



# SQL Server Index Structure

Module 4

## Learning Units covered in this Module

- Lesson 1: Index Internals
- Lesson 2: Index Strategy
- Lesson 3: Index Monitoring and Fragmentation

# Lesson 1: Index Internals

# Objectives

After completing this learning, you will be able to:

- Understand differences between heap and clustered objects.
- Describe B-Trees, and why they are beneficial.
- Understand the differences between clustered and non-clustered indexes.
- Describe the different methods by which data structures are accessed.



# What is an Index?

An index is an on-disk structure associated with a table that speeds retrieval of rows.

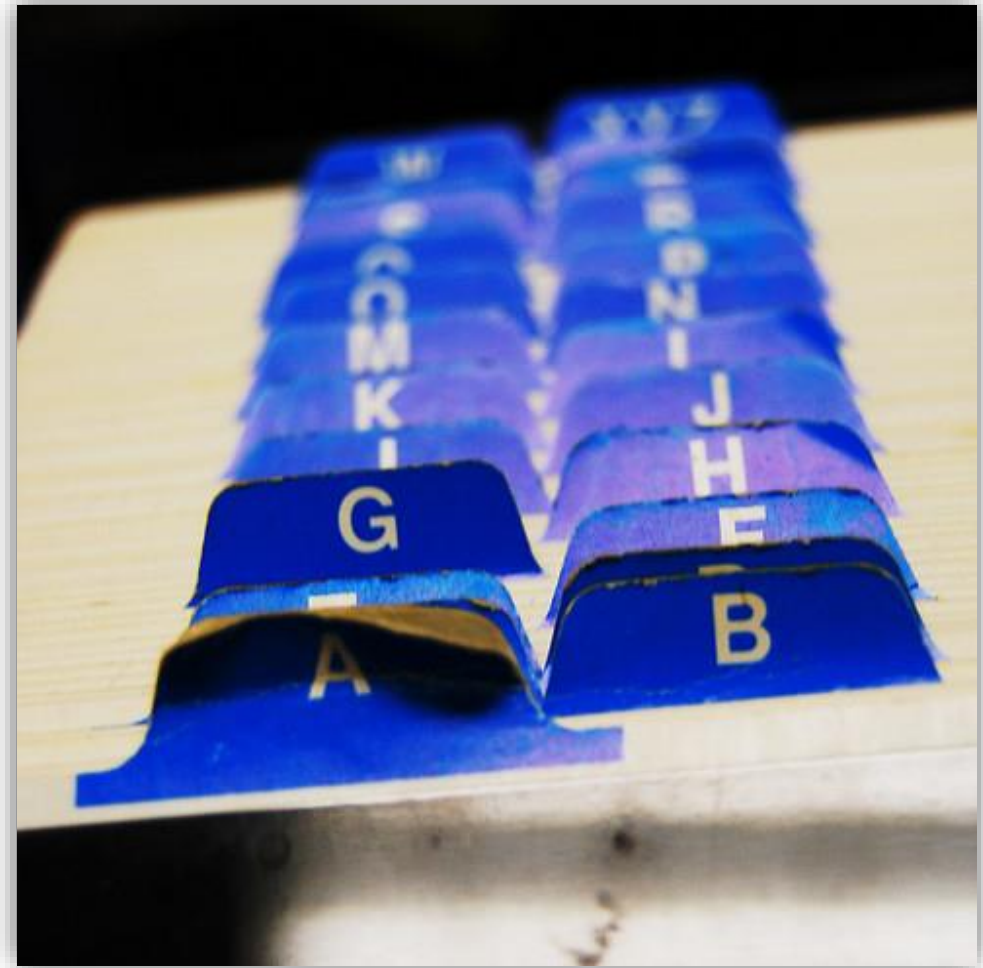
An index contains keys built from one or more columns in the table.



# What is SARGability?

A SARGable item in a search predicate is able to use an index.

Non-SARGable expressions can significantly slow down queries.



# How Data is Stored in Data Pages

Data stored in a Heap is not stored in any order and normally does not have a Primary Key.

Heap

AcctID	AcctName	Balance
1	Jack	500.00
2	Diane	750.00
29	Kelli	1250.00
27	Jessica	1005.00
18	Maddison	745.00
22	Bella	445.00

Clustered Index data is stored in sorted order by the Clustering key. In many cases, this is the same value as the Primary Key.

Clustered Index

AcctID	AcctName	Balance
1	Jack	500.00
2	Diane	750.00
12	Danny	630.00
14	Mayleigh	204.00
15	Molly	790.00
18	Maddison	745.00

# Heap

A heap is a table without a clustered index

Unordered masses of data

Can be good for quickly importing large sets of data

Not a good idea for reporting-based data structures

Use the ALTER TABLE...REBUILD command to “rebuild” a heap table

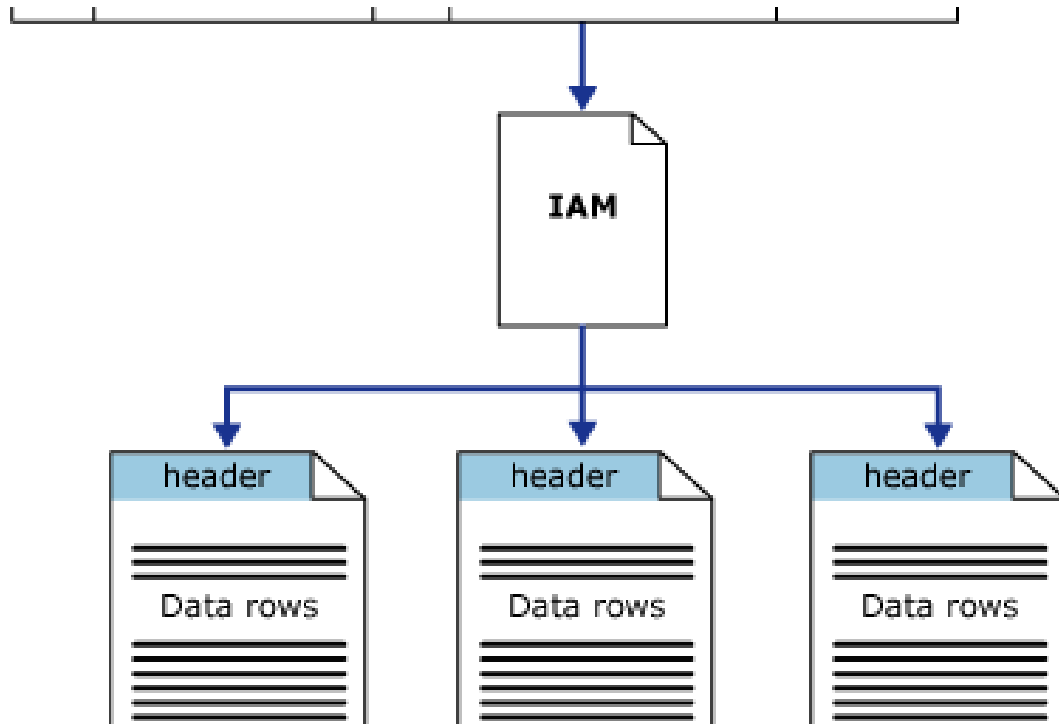
Do not use a heap

- When the data is frequently returned in a sorted order.
- When the data is frequently grouped together.
- When ranges of data are frequently queried from the table.
- When there are no nonclustered indexes and the table is large.



