

XML and Databases

Lecture 5
XML Validation using Automata

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Outline

1. Recap: deterministic Reg Expr's / Glushkov Automaton
2. Complexity of DTD validation
3. Beyond DTDs: XML Schema and RELAX NG
4. Static Methods, based on Tree Automata

Previous Lecture

XML type definition languages

want to specify a certain subset of XML doc's = a "type" of XML documents

Remember

The specification/type definition should be **simple**, so that

- a **validator** can be built automatically (and efficiently)
- the **validator** runs efficient on any XML input

(similar demands as for a **parser**)

→ Type def. language must be SIMPLE!

(similarly: parser generators use EBNF or smaller subclasses: LL / LR)

$O(n^3)$ parsing

XML Type Definition Languages

DTD (Document Type Definition, W3C)
Originated from SGML. Now part of XML

→ DTD may appear at the beginning of an XML document

XML Schema (W3C)
Now at version 1.1
HUGE language, many built-in simple types

→ Schemas themselves: written in XML

See the "Schema Primer" at <http://www.w3.org/TR/xml-schema-0/>

RELAX NG (Oasis)
For tree structure definition, more powerful than Schemas&DTDs

Reg Exprs
must be
deterministic
(=1-unambiguous)

same!!

"Unique
Particle Attribution"

XML Type Definition Languages

DTD (Document Type Definition)

<!DOCTYPE root-element [doctype declaration ...]>

<!ELEMENT element-name content-model >

content-models

- EMPTY
- ANY
- (#PCDATA | element-name_1 | ... | element-name_n)*
- deterministic Reg Expr over element names

<![ATTLIST element-name attr-name attr-type attr-default ...]>

Types: CDATA, (v1|...), ID, IDREFs
Defaults: #REQUIRED, #IMPLIED, "value", #FIXED

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DTD (Document Type Definition)

<!DOCTYPE root-element [doctype declaration ...]>

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content-models

- EMPTY
 - ANY
 - (#PCDATA | element-name_1 | ... | element-name_n)*
 - **deterministic Reg Expr**
- Most interesting /
challenging aspect
of DTDs

<![ATTLIST element-name attr-name attr-type attr-default ...]>

Types: CDATA, (v1|...), ID, IDREFs
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Summary

In order to check whether a (large) **document** is **valid** wrt to a given **DTD** ("it validates") you need to

→ check if children lists match the given **Reg Expr's**

This can be done *efficiently*, using **finite-automata (FAs)**!

To check if a **Reg Expr e** is **allowed in a DTD** we have to construct a particular finite automaton: the **Glushkov automaton**.

Glu(e) must be *deterministic*.

Note If **Glu(e)** is *deterministic*, then its size (# transitions) is *linear* in **size(e)**!

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Question Can you explain why this is the case?

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Question Can you explain why this is the case? **not correct: linear in size(e) * #letters(e)**

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More Notes

(1) From a *deterministic* FA you **cannot** necessarily obtain a deterministic (= 1-unambiguous) regular expression!!

Example: $e = (a|b)^* a (a|b)$ ← NO 1-unambiguous reg exp exists for **e**

To check if a **Reg Expr e** is **allowed in a DTD** we have to construct a particular finite automaton: the **Glushkov automaton**.

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Example: $e = (a|b)^* a (a|b)$ ← NO 1-unambiguous reg exp exists for **e**

(2) **Glu(e)** is closely related to → **Thomson(e)** [remove ε-transitions]
and to → **Berry/Sethi(e)** [same]
and → **Brzozowski(e)**

To check if a **Reg Expr e** is **allowed in a DTD** we have to construct a particular finite automaton: the **Glushkov automaton**.

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Question Can you explain why this is the case? **not correct: linear in size(e) * #letters(e)**

For more details:
See paper by Brüggemann-Klein.
Linked from the course web-page.

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Glushkov automaton Glu(e)

Each letter-position in the **Reg Expr e** becomes **one state** of **Glu**; plus, **Glu** has one extra begin state.

