applying template rules recursively on the structure of input XML

SAX & DOM

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- ❖ Both are API's for XML processing
- ❖ SAX (Simple API for XML)
 - Started out as a Java API, but now exists for other languages too
- ❖ DOM (Document Object Model)
 - Language-neutral API with implementations in Java, C++, etc.
- ☞ JAXP (Java API for XML Processing)
 - Bundled with standard JDK
 - Includes SAX, DOM parsers and XSLT transformers

SAX processing model

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- ❖ Serial access
 - XML document is processed as a stream
 - Only one look at the data
 - Cannot go back to an early portion of the document
- ❖ Event-driven
 - A parser generates events as it goes through the document (e.g., start of the document, end of an element, etc.)
 - Application defines event handlers that get invoked when events are generated

SAX events

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Most frequently used events:

- ❖ startDocument
 - ❖ endDocument
 - ❖ startElement
 - ❖ endElement
 - ❖ characters
- ```
<?xml version="1.0" → startDocument
<bibliography → startElement
<book ISBN="ISBN-10" price="80.00" → startElement
 <title>Foundations of Databases</title>
 ↓ startElement
 ↓ characters
 ↓ endElement
</book> → endElement
</bibliography> → endElement
 ↓ endDocument
```
- Whenever the parser has processed a chunk of character data (without generating other kinds of events) Whitespace may come up as **characters** or **ignorableWhitespace**, depending on whether a DTD is present
  - Warning: The parser may generate multiple **characters** events for one piece of text

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## A simple SAX example

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- ❖ Print out text contents of title elements

```
import java.io.*;
import org.xml.sax.*;
import org.xml.sax.helpers.DefaultHandler;
import javax.xml.parsers.*;

public class SaxExample extends DefaultHandler {
 public static void main(String[] argv) throws Exception {
 String fileName = argv[0];
 // Create a SAX parser:
 SAXParserFactory factory = SAXParserFactory.newInstance();
 SAXParser saxParser = factory.newSAXParser();
 // Parse the document with this event handler:
 DefaultHandler handler = new SaxExample();
 saxParser.parse(new File(fileName), handler);
 return;
 }
}
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```

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## A simple SAX example (cont'd)

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```
private StringBuffer titleStringBuffer = null;
public void startElement(String uri, String localName,
 String qName, Attributes attributes) {
 if (qName.equals("title"))
 titleStringBuffer = new StringBuffer();
}
public void endElement(String uri, String localName,
 String qName) {
 if (qName.equals("title")) {
 System.out.println(titleStringBuffer.toString());
 titleStringBuffer = null;
 }
}
public void characters(char[] ch, int start, int length) {
 if (titleStringBuffer != null)
 titleStringBuffer.append(ch, start, length);
}
```

Warning: This code does not handle data with //title//title pattern

Only relevant when namespace is involved

Assuming no namespace

String qName

Attributes attributes

if (qName.equals("title"))

titleStringBuffer = new StringBuffer();

public void endElement(String uri, String localName,

String qName) {

if (qName.equals("title")) {

System.out.println(titleStringBuffer.toString());

titleStringBuffer = null;

}

public void characters(char[] ch, int start, int length) {

if (titleStringBuffer != null)

titleStringBuffer.append(ch, start, length);

}

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## A common mistake

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What is wrong with the following?

```
private String titleString = null;
public void endElement(String uri, String localName,
 String qName) {
 // Print the last chunk of characters seen before </title>:
 if (qName.equals("title"))
 System.out.println(titleString);
}
public void characters(char[] ch, int start, int length) {
 titleString = new String(ch, start, length);
}
```

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## A more complex SAX example

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- ❖ Print out the text contents of top-level section titles in books, i.e., //book/section/title
  - Old code would print out all titles, e.g., //book/title, //book//section/title
  - For simplicity, assume that if we have the pattern //book/section/title//book/section/title, we only print the higher-level title element
- ❖ Idea: maintain as state the path from the root

```
private ArrayList path = new ArrayList();
private int pathLengthWhenOutputIsActivated;
```

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## A more complex SAX example (cont'd)<sup>10</sup>

```
public void startElement(String uri, String localName,
 String qName,
 Attributes attributes) {
 path.add(qName); // Maintain the path.
 if (path.size() >= 3 &&
 ((String)(path.get(path.size()-1))).equals("title") &&
 ((String)(path.get(path.size()-2))).equals("section") &&
 ((String)(path.get(path.size()-3))).equals("book")) {
 // path matches //book/section/title:
 if (titleStringBuffer == null) {
 pathLengthWhenOutputIsActivated = path.size();
 titleStringBuffer = new StringBuffer();
 }
 }
}
```

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## A more complex SAX example (cont'd)<sup>11</sup>

```
public void endElement(String uri, String localName,
 String qName) {
 if (titleStringBuffer != null &&
 path.size() == pathLengthWhenOutputIsActivated) {
 // Closing the element that activated output buffering:
 System.out.println(titleStringBuffer.toString());
 titleStringBuffer = null;
 }
 path.remove(path.size()-1); // Maintain the path.
}
public void characters(char[] ch, int start, int length) {
 if (titleStringBuffer != null)
 titleStringBuffer.append(ch, start, length);
}
```

This check prevents premature output  
in case that title has subelements

Would it work if we change this check to `qName.equals("title")`?