# Heap Structures

Heaps have one row in `sys.partitions`, with `index_id = 0` for each partition used by the heap



SQLQuery7.sql - D...ERICA\sammes (56)\*

```
1 SELECT * FROM Membership
2 WHERE FirstName = 'Janice'
3
```

200 %

Results Messages Execution plan

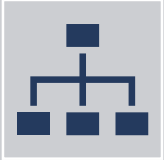
Query 1: Query cost (relative to the batch): 100%

SELECT \* FROM [Membership] WHERE [FirstName]=@1

Execution plan:

- Table Scan [Membership]  
Cost: 100 %  
0.000s  
1 of 1 (100%)
- Compute Scalar  
Cost: 0 %
- SELECT  
Cost: 0 %

# Clustered Indexes



An ordered data structure that is implemented as a Balanced (B) Tree.

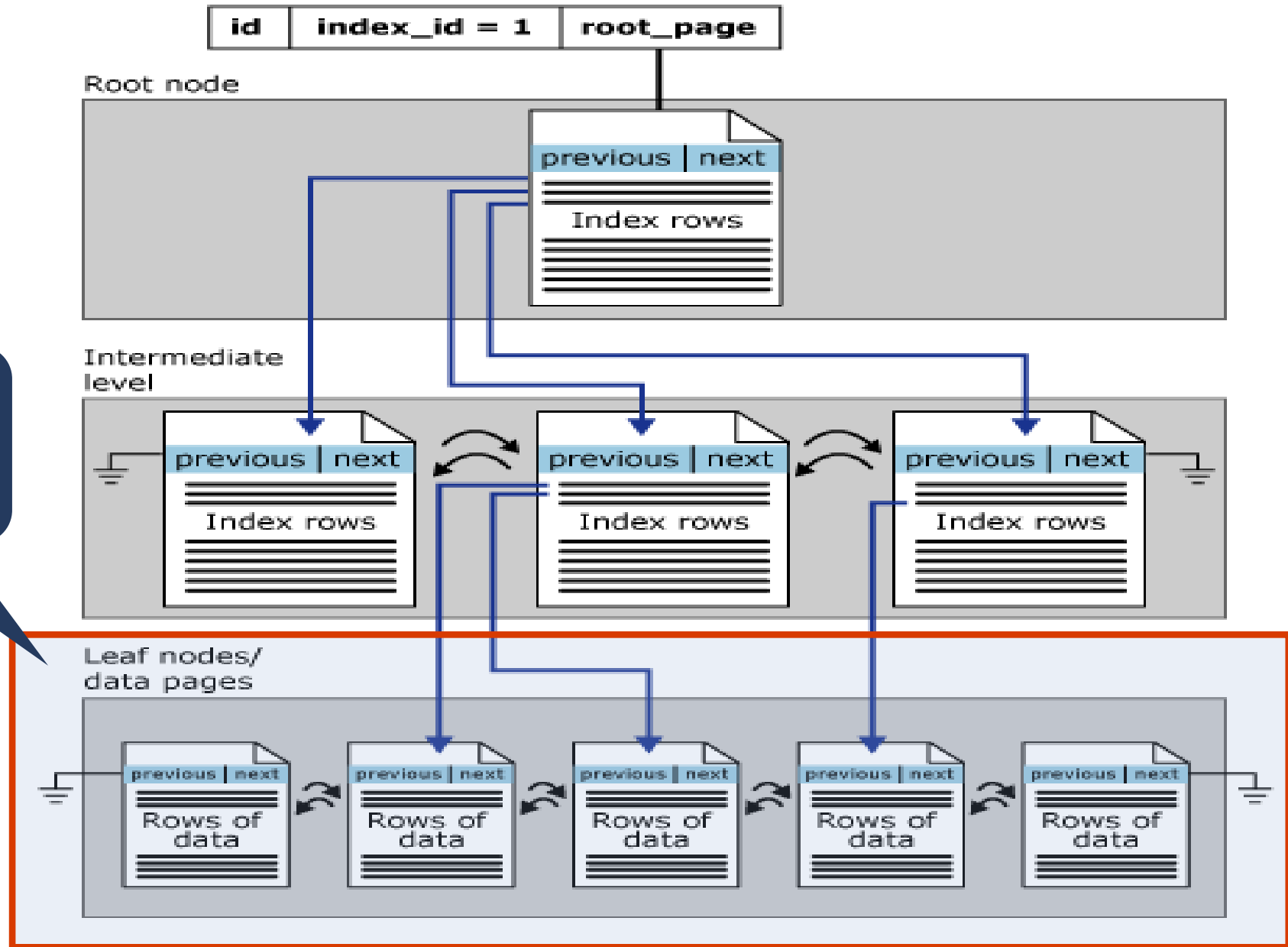


When a table is clustered, the leaf level of the index contains ALL data in the table. This means that the clustered index IS the table. This is also why there is only one per table.



The leaf level of the clustered index contains data pages.

# Clustered Index Structure



**Leaf Node  
Contains  
Data Pages**

# Demonstration

## Examining index metadata and Building a B-Tree

- This demonstration reviews index, partition, and allocation unit metadata.
- Show how a B-Tree begins to form as rows are added to a table.



# Non-Clustered Indexes



Same B-tree data structure as a clustered index.



It is a separate structure built on top of a Heap or Clustered Index.

