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Partial Evaluation for Distributed XPath Query Processing and Beyond

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This article proposes algorithms for evaluating XPath queries over an XML tree that is partitioned horizontally and vertically, and is distributed across a number of sites. The key idea is based on partial evaluation: it is to send the whole query to each site that partially evaluates the query, in parallel, and sends the results as compact (Boolean) functions to a coordinator that combines these to obtain the result. This approach possesses the following performance guarantees. First, each site is visited at most twice for data-selecting XPath queries, and only once for Boolean XPath queries. Second, the network traffic is determined by the answer to the query, rather than the size of the tree. Third, the total computation is comparable to that of centralized algorithms on the tree stored in a single site, regardless of how the tree is fragmented and distributed. We also present a MapReduce algorithm for evaluating Boolean XPath queries, based on partial evaluation. In addition, we provide algorithms to evaluate XPath queries on very large XML trees, in a centralized setting. We show both analytically and empirically that our techniques are scalable with large trees and complex XPath queries. These results, we believe, illustrate the usefulness and potential of partial evaluation in distributed systems as well as centralized XML stores for evaluating XPath queries and beyond.

Categories and Subject Descriptors: H.2.4 [Database Management]: Systems—Query Processing
General Terms: Algorithms, Performance

Additional Key Words and Phrases: Distributed XML documents, XPath queries, parallel query processing

1. INTRODUCTION

Partial evaluation (aka program specialization Jones [1996]) has been studied in the context of programming languages as a general optimization technique. Intuitively, given a function \( f(s, d) \) and part of its input \( s \), partial evaluation is to specialize \( f(s, d) \) with respect to the known input \( s \). That is, it performs the part of \( f \)'s computation that
depends only on $s$, and generates a partial answer, that is, a (residual) function $f'$ that depends on the as yet unavailable input $d$.

Partial evaluation has been proved useful in a variety of areas including compiler generation, code optimization and dataflow evaluation (see [Jones 1996] for a survey). The last of these bears sufficient connections with distributed query evaluation. This suggests that it is worth investigating its use in parallel query processing. We focus here on the evaluation of XPath queries.

Consider the XML tree $T$ shown in Figure 1, which represents the clientele of an investment company. For each client the company stores her name and the country where she resides. Furthermore, it stores the broker(s) whom the client is using and the market(s) in which the client trades, through the broker(s). For each such market, the company stores the code, buying price buy, and quantity $qt$ of stock(s) that the client owns. In practice such trees are often partitioned into a number of subtrees, or fragments, and are distributed over the Internet for geographical or administrative reasons [Bremer and Gertz 2003], a setting commonly found in e-commerce, Web services, P2P systems [Bonifati and Cuzzocrea 2006], XML data integration [Abiteboul et al. 2002], or while managing large-scale network directories [Jagadish et al. 1999].

In Figure 1, we use dashed lines to show one possible fragmentation. The fragment marked as $F_0$, which includes the root of the tree, might be stored in the investment company’s local US server (site $S_0$). However, for tax reasons, trade data for Canadian customers might have to be stored in a Canada-based server. Therefore, the fragment of the tree marked as $F_3$ is stored in a remote Canadian site $S_3$. Similarly, the NASDAQ market might require that all its own trade data are only remotely accessed and only through recognized brokers for security concerns. Therefore fragments $F_2$ and $F_4$ again need to be stored in site $S_2$ outside our investment company. The fragmentation and distribution of the tree $T$ are depicted in Figure 2. In spite of the reasons that lead to fragmentation, conceptually this is still a single XML tree over which we would like to pose queries.

Now consider $Q = [\text{/stock/code/text()} = \text{"GOOG"}]$, a Boolean XPath query posed at site $S_0$. When evaluated at the root of the tree $T$, the query returns a single truth value,
true if and only if there is a client trading GOOG stock. A naive way to evaluate the query is by first shipping fragments $F_1, F_2, F_3, F_4$ to site $S_0$, assembling them with $F_0$ into a tree, and then evaluating $Q$ on the tree. This incurs excessive overhead of data shipping, and worse still, may not be doable since data at some sites is not allowed to be shipped to $S_0$ for privacy or security reasons. Another approach is to employ a sophisticated algorithm for evaluating XPath queries in a centralized system [Koch 2003]. This would require a single depth-first traversal of $T$, visiting each node once, something we cannot expect to improve upon. However, this seemingly “optimal” approach would visit sites $S_0, S_1, S_2, S_1, S_0, S_2, S_0, S_3, S_0$ in that order, visiting $S_0$ four times and $S_1$ twice.

We approach this problem by introducing an algorithm, referred to as ParBoX, based on partial evaluation. The algorithm partially evaluates the whole query $Q$, in parallel, on each fragment of the tree. Since a fragment contains only part of the tree, this partial evaluation of $Q$ on each fragment results in a partial answer to the query, which is a Boolean expression with variables. The partial answers are all collected to a coordinator site and are composed, yielding the final answer to $Q$.

The ParBoX algorithm has several desirable properties. (a) Each site is visited only once, irrespectively of the number of fragments stored there. (b) The communication cost is bounded by the size of the query and the number of fragments, and is independent of the size of the XML document. (c) The total amount of computation performed at all sites holding a fragment is comparable to the computation of the optimal centralized algorithm over the whole tree. (d) The algorithm does not impose any condition on how the XML documents are partitioned, what the sizes of these fragments are, or how they are assigned to sites.

Next consider a data-selecting XPath query $Q' = //broker//stock/code/text() = "GOOG"/name$. Along the same lines as before, one wants to send $Q'$ to every site and partially evaluate $Q'$. However, as opposed to Boolean queries, the final answer to $Q'$ is a set of elements rather than a single Boolean value. It is challenging to identify precisely what elements are in the final answer at each site before they are shipped to the coordinator. Furthermore, for data-selecting XPath queries even centralized evaluation algorithms require two traversals of the tree [Koch 2003], instead of a single pass.

We develop algorithms and optimization methods for evaluating generic data-selecting XPath queries. The proposed techniques guarantee that each site is visited at most twice, irrespectively of the number of fragments stored there (recall that sophisticated centralized algorithms would require two passes of XML trees to evaluate data-selecting queries). Moreover, the algorithm has the same worst-case computational complexity as ParBoX and optimal communication cost, in spite of its support of more complex data-selecting queries. In particular, each site ships to the coordinator only elements that are certainly in the answer of a query, such that the union of these partial answers is the answer of the query.

As remarked earlier, the principles of partial evaluation have been proved useful in a variety of areas. It is therefore not a coincidence that the algorithms we propose here are both flexible and generic, and applicable to a variety of contexts. We illustrate some of this flexibility by adapting our distributed algorithms to work in a centralized environment with a single processing-thread. Lacking parallelism in the centralized setting, our main focus shifts from evaluation times and the benefits of our techniques manifest themselves in the form of both reduced I/O and small memory requirements (since fragments are only accessed a fixed number of times and they can be as small as the amount of memory allocated to us). In that sense, our algorithms address some of the main limitations of existing centralized XML query engines like Saxon, which suffer from the requirement that the processed XML document must fit in memory. Of course, other popular and efficient centralized XML query processing systems, like
MonetDB, do not suffer from such memory limitations. However, this efficiency comes at a cost. For a system like MonetDB to process a query over an XML document, this document must be loaded into MonetDB, a process that is often several orders of magnitude more expensive than the cost of querying the document. Our query evaluation techniques do not impose such requirement since we can read and evaluate a query over a (new) XML document directly from the file system without any preprocessing. As such, our techniques are particularly useful in domains like life sciences (e.g., biology), astronomy, and even for the management of typical XML documents corresponding to Microsoft Office files (since PowerPoint presentations, Word files, and Excel spreadsheets are all currently stored as XML). In all these domains, the management of XML documents is file-system centric and no traditional XML data management systems is yet in place (since nonexpert users often find these latter systems to be hard to use and maintain).

To illustrate the generality of our algorithms, we also go beyond the confines of our own implementation, and show how easily our algorithms can be adapted to work into the widely popular Map-Reduce framework [Dean and Ghemawat 2004]. Indeed, as a proof of concept, we offer a Map-Reduce algorithm for evaluating Boolean XPath queries, based on partial evaluation.

To verify the effectiveness of the proposed partial-evaluation techniques in all these contexts and for all the variations, we conduct an extensive experimental study. The experimental results demonstrate that the proposed algorithms scale well with large XML data and with complex XPath queries, in both the distributed setting and the centralized context.

Taken together, the main contributions of this article are as follows. Based on partial evaluation, we propose

(1) an algorithm for evaluating Boolean XPath queries,
(2) algorithms for evaluating data-selecting queries on XML data that is partitioned and distributed, with provable performance guarantees on the number of visits, data shipment and total computation. In addition, we provide
(3) a MapReduce algorithm for evaluating Boolean XPath queries, based on partial evaluation,
(4) algorithms for processing XPath queries on very large data that cannot be loaded to memory, and
(5) an experimental study, in both distributed and centralized settings, that verifies the effectiveness and efficiency of the partial evaluation techniques.

Organization. Section 2 presents XML tree partition and the class of XPath queries considered in this article. Sections 3 and 4 introduce algorithms for evaluating Boolean XPath queries and data-selecting queries in distributed settings, respectively, and develop optimization techniques. The MapReduce algorithms is presented in Section 5. Sections 6 provides algorithms for XPath evaluation on large data in the centralized setting. An experimental study is presented in Section 7, followed by related work in Section 8 and topics for future work in Section 9.

2. PRELIMINARIES
We next discuss partitioning of XML documents and present the class of XPath queries studied here.

2.1. XML Tree Partitioning
We consider settings in which an XML tree $T$ is partitioned into a set $\mathcal{F}_T$ of disjoint subtrees of $T$, or fragments. Each fragment $F_i \in \mathcal{F}_T$ can be stored in a different site.
We do not impose any constraints on the partitioning: we allow arbitrary “nesting” of fragments. Fragments can appear at any level of the tree, and different fragments may have different sizes (in terms of number of nodes). Furthermore, we do not impose any constraints on how the fragments are distributed.

As an example, the tree in Figure 1 consists of five fragments, $\mathcal{F}_T = \{F_0, F_1, F_2, F_3, F_4\}$, each fragment represented by a dotted polygon. Observe that a partitioning of a tree $T$ induces another tree, called a fragment tree, which depicts the relationship between the different fragments of $T$. We use $\mathcal{F}_T$ to denote both the set of fragments of a tree $T$ and the induced fragment tree. It will be clear from the context which of the two notions we refer to. The fragment tree $\mathcal{F}_T$ for the tree $T$ of Figure 1 is shown to the right of Figure 2. We call root fragment, the fragment at the root of the fragment tree that also contains the root of tree $T$. In Figure 2, the root fragment is fragment $F_0$.

Given two fragments $F_j$ and $F_k$, we say that $F_k$ is a subfragment of $F_j$ if $F_k$ is a child of $F_j$ in the fragment tree. If $F_k$ is a subfragment of $F_j$ then there exists a node $v \in F_j$ such that the root node $w$ of $F_k$ is a child of $v$ in the original tree $T$. For example, in Figure 1, fragment $F_2$ is a subfragment of $F_1$, which, in turn, is a subfragment of fragment $F_0$. In the original tree $T$, node broker of fragment $F_1$ is the parent of root node market of fragment $F_0$.

Each fragment is possibly stored in a different site, as shown to the right of Figure 2. For example, fragment $F_3$ is stored in site $S_3$ while both fragments $F_2$ and $F_4$ are in site $S_2$. Given the distribution of fragments, we need to maintain the relationship between a fragment and its subfragments so as to preserve the structure of the original tree $T$. To this end, given a fragment $F_j$ and its subfragment $F_k$, we add a virtual node in $F_j$, which we label as $F_k$, in place of the missing tree fragment $F_k$. Under normal circumstances, while traversing fragment $F_j$, we know that if we reach the virtual node $F_k$, we need to “pass control” to the site holding fragment $F_k$ in order to continue the traversal of the tree. For example, in Figure 3(a) fragment $F_0$ has virtual nodes representing fragments $F_1$, $F_3$, and $F_4$. While traversing fragment $F_0$ in site $S_0$, when we reach virtual node $F_4$, we know that the control for the traversal of the tree must pass to site $S_2$ holding fragment $F_4$, shown in Figure 3(b).

We refer to a fragment that has no subfragments as a leaf fragment. In Figure 3(b), fragment $F_4$ is a leaf fragment and therefore it has no virtual nodes.

2.2. XPath

We consider a class of XPath queries, denoted by $\mathcal{X}$, that is defined as follows:

$$Q ::= \epsilon \mid A \mid \ast \mid Q // Q \mid Q/Q \mid Q[q]$$

$$q ::= Q \mid q/\text{text}() = \text{str} \mid q/\text{val}() \text{ op num} \mid \neg q \mid q \land q \mid q \lor q.$$
where \( Q \) is a path expression defined in terms of the empty path \( \epsilon \) (self), label \( A \) (tag), wildcard \( * \), child ‘/’, the descendant-or-self-axis ‘//’, and qualifier [q]. In the qualifier \( q, \) str is a string constant, \( op \) stands for one of the arithmetic comparison operators \( =, \neq, <, \leq, >, \geq, \) num is a number, and \( \neg, \land, \lor \) are the Boolean negation, conjunction and disjunction operators, respectively.

For example, to get the names of brokers through which GOOG stocks are purchased, but no YHOO stocks, we issue query

\[
Q_1 : //broker[//stock/code/text() = "GOOG" \lor \neg(//stock/code/text() = "YHOO")]/name.
\]

At a context node \( v \) in an XML tree \( T \), the evaluation of a query \( Q \) at \( v \), denoted by \( \text{val}(Q, v) \), yields the set of nodes of \( T \) reachable via \( Q \) from \( v \). On a centralized XML tree \( T \), that is, when \( T \) is not decomposed and distributed, \( \text{val}(Q, r) \) can be computed in \( O(|T| \cdot |Q|) \) time [Gottlob et al. 2002], where \( r \) is the root of \( T \).