FIRST(e) = all possible begin positions of words matching **e**

e.g. $\text{FIRST}(R(E|G)(EX)^*) = \{ R_1 \}$

Glushkov's automaton

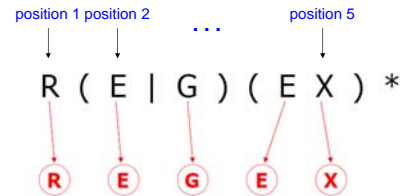
$R (E | G) (E X) ^ *$

Following slides from: <http://www.cs.ut.ee/~varmo/tday-rouge/tammeoja-slides.pdf>

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Glushkov's automaton

- Character in RE = **state** in automaton



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Glushkov's automaton

- Character in RE = **state** in automaton
+ one state for the beginning of the RE

$R (E | G) (E X) ^ *$



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Glushkov's automaton

- Character in RE = **state** in automaton
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- Transitions** show which characters/positions can precede each other

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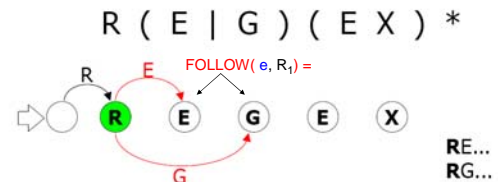
$FOLLOW(e, x) =$ all possible positions following position x in e

e.g. $FOLLOW(R(E|G)(EX)^*, R_1) = \{E_2, G_3\}$

→ From state " R_1 ": add E-transition to E_2
G-transition to G_3

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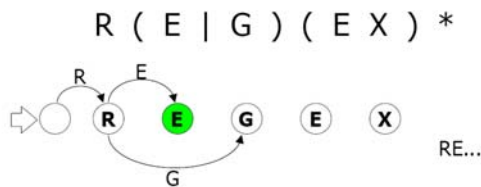
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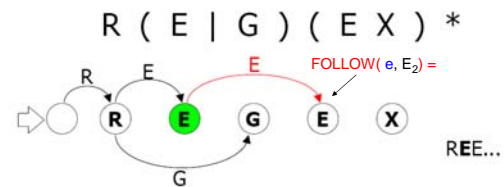
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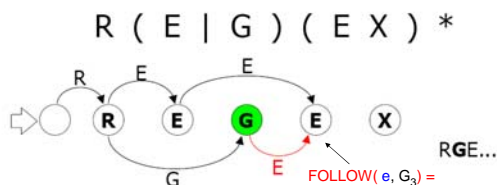
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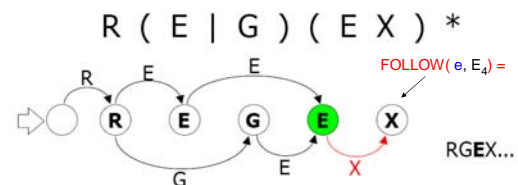
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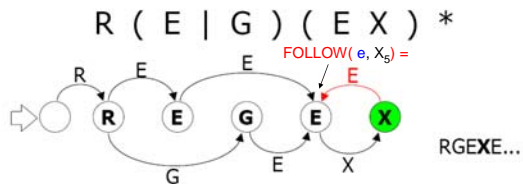
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Glushkov automaton $G(e)$

Each position in the Reg Expr e becomes one state of G ; plus, G has one extra begin state.

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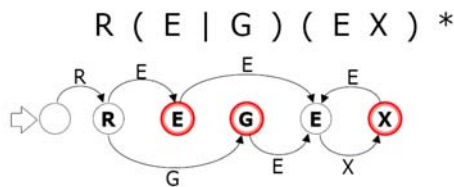
$\text{LAST}(e) =$ all possible end positions of words matching e

e.g. $\text{LAST}(R(E|G)(EX)^*) = \{E_2, G_3, X_5\}$

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Glushkov's automaton

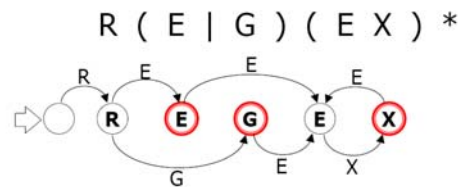
- Character in RE = **state** in automaton + one state for the beginning of the RE
- Transitions** show which characters/positions can precede each other



22

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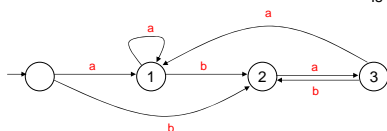
Is this automaton deterministic ??

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Glushkov automaton $G(e)$

Another example

$(a^* | ba)^*$



This FA is deterministic.

Which of these is deterministic?

