



SQL Query Tuning for SQL Server

Getting It Right the First Time

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Introduction

As part of my job as a Senior DBA with Confio Software, I get to review SQL Server database performance data with hundreds of customers a year. During the review process I provide performance improvement recommendations based on the response time data from Confio's performance analysis tool, Ignite for SQL Server. I also try to go above and beyond the raw data to provide valuable performance tuning tips for our customers. Over the years, the DBAs at Confio have developed a process that works time and time again. This process is the focus of this white paper and follows four fundamental steps:

1. Focus on the correct SQL statements
2. Utilize response time analysis
3. Gather accurate execution plans
4. Use SQL diagramming

Why Focus on SQL Statements

When I think about performance tuning for a database environment, the following three types of tuning approaches come to mind:

- Application Tuning – tune the application code to process data more efficiently.
- Instance Tuning – tune the SQL Server instance via modification of parameters or altering the environment in which the database executes.
- SQL Statement Tuning – tune the SQL statements used to retrieve data.

The third approach, SQL tuning, seems to be a point of contention with many of our customers because it is often unclear which group (database administration or development) is responsible. This is also the area where I tend to focus my efforts for reasons discussed throughout this paper.

I am often asked why I focus on SQL statement tuning rather than instance or application tuning. Instance and application tuning are definitely beneficial in the right circumstances; however, I typically find that SQL tuning provides the most “bang for the buck” because it is often the underlying performance issue. My experience is that approximately 75-85% of the performance problems were solved using SQL tuning techniques.

Why does SQL tuning provide the most benefit? Most applications (there will always be exceptions) accessing databases on the backend require simple manipulation of data. There are typically no complex formulas or algorithms that require significant application time and thus tuning. These applications also deal with smaller amounts of data so even if the processing of that data is inefficient, it does not become a significant portion of the total waiting time for the end user. For example, a web application that displays the status of an order may only manipulate a few rows of data. Even if processing those

rows is done inefficiently as possible, the total time will still be relatively small. Again, there are always exceptions.

On the flip side, the database is responsible for examining large amounts of data to retrieve the status of that order. There may be several tables involved containing millions of rows of data each and inefficiencies can quickly become huge bottlenecks. Tuning the underlying query in this case typically provides the most performance benefit rather than focusing on the application code.

Which SQL Statement Should be Tuned

If SQL statement tuning can provide the most benefit, the next question is “Which SQL statement should I focus on”? Often I find that a DBA or developer did a great job of tuning a SQL statement, but later discovered it was not the root cause of the performance problem the end users were complaining about. Tuning the wrong SQL statement is clearly a waste of time, so what is the best way to know which SQL to tune? Choosing the correct SQL statement can involve looking for SQL statements that:

- Perform the most logical I/O
- Consume the most CPU
- Perform costly full table or index scans
- Use an execution plan with a high cost
- And many more...

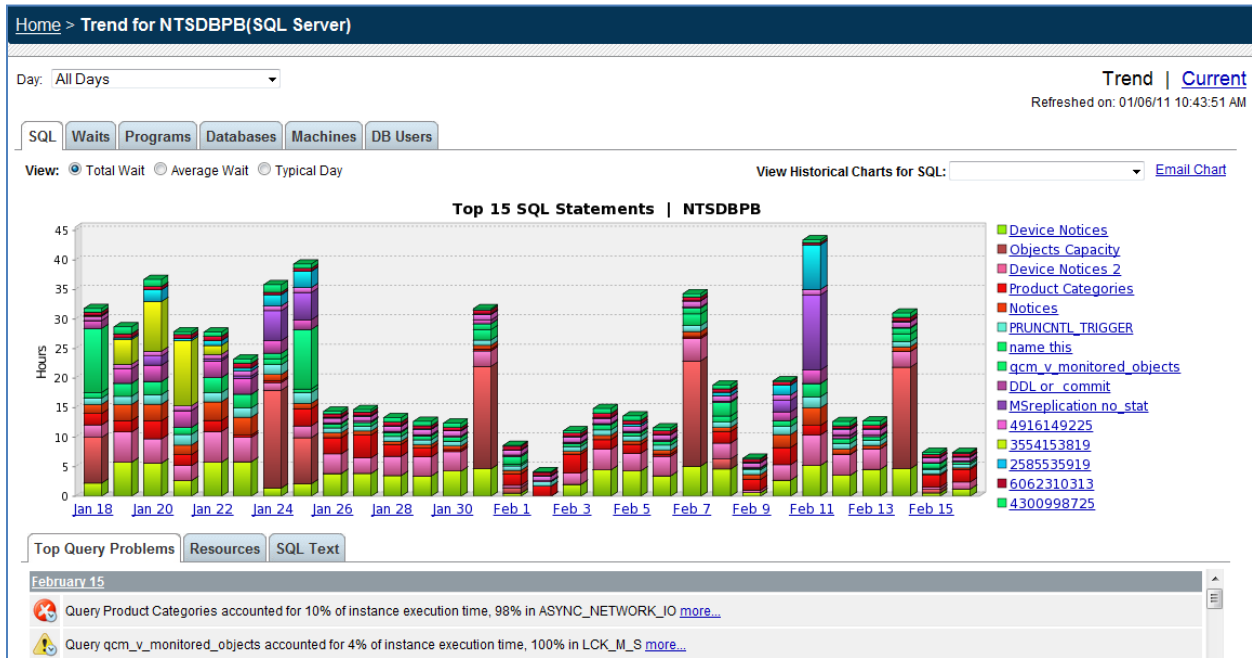
With some of the strategies from above, what if the underlying problem was a blocking issue? The problematic queries may not appear in any of these lists and you would miss them. How do you know which queries are causing your performance issues? The answer lies in measuring total elapsed times rather than using the above measurements, i.e. which SQL statements spend the most time executing in the database. A query similar to the following will retrieve a list of SQL statements from SQL Server taking the longest cumulative time to execute:

```
SELECT sql_handle, statement_start_offset, statement_end_offset, plan_handle,
execution_count, total_logical_reads, total_physical_reads, total_elapsed_time, st.text
FROM sys.dm_exec_query_stats AS qs
CROSS APPLY sys.dm_exec_sql_text(qs.sql_handle) AS st
ORDER BY total_elapsed_time DESC
```

