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# Chapter 13 - XML



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# XML Origin and Usages

- Defined by the WWW Consortium (W3C)
- Originally intended as a document markup language, not a database language
  - Documents have tags giving extra information about sections of the document
  - For example:
    - <title> XML </title>
    - <slide> XML Origin and Usages </slide>
  - Meta-language: used to define arbitrary XML languages/vocabularies (e.g. XHTML)
- Derived from SGML (Standard Generalized Markup Language)
  - standard for document description
    - enables document interchange in publishing, office, engineering, ...
  - main idea: separate form from structure
- XML is simpler to use than SGML
  - roughly 20% complexity achieves 80% functionality



# XML Origin and Usages (cont.)

- XML documents are to some extent self-documenting
  - Tags can be used as metadata
  - Example

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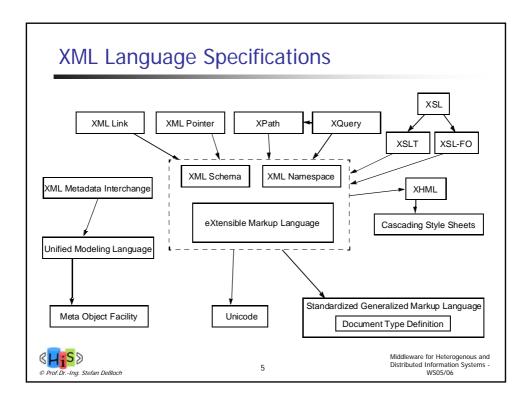


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## Forces Driving XML

- Document Processing
  - Goal: use document in various, evolving systems
  - structure content layout
  - grammar: markup vocabulary for mixed content
- Data Bases and Data Exchange
  - Goal: data independence
  - structured, typed data schema-driven integrity constraints
- Semi-structured Data and Information Integration
  - Goal: integrate autonomous data sources
  - data source schema not known in detail schemata are dynamic
  - schema might be revealed through analysis only after data processing





#### XML Documents

- XML documents are text (unicode)
  - markup (always starts with '<' or '&')</li>
    - start/end tags
    - references (e.g., &lt, &amp, ...)
    - declarations, comments, processing instructions, ...
  - data (character data)
    - characters '<' and '&' need to be indicated using references (e.g., &lt) or using the character code
    - alternative syntax: <![CDATA[ (a<b)&(c<d) ]]>
- XML documents are well-formed
  - logical structure
    - (optional) prolog (XML version, ...)
    - (optional) schema
    - root element (possibly nested)
    - comments, ..
  - correct sequence of start/end tags (nesting)
  - uniqueness of attribute names
  - **...**



#### XML Documents: Elements

- Element: section of data beginning with < tagname> and ending with matching </tagname>
- Elements must be properly nested
  - Formally: every start tag must have a unique matching end tag, that is in the context of the same parent element.
- Mixture of text with sub-elements is legal in XML
  - Example:

```
<account>
This account is seldom used any more.
<account-number> A-102</account-number>
<bra>
<br/>
<bra>
<br/>
<b
```

Useful for document markup, but discouraged for data representation

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#### XML Documents: Attributes

- Attributes: can be used to describe elements
- Attributes are specified by name=value pairs inside the starting tag
  of an element
- Example

Attribute names must be unique within the element

```
<account acct-type = "checking" monthly-fee="5">
```



#### XML Documents: IDs and IDREFs

- An element can have at most one attribute of type ID
- The ID attribute value of each element in an XML document must be distinct
  - → ID attribute (value) is an object identifier
- An attribute of type IDREF must contain the ID value of an element in the same document
- An attribute of type IDREFS contains a set of (0 or more) ID values. Each ID value must contain the ID value of an element in the same document
- IDs and IDREFs are untyped, unfortunately
  - Example below: The owners attribute of an account may contain a reference to another account, which is meaningless;
     owners attribute should ideally be constrained to refer to customer elements

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#### XML data with ID and IDREF attributes



#### XML Document Schema

- XML documents may optionally have a schema
  - standardized data exchange, ...
- Schema restricts the structures and data types allowed in a document
  - document is valid, if it follows the restrictions defined by the schema
- Two mechanisms for specifying XML schema
  - Document Type Definition (DTD)
    - · contained in the document, or
    - stored separately, referenced in the document
  - XML Schema



