# XML, DTD, and XPath

CPS 116

Introduction to Database Systems



## Announcements (October 17)

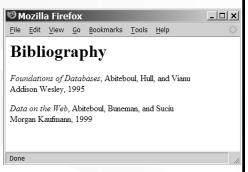
- Project milestone #1 feedback will be ready by Thursday
- Homework #3 will be assigned Thursday



## From HTML to XML (eXtensible Markup Language)

- HTML describes presentation of content

```
<h1>Bibliography</h1>
<p><i>Foundations of Databases</i>
Abiteboul, Hull, and Vianu
<br>Addison Wesley, 1995
<p>…
```




- XML describes only the content

```
<bibliography>
  <book>
    <title>Foundations of Databases</title>
    <author>Abiteboul</author>
    <author>Hull</author>
    <author>Vianu</author>
    <publisher>Addison Wesley</publisher>
    <year>1995</year>
  </book>
  <book>…</book>
</bibliography>
```

- Separation of content from presentation simplifies content extraction and allows the same content to be presented easily in different looks



## Other nice features of XML

- Portability: Just like HTML, you can ship XML data across platforms
  - Relational data requires heavy-weight protocols, e.g., JDBC
- Flexibility: You can represent any information (structured, semi-structured, documents, …)
  - Relational data is best suited for structured data
- Extensibility: Since data describes itself, you can change the schema easily
  - Relational schema is rigid and difficult to change



## XML terminology

```
<bibliography>
  <book ISBN="ISBN-10" price="80.00">
    <title>Foundations of Databases</title>
    <is_textbook/>
    <author>Abiteboul</author>
    <author>Hull</author>
    <author>Vianu</author>
    <publisher>Addison Wesley</publisher>
    <year>1995</year>
  </book>…
</bibliography>
```

- Tag names: `book`, `title`, …
- Start tags: `<book>`, `<title>`, …
- End tags: `</book>`, `</title>`, …
- An element is enclosed by a pair of start and end tags: `<book>…</book>`
  - Elements can be nested: `<book>…<title>…</title>…</book>`
  - Empty elements: `<is_textbook></is_textbook>`
    - Can be abbreviated: `<is_textbook/>`
- Elements can also have attributes: `<book ISBN="…" price="80.00">`



## Well-formed XML documents

A well-formed XML document

- Follows XML lexical conventions
  - Wrong: `<section>We show that x < 0…</section>`
  - Right: `<section>We show that x &lt; 0…</section>`
    - Other special entities: > becomes `&gt;` and & becomes `&amp;`
- Contains a single root element
- Has tags that are properly matched and elements that are properly nested
  - Right: `<section>…<subsection>…</subsection>…</section>`
  - Wrong: `<section>…<subsection>…</section>…</subsection>`

# More XML features



- Comments: `<!-- Comments here -->`
- CDATA: `<![CDATA[Tags: <book>,…]]>`
- ID's and references

```
<person id="o12"><name>Homer</name>…</person>
<person id="o34"><name>Marge</name>…</person>
<person id="o56" father="o12" mother="o34"><name>Bart</name>…</person>…
```

- Namespaces allow external schemas and qualified names

```
<book xmlns:myCitationStyle="http://…/mySchema">
  <myCitationStyle:title>…</myCitationStyle:title>
  <myCitationStyle:author>…</myCitationStyle:author>…
</book>
```

- Processing instructions for apps: `<?` *…java applet…* `?>`
- And more…

# Valid XML documents



- A valid XML document conforms to a Document Type Definition (DTD)
  - A DTD is optional
- A DTD specifies
  - A grammar for the document
  - Constraints on structures and values of elements, attributes, etc.
- Example

```
<!DOCTYPE bibliography [
      <!ELEMENT bibliography (book+)>
      <!ELEMENT book (title, author*, publisher?, year?, section*)>
      <!ATTLIST book ISBN CDATA #REQUIRED>
      <!ATTLIST book price CDATA #IMPLIED>
      <!ELEMENT title (#PCDATA)>
      <!ELEMENT author (#PCDATA)>
      <!ELEMENT publisher (#PCDATA)>
      <!ELEMENT year (#PCDATA)>
      <!ELEMENT section (title, (#PCDATA)?, section*)>
]>
```