When end-users complain about performance they will say something similar to: “When I click the submit button on this web page, it takes 30-40 seconds.” They use elapsed time as a way to describe the problem, so why not use elapsed time when finding the queries to tune.

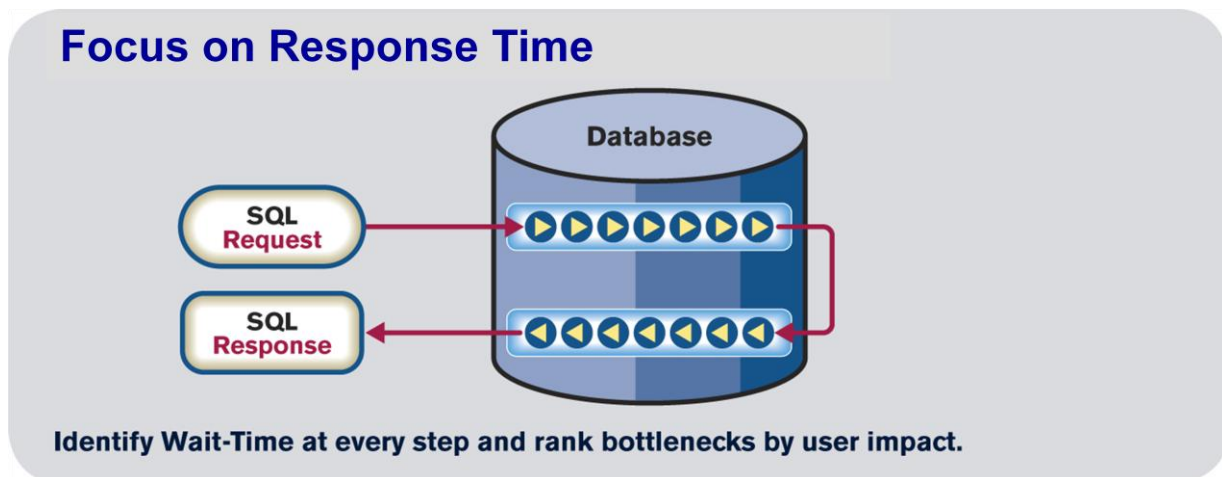
The query above will provide a definitive list of SQL statements with the highest elapsed time since instance startup. Often this is based on a timeframe of several months or even longer, so collecting and saving this data periodically with deltas will provide the best information. For example, running a query similar to the above (along with other pertinent data based on your application) every 10 minutes and saving the data will allow you to go back in time to find a problem. If an end-user complains about performance from yesterday at 3:00 p.m., reviewing the archived data from a timeframe around 3:00 yesterday will help you understand what was performing poorly during the problematic time.

A much easier method for collecting this type of data and finding the problematic SQL statement is to use a response time based performance analysis tool like Ignite for SQL Server. Ignite collects response time data once per second about all SQL statements and can quickly rank them according to the ones causing the most response time. The screenshot below shows the Top 15 SQL statements in a SQL Server instance from a total elapsed time perspective.



Database Response Time View

Once the most problematic SQL is known, understanding why the SQL is slow is paramount. Is the problem an unnecessary full table scan, a locking issue, disk I/O related, etc? SQL Server wait types very clearly show the problem.



The picture above depicts a SQL statement entering the SQL Server instance and going through a series of steps. These steps may include reading data from disk, waiting on a locking issue, waiting for the

instance to commit data, and many more. Measuring the total execution time for a SQL statement reveals which SQL to tune and measuring how much time that SQL waits on specific steps provides the best clues for fixing the issue. For example, if a SQL statement executes for 40 seconds, what is the major cause of that delay? A SQL that waits on an event named "PAGEIOLATCH_SH" may mean it is waiting on physical disk I/O and possibly performing a full table scan, while waits on "LCK_M_X" indicate the SQL is experiencing a locking issue. The solutions for these problems are much different and are where wait types help the most.

Obtaining the Wait Type Information

To see what an active query is currently waiting for, the `dm_exec_requests` table provides that data. A query similar to the following can be used:

```
select status, start_time, sql_handle, plan_handle, statement_start_offset, statement_end_offset,
       CASE wait_time WHEN 0 THEN 'Memory/CPU' ELSE wait_type END AS wait_type
from sys.dm_exec_requests where session_id=72
```

The following table shows the most common wait types (based on Ignite data summarized from hundreds of customers) along with ideas for tuning SQL statements waiting on these events.

