Clustering XML Documents Using Structure and Content
based on a New Similarity Function OverallSimSUX

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Abstract. Every day more digital data in semi-structured format are available on the World Wide Web, corporate intranets, and other media. Knowledge management using information search and processing is essential in the field of academic writing. This task becomes increasingly complex and defiant, mainly because collections of documents are usually heterogeneous, big, diverse, and dynamic. To resolve these challenges it is essential to improve management of time necessary to process scientific information. In this paper, we propose a new method of automatic clustering of XML documents based on their content and structure, as well as on a new similarity function OverallSimSUX which facilitates capturing the degree of similarity among documents. Evaluation of our proposal by means of experiments with data sets showed better results than those in previous work.

Keywords. Clustering, XML, structure and content, similarity.

1 Introduction

An XML document is a hierarchical and auto-descriptive entity of information in a semi-structured format, since it incorporates structure and data in the same entity. Such structure of information can be used to retrieve relevant documents [1]. Being expandable, having a structure easy to analyze and process, XML has become the standard format of data exchange among Web applications [2]. Every day more digital data in XML format are available on the Web, corporate intranets, databases, and other media [2], so there is a need to manage these big volumes of data efficiently. Clustering based on XML structure and/or content [3] allows organizing the information.

A clustering algorithm tries to find natural clusters of data based mainly on similarity, so it is desirable that the objects that belong to the same cluster be as similar as possible and the objects that belong to different clusters be as dissimilar as possible [4].

In this paper, a new method for automatic clustering of XML documents is proposed using their content and structure. Another contribution is a new function of similarity OverallSimSUX which facilitates capturing the degree of similarity among the documents. The rest of the paper is organized as follows. Section 2 describes forms of clustering XML documents and some related papers; in Section 3 a new model of clustering of XML documents is presented using the new similarity function proposed by us. In Section 4 the experimental results are analyzed, and finally, Section 5 presents conclusions.

2 Related Work

Since XML documents are semi-structured, three forms of computing distance or similarity of these exist: (1) considering only the content of documents; (2) considering only the structure of documents; and (3) considering both dimensions of XML documents (structure and content). The algorithms that consider only the content of documents obviate the advantage of structure which they offer as well. The algorithms that carry out lexical analysis, generally view a document as a bag of words, therefore, all the labels are
eliminated and the structural information that the document offers is lost [5].

Following this focus, several authors based their research on the traditional Vector Space Model (VSM) [6] representation [7, 8].

Several works treat an XML document as a tree taking advantage of its hierarchical structure. Examples of this approach are [2, 9, 10] which use a tree representation to calculate the tree-edit distance or some of its variants to compare the documents. The method of Structural Summaries is proposed in [2] to reduce nesting and repetitions which may exist in the trees. Other methods of documents’ clustering considering their structure are based on the use of Edit Graph [11]. In [12], a new hierarchical approach is proposed which allows considering multiple forms of structural components to structurally isolate homogeneous clusters of XML documents.

At each level of the resulting hierarchy, clusters are divided by considering some type of structural components which still differentiate structures of XML documents. In [13] SOS is proposed, a similarity search method based on structures and styles of office documents. SOS needs to compute similarity values between multiple pairs of XML files included in the office documents. The authors also proposed LAX+, which is an algorithm to calculate a similarity value for a pair of XML files by matching leaf nodes of sub-trees in the XML files. A new method for clustering XML documents is proposed in [14], where the goal is to group documents sharing similar structures, following a two-step approach. Firstly they extract automatically the structure from each XML document to be classified. The extracted structure is then used as a representation model to classify the corresponding XML document. The idea behind clustering is that if XML documents share similar structures, they are more likely to correspond to the structural part of the same query.

Most of state of the art research does not use the two dimensions (structure and content) because of their great complexity [15]. However, to

<table>
<thead>
<tr>
<th>Only content</th>
<th>Kurgan, L. Semantic mapping of xml tags using inductive machine learning[7]</th>
<th>Use a variant of VSM.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Both structure and content</td>
<td>Kutty, S. Combining the structure and content of XML documents for clustering using frequent subtrees[16]</td>
<td>Follow the two-step approach to clustering XML documents.</td>
</tr>
<tr>
<td></td>
<td>Yang, W. A semi-structured document model for text mining[17]</td>
<td>Propose a framework to deal with both structural and semantic similarity in XML documents, use tree-edit distance.</td>
</tr>
</tbody>
</table>

**Fig. 1.** Summary of XML clustering algorithms

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obtain better results in clustering it is essential to use both [16]. A first and very simple option is to mix the content and the labels of a document in a VSM. In [16] the Closed Frequent Sub-Trees method is used to process the structure of documents and then to perform preprocessing of the content of the documents.