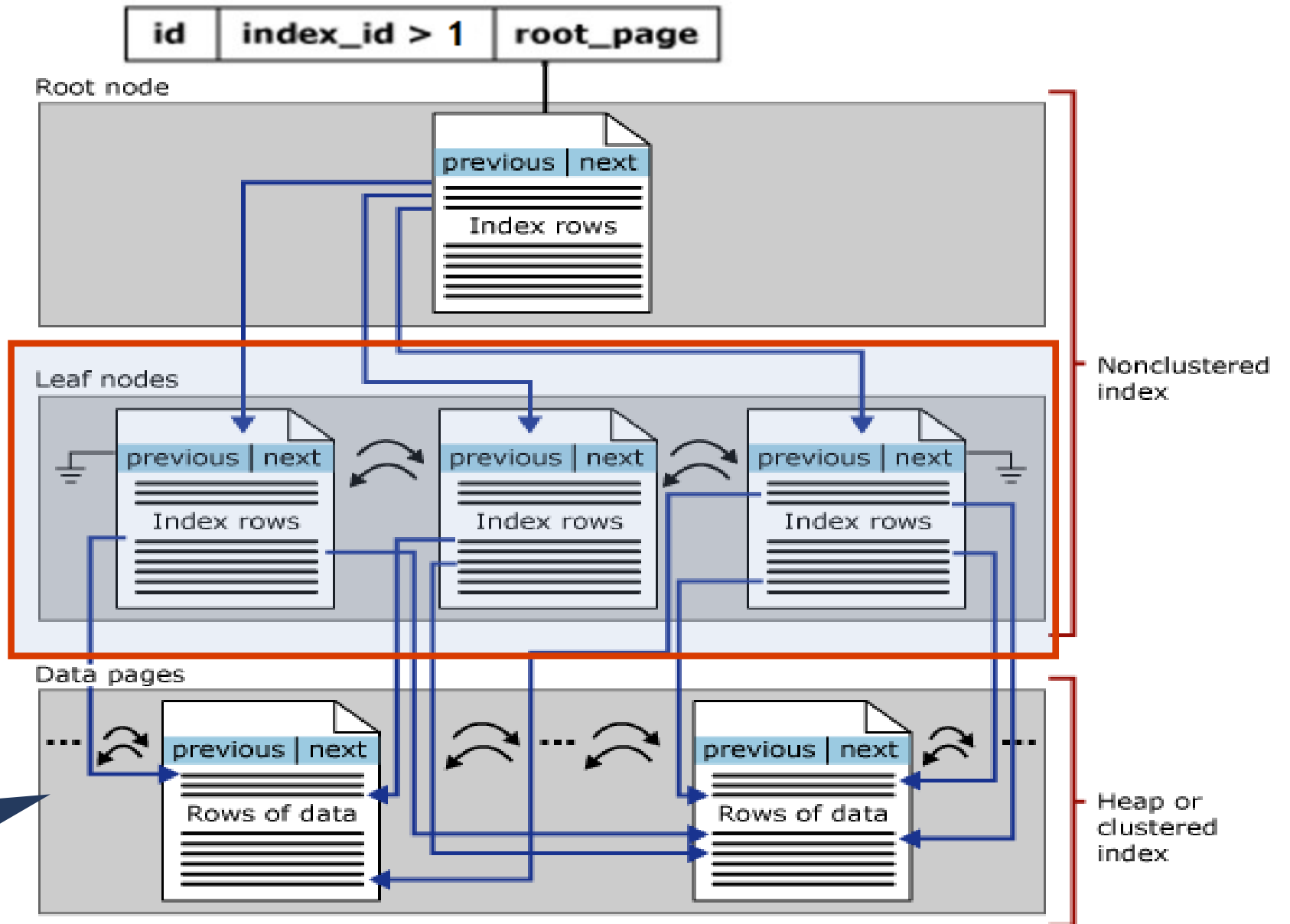


Only contains a subset of the columns in the base table



The leaf level contains only the columns defined in the index as well as the clustered key/heap ID that points to the base table structure.

# Non-Clustered Index Structure



**Leaf Node  
has Pointers  
to Base Table**

**Base Table  
(Heap or  
Clustered  
Index)**

# Non-Clustered Index Structure

StateProvinceID (key)	AddressID (key)
3	912
3	929
3	932
3	940
3	944
3	951
3	18752

Non-Clustered Index  
Leaf Level



ChildPageId	AddressID (key)
11854	804
11855	862
11856	920
11857	976

Clustered Index  
Non-Leaf Level



Slot 50 Column 1 Offset
AddressID = 912
Slot 50 Column 2 Offset
AddressLine1 = 2525 Elec
Slot 50 Column 3 Offset
AddressLine2 = [NULL]
Slot 50 Column 4 Offset
City = Huntsville
Slot 50 Column 5 Offset
StateProvinceID = 3

Data Page 11855  
Leaf Level

--SELECT \* will need to find all columns

SELECT \*

FROM Person.Address

WHERE StateProvinceID = 3

# Clustered vs Nonclustered Indexes

An index is an on-disk structure associated with a table or view that speeds retrieval of rows.

## Clustered Indexes

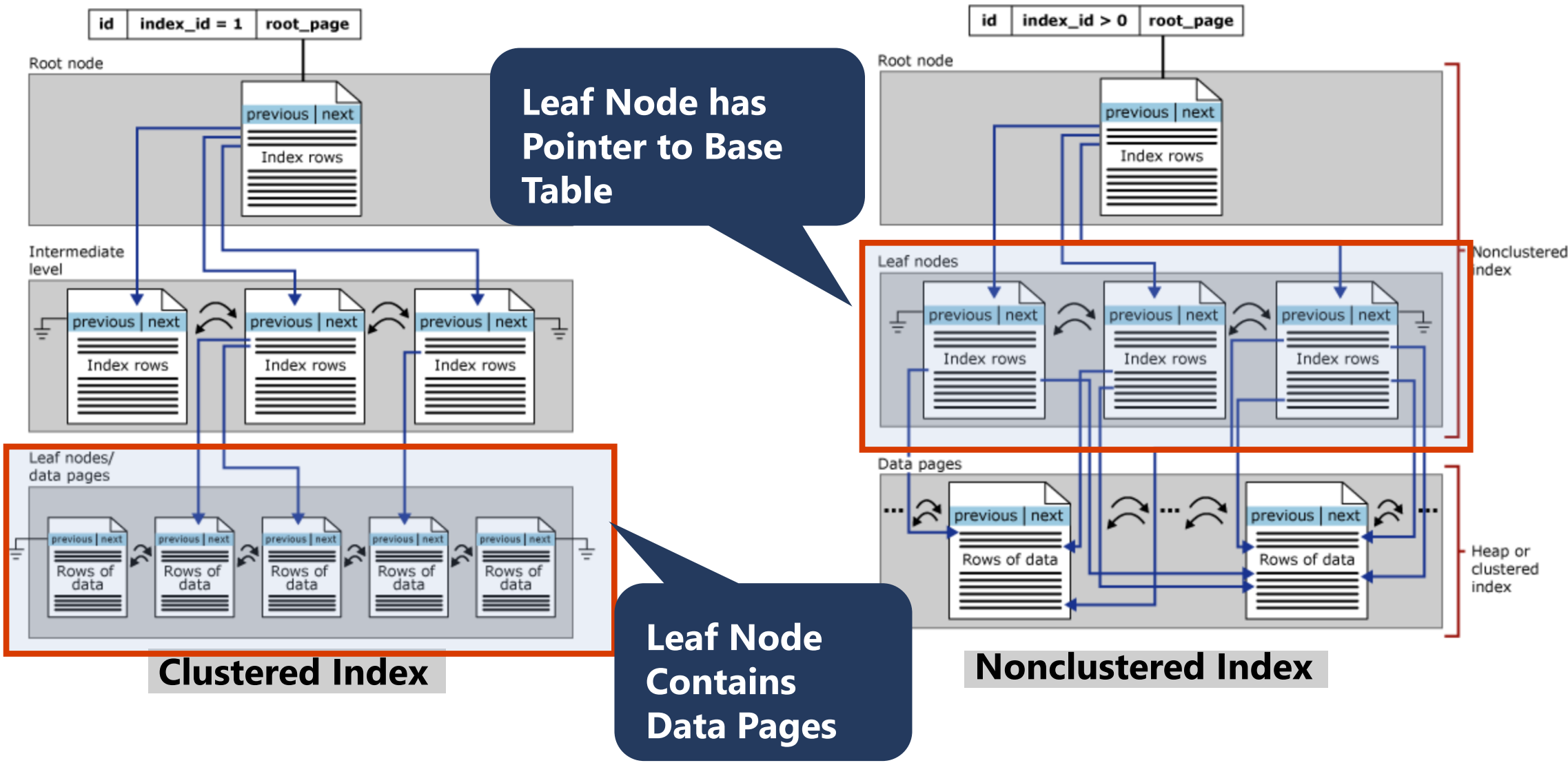
- Defines the order in which data is physically stored in a table.
- Table data can be sorted in only one way.
- Leaf level has data rows stored with index.
- When a table has a clustered index, the object is called clustered table.
- Cluster key is added to nonclustered index (as the pointer), keep it as narrow as possible.