Wait Event / Suggestions	Wait Class
Memory/CPU <ul style="list-style-type: none"> ▪ Waiting to read data from memory or executing CPU intensive code ▪ Tune queries to read less data, i.e. use an index ▪ Avoid excessive use of inline user-defined functions 	
PAGEIOLATCH_SH, PAGEIOLATCH_EX <ul style="list-style-type: none"> ▪ Tune indexes ▪ Tune disks ▪ Increase buffer cache 	User I/O
CXPACKET <ul style="list-style-type: none"> ▪ Reduce parallelism at query level (MAXDOP) ▪ Reduce parallelism at server level ▪ Turn off hyperthreading 	Parallelism
ASYNC_NETWORK_IO <ul style="list-style-type: none"> ▪ Reduce amount of data query is returning ▪ Speed up network between server and client 	Network
WRITELOG <ul style="list-style-type: none"> ▪ Tune applications to commit data less often ▪ Tune disks where transaction logs exist ▪ Set isolation level appropriately ▪ Size transaction log properly 	Commit
MSQL_XP <ul style="list-style-type: none"> ▪ Waiting on extended stored procedure ▪ Tune extended stored procedure 	System
LCK_M_S, LCK_M_X, LCK_M_IX, LCK_M_* <ul style="list-style-type: none"> ▪ Tune blocking queries so locks are release faster ▪ Ensure proper error handling so locks are released ▪ Code applications to fetch all result rows ▪ Use proper isolation levels ▪ Check for orphaned processes holding locks 	Concurrency

LATCH_EX

Concurrency

- More than one session is trying to access same page of memory
- Tune queries so they read less data from memory

Execution Plan

Execution plans further the understanding of where a SQL statement can be made more efficient. If there are five tables involved and the query waits mostly on “PAGEIOLATCH_SH” possibly indicating a full table or index scan, the plan will help determine where that is occurring. Plans supply costing information, data access paths, join operations and many other things to aid in tuning efforts.

However, not all plans are useful. Do you know that getting a plan from SQL Server Management Studio (SSMS) can be wrong and not match how SQL Server is really executing the statement? It can be wrong because the query is executing from inside SSMS and not from the application code and environment. The application may set session variables that are not set from SSMS, parameter data types may be defined differently, and many other things. If plans from SSMS can be wrong, where is a better place to retrieve the correct one? The best places to get execution plan information are:

1. **dm_exec_query_plan() or dm_exec_text_query_plan()** – contains raw data for execution plans of SQL statements. It provides the plan SQL Server used so why not go straight to the source. Using dm_exec_query_plan from SSMS will provide a nice graphical view of the plan.
2. **Tracing** – provides great information as well as executions plans for a specific session, user or the entire system.
3. **Historical Data** – if possible, collect and save execution plan information so you can go back to 3:00 pm yesterday to understand why the SQL statement performed poorly.

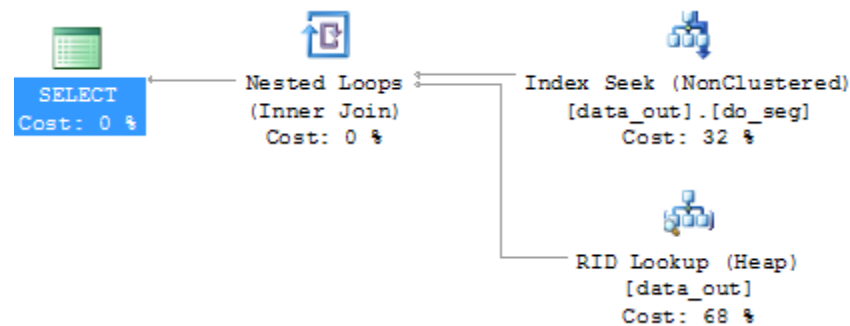
Once you have an accurate execution plan, determine how each of the SQL components is being executed. Based on response time data, you should already have a feel if full table scans are significant, whether more time is spent reading indexes or if you have other issues. Execution plans help determine more about those problems.

Not All Plans Created Equal

Here is an example where, based on response time data, we believed the query was doing a full table scan since the SQL was spending over 95% of its execution time waiting for PAGEIOLATCH_SH and the logical and physical reads were very high per execution. However, when we reviewed the plan output from SSMS, the query looked very efficient and seemed to be using an index to retrieve the data. Here is the statement and the plan:

```
SELECT company, attribute FROM data_out WHERE segment = @S1;
```

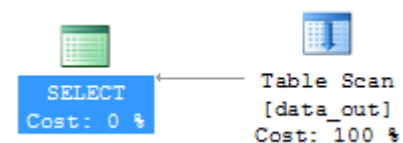
Plan from SSMS



How is this possible? It is a very simple query with one criterion in the WHERE clause, so if it is executing very efficiently, why are the end-users waiting 20 seconds for this query each time it executes? The answer is revealed when we review the execution plan from a trace or by retrieving it from the dm_exec_query_plan DMO:

```

select sql_handle, plan_handle from sys.dm_exec_requests where session_id=72
-- returned the plan_handle used in the next query
select query_plan from sys.dm_exec_query_plan(0x06000900217F40094041844E0100000000000000000000)
-- graphical plan was displayed by clicking on the query_plan data in SSMS
  
```



In this example, the plan_handle value is retrieved from the dm_exec_requests DMV which shows executing session information. The handle is passed into the dm_exec_query_plan DMO to get the real execution plan. In this case, a full table scan is being done as we suspected. If we were only reviewing SMSS plan data, we may have dismissed the issue and referred the problem back to the development team claiming the problem lies in the application tier. The execution plan from dm_exec_query_plan quickly points to the full table scan on the DATA_OUT table.