The class \( \mathcal{X} \) of queries subsumes twig queries [Bruno et al. 2002; Ramanan 2002]. Although \( \mathcal{X} \) supports only the self, child and descendant XPath axes, this usually suffices since the majority of XPath queries use the downward axes [Ives et al. 2002].

We also consider the class of Boolean XPath queries in \( \mathcal{X}^\land \), denoted by \( \mathcal{X}^\land_{BL} \). A query in \( \mathcal{X}^\land_{BL} \) is of the form \( \epsilon[q] \) or simply [q], where [q] is defined as before. For example, for the query \( Q_1 \) given earlier, \([Q_1] \) is a query in \( \mathcal{X}^\land_{BL} \).

At a context node \( v \) in an XML tree \( T \), a query [q] evaluates to a truth value, denoted by \( \text{val}(q, v) \), indicating whether \( q \) is satisfied at \( v \), that is, whether \( \epsilon[q] \) is empty. Boolean XPath queries are commonly used, for example, in publishSubscribe systems [Altinel and Franklin 2000] and LDAP directories [Smith and Howes 1997].

We convert each query \( Q \) in \( \mathcal{X} \) to a normal form \( \beta_1/\ldots/\beta_n \), where \( \beta_i \) is one of \( A, \ast, // \) or \( \epsilon[q] \). Function \( \text{normalize}(Q) \) inductively normalizes, in linear-time, a query \( Q \) as follows:

\[
\begin{align*}
\text{normalize}(\epsilon) &= \epsilon; \text{ similarly for } \ast, // \text{ and } A; \\
\text{normalize}(Q_1 / Q_2) &= \text{normalize}(Q_1)/\text{normalize}(Q_2); \\
\text{normalize}(Q[q]) &= \text{normalize}(Q)/\epsilon[\text{normalize}(q)]; \\
\text{normalize}(Q/text() = 'str') &= \text{normalize}(Q)/\epsilon[text() = 'str']; \\
\text{normalize}(Q/val() = 'num') &= \text{normalize}(Q)/\epsilon[\text{val()} = 'num']; \\
\text{normalize}(q_1 \land q_2) &= \text{normalize}(q_1) \land \text{normalize}(q_2); \text{ similarly for } q_1 \lor q_2 \text{ and } \neg q_1; \\
\text{normalize}(\epsilon[q_1]/\ldots/\epsilon[q_n]) &= \epsilon[\text{normalize}(q_1) \land \ldots \land \text{normalize}(q_n)];
\end{align*}
\]

where the last rule is to combine a sequence of \( \epsilon \)'s into one. Hereafter, we only consider normalized \( \mathcal{X} \) queries.

By striking out all the qualifiers from a normalized query \( Q = \beta_1/\ldots/\beta_n \), we get what we refer to as the selection path of \( Q \), the form \( \eta_1/\ldots/\eta_n \), where \( \eta_i \) is A, \( \epsilon, \ast, // \). For example, the selection path of query \( Q_1 \) is //broker/name.

For reasons that will become clear in the next section, we decouple the evaluation of qualifiers for each query \( Q \), from the evaluation of its selection path. We use a vector-based representation of our queries. More specifically, we use a vector \( SVect(Q) \) to store the prefixes of the selection path \( \eta_1/\ldots/\eta_n \), such that \( SVect(Q)[i] \) indicates the query \( \eta_1/\ldots/\eta_i \). Obviously, vector \( SVect(Q) \) is linear in the size of \( Q \). We use another Boolean vector \( QVect(Q) \) to store the list of all subqueries of the qualifiers of \( Q \). We sort \( QVect(Q) \) in a topological order such that for any subqueries \( q_1, q_2 \), if \( q_1 \) is a subquery of \( q_2 \) then \( q_1 \) precedes \( q_2 \) in \( QVect(Q) \). Again, vector \( QVect(Q) \) is linear in the size of \( Q \).

**Example 2.1.** Consider query

\[
Q = \text{client[country/text() = "US"]//broker[market/name/text() = "NASDAQ"]}/name,
\]

where \( \text{client} \) is a path expression defined in terms of the empty path \( \epsilon \) (self), label \( A \) (tag), wildcard \( * \), child ‘/’, the descendant-or-self-axis ‘//’, and qualifier [q]. In the qualifier \( q, \) str is a string constant, \( op \) stands for one of the arithmetic comparison operators \( =, \neq, <, \leq, >, \geq, \) num is a number, and \( \neg, \land, \lor \) are the Boolean negation, conjunction and disjunction operators, respectively.

For example, to get the names of brokers through which GOOG stocks are purchased, but no YHOO stocks, we issue query

\[
Q_1 : //broker[//stock/code/text() = "GOOG" \lor \neg(//stock/code/text() = "YHOO")]/name.
\]
which returns the name of brokers of US clients that trade in the NASDAQ market. Then normalize(Q) is

\[
\text{client/\$[country/\epsilon [text() = "US"]/broker/\epsilon [market/name/\epsilon [text() = "NASDAQ"])/name}
\]

We decouple the selection path /client/broker/name of the query from the qualifiers \([*/\epsilon [country/\epsilon [text() = "US"]] \) and \([*/\epsilon [market/name/\epsilon [text() = "NASDAQ"]])\). Then, vectors SVect(Q) and QVect(Q) are as follows:

- \(SVect(Q) = [q_1, q_2, q_3]\) where
  - \(q_1 = \text{client}\), \(q_2 = q_1/\text{broker}\), \(q_3 = q_2/\text{name}\)

- \(QVect(Q) = [q_1, q_2, q_3, q_4, q_5, q_6, q_7, q_8, q_9]\), where
  - \(q_1 = \text{country}\), \(q_2 = [\text{text()} = "\text{US}"], q_3 = q_1/\epsilon[q_2], q_4 = */\epsilon[q_3], q_5 = \text{name}\),
  - \(q_6 = [\text{text()} = "\text{NASDAQ} "], q_7 = q_5/\epsilon[q_6], q_8 = \text{market/q_7}, q_9 = */\epsilon[q_8]\),

where the first four entries in QVect(Q) are for the first qualifier, while the others are for the second. Note that the subqueries of a Boolean vector correspond to the elements of the Boolean vector.

### 3. DISTRIBUTED EVALUATION OF BOOLEAN QUERIES

We first focus on evaluating Boolean XPath queries in the distributed setting. Consider an \(\mathcal{X}_{BL}\) query \(q\) submitted to a site \(S_i\), referred to as the coordinating site. Query \(q\) is to be evaluated at the root of a partitioned and distributed XML tree \(T\).

A naive evaluation strategy is to first collect all the fragments of tree \(T\) identified by the fragment tree \(S_T\) at the coordinating site, and then use a centralized algorithm, for instance, the algorithm of Gottlob et al. [2002]. We refer to this approach as NaiveCentralized. This approach is efficient once the coordinating site gets all the data. However, the price is that large fragments are sent over the network, each time that a query is evaluated. In addition, since the coordinating site must store these fragments during the evaluation of \(q\), the benefits gained by distributing large XML trees over a network are alleviated. Moreover, privacy and security concerns may prevent certain sites from releasing their data to another site.

A better solution, referred to as NaiveDistributed, is to customize a centralized evaluation algorithm so that it works in a distributed fashion. We know that a Boolean XPath query can be evaluated on a single site via a single traversal of the tree \(T\). We can use the information from the fragment tree \(S_T\) to perform a distributed bottom-up traversal of tree \(T\). To do this, we need to pass certain information between the sites in the fragment tree \(S_T\), as the distributed computation is passed forth and back from a fragment \(F_i\) in site \(S_i\) to one of its subfragments \(F_j\) in site \(S_j\). For example, consider the fragments and fragment tree in Figure 2. As we compute the query for fragment \(F_0\) in site \(S_0\), we need to pass the control of computation to fragment \(F_1\) in site \(S_1\). At the same time, site \(S_1\) has to wait for this computation to finish before it continues with fragment \(F_5\) in site \(S_5\).

While this distributed algorithm does not require any transmission of fragments, it has two shortcomings. First, for a site \(S_i\) to finish processing its fragment \(F_i\), it has to wait for all the other sites that hold subfragments of \(F_i\) to finish. Therefore, the distributed algorithm actually follows a sequential execution and does not take advantage of parallelism. Second, a site is visited as many times as the number of fragments stored in it. In our example, site \(S_2\) needs to be visited twice, since it holds fragments \(F_2\) and \(F_4\). For each of these visits, site \(S_2\) has to exchange a number of messages,
ParBoX algorithm executed at coordinating site.

To overcome these limitations, we propose next the Parallel Boolean XPath (ParBoX) evaluation algorithm, based on partial evaluation. The ParBoX Algorithm guarantees the following: (1) Each site is visited only once, irrespectively of the number of fragments stored in it. (2) Query processing is performed in parallel, on all the participating sites. (3) The total computation on all sites is comparable to what is needed by the best-known centralized algorithm. (4) The total network traffic is determined by the size of the query rather than the XML tree.

3.1. The ParBoX Algorithm

The algorithm is shown in Figure 4 and Figure 5. It is initiated at the coordinating site, which, we assume w.l.o.g. to be the site storing the root fragment of the tree $T$ over which the $XML$ query $q$ is evaluated. The algorithm consists of three stages:

**Stage 1.** Initially (lines 1–2 of Procedure ParBoX in Figure 4), the coordinating site uses the fragment tree $S_T$ to identify which other sites hold fragments of tree $T$. In our example, the coordinating site $S_0$ uses the fragment tree in Figure 2 to identify sites $S_1$, $S_2$ and $S_3$.

**Stage 2.** The coordinating site along with all the sites identified in the first stage evaluate, in parallel, the same input query $q$ on all their assigned fragments (Procedure evalQual, Figure 5). Since fragments are parts of the tree $T$, query evaluation on each fragment returns a partial answer to the query $q$.

**Stage 3.** Finally (lines 5–7 of Procedure ParBoX), the coordinating site collects the partial answers from all the participating sites and all the fragments; it then composes them to compute the answer to query $q$.

We now describe the two crucial components of the algorithm: (a) how to compute partial answers in parallel (in Stage 2), and (b) how to assemble the partial answers to obtain the answer to query $q$ (in Stage 3).

**Partial evaluation.** There is a dependency relation between partial evaluation processes for the query $q$ on different fragments of the XML tree $T$. To see this, consider an efficient evaluation of $q$ over $T$ via a single bottom-up traversal of $T$. During the traversal, at each node $v$ we compute the values at $v$ of all the subqueries Vect(q) of query $q$, where Vect(q) is described in Section 2.2. This computation requires the (already computed) values of the Vect(q) subqueries at the children of $v$. At the end of the traversal, the answer to query $q$ is computed by using the values of the Vect(q)
Fig. 5. ParBoX algorithm executed at participating site.

queries at the root of the tree. More specifically, the answer to \( q \) is the value of the last query in \( \text{QVect}(q) \).

Consider now Figure 3 which shows the fragments of the XML tree in Figure 1. These are the trees over which the sites must compute the query \( q \). Recall that in
these fragments some of the leaves are virtual nodes, that is, they are pointers to other
fragments that reside in other sites. For example, in fragment $F_1$ there is a virtual leaf
node marked by $F_2$, while fragment $F_0$ has three virtual leaves, one for fragment $F_1$,
one for $F_2$ and one for $F_4$. In accordance to the strategy given before, at each site $S$
and for each fragment $F$, we need to perform a bottom-up evaluation of query $q$. But
how can we compute, during the traversal, the values of the $Q Vect(q)$ subqueries at
the virtual nodes? The values of the $Q Vect(q)$ subqueries are unknown for these nodes
and, under normal circumstances, until we learn these values from another site we
cannot proceed with the evaluation.

We propose a technique to decouple the dependencies between partial evaluation
processes and thus avoid unnecessary waiting, by introducing Boolean variables,
one for each missing value of each $Q Vect(q)$ subquery at each virtual node. Using
these variables, the bottom-up evaluation procedure is given in Figure 5. Procedure
bottomUp considers the root of a fragment $F_j$ and a list $q_L$ of subqueries that
is essentially the $Q Vect(q)$ of the initial query $q$. Recursive calls of the procedure are
used to perform the bottom-up traversal of the tree $F_j$ (line 2). At each node $v$, the
procedure computes the “values” of $q_L$ at $v$ and stores the results of the computation
in a vector $QV_v$ which is of the same size as list $q_L$. Note that these “values” are
actually Boolean formulas with those variables introduced at the virtual nodes. The
computation of the $q_L$ values at $v$ requires the values of $q_L$ computed in the children
and descendants of $v$. We save these values (lines 3–5) by maintaining only two ad-
tional vectors, namely vectors $Q CV_v$ and $Q DV_v$, that are of the same size as vector
$QV_v$. Intuitively, for each subquery $q'$ in $q_L$, $Q CV_v(q')$ is true if and only if there
exists some child $u$ of $v$ such that $QV_u(q')$ is true, and similarly, $Q DV_v(q')$ is true if
and only if either $Q V_v(q')$ is true or there exists some descendant $w$ of $v$ such that $QV_w(q')$
is true.

Given a query $q_i \in q_L$ at a node $v$, the computation of the value of $q_i$ depends on
the structure of $q_i$. We consider different cases (lines 6–17) of the structure based on
the normal form given in Section 2.2. For example, if query $q_i$ is of the form $text() = str$
(line 10), then its value is true if the text content of node $v$ is equal to the string
str, and is false otherwise. More interesting is the case where $q_i$ is of the form $* / q_j$
(line 11). Then, the value of $q_i$ at node $v$ is equal to the disjunction of the values of
query $q_j$ at the child nodes of $v$. Due to the recursive evaluation, the value of the dis-
junction has already been computed in $Q CV_v(q_j)$. Similarly, when $q_i = // q_j$ (line 13),
the value of $q_i$ at node $v$ is the disjunction of $Q CV_v(q_j)$ and $Q DV_v(q_j)$'s for the children
$w$ of $v$, which have again been computed by the bottom-up processing order follow-
ing the list $q_L$ of subqueries. Finally, when $q_i$ is of the form $q_j \land q_k$, the value of $q_i$
is the conjunction of the values of queries $q_j$ and $q_k$. If queries $q_j$ and $q_k$ had sim-
ple Boolean values as answers, then this computation would be trivial. However, we
note that a distinguishing characteristic of the procedure is that variables are part
of our evaluation. Therefore, we compose Boolean values with variables or compose
Boolean variables with other Boolean variables to create more complex formulas. Pro-
cedure compFm is responsible for composing, for each query, the truth values and/or
formulas necessary to compute the value of the query. Depending on the value of the
operator $op$ it computes $f_1 \ op \ f_2$, which yields either a Boolean value or a Boolean
formula.