# DTD explained



```
<!DOCTYPE bibliography [
```
→ `bibliography` is the root element of the document

```
  <!ELEMENT bibliography (book+)>
```
→ `bibliography` consists of a sequence of one or more `book` elements (One or more)

```
  <!ELEMENT book (title, author*, publisher?, year?, section*)>
```
→ `book` consists of a `title`, zero or more `author`s, an optional `publisher`, and zero or more `section`s, in sequence (Zero or more; Zero or one)

```
  <!ATTLIST book ISBN ID #REQUIRED>
```
→ `book` has a required `ISBN` attribute which is a unique identifier

```
  <!ATTLIST book price CDATA #IMPLIED>
```
→ `book` has an optional (`#IMPLIED`) `price` attribute which contains character data

Other attribute types include `IDREF` (reference to an `ID`), `IDREFS` (space-separated list of references), enumerated list, etc.

```
<bibliography>
  <book ISBN="ISBN-10" price="80.00">
    <title>Foundations of Databases</title>
    <author>Abiteboul</author>
    <author>Hull</author>
    <author>Vianu</author>
    <publisher>Addison Wesley</publisher>
    <year>1995</year>
  </book>…
</bibliography>
```

# DTD explained (cont'd)



```
<!ELEMENT title (#PCDATA)>
<!ELEMENT author (#PCDATA)>
<!ELEMENT publisher (#PCDATA)>
<!ELEMENT year (#PCDATA)>
```
→ `title`, `author`, `publisher`, and `year` all contain parsed character data (`#PCDATA`)

`PCDATA` is text that will be parsed (`<…>` will be treated as a markup tag and `&lt;` etc. will be treated as entities); `CDATA` is unparsed character data

```
<!ELEMENT section (title, (#PCDATA)?, section*)>
```
→ Each `section` starts with a `title`, followed by some optional text and then zero or more subsections

```
]>
```

```
<section><title>Introduction</title>
  In this section we introduce XML and DTD…
  <section><title>XML</title>
    XML stands for…
  </section>
  <section><title>DTD</title>
    <section><title>Definition</title>
      DTD stands for…
    </section>
    <section><title>Usage</title>
      You can use DTD to…
    </section>
  </section>
</section>
```

# "Deterministic" content declaration



- Catch: the following declaration does not work:
  - `<!ELEMENT pub-venue ( (name, address, month, year) | (name, volume, number, year) )>`
  - Because when looking at `name`, the XML processor would not know which way to go without looking further ahead
- Requirement: content declaration must be "deterministic" (i.e., no look-ahead required)
- Can we rewrite the above declaration into an equivalent, but deterministic one?

# Using DTD



- DTD can be included in the XML source file

```
<?xml version="1.0"?>
<!DOCTYPE bibliography [
  … …
]>
<bibliography>
… …
</bibliography>
```

- DTD can be external

```
<?xml version="1.0"?>
<!DOCTYPE bibliography SYSTEM "../dtds/bib.dtd">
<bibliography>
… …
</bibliography>
```

```
<?xml version="1.0"?>
<!DOCTYPE html PUBLIC "-//W3C//DTD XHTML 1.0 Strict//EN"
                      "http://www.w3.org/TR/xhtml1/DTD/xhtml1-strict.dtd">
<html>
… …
</html>
```

## Why use DTD's?



- Benefits of not using DTD
  - Unstructured data is easy to represent
  - Overhead of DTD validation is avoided
- Benefits of using DTD
  - DTD can serve as a schema for the XML data
    - Guards against errors
    - Helps with processing
  - DTD facilitates information exchange
    - People can agree to use a common DTD to exchange data (e.g., XHTML)

## XML versus relational data



Relational data

- Schema is always fixed in advance and difficult to change
- Simple, flat table structures
- Ordering of rows and columns is unimportant
- Data exchange is problematic
- "Native" support in all serious commercial DBMS