Now that we've covered the theory behind this simple tuning process, I'd like to provide some practical examples to illustrate the value of response time analysis in your SQL tuning process.

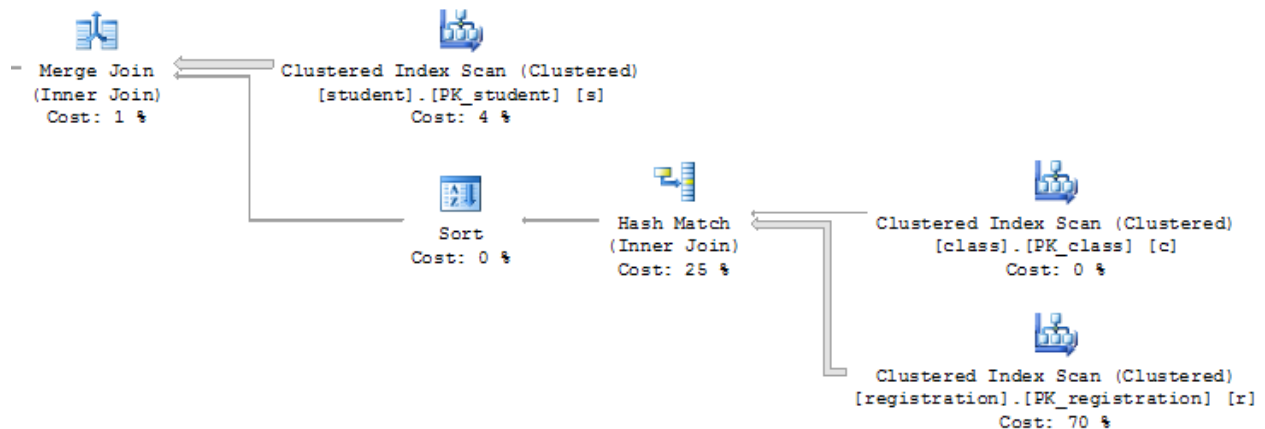
Tuning Exercise #1

The first sample SQL statement answers the question: “Who registered for the SQL Tuning class within the last day?”:

```
SELECT s.fname, s.lname, r.signup_date
FROM student s
INNER JOIN registration r ON s.student_id = r.student_id
INNER JOIN class c ON r.class_id = c.class_id
WHERE c.name = 'SQL TUNING'
AND r.signup_date BETWEEN @BeginDate AND @EndDate
AND r.cancelled = 'N'
```

Review Execution Plan and Query Statistics

The execution plan was retrieved from the dm_exec_query_plan DMO while our sample SQL statement was executing and the important portion of it is given below:



Learning to read the plan is outside the scope of this white paper, but in simple terms, start from the right hand side to understand what SQL Server does first. In this case, two full table scans are performed against the CLASS and REGISTRATION tables and there are 9,634 logical reads being performed.

Use Logical Reads Metric to Understand Improvements

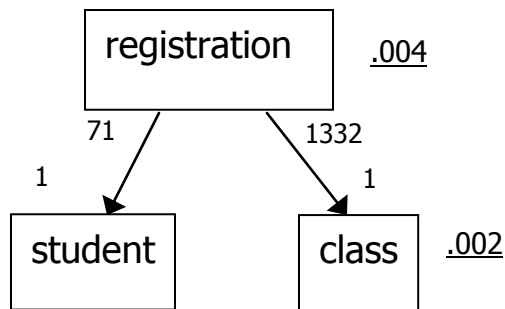
Above I mentioned the number of logical reads the query is performing. This is an important piece of data about the query execution because it provides the most fundamental metric about how much work the query is doing to retrieve the results. Even if the query performs physical reads too, remember that a logical read is performed for every physical read. Every time you execute the query, you will get the same number of logical reads assuming no changes have been made. If changes are made, the logical reads number may change and will provide an insight into the improvements.

Why not use simple execution times to measure a SQL statement? The problem with using time is that it is greatly influenced by other processes running at the same time you are testing the query. This can significantly impact the time a query takes to execute and thus give false impressions about possible performance gains. Logical reads will not be affected in this way. The number of logical reads can be

retrieved by reviewing the `total_logical_reads` (total reads since it was compiled) and `last_logical_reads` (reads from last execution) columns from the `dm_exec_query_stats` DMO. The command “SET STATISTICS IO ON” can also be used to get this information when executing the query.