Example 3.1. Consider an $XBL$ query $[q]$, where $q$ is defined as $//stock[text()]="YHOO"\]$. By normalizing $[q]$ (see Section 2.2) we get:

$Q Vect([q]) = [q_1, q_2, q_3, q_4, q_5, q_6, q_7]$, where

$q_1=code$, $q_2=[text()="YHOO"]$, $q_3=q_1/\epsilon[q_2]$, $q_4=stock$, $q_5=q_4/\epsilon[q_3]$, $q_6=//q_5$, $q_7=\epsilon/\epsilon[q_6]$
Evaluating the (sub-)queries in $QV(\{q\})$ for the $F_1$ fragment nodes results in the following $QV_v$ vectors:

- $QV_{name} = \langle 0, 0, 0, 0, 0, 0, 0 \rangle$
- $QV_{broker} = \langle x_1, x_2, x_3 = x_1 \land x_2, x_4, x_5 = x_4 \land x_5, x_6 = dx_5, x_7 = x_6 \rangle$

We use 0’s and 1’s to represent the false and true values while $x_i$’s, $cx_i$’s and $dx_i$’s represent distinct variables in the $QV_{F_2}$, $QCV_{F_2}$ and $QDV_{F_2}$ vectors, respectively, of virtual node $F_2$. Note that for each (sub-)query of $F_2$ we introduce a new variable. We use Procedure $bottomUp$ to partially compute the values of the introduced variables, creating a system of Boolean equations.

Observe the following. First, processing at each site invokes Procedure $bottomUp$ for each fragment $F_i$ stored at the site (see Procedure $evalQual$). For each such fragment, Procedure $bottomUp$ returns a single triplet $(QV_{F_i}, QCV_{F_i}, QDV_{F_i})$ of vectors that store the (sub-)query values for the root of fragment $F_i$ for its children and its descendants, respectively. Each site sends the computed triplet(s) to the coordinating site and concludes its computation. Second, in addition to the triplets associated with virtual nodes in a fragment, $bottomUp$ needs only two triplets in total in its process: one for the current node $(QV_v, QCV_v, QDV_v)$ and one for its children $(QV_w, QCV_w, QDV_w)$, rather than assigning a triplet to each node.

**Example 3.2.** Consider the query from our previous example. At the end of the second phase the following triplets are available to the coordinating site $S_0$:

- $QV_{F_0} = \langle 0, 0, 0, 0, 0, dy_5 \land dx_5 \land dk_5, dy_5 \land dz_5 \land dk_5 \rangle$
- $QCV_{F_0} = \langle z_1, z_2, x_2, x_4, z_5, z_6, z_7 \rangle$
- $QDV_{F_0} = \langle 1, dy_5 \land dz_5 \land dk_5, dy_5 \land dz_5 \land dk_5, dy_5 \land dz_5 \land dk_5 \rangle$

In the triplets, variables $x_i$ and $dx_j$ ($1 \leq j \leq 7$) are used in fragment $F_i$ to denote the values of virtual node $F_j$ (see Example 3.1), while $dy_i$, $z_i$, $dz_i$ and $dk_i$ are used in fragment $F_0$ for the values of the virtual nodes $F_1$, $F_3$ and $F_4$, respectively.

**Composition of partial answers.** In the third phase of Algorithm ParBoX, the coordinating site uses the computed triplets from all the fragments to evaluate the answer to query $q$. In a nutshell, the computed triplets form a linear system of Boolean equations. Using the computed vectors and the fragment tree, Procedure $evalST$ (simple and hence omitted) needs a single bottom-up traversal of the fragment tree to solve the equations and find the answer to query $q$. Note that the vectors of leaf fragments in the fragment tree contain no variables. This is the case for both fragments $F_2$, $F_3$ and $F_4$. During the bottom-up traversal of $ST$, $evalST$ uses the Boolean values of the leaf fragments to unify the variables of the vectors that belong to the parent fragments in $ST$. The procedure continues in this fashion until it reaches the root of $ST$. The answer for query $q$ is the value of $QV_{F_{root}}(q_{last})$, where $F_{root}$ is the root fragment and $q_{last}$ is the last query in the $qL$ list.
Example 3.3. Consider the fragment tree in Figure 2 and the vectors of the fragments from our previous example. Then, the answer to query \( q \) is the value of the last query in \( QV_{F_4} \), that is, \( QV_{F_4}(q^7) = dy_5 \lor dz_5 \lor dk_5 \). A bottom-up evaluation of Procedure evalST uses the \( F_2 \)-returned vectors to unify \( dx_5 \) to 1; the \( F_1 \)-returned vectors to unify \( dy_5 \) to \( dx_5 \), that is, to 1; the \( F_3 \)-returned vectors to unify \( dz_5 \) to 0; and the \( F_4 \)-returned ones to unify \( dk_5 \) to 0. Therefore, \( QV_{F_4}(q^7) = dy_5 \lor dz_5 \lor dk_5 = 1 \) and the query \( q \) evaluates to true.

3.2. Analysis

For the complexity of Algorithm ParBox, we consider its communication cost as well as the total and parallel computation costs for evaluating a query \( q \) on a partitioned and distributed tree \( T \). The total computation cost is the sum of the computation performed at all the sites that participate in the evaluation. In contrast, the parallel computation cost is the time needed for evaluating the query at different sites in parallel. Since a large part of the evaluation is performed in parallel, the parallel computation cost more accurately describes the performance of the algorithm.

We use the following notations: \( F \) denotes the set of all fragments of the original tree \( T \), and \( F_j \subseteq F \) denotes the subset of fragments of \( T \) that are subfragments of fragment \( F_j \). We use \( \text{card}(\mathcal{X}) \) to denote the cardinality of a set \( \mathcal{X} \).

**Total network traffic.** Observe that each site appearing in the fragment tree \( S_T \) of tree \( T \) is visited only once, when the coordinating site sends the input query \( q \) to these sites in the first stage. For each fragment \( F_j \) in site \( S_j \) the algorithm generates three vectors, each with \( O(|q|) \) entries. Each entry may hold a formula computed by Procedure bottomUp, and its size depends on the number of virtual nodes in fragment \( F_j \), that is, \( \text{card}(F_j) \), due to the variables introduced by these virtual nodes. In the worst case, the size of the entry is in \( O(|F_j|) \). Thus the communication cost for each fragment \( F_j \) is \( O(|q| \text{card}(F_j)) \) and the overall communication cost is \( O(|q| \sum_{j=1}^{\mathcal{F}} \text{card}(F_j)) \), that is, \( O(|q| \text{card}(\mathcal{F})) \) (since fragments are disjoint).

**Total computation.** Site \( S \) traverses each fragment \( F_j \) assigned to it only once (through Procedure bottomUp). At each node \( v \) in a fragment, the procedure takes \( O(|q|) \) time and therefore, the cost of the procedure on fragment \( F_j \) is \( O(|q||F_j|) \). Adding these up for all fragments of tree \( T \), the total amount of computation in the second phase of the algorithm is \( O(|q||T|) \). The third phase of the algorithm solves, in linear time, a system of Boolean equations that is of size \( O(|q| \text{card}(\mathcal{F})) \). Overall, the total amount of computation of Algorithm ParBox is \( O(|q|(|T| + \text{card}(\mathcal{F}))) \).

**Parallel computation.** The cost of the second phase may differ depending on the level of parallelism. Intuitively, as sets of fragments are assigned to different sites, the cost of the second phase is equal to the computation cost at the site holding the set with the largest aggregated fragment size. We use \( |F_S| \) to denote the sum of the sizes of the fragments in site \( S \). Then, the time taken by the second phase is \( O(|q| \max_s(|F_S|) \text{card}(\mathcal{F})) \) and the parallel computation cost of the algorithm is \( O(|q|(|T| + \max_s(|F_S|) \text{card}(\mathcal{F}))) \).

In any reasonable setting, we expect that the number of fragments to which a tree is decomposed will be small compared to the size of the tree itself, that is, \( \text{card}(\mathcal{F}) \ll |T| \). Thus, given a decomposition of a tree \( T \) to a set of fragments, Algorithm ParBox has the desirable property that the communication cost of evaluating a query \( q \) over \( T \) is independent of the size \( |T| \) of the tree and depends mainly on the size \( |q| \) of the query. Similarly, the total computation cost of Algorithm ParBox becomes \( O(|q| |T|) \), comparable to that of the best-known centralized algorithm [Gottlob et al. 2002; Koch 2003].
for evaluating an XPath query $q$ over a tree $T$. Furthermore, the parallel computation cost depends only on the size of the largest aggregated fragment size assigned to a site.

4. DISTRIBUTED EVALUATION OF DATA-SELECTING XPATH QUERIES

We next present two algorithms, namely Algorithm PaX3 and its optimization Algorithm PaX2, to evaluate data-selecting queries. Algorithms PaX3 and PaX2 provide the following guarantees:

1. Each site is visited at most three times in PaX3, and at most twice in PaX2, irrespective of the number of fragments stored in it.
2. Query processing is performed in parallel, on all the participating sites.
3. The total computation on all sites is comparable to what of the best-known centralized algorithm.
4. The total network traffic, in any practical setting, is determined by the size of the query and the size of the query answer rather than the XML tree.

Thus, both algorithms retain all the desirable properties of ParBoX, while evaluating generic data-selecting XPath queries, instead of just Boolean ones.

We will present first PaX3 and then we present its optimized PaX2 version. Algorithm PaX3 is initiated at site $S_Q$ where the query $Q$ is issued. We assume w.l.o.g. that $S_Q$ stores the root fragment of the tree $T$. As shown in Figure 6, the algorithm has three stages, where each stage corresponds to a single visit of a site holding tree fragments. In turn, each visit makes a single pass of each tree fragment and therefore, overall, algorithm PaX3 makes three passes over the tree $T$. More specifically:

**Stage 1.** We first (partially) evaluate the qualifiers of query $Q$, at each node of each fragment using Algorithm ParBoX. At the end of this stage for some nodes we know the actual value of each qualifier, while for other nodes the value for some qualifiers is a Boolean formula whose value is yet to be determined. The value of each qualifier (Boolean formula) is known for all nodes by the beginning Stage 2.

**Stage 2.** The objective of this stage is to (partially) evaluate the selection part of query $Q$. Intuitively, this means that at the end of this stage, for each node of each fragment, we know one of two things: (a) whether or not the node is part of the answer of query $Q$; or (b) that the node is a candidate answer. Again, candidacy depends on the value of a Boolean formula.

**Stage 3.** For this latter set of candidate nodes, we need one additional pass during this stage to determine which candidate answer nodes are true answer nodes. At the same time, all nodes belonging to the answer of $Q$ are transmitted to site $S_Q$.

Note that the ParBoX algorithm corresponds only to the first stage of PaX3. The tricky part, namely, finding candidate answer nodes and identifying true answer nodes, is done in Stages 2 and 3. We next present the details of these two stages.

4.1. Selection Path Evaluation

Stage 2 of Algorithm PaX3 is initiated again at site $S_Q$ by having site $S_Q$ notifying each site $S_i$ holding a fragment $F_j$ about the result of Procedure evalFT (Figure 6, line 6), that is, the truth values of triplets $(QV_{F_i}, QCV_{F_i}, QDV_{F_i})$ for each subfragment $F_k$ of $F_j$ (Figure 6, lines 6–8). The triplets received will be used by site $S_i$ to determine the values of qualifiers for all the nodes in $F_j$. As a next step, site $S_Q$ initiates the partial evaluation of the query selection path by making a remote procedure call (Figure 6, lines 9–10) to all the sites holding at least one tree fragment.

We now examine in detail the partial evaluation of a selection path. Consider a query $Q$ over $T$ and, in particular, the selection path vector $SVect(Q)$ of $Q$. An efficient
Fig. 6. PaX3 algorithm executed at site $S_Q$.

evaluation of $\text{SVec}(Q)$ over $T$ requires a single top-down (depth-first) traversal of $T$ (Figure 7, Procedure `topDown`). During the traversal, for each node $v$ and for each subquery $q_i$ in $\text{SVec}(Q)$, we decide whether or not $v$ can be reached from the root of the entire tree by following $q_i$. We store the results for all subqueries of $\text{SVec}(Q)$ in a Boolean vector $S_{Vv}$ associated with node $v$ (Procedure `topDown`, lines 2–6). This computation often requires to consult the (already computed) values of the $\text{SVec}(Q)$ subqueries at the ancestors of $v$. To this end, we use a stack to store the values of $S_{Vu}$, for every node $u$ that is an ancestor of $v$. At the same time, we make sure that the vector at the top of the stack summarizes the information for all vectors in the stack. Specifically, when node $v$ is being processed, the top of the stack holds $S_{Vp}$, where $p$ is the parent of $v$. Then, $S_{Vv}(q_i)$ is computed as follows. If $q_i$ is a basic term $A$, $S_{Vv}(q_i)$ is set true if the label of $v$ is $A$ (line 4 of Procedure `topDown` and Procedure `term` of Figure 7). If $q_i$ is $q_j/t$ for some query $q_j$ and a basic term $t$, then $S_{Vv}(q_i)$ is true if both $S_{Vp}(q_j)$ and $\text{term}(v, t)$ are true. Here, function `evalFM` (which is similar in spirit to compFm of ParBoX and thus not shown) is used to compute the Boolean formula of $S_{Vp}(q_j) \land \text{term}(v, t)$. If $q_i$ is $q_j//$, then $S_{Vv}(q_i)$ is true if either $S_{Vp}(q_i)$ or $S_{Vv}(q_j)$ is true (note that $S_{Vv}(q_j)$ is already computed since it precedes $q_i$ in $\text{SVec}(Q)$). At the end of the computation at node $v$, we consult the last entry in $S_{Vv}$, denoted by $S_{Vv}(|\text{SVec}(Q)|)$. If this entry is true then node $v$ is part of the answer for query $Q$ and is added in the set $\text{ans}$, otherwise it is not. Notice that in terms of space, our vectors are still linear in the size of the query $Q$. Furthermore, by summarizing the whole stack information at the top of the stack, there are considerable savings in terms of time since we avoid going through the whole stack during each node computation. Also, note that unlike ParBoX, which requires three vectors per node for the evaluation of qualifiers, here we only maintain a single vector per node.
There are two more things to consider. First, we need to consider qualifiers. Recall that qualifiers and selection paths are evaluated independently by Algorithm PaX3. We maintain the relationship between the selection SVect(Q) and qualifier part QVect(Q) of query Q through Procedure assocQual (Procedure topDown, line 7). The procedure returns for each entry of SVect(Q) the qualifier entry in QVect(Q) whose truth value needs to be checked. To determine this truth value, we only need to instantiate the variables in QV, with the corresponding truth values in QVF, for
subfragment $F_k$. These latter truth values have already been computed during Stage 1 and are known at the beginning of this stage.