## Non-clustered Indexes

- Separate structure from base table.
- Contains a pointer back to base table called:
  - Row ID (RID when base table is HEAP)
  - Key (KEY when base table is Clustered)
- "Skinny" data structure as it contains a subset of base table only.
- To by-pass index key limits (1,700 bytes), non-key columns can be added to leaf level.
- As Leaf level contains fewer columns than base table, the non-clustered index uses fewer pages than the corresponding base table.



# Structure of a clustered and Nonclustered index



# Demonstration

## Examining non-clustered indexes

- This demonstration reviews the non-clustered index structure.



# Fragmentation

A fragmented table/Index is when some of its data pages point to pages that are not in sequence.

## Logical fragmentation

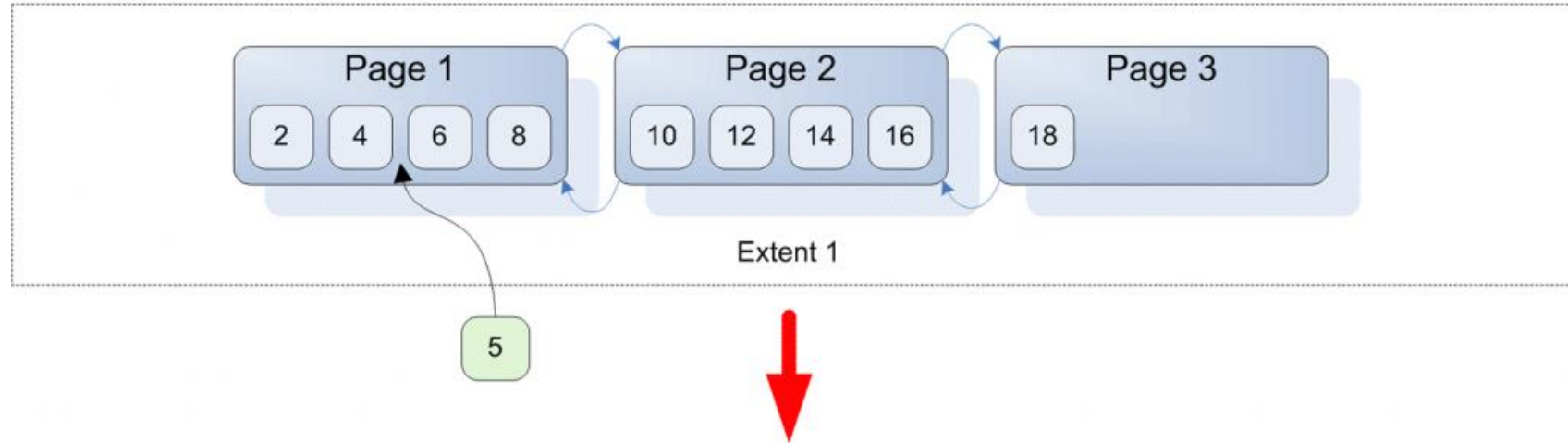
- Occurs when leaf level pages are not physically corresponding to the logical order of the index:
  - Pages are not in the most efficient order for scanning purposes.
- Limits the efficiency of read-ahead scans, but not seeks.

## Page density

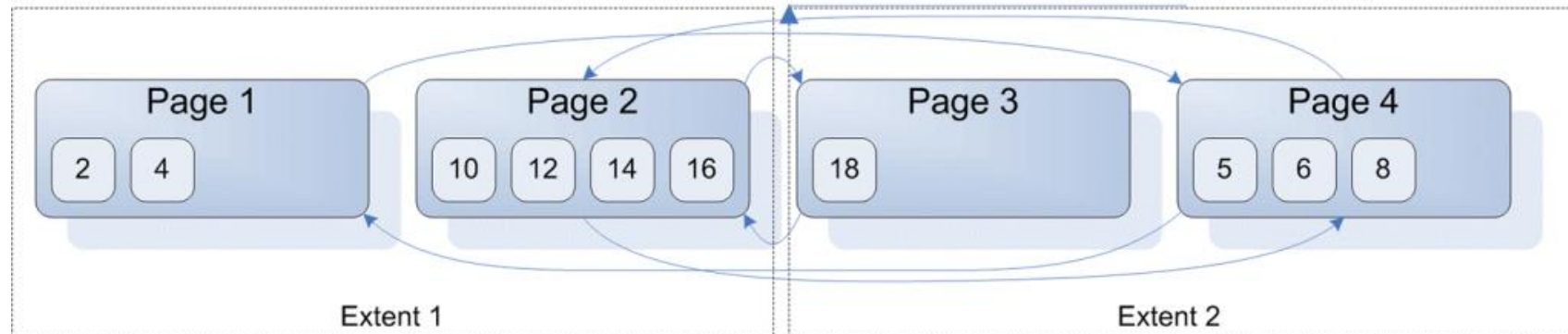
- How full a page is when a rebuild/reorganization occurs.
- The fuller a page is, the more likely page splits occur when data is modified.
- The less full a page is, the more wasted space in the buffer pool when reading pages.

# Page Splits

Inserting a new record, causing a page split



After the insert we see disproportionately greater overhead



Questions?



# Knowledge Check

What are the three access methods reviewed in this lesson?

What are the three different types of allocations?