Other works developed extensions to the VSM representation called C-VSM and SLVM [17]. However, C-VSM can be seen as a method of “low contribution” since it ignores the semantic relationships among different elements; and SLVM does not consider the relationships among common elements, so it can be seen as a technique of “over contribution”. With the purpose of resolving these problematic issues, in [5] the Proportional Transportation Similarity is proposed, which works with heavy comparisons according to likeness or unlikeness of the elements while comparing pairs of documents. In [18] a framework is suggested to deal with both structural and semantic similarities in XML documents. This framework consists of four main modules for discovering structural commonalities among sub-trees, identifying sub-tree semantic resemblances, computing tree-based edit operation costs, and computing tree-edit distance. In [19] unsupervised classification techniques are used in order to group documents of a given huge collection into clusters. The authors approached this challenge by using the iterative clustering algorithm K-Star [20] in a recursive clustering process over sub-sets of the complete collection. Fig. 1 presents a summary of previous XML clustering algorithms.

3 Clustering Model

This section presents a method of automatic clustering of XML documents, as well as a new similarity function OverallSimSUX which facilitates capturing the degree of similarity among the documents.

3.1. OverallSimSUX Similarity Matrix

Meditating shortly on the concept of a document, there can be found multiple types of documents, so it seems more natural to treat them as a set of parts (i.e. scientific papers, news, etc.). Consequently, given a document \( d \), a set of structural units \( SU = \{SU_1, \ldots, SU_n\} \) can be associated with it. For example, in a scientific paper, structural units will be abstract, introduction, Section 1, etc.

The existing structural relationships among XML documents can contribute to better clustering results when the content is used in function of the relations between their \( SU \). In this paper, for the construction of a similarity matrix, a new measure of similarity is proposed which facilitates capturing the degree of similarity of these documents. In this function the existent relationship among the documents is analyzed, treating \( SU \) simultaneously like independent collections and the documents like indivisible units.

Fig. 2 shows how a similarity matrix OverallSimSUX is obtained starting from a collection of XML documents. For the matrix construction, it is necessary to perform three steps: (1) to build a first representation, denominated Representation I, using the \( SU \) of the documents; (2) to build a second representation, Representation II, by considering the whole collection; (3) to carry out clustering using Representation I.

a. Representation I (Step 1)

The original collection of documents is divided in \( n \) collections, were \( n \) is the number of \( SU \)s in a document. Definition 1 captures the correspondence between the collection and \( SU \), giving place to the \( k \)-collection concept.

**Definition 1 \((k\text{-}\text{collection})\)**. Let \( D \) be a corpus of XML documents, then the \( k \)-collection of the collection \( D \) is formed by the group of new documents \( DSU_k \):

\[
DSU_k = \{SU_k \in d, \forall d \in D\},
\]

where \( d \) is a document of \( D \), \( SU_k \) is the \( k \)-th \( SU \) of \( d \).

For each \( k \)-collection, Representation I is built using the classic VSM. In particular, the construction of this matrix was carried out by means of the Term Frequency and Inverse Document Frequency (TF-IDF) measure [6]. TF-IDF is a statistical measure of weight often used in natural language processing to determine
how important a term is in a given corpus, by using a vector representation. The importance of each term increases proportionally to the number of times this term appears in the document (frequency), but is offset by the frequency of the term in the corpus.

The $tf$ component of the formula is calculated by the normalized frequency of the term, whereas $idf$ is obtained by dividing the number of documents in the corpus by the number of documents which contain the term, and then taking the logarithm of that quotient. Given a corpus $DSU_k$ and a document $d_i$ ($d_i \in DSU_k$), the TF-IDF value for a term $t_i$ in $d_i$ is obtained by the product between the normalized frequency of the term $t_i$ in the document $d_j$ ($tf_{ij}$, equation 2) and the inverse document frequency of the term in the corpus ($idf(i)$, equation 3) as follows [19]:

$$tf_{ij} = \frac{\text{frequency}(t_i, d_j)}{\sum_{d \in D} \text{frequency}(t_i, d)}$$

(2)

$$idf(i) = \log \left( \frac{|D|}{|d_i|} \right)$$

(3)

$$tf_{ij} \cdot idf_i = tf_{ij} \times idf(i)$$

(4)

b. Representation II (Step 2)