- $(ab) | (ac)$
- $a(b | c)$
- $a(a | b)^*ac$

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e.g. $\text{FIRST}(R(E|G)(EX)^*) = \{R_1\}$

$\text{FOLLOW}(e, x) =$ all possible positions following position x in e

$\text{LAST}(e) =$ all possible end positions of words matching e

Naïve implementation: $O(n^3)$ time, where $n = \text{size}(e)$

(for each position: computing FOLLOW goes through every position at each step, needs to compute union → $O(n^3n)$)

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Not really needed. Can be improved to $O(n^2)$

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Can be improved to $O(\text{size}(e) + \text{size}(G(e)))$ \rightarrow Not really needed. Can be improved to $O(n^2)$

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Glushkov automaton $G(e)$

Note If $G(e)$ is *deterministic*, then its size (# transitions) is *quadratic* in $\text{size}(e)!$

Linear in $\text{size}(e) * \#\text{letters}(e)$, if $G(e)$ is deterministic!

$\rightarrow O(\text{size}(e) * \#\text{letters}(e))$

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To avoid these expensive running times

DTD requires that $FA=G(e)$ must be *deterministic!*

$n = \text{length}(w)$
 $m = \text{size}(e)$

Total Running time $O(n + m)$

If $s = \#\text{letters}(e)$ is assumed fixed (not part of the input)
 Otherwise: $O(n + ms)$

How can you **implement** a regular expression? Algorithm

Input: Reg Expr e , string w
 Question: Does w match e ?

deterministic FA: run on w takes time linear in $\text{length}(w)$

Unrestricted Reg Expr $e \rightarrow$

FA = BuildFA(e);
 DFA = BuildDFA(FA);

Size of FA is linear in $\text{size}(e)=m$
 Size of DFA is exponential in m

Total Running time $O(n + 2^m m)$
 \rightarrow Other alternative: $O(nm)$

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Summary

Deterministic (1-unambiguous) content models give rise to *efficient matching algorithms*.

(they avoid $O(nm)$ or $O(n+2^m m)$ complexities)

Disadvantages

\rightarrow Hard to know whether given reg expr is OK (deterministic)

\rightarrow Det. reg exprs are NOT closed under union. (not so nice..)

Question Can you see why?

Hint: find det. reg. exprs. e_1 and e_2 such that their union is equal to $(a|b)^* a (a|b)$

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Now that we know how to check all the different **content-models** (in particular det. Reg Expr's) how to build full validator for a DTD?

elem-name_1 \rightarrow RegExpr_1
 elem-name_2 \rightarrow RegExpr_2
 ...
 elem-name_k \rightarrow RegExpr_k

} Automata A_1, A_2, \dots, A_k

The Validation Problem
 Given a DTD T and a document D , is D valid wrt T ?

Top-Down Implementation
 \rightarrow at element node w , label elem-name_i, run automaton A_i

\rightarrow check attribute constraints
 \rightarrow check ID/IDREF constraints

(Given A_1, A_2, \dots, A_k)

Total Running time linear in the sum of sizes of the DTD and the document. $O(\text{size}(T) + \text{size}(D))$

DTDs have the

"label-guarded subtree exchange" property:

t1, t2 trees in a DTD language T
v1 node in t1, labeled "lab"
v2 node in t2, labeled "lab"

aka "local"
→ content model only depends on label of parent

trees obtained by exchanging the subtrees rooted at v1 and v2 are also in T

Beyond DTDs

Often, the expressive power of DTDs is *not sufficient*.
Problem each element name has precisely one content-model in a DTD. Would like to distinguish, depending on the context (parent).

car has different structure, in different contexts.

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Specialized DTDs

dealer → used, new
used → (car_{used})*
new → (car_{new})*
car_{used} → model, year
car_{new} → model

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New notation. Use *capitalized TYPE Names*

Dealer → dealer [Used, New]
Used → used [(Car_{used})*]
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Car_{used} → car [Model, Year]
Car_{new} → car [Model]

New notation. Use *capitalized TYPE Names*

Dealer → dealer [Used, New]
Used → used [(Car_{used})*]
New → new [(Car_{new})*]
Car_{used} → car [Model, Year] **Not local**
Car_{new} → car [Model]

Let us call this new concept a **"grammar"**. the *"local"* restriction

A **grammar G** is **local**, if
for any label[RegExpr₁], label[RegExpr₂] present in G
it holds that RegExpr₁ = RegExpr₂.

By definition: Every DTD is a **local grammar**, and vice versa.

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A grammar *G* is **single-type**, if
for any label[RegExpr₁], label[RegExpr₂] occurring in the same rule of *G*
it holds that RegExpr₁ = RegExpr₂.

