

XPath and XQuery

Introduction to Databases

CompSci 316 Spring 2019



DUKE
COMPUTER SCIENCE

Announcements (Tue. Mar. 5)

- **Homework #3** (2 probs) to be released today. Due in two weeks
- **Project milestone #1 feedback** : See private posts on Piazza
 - We will ask for weekly update from all group members to avoid any last min “X did not do anything” .. to be emailed soon
 - Project milestone 2 is due in 3 weeks

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: mostly used as a stylesheet language
 - XPath + transformation templates
 - We are not going to cover it in this course

Example DTD and XML

```
<?xml version="1.0"?>
```

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

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 file system path, except there can be multiple “subdirectories” with the same name
 - Result: all author elements reachable from root via the path `/bibliography/book/author`

Try the queries in this lecture online

- There are many online Xpath testers -- e.g. <http://codebeautify.org/Xpath-Tester>
- Try with this example (or change it for different queries)

<bibliography>

```
<book ISBN="ISBN-10">
<title>Foundations of Databases</title>
<author>Abiteboul</author>
<author>Hull</author>
<author>Vianu</author>
<publisher>Addison Wesley</publisher>
<year>1995</year>
<section>abc</section>
<price>25</price>
<price>75</price>
</book>
```

```
<book ISBN="ISBN-11">
<title>DBSTS</title>
<author>Ramakrishnan</author>
<author>Gehrke</author>
<publisher>Addison Wesley</publisher>
<year>1999</year>
<section>abc</section>
<price>15</price>
<price>10</price>
</book>
```

</bibliography>

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`

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


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

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

Predicates in path expressions – contd.

- 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

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

More complex predicates

Predicates can use **and**, **or**, and **not**

- Books with price between \$40 and \$50

/bibliography/book[40<=@price and @price<=50]

- Books authored by “Abiteboul” or those with price no lower than \$50

/bibliography/book[author='Abiteboul' or @price>=50]

/bibliography/book[author='Abiteboul' or not(@price<50)]

- Any difference between these two queries?

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

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?

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

XPath operators and functions

Frequently used in conditions:

$x + y$, $x - y$, $x * y$, $x \text{ div } y$, $x \text{ mod } y$

`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`

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

More XPath examples – contd.

- Books with fewer than 10 sections

`/bibliography/book[count(section)<10]`

- All elements whose parent's tag name is not “book”

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

A tricky example

- Suppose for a moment that price is a child element of book, and there may be multiple prices per book
- Books with some price in range [20, 50]
 - Wrong answer:
`/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,[†] descendant, descendant-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 or more **predicates** (or conditions) enclosed in square brackets

[†]These **reverse axes** produce result node-sets in reverse document order; others (**forward axes**) produce node-sets in document order

Example of verbose syntax

Verbose (**axis**, **node test**, **predicate**):

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

Abbreviated:

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

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

Some technical details on evaluation

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

1. Start with node-set $N = \{\text{context node}\}$
2. For each location step, from left to right:
 - $U \leftarrow \emptyset$
 - For each node n in N :
 - Using n as the context node, compute a node-set N' from the axis and the node-test
 - Each predicate in turn filters N' , in order
 - For each node n' in 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'
 - $U \leftarrow U \cup N'$
 - $N \leftarrow U$
3. Return N

One more example

- Which of the following queries correctly find the third author in the entire input document?
 - `//author[position()=3]`
 - Same as `/descendant-or-self::node()/author[position()=3]`
 - Finds all third authors (for each publication)
 - `/descendant-or-self::node()
[name()='author' and position()=3]`
 - Returns the third element or text node 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 of nodes

XQuery

- XPath + full-fledged SQL-like query language
- XQuery expressions can be
 - XPath expressions
 - FLWOR expressions
 - Quantified expressions
 - Aggregation, sorting, and more...
- An XQuery expression in general can return a new result XML document
 - Compare with an XPath expression, which always returns a sequence of nodes from the input document or atomic values (boolean, number, string, etc.)