In this paper the structure of the documents is added to the analysis, therefore, in Representation II a modification to the classic VSM is carried out and the frequency will be weighted by the $SU$ that corresponds to the analyzed term. This approach was proposed in [21]. Equation 5 shows how to calculate this frequency in a document $j$ for a term $i$:

$$tf_{ij} = \sum_{k=1}^{n} (w_{kj} \times \text{frequency}_{ik})$$

(5)

$$w_{kj} = \left( e^{\frac{-(L_{SU_k}/L_{Doc})^{\text{Pot}}}} \right)$$

(6)

where $n$ is the quantity of the $SU$ present in document $j$, $\text{frequency}_{ik}$ is the frequency of term $i$ in $SU_k$, $w_{kj}$ is the weight calculated for $SU_k$ in the document $j$, $L_{SU_k}$ is the length of the $SU_k$, $L_{Doc}$ is the length of the document $j$, $\text{Pot}$ is a given value. After several experiments, the best results were obtained with a $\text{Pot}$ value of 5.

c. k-collection Clustering (Step 3)

Starting from Representation I, a similarity matrix is calculated, which compares two documents.
using the Cosine measure; this is shown in equation 7. For each $k$-collection an independent cluster is obtained.

$$S_{\text{Cosine}}(d_i, d_j) = \frac{\sum_{r=1}^{n} (d_{ir} \times d_{jr})}{\sqrt{\sum_{r=1}^{n} d_{ir}^2 \times \sum_{r=1}^{n} d_{jr}^2}}.$$  \hfill (7)

To carry out clustering, the classic $K$-Star algorithm [20] is used. Nevertheless, the choice of other algorithm does not invalidate the idea of the method proposed in this work. In future work, we will present a comparative study of the performance of our approach against other clustering techniques. $K$-Star is an iterative clustering method that starts by building a similarity matrix of the documents to be clustered (corpus). This algorithm does not need to know the number of cluster value a priori, instead it automatically proposes a number of clusters in a totally unsupervised way. $K$-Star is a considerably fast algorithm and also obtains reasonably good results when applied to text corpora [22].

d. OverallSimSUX Matrix Calculation

The considerations exposed before are the starting point to develop the similarity measure $\text{OverallSimSUX}$, specified formally by Definition 3. It begins with the results of the clustering carried out for all $k$-collections and the similarity matrix based on the calculation of the cosine measure using Representation II.

**Definition 2 ($\lambda$-membership).** This is a boolean function, i.e. one if both documents $(i, j)$ belong to the same cluster $c_n$, otherwise it is zero depending on clustering results by using Representation I. The $\lambda$-membership is formalized in equation 8:

$$\lambda(i,j) = \begin{cases} 1, & (i,j) \in c_n, \\ 0, & i \in c_n \land j \in c_m \land m \neq n, \end{cases} \hfill (8)$$

**Definition 3 (OverallSimSUX).** A normalized measure of similarity among the documents $i, j$ is considered. It is calculated by the function $\text{Sossux}(i,j)$, equation (9), and its values are within $[0, 1]$:

$$S_{\text{SUX}}(i,j) = \frac{\sum_{k=1}^{n} \omega_k \lambda_k(i,j) + S_g(i,j)}{\sum_{k=1}^{n} \omega_k + 1}, \hfill (9)$$

**Fig. 3.** Basic steps to obtain document clustering using $K$-Star method with OverallSimSUX matrix.

**Input:** Corpus $D$ of XML documents  
**Output:** Set of clusters, cluster quality, the most representative document of each cluster.

**Begin**

1. Pre-process /* lexical analysis, stop word elimination, stemming... */
2. Build all $k$-collections (corpus $D$)  
3. For each $DSU$ 
   - $\text{Rep-I}$$\iff$Make Representation-I($DSU$) according to TF-IDF  
   - $\text{Sim_matrix}$$\iff$Calculate similarity matrix for $\text{Rep-I}$ using Cosine measure  
   - $\text{Clusters}$$\iff$Apply $K$-Star clustering method to $\text{Sim_matrix}$
4. $\text{Rep-II}$$\iff$Make Representation-II of entire corpus $D$ using equation (5) for calculating frequency
5. $\text{Sim_matrixII}$$\iff$Calculate similarity matrix for $\text{Rep-II}$ using Cosine measure
6. $\text{O_Sim_matrix}$$\iff$Calculate similarity matrix using OverallSimSUX measure taking into account all the clustering of all $DSU$ and $\text{Sim_matrixII}$
7. Make final clustering applying $K$-Star clustering method to $\text{O_Sim_matrix}$

**end_for**

**Fig. 4.** General procedure

where $S_g(i,j)$ is an element of the matrix $S_g$ calculated by equation (7) from Representation II; $\omega_k$ is the weight of $SU_k$, $n$ is the quantity of $SUs$ identified in the documents, $\lambda_k(i,j)$ is $\lambda$-membership of the documents $i, j$ from the clustering result for Representation I of $SU_k$. 

