MESSIAH: Missing Element-Conscious SLCA Nodes
Search in XML Data

Ba Quan Truong†, Sourav S Bhowmick§, Curtis Dyreson†, Aixin Sun†

†School of Computer Engineering, Nanyang Technological University, Singapore
‡Department of Computer Science, Utah State University, USA
bqtruong,assourav,axsun@ntu.edu.sg, curtis.dyreson@usu.edu

ABSTRACT
Keyword search for smallest lowest common ancestors (SLCAs) in XML data has been widely accepted as a meaningful way to identify matching nodes where their subtrees contain an input set of keywords. Although SLCA and its variants (e.g., MLCA) perform admirably in identifying matching nodes, surprisingly, they perform poorly for searches on irregular schemas that have missing elements, that is, (sub)elements that are optional, or appear in some instances of an element type but not all (e.g., a <population> subelement in a <city> element might be optional, appearing when the population is known and absent when the population is unknown). In this paper, we generalize the SLCA search paradigm to support queries involving missing elements. Specifically, we propose a novel property called optionality resilience that specifies the desired behaviors of an XML keyword search (XKS) approach for queries involving missing elements. We present two variants of a novel algorithm called MESSIAH (Missing Element-conSciouS high-quality SLCA search), which are optionality resilient to irregular documents. MESSIAH logically transforms an XML document to a minimal full document where all missing elements are represented as empty elements, i.e., the irregular schema is made “regular”, and then employs efficient strategies to identify partial and complete full SLCA nodes (SLCA nodes in the full document) from it. Specifically, it generates the same SLCA nodes as any state-of-the-art approach when the query does not involve missing elements but avoids irrelevant results when missing elements are involved. Our experimental study demonstrates the ability of MESSIAH to produce superior quality search results.

Categories and Subject Descriptors
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Algorithms, Experimentation, Performance

Keywords
XML keyword search, missing elements, optionality resilience, full SLCA

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1. INTRODUCTION
Keyword search on XML data (XKS) has gained popularity as it relieves users from learning complex XML query languages (e.g., XPath, XQuery) and from having to know the structure of underlying data. However, the lack of expressivity and inherent ambiguity bring in two key challenges in performing XKS [9]. First, we need to automatically connect the nodes that match the search keywords in an intuitive, meaningful way. Second, we should effectively identify the desired return information. Specifically, the first challenge involves finding some nodes (e.g., SLCA nodes) whose subtrees contain all matching nodes [2,8,17] while the second challenge focuses on filtering nodes within these subtrees to produce relevant and coherent results [1,4,7,9,10]. In this paper, we focus on the first challenge.

The smallest lowest common ancestor (SLCA) [17] is arguably the most popular technique for locating highly-related data nodes and has become the foundation for many recent XKS approaches [1,4,7,9,10]. A keyword search using the SLCA semantics returns nodes in the XML tree that satisfy the following two conditions: (a) the subtrees rooted at the nodes contain all the keywords, and (b) the nodes do not have any proper descendant that satisfies condition (a). The set of returned data nodes is referred to as the SLCAs of the keyword search query. For example, the only SLCA node satisfying the query $Q_1$ (Provo area) on the XML document $D_1$ in Figure 2(a) is the node with id 0.4.3 (for brevity, in the sequel we will use $n_{id}$ to denote a node with id $id$). Figure 3(a)(i) shows the SLCA node $n_{0.4.3}$ (shaded) along with its matches to all $Q_1$’s keywords.

1.1 A Problem with SLCA
Nested, tagged elements are the building blocks of XML. Each tagged element has a sequence of zero or more attribute/value pairs, and a sequence of zero or more subelements. An implication of this “relaxed” structure of XML data is that a subelement may appear in one nested substructure of an XML document but not in another “similar” substructure. For example, consider the XML document $D_1$ in Figure 2(a). Notice that although the area element ap-
Is the missing element phenomenon prevalent in real XML documents? Interestingly, our initial investigation with several popular real-world XML datasets reveal that it is indeed so. Figure 1 shows a glimpse of this phenomenon. The third column shows the missing label ratio, which is the ratio between the number of missing labels and the number of unique labels in a specific dataset. Notice that in all but one of the datasets more than 40% of the labels are missing labels. Hence, it is highly possible for users’ queries to involve missing elements. However, it is unrealistic to expect the users to be aware of elements which may be missing. Hence, it is imperative for the underlying XML engine to handle this phenomenon appropriately.

Surprisingly, SLCA-based XML keyword search (XKS) techniques perform poorly in the presence of the missing element phenomenon. Specifically, the quality of SLCA nodes is adversely affected when a keyword query contains a missing label. For instance, for Q3 on D1, no.4 is selected as the SLCA node by [14, 17] as shown in Figure 3(a)(ii). However, no.4 is not a relevant match as it is not Provo’s area and does not conform to the user’s search intention in Q3. That is, selecting no.4 as an SLCA node would produce a result subtree containing irrelevant data.

At first glance, an advocate of classical SLCA computation techniques may argue that the selection of no.4 as an SLCA node may be considered relevant and meaningful if we accept that it gives an “approximation” of the desired result. However, we argue that such approximation is often irrelevant to the search intention. To illustrate this point further, let us consider the query Q3 on the Mondial dataset. One of the cities containing the keyword York but without latitude information is York city in the UK. For this result, SLCA-based approaches [14, 17] will return the country node of the UK which contains all cities in the UK. Observe that this result has two core drawbacks. First, it is too broad. There are nearly 100 cities of the UK in the dataset and it is unrealistic to expect users to explore all of them to find desired results. Second, it does not provide a precise or direct answer to the query and user’s search intention. Since Q3 is specifically about York’s latitude information, retrieving “approximate” results containing many irrelevant data without answering the question directly may annoy users. Note that the core reason for such poor performance is that most XKS techniques consider matches “close” to each other as relevant but when the most relevant matches (e.g., no.4.3.2 or York’s latitude) are missing, even the closest one may be irrelevant.

It may also seem that approaches built on top of SLCA nodes that effectively identify the desired return information (e.g., [1, 4, 7, 9, 10]) can address the above limitation. Although these efforts certainly improve the result quality, when querying in the presence of missing elements, they make the same assumptions as SLCA-based techniques and cannot improve the poor input from [14, 17] significantly. In fact, for Q1 on D1, these techniques produce the same result as [14, 17].

1.2 Challenges

A straightforward approach to address the aforementioned limitation is to first modify the XML document by adding empty elements (<tag/> to represent missing elements and then adopt an existing technique (e.g., [17]) to find SLCA nodes. We refer to such a modified XML document as a full document. The intuition being that if there is no missing element in the full document, the aforementioned problem does not occur. For example, document D1 in Figure 3(b) is a full document of D1 in which all missing elements are represented by empty elements (depicted by a dotted box). For instance, the area node for Provo, which is missing in D1, is now shown in D3 using an empty area element. Clearly, an existing SLCA-based XKS can now find high quality SLCA nodes in the full document. For instance, Figure 3(a)(ii) shows the SLCA node no.4.3 (and all of its matches) for Q2 on D3. Notice that the irrelevant area node no.4.4 is no longer considered a match. The node no.4.3.2 is depicted in a dotted box to indicate that it is not originally in D1.

Unfortunately, the aforementioned naïve solution to identify high quality SLCA nodes demands modification of the XML document which is usually undesirable in real-world applications. Firstly, an XML document may be accessed by multiple, heterogeneous appli-
cations such that altering it may have undesirable effect on some of these applications. Secondly, creating a copy of the existing document and adding empty elements to it will necessitate strict consistency checks, which is usually expensive to maintain especially for frequently updated documents. Thirdly, a full document version is not as space efficient as the original document, potentially affecting XML query performance. Fourthly, as mentioned earlier, an element may be missing in a document for various reasons. For instance, it may be meaningless for certain entities. Hence, explicitly adding it into these compromises data semantics. Lastly, often write permission of an XML document on the Web may not be available due to technical or legal reasons, making the aforementioned approach impractical. Furthermore, a direct consequence of such modification is the necessity of automatically pruning SLCA nodes in the full document which are empty elements. Otherwise, it may confuse end-users as they will not be able to locate some SLCA nodes when they browse the original XML document.

1.3 Contributions

Given a query $Q$ on document $D$, how can we identify high-quality SLCA nodes in $D$ that are also SLCAS in the full document version of $D$ without physically creating the latter? In this paper, we address this core challenge. To the best of our knowledge, this is the first work that systematically addresses the SLCA computation problem germinated from the missing element phenomenon in XML data. More specifically, we make the following contributions.