A simple XQuery based on XPath

Find all books with price lower than \$50

```
<result>{  
  doc("bib.xml")/bibliography/book[@price<50]  
}</result>
```

- Things outside `{}`'s are copied to output verbatim
- Things inside `{}`'s are evaluated and replaced by the results
 - `doc("bib.xml")` specifies the document to query
 - Can be omitted if there is a default context document
 - The XPath expression returns a sequence of book elements
 - These elements (including all their descendants) are copied to output

FLWR expressions

- Retrieve the titles of books published before 2000, together with their publisher

```
<result>{
  for $b in doc("bib.xml")/bibliography/book
  let $p := $b/publisher
  where $b/year < 2000
  return
    <book>
      { $b/title }
      { $p }
    </book>
}</result>
```

- **for:** loop
 - \$b ranges over the result sequence, getting one item at a time
- **let:** “assignment”
 - \$p gets the entire result of \$b/publisher (possibly many nodes)
- **where:** filtering by condition
- **return:** result structuring
 - Invoked in the “innermost loop,” i.e., once for each successful binding of all query variables that satisfies where

An equivalent formulation

- Retrieve the titles of books published before 2000, together with their publisher

```
<result>{  
  for $b in doc("bib.xml")/bibliography/book[year<2000]  
  return  
    <book>  
      { $b/title }  
      { $b/publisher }  
    </book>  
}</result>
```

Another formulation

- Retrieve the titles of books published before 2000, together with their publisher

```

<result>{
  for $b in doc("bib.xml")/bibliography/book,
    $p in $b/publisher
  where $b/year < 2000
  return
    <book>
      { $b/title }
      { $p }
    </book>
}</result>

```

} Nested loop

- Is this query equivalent to the previous two?
- Yes, if there is one publisher per book
- No, in general
 - Two result book elements will be created for a book with two publishers
 - No result book element will be created for a book with no publishers

Yet another formulation

- Retrieve the titles of books published before 2000, together with their publisher

```
<result>{  
  let $b := doc("bib.xml")/bibliography/book  
  where $b/year < 2000  
  return  
    <book>  
      { $b/title }  
      { $b/publisher }  
    </book>  
}</result>
```

- Is this query correct?
- No!
- It will produce only one output book element, with all titles clumped together and all publishers clumped together
- All books will be processed (as long as one is published before 2000)

Subqueries in return

- Extract book titles and their authors; make title an attribute and rename author to writer

```
<bibliography>{
  for $b in doc("bib.xml")/bibliography/book
  return
    <book title="{normalize-space($b/title)}">{
      for $a in $b/author
      return <writer>{string($a)}</writer>
    }</book>
}</bibliography>
```

What happens if we replace it with \$a?

- `normalize-space(string)` removes leading and trailing spaces from string, and replaces all internal sequences of white spaces with one white space

An explicit join

- Find pairs of books that have common author(s)

```
<result>{  
  for $b1 in doc("bib.xml")//book  
  for $b2 in doc("bib.xml")//book  
  where $b1/author = $b2/author  
    and $b1/title > $b2/title  
  return  
    <pair>  
      {$b1/title}  
      {$b2/title}  
    </pair>  
}</result>
```

← These are string comparisons,
not identity comparisons!

Existentially quantified expressions

(some \$var in collection satisfies condition)

- Can be used in where as a condition
- Find titles of books in which XML is mentioned in some section

```
<result>{  
  for $b in doc("bib.xml")//book  
  where (some $section in $b//section satisfies  
    contains(string($section), "XML"))  
  return $b/title  
}</result>
```

Universally quantified expressions

(every \$var in *collection* satisfies *condition*)

- Can be used in where as a condition
- Find titles of books in which XML is mentioned in every section

```
<result>{  
  for $b in doc("bib.xml")//book  
  where (every $section in $b//section satisfies  
         contains(string($section), "XML"))  
  return $b/title  
}</result>
```

