Extract-Transform-Load

SDRP Lecture 3

Christian Thomsen chr@cs.aau.dk

F-Klub case work

- Very few hand-ins received
- Very little activity last Friday
- There will be an exam question about the F-Klub case
- And the knowledge and experience will also be useful for another question
- If you hand in at the given deadline, you can bring your solutions/hand-ins to the exam
- I strongly recommend that you work on the F-Klub case tomorrow (and after the exercises if you have time)
 - Read the instructions carefully -v2 uploaded on Moodle
 - Catch up from session 1 if you are behind
 - Let me know if you need some extra time

Last time

- Slowly Changing Dimensions (SCDs)
 - Type 1, Type 2, Type 3, Type 4
- Special dimensions
 - Outriggers
 - Degenerate dimensions
 - Junk dimensions
 - Role-playing dimensions
- Hierarchies
 - Variable-depth hierarchies
 - Unbalanced, non-covering, non-strict hierarchies
 - Multiple and parallel hierarchies
- Today: Extract-Transform-Load (ETL)

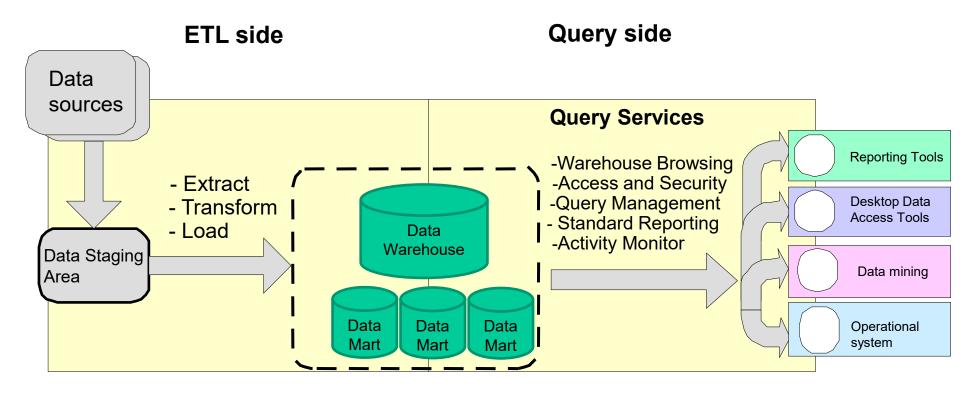
ETL Overview

- The ETL Process
- Extract
- Transform
- Load
- Kimball's ETL Construction Process
- Tools: Apache Hop and pygrametl

The ETL Process

- The most underestimated process in DW development
- The most time-consuming process in DW development
 - Up to 70% of the development time is spent on ETL!
- Extract
 - Extract relevant data
- Transform
 - Transform data to DW format
 - Build DW keys, etc.
 - Cleansing of data
- Load
 - Load data into DW
 - Build aggregates, etc.

ETL in the Architecture



Data Staging Area (DSA)

- Transit storage for data in the ETL process
 - Transformations/cleansing done here
- No user queries
- Sequential operations on large data volumes
 - Performed by central ETL logic
 - Easily restarted
 - Reduced need for locking, logging, etc.
 - RDBMS or flat files?
- Finished dimensions copied from DSA to relevant marts
- Allows centralized backup/recovery
 - Better to do this centrally in DSA than in all data marts

Extract

Types of Data Sources

Cooperative sources

- Replicated source publish/subscribe mechanism
- Call back source calls external code (ETL) when changes occur
- Internal action source only internal actions when changes occur
 - Example: DB with triggers
- Non-cooperative sources
 - Snapshot source provides only full copy of source, e.g., files
 - Specific source each is different, e.g., legacy systems
 - Logged source writes change log, e.g., DB log
 - Queryable source provides query interface, e.g., RDBMS
- Extract strategy depends on the source types

Extract

- Goal: fast extract of relevant data
 - Extract from source systems can take long time
- Types of extracts:
 - Extract applications (SQL): co-existence with other applications
 - DB unload tools: faster than SQL-based extracts
 - e.g., MS SQL Export Wizard, MySQL DB dump
- Extract applications the only solution in some scenarios
- Too time consuming to ETL all data at each load
 - Can take days/weeks
 - Drain on the operational systems and DW systems
- Consider only the changes since last load