- In Section 3, we propose a novel property called optionality resilience that specifies the desired behaviors of an XKS approach for queries with missing elements. We analyze the optionality resilience of existing XKS approaches to systematically identify their limitations in handling the missing element phenomenon.

- In Section 4, we introduce the notion of full SLCA (FSLCA) that satisfies the optionality resilience property. Full SLCAS are SLCAS in the original document as well as in the full document version of it. Specifically, the set of FSLCA nodes is identical to SLCA nodes when the query does not contain missing elements but avoids irrelevant results when missing elements are involved. Hence, identifying FSLCA nodes in a document enables us to produce high-quality SLCA nodes even when the query involves missing elements.

- We introduce two variants of FSLCA nodes, namely partial and complete FSLCA, to give users flexibility in viewing results containing missing elements. Complete FSLCA does not return result nodes containing missing elements ($R_{0,1,3}$ in $D_1$ for $Q_1$). Alternatively, partial FSLCA returns result nodes with missing elements (e.g., Figure 3(a)(iii)). In this representation the user is explicitly informed that the desired data is missing.

- In Section 5, we propose two variants of a novel algorithm called MESSIAH (Missing Element-conscious High-quality SLCA search), that efficiently identifies sets of complete and partial FSLCA nodes for a given keyword query (possibly containing missing labels) on document $D$. An important feature of MESSIAH is that it does not physically add missing elements to $D$. Particularly, a full document is logically created with the sole goal of facilitating the generation of superior quality FSLCA nodes. Furthermore, MESSIAH can be integrated seamlessly with state-of-the-art techniques for retrieving relevant information (Step 2 of XKS) [1, 7, 9–11], potentially inheriting the strengths of these approaches.

- In Section 6, extensive experiments with real datasets are conducted to validate our solution’s effectiveness, superiority, efficiency, and scalability. Specifically, we show that the quality of results generated by MESSIAH is identical to state-of-the-art SLCA computation techniques when the query does not contain missing labels. However, when the query contains missing labels then MESSIAH consistently generates superior quality results compared to these state-of-the-art techniques. Importantly, such superior result quality is achieved without any significant performance overhead of the proposed algorithms.

2. PRELIMINARIES

We model an XML document $D$ as an ordered and node-labeled tree. Each node $n \in D$ is assigned two functions $L(n)$ and $F(n)$ returning $n$’s label (i.e., tag) and text value, respectively. A node $n$ is called an empty node (element) when $F(n)$ returns empty string. We use notation $n_1 \prec n_2 \in D$ to denote $n_2$ is a descendant of $n_1$. Each node $n \in D$ is assigned an identifier (ID), denoted as id($n$), satisfying the following condition: $\forall n_1, n_2 \in D, id(n_1) < id(n_2) \iff n_1 \prec n_2 \in D$ order. Note the preorder attribute in containment encoding scheme [18] or Dewey number in Dewey encoding scheme [15] can be used as identifiers of nodes. Consistent with several existing XKS techniques, we also use Dewey numbers as node identifiers which enable fast LCA computation. The IDs of nodes in Figures 2(a) and 3(b) are their Dewey numbers in the corresponding documents.

Similar to [1, 7], we use prefix paths to indicate the type of a node. Two nodes are considered of the same type when they share the same prefix path. Using path as type enables us to use DataGuide [3] as type structure. A DataGuide $\mathcal{D}$ is a prefix tree representing all unique paths in $D$ i.e., each unique path $p$ in $D$ is represented in $\mathcal{D}$ by a node (referred to as schema node) whose root-to-node path is $p$. Hence, each schema node in $\mathcal{D}$ also corresponds to a type and the hierarchical relationship among schema nodes represents type relations. Specifically, a type $t_2$ is called a child (descendant) type of another type $t_1$ if $t_2$’s corresponding schema node is a child (descendant) of $t_1$’s schema node in $\mathcal{D}$. We
shall use $t_1 \preceq t_2$ to denote $t_2$ is a descendant type of $t_1$. Notice the subscript $S$ is added to indicate type relation on $S$. For instance, Figure 2(b) depicts the DataGuide of document $D_1$ in which $t_{state} \preceq t_{city}$. We also denote $N_D(t)$ as the set of all nodes of type $t$. For example, $N_{D_1}(t_{state}) = \{n_{0.2}, n_{0.3}, n_{0.4}\}$. Note that it is not mandatory for an XML document to be accompanied by its DataGuide as it can be easily extracted from a "schemaless" document in linear time [3]. In fact, DataGuides have been exploited in research related to XKS [1,7,9].

Given a query $Q(w_1, \ldots, w_k)$, if a keyword $w_i$ is contained in either $L(n)$ or $\bar{F}(n)$ then the node $n$ is called a label match or a value match to $w_i$, respectively. The sets of all label and value matches to $w_i$ in $D$ are denoted as $L_D(w_i)$ and $V_D(w_i)$, respectively. The set of all matches to $w_i$ in $D$, $M_D(w_i)$, is equal to $L_D(w_i) \cup V_D(w_i)$. Notably, if a node is a label match to $w_i$, then all nodes of the same type are also label matches to $w_i$. We call this a type match to $w_i$ whose set is denoted as $T_D(w_i)$. When the context is clear, we denote $V_D(w_i), L_D(w_i), M_D(w_i), T_D(w_i)$ as $V_i, L_i, M_i, T_i$, respectively. For example, in $D_1$ (Figure 2(a)), $V_{D_1}(city) = \{n_{0.4.2.0}\}, L_{D_1}(city) = \{n_{0.3.1}, n_{0.4.2}, n_{0.4.3}\}, T_{D_1}(city) = \{t_{city}\}$.

Given a query $Q(w_1, \ldots, w_k)$, the XKS process can be broadly divided into two steps: (a) locating result nodes and (b) retrieving result matches [9]. The first step corresponds to selecting a set of result nodes $R(Q, D)$ from document $D$ satisfying $Q$. For each result node $r \in R(Q, D)$, the second step retrieves a set of matches $S_D(r) \subseteq (M_D(w_1) \cap \cdots \cap M_D(w_k) \cap desc_r)$ where $desc_r$ is the descendant set of $r$ in $D$. In this paper, we focus on the first step.

As mentioned in Section 1, one of the most popular approaches to represent result nodes is SLCA [17]. Formally, for a query $Q(w_1, \ldots, w_k)$ on a document $D$, let $lca(m_1, \ldots, m_k)$ be the LCA of $k$ matches $m_1, \ldots, m_k$ and $LCA(Q, D) = \{ lca(m_1, \ldots, m_k) | m_i \in M_i \forall i \in [1,k] \}$. Then, SLCA returns the result nodes $R(Q, D) = SLCA(Q, D) = \{ n \in LCA(Q, D) | \exists n' \in LCA(Q, D), n < n' \}$. Since each type corresponds to a schema node in $S$, we extend the LCA and SLCA concepts to types as well. For instance, $lca(t_{state}\_{name}, t_{state}\_{city}) = t_{state}$.

### 3. OPTIONALITY RESILIENCE

Optionality resilience describes the desired behaviors of an XKS system when handling the missing element phenomenon. Specifically, it captures how the query result changes when an optional node is missing from the document. In this section, we first identify two types of optionality resilience, namely resilient and match resilience, corresponding to the two steps of XKS. Next, we analyze existing XKS approaches in terms of these two properties.

#### 3.1 Result Resilience

In an XKS query, the relevance of a result depends on the search intention as well as result matches. Since users are rarely aware of the missing element phenomenon, missing nodes should not change the search intention (i.e., an XKS system should not return new results that are irrelevant to the search intention). More specifically, a missing element may make an existing result irrelevant but should not add a new result. For example, consider the documents $D_1$ and $D_2$ where $n_{0.4.3.2}$ is the only node missing in $D_1$ but appears in $D_2$. Consider now the query $Q_3(city, area)$ on $D_1$ and $D_2$. The search intention is probably to find the areas of all cities. Hence, the results should include all city subtrees in the document with an area child (e.g., $n_{0.3.1}$ and $n_{0.4.3}$ on $D_2$). However, when the area of $n_{0.4.3}$ is missing as in $D_1$, the corresponding area subtree becomes irrelevant. Consequently, introducing new result $n_{0.4.3}$ related to state for $Q_2$ on $D_1$ is likely to be irrelevant. Similarly, absence of the area of Provo ($n_{0.4.3.2}$) should not make areas of other cities such as Salt Lake City (e.g., $n_{0.4.2}$) more relevant to Provo than Salt Lake City.