WRONG the "single-type" restriction

New notation. Use *capitalized* TYPE Names

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```

Alternatively:

Call two TYPE Names *T1* and *T2* "competing" if they have the same element name (but not identical rules)

Classes of Grammars

local no competing TYPE names! (DTDs)

single-type TYPE names in the *same content model* do not compete! (XML Schema's)

regular no restriction... (RELAX NG)

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Question Are there single-type grammars (XML Schemas) which cannot be expressed by local grammars (DTDs).

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New notation. Use *capitalized* TYPE Names

```

Person → person [PersonName, Gender, Spouse?, Pet*]
PersonName → name [First, Last]
Pet → pet [Kind, PetName]
PetName → name [#PCDATA]
...

```

but are not in same content model!

Question Are there single-type grammars (XML Schemas) which cannot be expressed by local grammars (DTDs). **YES!**

Classes of Grammars

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```

Through the use of **TYPE Names** (nonterminals / states) you can distinguish **deep context!**

```

graph TD
    dealer --> used
    dealer --> new
    used --> car1[car]
    new --> car2[car]
    car1 --> model1[model]
    car1 --> year[year]
    car2 --> model2[model]

```

"specialization" through parent

New notation. Use *capitalized* TYPE Names

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Can we model context that is far away from the specialized node?

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"specialization" through parent

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competing

Through the use of **TYPE Names** (nonterminals / states) you can distinguish **deep context!**

Can we model context that is far away from the specialized node?

Sure!

special

“specialization” through a following node...

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```

DB → db [Dealer, User]
Dealer → dealer [Used, New]
Used → used [(Carused)*]
New → new [(Carnew)*]
Carused → car [Model, Year]
Carnew → car [Model]

```

Doc → root [DB | sDB]
sDB → db [sDealer, sUser]
sDealer → dealer [sUsed, New]
sUsed → used [(sCar_{used})*]
sCar_{used} → car [Model, Own, Year]
Car_{new} → car [Model]

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Can we model context that is far away from the specialized node?

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Sure!

special

Question

Sure this grammar is **not local** (DTD). But, is it **single-type**?

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root

db

special

dealer

used

new

...

...

Question Is this grammar **single-type**?

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prev. example:
probably, *not expressible* in single-type (XML Schema).

Other example:

```

Person → MPerson | FPerson
MPerson → person[Name, gender[Male], FSpouse?, Children?]
FPerson → person[Name, gender[Female], MSpouse?, Children?]
Male → male[]
Female → female[]
FSpouse → spouse[Name, gender[Female]]
MSpouse → spouse[Name, gender[Male]]
Children → children[Person+]

```

a person's spouse must have opposite gender.

Note This example and the Pet-example are taken from Hosoya's book (see course web page).

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a person's spouse must have opposite gender.

BUT, is this even a “grammar” in our sense?

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FPerson → person[Name, gender[Female], MSpouse?, Children?]

Male → male[]

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MSpouse → spouse[Name, gender[Male]]

Children → children[Person+]

Reg Expr ... in a content ...

competing

a person's spouse must have opposite gender.

BUT, is this even a "grammar" in our sense?
NO!
→ Reg Expr only allowed inside a content ("under an element name").

Classes XML Type Formalisms

local no competing TYPE names! (DTDs)

single-type TYPE names in the *same content model* do not compete! (XML Schema's)

regular no restriction... (RELAX NG)

Increasing Expressiveness of defining sets of trees ("tree languages")

Questions

Given two DTDs D1 and D2 can we check if

- all documents valid for D1 are also valid for D2? (DTD inclusion problem)
- D1 and D2 describe the same set of documents? (DTD equality problem)

Given a Relax NG grammar G, can we check if

- there exists any document that is valid for G? (emptiness problem)
- there is a document valid for G and valid for G2? (intersection & emptiness)

Classes XML Type Formalisms

local no competing TYPE names! (DTDs)

single-type TYPE names in the *same content model* do not compete! (XML Schema's)

regular no restriction... (RELAX NG)

Increasing Expressiveness of defining sets of trees ("tree languages")

Questions

Given two DTDs D1 and D2 can we check if

- all documents valid for D1 are also valid for D2? (DTD inclusion problem)
- D1 and D2 describe the same set of documents? (DTD equality problem)

Given a Relax NG grammar G, can we check if

- there exists any document that is valid for G? (emptiness problem)
- there is a document valid for G and valid for G2? (intersection & emptiness)

If we can do it for **regular tree** grammars, then also works for single-type/local!!

All of the checks can be done automatically, for **regular tree** grammars!

equivalent to tree automata

Tree Automata: very powerful framework,

- Have all the good properties of string automata!
- Yet, they are more expressive!

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- Have all the good properties of string automata!
- Yet, they are more expressive!

Note

String automata are **not** sufficient to check DTDs / Schemas!
Even if we only consider well-bracketed strings!

Example 1

c → c[a, c, b]
a → empty
b → empty
c → empty

Example 2

a → a[c, a]
a → a[a, b]
a / b / c → empty



All of the checks can be done automatically, for **regular tree** grammars!


constant memory computation

equivalent to tree automata

Finite-state automata are important:

→ Think you are in a maze, with only fixed memory and you can only read the maze (cannot mark anything).

Model by **finite automaton**. In state q1, (to [N|S|E|W], ) → (q2, [N|S|E|W])
q2, (to [N|S|E|W], ) → (q3, [N|S|E|W])
empty

 q1

Can an automaton search the maze?