Computing Deltas

- Delta = changes since last load
- Store sorted, complete extracts in the DSA
 - Delta can be computed from the current and the previous extracts
 - + Always possible
 - + Handles deletions
 - High extraction and processing time
- Put "audit timestamp" on all rows (in the source)
 - Can be updated by a DB trigger or the source application
 - Source system must be changed, operational overhead
 - Make sure that the timestamp is reliable
 - Extract only where "timestamp > time for last extract"
 - + Reduces extract time
 - Cannot (alone) handle deletions

Last extract 200 time: 300

400

500

Timestamp

DKK

. . .

. . .

. . .

10

20

15

60

33

Changed Data Capture (CDC)

- Finding the delta is also called "Changed Data Capture".
 Other CDC techniques include:
- Messages
 - Applications insert messages in a queue when they do updates
 - + Works for all types of updates and systems
 - Operational applications must be changed
 - Operational overhead
- DB triggers
 - Triggers execute actions on INSERT/UPDATE/DELETE
 - + Operational applications need not be changed
 - + Enables real-time update of DW
 - Operational overhead

CDC (cont.)

- Replication based on DB log
 - Find changes directly in DB log which is written anyway
 - + Operational applications need not be changed
 - + No operational overhead
 - A very complex task... Don't do this yourself
 - (Tools exist for many systems, incl. SQL Server, Oracle, and DB2)

Transform

Common Transformations

- Data type conversions
 - EBCDIC → ASCII/Unicode
 - String manipulations
 - Date/time format conversions
 - Unix time 1201928400 = what time?
- Normalization/denormalization
 - To the desired DW format
 - Depending on source format
- Building keys
 - Table matches production keys to surrogate DW keys
 - Correct handling of history especially for total reload

Data Quality

- Data almost never has decent quality
- Data in a DW must be:
 - Precise
 - The DW data must match known numbers
 - Complete
 - The DW has all relevant data
 - Consistent
 - No contradictory data: aggregates fit with detail data
 - Unique
 - The same thing is called the same and has the same key
 - Timely
 - The data is updated "frequently enough" and the users know when

Cleansing

- Why cleansing? Garbage In Garbage Out
- BI does not work on "raw" data
 - Pre-processing necessary for BI analysis (+ ML/AI)
- Handle inconsistent data formats
 - Spellings, codings, ...
- Remove unnecessary attributes
 - Production keys, comments,...
- Replace codes with text for easy understanding, e.g.,
 - department name instead of a code: Finance vs. DPT8
 - country name instead of country code: Ireland vs. IE
- Combine data from multiple sources with common key
 - E.g., customer data from marketing, sales, support, ...

Types of Cleansing

- Conversion and normalization
 - Most common type of cleansing
 - Text coding, date formats
 - does 3/2 mean 3rd February or 2nd March?
- Special-purpose cleansing
 - Look-up tables and dictionaries to find valid data, synonyms, abbreviations
 - Normalize spellings of names, addresses, etc.
 - Dorset Rd or Dorset Road?
 - København or Copenhagen?
 - Aalborg or Ålborg?
 - Remove duplicates, e.g., duplicate customers

Types of Cleansing

- Approximate, "fuzzy" joins on records from different sources
 - Example: two customers are regarded as the same if their respective values match for most of the attributes (e.g., address, phone number)
- Domain-dependent cleansing
 - Specialized solutions for address normalization exist, for example
- Rule-based cleansing
 - User-specified rules: if-then-else style
 - Automatic rules: use data mining to find patterns in data
 - Guess missing sales person based on customer and item

Cleansing

- Uniform treatment of NULL
 - Use NULLs only for measure values (estimates instead?)
 - Use a special dimension value instead of NULL dimension values
 - E.g., for the time dimension, instead of NULL, use special key values to represent "Date not known", "Soon to happen", and so on
 - Avoids problems in joins, since NULL is not equal to NULL
 - Yet another good reason to use surrogate keys!
- Remove special codes (e.g., -1 for "Deactivated") in your DW data
 - They are hard to understand in query/analysis operations
 - The users won't understand them

Cleansing

Apply tests to the data ("age is non-negative", "salary > ...")