**Definition 1. [Result Resilience]** Let $Q$ be an XKS query on two documents $D$ and $D'$ where $D' = D'\{\{n\}\}$ and $n$ is a label match to $Q$. Then, an XKS system is called result-resilient if $R(Q, D') \subseteq R(Q, D)$.

#### 3.2 Match Resilience

In an XKS query, label keywords reflect the desired data in the final result tree [1,9]. Reconsider the query $Q_3$ on $D_1$ and $D_2$. The node $n_{0.3.1}$ is a common result of $Q_3$ in both these documents. The match resilience property asserts that the match set of $n_{0.3.1}$ should remain the same in $D_1$ and $D_2$ as $n_{0.4.3.2}$ is not a descendant of $n_{0.3.1}$. On the other hand, consider the query $Q_4(Utah, city, population, area)$. The common result of this query is the subtree rooted at $n_{0.4.4}$. Then, the match resilience property also asserts that the result tree of $n_{0.4.4}$ should be (non-strictly) smaller in $D_1$ than in $D_2$ as the missing node $n_{0.4.3.2}$ in $D_1$ is a descendant of this subtree in $D_2$.

**Definition 2. [Match Resilience]** Consider a label query $Q(w_1, \ldots, w_k)$ and two documents $D, D'$ where $D' = D'\{\{n\}\}$ and $n$ is a label match to $Q$. An XKS system is match-resilient if for each result $r \in R(Q, D) \cap R(Q, D')$ any one of the following holds: (a) $S_{D'}(r) = S_D(r)$ if $n \notin S_D(r)$; (b) $S_{D'}(r) \subseteq S_D(r)$ if $n \in S_D(r)$.

### 3.3 Optionality Resilience Analysis of Existing Approaches

Smallest Lowest Common Ancestor (SLCA). The SLCA approach introduced in [17] has been arguably the most popular technique to locate the result nodes and has become the backbone of various other approaches such as XSeek [9], XReal [1], XBridge [7], MaxMatch [10], etc. However, SLCA violates result resilience which explains its inability to handle missing elements as highlighted in Section 1. For example, consider the query $Q_3$ (Provo, area) on $D_2$. The SLCA approach returns the node $n_{0.4.3}$ but it returns $n_{0.4}$ on $D_1 = D_2\{n_{0.4.3.2}\}$.

**Meaningful Related Lowest Common Ancestor (MLCA).** The MLCA-based technique [8] returns each result tree as a group of matches, called pattern match, containing exactly one match for each keyword. Two nodes $n_1$ and $n_2$ that match keywords $w_1$ and $w_2$, respectively, are meaningfully related if there does not exist $n'_1$ and $n'_2$ that match $w_1$ and $w_2$ such that the LCA of $n_1$ and $n_2$ is an ancestor of the LCA of $n'_1$ and $n'_2$. When a set of nodes are pair-wise meaningfully related, their LCA is called an MLCA. Each returned pattern match contains an MLCA node and its corresponding pair-wise related matches.

MLCA does not satisfy result resilience. Consider the query $Q_4(USA, Tennessee, Utah, area)$ to find the areas of both Tennessee and Utah. The results on $D_1$ is empty since no matter which area node is chosen in the pattern match, it is not related to at least one value match. Specifically, node $n_{0.4.1}$ is not related to $n_{0.2.0}$ and node $n_{0.2.1}$ is not related to node $n_{0.4.0}$. Meanwhile, if $n_{0.4.1}$ is removed from the document, MLCA returns a pattern match in which $n_{0.0}, n_{0.2.0}, n_{0.4.0}$ and $n_{0.2.1}$ are matches for USA, Tennessee, Utah and area, respectively.

**XSEarch.** In XSEarch [2], two nodes $n_1$ and $n_2$ are considered related if the path between them consists of no same-label nodes except $n_1$ and $n_2$ themselves. For example, in $D_1$ (Figure 2(a)),
nodes $n_{0,4.3.0}$ and $n_{0,4.1}$ are considered related. A pattern match is considered related if all of its matches are related to each other. XSEach considers two semantics, namely, all-pair and star. All-pair semantics requires all pairs of matches to be related. Star semantics only requires at least one match which is related to all other matches.

XSEach also violates result resilience. For $Q_1$, XSEach returns same results as SLCA on $D_1$ and $D_2$. Notice that $n_{0,4.3.0}$ is considered related to both $n_{0,4.3.2}$ and $n_{0,4.1}$.

**Structural Consistency.** In [6], the authors propose a new constraint for the SLCA list called structural consistency. A list of SLCA nodes are structural consistent when there are no ancestor-descendant relationships among them not only in instance-level (as in the original definition of SLCA) but also in schema-level. However, structural consistency is not sufficient to ensure result resilience when missing elements are involved. In fact, [6] returns same results as SLCA for $Q_1$ on $D_1$ and $D_2$ since there is only one SLCA node in both cases.

XSeek. A sub-task in retrieving result nodes is to deduce the result type. XSeek is a result type deduction technique built on top of SLCA [17]. Specifically, it attempts to locate entity nodes using a heuristic that entity nodes usually have same-label siblings. Then, for each SLCA node $n_a$, XSeek’s result node is the lowest entity node $n_e$ such that $n_e \preceq n_a$. However, XSeek still violates result resilience. For example, for $Q_1$, it produces identical results to SLCA on $D_1$ and $D_2$ since both $n_{0,4}$ and $n_{0,4.3}$ are entity nodes.

**XReal and XBridge.** XReal [1] and XBridge [7] are also result type detection techniques but based on match statistics. In a nutshell, XReal computes the confidence of a type $T$ to be the result type by counting the number of $T$-typed nodes containing the matches for each query keyword but penalizes types that are too close to the root node. On the other hand, XBridge computes the result type confidence by aggregating the confidence for all results of that type. The confidence of each result is computed based on its match frequency and distribution in the query answer. Notably, the confidence value from both XReal and XBridge is zero when the result type has no results with at least one match for each keyword (i.e., non-zero match frequency). Consequently, both these approaches fail to satisfy result resilience. For example, for $Q_1$ on $D_2$, the returned result type is city since the only result with non-zero match frequency for all keywords is of that type. On $D_1$, however, the returned result type is state. Since the result types are different, their results fail to satisfy result resilience.

**AllMatch.** PathReturn and SubtreeReturn are two typical techniques for the second step of XKS [4, 9, 10]. PathReturn returns all descendant matches of each result node and the paths connecting them while SubtreeReturn returns the full subtrees rooted at each result node. Since PathReturn and SubtreeReturn return the same set of matches (i.e., all descendant matches) for each result node, in this paper, we refer to them as AllMatch. The result trees from AllMatch satisfy match resilience. For each result node $r$, all descendant matches are returned. On the other hand, when a node is removed from the document, $r$ will not get any new descendants. Thus, no new descendant matches of $r$ are introduced.

**MaxMatch and Relaxed Tightest Fragment (RTF).** While PathReturn and SubtreeReturn do not violate result resilience, they suffer from low recall and precision [9]. MaxMatch [10] and RTF [4] are introduced to address this problem. MaxMatch filters irrelevant matches under an SLCA node by returning only contributors. For each node $n$, its contribution is defined as the set of query keywords whose matches are descendant of $n$. A node is a contributor if its contribution is not subsumed by any of its siblings. RTF extends this notion of contributor to the so-called valid contributor, which is a node whose contribution is not subsumed by any of its same-label siblings.

MaxMatch [10] also incorporates four desirable properties of XKS by comparing XKS results when the document or query changes. However, these properties do not guarantee desirable behavior when missing elements are involved in the query. Specifically, both MaxMatch and RTF violate match resilience. For instance, consider $Q_3$ (Utah, city, population, area) whose intention is probably to find the population and area of all cities of Utah. The only result node from $[1, 9, 17]$ on both $D_1$ and $D_2$ is $n_{0,4}$. For $n_{0,4}$, on $D_2$, both MaxMatch and RTF select $n_{0,4.3.1}$ as relevant match. Notice that $n_{0,4.2.1}$, the population of Salt Lake City, is not selected since it only has population but not area whereas Provo city has both these elements. On the other hand, on $D_1$ the matches for both Salt Lake City and Provo are returned as Provo’s area information is missing.