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All of the checks can be done automatically, for **regular tree** grammars!

constant memory computation

equivalent to tree automata

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→ Think you are in a maze, with only fixed memory and you can only read the maze (cannot mark anything).

Model by finite automaton. In state q_1 , (to $[N|S|E|W]$, ) → (q_2 , $[N|S|E|W]$)
 q_2 , (to $[N|S|E|W]$, ) → (q_3 , $[N|S|E|W]$)
 empty

Can an automaton search the maze?

No!! → need markers ("pebbles").
 How many? 5? 2?

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All of the checks can be done automatically, for **regular tree** grammars!

constant memory computation

equivalent to tree automata

Finite-state automata are important:

In our context, e.g., for

→ **KMP** (efficient string matching) [Knuth/Morris/Pratt]
 generalization using automata. Used, e.g., in **grep**

→ **Compression**

→ **Static analysis** of schemas & queries
 (= "everything you can do *before* before running over the actual data")

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4. Static Methods, based on Tree Automata

Person → MPerson | FPerson
 MPerson → person [Name, gender[Male], FSpouse?]
 FPerson → person [Name, gender[Female], MSpouse?]

Regular Tree Grammar

Rules of the form **Type** → Tree

Leaves may be labeled by **TypeNames**

Alternatively, regular tree languages are defined by **Tree Automata**.

state, element-name → state1, state2

conventionally, defined for binary/ranked trees.

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4. Static Methods, based on Tree Automata

Given grammars D1 and D2 can we check if

- all documents valid for D1 are also valid for D2? (inclusion problem)
- D1 and D2 describe the same set of documents? (equality problem)
- does there exists any document that is valid for D1? (emptiness problem)
- there is a document valid for D1 *and* valid for D2? (intersection & emptiness)

ALL these checks are possible for **regular tree grammars!!**

→ hence, they are also solvable for DTDs / XML Schemas / RELAX NG's

(1) use binary tree encodings
 (2) translate XML Type Definition to a Tree Grammar (easy)

Alternatively, regular tree languages are defined by **Tree Automata**.

state, element-name → state1, state2

conventionally, defined for binary/ranked trees.

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- there is a document valid for D1 *and* valid for D2? (intersection & emptiness)

ALL these checks are possible for **regular tree grammars!!**

→ The checks above give rise to very powerful optimization procedures for XML Databases!

For example:
 documents d_1, d_2, ..., d_n are valid for your schema "Small_xhtml".

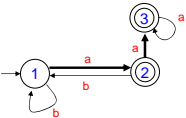
Are they also valid for schema XHTML?

→ Check **inclusion problem** for Small_html and XHTML!

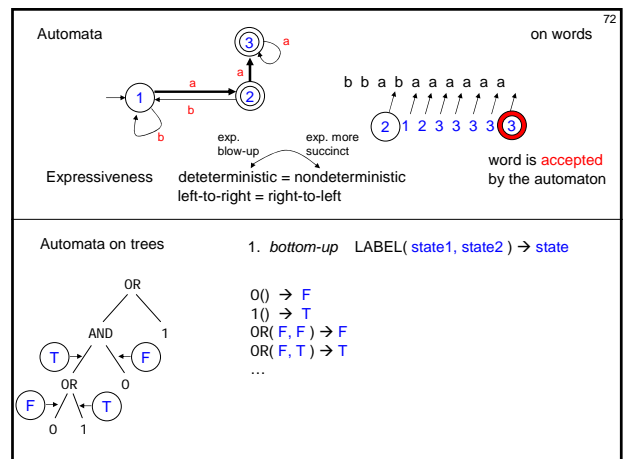
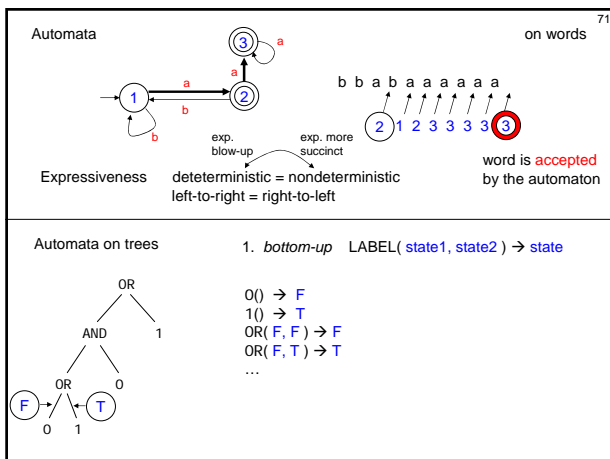
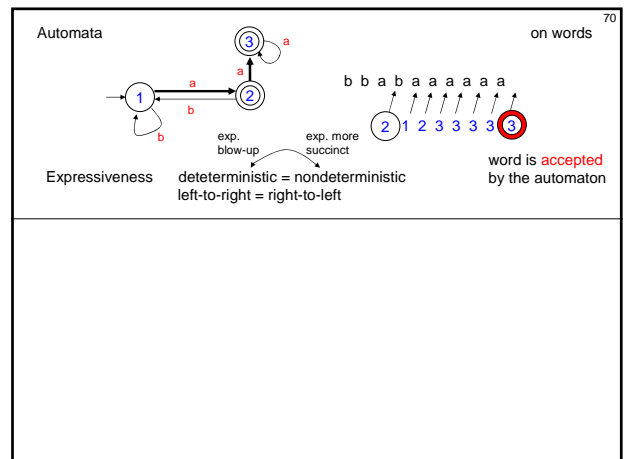
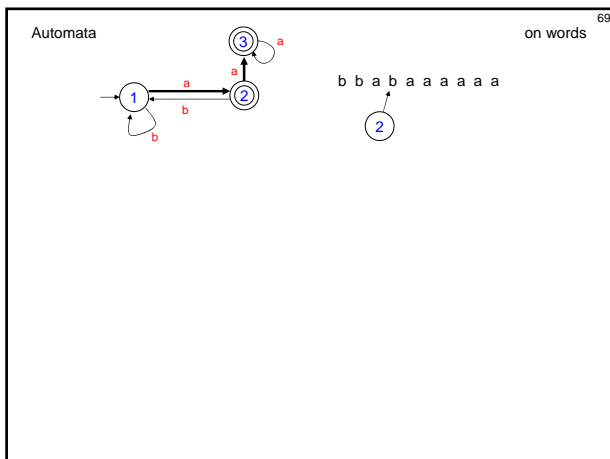
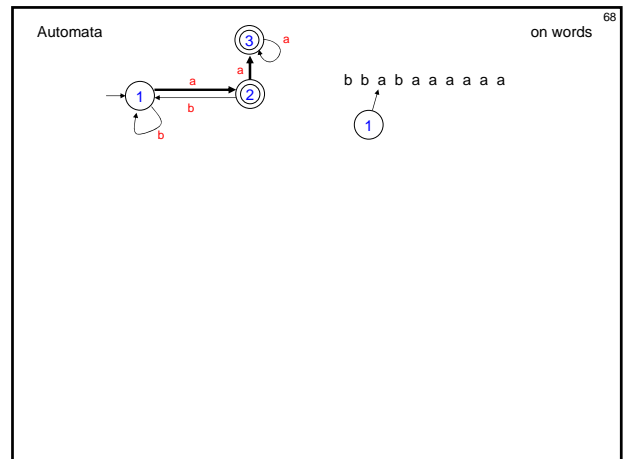
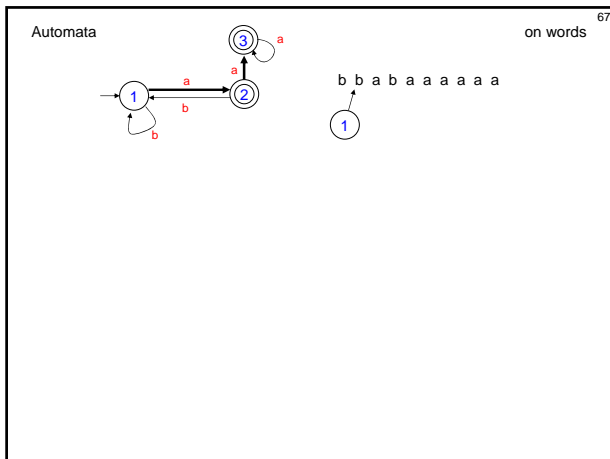
66

Automata

on words



b b a b a a a a a



Automata 73
on words

Expressiveness: deterministic = nondeterministic
left-to-right = right-to-left

word is **accepted** by the automaton

Automata on trees

1. *bottom-up* LABEL(state1, state2) → state

0() → F
1() → T
OR(F, F) → F
OR(F, T) → T
...
AND(T, F) → F

tree is **accepted** by the automaton