- Mark facts with **Data Status dimension**
 - Normal, abnormal, outside bounds, impossible,...
 - Facts can be taken in/out of analyses

SID	Status			
1	Normal			
2	Abnormal			
3	Out of bounds			
	•••			

Mark facts with an Audit dimension telling about the ETL run

AID	StartTime	EndTime	Processed records	Rejected records	ETL version	
1	1/1-2020 3:00	1/1-2020 3:35	350295	3	1.26	
2						

Improving Data Quality

- Appoint "data steward"
 - Responsibility for data quality
 - Includes manual inspections and corrections!
- DW-controlled improvement
 - Default values
 - "Not yet assigned 157" note to data steward
- Source-controlled improvements
- Construct programs that check data quality
 - Are totals as expected?
 - Do results agree with alternative source?
 - Number of NULL values?

Load

Load

- Goal: fast loading into DW
 - Loading deltas is much faster than a total load
- SQL-based update is slow
 - Large overhead (optimization, locking, etc.) for every SQL call
 - DB load tools are much faster
- Index on a table can slow down the load significantly
 - Consider to drop the index and rebuild it after the load
 - Can be done per index partition
- Parallelization
 - Dimensions can be loaded concurrently
 - Fact tables can be loaded concurrently
 - Partitions can be loaded concurrently

Load

- Relationships in the data
 - Referential integrity and data consistency must be ensured before loading
 - FKs are often not declared or enforced in the DW
- Aggregates
 - Can be built and loaded at the same time as the detail data
- Load tuning
 - Load without log
 - Sort load file first
 - Make only simple transformations in loader
 - Use loader facilities for building aggregates

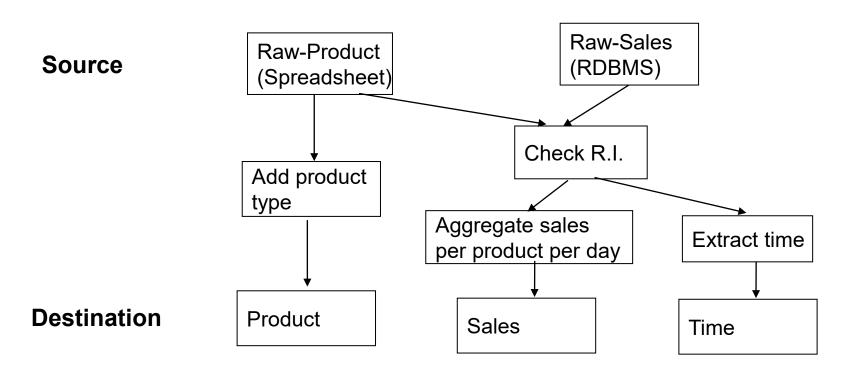
Kimball's ETL Construction Process

Plan

- Make high-level diagram of source-destination flow
- Choose an ETL tool
- Develop default strategies for dimension management, error handing, etc.
- 4) Focus on each target table
- Construction of one-time historic load process
 - 5) Build and test historic dimension loads
 - 6) Build and test historic fact loads
- Construction of incremental load process
 - 7) Build and test incremental dimension loads
 - 8) Build and test incremental fact loads
 - 9) Build and test aggregate loads and/or OLAP processing
 - 10) Design, construct, and test ETL automation

High-level Diagram

- Step 1: Make high-level diagram of source-destination flow
 - Mainly used for communication purpose
 - 1-2 pages, highlight sources/destinations, questions, and challenges



ETL Tool and Default Strategies

- Step 2: Choose an ETL tool
 - Use graphical ETL tool or hand-coded scripts?
 - Graphical tools are (somewhat) self-documenting but may have steep learning curves
 - Many tools are available the "best choice" depends on your case
- Step 3: Develop default strategies
 - How to extract from the source systems?
 - How and how long should extracted data be archived?
 - How should data quality be checked? What happens to bad data?
 - How are changes (SCDs) handled?
 - How are requirements for availability met?
 - How is auditing done?
 - How is staging (writing to disk for later usage) done?