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# Describing XML Data: DTD

Type and structure of an XML document can be specified using a DTD

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- What elements can occur
- What attributes can/must an element have
- What subelements can/must occur inside each element, and how many times.
- DTD does not constrain data types
  - All values represented as strings in XML
- DTD syntax
  - <!ELEMENT element (subelements-specification) >
  - <!ATTLIST element (attributes) >



# **Element Specification in DTD**

- Subelements can be specified as
  - names of elements, or
  - #PCDATA (parsed character data), i.e., character strings
  - EMPTY (no subelements) or ANY (anything can be a subelement)
- Structure is defined using regular expressions
  - sequence (subel, subel, ...), alternative (subel | subel | ...)
  - number of occurences
    - "?" 0 or 1 occurrence
    - "+" 1 or more occurrences
    - "\*" 0 or more occurrences
- Example
  - <! ELEMENT depositor (customer-name account-number)>

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- <! ELEMENT customer-name(#PCDATA)>
- <! ELEMENT account-number (#PCDATA)>
- <!ELEMENT bank ( ( account | customer | depositor)+)>



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### Example: Bank DTD



## Describing XML Data: XML Schema

- XML Schema is closer to the general understanding of a (database) schema
- XML Schema supports
  - Typing of values
    - . E.g. integer, string, etc
  - Constraints on min/max values
  - Typed references
  - User defined types
  - Specified in XML syntax (unlike DTDs)
  - Integrated with namespaces
  - Many more features
    - List types, uniqueness and foreign key constraints, inheritance ..

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BUT: significantly more complicated than DTDs



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#### XML Schema Structures

Datatypes (Part 2)

Describes Types of scalar (leaf) values

Structures (Part 1)

Describes types of complex values (attributes, elements)

- Regular tree grammars repetition, optionality, choice recursion
- Integrity constraints

Functional (keys) & inclusion dependencies (foreign keys)

Subtyping (similar to 00 models)

Describes inheritance relationships between types

Supports schema reuse



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## XML Schema Structures (cont.)

```
    Elements : tag name & simple or complex type
```

```
<xs:element name="sponsor" type="xsd:string"/>
<xs:element name="action" type="Action"/>
```

Attributes : tag name & simple type

```
<xs:attribute name="date" type="xsd:date"/>
```

Complex types

```
<xs:complexType name="Action">
    <xs:sequence>
    <xs:elemref name = "action-date"/>
    <xs:elemref name = "action-desc"/>
    </xs:sequence>
</xs:complexType>
```

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## XML Schema Structures (cont.)

Sequence

```
<xs:sequence>
    <xs:element name="congress" type=xsd:string"/>
    <xs:element name="session" type=xsd:string"/>
</xs:sequence>
```

Choice

```
<xs:choice>
    <xs:element name="author" type="PersonName"/>
    <xs:element name="editor" type="PersonName"/>
    </xs:choice>
```

Repetition

```
<xs:sequence minOccurs="1" maxOccurs="unbounded">
<xs element name ="section" type="Section"/>
</xs:sequence>
```



## Namespaces

- A single XML document may contain elements and attributes defined for and used by multiple software modules
  - Motivated by modularization considerations, for example
- Name collisions have to be avoided
- Example:
  - A Book XSD contains a Title element for the title of a book
  - A Person XSD contains a Title element for an honorary title of a person

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- A BookOrder XSD reference both XSDs
- Namespaces specifies how to construct universally unique names



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## XML Schema Version of Bank DTD

```
<xsd:schema xmlns:xsd="http://www.w3.org/2001/XMLSchema"
               targetNamespace="http://www.banks.org" xmlns = "http://www.banks.org" >
<xsd:element name="bank" type="BankType"/>
< xsd:element name="account">
      <\!xsd\!:\!complexType\!>

                                                                           type="xsd:string"/>
                                                                            type="xsd:decimal"/>
            </xsd:sequence>
      </xsd:complexType>
                                          ..... definitions of customer and depositor ....
</xsd:element>
< xsd:complexType name="BankType">
      <xsd:choice minOccurs="1" maxOccurs="unbounded">
               <xsd:element ref="account"/>
               < xsd: element ref="customer"/>
               <xsd:element ref="depositor"/>
      </xsd:choice>
</xsd:complexType>
</xsd:schema>
```



### XML Document Using Bank Schema

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# **Application Programming with XML**