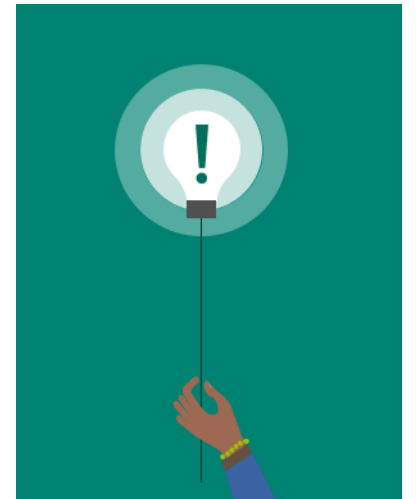
What is the primary goal of indexing?

## Lesson 2: Index Strategy

# Objectives

After completing this learning, you will be able to:

- Describe best practices associated with clustered index design.
- Consider factors involved in designing a nonclustered indexing strategy.
- Explain how an indexing strategy can reduce logical reads.
- Describe use of Filter indexes and Indexed views.
- Explain the role of Fill factor.
- Use a technique to reduce the fragmentation.
- Apply Index Compression.





# Characteristics of a Good Clustering Key

## Narrow

- Use a data type with a small number of bytes to conserve space in tables and indexes

## Unique

- To avoid SQL adding a 4-byte uniquifier

## Static

- Allows data to stay constant without constant changes which could lead to page splits

## Increasing

- Allows better write performance and reduces fragmentation issues

# Best Practices for Clustered indexes

The primary goal of any indexing strategy is to make queries faster

Best Practice	Seeks, not scans	Avoid key lookups	Get most rows on the index page	Get most rows on the data page	Avoid page splits
Use frequently searched value	X	X			
Use narrow keys			X	X	
Use unique values			X	X	
Use static values					X
Use ascending or descending key					X

# Clustered Index vs Primary key considerations

Frequently, clustering on the primary key supports the clustered index best practices

- Query predicate use Primary Key
- Primary keys are involved in joins to foreign keys
- Primary keys are unique
- Primary keys are typically ascending
- Primary keys are typically not updated

Do not cluster on the Primary key IF:

- When table is accessed by other keys than the primary key
- Common issue accessing association or child table, when these tables require different primary key than parent table
- Use sys.dm\_db\_index\_usage\_stats to review data access patterns of index

# Demonstration

## Clustered Indexing Strategy

Show the impact of narrow versus wide clustering keys.



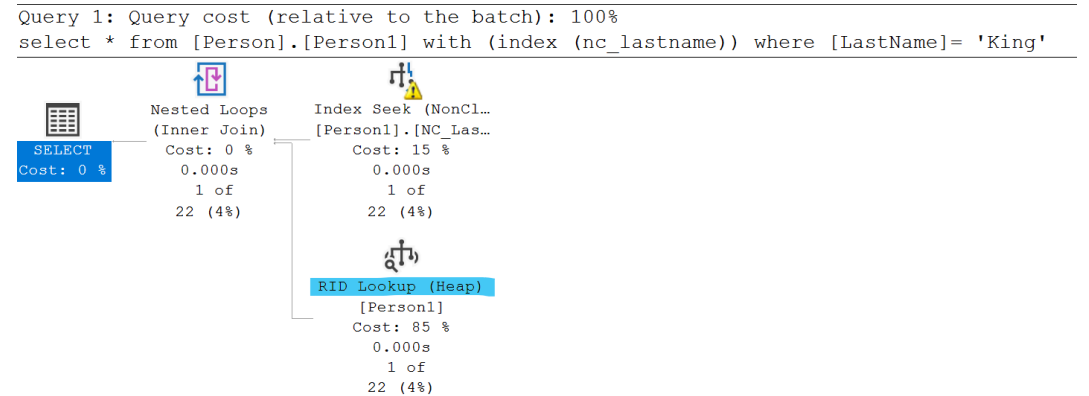
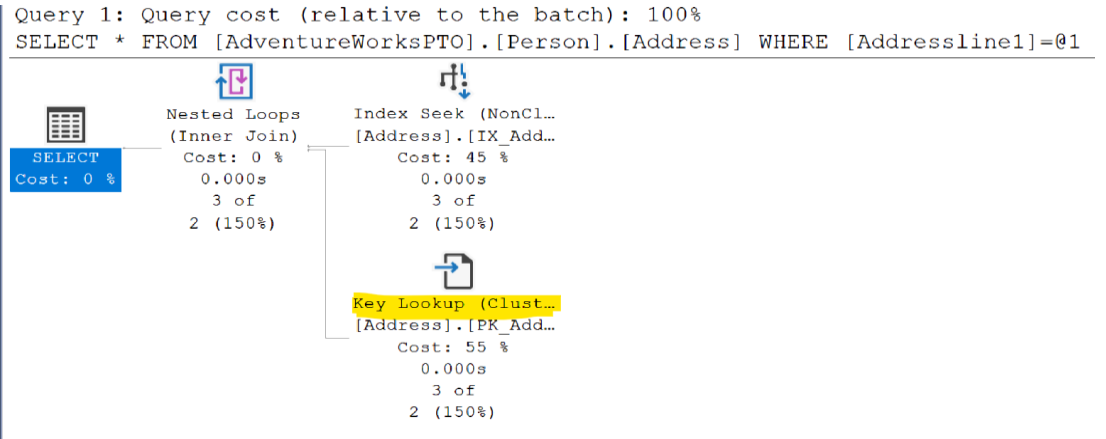
# Bookmark Lookup or RID lookup

Occurs when SQL uses a nonclustered index to satisfy all or some of a query's predicates, but it doesn't contain all the information needed to cover the query.

Lookup effectively join the nonclustered index back to the clustered index or heap.