Individual Targets and Historic Dimension Load

- Step 4: Focus on each target table
 - Where do we get data (for each column) from?
 - Ensure that hierarchies are clean
 - Plan the detailed restructurings
- Step 5: Load dimensions with historic data
 - Historic data loading is done once incremental loading is done many times. You may or may not have separate processes
 - Map from production codes to meaningful text equivalents
 - Avoid NULLs
 - Check if one-to-one and one-to-many relationships are as expected
 - Assign surrogate keys
 - Maintain a map table between production keys and surrogate keys
 - Load efficiently (more about this soon)
 - Load static dimensions (e.g., Date)

Historic Fact Load

- Step 6: Load historic facts
 - Probably you are dealing with huge data volumes
 - Typically, only few transformations needed
 - NULLs may be OK for measure values, but foreign keys to dimensions should NOT be NULL
 - Maintain referential integrity (RI) do not point to a non-existing dimension value. Lookup the surrogate keys
 - Dimensions should be loaded before the facts
 - Use an audit dimension to track when a fact was added (i.e. to track information about the ETL invocation)
 - Load data efficiently ("bulkload")

Incremental Loads

- Step 7: Incremental dimension load
 - Identify new and changed data
 - Add new members (and update mapping to surrogate keys)
 - Handle changed attributes for SCDs (update mapping to newest surrogate key)
 - Hash values can be used to detect differences
 - For small dimensions, it may be easier to rebuild them completely
- Step 8: Incremental fact load
 - A subset of the map between production keys and surrogate keys can be cached in a preprocessing step
 - Fast loading possible for partitions
 - Parallel processing possible?

Automation

- Step 9: Maintain aggregates and build OLAP cubes
- Step 10: Automate the ETL system
 - Scheduling (time and events)
 - Error handling
 - Backups
 - **.** . . .

A Hint on ETL Design

- Don't implement all transformations in one step!
 - Build first step and check that result is as expected
 - Add second step and execute both, check the result
 - Add third step ...
- Try to do one thing at a time

Quiz 3: ETL

Q3.1 ETL means

- [] A) External Transfer Layer
- [] B) Extensible Transformations Language
- []C) Extract-Transform-Load
- [] D) Easy Transactional Loading

Q3.2 Creating the ETL flow typically takes

- [] A) a month
- [] B) little of the entire development time
- [] C) much of the entire development time

Q3.3 The DSA is

- [] A) used by the ETL process exclusively
- [] B) used to answer certain user queries very quickly
- [] C) freely available to the end user
- [] D) a 1:1 copy of the operational sources

Quiz 3, cont.

Q3.4 In a "delta load",

- [] A) the entire source data set is processed into the DW again
- [] B) only new and updated source data is processed into the DW
- [] C) the ETL process runs with a very low priority

Q3.5 When loading facts into the fact table F, an index on F

- [] A) makes the performance worse
- []B) does not affect the performance
- []C) makes the performance better

Q3.6 In a fact table, NULLs

- [] A) are OK to use for unknown measure values
- []B) are OK to use for unknown dimension values
- [] C) should be avoided by all costs

Q3.7 Typical ETL processing is supported by

- [] A) Microsoft Excel
- []B) specialized ETL tools
- [] C) plain SQL

Graphical tools

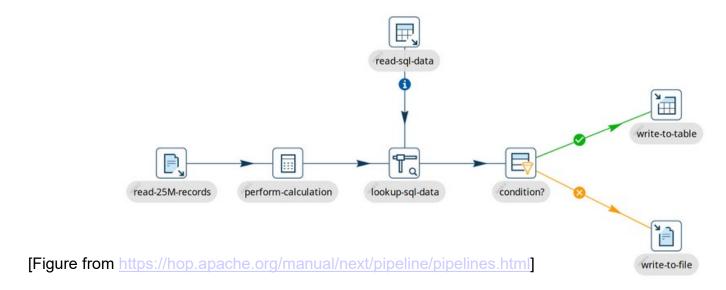
- Most available ETL tools are GUI-based
 - Apache Hop (quick intro next)
 - PDI
 - SQL Server Integration Services
 - Oracle Warehouse Builder
 - IBM DataStage
 - ...
- Afterwards, we will look at an alternative: programming of ETL flows in pygrametl