**Example 4.1.** For simplicity, ignore for the moment the fragmentation of the tree in Figure 1 and assume that we evaluate $SVect(Q)$ from Example 2.1 over the three clients of the tree. Then, the following are the $SVect(Q)$ vectors computed for some of the nodes:

<table>
<thead>
<tr>
<th>Vectors</th>
<th>leftmost client</th>
<th>middle client</th>
<th>rightmost client</th>
</tr>
</thead>
<tbody>
<tr>
<td>$SV_{client}$</td>
<td>$&lt; 1, 0, 0 &gt;$</td>
<td>$&lt; 1, 0, 0 &gt;$</td>
<td>$&lt; 0, 0, 0 &gt;$</td>
</tr>
<tr>
<td>$SV_{broker}$</td>
<td>$&lt; 0, 1, 0 &gt;$</td>
<td>$&lt; 0, 1, 0 &gt;$</td>
<td>$&lt; 0, 0, 0 &gt;$</td>
</tr>
<tr>
<td>$SV_{name}$</td>
<td>$&lt; 0, 0, 1 &gt;$</td>
<td>$&lt; 0, 0, 1 &gt;$</td>
<td>$&lt; 0, 0, 0 &gt;$.</td>
</tr>
</tbody>
</table>

For the two leftmost clients all vectors are identical since for both clients the qualifiers on client and broker evaluate to true (from Stage 1). Hence the name nodes of broker are answers to the query, verified by the fact that $SV_{name}(SVect(Q))$ is true. For the rightmost client, although there exists a client/broker/name path, the vector entries are all false since all qualifiers evaluate to false.

The second issue concerns partitioning. At the beginning of the top-down traversal, given the root node $r$ of a fragment $F_j$, we do not know the $SVect(Q)$ vector which summarizes the ancestors of $r$ (located in some other fragment). Similar to the evaluation of qualifiers, we address this issue by introducing Boolean variables, one for each value of the unknown $SVect(Q)$ vector. We initialize the stack used in the traversal to include the vector with the variables (Procedure $topDown$, line 1). An immediate effect from the introduction of variables is that for some nodes, say node $v$, the last entry in vector $SV_r$ might be a Boolean formula. Since we are not sure about whether or not node $v$ is an answer to $Q$, we add $v$ to the set of candidate answers of $Q$ (Procedure $topDown$, lines 10–11). The third stage of algorithm PaX3 will determine which of the candidate answers is an actual answer to $Q$.

Similar to Stage 1, Stage 2 concludes by having each site $S_i$ returning to site $S_0$ a set of $SVect(Q)$ vectors, namely, $returnSet$, one vector for each subfragment (virtual node) $F_k$ of a fragment $F_j$ of site $S_i$. Note that $returnSet$ consists of at most $k$ Boolean vectors, where $k$ is the number of virtual nodes in the fragment. Neither ans nor cans is sent to $S_0$. At site $S_0$, Procedure $evalFT$ unifies the variables in the received vectors, through a single top-down traversal of $F_T$.

**Example 4.2.** After Procedure $topDown$ concludes in fragment $F_1$, the following $SVect(Q)$ vectors are computed for the nodes in $F_1$.

$$SV_{init} = <z_1, z_2, z_3>, \quad SV_{broker} = <0, z_1, 0>, \quad SV_{name} = <0, 0, z_1>.$$ 

Vector $SV_{init}$ is inserted into the stack in Procedure $topDown$ (line 1). This is because we are not sure during the parallel processing of fragments what path precedes node broker. In this particular case, we are interested in whether the parent node of broker, which is stored in fragment $F_0$, is client (variable $z_1$). Even if we know that the parent node of broker must be client, we are not certain whether there are any qualifiers in the parent node or whether any such qualifiers evaluate to true or false. One of the advantages of partial evaluation is that query processing proceeds, even in the presence of uncertainty, and information about qualifiers and selection paths is kept local to each fragment rather than being sent to the coordinator site $S_0$. This results in, as we will prove in Section 4.3, minimum network traffic while computation costs remain optimal.

The uncertainty of what precedes node broker is propagated in both $SVect(Q)$ vectors $SV_{broker}$ and $SV_{name}$ through Boolean variable $z_1$. Note that node name is a
candidate answer due to the last entry in \( SV_{name} \). After Procedure \( \text{topDown} \) concludes in all fragments, Procedure \( \text{evalFT} \) uses vector \( SV_{client} = < 1, 0, 0 > \) from fragment \( F_0 \) to unify vector \( SV_{init} = < z_1, z_2, z_3 > \) from fragment \( F_1 \). Variable \( z_1 \) is unified to true and thus node \( name \) is an answer to \( Q \).

### 4.2. Retrieving Query Answers

The last stage of Algorithm \( \text{PaX3} \) is initiated at site \( S_Q \) by having site \( S_Q \) notifying each site \( S_i \) holding a fragment \( F_i \) about the result of Procedure \( \text{evalFT} \) (Figure 6, line 15), that is, the truth values of vector \( SV_{F_i} \). Although vector \( SV_{F_i} \) was sent to \( S_Q \) from site \( S_i \) holding the parent fragment \( F_j \) of \( F_k \), the vector is sent to \( S_i \) in which \( F_k \) is stored, instead of \( S_j \). The received vectors are used by each site to decide which candidate answers in \( cans \) are real answers to \( Q \) (Figure 7, Procedure \( \text{collectAns} \)). Referring to our last example, after site \( S_Q \) determines that variable \( z_1 \) unifies to true, it sends this information to fragment \( F_1 \). Fragment \( F_1 \) decides, in turn, that node \( name \) is an answer to query \( Q \) and thus it sends this node back to site \( S_Q \).

### 4.3. Analysis

To draw comparisons with \( \text{ParBoX} \), for the analysis of \( \text{PaX3} \) we again consider the communication cost of the algorithm as well as its total and parallel computation costs. Recall that the total computation cost is the sum of the computation performed at all the sites while the parallel computation cost is the time needed for evaluating the query at different sites in parallel.

#### Communication cost.

As shown in the analysis of \( \text{ParBoX} \), the communication cost for the first stage is \( O(|Q| |F_T|) \), that is, communication is independent of the initial tree \( T \) and it only depends on the size of \( Q \). The second stage of \( \text{PaX3} \) also has cost \( O(|Q| |F_T|) \), while the last stage has cost \( O(|Q| |F_T|) + |\text{ans}|) \). Therefore, the total communication cost of \( \text{PaX3} \) is \( O(|Q| |F_T|) + |\text{ans}|) \).

When we execute a query \( Q \) in a distributed environment with \( |F_T| \) sites, it is obvious that we are willing to pay at least the cost of transmitting our query over the various sites (cost \( O(|Q| |F_T|) \)). In addition, one cannot avoid the cost of retrieving the actual answers to our query (cost \( O(|\text{ans}|) \)). In this sense, a communication cost \( O(|Q| |F_T|) + |\text{ans}|) \) is optimal.

#### Total computation cost.

At each stage, each fragment \( F_j \) is traversed only once. During the traversal, at each node \( v \) of \( F_j \) at most \( O(|Q|) \) operations are performed (one operation per vector entry). Therefore, at each stage, the total computation for each fragment is \( O(|Q| |F_j|) \). At the end, in each stage and overall, the total computation for all fragments is \( O(|Q| \sum T) \), which coincides with the cost of executing query \( Q \) over \( T \) in a central site [Gottlob et al. 2002]. Therefore, the distribution of computation does not incur extra computation costs.

#### Parallel computation cost.

As more than one fragment can be assigned to a site, we use \( |F_{S_i}| \) to denote the cumulative size of the fragments in site \( S_i \). As computation is performed in parallel at all sites, the parallel computation cost at each stage is determined by the site holding the largest cumulative fragment. That is, the parallel computation cost for the first two stages and overall is \( O(|Q| \max_S |F_{S_i}|) \).

#### Correctness.

One can verify, by induction on the structure of \( \mathcal{X} \) queries \( Q \), that algorithm \( \text{PaX3} \) computes the correct answer \( Q(T) \) on any XML tree \( T \) no matter how \( T \) is fragmented and distributed.
Fig. 8. The PaX2 Algorithm.

**Summary.** With the exception of the necessary \( O(|\text{ans}|) \) cost incurred by transmitting query answers and at most three visits per site, the costs of PaX3 coincide with those of ParBoX. In short, we have proposed an algorithm to evaluate a larger, and more useful, fragment of queries than those considered by ParBoX yet we provided comparable performance guarantees. Moreover, we guarantee minimum data transmission since the only data transmitted by PaX3 are the actual query answers.

### 4.4. Improving Algorithm Pax3

We next present Algorithm PaX2, which has two stages and needs only two visits per site, one less than PaX3.

The main idea behind algorithm PaX2 is to combine the first two stages of algorithm PaX3, that is, the evaluation of qualifiers and selection paths, into a single stage. As shown in Figure 8, the algorithm starts with site \( S_0 \), making a remote procedure call to all the sites holding fragments of \( T \) (lines 1–2). At each such site, Procedure `evalXPath` combines the partial evaluation of selection paths with that of qualifiers, over a fragment \( F_j \). The procedure performs a top-down (depth-first) traversal of fragment \( F_j \). At each node \( v \) of \( F_j \), two types of computation are performed: a preorder computation and a post-order computation. The preorder computation at \( v \) essentially performs the computation of Procedure `topDown` in Figure 7. One important difference is that unlike Procedure `topDown` which assumes that qualifiers have already been computed (Figure 7, line 7), here we need to introduce variables for the values of the yet undetermined qualifiers.

**Example 4.3.** Consider the query of Example 2.1. The preorder computation of the query over the leftmost client node of fragment \( F_0 \) (shown in Figure 3(a)) results in the SVect(\( Q \)) vector \( SV_{\text{client}} = \langle qz_1, 0, 0 \rangle \). Variable \( qz_1 \) indicates that although the node label is client, the qualifier for the node is yet to be determined. Contrast this with Example 4.1 where, for the same node, PaX3 results in vector \( \langle 1, 0, 0 \rangle \) since the value of qualifiers has already been computed by Stage 1 of PaX3.

For a more complex example, consider the preorder computation over fragment \( F_1 \). The computation results in \( SV_{\text{broker}} = \langle 0, z_1 \land qz_2, 0 \rangle \). Here variable \( z_1 \) is due to
the initialization of the vector stack (see Example 4.2), while variable \( q_2 \) is due to the qualifier for the node that is still undetermined. In terms of the \( \text{name} \) node in \( F_1 \), 
\[
SV_{\text{name}} = < 0, 0, z_1 \land q_2 >
\]

The postorder computation at a node \( v \) starts once every node in the subtree rooted at \( v \) is visited (always within a fragment). At that point, the qualifiers have been computed for all the nodes in the subtree, through a procedure similar to ParBoX. Using the qualifier values at node \( v \), we can unify some of the variables introduced during the preorder computation.

Example 4.4. Going back to the query from Example 2.1, after we traverse the subtree rooted at the leftmost \( \text{client} \) node of \( F_0 \), the qualifiers for the subtree rooted at \( \text{client} \) are as follows:

\[
\begin{align*}
QV_{\text{name}} &= < 0, 0, 0, 0, 1, 0, 0, 0, 0 > \\
QV_{\text{country}} &= < 1, 0, 1, 0, 0, 0, 0, 0 > \\
QV_{F_1} &= < x_1, x_2, x_3, x_4, x_5, x_6, x_7, x_8, x_9 > \\
QV_{\text{client}} &= < 0, 0, 0, 1, 0, 0, 0, 0 >
\end{align*}
\]

The \( \text{client} \) node is associated only with the first qualifier (entry \( q_4 \) of \( QV_{\text{client}} \)). Thus we can unify variable \( q_2 \) in \( SV_{\text{client}} = < q_2, 0, 0 > \) (see the last example) to true, yielding vector \( < 1, 0, 0 > \), the same vector that PaX3 computes but only after two passes.

For fragment \( F_1 \), the qualifiers for the subtree rooted at \( \text{broker} \) are shown here:

\[
\begin{align*}
QV_{\text{broker}} &= < 0, 0, 0, y_3, 0, 0, 0, 0, y_8 > \\
QV_{F_2} &= < y_1, y_2, y_3, y_4, y_5, y_6, y_7, y_8, y_9 >
\end{align*}
\]

Node \( \text{broker} \) is associated only with the second qualifier (entry \( q_9 \) of \( QV_{\text{broker}} \)). Thus we can unify variable \( q_2 \) in \( SV_{\text{broker}} = < 0, z_1 \land q_2, 0 > \) (see the last example) to \( y_8 \), yielding \( < 0, z_1 \land y_8, 0 > \), while \( SV_{\text{name}} \) is now \( < 0, 0, z_1 \land y_8 > \). The values for both variables \( z_1 \) and \( y_8 \) will be determined in the next stage of PaX2.