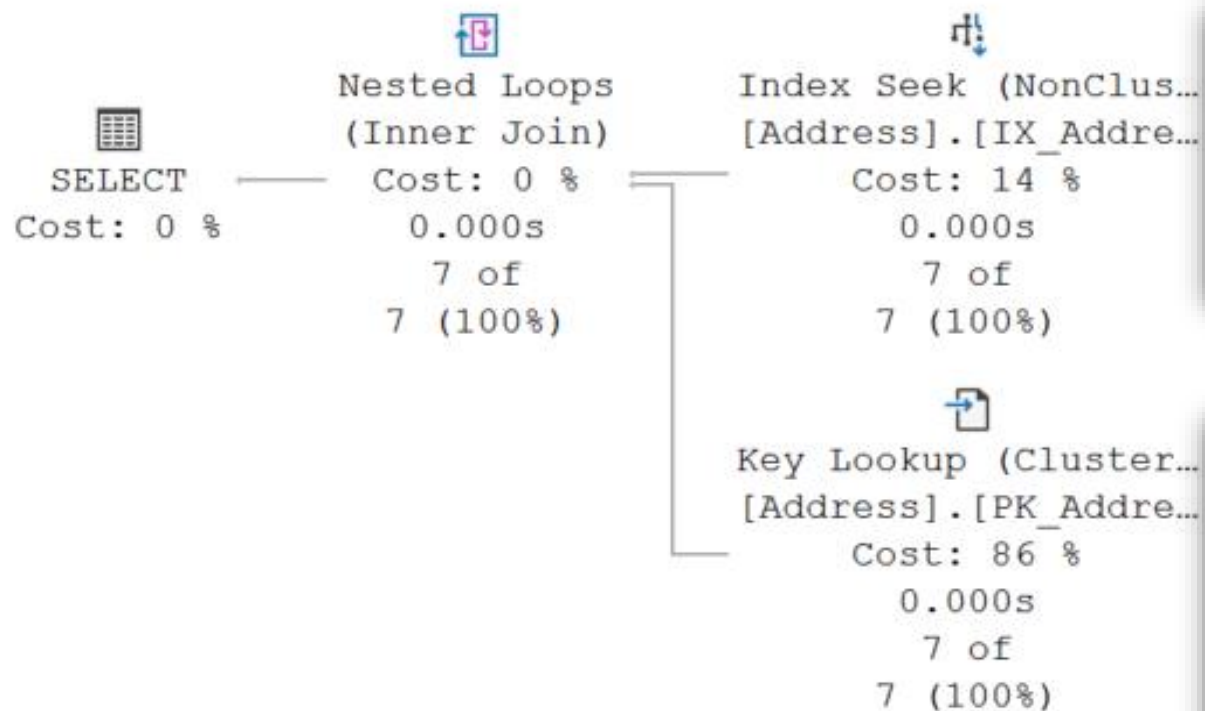
- If table has clustered index, it is called **bookmark lookup** (or key lookup)
- If the table is a heap with a non-clustered index, it is called **RID lookup**

This is an expensive operation.



# Key Lookup

Query 1: Query cost (relative to the batch): 100%  
SELECT \* FROM [Person].[Address] WHERE [StateProvinceID]=@1



## Object

[AdventureWorks2019].[Person].[Address].  
[IX\_Address\_StateProvinceID]

## Output List

[AdventureWorks2019].[Person].[Address].AddressID,  
[AdventureWorks2019].[Person].[Address].StateProvinceID

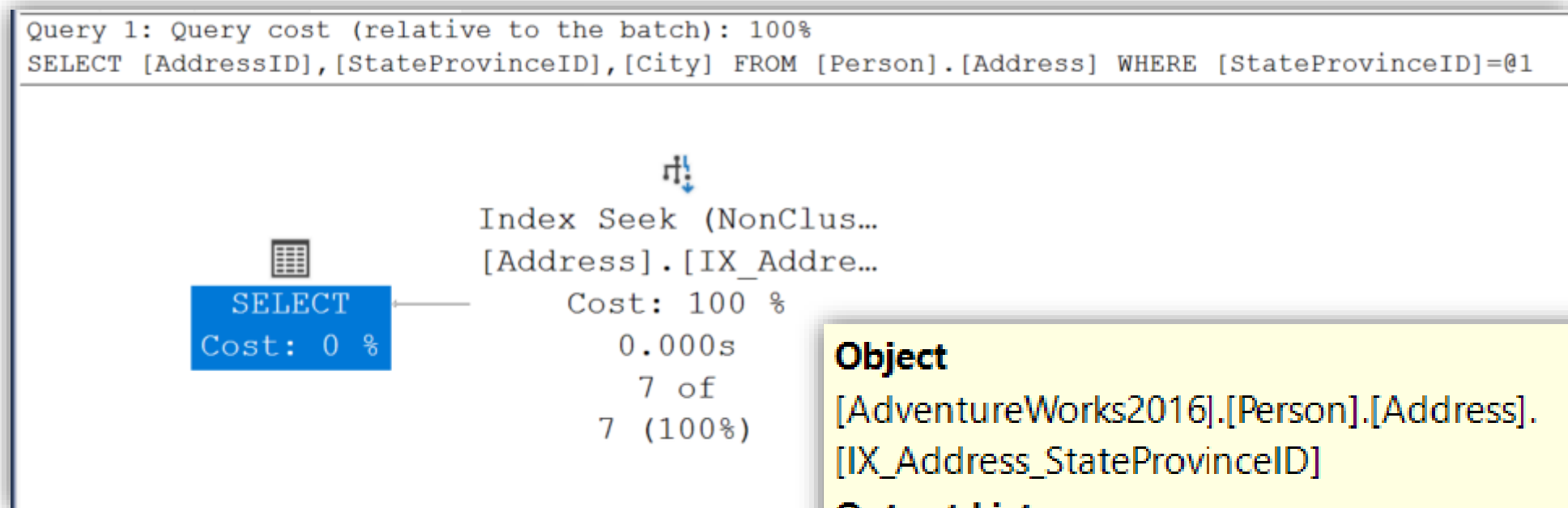
## Object

[AdventureWorks2019].[Person].[Address].[PK\_Address\_AddressID]

## Output List

[AdventureWorks2019].[Person].[Address].AddressLine1,  
[AdventureWorks2019].[Person].[Address].AddressLine2,  
[AdventureWorks2019].[Person].[Address].City,  
[AdventureWorks2019].[Person].[Address].PostalCode,  
[AdventureWorks2019].[Person].[Address].SpatialLocation,  
[AdventureWorks2019].[Person].[Address].rowguid,  
[AdventureWorks2019].[Person].[Address].ModifiedDate

# Non-Clustered Index with Included Column



## Object

[AdventureWorks2016].[Person].[Address].  
[IX\_Address\_StateProvinceID]

## Output List

[AdventureWorks2016].[Person].[Address].AddressID,  
[AdventureWorks2016].[Person].[Address].City,  
[AdventureWorks2016].[Person].[Address].StateProvinceID



# Demonstration

## Access Methods

Demonstrate seeks, scans, and lookups





# Single Vs Multi-column indexes

## Single-column Indexing

- Good choice for columns that are highly selective, or columns referenced often by criteria.
- When filtering data from table with multiple single column indexes, SQL uses the index with higher cardinality column, it may be better to not index the low cardinality column.

## Multi-Column Indexing

- Good choice for low cardinality columns.
- Highest cardinality field first, to zoom into a narrow range of the B-Tree as quickly as possible.
- Equality columns before inequality columns.

# Multi-Column Indexing Access

Seek only happens if you search for the columns in the specified order.

```
CREATE INDEX IX1 ON TABLE (PostalCode, StateID, City)
```

Effect of column in different WHERE clause.

- WHERE PostalCode = 98011 – seek
- WHERE PostalCode = 98011 AND StateID = 79 – seek both
- WHERE PostalCode = 98011 – seek AND City = Bothell -- scan
- WHERE StateID = 79 -- scan

# Multi-Column Indexing Access (Seek Predicates)

--Single value performs Index Seek.

```
SELECT City, StateProvinceID,  
PostalCode  
FROM Person.Address  
WHERE PostalCode = '98011'
```

--Index Seek on both columns

--Search condition in same order as Index.

```
SELECT City, StateProvinceID, PostalCode  
FROM Person.Address  
WHERE PostalCode = '98011' AND  
StateProvinceID = 79
```

## Index Seek (NonClustered)

Scan a particular range of rows from a nonclustered index.