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3.2. Final Clustering

To carry out final clustering, the $K$-Star algorithm is used again.

The K-Star algorithm uses a similarity threshold for determining the minimum ratio of similarity that must exist between a document and an already formed cluster in deciding whether to incorporate a given document as a member of this cluster. This threshold must be given [19] or calculated using several variants [23]. In this work we calculated the threshold using the means of all similarity values between all pairs of documents.

Fig. 3 shows the basics steps to obtain the final clustering. A complete description of the implemented approach is given in the following section.

3.3 Description of the Approach

Fig. 4 shows the proposed general procedure.

This procedure includes three important steps: (1) preprocessing of the entire collection, identifying each Structural Unit; (2) textual representation using Representation I and Representation II, and (3) final clustering process.

4. Experimental Results

To check the validity of the obtained results starting from the pattern of the proposed clustering, two experiments were designed and applied to three data sets with the purpose of carrying out a statistical analysis. This analysis allows verifying if significant differences exist between the proposed methodology and other variants of algorithms reported in the literature.

4.1 Case Studies and Experiment Design

- **Case study 1**: documents retrieved from the site of ICT of the Center of Studies on Informatics of the Universidad Central "Marta Abreu" de las Villas (UCLV)\(^1\).

- **Case study 2**: summary of documents of the IDE-Alliance repository, provided by the University of Granada, Spain.

- **Case study 3**: summary of Wikipedia documents, published by INEX to evaluate clustering.

We conform 16 corpora of XML documents (corpora 1 to 7 with documents from case study 1; corpora 8 to 11 with documents from case study 2, the rest from case study 3).

We perform two experiments with these 16 corpora for evaluating the results according to our objective.

The first experiment consisted in verifying how our method behaves globally on the three data sets described previously. Other methods used for comparison were the one proposed in INEX [19] broadly used for clustering of XML documents and the K-Star algorithm, a predecessor of our proposal. Both approaches, the K-Star algorithm and the algorithm proposed in [19], were implemented in a system for clustering scientific papers in XML format (LucXML).

To evaluate the results, we applied an external measure called Overall $F$-measure [24]. This measure is based on Precision ($Pr$) and Recall ($Re$) [25]. $Pr$ and $Re$ are calculated for a cluster $g$ and a class $c$ as follows:

\[
Pr(c, g) = \frac{n_{cg}}{n_g},
\]

\[
Re(c, g) = \frac{n_{cg}}{n_c},
\]

Fig. 5. Overall $F$-measure values of the compared algorithms.

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\(^1\) http://ict.cei.uclv.edu.cu
\[ Re(c, g) = \frac{n_{cg}}{n_c}, \]  
\[ FM(c, g) = \frac{1}{n(Pr(c, g))(1-\alpha)(Re(c, g))}. \]  

where \( n_{cg} \) is the number of objects of class \( c \) in cluster \( g \), \( n_g \) is the number of objects in cluster \( g \), and \( n_c \) is the number of objects of class \( c \). These values are used to calculate \( F \)-measure using harmonic means of \( Pr \) and \( Re \) as shown in formula 12:

\[ FM(c, g) = \frac{1}{n(Pr(c, g))(1-\alpha)(Re(c, g))}. \]  

If \( \alpha=1 \), then \( FM(c, g) \) coincides with \( Pr \) value; if \( \alpha=0 \), \( FM(c, g) \) coincides with \( Re \) value. So \( \alpha=0.5 \) means that \( Pr \) and \( Re \) have equal weight. Finally, the Overall \( F \)-measure is calculated using expression 13:

\[ OFM = \sum_{i=1}^{k} \frac{n_{i}}{n} \max(FM(c, g)). \]  

Results obtained for the Overall \( F \)-measure are shown in Fig. 5 where the method of [19] is denoted as IK-Star and our approach is denoted as Algorithm1.

In the second experiment it was verified how our proposal behaves globally on 16 corpora of the three data sets described previously. Here we compared our method with the method of INEX'09 [19] using a technique based on the \( Micro-Purity \) and \( Macro-Purity \) measures described in [26]. This will show the quality of the groups obtained in each clustering. \( Purity \) is measured as the ratio of the number of documents with the majority label in a given cluster to the number of documents in this cluster. \( Macro- \) and \( Micro-Purity \) of the entire clustering solution is obtained as a weighted sum of the individual cluster purity. In general, the larger the value of purity, the better the clustering solution is. Table 1 presents these values.