Stage 1 concludes by having each site \( S_i \) returning to site \( S_Q \) a set of \( SVect(Q) \) and \( QVect(Q) \) vectors, one \( SVect(Q) \) vector for each virtual node \( F_j \) of a fragment \( F_j \) of site \( S_i \), and one \( QVect(Q) \) vector for each fragment \( F_j \) of site \( S_i \). Then at \( S_Q \) Procedure evalFT unifies the variables in the received vectors. Stage 2 of PaX2 is similar to Stage 3 of PaX3. The unified vectors are sent from \( S_Q \) to the appropriate sites, and the sites return to \( S_Q \) the query answers.

Example 4.5. Continuing our last example, site \( S_i \) holding fragment \( F_1 \) receives the following vectors from \( S_Q \):

\[
SV_{\text{init}} = < 1, 0, 0 >, \quad QV_{F_2} = < 0, 0, 0, 0, 0, 0, 1, 0 >
\]

With these vectors, site \( S_i \) unifies both variables \( z_1 \) (entry \( q_1 \) in \( SV_{\text{init}} \)) and \( y_8 \) (entry \( q_8 \) in \( QV_{F_2} \)) to true. Then the vector for node \( \text{broker} \) becomes \( < 0, 1, 0 > \) and the vector for node \( \text{name} \) becomes \( < 0, 0, 1 > \). Therefore, node \( \text{name} \) is in the answer of \( Q \).

Analysis. While the worst-case complexity of algorithms PaX2 and PaX3 is the same, PaX2 requires one less visit per fragment. Indeed, our experimental results in Section 7 demonstrate that PaX2 outperforms PaX3.
4.5. Optimization via Annotations

We present an optimization method that identifies fragments that do not contain any nodes in the query answer. The optimization technique is used by both PaX3 and PaX2 to rule out identified fragments from any processing.

To do this, we require that each edge \((F_j, F_k)\) of the fragment tree \(F_T\) of \(T\) is annotated with a simple XPath expression describing the path in \(T\) connecting the root of fragment \(F_j\) with the root of fragment \(F_k\). As an example, Figure 9 shows the XPath-annotated fragment tree from our motivating example. The \((F_0, F_4)\) edge is annotated with \(\text{client/broker/market}\) since the root of fragment \(F_4\) is reachable from the \(\text{client}\) root node through this expression. The additional XPath-annotation requirement imposes negligible space overhead for the fragment tree \(F_T\).

To see how XPath-annotations can help during query evaluation, consider a query \(Q\) and a top-down evaluation of the selection path of \(Q\). Both algorithms PaX3 (in its Stage 2) and PaX2 (in its Stage 1) adopts this strategy. We first use a top-down evaluation of the selection path of \(Q\) over the XPath-annotated fragment tree. Performing such an evaluation results in a set of nodes that correspond to fragments. Each returned fragment potentially contains actual tree nodes that are in the answer of \(Q\). Our objective is to evaluate PaX3 or PaX2 only on these fragments and skip fragments that we know contain no nodes relevant to the answering of \(Q\).

Example 4.6. Consider a simple query \(\text{client/name}\) over tree \(T\), which returns the names of all clients. Evaluating this query over the fragment tree of Figure 9 finds fragments \(F_0\) and \(F_3\). Fragment \(F_0\) is considered since the procedure cannot determine with certainty whether the fragment contains or not any paths satisfying the query. Fragment \(F_3\) is considered since the procedure knows that a client subtree is included in \(F_3\), although it is not certain whether a \(\text{name}\) node is also included. On the other hand, the procedure determines with certainty that fragments \(F_1\), \(F_2\) and \(F_4\) should not be considered. Fragment \(F_1\) is ruled out since the path \(\text{client/broker}\) between fragments \(F_0\) and \(F_1\) does not satisfy the query. Similarly, the path \(\text{client/broker/market}\) from \(F_0\) to \(F_2\) and \(F_4\) does not satisfy the query and therefore, fragments \(F_2\) and \(F_4\) are both ruled out.

XPath-annotations are used before the beginning of Stage 2 of PaX3 (resp. before Stage 1 of PaX2) to identify fragments that are relevant to a query. Apart from ruling out irrelevant fragments, XPath-annotations can also be used to reduce the number of passes of PaX3 and PaX2. More specifically, if the input query \(Q\) has no qualifiers then we can use XPath-annotations to skip the last step of both algorithm PaX3 and PaX2. Intuitively, through the XPath-annotations we can guarantee that any candidate answers identified by Stage 2 of PaX3 (resp. Stage 1 of PaX2) are real answers to the query and can be sent back to site \(S_Q\). Recall from Section 4.1 that without XPath-annotations, for each fragment, we need to initialize the stack in Procedure topDown with variables, since we have no information about the ancestor nodes of each fragment root. XPath annotations encapsulate precisely the information about the ancestors of
a fragment root and they can be used to initialize the stack in Procedure \texttt{topDown} with concrete Boolean values, instead of variables. Thus every answer to query $Q$ can be identified with certainty.

As will be seen in Section 8, XPath annotation has been explored \cite{Marian and Siméon 2003; Zhang et al. 2009} for query processing. The previous discussion demonstrates that XPath annotation is also effective in partial evaluation, as will be experimentally verified in Section 7.

5. A MAP-REDUCE ALGORITHM FOR EVALUATING BOOLEAN QUERIES

MapReduce \cite{Dean and Ghemawat 2004} is a software framework for processing huge datasets on certain distributable problems using a large number of computers. It allows distributed and parallel processing of map and reduction operations, and hence, can be applied to huge datasets, and facilitate recovering from partial failure of servers or storage during the operations. It has found a wide range of applications in industry.

Partial evaluation can be naturally expressed in the MapReduce model. To demonstrate this we next present Algorithm MRParBoX (Map Reduce based ParBoX), a MapReduce algorithm for evaluating XPath queries based on partial evaluation. To simplify the discussion we focus on Boolean XPath queries.

5.1. The MapReduce Model

MapReduce \cite{Dean and Ghemawat 2004} is a model for data-intensive parallel computation in shared-nothing clusters. In MapReduce, data are modeled as $<key, value>$ pairs, partitioned across the nodes of a cluster and stored in a DFS (Distributed File System). The computation is expressed using two user-defined functions:

\[
\text{map} \: <k_1, v_1> \rightarrow \text{list}(<k_2, v_2>); \quad \text{reduce} \: <k_2, \text{list}(v_2)> \rightarrow \text{list}(<k_3, v_3>).
\]

The computation is distributed across the nodes of the cluster. (a) A designated coordinator first partitions the input data into \textit{input splits}, and each of the splits is assigned to a machine as a \textit{map task}. (b) The map function is applied to different input splits in parallel, producing \text{list}(<k_2, v_2>) of intermediate $<key, value>$ pairs. (c) The $<key, value>$ pairs produced in the map phase are hash-partitioned based on the key, yielding partitions $<k_2, \text{list}(v_2)>$. Each of the partitions is assigned to a machine as a \textit{reduce task}. (d) The reduce function is invoked for each $<k_2, \text{list}(v_2)>$, producing $<key, value>$ pairs that are written to a distributed file in the DFS.

5.2. The MRParBoX Algorithm

We now present Algorithm MRParBoX, shown in Figure 10. It consists of three procedures, configMRParBoX, mapParBoX and reduceParBoX, described as follows.

Procedure configMRParBoX is invoked before map or reduce functions are called. It first loads input $\lambda_{BL}$ query $q$ and parses $q$ into Vect ($q$) (lines 1–2). It then loads fragment tree $F_T$ (line 3). All subsequent map tasks need to utilize $q$ and $F_T$.

Function mapParBoX takes as input a $<key, value>$ pair, where key is the id of a fragment $F$ of the input XML tree $T$, and value is the XML content of the fragment $F$. To accommodate arbitrary fragmentation strategies, we assume that the XML data are already partitioned, as before, but remark that the algorithm can be readily extended to process data that are not yet partitioned. The function conducts partial evaluation on fragment $F$, along the same lines as ParBoX. Similar to ParBoX, for virtual leaves in $F$ that link to other fragments, mapParBoX uses variables to represent them and leaves it to the reduce phase to find the true value of those variables.

More specifically, when processing a pair $<k_1, v_1>$, mapParBoX first reads $v_1$ and calls buildFragment to construct XML tree $F_{k_1}$ (line 1), where buildFragment can be
implemented easily by any standard XML parser. It then invokes procedure bottomUp to evaluate $q_L$ over $F_k$ (line 2), and the results are attached to the output list $L_2$ (line 3). It assigns an intermediate constant key 1 to the Boolean formula computed (line 3).

Function reduceParBoX takes as input $<k_2, list(v_2)>$, which is obtained by grouping the output of mapParBoX by key. For each pair $<k_2, v_2>$, reduceParBoX first extracts the Boolean formula from $v_2$ (lines 1–2). It then invokes procedure evalST (see Section 3) to compose partial answers and get the final answer to $q$ (line 3).

**Example 5.1.** Continuing with Examples 3.1 and 3.2, consider the same $X_{BL}$ query $[q]$ given in Example 3.1 posed on the XML tree $T$ shown in Figure 1. As shown in Figure 11 (not including preprocessing by configMRParBoX), Algorithm MRParBoX evaluates $[q]$ over $T$ as follows. Suppose that $T$ has been partitioned, and the fragments have been loaded into DFS and represented as $<key, value>$ pairs. First, the fragments are grouped and are sent to map nodes in a cluster of machines. Upon receiving the fragments assigned to it, each map node parses them into $<key, value>$ pairs and invokes procedure mapParBoX for each pair. As shown in Figure 11, the output pairs of the mapParBoX function, which consist of vectors $QVs$, $QCVs$ and $QDV$s (see Examples 3.1 and 3.2), are grouped by key, and are sent to a reduce node as input. The reduce node invokes procedure reduceParBoX to conduct partial answer composition and find the final answer to $[q]$ in $T$. 

---

**Procedure configMRParBoX**

1. Load input $X_{BL}$ query $q$;
2. $q_L := QVEq(q)$;
3. Load the fragment tree $F_T$;

**Procedure mapParBoX**

*Input:* $<k_1, v_1>$, $k_1$: fragment ID, $v_1$: the content of fragment $k_1$.

*Output:* $L_2$: list of $<k_2, v_2>$, $k_2$: intermediate id, $v_2$: Boolean formula.

1. $F_k := buildFragment(v_1)$;
2. $(QV_{F_k}, QCV_{F_k}, QDV_{F_k}) := bottomUp(F_k, q_L)$;
3. $L_2 := L_2 \cup <1, [k_1, QV_{F_k}, QCV_{F_k}, QDV_{F_k}]>$;
4. return $L_2$;

**Procedure reduceParBoX**

*Input:* $<k_2, list(v_2)>$.

*Output:* $<unused, the Boolean value ans of q>$.

1. for each pair $<k_2, v_2>$ in list($v_2$) do
   2. extract variables vectors from list($v_2$);
   3. ans := the answer to input $X_{BL}$ query $q$ composed by procedure evalST;
4. return $<0, ans>$;

---

Fig. 10. Algorithm MRParBoX.

Fig. 11. The sketch of MapReduce.
6. XPATH EVALUATION ON LARGE XML DOCUMENTS

Partial evaluation also finds applications in the centralized setting. The idea is to first partition an XML file into smaller fragments that can easily fit into memory, and then extend the partial evaluation techniques to evaluate the queries on each fragment and compute the final answer by assembling partial results. As remarked earlier, the benefits are twofold. First, this no longer requires to load the document into an XML processing system. Second, it overcomes the limitations of those XML engines that have to load (part of) an XML tree into memory to evaluate an query, and no longer work when the data loaded exceeds the capacity of the memory.

We next present two centralized algorithms for evaluating XPath query on large XML documents. Consider an XPath query $Q$ and an XML tree $T$, which, without loss of generality, is partitioned into $n$ fragments $F_T = \{F_1, F_2, \ldots, F_n\}$. There have already been several proposals for partitioning an XML tree [Bordawekar and Shmueli 2004; Kanne and Moerkotte 2006a; Kundu and Misra 1977; Lukes 1974]. Hence we shall simply adopt one of the partitioning strategies, and focus on how to extend the partial evaluation techniques to the centralized setting.

Similar to their distributed counterparts, the centralized algorithms need to first evaluate the qualifiers in the query $Q$, and then process the selection path of $Q$ when the truth values of the qualifiers are available at each node of the XML tree $T$. In contrast to the distributed setting, where fragments are distributed across different sites, in the centralized setting all the fragments are in a single site. Thus, when developing the evaluation algorithms, we have the flexibility in terms of the fragments processing order, both for the qualifier and the selection path evaluation.

Our centralized algorithms adopt different evaluation ordering for fragments. One of our algorithms, referred to as BT-CPaX, evaluates qualifiers bottom-up and the selection path top-down. The other, TT-CPaX, evaluates both qualifiers and the selection path top-down. We remark that the optimization techniques given earlier can be readily adapted to the centralized setting.

6.1. Centralized Evaluation Algorithm BT-CPaX

Algorithm BT-CPaX is shown in Figure 12. Along the same lines as its distributed counterparts, it consists of two stages, where each stage corresponds to one visit to all fragments, described as follows.

Stage 1. This stage is to evaluate the qualifiers of the query $Q$, such that truth value of each qualifier will be known for all nodes by the end of this stage. Obviously, if a query has no qualifiers, this stage can be skipped.

We traverse the fragments bottom-up. This simplifies the evaluation of qualifiers: the truth value of each qualifier at a node can be determined without using any
Fig. 13. The TT-CPax Algorithm.