Automata 74
on words

Expressiveness: deterministic = nondeterministic
left-to-right = right-to-left

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Automata 75
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...
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tree is **accepted** by the automaton

Question

How much memory do you need exactly, to run such a bottom-up tree automaton?

Automata on trees

1. *bottom-up* LABEL(state1, state2) → state

0() → F
1() → T
OR(F, F) → F
OR(F, T) → T
...
AND(T, F) → F

tree is **accepted** by the automaton

Similarly as for word automata:

For every **nondeterministic** bottom-up tree automaton there is an equivalent **deterministic** bottom-up tree automaton.

Again, the construction can cause exponential size blow-up.

2. *top-down* state, LABEL → (state1, state2)

must contain a \$-leaf
a, b = binary node labels
e, \$ = leaf node labels

"top-most a-node on the left-most path must have a right-subtree which contains a \$-node."

Similarly as for word automata:

For every **nondeterministic** bottom-up tree automaton there is an equivalent **deterministic** bottom-up tree automaton.

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"top-most a-node on the left-most path must have a right-subtree which contains a \$-node."

begin, a → (any, find\$)
begin, b → (begin, any)
find\$, a/b → { (find\$, any), (any, find\$) } ← **nondeterministic**
find\$, \$ → ACC
find\$, e → REJ
any, a/b → (any, any)
any, \$/e → ACC

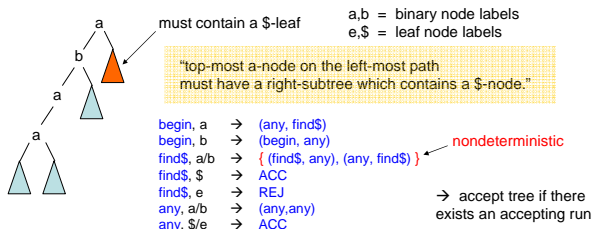
→ accept tree if there exists an accepting run (= all leaves go to ACC)

For every **nondeterministic** bottom-up tree automaton
there is an equivalent **deterministic** bottom-up tree automaton.

Question

Can you find an equivalent *bottom-up* automaton for this example?

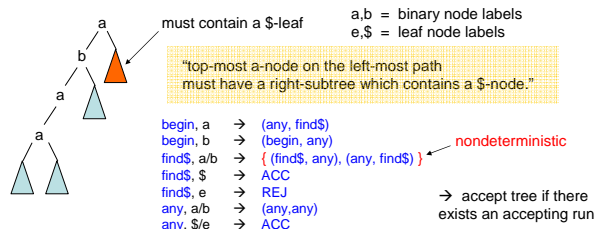
2. *top-down* state, LABEL \rightarrow (state1, state2)



For every **nondeterministic** bottom-up tree automaton
 \rightarrow there is an equivalent **deterministic** bottom-up tree automaton, and
 \rightarrow there is an equivalent **nondeterministic top-down** tree automaton.

\rightarrow Yes! you can... ☺

2. *top-down* state, LABEL \rightarrow (state1, state2)

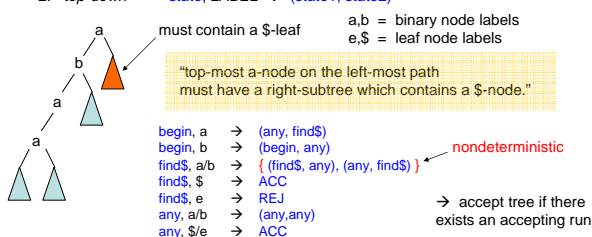


For every **nondeterministic** bottom-up tree automaton
 \rightarrow there is an equivalent **deterministic** bottom-up tree automaton, and
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Question

Is there an equivalent **deterministic top-down** automaton??

2. *top-down* state, LABEL \rightarrow (state1, state2)

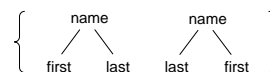


For every **nondeterministic** bottom-up tree automaton
 \rightarrow there is an equivalent **deterministic** bottom-up tree automaton, and
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Question

Is there an equivalent **deterministic top-down** automaton??

\rightarrow NO! ☹



This set of two trees canNOT be recognized by any **deterministic top-down** tree automaton!!

Why?

For every **nondeterministic** bottom-up tree automaton
 \rightarrow there is an equivalent **deterministic** bottom-up tree automaton, and
 \rightarrow there is an equivalent **nondeterministic top-down** tree automaton.

Question

Is there an equivalent **deterministic top-down** automaton??

\rightarrow NO! ☹

Questions

What about **local** tree languages (defined by DTDs).
 \rightarrow Can they be accepted by **deterministic top-down** automata?