- Application needs to work with XML data/document
  - Parsing XML to extract relevant information
  - Produce XML
    - Write character data
    - Build internal XML document representation and Serialize it
  - Simple API for XML (SAX)
    - "Push" parsing (event-based parsing)
    - Parser sends notifications to application about the type of document pieces it encounters
    - Notifications are sent in "reading order" as they appear in the document
    - Preferred for large documents (high memory efficiency)
  - Document Object Model (DOM)
    - "One-step" parsing
    - Generates in-memory representation of the document (parse tree)
    - DOM specifies the types of parse tree objects, their properties and operations
       Independent of programming language (uses IDL)
    - Bindings available to specific programming languages (e.g., Java)



### **Processing XML Data**

- Querying XML data
- Translation of information from one XML schema to another
- Standard XML querying/translation languages
  - XPath
    - Simple language consisting of path expressions
  - XSLT
    - Simple language designed for translation from XML to XML and XML to HTML

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- XQuery
  - An XML query language with a rich set of features
  - XQuery builds on experience with existing query languages:
     XPath, Quilt, XQL, XML-QL, Lorel, YATL, SQL, OQL, ...

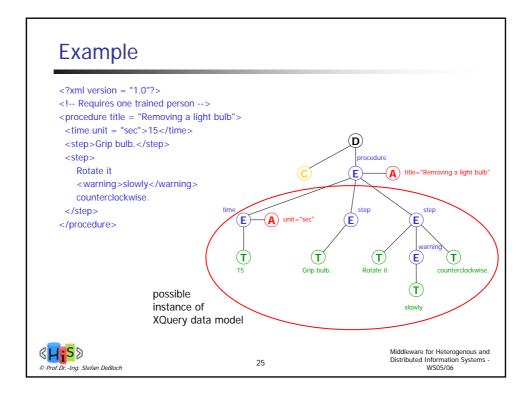


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#### XML Data Model

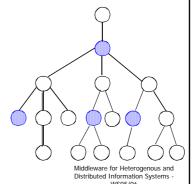
- There is no uniform XML data model
  - different approaches with different goals
    - XML Information Set, DOM Structure Model, XPath 1.0 data model, XQuery data model
- Common denominator: an XML document is modeled as a tree, with nodes of different node types
  - Document, Element, Attribute, Text, Namespace, Comment, Processing Instruction
- XQuery data model builds on a tree-based model, but extends it to support
  - sequences of items
    - nodes of different types (see above) as well as atomic values
    - can contain heterogeneous values, are ordered, can be empty
  - typed values and type annotations
    - result of schema validation
    - type may be unknown
- Closure property
  - XQuery expressions operate on/produce instances of the XQuery Data Model





## Processing XML Data: XPath

- XPath is used to address (select) parts of documents using path expressions
- XPath data model refers to a document as a tree of nodes
- An Xpath expression maps a node (the context node) into a set of nodes
- A path expression consists of one or more steps separated by "/"
- Result of path expression: set of values that along with their containing elements/attributes match the specified path
  - E.g.: /bank-2/customer/customer-name evaluated on the bank-2 data returns
    - <customer-name> Joe </ customer-name>
    - < customer- name> Mary </ customer-name>
  - E.g.:/bank-2/customer/cust-name/text() returns the same names, but without the enclosing tags





### XPath (cont.)

- The initial "/" denotes root of the document (above the top-level tag)
- In general, a step has three parts:
  - The axis (direction of movement: child, descendant, parent, ancestor, following, preceding, attribute, ... - 13 axes in all - )
  - A node test (type and/or name of qualifying nodes)
  - Some predicates (refine the set of qualifying nodes)
- Path expressions are evaluated left to right
  - Each step operates on the set of instances produced by the previous step
- Selection predicates may follow any step in a path, in []
  - E.g. /bank-2/account[balance > 400]
    - returns account elements with a balance value greater than 400
    - /bank-2/account[balance] returns account elements containing a balance subelement

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- Attributes are accessed using "@"
  - E.g. /bank-2/account[balance > 400]/@account-number
    - returns the account numbers of those accounts with balance > 400
  - IDREF attributes are not dereferenced automatically (more on this later)



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## XPath (cont.)

