

EFFICIENT QUERYING OF TRANSFORMED XML DOCUMENTS

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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_{orig} and F_{transf} and a correspondence S between them, find a query XP_{orig} formulated in terms of schema F_{orig} that is equivalent to a given query XP_{transf} formulated in terms of schema F_{transf} modulo the correspondence S .

Query reformulation is used in database technology within different scenarios, for example within data integration, where schema F_{transf} is the *global schema* and schema F_{orig} is one of several *local schemas*, within schema evolution, where schema F_{orig} is the *old schema* and schema F_{transf} 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_{transf} . 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_{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_{orig} according to a given XPath query XP_{transf} 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 $XP_{\text{transf}}(S(XP_{\text{orig}}(D)))$ and $XP_{\text{transf}}(S(D))$, i.e. that $XP_{\text{transf}}(S(XP_{\text{orig}}(D)))$ returns the same result as $XP_{\text{transf}}(S(D))$ 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 $X_{P_{orig}}$ (see (Groppe & Böttcher, 2003a) and (Groppe & Böttcher, 2003b)).

Furthermore, we can use standard XSLT processors

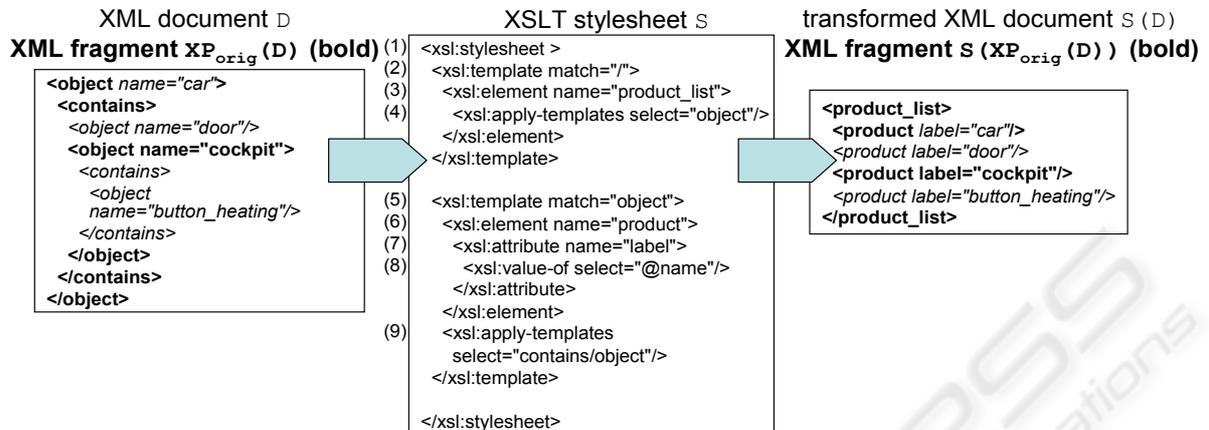


Figure 1: Example of the transformation by an XSLT stylesheet S

for transforming documents according to the XSLT stylesheet S and standard XPath evaluators for evaluating $X_{P_{transf}}$.

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

$$XP_{\text{transf}} = \text{/product_list/product} \\ \text{[@label=„cockpit“]}/@*$$

on the transformed XML document $S(D)$. It is sufficient to transform only a *resultant XML fragment* $XP_{\text{orig}}(D)$ (see bold face part of the left box of Figure 1) for answering XP_{transf} , where XP_{orig} is a query in XML format F_{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* $XP_{\text{orig}}(D)$ 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 XP_{orig} given in XML format F_{orig} .