### 4. FULL SLCA (FSLCA)

Recall from Section 1, if an XML document is full then all missing elements are specified by empty elements. Consequently, SLCA nodes identified during keyword search on a full XML document will be able to satisfy optionality resilience property as there are no missing elements. Among these identified SLCA nodes, we refer to the nodes that exist in the original document as full SLCA (FSLCA) nodes. For example, reconsider the query $Q_1$ on $D_1$. The only SLCA node matching the query is $n_{0,4}$ which is undesirable. Document $D_3$ (Figure 3(b)) displays the full version of $D_1$. If we now compute the SLCA nodes on $D_3$ for $Q_1$, it would produce $n_{0,4.3}$ since its descendant node $n_{0,4.3.1}$ matches to Provo and node $n_{0,4.3.2}$ matches to area. Since $n_{0,4.3}$ also exists in $D_1$, it is an FSLCA of $Q_1$. We now formally introduce the concepts of full XML document and FSLCA.

#### 4.1 Full XML Document

**Definition 3. [Full Node]** Given a document $D$, a node $n \in D$ with type $t$ is full, denoted as FullNode$(n)$, if for each child type $t_c$ of $t$, $n$ has at least one child node with type $t_c$.

For example, in $D_1$, $n_{0,3.1}$ is a full node since type city has three child types, namely name, population and area, and $n_{0,3.1}$ has corresponding child nodes $n_{0,3.1.0}$, $n_{0,3.1.1}$ and $n_{0,3.1.2}$, respectively.

**Definition 4. [Full Document]** An XML document $D$ is considered full, denoted as $F(D)$, iff all of its nodes are full. That is, $\forall n \in D$, FullNode$(n) = true$.

For example, $D_3$ in Figure 3(b) is a full document. Noticeably, a document $D$ can be transformed to a full document $F(D)$ by adding empty elements as children to nodes that are not full in $D$. For instance, $D_1$ can be transformed to $D_3$ by adding empty elements (in dotted rectangles). Observe that there are infinite numbers of full documents $F(D)$ of $D$. For example, adding any numbers of area nodes as siblings of $n_{0,4.3.2}$ would create another full document of $D_1$. In practice, we only consider the minimal full document of $D$.

**Definition 5. [Minimal Full Document]** Given an XML document $D$, a full document $F(D)$ is minimal, denoted as $F_{\text{min}}(D)$ if the following conditions are true: (a) $\forall n \in D$, $n \in F_{\text{min}}(D)$; (b) for each $n' \in F_{\text{min}}(D)$, $n'$ is either in $D$ or removing it would make $F_{\text{min}}(D)$ no longer a full document; and (c) all nodes in $F_{\text{min}}(D) \setminus D$ are empty nodes.
For example, $D_2$ in Figure 3(b) is a minimal full document of $D_1$. In the sequel, for brevity, we shall use $F(D)$ or $F$ instead of $F_{min}(D)$ when the context is clear. Clearly, given a document $D$, the DataGuides of $D$ and $F(D)$ are identical.

4.2 FSLCA Definition

Since a full document may contain empty nodes that do not exist in the original document, each FSLCA node belongs to one of the following two categories:

- **Category 1**: Both the FSLCA node and its matches are in the original document $D$. For example, consider the query $Q_2(\text{area, city})$ on $D_1$. Then the FSLCA node $n_{0,3,1}$ belongs to this category as its subtree includes matches for both city and area.

- **Category 2**: The FSLCA node is in $D$ but its matches are not in $D$. For example, for $Q_2$ on $D_1$, FSLCA nodes $n_{0,4,2}$ and $n_{0,4,3}$ belong to this category as both do not have any area element as descendant.

In this paper, we refer to the result sets consisting of only Category 1 FSLCA nodes as complete FSLCA nodes while the results sets consisting of both the aforementioned categories are called partial FSLCA nodes. Formally,

**Definition 6. [Partial & Complete FSLCA]** Given a query $Q$ on a document $D$,
- the set of partial FSLCA nodes of $Q$ on $D$, denoted as $\text{PFSLCA}(Q, D)$, is defined as, $\text{PFSLCA}(Q, D) = \text{SLCA}(Q, F(D)) \cap D$.
- the set of complete FSLCA nodes of $Q$ on $D$, denoted as $\text{CFSLCA}(Q, D)$, is defined as, $\text{CFSLCA}(Q, D) = \text{PFSLCA}(Q, D) \cap \text{SLCA}(Q, D)$.

**Remark.** The complete and partial FSLCA nodes are designed to allow two different strategies of returning result nodes containing missing elements. The most obvious approach is to ignore result nodes containing missing elements, which is realized by complete FSLCA. For example, consider the query $Q_2(\text{city, area})$ on $D_1$. Here, $\text{CFSLCA}(Q_2, D_1) = \{n_{0,3,1}\}$ as $n_{0,4,2}$ and $n_{0,4,3}$ do not have area element as descendant. Alternatively, partial FSLCA does not eliminate such result nodes and returns them explicitly indicating the missing elements. For example, $\text{PFSLCA}(Q_2, D_1) = \{n_{0,3,1}, n_{0,4,2}, n_{0,4,3}\}$ and the area elements in $n_{0,4,2}$ and $n_{0,4,3}$ are represented as empty nodes (an empty node is represented as a box with a dashed line border).

4.3 Proofs for Optionality Resilience

**Theorem 1.** Both partial and complete FSLCA nodes satisfy result resilience.

**Proof.** For any pairs of document $D$ and $D' = D \setminus \{n\}$ where $n \in D$, we have $F(D) = F(D')$. Therefore, $\text{SLCA}(Q, F(D)) = \text{SLCA}(Q, F(D'))$ for any query $Q$. Since $D' \subseteq D$, $\text{PFSLCA}(Q, D') \subseteq \text{PFSLCA}(Q, D)$.

For all result nodes $r \in \text{CFSLCA}(Q, D')$, $r$ has descendant matches to all keywords in $D'$. Meanwhile, since $D' \subseteq F(D) = F(D')$, there are no results in $\text{SLCA}(Q, D)$ that is a descendant of $r$. Thus, $r \in \text{SLCA}(Q, D)$. But $r \in \text{SLCA}(Q, F(D'))$ = $\text{SLCA}(Q, F(D))$. Therefore, $r \in \text{CFSLCA}(Q, D)$. \hfill \Box

The following lemmas prove that existing XKS approaches built on top of FSLCA nodes instead of SLCA nodes satisfy the optionality resilience property.

**Lemma 1.** The results of XSeek on top of either partial or complete FSLCA nodes satisfy result resilience.

**Proof.** Let $n_0$ be a node in document $D$. Let $xseek(n_0)$ be a function returning the lowest ancestor entity node of $n_0$ as described in Section 3.3. Since $\text{PFSLCA}(Q, D') \subseteq \text{PFSLCA}(Q, D)$ and $\text{CFSLCA}(Q, D') \subseteq \text{CFSLCA}(Q, D)$, their images through function $xseek()$ maintain inclusion relation $\subseteq$. \hfill \Box

**Lemma 2.** If matches to empty elements are considered, the results of MaxMatch and RTF on top of either partial or complete FSLCA nodes satisfy match resilience.

**Proof.** Let $Q$ be a query on two documents such that $D' = D \setminus \{n\}$, $n \in D$ and $n$ is a label match of $Q$. Let $r$ be a result node and $r_0$ be a node within the result tree rooted at $r$. If $n$ is not a descendant of $r_0$, its contribution is unchanged in $D$ and $D'$. If $n$ is a descendant of $r_0$, $r_0$ would have at least one label match with same label with $n$ in $F(D)$ and $F(D')$. Therefore, the contribution of $r_0$ is unchanged for both MaxMatch and RTF. \hfill \Box

5. FSLCA COMPUTATION

In this section, we present two variants of the MESSIAH algorithm, namely P-MESSIAH and C-MESSIAH, to compute partial and complete FSLCA nodes, respectively. These algorithms can retrieve FSLCA nodes without the need of physically generating full documents. Also, it is not necessary for the XML document to be accompanied by its schema or DTD as a DataGuide tree can be easily generated from a “schemaless” XML document [3]. Note that such DataGuide tree has also been used in several prior work related to XKS [1, 7, 9]. We first summarize the principle behind existing SLCA computation approach which serves as a foundation for the FSLCA computation problem.

5.1 Principles for SLCA Computation

The core idea behind all existing SLCA computation techniques can be summarized by the following lemmas (see [17] for full proofs).