What about **single-type** tree languages (defined by XML Schema's)
 \rightarrow Can they be accepted by **deterministic top-down** automata?

For every **nondeterministic** bottom-up tree automaton
 \rightarrow there is an equivalent **deterministic** bottom-up tree automaton, and
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Question

Is there an equivalent **deterministic top-down** automaton??

\rightarrow NO! ☹

Questions

What about **local** tree languages (defined by DTDs).
 \rightarrow Can they be accepted by **deterministic top-down** automata?

What about **single-type** tree languages (defined by XML Schema's)
 \rightarrow Can they be accepted by **deterministic top-down** automata?

Yes!
Hence, there is **no DTD / Schema** for { name[first,last], name[last,first] }

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For every deterministic bottom-up tree automaton there exists a **minimal unique** equivalent one!

→ Equivalence is decidable

In fact, YOU have already produced minimal bottom-up tree automata!

The **minimal DAG** of a tree t can be seen as the minimal unique tree automaton that only accepts the tree t .

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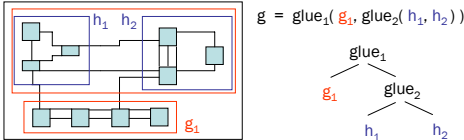
How expensive (complexity) to find minimal one?

→ Same as for word automata?

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Tree Automata are a very useful concept in CS!

→ Heavily used in **verification**
"Derive a property of a complex object from the properties of its constituents..."



$g = \text{glue}_1(g_1, \text{glue}_2(h_1, h_2))$

→ Do all graphs / chip-layouts produced in this way, have property P?

Use the hierarchical construction history of an object, in order to work on a "parse" tree instead of a complex graph.
From there, use tree automata. ☺

Many NP-complete graph problems become tractable on "bounded-treewidth" graphs!

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XML Tree Automata play crucial rule for

→ Efficient validators against **XML Types**

→ Optimizations If doc1 is of TYPE1, then no need to validate against TYPE2, if we know TYPE2 included in TYPE1

- if only "slightly different" then only need to validate "there"
- incremental validation against updates
- etc, etc.

→ Efficient **query evaluators**, use richer automata which can select nodes and produce query answers

→ Optimizations If answer of QUERY1 is in cache, then no need to evaluate QUERY2, if "included" in QUERY1.

- if every possible answer set to QUERY1 (of TYPE X) is EMPTY, then no need to evaluate on the real data!

→ **XML Type Checking for Programming Languages**

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The Future

In 5-10 years from now: ☺

You can write a function in Programming Language X

```
Function foo(XML document D: TYPE1): TYPE2
{
  traverse D
  & compute output:
  .
  .
  return output
}
```

Compiler (**XML Type Checker**) will complain, if your function does not compute documents of **TYPE2**.

→ If no complaint, then **guaranteed**:
ALL outputs are ALWAYS of correct type!!

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Compiler (**XML Type Checker**) will complain, if your function does not compute documents of **TYPE2**.

→ If no complaint, then correct type **guaranteed**.

Compilers will **have** to be able to give *static guarantees* about input/output behaviour of program!

Experimental PL's
In this direction:
→ CDuce
→ XDuce

END
Lecture 5