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

$$XP_{\text{orig}} = \text{/object (/contains/object) *} \\ \text{[@name=„cockpit“]}$$

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 XP_{orig} , we search at first for paths within the XSLT stylesheet (see Section 2.2), which generate elements, attributes and attribute values in the correct order, i.e. as needed in order to answer the query XP_{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 XP_{orig} 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 XP_{transf} , such that they conform to the following rule for *AttributeQuery* given in the Extended Backus Naur Form (EBNF):

```
AttributeQuery ::= LocationPath
                "/@*" | ("/@" Name) .
LocationPath  ::= Step* .
Step          ::= ("/" | "/"//") Name
                Predicate* .
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 $rp(I) = (E2/E3|E4)/E5$, 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, $\langle(1),(2),(3),(4),(5),(6)\rangle$ 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 XP_{transf} , we define a *stylesheet path* as a list of entries of the form (N, XP_{transf}) where N is a node in the XSLT stylesheet and XP_{transf} is the suffix of XP_{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 XP_{transf} , *successful element stylesheet paths*. Each successful element stylesheet path can be attached by *attribute, filter 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

- $S2$ is a child node of $S1$ within the XSLT stylesheet, or
- $S1$ 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
- $S1$ is a node `<xsl:call-template name=N>` and $S2$ is a node `<xsl:template name=N>` with the same N , or