**Lemma 3.** Given a node $n \in D$ and a query keyword $w$, the level of the SLCA between $n$ and matches of $w$ on $D$, denoted as $\text{slcaLev}(n, D, w)$, is equal to $\max(\text{lev}(\text{lea}(n, \text{lm}(n, M_D(w)))))$. Therefore, $\text{lev}(\text{lea}(n, \text{lm}(n, M_D(w)))))$ returns the level of a node and $\text{lm}(n, M_D(w))$ and $\text{lm}(n, M_D(w))$ return the last node before $n$ and the first node after $n$ in $M_D(w)$, respectively.

**Lemma 4.** Given a node $n \in D$ and keywords $w_1, \ldots, w_k$, the level of the SLCA between $n$ and matches of $w_1, \ldots, w_k$ on $D$, denoted as $\text{slcaLev}(n, D, w_1, \ldots, w_k)$, is equal to $\min(\text{slcaLev}(n, D, w_1), \ldots, \text{slcaLev}(n, D, w_k))$.

Lemma 3 focuses on a special case of SLCA computation where there are only two sets in which one set is a single element $n$. It reduces the SLCA into the LCA of $n$ to either $\text{lm}(n)$ or $\text{rm}(n)$. Lemma 4 extends this results to multiple sets. The final SLCA computation is then achieved by computing $\text{slcaLev}(n, D, w_1, \ldots, w_k)$ for all nodes $n$ of a set $M$ as candidates and then pruning those SLCA candidates with at least one descendant candidate. The difference between [17] and [14] lies on how to get $M$. [17] chooses $M = M_D(w_1)$ in which $w_1$ is the keyword with smallest match set whereas [14] reduces $M$ further by exploiting several optimizations. Meanwhile, [19] considers all ancestor-or-self of $M_D(w_1)$ as $M$ but uses equality comparison instead of $\text{lm}(n)$ and $\text{rm}(n)$.

Both [17] and [14] exploit a non-indexed and an indexed approach to support $\text{lm}(n)$ and $\text{rm}(n)$. The indexed approach uses random access to retrieve $\text{lm}(n)$ and $\text{rm}(n)$ from a B-tree, which is suitable when $M$ is small. When $M$ is large, non-indexed approach
using sequential scan is more suitable. For all cases, the time complexity is $O(dk | M | \log(M_{max}))$ where $d$ is the document depth and $M_{max}$ is the largest match set.

5.2 Key Strategies behind MESSIAH

The key idea of FSLCA computation using MESSIAH is based on the following two observations. First, SLCA or FSLCA computation only requires checking whether a node has descendant matches but not retrieving the matches directly. Note that existing approaches compute SLCA by retrieving the matches first (i.e., $lm(n), rm(n)$) and then computing SLCA from them. However, this approach cannot be used in MESSIAH as some matches are "virtual" (missing elements) and cannot be retrieved. Second, since a full document does not have missing nodes, we can infer the subtree structure of a node by analyzing its type only. For instance, in a full document, we can infer that each state has some city as child and each city has name, population and area as children. These two observations are materialized in the following theorem.

**Theorem 2.** In a minimal full document $F$, given a node $n$ with type $t$, $n$ has a descendant label match $n'$ to a keyword $w$ if there exists a type match $t'$ to $w$ such that $t \preceq t'$.

**Proof.** It follows from the definition of minimal full document (Definition 5). □

**Corollary 1.** Let $F$ be the minimal full document of $D$. Given node $n \in D$ and a query keyword $w$, $slcaLvl(n, F, w) = max(\text{slcaLvl}(\text{lm}(n), \text{rm}(n, M_\text{slca}(w))), \text{slcaLvl}(w, n))$ where $t$ is the type of $n$ and $slcaLvl(t, S, w)$ is the level of the SLCA between $t$ and all types of $w$ in $S$.

**Corollary 2.** Given a node $n \in D$, minimal full document $F$, and keywords $w_1, \ldots, w_k$, $slcaLvl(n, F, w_1, \ldots, w_k) = \min(slcaLvl(n, F, w_1), \ldots, slcaLvl(n, F, w_k))$.

Corollary 1 and 2 are useful generalization of Lemma 3 and 4, respectively. Observe that the left-hand-sides of the equations in these corollaries leverage $F$ while the matches are retrieved from $D$ (i.e., $M_\text{slca}(w)$). Importantly, as DataGuides for most practical datasets are small [1], $slcaLvl(t, S, w)$ can be computed efficiently (can even be pre-computed).

5.3 Partial FSLCA Computation

Partial FSLCA computation needs to address a novel challenge compared to existing SLCA computation techniques. Observe that Lemma 3-4 and Corollary 1-2 assume that each SLCA/FSLCA node has a match in $D$ (called anchor node in [14]). However, some partial FSLCA nodes may not have any match in $D$. To address this challenge, we split the partial FSLCA computation problem into two cases, namely FSLCA node with at least one value match and FSLCA node with only label match, and address each them in turn.

**Case 1:** FSLCA with at least one descendant value match. Corollary 1 and 2 can be applied for Case 1 since all value matches are in $D$ (converting $D$ to $F$ is not necessary). However, since the value matches can be matches of any keywords, the set of anchor nodes is $V_i \cup \ldots \cup V_k$ instead of $M_1$ as used in SLCA computation.

**Case 2:** FSLCA with at least one label match to each keyword. When a partial FSLCA node $n_a$ has at least one descendant label match $n_t$ to each keyword, it may not have any match in the original document $D$. Consequently, locating anchor nodes is challenging. We propose a technique to retrieve the candidate node $n_a$ without using anchors.

Based on Theorem 2, $n_a$ has a descendant label match to keyword $w$ if and only if its type $t_a$ has a descendant type match to $w$.

**Algorithm 1:** The P-MESSIAH Algorithm.

**Input:** A query $Q$ with $k$ keywords $w_1, \ldots, w_k$.

**Input:** The list of value matches $V_i$ and type matches $T_i$ for each $w_i$ in document $D$ whose Dataguide is $S$.

**Output:** The list of FSLCA nodes of $Q$ on $D$.

1. Result = $\emptyset$
2. $T = \text{SLCA}_{\emptyset}(T_1, \ldots, T_k)$;
3. $\text{Cand}_2 \leftarrow \text{merge}(\text{merge}(V_1, \ldots, V_k))$
4. $\text{Anchor}_1 \leftarrow \text{merge}(\text{merge}(V_1, \ldots, V_k))$
5. $c_1 \leftarrow \text{root}$
6. $c_2 \leftarrow \text{Cand}_2$;
7. while there are more nodes in $\text{Anchor}_1$
   8. $a_1 \leftarrow \text{Anchor}_1$;
   9. $t_1 \leftarrow$ the type of $a_1$;
   10. for $i = 1 \rightarrow k$
      11. if $a_1 \notin V_i$ then
      12. $t_i = \max(ltm(a_1, \text{Anchor}_1) \text{peekLast}(i)), ltm(a_1, \text{Anchor}_1) \text{peekNext}(i))$;
      13. $c_1 \leftarrow \text{ancestor}(a_1, t_i)$
      14. if $\text{id}(c_1) < \text{id}(c_2)$ then
      15. Result = Result $\cup \{c_1\}$
      16. while $c_2$ is not null and $\text{id}(c_2) < \text{id}(c_1)$ do
      17. Result = Result $\cup \{c_2\}$
      18. $c_2 \leftarrow \text{Cand}_2$;
      19. $c_1 \leftarrow \text{Cand}_2$;
      20. if $c_2$ is null or $c_1 < c_2$ then
      21. Result = Result $\cup \{c_1\}$
      22. while $c_2$ is not null do
      23. Result = Result $\cup \{c_2\}$
      24. $c_2 \leftarrow \text{Cand}_2$;
      25. return Result

Therefore, $t_a$ must have at least one descendant type match to each keyword. In other words, $t_a$ is an SLCA of the type matches of all keywords $w$ (i.e., given a query $Q(w_1, \ldots, w_k)$ on $D$, $t_a$ is an SLCA of $T_1(w_1), \ldots, T_k(w_k)$). Thus, to retrieve $n_a$, we can find all $t_a$ and then retrieve all corresponding $n_a$ in $D$. Notice that this strategy does not require any anchors. Furthermore, it is extremely efficient since label matches are not retrieved and the number of possible values of $t_a$ is small.