Apache Hop

- Hop = Hop Orchestration Platform
- An open-source ETL tool
- Started as a fork from Pentaho Data Integration (PDI)
- Hop Gui is is the visual tool to design workflows and pipelines
- Workflows perform orchestration tasks
 - Downloading files, sending emails, ...
 - Define dependencies and order, check conditions
- Pipelines do the actual work on data
 - A network of logical tasks called transforms

Pipeline

Two main components: transforms and hops



- 7 transforms in this example (the boxes)
 - Note that the transforms run in parallel
- The data flows via the hops (the arrows show the direction)
 - Hops can be conditional

Transforms

- The building blocks of pipelines
- Many types of transforms in Apache Hop
 - Input, output, dimension lookup/update, scripting, query, join, value mapping, ...
 - Currently ~200 transforms
- Picking the right transform for the right task is the key
 - Spend some time to get an overview and read the documentation

pygrametl: ETL in Python

Motivation

- The Extract-Transform-Load (ETL) process is a crucial part for a data warehouse (DW) project
- Many commercial and open source ETL tools exist
- The dominating tools use graphical user interfaces (GUIs)
 - Pros: Easy overview, understood by non-experts, easy to use (?)
 - Cons: A lot of drawing/clicking, missing constructs, inefficient (?)
- GUIs do not automatically lead to high(er) productivity
 - A company experienced similar productivity with coding ETL in C
- Trained specialists use text efficiently
- ETL developers are (in our experience) trained specialists

Motivation – cont.

- We wish to challenge the idea that GUIs are always best for ETL
- For some ETL projects, a code-based solution is the right choice
 - "Non-standard" scenarios when ...
 - fine-grained control is needed
 - required functionality not available in existing ETL tool
 - doing experimentation
 - Prototyping
 - Teams with limited resources
- Redundancy if each ETL program is coded from scratch
- A framework with common functionality is needed
- pygrametl
 - a Python-based framework for ETL programming

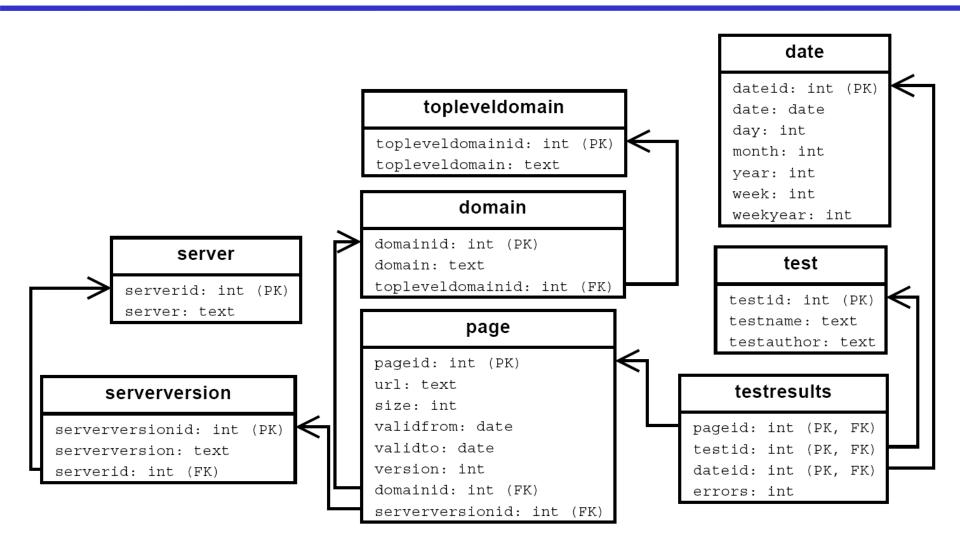
Agenda

- Motivation
- Why Python?
- Example
- Dimension support
- Fact table support
- Flow support
- Evaluation
- New support for testing
- Conclusion and future work

Why Python?