XML data

- Well-formed XML does not require predefined, fixed schema
- Nested structure; `ID`/`IDREF(S)` permit arbitrary graphs
- Ordering forced by document format; may or may not be important
- Designed for easy exchange
- Often implemented as an "add-on" on top of relations

## Query languages for XML



- XPath
  - Path expressions with conditions
  - ☞Building block of other standards (XQuery, XSLT, XLink, XPointer, etc.)
- XQuery
  - XPath + full-fledged SQL-like query language
- XSLT
  - XPath + transformation templates

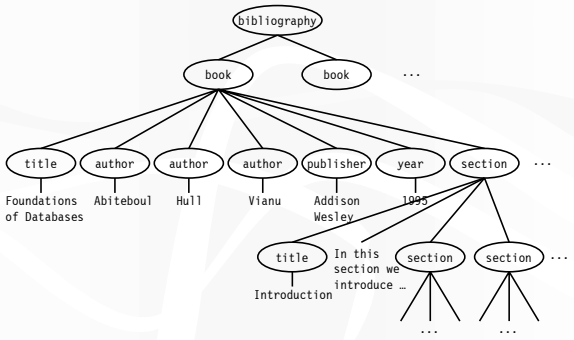
## Example DTD and XML



```
<?xml version="1.0"?>
<!DOCTYPE bibliography [
  <!ELEMENT bibliography (book+)>
  <!ELEMENT book (title, author*, publisher?, year?, section*)>
  <!ATTLIST book ISBN CDATA #REQUIRED>
  <!ATTLIST book price CDATA #IMPLIED>
  <!ELEMENT title (#PCDATA)>
  <!ELEMENT author (#PCDATA)>
  <!ELEMENT publisher (#PCDATA)>
  <!ELEMENT year (#PCDATA)>
  <!ELEMENT section (title, (#PCDATA)?, section*)>
]>
<bibliography>
  <book ISBN="ISBN-10" price="80.00">
    <title>Foundations of Databases</title>
    <author>Abiteboul</author>
    <author>Hull</author>
    <author>Vianu</author>
    <publisher>Addison Wesley</publisher>
    <year>1995</year>
    <section>…</section>…
  </book>
  …
</bibliography>
```

## A tree representation






## XPath



- XPath specifies path expressions that match XML data by navigating down (and occasionally up and across) the tree
- Example
  - Query: `/bibliography/book/author`
    - Like a UNIX path
  - Result: all author elements reachable from root via the path `/bibliography/book/author`

## Basic XPath constructs



/ separator between steps in a path

*name* matches any child element with this tag name

* matches any child element

@*name* matches the attribute with this name

@* matches any attribute

// matches any descendent element or the current element itself

. matches the current element

.. matches the parent element

## Simple XPath examples



- All book titles
  `/bibliography/book/title`
- All book ISBN numbers
  `/bibliography/book/@ISBN`
- All title elements, anywhere in the document
  `//title`
- All section titles, anywhere in the document
  `//section/title`
- Authors of bibliographical entries (suppose there are articles, reports, etc. in addition to books)
  `/bibliography/*/author`

## Predicates in path expressions



[*condition*] matches the current element if *condition* evaluates to true on the current element

- Books with price lower than $50
  `/bibliography/book[@price<50]`
  - XPath will automatically convert the price string to a numeric value for comparison
- Books with author "Abiteboul"
  `/bibliography/book[author='Abiteboul']`
- Books with a publisher child element
  `/bibliography/book[publisher]`
- Prices of books authored by "Abiteboul"
  `/bibliography/book[author='Abiteboul']/@price`

## More complex predicates



Predicates can have `and`'s and `or`'s

- Books with price between $40 and $50
  `/bibliography/book[40<=@price and @price<=50]`
- Books authored by "Abiteboul" or those with price lower than $50

```
/bibliography/book[author="Abiteboul" or
  @price<50]
```

## Predicates involving node-sets



`/bibliography/book[author='Abiteboul']`

- There may be multiple authors, so `author` in general returns a node-set (in XPath terminology)
- The predicate evaluates to true as long as it evaluates true for at least one node in the node-set, i.e., at least one author is "Abiteboul"
- Tricky query

```
/bibliography/book[author='Abiteboul' and
  author!='Abiteboul']
```

  - Will it return any books?