**The P-MESSIAH Algorithm.** Algorithm 1 outlines the procedure of P-MESSIAH which realizes our above discussion on partial FSLCA nodes computation. Observe that the inputs are value matches and type matches for $Q$ which can be retrieved directly from $D$. Lines 2-3 correspond to our technique for Case 2. All candidate nodes generated for this case (i.e., having at least one descendant label match for each keyword) are stored in $\text{Cand}_2$. The $\text{Anchor}_1$ stores all value matches for $Q$ which shall serve as anchor matches. The $\text{merge}()$ function in Lines 3 and 4 merges the input sets into a single sorted set of nodes and returns them in stream format. Note that if all of the input sets are sorted stream, the $\text{merge}()$ function can be implemented efficiently without sorting and consumes minimal memory. Both $\text{Anchor}_1$ and $\text{Cand}_2$ are required to be sorted for pruning which we shall discuss later. The symbols $a_1$ and $c_2$ denote the current cursor node of streams $\text{Anchor}_1$ and $\text{Cand}_2$, respectively. They are assumed to be null when there are no more nodes in the stream.
Lines 7-14 materialize Case 1. The loop in Lines 7-22 is executed for each anchor node $a_1$ in $\text{Anchor}_1$. Lines 10-14 use Corollary 1 and 2 to ensure that the candidate node $c_i$ of $a_1$ has descendant matches to all keywords. Notably, instead of using $lm()$ and $rm()$ functions, we use $\text{peekLast}(i)$ and $\text{peekNext}(i)$ which return the last and next node, respectively, in the $i$-th input stream (i.e., $V_i$ in $\text{Anchor}_1$). Although the latter functions return same results as $lm(a_1, V_i)$ and $rm(a_1, V_i)$, respectively, $\text{peekLast}(i)$ and $\text{peekNext}(i)$ are more efficient since they can be easily supported in streams by storing the last retrieved node and looking ahead the next retrieved node of each input stream. Specifically, they take $O(1)$ time compared to $O(\log(V_i))$ time of $lm(a_1, V_i)$ and $rm(a_1, V_i)$.

Lines 15-22 check whether the new candidate nodes can be partial FSLCA nodes. Since the candidates come from two cases, they need to check against each other. Lines 15-17 check $c_i$ against Case-1 candidate $c_1$ and Case-2 candidate $c_2$. Lines 18-21 check all following Case-2 candidates against Case-1 candidate $c_1$. Notice that Case-2 candidates do not require checking against each other since they cannot have $\prec$ relation. Lines 23-27 are similar to Lines 16-22 to evaluate the last $c_i$.

**Time Complexity.** Let $T^*$ be the result returned in Line 2 and $d$ be the document depth. Then the time complexity of Algorithm 1 is $O(tk\sum_{1 \leq i \leq k} |V_i| + d\log(k)\sum_{t \in T} |N_D(t)|)$. These two terms correspond to Case 1 and 2, respectively. In particular, Case 1 produces $O(\sum_{1 \leq i \leq k} |V_i|)$ candidate nodes, each takes $O(dk)$ time (due to Line 12). Case 2 produces $O(\sum_{t \in T} |N_D(t)|)$ candidates, each takes $O(d\log(k))$ time (due to the merge function in Line 3).

**Remark 1.** Since the complexity of ILE algorithm [17] is $O(\sum_{1 \leq i \leq k} |V_i| + \sum_{t \in T} |N_D(t)|)$, it may seem that our complexity is worse. However, notice that the result size between two cases are not equal. In practice, as demonstrated in Section 6, P-MESSIAH outperforms ILE. First, the ILE algorithm uses $lm()$ and $rm()$ functions with random access while our algorithm exploits stream extensively without random access. Second, for most keywords $w$, $L(w) \gg V(w)$. Hence, $\sum_{1 \leq i \leq k} |V_i|$ is potentially much smaller than $M_i \log(|M_i|)$. Third, the $d\log(k)$ term only applies when $T(w_i) \neq \emptyset$.

**Remark 2.** P-MESSIAH follows an “eager” strategy i.e., FSLCA nodes are returned in document-order and the first output node can be returned even before all of input nodes are read. This property is highly desirable in practice since it greatly reduces query response time (i.e., the time the users need to wait to view the first result).

**Example 1.** Consider $Q_2(\text{city}, \text{area})$ on $D_1$. We have $V_{D_1}(\text{city}) = \{\text{n0.4.2.0}\}$, $T_{D_1}(\text{city}) = \{\text{city}\}$, $V_{D_1}(\text{area}) = \emptyset$, $T_{D_1}(\text{area}) = \{\text{iterary/oraery, lstate/area, state/area, city/area}\}$. Using the DataGuide in Figure 2(b), Line 2 returns $\text{tcity}$. Thus, $\text{Cand}_2 = \{\text{n0.3.1, n0.4.2, n0.4.3}\}$. Meanwhile, $\text{Anchor}_1 = \{\text{n0.4.2.0}\}$ so that the first and only value for $a_1$ is $\text{n0.4.2.0}$. For this $a_1$, $\ell = 3$ and $c_1 = \text{n0.4.2}$. The condition in Line 15 is satisfied but not the one in Line 16. As $c_2 = \text{n0.3.1}$ precedes $c_1 = \text{n0.4.2}$, the while-loop in Lines 18-21 proceeds to check Line 19 condition and adds $\text{n0.3.1}$ as the first result. Next, $c_1 = \text{n0.4.2}$ is assigned to $c_i$. At Line 23, the condition fails since both $c_i$ and $c_2$ refer to the same node $\text{n0.4.2}$ so that $c_i$ is not added to the results. Finally, Lines 25-26 add the two remaining nodes in $\text{Cand}_2$, $\text{n0.4.2}$ and $\text{n0.4.3}$, as results. The final results is $\{\text{n0.3.1, n0.4.2, n0.4.3}\}$.

**5.4 Complete FSLCA Computation**

The C-MESSIAH algorithm is outlined in Algorithm 2. Similar to [17], each node $a$ in $M_1$ (assumedly the smallest match set) is processed one-by-one$^2$ (Lines 4-5) and the computed candidate $c$ is pruned based on document order and $\prec$ relation (Lines 12-13). Since our purpose is to get the SLCA nodes of $Q$ in $F$ and not $D$, Corollary 1 and 2 are used instead of Lemma 3 and 4 (Lines 8-11). The filtering is accomplished using the isSLCA flag which indicates whether the current node stored in $c'$ is SLCA($Q, D$) and is set at Line 16. Notice that $\min_{2 \leq i \leq k}(\ell_i')$ is equal to $\text{slcaLv}(a, D, w_2, \ldots, w_k)$ (Lemma 4). When this value is larger than $\ell$, it means the candidate $c$ is an SLCA node for $Q$ on $D$.

**Time Complexity.** Assume that $\text{slcaLv}(t, S, w)$ in Line 9 can be computed in $O(1)$ since $S$ is usually much smaller than $D$. Then the time complexity of Algorithm 2 is $O(dk|M_1|\log(|M_{max}|))$ where $d$ is the document depth, $M_1$ and $M_{max}$ are the smallest and largest match sets.

**Example 2.** Consider $Q_2(\text{city}, \text{area})$ on $D_1$. $M_0(\text{city}) = \{\text{n0.3.1, n0.4.2, n0.4.2.0, n0.4.3}\}$ and $M_0(\text{area}) = \{\text{n0.1.1, n0.2.1, n0.3.1, n0.4.1}\}$. Since the match sets have equal size, we can use either one as $M_1$. Lets choose $M_1(\text{city})$. For $n0.3.1$, the nodes returned by $lm$ and $rm$ functions are $n0.2.1$ and $n0.3.2$, respectively, whose LCA levels with $n0.3.1$ are 1 and 3, respectively (Lines 7-8). Thus, $\ell_i'$ in Line 8 is 3. Since the type of $n0.3.1$ is $\text{city}$, $\text{slcaLv}(t, S, w)$ is 3 and $\ell_i = 3$. In Line 11, $c = n0.3.1$ which is assigned to the empty $c'$ with isSLCA set to true. Similarly, for the next node $n0.4.2$, we get candidate $c = n0.4.2$ with $\ell_i' = 2$ and $\ell_i = 3$. Since $n0.3.1 \prec n0.4.2$, $n0.3.1$ is returned as the first result node, $n0.4.2$ is then assigned to $c'$ but with isSLCA set to false. For the next node $n0.4.2.0, c = n0.4.2.0$ and isSLCA is set to false. Lastly, for $n0.4.3$, the candidate node $c = n0.4.3$ but isSLCA is still false. Therefore, it is also not added to the results. Hence, $n0.3.1$ is the only result node.

**5.5 Heuristics-based Algorithm Selection**

Recall that C-MESSIAH ignores result nodes containing missing elements (returns complete FSLCA) whereas P-MESSIAH does not.