SQL Diagramming

I would like to introduce a technique to tune SQL statements correctly without the trial and error that I was often faced with. The concept of SQL diagramming was introduced to me through a book entitled *SQL Diagramming* by Dan Tow. For our purposes, I will explain the basics of the following SQL diagram:



The diagram looks similar to an ERD diagram and to build it:

- Start with any table in the FROM clause and put it on paper (the easiest way to draw these diagrams is by hand). In my case I started with the first table in the FROM clause named STUDENT.
- Take the next table, which in my case is REGISTRATION, and place it either above or below the existing tables based on the relationship. Since the REGISTRATION relates to the STUDENT table uniquely, i.e. one row in REGISTRATION points to one row in the STUDENT table, I put it above and draw an arrow downwards.
- Take the next table, CLASS - one row in REGISTRATION points to one row in CLASS so I put it below REGISTRATION with another downward pointing arrow.

The next step is to further understand the criteria used in the query to limit the number of rows from each of the tables. The first criterion to explore is anything in the WHERE clause that will limit the result set from the REGISTRATION table. In this case the criteria is:

```

AND    r.signup_date BETWEEN @BeginDate AND @EndDate
AND    r.cancelled = 'N'
  
```

To understand the selectivity, run a query similar to below against the table using the criteria while also using real values for the @BeginDate and @EndDate parameters:

```
select count(*) from registration r
WHERE r.signup_date BETWEEN @BeginDate AND @EndDate
AND r.cancelled = 'N'
```

Results – 8,221 / 1,687,980 (total rows in REGISTRATION) = 0.004 = 0.4% selectivity

The query returned 8,221 rows and, with simple division by the total number of rows in the table, we get a value of 0.004 or 0.4%. Place this number on the diagram next to the REGISTRATION table and underline it. This represents the selectivity of the criteria against that table.

The next table to review in the same manner is the CLASS table. The query to run becomes:

```
SELECT count(1) FROM class
WHERE name = 'SQL TUNING'
```

Results – 2 / 1,267 (total rows in CLASS) = 0.001 = 0.1% selectivity

Place this in the diagram next to the CLASS table. The next table to explore is the STUDENT table, but there are no direct criteria against this table, so no underlined number is placed next to that table.

The other numbers next to the arrows in the diagram are simple calculations based on average numbers of rows that one row in a table references in the others. In this case, the REGISTRATION table refers to exactly one row in the CLASS and STUDENT tables so the number 1 goes next to the bottom of the arrows. One row in the CLASS table refers to on average 1,332 rows in the REGISTRATION table (1,687,980 total rows REGISTRATION divided by 1,276 rows in CLASS) and one row in the STUDENT table refers to on average 71 rows in REGISTRATION (1,687,980 / 23,768).

The diagram has now been completed for our example, however, Dan Tow goes into more detail than I will include at this point.

Analyzing the SQL Diagram

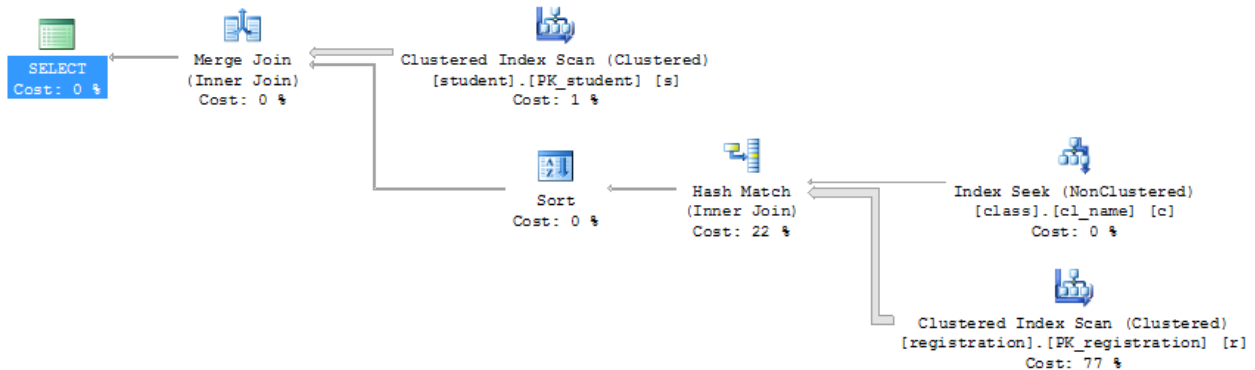
Analyzing the SQL diagram begins by looking for the smallest, underlined number. In this example it is 0.001 next to the CLASS table. To limit the number of rows the query needs to process, starting here will trim our result sets the soonest. If we can make SQL Server start with this table the query can be executed optimally. When the query starts with the CLASS table for this query, it will read two rows and then visit the REGISTRATION table to read 2,664 rows (2 * 1,332). From there it will read 2,664 more rows from the CLASS table for a total of 5,330 rows (2 + 2,664 + 2,664). If the query started on the REGISTRATION table first, it would read 8,221 rows and then 8,221 rows from the CLASS and STUDENT tables for a total of 24,663 rows (3 * 8,221). Based on this data we can understand why starting on the CLASS table is best for this query.