- Designed to support programmer productivity
 - Less typing a Python program is often 2-10X shorter than a similar Java program
- Good connectivity
- Runs on many platforms (also .NET and Java)
- "Batteries included" comprehensive standard libraries
- Object-oriented, but also support for functional programming
- Dynamically and strongly typed
- Duck typing

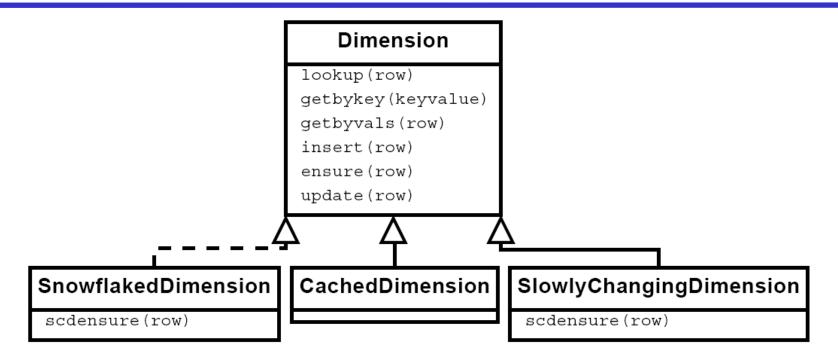
Example



Agenda

- Motivation
- Why Python?
- Example
- Dimension support
- Fact table support
- Flow support
- Evaluation
- New support for testing
- Conclusion and future work

Dimension support



 The general idea is to create one Dimension instance for each dimension in the DW and then operate on that instance: dimobject.insert(row)

Dimension

```
restdim = Dimension(
name="test", key="testid",
attributes=["testname", "testauthor"],
lookupatts=["testname"],
defaultidvalue=-1)
```

Further, we could have set

- idfinder=somefunction
 to find key values on-demand when inserting a new member
- rowexpander=anotherfunction to expand rows on-demand

Dimension's methods

- lookup(row, namemapping={})
 Uses the lookup attributes and returns the key value
- getbykey(keyvalue)
 Uses the key value and returns the full row
- getbyvals(row, namemapping={})
 Uses a subset of the attributes and returns the full row(s)
- insert(row, namemapping={})
 Inserts the row (calculates the key value if it is missing)
- ensure (row, namemapping={})
 Uses lookup. If no result is found, insert is used after the optional rowexpander has been applied
- update(row, namemapping={})
 Updates the row with the given key value to the given values

CachedDimension

Like a Dimension but with caching (and thus much faster!!!)

```
testdim = CachedDimension(
        name="test", key="testid",
        attributes=["testname", "testauthor"],
        lookupatts=["testname"],
        defaultidvalue=-1
        cachesize=500,
        prefill=True
        cachefullrows=True
```

SlowlyChangingDimension

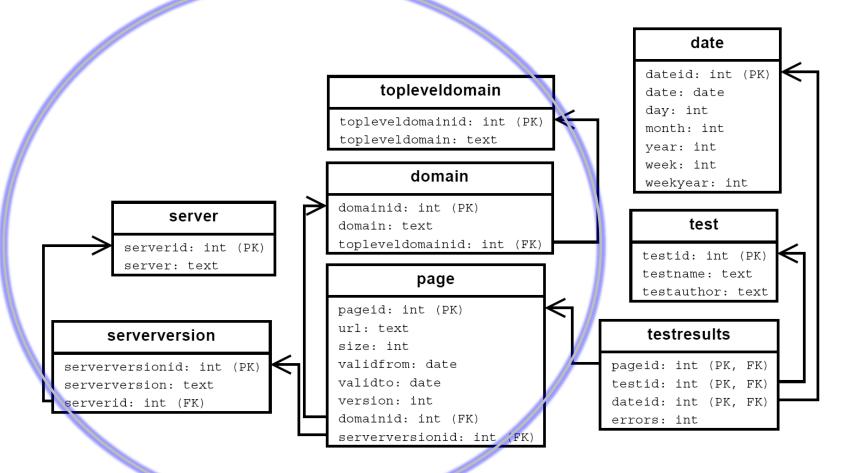
Supports Slowly Changing Dimensions (type 1 & 2)

```
pagedim = SCDimension(name="page", key="pageid",
   attributes=["url", "size", ...],
   lookupatts=["url"],
   fromatt="validfrom",
   fromfinder=pygrametl.datereader("lastmoddate"),
   toatt="validto", versionatt="version")
```

- We could also have given a list of "type 1 attributes", set a tofinder, and configured the caching
- Methods like Dimension plus scdensure (row, namemapping={}) that is similar to ensure but detects changes and creates new versions if needed

Snowflaked Dimensions

Recall the running example



SnowflakedDimension

- For filling a snowflaked dimension represented by several tables
- Enough to use one method call on a single object made from other Dimension objects

- We can then use a single call of pagesf.ensure (...) to handle a full lookup/insertion into the snowflaked dimension
- Likewise for insert, scdensure, etc.