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$^2$More optimized technique such as [14] can also be applied. However, it is orthogonal to the problem.
eliminate such results nodes and returns them explicitly indicating the missing elements as empty nodes (returns partial FSLCA). That is, P-MESSIAH returns all complete FSLCA nodes of C-MESSIAH as well as additional results containing missing elements. Given a query Q, how can we automatically deduce which variant of MESSIAH needs to be executed? In this section, we present a heuristic-based selection strategy to answer this question. Specifically, our heuristic is based on the statistics of underlying XML data and not on their semantics.

Intuitively, the selection choice is influenced by the usefulness of the additional results generated by P-MESSIAH. We advocate that it depends on the number of complete FSLCA results as well as the number of results (denoted by N) desired by a user. In the context of keyword search, N is typically small. So if an XML system returns more than N complete FSLCA results, then a user may not be interested in the results with missing elements. Consequently, C-MESSIAH is relatively more appropriate for this case. On the other hand, if there are fewer than N complete FSLCA results, then displaying additional results with missing elements using P-MESSIAH will be potentially useful.

The challenge here is to estimate the number of complete FSLCA as apriori. We address it by adopting a lightweight version of the XSketch-index [12]. In short, an XSketch-index is a directed acyclic graph synopsis G where each node g represents a set of data nodes with same labels and each edge (g_p, g_c) signifies the parent-child relationship between the data nodes of g_p and g_c. Each internal (resp. leaf) node stores the structural (resp. value) distribution of the child labels (resp. value tokens) among its data nodes. For example, a synopsis node g_city representing all city elements in D_1 will have the structural distribution of 100% for name and population but 33% for area since all city elements have name and population but only one out of three has area. Similarly, for the g_city/area synopsis node representing all city/area elements in D_1, the value distributions of Houston, Salt, Lake, City, and Provo are all 33%.

We use a lightweight version of XSketch-index where the synopsis graph G is represented using the DataGuide tree S. Specifically, each synopsis node corresponds to exactly one schema node in S. Note that G can be built while computing S and stored with it. It is worth mentioning that although a more detailed XSketch-index would provide a better estimation, it takes more space. A detailed discussion on the space-accuracy trade-off is provided in [12]. As we shall see later, such lightweight version is sufficient to select the correct variant of MESSIAH with high accuracy.

To illustrate the estimation process, let us reconsider Q_1 and Q_2 on D_1. For Q_1 (Provo area), from the XSketch-index, all cities have name but only 33% of name have value Provo. Meanwhile, only 33% of cities have area. Assuming independent distribution between the two, 11% of cities have both Provo and area. Since there are 3 city elements in D_1, the estimated result size is 3 x 0.11 = 0.33. Similarly, for Q_2 (city area), 33% of city elements have area which leads to the estimated result size of 1. Let N = 1. Since 0.33 < 1, P-MESSIAH is used for Q_1 but C-MESSIAH is used for Q_2. This estimation reflects the intuition that Q_1 is more likely to have no relevant results in the document so results with missing elements are desirable.

6. EXPERIMENTAL STUDY

We conducted experiments to compare performance of MESSIAH against state-of-the-art SLCA computation approaches, namely, SE and ILE [17]; and IMS and HIMS [14]. For complete FSLCA, we also provide two implementations, non-indexed (denoted by NC-MESSIAH) and indexed (denoted by IC-MESSIAH), corresponding to two methods to realize lm() and rm() functions as in [14, 17]. Notice that partial FSLCA does not use lm() and rm(), so we only provide one implementation (P-MESSIAH). All techniques are implemented using Java 1.7 on top of Berkeley DB 4.0.103. The experiments were performed on an Intel Xeon X5570 machine with 4GB memory. Since the techniques to select relevant return nodes within the SLCA subtrees (e.g., [1, 9, 10]) are orthogonal to MESSIAH, we do not compare them.

6.1 Experimental Setup

Dataset. The experiments are performed on four XML datasets, Mondial (1.72MB), INTERPRO (69MB), DBLP (740MB) and SHAKESPEARE (9.1MB). Mondial is a data-centric XML dataset with many short texts while SHAKESPEARE is a text-centric XML document consisting of mostly long texts. INTERPRO and DBLP are datasets with both short and long text. Note that these data sources are also used for empirical study in prior works [1, 9, 10, 17].

Queries. The set of queries studied for each dataset is reported in Figure 4. The queries for Mondial, INTERPRO, DBLP, and SHAKESPEARE are denoted as QM1-QM8, QP1-QP8, QS1-QS8, and QS1-QS8, respectively. They are selected as follow. We employ ten unpaid volunteers who have knowledge of XML but are not involved in this project. Since our focus is on queries involving missing elements, for each volunteer, we ask them to generate four queries without missing labels and four with missing labels for each dataset. The missing labels for each dataset are provided beforehand. For each dataset, with 80 sample queries, we keep 8 queries with diversity in numbers of keywords, keyword selectivity and whether the keyword matches to a label or a value for experiments. The first four queries do not contain missing elements whereas the last four queries do. Thus, the result size of each of the first four queries is identical for all benchmark approaches. Ob-
serve that the result sizes of complete FSLCA, partial FSLCA and SLCA may not be identical in the last four queries. Note that the first four queries are used to compare the performance of MESSIAH with state-of-the-art techniques when missing labels are not in users’ queries.

Indexes used. To support efficiently evaluation of Algorithm 1, we exploit the following two indexes. (a) Inverted List: Our inverted list maps each keyword $w$ to a sorted set of value matches to $w$ and a set of type matches to $w$. They are used to find the input set for Algorithm 1. Notice that while the value match is sorted, a sorted index such as B+-tree is not required for P-MESSIAH since we do not employ random access at all. Instead, a hash index can be used which allows faster sequential traversal. The node order is maintained when the index is built while parsing the document.

(b) Type Index: It maps each type $t$ to a sorted $N_D(t)$. It is invoked in Line 3 of Algorithm 1. Similar to the inverted list, the order of $N_D(t)$ is not required to be maintained by a B+-tree but by inserting them in correct order.

6.2 Results

Search quality. In this experiment, we compare the quality of results returned by SLCA and FSLCA approaches. Since all SLCA approaches return the same results, we only use the results returned by [17] as representative results. Since the difference between partial and complete FSLCA approaches are explicitly marked missing data results which do not contribute to precision or recall, we use complete FSLCA (C-MESSIAH) as representative for FSLCA.

For each query, we ask each volunteer to specify the search intention. We then provide document schema and ask them to convert their intention to XQuery/XPath query. The results of these queries are considered as correct results. The volunteers can discuss among themselves but unanimity is not required.

To measure the search quality, we use precision and recall, defined as follows:

\[
\text{precision} = \frac{|\text{Rel} \cap \text{Ret}|}{|\text{Ret}|}, \quad \text{recall} = \frac{|\text{Rel} \cap \text{Ret}|}{|\text{Rel}|}
\]

where $\text{Rel}$ is the set of nodes retrieved by an XML query (as described above) and $\text{Ret}$ is the set of result type matches returned by SLCA/FSLCA. For instance, for QM6, the XPath query agreed by all of our volunteers is `/city[contains(name,'York')]/latitude`. The set of latitude nodes retrieved by this query is denoted as $\text{Rel}$. $\text{Ret}$ is the set of all latitude matches returned by FSLCA(resp. SLCA)-based techniques.

Since the focus of our paper is on queries with missing labels, some of our experimental queries actually do not have relevant results (QD6, QD8, QM5, QM8, QP5, QP8, QS5, QS7 and QS8). For these queries, recall is not available since the sets of relevant nodes, $\text{Rel}$, are empty. Hence, for precision measurement, if the approach returns empty results, we consider the precision in this case (0/0) is 100%. On the other hand, if non-empty results are returned, the precision is considered 0%.

The recall of both SLCA and FSLCA are consistently high. Specifically, except for the no-relevant-result queries (QD6, QD8, QM5, QM8, QP5, QP8, QS5, QS7 and QS8) whose recall is unavailable, the recall of both SLCA and FSLCA are 100% for all other queries. It shows that our approach matches SLCA’s ability to produce high recall [9, 10].