- The following examples use XPath abbreviated notation:
  - Find the first item of every list that is under the context node .//list/item[1]
  - Find the "lang" attribute of the parent of the context node ../@lang
  - Find the last paragraph-child of the context node para[last()]
  - Find all warning elements that are inside instruction elements

//instruction//warning

- Find all elements that have an ID attribute //\*[@ID]
- Find names of customers who have an order with today's date

//customer [order/date = today ( ) ] / name

XPath expressions use a notation similar to paths in a file system:

means "child" or "root"

means "descendant"

means "self"

means "parent"

means "any"

means "attribute"

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# XPath (cont.): Summary

- Strengths:
  - Compact and powerful syntax for navigating a tree, but not as powerfull as a regular-expression language
  - Recognized and accepted in XML community
  - Used in XML-related applications such as XPointer
- Limitations:
  - Operates on one document (no joins)
  - No grouping or aggregation
  - No facility for generating new output structures



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# Transforming XML Data: XSLT

- A stylesheet stores formatting options for a document, usually separately from document
  - E.g. HTML style sheet may specify font colors and sizes for headings, etc.

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- The XML Stylesheet Language (XSL) was originally designed for generating HTML from XML
- XSLT is a general-purpose transformation language
  - Can translate XML to XML, and XML to HTML
- XSLT transformations are expressed using rules called templates
  - Templates combine selection using XPath with construction of results



## **Understanding A Template**

Most templates have the following form:

```
<xsl:template match="emphasis">
<i><xsl:apply-templates/></i>
</xsl:template>
```

- The whole <xsl:template> element is a template
- The match pattern determines where this template applies
  - Xpath pattern
- Literal result element(s) come from non-XSL namespace(s)
- XSLT elements come from the XSL namespace



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### **XQuery**

- XQuery is a general purpose query language for XML data
- Currently being standardized by the World Wide Web Consortium (W3C)

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- XQuery is derived from
  - the Quilt ("Quilt" refers both to the origin of the language and to its use in "knitting" together heterogeneous data sources) query language, which itself borrows from
  - XPath: a concise language for navigating in trees
  - XML-QL: a powerful language for generating new structures
  - SQL: a database language based on a series of keyword-clauses: SELECT FROM
     WHERE
  - OQL: a functional language in which many kinds of expressions can be nested with full generality



### **XQuery – Main Constituents**

- Path expressions
  - Inherited from XPath 1.0
  - An XPath expression maps a node (the context node) into a set of nodes
- Element constructors
  - To construct an element with a known name and content, use XML-like syntax:

```
<book isbn = "12345">
<title>Huckleberry Finn</title>
</book>
```

If the content of an element or attribute must be computed, use a nested expression enclosed in { }

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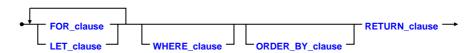
```
<book isbn = "{$x}">
{$b/title }
</book>
```

FLWOR - Expressions



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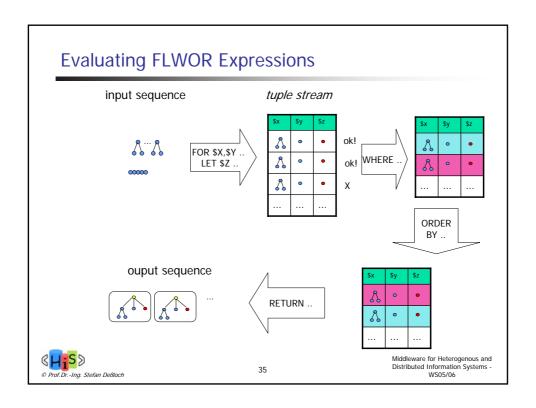
### XQuery: The General Syntax Expression FLWOR



- FOR clause, LET clause generate list of tuples of bound variables (order preserving) by
  - iterating over a set of nodes (possibly specified by an XPath expression), or
  - binding a variable to the result of an expression
- WHERE clause applies a predicate to filter the tuples produced by FOR/LET
- ORDER BY clause imposes order on the surviving tuples
- RETURN clause is executed for each surviving tuple, generates ordered list of outputs
- Associations to SQL query expressions

```
for ⇔ SQL from
where ⇔ SQL where
order by ⇔ SQL order by
return ⇔ SQL select
let allows temporary variables, and has no equivalent in SQL
```





# FLWOR - Examples

- Simple FLWR expression in XQuery
  - Find all accounts with balance > 400, with each result enclosed in an <account-number> .. </account-number> tag