### Object

[AdventureWorks2019].[Person].[Address].[IX\_Postal\_State\_City]

### Output List

[AdventureWorks2019].[Person].[Address].City,  
[AdventureWorks2019].[Person].[Address].StateProvinceID,  
[AdventureWorks2019].[Person].[Address].PostalCode

### Seek Predicates

Seek Keys[1]: Prefix: [AdventureWorks2019].[Person].  
[Address].PostalCode = Scalar Operator(CONVERT\_IMPLICIT(nvarchar  
(4000),[@1],0))

## Index Seek (NonClustered)

Scan a particular range of rows from a nonclustered index.

### Object

[AdventureWorks2019].[Person].[Address].[IX\_Postal\_State\_City]

### Output List

[AdventureWorks2019].[Person].[Address].City,  
[AdventureWorks2019].[Person].[Address].StateProvinceID,  
[AdventureWorks2019].[Person].[Address].PostalCode

### Seek Predicates

Seek Keys[1]: Prefix: [AdventureWorks2019].[Person].  
[Address].PostalCode, [AdventureWorks2019].[Person].  
[Address].StateProvinceID = Scalar Operator(CONVERT\_IMPLICIT  
(nvarchar(4000),[@1],0)), Scalar Operator(CONVERT\_IMPLICIT(int,  
[@2],0))

# Multi-Column Indexing Access (Scan Predicates)

```
--Index Seek on first column
--After seek, will scan second column
SELECT City, StateProvinceID, PostalCode
FROM Person.Address
WHERE PostalCode = '98011' AND City =
'Bothell'
```

```
--Search condition not in same order as
Index.
--Performs Index Scan.
SELECT City, StateProvinceID, PostalCode
FROM Person.Address
WHERE StateProvinceID = 79
```

## Index Seek (NonClustered)

Scan a particular range of rows from a nonclustered index.

### Predicate

[AdventureWorks2019].[Person].[Address].[City]=CONVERT\_IMPLICIT  
(nvarchar(4000),[@2],0)

### Object

[AdventureWorks2019].[Person].[Address].[IX\_Postal\_State\_City]

### Output List

[AdventureWorks2019].[Person].[Address].City,  
[AdventureWorks2019].[Person].[Address].StateProvinceID,  
[AdventureWorks2019].[Person].[Address].PostalCode

### Seek Predicates

Seek Keys[1]: Prefix: [AdventureWorks2019].[Person].  
[Address].PostalCode = Scalar Operator(CONVERT\_IMPLICIT(nvarchar  
(4000),[@1],0))

## Index Scan (NonClustered)

Scan a nonclustered index, entirely or only a range.

### Predicate

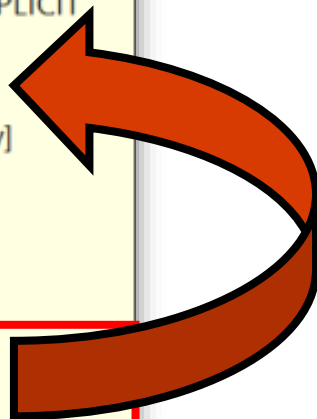
[AdventureWorks2019].[Person].[Address].[StateProvinceID]=(79)

### Object

[AdventureWorks2019].[Person].[Address].[IX\_Postal\_State\_City]

### Output List

[AdventureWorks2019].[Person].[Address].City,  
[AdventureWorks2019].[Person].[Address].StateProvinceID,  
[AdventureWorks2019].[Person].[Address].PostalCode



# Demonstration

## Multiple Column Indexes

Demonstrate seeks and scans with multiple column indexes.



# The Tipping Point (Seeks vs Scans)



Point where the number of rows returned is no longer selective enough to justify the I/O being done.

SQL Server chooses to convert what could be a SEEK + LOOKUP into a SCAN.

The "tipping point" is between  $1/4$  and  $1/3$  of the number of row relative to the number of total pages.

Page Density (Row per page) does have an impact on the "tipping point"



# Demonstration

## The Tipping Point

Demonstrate seeks vs scans.



# Non-Clustered Index Strategy

Index columns used in WHERE clauses and JOINs.

Keep indexes to a minimum, to minimize impact on DML and log writes.

Two basic approaches: Single column indexes or Multicolumn indexes

Easy to create too many nonclustered indexes.

Specific indexes are appropriate for high-impact queries.

Ideally the focus should be writing queries to use existing indexes, rather than on adding more indexes.



Questions?



# Lesson 3: Index Monitoring and Fragmentation

# Objectives

After completing this learning, you will be able to:

- Monitor index usage.
- Describe page splits.
- Understand problems caused by page splits.
- Monitor index fragmentation and free space.
- Review options to remove fragmentation and free space.



# Why to monitor Index usage

Data access and distribution changes over time.

By reviewing index usage, we can ensure that the indexes are appropriate for the current workload.

Use `sys.dm_db_index_usage_stats` and `sys.dm_db_index_operational_stats` to monitor index usage.

Database standard report also monitors Index usage and Physical Statistics.

# Clustered Index usage patterns

Pattern	Interpretation
Seeks, but no scans	<ul style="list-style-type: none"><li>• May not need maintenance. Seeks are not impacted by fragmentation</li></ul>
Clustered index with High number of scans	<ul style="list-style-type: none"><li>• Review missing index recommendations.</li><li>• Consider changing Clustering key.</li><li>• Simplify queries with complex WHERE clauses</li></ul>
Clustered index with Low number of seeks and high number of lookups	<ul style="list-style-type: none"><li>• May need to change Clustering Key</li><li>• Look how often bookmark lookups occur.</li></ul>

# Non-Clustered Index usage patterns

Pattern	Interpretation
Seeks, but no scans	<ul style="list-style-type: none"><li>• May not need maintenance.</li><li>• Seeks are not impacted by fragmentation</li></ul>
Non-Clustered index with High number of scans	<ul style="list-style-type: none"><li>• Consider compression.</li><li>• Check for non-SARGable queries.</li><li>• Review missing index recommendations</li></ul>
Index with No/low usage	<ul style="list-style-type: none"><li>• May be able to drop or disable index</li></ul>
Non-Clustered Index Used at specific times only	<ul style="list-style-type: none"><li>• May be able to drop index, recreate when needed</li></ul>