Tuning Based on SQL Diagrams

We know we want SQL Server to start with the CLASS table, but how do we do that? The easiest way is to ensure an index exists and fits our criteria of “name = ‘SQL TUNING’”. In this case that means the NAME column of the CLASS table.

```
create index cl_name on class(name)
```

The new execution plan is:

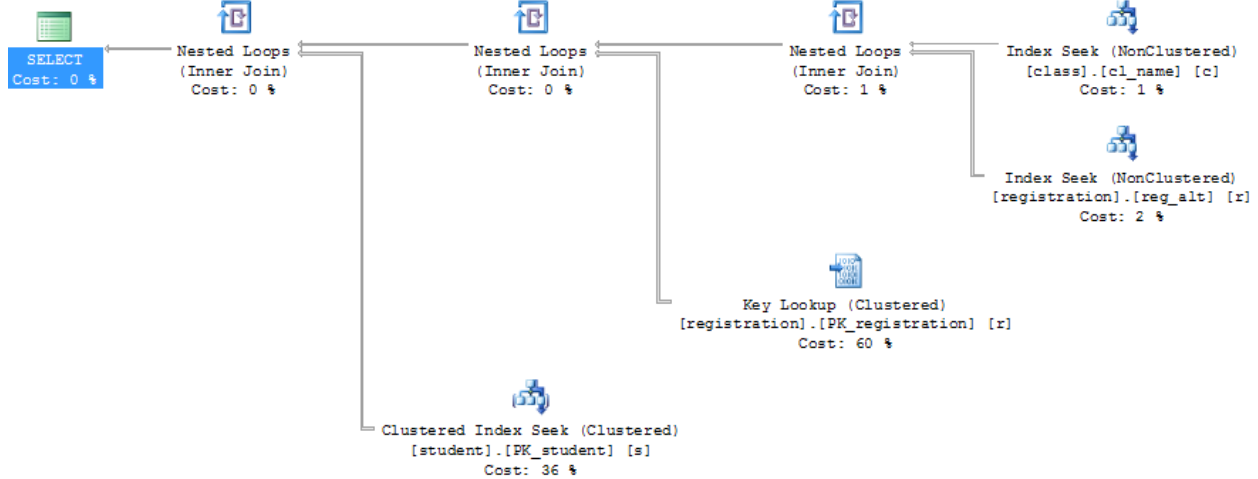


The number of logical reads was reduced from 9,634 to 9,139 which represents a gain by using an index to retrieve data from the CLASS table versus a clustered index scan. There is some improvement, but not as much as we had hoped. The CL_NAME index is now used to find the two rows in the CLASS table with a NAME='SQL TUNING'. We achieved partial results but a full scan is still done against the REGISTRATION table. Why would that be?

When we review the indexes on REGISTRATION we find one index named REG_PK that contains the STUDENT_ID and CLASS_ID columns in that order. Since our query is hitting the CLASS table first it cannot use this index that starts with STUDENT_ID and must perform a full scan. This index could be modified to switch the columns around, but that could affect many other queries and may require significant testing. In this case, since I know I need an index with a leading edge of CLASS_ID, I created an index on just that column:

```
create index reg_alt on registration (class_id)
```

The new execution plan is:



This query now performs 621 logical reads so we have made significant progress. However, something called a “Key Lookup” is now being performed against the registration table. A Key Lookup, or Bookmark Lookup, is used to retrieve additional needed data from the table that is not contained in the index. For this query, that means the `signup_date` and `cancelled` columns need to be retrieved from the REGISTRATION table for further filtering based on the query’s criteria. To fix this issue, a covering index can be created that contains this data. Note the `INCLUDE` clause used to create the index:

```
CREATE INDEX reg_alt ON registration(class_id) INCLUDE (signup_date, cancelled)
```

After creating this index, the number of logical reads has shrunk to 60 and represents a 99% improvement in this query.

Getting it Right the First Time

Before utilizing the SQL diagramming technique, I would tend to focus on the execution plan and attempt to reduce the cost of expensive steps in the plan. Based on the initial execution plan for this query, I would have focused on the REGISTRATION table and most likely added an index on the `signup_date` and `cancelled` columns, which by the way is what SSMS suggested too. There would have been an improvement in logical reads by approaching the problem this way too. They would have been reduced from 9,634 to 620 by creating the index mentioned above and the query would probably have executed well enough for the customer. However, as we have seen, SQL Server would have been required to read through more than four times the number of rows to get the same results and the number of logical reads would still have been 10 times higher. SQL diagramming allowed me to get it right the first time.

Tuning Exercise #2

The second sample SQL statement to tune provides a list of open orders for a customer.

```
SELECT o.OrderID, c.LastName, p.ProductID, p.Description,
       sd.ActualShipDate, sd.ShipStatus, sd.ExpectedShipDate
FROM Orders o
INNER JOIN Item i ON i.OrderID = o.OrderID
INNER JOIN Customer c ON c.CustomerID = o.CustomerID
INNER JOIN ShipmentDetails sd ON sd.ShipmentID = i.ShipmentID
INNER JOIN Product p ON p.ProductID = i.ProductID
INNER JOIN Address a ON a.AddressID = sd.AddressID
WHERE c.LastName LIKE ISNULL(@LastName, '') || '%'
AND c.FirstName LIKE ISNULL(@FirstName, '') || '%'
AND o.OrderDate >= DATEADD(day, -30, CURRENT_TIMESTAMP)
AND o.OrderStatus <> 'C'
```