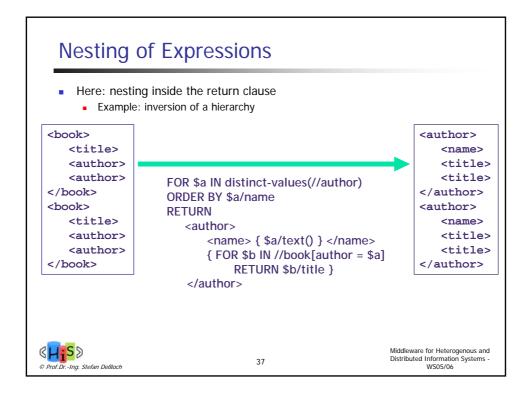
```
for $x in /bank-2/account
```

where \$x/balance > 400

return <account-number> {\$acctno} </account-number>

- Let and Where clause not really needed in this query, and selection can be done in XPath.
  - Query can be written as:





# XQuery: Joins

Joins are specified in a manner very similar to SQL

```
for $a in /bank/account,
        $c in /bank/customer,
        $d in /bank/depositor
where $a/account-number = $d/account-number
        and $c/customer-name = $d/customer-name
return <cust-acct>{ $c $a }</cust-acct>
```

The same query can be expressed with the selections specified as XPath selections:



# **XQuery - Status**

- Current status: w3c candidate recommendation
  - fairly close to becoming a w3c recommendation
- Ongoing and Future Work
  - Full-text support
  - Insert, Update, Delete
  - View definitions, DDL
  - Host language bindings, APIs
    - JSR 225: XQuery API for JavaTM (XQJ)
    - problem to overcome: traditional XML processing API is based on well-formed documents



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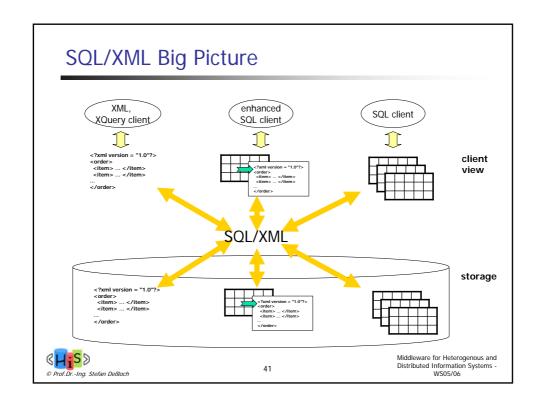
#### SQL and XML

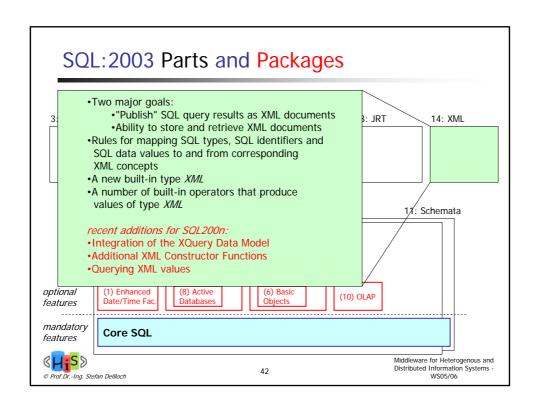
- Use existing (object-)relational technology?
  - Large Objects: granularity understood by DBMS may be too coarse!

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- search/retrieval of subsets, update of documents
- Decompose into tables: often complex, inefficient
  - mapping complexity, especially for highly "denormalized" documents
- Useful, but not sufficient
  - should be standardized as part of SQL
  - but needs further enhancement to support "native" XML support in SQL
- Enable "hybrid" XML/relational data management
  - supports both relational and XML data
    - storage, access
    - query language
    - programming interfaces
  - ability to view/access relational as XML, and XML as relational
  - all major relational DBMS vendors are moving into this direction







# XML Data Type

- New SQL type "XML"
  - for storing XML data "natively" in the database
  - for capturing the data type of results and input values of SQL/XML functions that work with XML data
  - can have optimized internal representation (different from character string)
- "Shape" of an XML value
  - not just a well-formed XML document
  - but also the content of an XML element
    - element, sequence of elements, text, mixed content, ...
  - based on Infoset model in SQL:2003, full support of XQuery data model in SQL:200n