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## DOM processing model<sup>12</sup>

- ❖ XML is parsed by a parser and converted into an in-memory DOM tree
- ❖ DOM API allows an application to
  - Construct a DOM tree from an XML document
  - Traverse and read a DOM tree
  - Construct a new, empty DOM tree from scratch
  - Modify an existing DOM tree
  - Copy subtrees from one DOM tree to another
- etc.

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## Constructing DOM from XML

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```
import java.io.*;
import javax.xml.parsers.*;
import org.xml.sax.*;
import org.w3c.dom.*;
import javax.xml.transform.*;
import javax.xml.transform.dom.*;
import javax.xml.transform.stream.*;

public class DomExample {
 public static void main(String[] argv) throws Exception {
 // Parse input XML into a DOM Document:
 DocumentBuilderFactory factory=DocumentBuilderFactory.newInstance();
 DocumentBuilder builder=factory.newDocumentBuilder();
 Document document=builder.parse(new File(argv[0]));
 // Use the default (identity) Transformer to print the DOM Document:
 TransformerFactory tFactory=TransformerFactory.newInstance();
 Transformer transformer=tFactory.newTransformer();
 transformer.transform(new DOMSource(newDocument()),
 new StreamResult(System.out));
 }
}
```

In general, you can use an XSLT Transformer instead

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## Traversing DOM

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### ❖ Compute the string value of an XML node

```
public static String convertNodeToString(Node n) {
 // String value of a Text Node is just its content:
 if (n.getNodeType() == Node.TEXT_NODE)
 return n.getNodeValue();
 // String value of a Node of another type is the concatenation
 // of its children's string values:
 String text = "";
 NodeList children = n.getChildNodes();
 for (int i=0; i<children.getLength(); i++) {
 Node child = children.item(i);
 text = text + convertNodeToString(child);
 }
 return text;
}
```

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## Traversing DOM (cont'd)

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### ❖ Print out text contents of title elements

```
public static void outputTitle(Node n) {
 if (n.getNodeType() == Node.ELEMENT_NODE &&
 n.getNodeName().equals("title")) {
 // This is a title Element; output it:
 System.out.println(convertNodeToString(n));
 } else {
 // Recurse down the tree and look for titles to output:
 NodeList children = n.getChildNodes();
 for (int i=0; i<children.getLength(); i++) {
 Node child = children.item(i);
 outputTitle(child);
 }
 }
}
```

### ❖ How would you print out just //book/section/title?

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## Constructing DOM from scratch

❖ Construct a DOM Document showing all titles as follows:

```
<result>
 <title text="title1"/>
 <title text="title2"/>...
</result>
```

```
public static Document newDocWithTitles(Document inputDoc)
throws Exception {
 // Create a new Document:
 DocumentBuilderFactory factory=DocumentBuilderFactory.newInstance();
 DocumentBuilder builder=factory.newDocumentBuilder();
 Document newDoc=builder.newDocument();
 // Create the root Element:
 Element newElement=newDoc.createElement("result");
 newDoc.appendChild(newElement);
 // Add titles:
 addTitlesToNewDoc(newDoc, inputDoc);
 return newDoc;
}
```

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## Constructing DOM from scratch (cont'd)

```
public static void addTitlesToNewDoc(Document newDoc, Node n)
throws Exception {
 if (n.getNodeType() == Node.ELEMENT_NODE &&
 n.getNodeName().equals("title")) { You can only create an Element
 // This is a title Element; add it: within a Document
 Element newElement = newDoc.createElement("title");
 newElement.setAttribute("text", convertNodeToString(n));
 newDoc.getDocumentElement().appendChild(newElement);
 } else {
 // Recurse down the tree and look for titles to add:
 NodeList children = n.getChildNodes();
 for (int i=0; i<children.getLength(); i++) {
 Node child = children.item(i);
 addTitlesToNewDoc(newDoc, child);
 }
 }
}
```

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## Copying subtrees in DOM

❖ Construct a DOM Document showing all title elements from the input XML

```
public static Document newDocWithTitles2(Document inputDoc)
throws Exception {
 ...
 // Add titles:
 addTitlesToNewDoc2(newDoc, inputDoc);
 ...
}

public static void addTitlesToNewDoc2(Document newDoc, Node n)
throws Exception {
 if (n.getNodeType() == Node.ELEMENT_NODE &&
 n.getNodeName().equals("title")) {
 Node newNode = newDoc.importNode(n, true);
 newDoc.getDocumentElement().appendChild(newNode);
 } else {
 ...
 A Document can import (copy) a Node from another element
 }
 The second argument specifies whether to copy recursively or not
}
```

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## Summary: SAX versus DOM

### ❖ SAX

- Because of one-pass processing, a SAX parser is fast, consumes very little memory, and scales to very large XML documents
- Applications are responsible for keeping necessary state in memory, and are therefore more difficult to code

### ❖ DOM

- Because the input XML needs to be converted to an in-memory DOM-tree representation, a DOM parser consumes more memory, and does not scale as well as a SAX parser
- Applications are easier to develop because of the powerful DOM interface

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