Agenda

- Motivation
- Why Python?
- Example
- Dimension support
- Fact table support
- Flow support
- Evaluation
- New support for testing
- Conclusion and future work

Fact table support

- FactTable a basic representation
 - insert(row, namemapping={})
 - lookup(row, namemapping={})
 - ensure(row, namemapping={})
- BatchFactTable
 - Like FactTable, but inserts in batches.
- BulkFactTable
 - Only insert (row, namemapping={})
 - Does bulk loading by calling a user-provided function

```
facttbl = BulkFactTable(name="testresults",
    keyrefs=["pageid", "testid", "dateid"],
    measures=["errors"], bulksize=5000000,
    bulkloader=mybulkfunction)
```

Putting it all together

The ETL program for our example:

```
[Declarations of Dimensions etc.]
def main():
   for row in inputdata:
      extractdomaininfo(row)
      extractserverinfo(row)
      row["size"] = pygrametl.getint(row["size"])
      row["pageid"] = pagesf.scdensure(row)
      row["dateid"] = datedim.ensure(row)
      row["testid"] = testdim.lookup(row)
      facttbl.insert(row)
   connection.commit()
```

Flow support

- A good aspect of GUI-based ETL programming is that it is easy to keep different tasks separated
- pygrametl borrows this idea and supports Steps (with encapsulated functionality) and flows between them
- A Step can have a following Step
- The basic class Step offers (among other) the methods
 - defaultworker(row)
 - redirect(row, target)
 - inject(row, target=None)
- pygrametl has some predefined Steps:
 - MappingStep, ValueMappingStep, ConditionalStep, ...
- Steps are rarely used by pygrametl users. It seems they want to "take control" when they code their ETL flow

Agenda

- Motivation
- Why Python?
- Example
- Dimension support
- Fact table support
- Flow support
- Evaluation
- New support for testing
- Conclusion and future work

Evaluation

- We implemented ETL solutions for the example in pygrametl and Pentaho Data Integration (PDI)
 - PDI is a leading open source GUI-based ETL tool
 - Ideally, commercial tools should also have been used but commercial licenses often forbid publication of performance results
- Difficult to make a complete comparison...
 - We have experience with PDI but we wrote pygrametl
 - A full-scale test would require teams with fully trained developers
- We evaluated development time
 - each tool was used twice in the first use, we had to find a strategy, in the latter use we only found the interaction time
- ... and performance
 - on generated data with 100 million facts

Comparison

pygrametl

- 142 lines (incl. whitespace 19 boxes and 19 arrows and comments), 56 statements
- 1st use: 1 hour
- 2nd use: 24 minutes
- 9208 facts/sec
- 53% CPU utilization

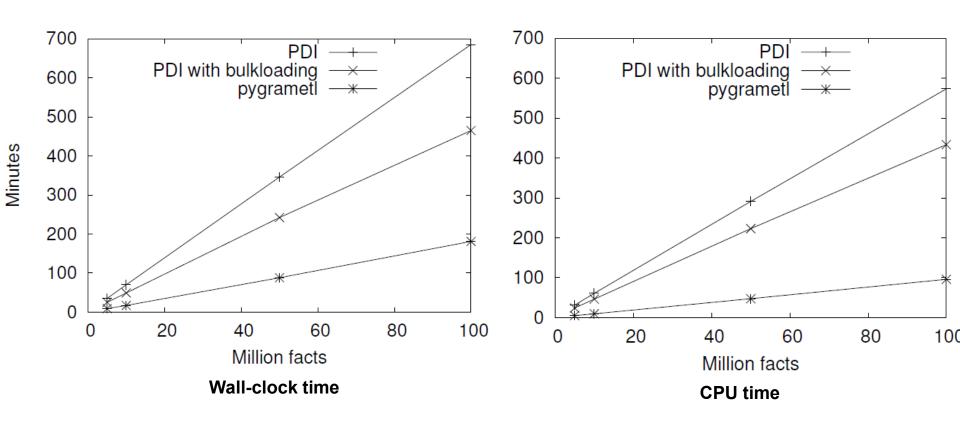
PDI

- 1st use: 2 hours
- 2nd use: 28 minutes
- 2433 (3584) facts/sec
- 83% (93%) CPU util.