## XPath operators and functions



Frequently used in conditions:

$x$ + $y$, $x$ − $y$, $x$ * $y$, $x$ `div` $y$, $x$ `mod` $y$

`contains(`$x$`,` $y$`)` true if string $x$ contains string $y$

`count(`*node-set*`)` counts the number nodes in *node-set*

`position()` returns the "context position" (roughly, the position of the current node in the node-set containing it)

`last()` returns the "context size" (roughly, the size of the node-set containing the current node)

`name()` returns the tag name of the current element

## More XPath examples



- All elements whose tag names contain "section" (e.g., "subsection")
  `//*[contains(name(), 'section')]`
- Title of the first section in each book
  `/bibliography/book/section[position()=1]/title`
  - A shorthand: `/bibliography/book/section[1]/title`
- Title of the last section in each book
  `/bibliography/book/section[position()=last()]/title`
- Books with fewer than 10 sections
  `/bibliography/book[count(section)<10]`
- All elements whose parent's tag name is not "book"
  `//*[name()!='book']/*`

## A tricky example



- Suppose that `price` is a child element of `book`, and there may be multiple prices per book
- Books with some price in range [20, 50]
  - How about:
    ```
    /bibliography/book
    [price >= 20 and price <= 50]
    ```
  - Correct answer:
    ```
    /bibliography/book
    [price[. >= 20 and . <= 50]]
    ```

## De-referencing IDREF's



`id(`*identifier*`)` returns the element with *identifier*

- Suppose that books can reference other books

```
<section><title>Introduction</title>
  XML is a hot topic these days; see <bookref
ISBN="ISBN-10"/> for more details…
</section>
```

- Find all references to books written by "Abiteboul" in the book with "ISBN-10"

```
/bibliography/book[@ISBN='ISBN-10']
  //bookref[id(@ISBN)/author='Abiteboul']
```

Or simply:

```
id("ISBN-10")//bookref[id(@ISBN)/author="Abiteboul"]
```

## General XPath location steps



- Technically, each XPath query consists of a series of location steps separated by `/`
- Each location step consists of
  - An axis: one of `self`, `attribute`, `parent`, `child`, `ancestor`, `ancestor-or-self`, `descendent`, `descendent-or-self`, `following`, `following-sibling`, `preceding`, `preceding-sibling`, and `namespace`
  - A node-test: either a name test (e.g., `book`, `section`, `*`) or a type test (e.g., `text()`, `node()`, `comment()`), separated from the axis by `::`
  - Zero of more predicates (or conditions) enclosed in square brackets

## Example of verbose syntax



Verbose (axis, node test, predicate):

```
/child::bibliography
  /child::book[attribute::ISBN='ISBN-10']
  /descendent-or-self::node()
  /child::title
```

Abbreviated:

```
/bibliography/book[@ISBN='ISBN-10']//title
```

- `child` is the default axis
- `//` stands for `/descendent-or-self::node()/`

## One more example



- Which of the following queries correctly find the third `author` in the entire input document?
  - `//author[position()=3]`
    - Finds all third authors (for each publication)
  - ```
    /descendant-or-self::node()
      [name()=author and position()=3]
    ```
    - Returns the third element in the document if it is an `author`
  - ```
    /descendant-or-self::node()
      [name()=author]
      [position()=3]
    ```
    - Correct
    - After the first condition is passed, the evaluation context changes:
      - Context size: # of nodes that passed the first condition
      - Context position: position of the context node within the list nodes

# Some technical details on evaluation

Given a context node,
evaluate a location step as follows:

- Compute an initial node-set from the axis and the node-test
- A predicate in turn filters the input node-set to produce an output node-set
  - For each node *n* in the input node-set *N*, evaluate predicate with the following context:
    - Context node is *n*
    - Context size is the number of nodes in *N*
    - Context position is the position of n within *N*