- $S1$ 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 $XP_{transf} = /product_list/product[@label="cockpit"]/@*$ 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 XP_{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_{orig} within XP_{orig} (see Section 2.3), which restricts the node set of the input XML document more precisely when we apply XP_{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 const. We abort the search at this node.

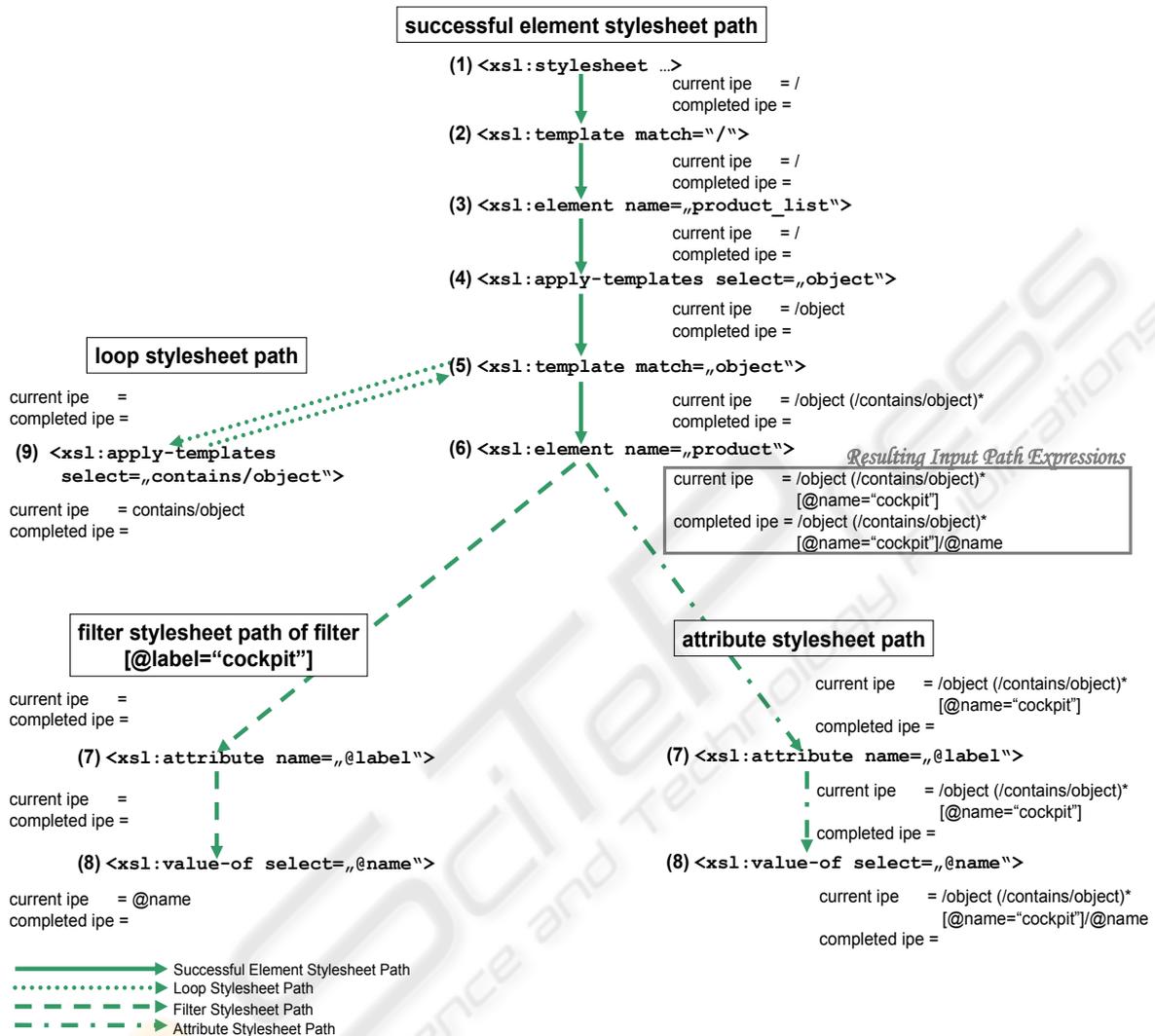


Figure 2: Computing Input Path Expressions of the running example

During the search it may occur, that we revisit a node N of the XSLT stylesheet without any progress in the processing of XPr_{transf} . 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 XPr_{transf} 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

arbitrary depth of the XML document because of built-in templates. Therefore, we initialize current ipe with $ap(M) \parallel rp(M)$.

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 (current ipe_{new}) and the completed ipe (completed ipe_{new}). The result is based on the local input path expression of the current node (I) and the old input path expressions of the current ipe (current ipe_{old}) and the completed ipe (completed ipe_{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_{init}) and completed ipe (completed ipe_{init}), then recursively compute along the attached path as before and get the current ipe (current ipe_{path}) and completed ipe (completed ipe_{path}) after the last node of the attached path. At last we compute current ipe_{new} and completed ipe_{new} of the node with the attached path.

The complete input path expression which is used as query XP_{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),

$$XP_{orig} = \begin{matrix} \text{completed } ipe_1 & | & \text{current } ipe_1 \\ | & \dots & | \\ \text{completed } ipe_n & | & \text{current } ipe_n. \end{matrix}$$

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

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