Performance test

- Uses the running example
 - 2,000 domains each with 100 pages and 5 tests
 - One considered month gives 1 million facts
 - We get ~100,000 new page versions per month after the 1st month
- VirtualBox with 3 virtual CPUs; host has 2.70GHz i7 with 4 cores and hyperthreading
- VirtualBox with 16GB RAM; host has 32GB
- Host has SSD disk
- Linux as guest OS; host runs Windows 10
- Python 3.6, OpenJDK 8, PostgreSQL 9.4
- pygrametl 2.5, PDI 7.1
- Both pygrametl and PDI were allowed to cache all dimension data

Performance



Agenda

- Motivation
- Why Python?
- Example
- Dimension support
- Fact table support
- Flow support
- Evaluation
- New support for testing
- Conclusion and future work

Testing of ETL

- It is complex to create an ETL flow
- Testing during its development is important
 - ensure correctness
 - correct errors immediately → decreased development time
- It is tedious to define test cases where the state of the database is taken into consideration
 - Use of "boilerplate code" to load/compare data
- In pygrametl 2.7, we included the *Drawn Table Testing (DTT) framework*
- DTT makes it easy to define
 - preconditions (the state of the DB before the ETL flow runs) and
 - postconditions (the expected state of the DB after the flow runs)
- "Drawn Tables" are used for this

Drawn Table – example

PK, UNIQUE, NOT NULL, FK table(column) supported

Drawn Tables

DTs can be created with the Table class:

```
tbl = Table("browser", """[Drawn Table]""")
```

- The content can also be loaded from somewhere else (loadFrom=iterable)
- tbl.ensure() will create and populate the table if it doesn't already exist with the exact rows (or raise an Error)
- tbl.reset() will force the table to look like specified
- By default, a SQLite in-memory database is used
 - the user can get and set the connectionwrapper such that her
 ETL flow can modify the test database

Working with Drawn Tables

- tbl.assertEqual() will check that the table in the DB now looks like this DT
 - If it does not, an AssertionError is raised and the differences are printed (this verbosity can optionally be disabled)

More about the DTT framework

- Variables are also supported in DTs
 - \$name
 - When values must be equal, but the exact values are unknown or do not matter
 - \$_ is a special variable which is considered equal to anything
- The tool can also be used as a stand-alone tool where
 DTs are specified in text files (→ no Python code needed)
 - Also possible to use DTT with other ETL tools than pygrametl
- If you want to try DTT,
 import pygrametl.drawntabletesting

Conclusion and future work

- We challenge the conviction that ETL is always best done by means of a GUI
- We propose to let ETL developers do ETL programming by writing code
- To make this easy, we provide pygrametl
 - a Python-based framework for ETL programming
- Some persons prefer a graphical overview of the ETL process
 - The optimal solution includes both a GUI and code
 - Future work includes to make a GUI for creating and connecting steps
 - Updates in code should be visible in GUI and vice versa
 - "Reverse engineering" & "roundtrip engineering"

Getting pygrametl

- Version 2.8 released in September 2023
- The source code, documentation, and the shown example case can be found on http://pygrametl.org
- You can also install it with pip pip3 install pygrametl
- import pygrametlimport pygrametl.tables

```
mydim = pygrametl.tables.CachedDimension(...)
```

Exercises and F-Klub Case

- Exercises
 - See Moodle
 - Apache Hop and pygrametl
- F-Klub case tomorrow
 - Make the relational schema if you didn't do so already
 - ◆ CREATE TABLE ...
 - If you realize that you made a mistake or forgot something in the first part, you are of course free to change it – include all parts when you submit
 - Make an ETL flow in Apache Hop or pygrametl