Figure 5 reports the precision of MESSIAH in comparison with SLCA-based techniques. It is clear that our approach has higher or equal precision than SLCA-based approaches for all queries, especially queries with missing elements (i.e., queries with subscripts 5 to 8). In particular, for queries QD6, QD8, QM5, QM8, QP5, QP8, QS5, QS7 and QS8, SLCA approaches have zero precision. There are no relevant results for these queries. For complete FSLCA approach, no results are returned. On the other hand, SLCA returns lots of irrelevant result matches. For instance, consider QD6. The intention of this query is to find the citations in all of Aradhye’s papers. Notice that DBLP only stores the citation information for only few publications [5] and do not have any data on Aradhye’s citations. For this query, complete FSLCA returns empty results. Meanwhile, existing SLCA techniques’ only result is the root node containing many irrelevant cite nodes.

A similar problem also arises for QM6. Note that there are five cities in the world with name containing York but only one, New York contains latitude data in the Mondial dataset. For this query, complete FSLCA approach returns a single city node corresponding to New York. Meanwhile, partial FSLCA will return all 5 cities with York. Except for New York, the remaining cities’ subtrees do not include any latitude data. Hence, these partial FSLCAs explicitly indicate that their latitude data are missing. On the other hand, for SLCA, besides the latitude of New York city, the latitudes of cities belonging to the same province or same country as York are returned instead.

While FSLCA consistently outperforms SLCA-based approaches, for some queries, both suffer poor precision. For instance, considering QM1, most of our volunteers expect the result to be the city of London, UK. However, there are other cities containing London such as East London in South Africa which are unexpectedly returned by both FSLCA and SLCA. Consider another example QP4 whose intention is probably to find proteins published in Science in 2002. However, a protein can be involved in multiple publications. Hence if a protein has one publication in Science but not in 2002 and another publication in 2002 but not in Science, then this protein is still returned as a result. All volunteers agree that both Science and 2002 should be associated with the same publication. Nevertheless, we note that both FSLCA and SLCA have low precision on text-centric documents (e.g., SHAKESPEARE) compared to data-centric documents (e.g., DBLP, Mondial). The reason is that all SLCA approaches match each keyword individually while, for long-text-attributes, collective matching is expected. For example, consider Q5. Its intention is probably to find the speaker of the line...
to be or not to be. Thus, the keywords to be or not to be are expected to be matched collectively to a single node in that order. However, FSLCA and all SLCA-based approaches process those keywords individually so that a result can have different matches for to, be, not, etc. Nevertheless, this problem can be solved by ranking [1, 16] or collective matching as used in IR.

**Execution times.** In this set of experiments, we study the execution times of MESSIAH against state-of-the-art algorithms to compute SLCA nodes. Notice that we only measure the time to retrieve the SLCA/FSLCA nodes without retrieving the matches. The results are reported in Figure 6 (MESSIAH is shown in solid colors).

Clearly, P-MESSIAH is faster than most of the SLCA-based approaches for majority of the queries. It is an order of magnitude faster than the fastest SLCA-based approaches for several queries (e.g., QD4, QM7, QP3, QP4, QS3). Notice that these queries have a lot of label keywords (e.g., publication, inproceedings). In an XML document, these keywords typically have a huge number of matches, significantly deteriorating performance of SLCA algorithms while P-MESSIAH is independent of the number of label matches (see Section 5.3). Also, C-MESSIAH is consistently fast for all queries with only one query exceeding 100ms.

On the other hand, the execution times of C-MESSIAH (both indexed and non-indexed) are generally slower but perform well when all keywords have high frequency (e.g., QD5). However, notice that C-MESSIAH is still faster than its corresponding counterparts in [14] and [17].

Note that larger result size of P-MESSIAH compared to SLCA-based approaches does not mean slower subtree retrieval cost for the former. Since MESSIAH is conscious of the missing element phenomenon, results of P-MESSIAH are usually specific descendants of SLCA’s results. Thus, the size of each result subtree returned by P-MESSIAH is smaller than that of SLCA-based approaches. For instance, consider QD6. The result size of SLCA is 1 but its only result subtree is, in fact, the whole XML tree!

### Scalability
In this experiment, we vary the data size of DBLP dataset by trimming it to 161MB, 322MB, 485MB and 646MB. The performance of QD5 is then measured on these datasets. Note that QD5 is chosen because it involves missing elements and has a large result size, ensuring significantly different result size when the data size varies. The results are shown in Figure 7(a). Expectedly, the execution time increases when the data size increases for all approaches. More importantly, our approaches are significantly faster than all SLCA approaches across all datasets. Also notice that, in this case, NC-MESSIAH is faster than P-MESSIAH. It is because cite is a relatively rare label in DBLP [5] so that there are much fewer complete FSLCA nodes than partial FSLCA nodes.

### Number of missing elements
In this experiment, we vary the number of nodes which are missing in the document and study its effect on the execution times of the benchmark approaches. The query used for this experiment is interpro name on the IN-
TERPRO dataset. Notice that each interpro node in INTERPRO has exactly one leaf child with label name. We remove K% of these name nodes and measure the performance on the modified document with missing nodes. Here, we vary K from 0 to 80 where K = 0% refers to the original document. The results are reported in Figure 7(b). We can make two key observations. Firstly, for existing SLCA algorithms and C-MESSIA algorithms, more missing elements tend to reduce the execution time. It is expected since more missing elements means fewer SLCA (complete FSLCA) interpro nodes to be returned. Secondly, the execution time of P-MESSIA does not change significantly when the number of missing nodes varies. Recall that the time complexity of Algorithm 1 is independent of the number of label matches. Observe that removing the name node for query interpro name only affects the number of label matches to name.

Number of keywords. Next, we study the effect of number of keywords in a query on the execution time. We use the query XML title inproceedings author Torsten Grust 2007 (on DBLP) containing seven keywords for this purpose. We first start with the query XML and then incrementally add more keywords from left to right. In each step, the execution time is measured and reported in Figure 7(c). The results show that the performances of all approaches except P-MESSIA vary with different number of keywords. On the other hand, the execution time of P-MESSIA is faster than these approaches and generally do not vary significantly with the number of keywords. Observe that when the number of keywords increases, a query has more input nodes but the result size also decreases. For SLCA-based approaches the effect of the input nodes dominates since output size is generally not as large as input size. However, for P-MESSIA, for each keyword, we only retrieve the value matches and type matches and not the label matches. Hence, the input size is typically much smaller resulting in significant performance gain. Also notice that, when the number of keywords increases, the query becomes more selective so that indexed algorithms tend to be faster than non-indexed algorithms. Figure 7(c) also clearly shows that our C-MESSIA algorithms are faster than the corresponding SLCA counterparts.

Heuristics for algorithm selection. Lastly, we study the accuracy of our proposed heuristic in choosing C-MESSIA or P-MESSIA appropriately. As C-MESSIA and P-MESSIA share identical result set for all queries with subscripts 1 to 4, we only consider sample queries with subscripts 5 to 8. We set N = 20 (desired number of results). Figure 8 shows the results of our study. Clearly, our approach estimates the number of complete FSLCA nodes with reasonable accuracy (see Figure 4) and more importantly uses it to make accurate choice. Specifically, for all queries where C-MESSIA would return empty results (e.g., QD5, QP5, QD6) or very few results (e.g., QP7, QP6), P-MESSIA is suitably chosen to effectively inform a user existence of missing elements in desired result sets. On the other hand, for queries with reasonably large results size (e.g., QM7, QM6, QD5), C-MESSIA is employed as discussed in Section 5.5.

7. CONCLUSIONS

The quest for high quality keyword search in XML data has become more pressing because many users favor the simplicity and familiarity of search queries to formulating a syntactically correct query using a complex XML query language. State-of-the-art XML keyword search techniques adopt smallest lowest common ancestors (SLCAs) and its variants as a meaningful way to identify matching nodes in XML data. However, SLCA-based approaches perform poorly for queries involving missing elements as they are not optionality resilient. In this paper, we present two variants of a novel algorithm called MESSIA which identify optionality-resilient FSLCA nodes instead of SLCA nodes to address this limitation. MESSIA exploits the notion of a full document and the xml-size of its DataGuide to efficiently identify superior quality FSLCA nodes. A compelling benefit of MESSIA is that it can be integrated seamlessly with state-of-the-art techniques for relevant return nodes selection, potentially improving the strengths of these approaches. Our empirical study demonstrated that MESSIA not only produces superior quality results but also is significantly faster than state-of-the-art SLCA computation techniques.

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<th>Id</th>
<th>Estimated Num. of Complete FSLCA</th>
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</tr>
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</table>

Figure 8: Heuristic-based algorithm selection (underline means C-MESSIA is selected, otherwise P-MESSIA).

8. REFERENCES