```
[@name="cockpit"] |
/object (/contains/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.

```
<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 S for the measurements

```
<!ELEMENT root object*>
<!ELEMENT object EMPTY>
<!ATTLIST object id          CDATA #REQUIRED
                sel1Percent   CDATA #REQUIRED
                sel25Percent  CDATA #REQUIRED
                sel50Percent   CDATA #REQUIRED
                sel75Percent   CDATA #REQUIRED
                sel100Percent  CDATA #REQUIRED
>
```

Figure 5: Used DTD F_{orig} for the measurements

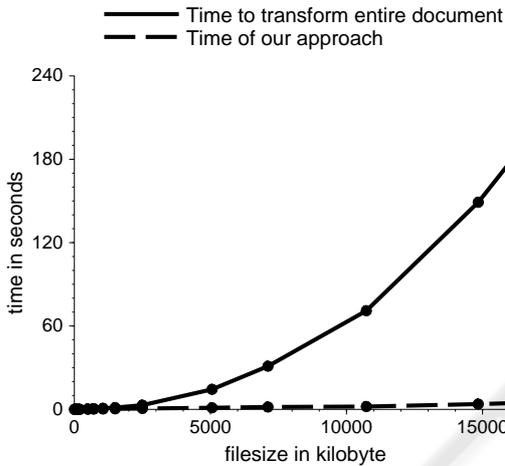


Figure 6: Querying for a single entry

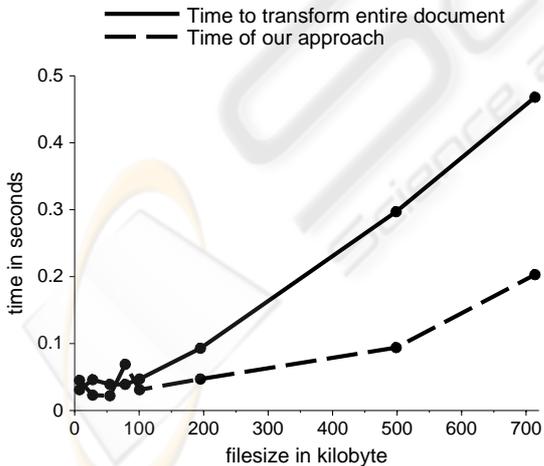


Figure 7: Zoom of Figure 6

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

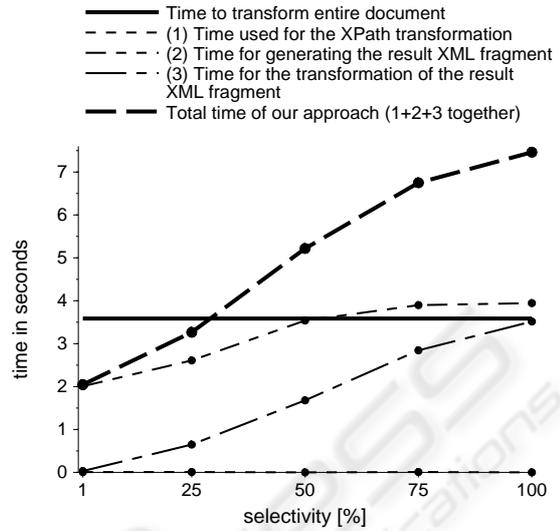


Figure 8: Experiment with constant file size of 3,5 Megabyte

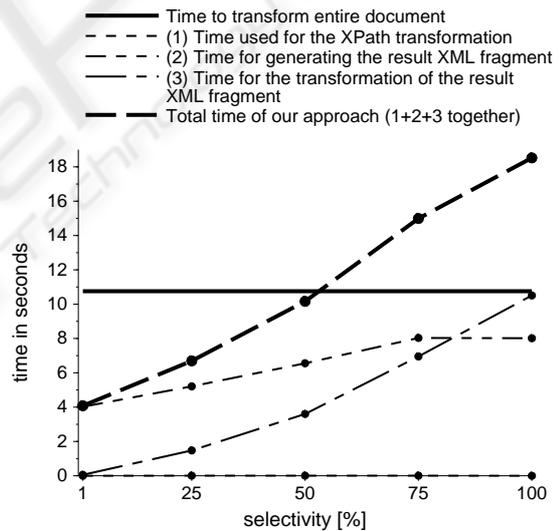


Figure 9: Experiment with constant file size of 7 Megabyte

id attribute of the object tag contains an unambiguous identifier for the purpose of querying for a single entry with $XP_{transf}=/root/product[@id="1"]/@*$.

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

The $selXPercent$ 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 $XP_{\text{transf}} = /root/product[@selXPercent="1"]/@*$ 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 $XP_{\text{orig}}(D)$ 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.

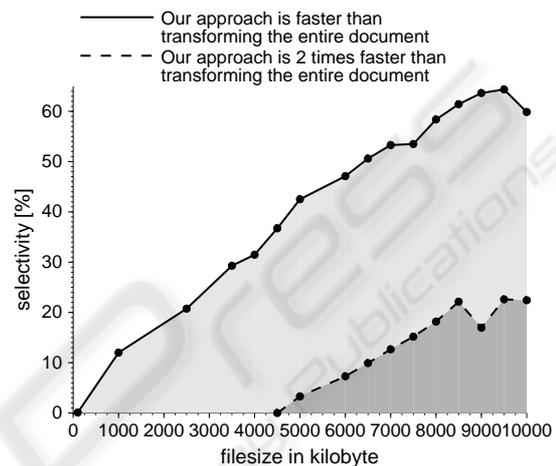


Figure 10: When is our approach faster?

4 SUMMARY AND CONCLUSIONS

Whenever XML data D given in an XML format F_{orig} can be transformed by an XSLT stylesheet S into an XML format F_{transf} , and a query expressed in terms of format F_{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 XP_{transf} by using a given XSLT stylesheet S into a query XP_{orig} . XP_{orig} can be applied to the input XML document D in order to retrieve a smaller fragment $XP_{\text{orig}}(D)$ which contains all the relevant data. $XP_{\text{orig}}(D)$ can be transformed by the XSLT stylesheet into $S(XP_{\text{orig}}(D))$, from which the query XP_{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.

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