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# XML Publishing Functions - Example

==>

dept_list	dept_count
<pre><department name="Accounting">     <emp>Yates</emp>     <emp>Smith</emp> </department></pre>	2
<pre><department name="Shipping">    <emp>Oppenheimer</emp>    <emp>Martin</emp> </department></pre>	2



# Manipulating XML Data

- Constructor functions
  - focus on publishing SQL data as XML
  - no further manipulation of XML
- More requirements
  - how do we select or extract portions of XML data (e.g., from stored XML)?
  - how can we decompose XML into relational data?
    - XMLCAST is not sufficient
  - both require a language to identify, extract and possibly combine parts of XML values

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SQL/XML utilizes the XQuery standard for this!



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#### **XMLQUERY**

- Evaluates an XQuery or XPath expression
  - Provided as a character string literal
- Allows for optional arguments to be passed in
  - Zero or more named arguments
  - At most one unnamed argument can be passed in as the XQuery context item
  - Arguments can be of any predefined SQL data type incl. XML
- Non-XML arguments will be implicitly converted using XMLCAST
- Returns a sequence of XQuery nodes



### XMLQUERY - Example

SELECT XMLQUERY('for \$e in \$dept[@count > 3]/emp where \$e/hire > 2004-12-31 return \$e/name'

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PASSING BY REF deptDoc AS "dept"
RETURNING SEQUENCE) AS "Name\_elements"
FROM XMLDept

=>

#### Name\_elements

<name>Miller</name>

<name>Smith</name>
<name>Johnson</name>
<name>Martin</name>



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#### **XMLTABLE**

- Transforming XML data into table format
- Evaluates an XQuery or XPath expression the "row pattern"
  - each item of result sequence is turned into a row
  - allows for optional arguments to be passed in, just like XMLQuery
- Element/attribute values are mapped to column values using path expressions (PATH) – the "column pattern"
- Names and SQL data types for extracted values/columns need to be specified
- Default values for "missing" columns can be provided
- ORDINALITY column can be generated
  - contains a sequential number of the corresponding XQuery item in the XQuery sequence (result of the row pattern)



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## XMLTABLE - Example

SELECT X.\*

FROM XMLDept d,

XMLTABLE ('\$dept/emp' PASSING d.deptDoc AS "dept"

COLUMNS

"#num" FOR ORDINALITY,

"name" VARCHAR(30) PATH 'name',
"hire" DATE PATH 'hire',
"dept" VARCHAR(40) PATH '../@name'
) AS "X"

=>

#num	name	hire	dept
1	Smith	2005-01-01	Accounting
2	Yates	2002-02-01	Accounting
3	Martin	2000-05-01	Shipping

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# XML Advantages for Integration

- Integrates data and meta-data (tags)
  - Self-describing
- XMLSchema, Namespaces
  - Defining valid document structure
  - Integrating heterogenous terminology and structures
- XML can be validated against schema (xsd, dtd) outside the application
- Many technologies exist for processing, transforming, querying XML documents
  - DOM, SAX, XSLT, XPath, XQuery
- XML processing can help handle schema heterogenity, schema evolution
  - Focus on known element tags, attributes, namespaces ...
  - Powerful filter and transformation capabilities
- XML is independent of platforms, middleware, databases, applications ...



# XML and Data Management

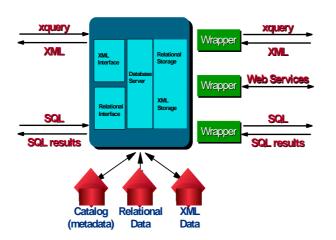
- Increasing importance of XML in combination with data management
  - flexible exchange of relational data using XML
  - managing XML data and documents
  - trend towards "hybrid" approaches for relational DBMS
- SQL/XML standard attempts to support the following
  - "Publish" SQL query results as XML documents
  - Ability to store and retrieve (parts of) XML documents with SQL databases
  - Rules and functionality for mapping SQL constructs to and from corresponding XML concepts
- Relies partly on XQuery standard
  - XML data model
  - queries over XML data
- Broad support by major SQL DBMS vendors
- Additional standards to further extend and complete the "big picture"!
  - XQJ: XML queries in Java
  - Grid Data Access Services (GGF): web/grid services to access DBs using SQL, XQuery

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## XML Support for DBMS: Direction





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