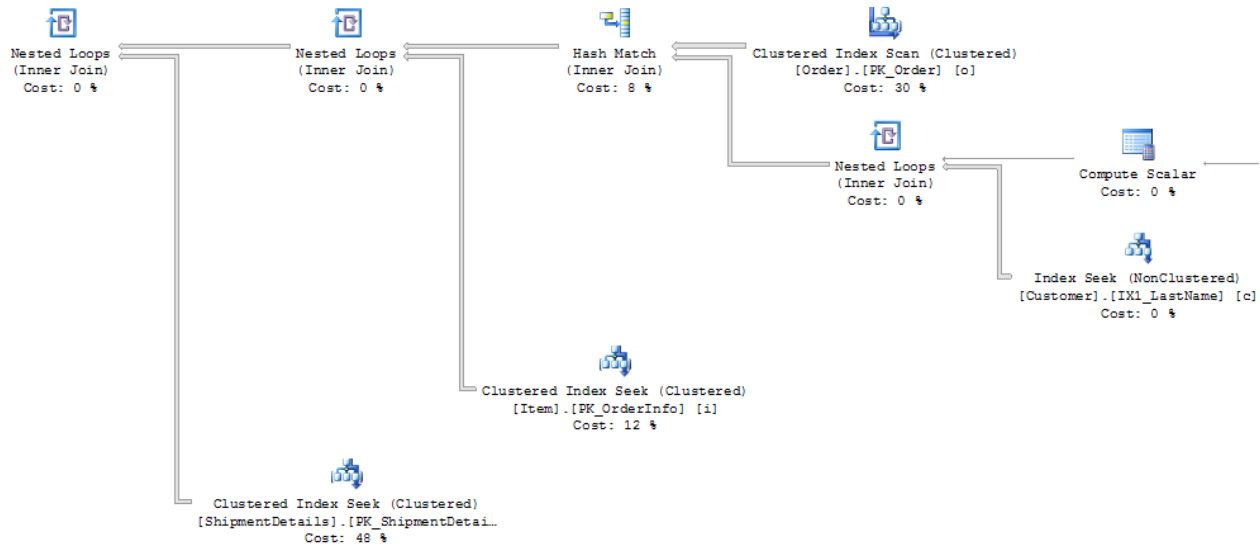
The first question asked is whether the parameters @LastName and @FirstName are both provided every time this query executes. In this case, at least one of them is required by the application which could present serious problems. If only one parameter is provided, the query would perform a full table scan on CUSTOMER every time. For example, if the @LastName parameter was provided but @FirstName was not, the criteria would essentially turn into:

```
WHERE c.LastName LIKE 'SMI%'
AND c.FirstName LIKE '%'
```

The FirstName criteria of '%' would cause a full scan to retrieve the results. A possible solution is to rewrite the query to be constructed dynamically and include only the criteria in the query where the parameter has a value. For example, if the @FirstName parameter is null, leave it out of the query entirely. It is important to remember that tuning a SQL statement is not always about technical details, many times understanding business rules and processes can help immensely with tuning.

Review Execution Plan and Query Statistics

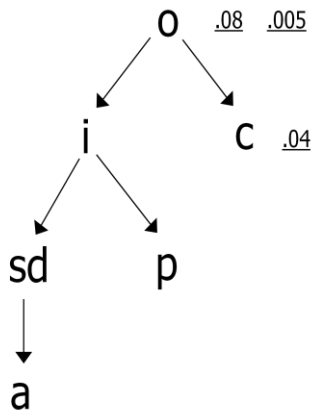
The execution plan was retrieved from dm_exec_query_plan for our sample SQL statement and the important portion of it is given below. The query is currently performing 10,159 logical reads.



The expensive steps from this plan are several full scans performed against fairly large tables named ORDERS, ITEM and SHIPMENTDETAILS.

Create the SQL Diagram

Note: I typically draw SQL diagrams like the one below because they are much simpler and cleaner but still provide the important details of selectivity.



In this example, the end-users are trained to input only the first three characters of a name. Because of this, when calculating selectivity for the CUSTOMER table we should use "SMI%" as the criteria because it is the most occurring first three characters of the LASTNAME.

```
SELECT COUNT(1) FROM Customer
WHERE LastName LIKE 'SMI%'
```

Results – 1,917 / 52,189 = .04

The next table to review is the ORDERS table. Whenever I have two criteria against a table in a query, I calculate selectivity numbers for both combined as well as individually. I want to understand selectivity of each to be able to create the best, most economical index. For this SQL statement I ran the following queries:

```
SELECT count(1) FROM orders o
WHERE o.OrderDate >= SYSDATE - 30
AND o.OrderStatus <> 'C'
```

Combined Results – 0.005 = 0.5% selectivity

```
SELECT count(1) FROM orders o
WHERE o.OrderDate >= SYSDATE - 30
```

OrderDate Criteria Results – 0.08 = 8% selectivity

```
SELECT count(1) FROM orders o
WHERE o.OrderStatus <> 'C'
```

OrderStatus Criteria Results – 0.005 = 0.5% selectivity

These results show the ORDERDATE column selectivity is not near as good as the selectivity of the ORDERSTATUS column individually. Also, when including both criteria, the selectivity matches the results from using only the ORDERSTATUS column. Because of this, I would focus on that criterion alone without ORDERDATE.