Equations 15 and 16 show expressions for \( Micro-Purity \) and \( Macro-Purity \), respectively:

\begin{table}[h]
\centering
\begin{tabular}{|c|c|c|c|c|}
\hline
Corpus & \multicolumn{2}{c|}{Micro-Purity} & \multicolumn{2}{c|}{Macro-Purity} \\
\cline{2-5}
 & IK-Star & Alg1 & IK-Star & Alg1 \\
\hline
1. & 0.716 & 0.568 & 0.792 & 0.534 \\
2. & 0.559 & 0.451 & 0.488 & 0.483 \\
3. & 0.3 & 0.673 & 0.2 & 0.759 \\
4. & 0.405 & 0.418 & 0.405 & 0.628 \\
5. & 0.725 & 0.418 & 0.816 & 0.628 \\
6. & 0.459 & 0.557 & 0.44 & 0.643 \\
7. & 0.481 & 0.571 & 0.481 & 0.596 \\
8. & 0.511 & 1 & 0.511 & 1 \\
9. & 0.542 & 0.545 & 0.656 & 0.697 \\
10. & 0.636 & 1 & 0.627 & 1 \\
11. & 0.463 & 0.633 & 0.529 & 0.71 \\
12. & 0.722 & 0.958 & 0.792 & 0.972 \\
13. & 0.59 & 0.597 & 0.59 & 0.664 \\
14. & 0.552 & 0.689 & 0.552 & 0.806 \\
15. & 0.525 & 0.638 & 0.524 & 0.71 \\
16. & 0.515 & 0.461 & 0.56 & 0.55 \\
\hline
\end{tabular}
\caption{Values of the Micro-Purity and Macro-Purity measures for INEX-Star and the Alg1 (our approach)}
\end{table}
\[
Purity(q) = \frac{\text{NDMLC}_q}{\text{NDC}_q}, \tag{14}
\]

\[
\text{Micro - Purity}(q) = \frac{\sum_{\text{cat}} \text{Purity}(q) \times \text{TFC}(q)}{\sum_{\text{cat}} \text{TFC}(q)}, \tag{15}
\]

\[
\text{Macro - Purity}(q) = \frac{\sum_{\text{cat}} \text{Purity}(q)}{\text{TotalofCategories}}, \tag{16}
\]

where \(\text{NDMLC}_q\) is the number of documents with the majority label in a cluster, \(\text{NDC}_q\) is the number of documents in the cluster, \(\text{TFC}\) is the total number of documents found by class, \(\text{TotalofCategories}\) is the number of clusters found by the clustering algorithm.

In general, best results were achieved by Algorithm 1 (our proposal) in both experiments.
In order to validate the obtained results, for the first experiment we computed the Friedman test (Friedman two-way analysis of variances by ranks) [27, 28]. This test is a multiple comparison procedure capable to detect significant differences between the behaviors of two or more algorithms; i.e., it can be used for discovering whether at least two of the samples represent populations with different median values or not, in a set of \( n \) samples \( (n \geq 2) \).

Using a significance level of 0.05, corresponding to the 95% confidence interval, the Friedman test suggests rejecting the null hypothesis \( (p\text{-value}<0.05) \), therefore, there exist highly significant differences between at least two algorithms. Algorithm 1 are best ranked; however, this information cannot be used to conclude that our proposal is involved in these differences; for this reason we applied the Wilcoxon signed ranks test [29]. The latter is a pairwise procedure that aims to detect significant differences between two sample means, that is, the behavior of two algorithms. Using a significance level of 0.05, corresponding to the 99% confidence interval, the Wilcoxon test suggests to reject the null hypothesis \( (p\text{-value}<0.05) \) for the following pairwise comparisons: Alg1 vs. K-Star (0.001), Alg1 vs. IK-Star (0.001). These results statistically confirm that the proposed algorithm (Alg1) obtained better result than the other algorithms used in these case studies.

The non-parametric Wilcoxon test was also applied for the values of Purity measure calculated from all clustering obtained using our approach and the method proposed in [19]. Using a significance level of 0.05, corresponding to the 99% confidence interval, the results are 0.04 for the Micro-Purity results and 0.026 for the Macro-Purity results. In Tables 2-5 the values of significance of these tests are given.

### 5 Conclusions

The new proposed method of clustering of XML documents by using both content and structure allowed obtaining results similar or higher than the results of other methods used for comparison in three case studies with two experiments.

The new methodology for calculating the similarity function OverallSimSUX facilitates capturing of the similarity degree among the documents.

In future, we will study the effects of other clustering techniques (for example, fuzzy and hierarchical techniques) on the results of the proposed methodology.

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27. Friedman, M. (1937). The use of ranks to avoid the assumption of normality implicit in the analysis of


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