Procedure TT-CPax
Input: An XPath query $Q$ and a fragmented tree $T$
Output: The set ans of nodes of $Q$ over $T$
/* Stage 1 */
1. for each fragment $F_j$ in $T$, traversed top-down, do
   evaluate subqualifiers and selection path of $Q$ on fragment $F_j$ using a combination of preorder
   and postorder computation;
/* Stage 2 */
3. for each fragment $F_j$ in $T$, traversed top-down, do
   compute the true value of Boolean expressions and return results;

Boolean variables or formulas. This is because all the children fragments of a fragment $F_j$ are traversed before $F_j$, that is, the truth value of qualifiers at a virtual node (representing a child fragment of $F_j$) in the fragment $F_j$ can be determined before evaluating the qualifiers on the nodes in $F_j$. Within each fragment, we use an extension of the ParBoX algorithm of Figure 5 to evaluate the qualifiers.

Example 6.1. Consider the query $Q$ of Example 2.1. Suppose that the fragment tree is given in Figure 9. To evaluate $Q$, the first stage of BT-CPax visits the fragments in the order $F_2 \rightarrow F_1 \rightarrow F_4 \rightarrow F_3 \rightarrow F_0$ to evaluate the qualifiers in $Q$ at each node. It first visits fragment $F_2$ and evaluates subqualifiers at each node. It then visits fragment $F_1$ that includes the virtual node for $F_2$. We do not need to introduce variables for the subqualifiers at the virtual node since we have already traversed $F_2$, that is, the values of vector QVect for $F_2$ are already known.

Stage 2. This stage aims to evaluate the selection part of query $Q$, such that at the end of this stage, for each node in each fragment, we know whether the node is part of the answer to query $Q$. Unlike Stage 1, here we traverse the fragments top-down. As expected, again we do not need to introduce Boolean variables or formulas to represent the unknown values of subqueries of the selection path.

Example 6.2. Consider Example 6.1. Stage 2 of Algorithm BT-CPax visits the fragments in the order $F_0 \rightarrow F_3 \rightarrow F_4 \rightarrow F_1 \rightarrow F_2$ to evaluate the selection part of $Q$. It first traverses fragment $F_0$. When it comes to fragment $F_1$, the initial value $SV_{init}$ has been determined to be $< 1, 0, 0 >$ as $F_0$ has already been processed.

6.2. Centralized Evaluation Algorithm TT-CPax
We present algorithm TT-CPax in Figure 13. It consists of two stages, as follows.

Stage 1. In this stage, we evaluate both the qualifier and selection path of query $Q$ in one traversal of the fragments of the XML tree. The truth value of each qualifier, and the truth value of each selection subqueries for each node will be known or be represented by a Boolean formula by the end of this stage.

We visit the fragments top-down. For each fragment $F_j$, similar to Algorithm PaX2, we combine the evaluation of qualifiers and that of selection paths by performing a top-down (depth-first) traversal of nodes. At each node $v$ of $F_j$, two types of computation are performed: a preorder computation for selection path evaluation and a postorder computation for qualifier evaluation. Compared to Algorithm BT-CPax, there are clear benefits by combining the steps. However, these benefits come at a price: we need to
use Boolean variables for the values of subqualifiers and subqueries that cannot be
determined at the time of node-processing.

Yet, the combination of qualifier and selection path evaluation opens the way for
optimization strategies that are not possible for BT-CPax. Indeed, by separating the
two types of evaluation, algorithm BT-CPax must evaluate all the subqualifiers at each
node. However, (sub-)qualifiers are associated with only certain subqueries or certain
nodes in an XML tree. For example, in Example 2.1, subqualifier \( q_4 = */q_3 \) is asso-
ciated with selecting subquery \( q_4 = \text{client} \), but not with the others, and subqualifier
\( q_9 = */q_3 \) is associated with selecting subquery \( q_2 = q_3/\text{broker} \). Also, subqualifier
\( q_2 = \text{text()="US"} \) is only associated with \textit{country} nodes in an XML tree. In BT-CPax the
two types of evaluation are performed in different stages. When evaluating qualifiers,
the algorithm is unaware of which subquery in the selection path the current node
will map to (if any). Thus BT-CPax must evaluate all subqualifiers at each node. In
contrast, TT-CPax does not have to do this.

When it comes to implementation, the association between subqualifiers and select-
ning subqueries can be formally modeled in terms of filtering nondeterministic finite
state automata [Fan et al. 2007]. If the truth value of a subquery at a node is false,
then there is no need to evaluate the subqualifiers associated with the subquery at
the node. Algorithm TT-CPax performs the evaluation of subqueries of selection path
in a preorder traversal, and thus we know the truth value or the Boolean formula of
subqueries at a node when we evaluate the subqualifiers in a postorder traversal. If
the truth value of a subquery at a node is false, we simply discard the subqualifiers
associated with the subquery at the node.

\textit{Example 6.3.} Consider the setting in Example 6.1. Algorithm TT-CPax visits the
fragments in the order \( F_0 \rightarrow F_3 \rightarrow F_4 \rightarrow F_1 \rightarrow F_2 \). In the first stage of TT-CPax,
TT-CPax combines the preorder computation for selection path evaluation and the post-
order computation for qualifier. Consider the node \textit{client} in fragment \( F_3 \). We know
that the node is associated only with the first qualifier (entry \( q_4 \) of \( QV_{client} \)) and thus
at the postorder computation, we do not need to evaluate the remaining qualifiers
of \( QV_{client} \) in the postorder computation (and similarly for the \textit{broker} node and its
associated second qualifier in entry \( q_9 \) of \( QV_{client} \)).

\textit{Stage 2.} In the second stage of TT-CPax, we compute the truth values of Boolean
formulas of subqualifiers and subqueries to determine which candidate nodes are \textit{true}
answer nodes. We process the fragments in a top-down order to evaluate the Boolean
formulas in a fragment.

7. EXPERIMENTAL STUDY

We provide an experimental study of our algorithms for evaluating XPath queries in
the distributed setting (Section 7.1), the MapReduce algorithm (Section 7.2), and of
our algorithms for evaluating queries in the centralized setting (Section 7.3).

7.1. Experiments for Distributed Query Evaluation Algorithms

\textit{Experimental Setting.} Our datasets consist of XML trees in which the root node is
simply called a \textit{“site,”} and each child node of the root node is called an XMark [Schmidt
et al. 2002] \textit{“site.”} We generated multiple XMark \textit{“sites.”} In each experiment we as-
signed (fragments of) XMark \textit{“sites”} to different machines.

Figure 14 shows a sample of the executed queries over our fragmented tree. The
choice of presented queries will become clear shortly. Note that we only report results
on data selecting XPath queries since they encompass Boolean queries.
We used ten machines running Redhat Linux 9 (fragment sites), distributed over a local LAN. Each machine has a 3GHz CPU and 1GB of memory. In all experiments, reported times are averaged over multiple runs. For each reported time, computation time dominates over communication time, that is, the time it takes to send query answers to the query site is negligible compared to the time to compute these answers by running PaX3 or PaX2. For consistency, algorithm PaX3 is always plotted using solid lines, while PaX2 is plotted with dotted lines. During the evaluation of an algorithm, if no XPath annotations (NA) are used then the line is plotted using a box symbol, and otherwise it is plotted using a black diamond.

**Utility of Fragmentation and Efficiency.** The objective of this set of experiments is twofold. First, we want to illustrate the benefits of fragmentation. Second, we want to verify the efficiency and scalability (in the number of fragments) of PaX3 and PaX2, in the presence or in the absence of fragment tree XPath annotations.

We consider a simple fragment tree like FT1, shown to the left of Figure 15. Our conclusions carry over to more complex fragment trees (with the same number of fragments) since in both PaX3 and PaX2, irrespectively of the structure of the fragment tree and the presence of XPath annotations, a site holding a fragment at any level of the tree communicates directly with site $S_Q$. Each fragment in FT1 corresponds to an XMark "site" and is assigned to a different machine. Throughout this experiment, the cumulative size of all fragments in FT1 is constant and equal to approx. 100MB. In more detail, in the first iteration of the experiment we consider a single fragment $F_0$ of size 100MB, then iteration two considers two fragments $F_0$ and $F_1$ of 50MB each and, in general, in iteration $j$ we consider $j$ fragments each of size $(100/j)$MB. For this experiment, we focus on two queries, one without qualifiers ($Q_1$) and one with qualifiers ($Q_4$).

In Figure 16(a), we show the evaluation times of query $Q_1$ at each iteration of the experiment for algorithm PaX3. The top line in the graph shows the evaluation times of $Q_1$ in the absence of XPath annotations, while the bottom line uses XPath annotations. Note that regardless of the presence of XPath annotations, tree fragmentation is beneficial since as fragmentation increases query evaluation time decreases, due to parallelism. The results also validate the analysis of Section 4 since the evaluation (parallel computation) cost of PaX3 depends only on the maximum fragment size. Since
the difference in maximum fragment sizes between iterations $j$ and $(j+1)$ is $\frac{100}{j(j+1)}$ MB, the improvement in evaluation times between iterations starts to diminish after approximately iteration 6.

Let us now focus on the number of passes. Since query Q1 has no qualifiers, algorithm PaX3 can skip the first stage (pass) and only requires two passes of each fragment. Note that during the first iteration, when only one fragment exists (i.e., no actual fragmentation), PaX3 needs only to execute Stage 2 (a single pass) and can also skip the last stage, since any candidate answers from the second phase can be directly returned. When a second fragment is introduced in the next iteration of our experiment, PaX3 needs two passes per fragment. This additional pass causes a minor increase in evaluation time, as shown in the figure. The effect of parallelism outweighs however the cost of the additional pass from the third iteration on.

We now focus on algorithm PaX2. For query Q1, PaX2 has approximately the same evaluation time as algorithm PaX3, and thus it is not shown in the figure. To see why this is so, note that due to the lack of qualifiers in Q1, both algorithms require two passes over each fragment. The situation is different however, for a query like Q4, as shown in Figure 16(b). Due to qualifiers, algorithm PaX3 requires three passes per fragment, while PaX2 requires only two. The figure shows the savings coming from combining the first two passes of PaX3 into one pass in PaX2.

We now consider the effect of XPath-annotation optimization. XPath annotations are used in PaX3 to determine already at the second stage whether a candidate answer is a real answer. In light of this, as shown in Figure 16(a), the evaluation time of PaX3 is almost reduced by half. Thus we save the cost of Stage 3, which is now skipped not just in the first iteration but also in all subsequent ones. We also observe that XPath annotations do not alter the evaluation times of Q4 in each of PaX3 and PaX2. This is due to the ‘://’ in the selection part of Q4, which, given the fragmentation in FT1, requires us to consider all the fragments.

Scalability with Data Size. This set of experiments is to study the scalability of the different algorithms (in terms of query evaluation times) with the size of data. Here we consider a more natural fragment tree for our data, shown to the right in Figure 15. The tree contains four XMark “sites” that are fragmented in different ways. Fragments $F_0$ (which includes the root of the whole tree) and $F_3$ contain two whole XMark “sites,” while the other two XMark “sites” are in fragments $F_1$ and $F_2$, and are further fragmented as shown in the figure. Unlike the previous experiment, not all fragments have the same size. The following table shows the approximate sizes of the various fragments in the first experiment iteration. Each fragment is assigned to a different machine and the cumulative size of the data is 100MB.
At each iteration, we increase the size of each fragment, while maintaining constant the relative ratio of sizes between fragments. The increase is such that the cumulative size of data is augmented by 20MB, per iteration. At the last iteration, the tree is approximately 280MB. We consider four queries in this experiment, such that (a) two do not have qualifiers (Q1 and Q2), while the other two do (Q3 and Q4); (b) two are without a ‘/’ in the selection part of the query (Q1 and Q3) while the other two do have a ‘/’ (Q2 and Q4). Therefore, the queries cover all four possible combinations and are representative of a large class of common queries.

Figure 17(a) clearly shows that algorithm PaX3 scales linearly with the data size for query Q1 (with or without XPath annotations). The running times for PaX2 are almost identical with the two lines from PaX3, and therefore are not shown in the figure. As explained earlier, this is because both algorithms execute two passes over each fragment, due to the lack of qualifiers. The figure also illustrates that evaluation times are reduced by more than half when XPath annotations are used. More specifically, with the annotations in FT2, the evaluation only considers the data in fragments $F_0$, $F_1$, $F_2$, and $F_3$. Figure 17(b) shows similar results, even in the presence of ‘/’. Here in spite of ‘/’ in the query, due to the fragmentation in FT2, only fragments $F_0$, $F_1$, $F_2$, $F_3$, $F_6$ and $F_8$ are considered during the evaluation.

Let us look now at Figure 17(c). Again, PaX3 scales linearly and moreover, its evaluation times are almost identical regardless of whether or not XPath annotations are in place. The reason for this is that here PaX3 must execute Phase 1 over all fragments, since Q3 has qualifiers. Our experiments show that the cost of evaluating qualifiers (Phase 1) is dominant in PaX3 and hence, gains from XPath annotations are minor for
this query, compared to the total execution time. Observe that this is not the case for queries like Q1 and Q2 where no qualifiers are present. There, the gains are significant, compared to the total execution time.

The second line in Figure 17(c) shows that PaX2 scales also linearly and is faster than PaX3, illustrating again the benefits of combining the two passes into one. Note that by using XPath annotations (third line in the figure), the evaluation time of PaX2 is improved even further. In contrast to PaX3, which computes qualifiers in all the fragments, PaX2 is more sophisticated in that it uses XPath annotations to decide on which fragments it executes the combined pass.

The last query considered, query Q4, has a ‘//’ in its selection path and given the fragmentation of FT2, we must evaluate the query (and its qualifiers) over all the fragments of FT2. Here, XPath annotations do not help in ruling out any fragments. Therefore, as Figure 17(d) shows, the only gains in evaluation time are from combining the two passes of PaX3 into one pass of PaX2.

**Total Computation Cost.** This set of experiments are to show that our optimization method reduces in practice not only the parallel computation cost of our algorithms, but equally importantly, it also reduces the total computation cost. This experiment was built on the results of Experiment 2 and used exactly the same setting. To compute the total computation cost of the partial evaluation algorithms, we sum the evaluation times for each machine holding a fragment. Figure 18 shows the total computation cost for each query and algorithm of Figure 17.