Tuning Based on SQL Diagrams

Since this is a non-equality criterion, adding an index on the ORDERSTATUS column will not help because SQL Server will not use it. I also review data skew when I notice a status or flag type of column being used in a query. For this column, here are a list of values and the number of rows that contain the value:

```
SELECT OrderStatus, COUNT(1)
FROM Orders
GROUP BY OrderStatus

I          3760
C          686911
```

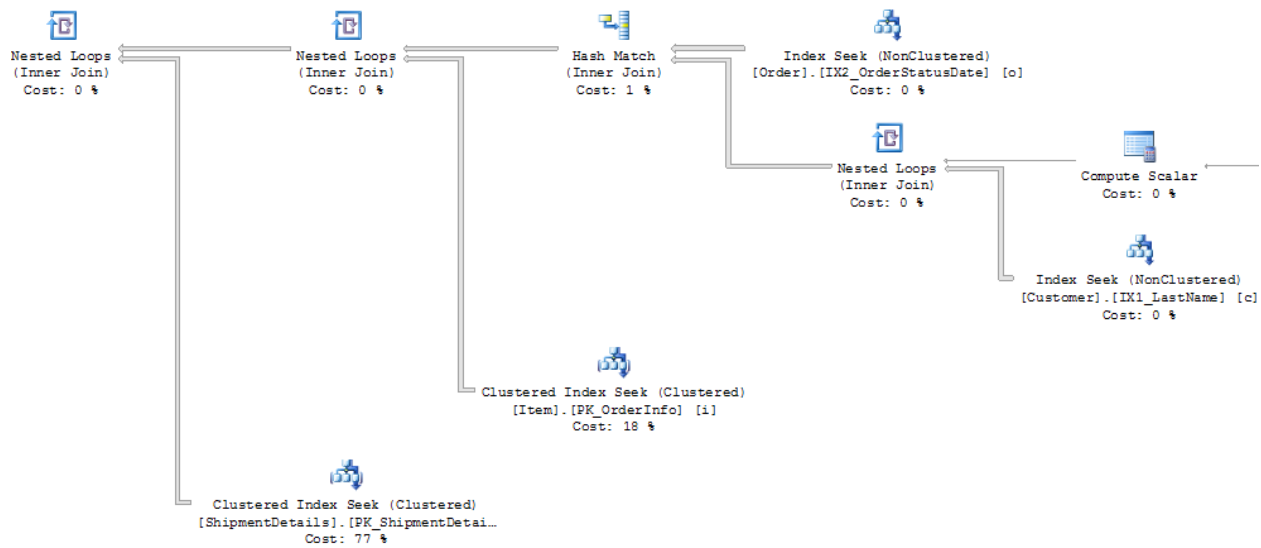
Instead of leaving the criterion using <> and, based on the above data, the criteria could be rewritten as:

```
AND o.OrderStatus = 'I'
```

This is a little dangerous to do without discussions about the data with the applications group. A problem can arise if the ORDERSTATUS column can have other values than listed above which would break the new query's logic. In this case after talking to the applications team, 'I' and 'C' are the only two possible values so our new logic is sound. This also means that an index on ORDERSTATUS seems to make sense. Including the OrderID and CustomerID column in this index, which are join criteria to the Item and ShipmentDetails tables, also makes sense. If those columns were not included, an expensive Key Lookup would most likely be performed on the Orders table so the joins could be accomplished.

```
CREATE INDEX order_status ON Orders (OrderStatus)
INCLUDE (OrderID, CustomerID)
```

The new execution plan is:



This query now performs 3,052 logical reads which is a significant improvement. There may still be room for improvement, but I will stop here for this example. Again, SQL diagramming was instrumental in identifying how to tune the query correctly the first time. Reviewing the execution plan shows that there are still full table scans on the PRODUCT and SHIPMENTDETAILS table, so there probably is room for additional tuning.

Summary

As Confio DBA, I get to work through database performance issues with hundreds of DBAs and developers every year. There is one commonality amongst all these professionals: no one has time to spare. Everyone wants to streamline processes and solve problems as quickly as possible and move on to the next issue of the day. A simple, repeatable process for performance tuning is a valuable time saver because you'll get it right the first time.

1. Focus on the correct SQL statements
2. Utilize response time analysis
3. Gather accurate execution plans
4. Use SQL diagramming

About the Author

Dean Richards, Senior DBA, Confio Software

Dean Richards has over 20 years of performance tuning, implementation and strategic database architecting experience. Before coming to Confio, Dean was a technical director for Oracle Corporation managing technical aspects of key accounts including short and long-term technical planning and strategic alliances. Specifically, Dean has focused his entire career on performance tuning of Oracle and SQL Server environments. As a highly successful liaison between management and technical staff, Dean has proven to be an effective collaborator implementing cutting-edge solutions.

About Confio Software

Confio™ Software is focused on database performance monitoring. Ignite 8 is a comprehensive database performance solution for DBAs, IT management, and database application developers. Ignite 8 eliminates performance bottlenecks, improves application service, and reduces the cost of operations for SQL Server, Oracle, DB2 and Sybase databases.

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