Aggregation (poor man's version)

- List each publisher and the average prices of all its books

```
<result>{
  for $pub in distinct-values(doc("bib.xml")//publisher)
  let $price := avg(doc("bib.xml")//book[publisher=$pub]/@price)
  return
    <publisherpricing>
      <publisher>{$pub}</publisher>
      <avgprice>{$price}</avgprice>
    </publisherpricing>
}</result>
```

- `distinct-values(collection)` removes duplicates by value
 - If the collection consists of elements (with no explicitly declared types), they are first converted to strings representing their “normalized contents”
- `avg(collection)` computes the average of *collection* (assuming each item in *collection* can be converted to a numeric value)

Conditional expression

- List each publisher and, only if applicable, the average prices of all its books

```

<result>{
  for $pub in distinct-values(doc("bib.xml")//publisher)
  let $price := avg(doc("bib.xml")//book[publisher=$pub]/@price)
  return
    <publisherpricing>
      <publisher>{$pub}</publisher>
      { if ($price)
        then <avgprice>{$price}</avgprice>
        else () }
    </publisherpricing>
} </result>

```

Empty list \approx nothing

- Use anywhere you'd expect a value, e.g.:
 - let \$foo := if (...) then ... else ...
 - return <bar blah="{ if (...) then ... else ... }"/>

Aggregation (XQuery >1.0)

- A new **group by** clause

```
<result>{  
  for $book in doc("bib.xml")//book  
  let $pub := string($book/publisher)  
  group by $pub  
  return  
    <publisherpricing>  
      <publisher>{$pub}</publisher>  
      <avgprice>{avg($book/@price)}</avgprice>  
    </publisherpricing>  
}</result>
```

- After the group by clause, for each group, any non-grouping variable (e.g., **\$book**) becomes a sequence of values that this variable takes for all members of that group
- Not supported by our saxonb-xquery tool (which only supports XQuery 1.0)

Sorting (a brief history)

- A path expression in XPath returns a sequence of nodes according to **original document order**
- for loop will respect the ordering in the sequence
- August 2002 (<http://www.w3.org/TR/2002/WD-xquery-20020816/>)
 - Introduce an operator **sort by (sort-by-expression-list)** to output results in a user-specified order
 - Example: list all books with price higher than \$100, in order by first author; for books with the same first author, order by title

```
<result>{  
  doc("bib.xml")//book[@price>100]  
  sort by (author[1], title)  
}</result>
```

Tricky semantics

- List titles of all books, sorted by their ISBN

```
<result>{  
  (doc("bib.xml"))//book sort by (@ISBN)/title  
}</result>
```

WRONG!

- What is wrong?
 - The last step in the path expression will return nodes in document order!
- Correct versions

```
<result>{  
  for $b in doc("bib.xml")//book sort by (@ISBN)  
  return $b/title  
}</result>
```

```
<result>{  
  doc("bib.xml")//book/title sort by (../@ISBN)  
}</result>
```

Current version of sorting

Since June 2006

- **sort by** has been ditched
- A new **order by** clause is added to FLWR
 - Which now becomes FLWOR
- Example: list all books in order by price from high to low; for books with the same price, sort by first author and then title

```

<result>{
  for $b in doc("bib.xml")//book[@price>100]
    stable order by
      number($b/price) descending,
      $b/author[1],
      $b/title empty least
    return $b
}</result>

```

	_____	Preserve input order
	_____	Order as number, not string
	_____	Override default (ascending)
	_____	Empty value considered smallest

Summary

- Many, many more features not covered in class
- XPath is very mature, stable, and widely used
 - Has good implementations in many systems
 - Is used in many other standards
- XQuery is also fairly popular
 - Has become the SQL for XML
 - Has good implementations in some systems

XQuery vs. SQL

- Where did the join go?
- Is navigational query going to destroy physical data independence?
- Strong ordering constraint
 - Can be overridden by `unordered { for... }`
 - Why does that matter?