Consider Figures 17(a) and 18(a). At first glance, the two figures seem similar, yet there is an important difference. By considering XPath annotations in the fragment tree while evaluating query Q1, the parallel computation cost was almost halved. Figure 18(a) shows that in addition, the total computation cost was reduced by two-thirds. This is because the machines holding those fragments identified irrelevant to
the query did not perform any computation. Therefore, by using XPath annotations not only the query was evaluated faster, but also it required less processing power to do so. Similarly, for Q2 XPath annotations saved two-thirds, in terms of parallel computation, and almost three-quarters, in terms of total computation.

Figures 18(c) and 18(d) illustrate that, in the absence of XPath annotations, in both PaX3 and PaX2 the savings in parallel computation are proportional to the corresponding savings in total computation cost. This is because without XPath annotations, both algorithms are evaluated over each fragment of the tree. However, in the presence of XPath annotations (last line in Figure 17(c) and 18(c)), the savings in total computation are even more significant than those in parallel computation.

Summary. We have shown that distributing tree fragments over various sites proves to be an effective strategy with significant reductions in evaluation time. Obviously, always using the (optimized) algorithm PaX2 along with XPath annotations is sufficient to consistently give the best results in terms of query evaluation time. We should temper the claim about the effectiveness of XPath annotations with the following observation. In the presence of ‘/’ in the selection path of a query, annotations might not help much, as shown earlier for queries like Q4. However, it is not the case that the presence of ‘/’ makes XPath annotations useless. As shown earlier for query Q2, if ‘/’ appears after a prefix of the selection path of the query that matches a path in the XPath annotations, then a considerable number of fragments might be ruled out, thus improving query evaluation performance.

7.2. Experiments for the MapReduce Algorithm

Experimental Settings. We next evaluate the performance of Algorithm MRParBox. We generated XML files of different sizes ranging from 10GB to 50GB using the standard XMark data generator. We used the partition method EKM [Kanne and Moerkotte 2006b] to partition each XML file into a number of fragments, each bounded by a threshold K (32MB by default). The queries used in this experiment are Boolean queries \([Q]\) for queries \(Q\) given in Figure 14. For example, for \(Q1\), \([Q1]\) is \([/sites/site/people/person]\). Reported runtimes are averaged over multiple runs.

The experiments were conducted on Hadoop (see further on). All experiments are ran in a cluster with 64 computing nodes, each with a 2.63GHz CPU and 2GB RAM. The operating system is 64-bit Red Hat Enterprise Linux AS release 4.

EKM Partition Method. The EKM [Kanne and Moerkotte 2006b] method extends the KM method proposed in [Kundu and Misra 1977]. Given an XML tree \(T\) and a threshold \(K\), EKM works by processing the nodes of \(T\) bottom-up. When processing a node \(v\) whose subtree is larger than \(K\), EKM chooses the largest child of \(v\) to construct a new fragment for the subtree.

Hadoop. Hadoop\(^1\) is an open-source implementation of the MapReduce framework in Java, provided by Google. We used Hadoop 0.21.0, implemented MRParBox in C++, and ran MRParBox by using Hadoop Streaming,\(^2\) which is a utility that supports creating and running Map/Reduce jobs written in C++ as the mapper or the reducer.

To present the experimental results, we briefly review the flow of Hadoop streaming. Suppose that XML fragments have been organized as \(<\text{key}, \text{value}>\) pairs and uploaded to the DFS. Given the fragments and some query as inputs, Hadoop system automatically executes MRParBox as follows. (1) For each XML fragment file in

\(^1\)http://hadoop.apache.org
\(^2\)http://wiki.apache.org/hadoop/HadoopStreaming
<key, value>, Hadoop distributes it to some map node based on the hash value of key, and then the corresponding node invokes the map function and computes the output. (2) Then, Hadoop sends the outputs of the map nodes to the reduce nodes. Before invoking the reduce function, at each reduce node, Hadoop sorts the map outputs received. This step is called shuffle. (3) Finally, taking the sorted map outputs as input, a reduce node generates the final result. We use $T_{\text{map}}$ to represent the time cost of the map step, $T_{\text{shuffle}}$ for the shuffle step, $T_{\text{reduce}}$ for the reduce step, and $T_{\text{total}}$ for the runtime of the entire MRParBoX process. MRParBoX needs only one reduce node, and reduce runs after inputs have been received from all the map nodes.

Scalability with the Number of Computing Nodes. This set of experiments studies the scalability of MRParBoX with the number of computing nodes. Fixing data size to 30GB, we varied the number of computing nodes from 10 to 50. We stored the data in the DFS of Hadoop, and invoked MRParBoX to evaluate the Boolean forms of the queries given in Figure 14. The results are shown in Figure 19(a). The results tell us that when the number of computing nodes was increased, it took less time to evaluate the queries. This is because (a) the computing tasks of map were divided into several parts and evaluated in parallel, resulting in significant saving in the $T_{\text{map}}$ cost; and (b) as the node number increased, the data transferring operations in the shuffle procedure distributed inputs by starting multiple HTTP threads that were executed in parallel; this reduced the $T_{\text{shuffle}}$ cost. Note that when the number of computing nodes is beyond 30, adding more nodes does not yield significant improvement in evaluation time. This is because MRParBoX uses a single reducer, which communicates with all map nodes and hence, compromises the gains when the number of nodes increases. It should be remarked that $T_{\text{reduce}}$ remained the same when the number of nodes varied since we fixed the data set in this experiment.

Scalability with Data Size. This set of experiment is to study the scalability of MRParBoX with the size of data. We configured Hadoop using 40 nodes, varied the data size from 10GB to 50GB, where each dataset was partitioned into 32MB fragments. We used the same set of Boolean queries as before. As shown in Figure 19(b), the runtime increased linearly with the data size. The reason is as follows. For a query, (1) the cost of map, $T_{\text{map}}$, mainly depends on the number of fragments processed for the query, which is linear in the size of the data, (2) the cost of shuffle between computing nodes, $T_{\text{shuffle}}$, mainly depends on the number of query vectors produced by map function, which is also linear with the data size, and (3) the cost of reduce is linear with the number of the fragments.
Scale Up of MRParBoX. This set of experiments is to study the scalability of MRParBoX with both the data size and the number of computing nodes. Fixing the ratio between data size (GB) and the number of nodes as 1, we varied the data size from 10GB to 50GB, and thus the number of nodes from 10 to 50. The runtime of MRParBoX is shown in Figure 20(a). When data size and node number increase in the same ratio, the time cost of MRParBoX increases very slightly. The slight increase is because (a) a single reduce node is used for the reduce step and its runtime increases with the size of the data set, although map and shuffle procedures can be executed in parallel; and (b) the cost of managing the computing nodes increases with the number of nodes.

Effects of Fragment Size. This set of experiments is to study the effect of the threshold $K$ for fragment size on the performance of MRParBoX. We fixed the data size at 10GB, and used EKM to partition the data into fragments of different sizes by varying $K$ from 4MB to 64MB. Figure 20(b) shows the results on the four queries when we varied the threshold $K$. Observe that the fragment sizes affect the performance of MRParBoX, and there exists no optimal fragment size for all queries. This is because the fragmentation and query together determine which fragments need to be visited for the query. For instance, when $K$ is 16MB, $Q_3$–$Q_4$ performed the best but $Q_1$ showed the worst performance. This is because $Q_1$ was not very selective on some map node to which several fragments are mapped, each of which is less than 16MB but the sum of their sizes is about 16MB.

Summary. The results of this set of experiments have verified that as a natural extension of ParBoX, MRParBoX is able to process queries on very large XML data, and scales well with the size of data set. In other words, partial evaluation can be readily incorporated into the MapReduce framework.

7.3. Experiments for Centralized Evaluation Algorithms

Experimental Settings. We next evaluate Algorithms BT-CPax and TT-CPax, as well as two of their optimized versions that use the annotation-based optimization, denoted by BT-CPax-XA and TT-CPax-XA, respectively.

We generated several XML files of different sizes ranging from 500MB to 4GB using the standard XMark data generator. The partition method EKM [Kanne and Moerkotte 2006b] was used to partition each XML file into a number of fragments whose sizes were bounded by a threshold $K$ (256KB by default). In this set of experiments we used the same queries given in Figure 14. Reported runtimes are averaged over multiple runs of experiments. We implemented BT-CPax and TT-CPax with egcs2.91.57 C++,
and conducted the experiments on a 64-bit Windows machine with 2.93GHz Pentium Dual CPU and 2GB memory.

Efficiency of BT-CPax and TT-CPax. In this set of experiments, we varied the data size from 500MB to 4GB. Figure 21 shows the runtime of the four different algorithms on the four queries of Figure 14. These results clearly show the benefit of TT-CPax over BT-CPax. We find that for queries with qualifiers (i.e., \( Q_3, Q_4 \)), TT-CPax outperforms BT-CPax, and TT-CPax-XA outperforms BT-CPax-XA (see Figures 21(c) and 21(d)). That is because BT-CPax needs to evaluate the qualifiers of a query at each node of an XML tree, while TT-CPax evaluates selection path and qualifiers in a single pass, and uses the results of selection path evaluations to guide whether to evaluate subqualifiers at a node. This also explains why TT-CPax-XA outperforms BT-CPax-XA. We also find that for queries without qualifiers (i.e., \( Q_1, Q_2 \)), BT-CPax and TT-CPax perform the same, and so do BT-CPax-XA and TT-CPax-XA (see Figures 21(a) and 21(b)). In fact, BT-CPax and TT-CPax (resp. BT-CPax-XA and TT-CPax-XA) are essentially the same when queries do not have qualifiers.

The experimental results also tell us that TT-CPax-XA (resp. BT-CPax-XA) significantly improve the performances of TT-CPax (resp. BT-CPax), showing the utility of the annotation-based optimization.

Scalability with Data Size. The proposed centralized algorithms aim to process very large XML documents. Figure 21 shows that when we vary the size of data
Fig. 22. Performance of centralized algorithms when varying fragment size.

from 500MB to 4GB, all the algorithms scale linearly with the size of data on the four queries, including the complicated query Q4.

Effects of Fragment Size. This set of experiments is to study the effect of the threshold K for fragment size on the performance of the four algorithms. Fixing the data size at 4GB, we varied K from 32KB to 8MB. Figure 22 shows the results on the four queries when we varied the threshold K. Observe that the performance of the algorithms is not very sensitive to the fragment size, and all the four algorithms achieve the best performance on all the four queries when the fragment size is in the range between 32KB and 8MB. When the fragment size is small, both the selection path and annotation-based optimization can be more effective in pruning (at least part of) a fragment, thus reducing the I/O cost. However, smaller fragments also increase the cost of managing the fragment tree and loading fragments. On the other hand, if the fragment size is large, the chance of disregarding an entire fragment is smaller, and thus it would be more likely to process the entire XML tree, while the cost of managing the fragment tree is lower.

Comparison with Other Query Engines. This set of experiments aims to compares our centralized algorithms with three well-known XML query engines, namely, Saxon [Saxon], Galax [Galax] and MonetDB/XQuery [MonetDB]. Among the three XML query engines, Saxon and Galax focus mainly on the evaluation of queries over file-based XML systems as does our approach, where XML documents are stored natively in a file system, and queries are evaluated over the individual XML files. In contrast,
MonetDB/XQuery uses a more database-centric approach where XML documents are imported into the MonetDB system by being shredded into relational databases used in MonetDB. As remarked in Section 1, file-based XML systems are particularly useful in domains like life sciences (e.g., biology), astronomy, and even in commonly used tools like Microsoft Office, where users would prefer to use simple file-based systems rather than complicated full-fledged databases. Hence, next we first compare with the two file-based systems, and then with the database-centric MonetDB/XQuery system.

**Comparison with File-Based Query Engines.** In this experiment, we compare the proposed centralized algorithm with Saxon-HE 9.2 and Galax 1.0.1. Again, we used XMark data of different sizes ranging from 100MB to 500MB. In addition to the queries of Figure 14, we considered three new queries Q5–Q7 given in Figure 23, which are more selective than those in Figure 14. For all the three systems, we measure the end-to-end evaluation time. For Saxon and Galax, this includes the time of loading an XML file into memory and the query execution time. For our own algorithms, the end-to-end evaluation time includes the time of partitioning the XML file (using the default threshold 256KB as the fragment size), the time of loading fragments into memory, and the query evaluation time. We only report the time cost on TT-CPax-XA since it outperforms the other three proposed centralized algorithms. Note that we can eliminate the partitioning time from the end-to-end if the input XML file has already been partitioned, and the end-to-end in this case is denoted by “loading+query.”

The results of comparing TT-CPax-XA with Saxon are shown in Table I. When the dataset is larger than 300M, Saxon fails to load XML files into tree because it runs out of memory. On XML files of sizes 100-300M, Saxon outperforms TT-CPax-XA in terms of the end-to-end time. However, note that the end-to-end time of TT-CPax-XA includes the partitioning time (including reading an XML file, partitioning it and writing the generated fragments to the disk), which dominates the runtime of TT-CPax-XA. If we take out the partitioning time, the running time of TT-CPax-XA is the “loading+query,” which is actually the counterpart of the end-to-end time of Saxon. We can also see that in terms of the “loading+query,” TT-CPax-XA runs faster on Q5–Q7, which are more selective than Q1–Q4.

Table II shows the result of Galax on 100MB data. It fails to run on 200M data due to running out of memory. We can see that its performance is worse than Saxon and TT-CPax-XA by comparing the results in Table II and Table I.

**Comparison with XML Database.** We next compare the centralized algorithm with MonetDB/XQuery 4.0 64-bit version compiled with 64 bit oid. Again we used XMark data of different sizes ranging from 500MB to 4GB, and the seven queries given in Figures 14 and 23.

The experimental results are shown in Table III. We report both end-to-end time and query/loading+query time for MonetDB and TT-CPax-XA. The end-to-end time of MonetDB includes the query time and the time of importing XML file into MonetDB. The end-to-end time of TT-CPax-XA is the same as we use to compare with other file-based systems. The query time for MonetDB is the time of answering a query, excluding the time of importing XML file. The loading+query time for TT-CPax-XA includes the time for loading fragments into memory and the query evaluation time.
Table I. Comparison with Saxon

<table>
<thead>
<tr>
<th>Query</th>
<th>Runtime (Second)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>100MB</td>
</tr>
<tr>
<td>Q1</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q2</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q3</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q4</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q5</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q6</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td>Q7</td>
<td>TT-C Pax-XA</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
<tr>
<td></td>
<td>Saxon</td>
</tr>
<tr>
<td></td>
<td>end-to-end</td>
</tr>
</tbody>
</table>

Table II. Runtime of Galax

<table>
<thead>
<tr>
<th>end-to-end</th>
<th>Q1</th>
<th>Q2</th>
<th>Q3</th>
<th>Q4</th>
<th>Q5</th>
<th>Q6</th>
<th>Q7</th>
</tr>
</thead>
<tbody>
<tr>
<td>Time on 100MB (secs)</td>
<td>198</td>
<td>521</td>
<td>121</td>
<td>17,400</td>
<td>123</td>
<td>115</td>
<td>115</td>
</tr>
</tbody>
</table>

In terms of the end-to-end time, TT-C Pax-XA is almost always better than MonetDB/XQuery on all queries for datasets of 1GB or larger. Apart from the time reported in Table III, we also evaluated the end-to-end time on larger data set. For example, on 10GB XMark data, we find that the end-to-end time of Q1 for MonetDB/XQuery is 13,291 seconds, which is about 80 times of the time for 1GB data and 9 times of the time for 4GB data. In contrast, TT-C Pax-XA needs 1,652 seconds, and it increases linearly with the size of XML files. We note that the importing time (shredding XML files into MonetDB) dominates the end-to-end time of MonetDB while the partitioning step dominates TT-C Pax-XA.

Purely in terms of evaluation time, MonetDB performs better than TT-C Pax-XA for Q1–Q4. On queries Q5–Q7, TT-C Pax-XA performs similar or better than does
Table III. Comparison with MonetDB/XQuery

<table>
<thead>
<tr>
<th>Query</th>
<th>Runtime (Second)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>0.5GB 1GB 1.5GB 2GB 2.5GB 3GB 3.5GB 4GB</td>
</tr>
<tr>
<td>Q1</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q2</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q3</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q4</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q5</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q6</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
<tr>
<td>Q7</td>
<td>TT-CPax-XA</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MonetDB/</td>
</tr>
<tr>
<td></td>
<td>XQuery</td>
</tr>
</tbody>
</table>

MonetDB/XQuery. This is because the selectivity of those queries are smaller than those of the first four queries Q1–Q4, and thus TT-CPax-XA needs to scan fewer nodes and fragments in processing the queries. The selectivity here can be understood as the number of nodes that need to be visited to answer a query, which mainly depends on two factors. For queries having no "//" operators or qualifiers, it mainly depends on the result size, while for the queries containing qualifiers or "//" operators, the sizes of the subtree involved can reflect selectivity better. Consider the same query setting for 100MB data (the case of 100MB can explain larger data as well, since they are all generated by the standard XMark generator). (1) For Q1 and Q5, the result sizes can reflect the selectivity well since there are no qualifiers or "//." Thus we count the result sizes of Q1 and Q5 on XMark100M data: the result sizes of Q1 and Q5 are 25,500 and 1,000, respectively. The result size of Q5 is much smaller than that of Q1, that is, TT-CPax-XA needs to visit fewer nodes to answer Q5 than Q1. This is why TT-CPax-XA performs better on Q5 than Q1. (2) For Q2 and Q6, the subtree sizes of open_auctions and africa can reflect the selectivity well, respectively. We count their subtree sizes and get (open_auctions, 675,814) and (africa, 17,451). For these two queries, TT-CPax-XA would need to traverse the whole subtrees under these two elements respectively, and the subtree size of africa is much smaller than the one of open_auctions. This explains why TT-CPax-XA performs better on Q6 than Q2.
Summary. From the experimental results we find the following. (1) Our centralized algorithms BT-CPax and TT-CPax are able to process queries on large XML data, and scale well the size of the dataset. (2) TT-CPax usually outperforms BT-CPax, and XPath annotations are effective in improving the performance of both BT-CPax and TT-CPax. (3) TT-CPax performs better than file-based query engines Saxon-HE 9.2 and Galax 1.0.1 on large datasets. While Saxon-HE 9.2 and Galax 1.0.1 may fail since they are not able to load data into memory, TT-CPax is not hampered by the limitation of memory capacity. (4) Compared with MonetDB/XQuery 4.0 64-bit version, while MonetDB does better in query evaluation time, TT-CPax takes less end-to-end time, and has shown promises as an effective method for querying XML files, which has a wide range of applications.

8. RELATED WORK

This work is related to previous research in the areas of partial evaluation, XPath query evaluation in the distributed setting, and XPath queries on large XML data.

Partial evaluation. Partial evaluation has found a wide range of applications from compiler optimization to parallel evaluation of functional programming languages [Jones 1996]. Its relevance to query evaluation has surfaced from time to time, most notably in the Disco system [Tomasic et al. 1996] and in query rewriting with views and deductive databases [Godfrey and Gryz 2000; Gupta et al. 1994]. From a traditional functional programming perspective, our work is most closely related to the uses of partial evaluation in dataflow architectures [Jones 1996] in which one evaluates some or all of the arguments of a function in parallel. The difference from our work is that traditional functional programming neglects the benefits of partial evaluation for functions accessing large data sets.

To our knowledge, partial evaluation was first explored to process (a) Boolean XPath queries [Buneman et al. 2006] and (b) data-selecting XPath queries [Cong et al. 2007], in the distributed setting. These have led to the algorithms of Sections 3 and 4, respectively, which are among the first algorithms with performance guarantees on the number of visits, the network traffic and the computation costs.

Distributed XPath query processing. Close to this work are [Amer-Yahia et al. 2004; Kanne et al. 2005;Suciu 2002]: [Suciu 2002] for distributed (data-selecting) query evaluation on semistructured data, [Kanne et al. 2005] for evaluating XPath queries without qualifiers on tree fragments distributed over disk pages, and [Amer-Yahia et al. 2004] for processing (aggregate and Boolean) queries on hierarchical distributed catalogs [Smith and Howes 1997]. Some of these algorithms also have nice performance bounds on total network traffic, computation and communication steps. These algorithms differ from our work mostly in technical approaches. More specifically, [Amer-Yahia et al. 2004; Kanne et al. 2005; Suciu 2002] employ query decomposition and focus on query plan generation, which rewrite an input query into subqueries appropriate for individual sites (using, e.g., the accessibility of the distributed data). In contrast, we avoid this overhead by sending the whole query to each relevant site. In addition, our algorithms characterize partial answers as Boolean expressions rather than concrete data as found in the previous work. Recently, a technique for generating distributed execution plans for a vertically partitioned and distributed XML document is proposed [Kling et al. 2010], which considers XPath queries similar to queries studied in this work. An XPath query is decomposed into a number of local subqueries, each for an involving site. Given a subquery, each site generates a local execution plan and estimate the cost, and then the central node constructs a distributed execution plan.
that determines how the local results are combined to produce the final query answer. However, when dependency exists among the query results of different subqueries, the subqueries may have to be evaluated sequentially.

Another active research area on distributed XML query processing has been query language extensions that include communication and distribution primitives for querying heterogeneous XML data sources. XRPC [Zhang and Boncz 2007] enhances the existing concept of XQuery functions with the Remote Procedure Call (RPC) paradigm, thus querying heterogeneous XML data sources in multiple sites. Active XML (AXML) [Abiteboul et al. 2008] allows us to embed in XML documents with calls to Web or AXML service functions. The evaluation of a service call results in an XML fragment, which is inserted into the original XML document, and gets reevaluated. A lazy evaluation algorithm [Abiteboul et al. 2004] is proposed to efficiently evaluate queries over AXML documents. Instead of materializing all the service calls embedded in an AXML document, the proposed lazy algorithm identifies a tight superset of service calls that should be materialized to answer a query. As observed by [Kling et al. 2010], these approaches cater primarily to a data integration scenario. AXML, for instance, distinguishes static data, that is, data that are relatively stable, from dynamic data, that is, data that are updated frequently. There language extensions usually need to explicitly specify the locations for query operators that need to be evaluated in remote sites. In contrast, we process standard XPath queries on data that are arbitrarily partitioned and distributed, a setting different from the settings of those extensions.

In addition to explicitly using URLs to reference data sources in an XML query, Mutant query plans (MQPs) [Papadimos and Maier 2002] can refer to abstract resource names (URNs). Mutant query plans are transferred as XML documents. Every site maintains a local catalog that maps each URN to either a URL, or to a set of sites that know more about the URN.

These distributed XPath query processing approaches are not capable of evaluating distributed queries in parallel when the evaluation in a site depends on the results from other sites. In contrast, the proposed partial evaluation techniques enable the parallel evaluation of all subqueries over all fragments. It would be interesting to explore the possibility of incorporating the idea of partial evaluation into the existing proposals on distributed XML query processing.

There has been a large body of work on distributed query processing (see, e.g., Kossman [2000] for a nice survey). The focus has mostly been on techniques for minimizing communication cost, via hybrid shipping, two-phase optimization [Kossman 2000], replication [Abiteboul et al. 2003], and parallel query evaluation [DeWitt and Gray 1992; Hsiao and DeWitt 1990]. This work aims to minimize both data movement and communication steps by shipping residual functions (Boolean formula) rather than data. This idea of partial evaluation may also be combined with recent techniques developed for P2P systems [Crainiceanu et al. 2004; Ganesan et al. 2004; Halevy et al. 2004; Jagadish et al. 2005]. In particular, Bonifati and Cuzzocrea [2006] studied how to store and retrieve XML data over structured Peer-to-Peer (P2P) networks. A document is split into various fragments, which are locally stored at peers based on their path expressions, that is, the path reaching a fragment. The path expressions of fragments are also used in evaluating XPath queries as we use annotation to filter fragments. XPath annotation is also explored in Zhang et al. [2009] and Marian and Siméon [2003] for query processing.

**Centralized XPath query processing.** A number of algorithms have been developed for evaluating XPath queries in centralized systems. One line of work is to store and query XML data using RDBMS [Florescu and Kossmann 1999; MonetDB; Pal et al.
The main idea is to store XML data as relations in RDBMS, and translate XML queries into SQL. These algorithms usually perform well, notably MonetDB [Boncz et al. 2006; Schmidt et al. 2000]. Another approach is to develop native XML stores, [Al-Khalifa et al. 2002; Bruno et al. 2003; Colen et al. 2002; Gottlob et al. 2002; Kanne et al. 2005; Kaushik et al. 2002; Koch 2003; Lu et al. 2005; Milo and Suciu 1999; Ramanan 2002; Zhang et al. 2004], which have produced XPath optimizations and indexing techniques that are complementary to this work. In view that XQuery is used to query not only XML data in databases, but also in applications that process XML files, Marian and Siméon [2003] identifies which parts of an input document are needed to answer an XQuery to overcome the memory limitation. Partial evaluation provides another effective approach to processing queries on XML files.

Also related to this work are partition-based methods [Huck et al. 1999; Kanne and Moerkotte 2006b] for storing XML data. While those methods aim to reduce the I/O cost, they often require to load some fragments multiple times when processing queries (due to the interdependency between fragments), and hence, incur extra I/O overhead. In contrast, based on partial evaluation, our centralized evaluation algorithms visit each fragment at most twice, irrespective of how an XML tree is fragmented and stored.

Our centralized query evaluation algorithms leverage prior work on partitioning XML data. Several partitioning methods are already in place. (a) In [Bordawekar and Shmueli 2004], XML partitioning was treated as a traditional (NP-complete) clustering problem, for which a pseudo-polynomial algorithm was developed [Lukes 1974]. (b) A partitioning algorithm, called KM, was proposed, which processes the nodes of an XML tree in a bottom-up fashion. Whenever the subtree under the current node is larger than a given threshold value, the algorithm creates a fragment for the largest subtree under the current node. A variation of KM, known as EKM, was proposed in Kanne and Moerkotte [2006b] that adopts depth-first traversal of XML trees instead. (c) An algorithm based on dynamic programming, referred to as GHDW, was given in Kanne and Moerkotte [2006b], which aims to find a partition with the fewest fragments. (d) Another approach [Kanne and Moerkotte 2006a], called RS, generates a subtree from right to left whenever the size of the subtree is larger than a predefined threshold. We adopted EKM in our experimental study.

9. CONCLUSIONS

We have proposed the first distributed evaluation algorithms for Boolean XPath queries and for data-selecting XPath queries based on partial evaluation, with performance guarantees on network traffic, total computation and communication steps. We have also shown that partial evaluation can be readily incorporated into the MapReduce framework, by presenting a MapReduce algorithm for processing Boolean XPath queries using partial evaluation. In addition, we have developed centralized algorithms for processing XPath queries on large XML documents, based on partial evaluation. We have shown analytically and experimentally that our techniques are scalable and efficient for handling complex XPath queries on large datasets. In light of these results, we contend that partial evaluation is effective in processing XML queries in both distributed systems and in centralized systems.

There is naturally much more to be done. First, we plan to extend partial evaluation to processing other XML queries, such as queries with other axes and extensions of twig queries with multiple returning nodes. It is known that XPath queries with axes for upward traversals (i.e., parent axis and ancestor axis) can be converted to equivalent XPath queries with downward traversals only (with child axis and descendant axis), when the queries are evaluated at the root of any XML tree [Benedikt et al. 2005]. As a result, the algorithms developed in this work can be readily applied to XPath
queries with upward traversals. Furthermore, the algorithms can be extended to support sibling axes in the same framework, with only extra engineering work. To process extensions of twig queries with multiple returning nodes, the proposed centralized algorithms can be easily extended without extra overhead by treating the twig branches as predicates. In the distributed setting, when the leaf nodes of twig patterns are found on distinct sites, we can retrieve them by one more visit of each involved site. Second, it is interesting to find out whether the technique can be used to support XML updates, in the distributed setting or when large XML data is distributed across different disk pages. Finally, it is possible to integrate partial evaluation with other optimization techniques for XML query processing.

REFERENCES


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