# sys.dm\_db\_index\_usage\_stats

- Tracks seeks, scans, and lookups
- Provides date of last access
- Counters are incremented once per query execution
- User and system access (such as index rebuilds) are tallied separately
- Counters are initialized to at SQL Server (MSSQLSERVER) service is restarts

```
SELECT
    Distinct OBJECT_NAME(Indx.OBJECT_ID) Table_Name ,Indx.name IndexName
    ,Indx.type_desc IndexType,Iusg.user_seeks Seeks,Iusg.user_scans Scans
    ,Iusg.user_lookups Lookups ,Iusg.user_updates Updates ,Iusg.last_user_seek LastSeek
    ,Iusg.last_user_scan LastScan,Iusg.last_user_lookup LastLookup ,Iusg.last_user_update LastUpdate
FROM
    SYS.INDEXES Indx
    INNER JOIN SYS.DM_DB_INDEX_USAGE_STATS Iusg
        ON Iusg.index_id = Indx.index_id AND Iusg.OBJECT_ID = Indx.OBJECT_ID
    INNER JOIN SYS.DM_DB_PARTITION_STATS PrtSts
        ON PrtSts.object_id=Indx.object_id
WHERE
    OBJECTPROPERTY(Indx.OBJECT_ID,'IsUserTable') = 1
```

# sys.dm\_db\_index\_operational\_stats

- Returns information about the lower-level I/O activities
- Takes database\_id, the object\_id, the index\_id and the partition\_number as parameters
- Memory-optimized indexes do not appear in this DMV

```
SELECT
    *
FROM
    SYS.DM_DB_INDEX_OPERATIONAL_STATS (NULL,NULL,NULL,NULL ) opsts
    INNER JOIN SYS.INDEXES AS Indx
        ON Indx.[OBJECT_ID] = opsts.[OBJECT_ID]
        AND Indx.INDEX_ID = opsts.INDEX_ID
WHERE
    OBJECTPROPERTY(opsts.[OBJECT_ID], 'IsUserTable') = 1
```



# sys.dm\_db\_index\_physical\_stats

- Returns size and fragmentation information for the data and indexes of the specified table or view in SQL Server.
- Takes database\_id, the object\_id, the index\_id and the partition\_number as parameters
- Memory-optimized indexes do not appear in this DMV

```
SELECT OBJECT_SCHEMA_NAME(I.object_id) AS SchemaName, OBJECT_NAME(I.object_id) AS  
TableName, I.name, I.Index_ID, IPS.partition_number, IPS.avg_fragmentation_in_percent,  
IPS.page_count, IPS.avg_page_space_used_in_percent  
FROM sys.indexes as I  
INNER JOIN sys.dm_db_index_physical_stats(DB_ID(), NULL, NULL, NULL, 'Limited') as IPS  
ON I.object_id = IPS.object_id  
AND I.index_id = IPS.index_id  
--WHERE IPS.avg_fragmentation_in_percent >30  
--AND IPS.page_count >1000
```

# Fragmentation

A fragmented table/Index is when some of its data pages point to pages that are not in sequence.

## Logical fragmentation

- Occurs when leaf level pages are not physically corresponding to the logical order of the index:
  - Pages are not in the most efficient order for scanning purposes.
- Limits the efficiency of read-ahead scans, but not seeks.

## Page density

- How full a page is when a rebuild/reorganization occurs.
- The fuller a page is, the more likely page splits occur when data is modified.
- The less full a page is, the more wasted space in the buffer pool when reading pages.

# SQL Index Fragmentation and Maintenance options

## SSMS -> Index Physical Statistics report

- Will report fragmentation and recommend solution at database level

## Custom Solution

- Find fragmentation using Sys.dm\_db\_index\_physical\_stats
- Correct fragmentation

Can remove Index fragmentation using Rebuild or Reorganize option

	ALTER INDEX... REBUILD	ALTER INDEX ... REORGANIZE
Removes fragmentation	X	X
Removes free space	X	
Resets fill factor	X	
Updates statistics	X	

# Fill Factor

Can address performance issues due to fragmentation.

## Use When

- Specifying the amount of free space on a data or index page.
- Reducing logical fragmentation.

## Do not use when

- Low fragmentation
- High seeks and low scans
- Index is not scanned

```
ALTER INDEX [pk_bigProduct]  
ON [dbo].[bigProduct]  
REBUILD WITH (PAD_INDEX = ON, FILLFACTOR = 90)
```

# Reducing fragmentation

## Reducing Fragmentation

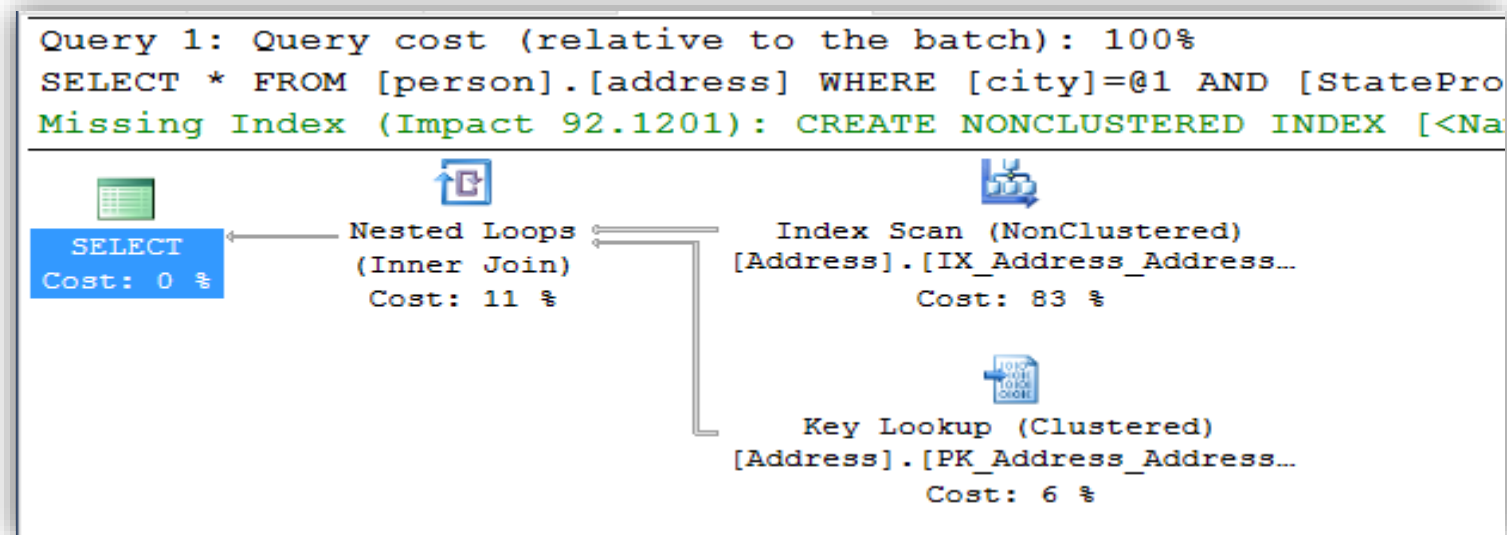
- Using an ascending key (not always possible).
- Using an appropriate fill factor for the workload.
- Update in sets, rather than one at a time.
- Do not insert with immediate update.

# Missing Index Recommendations

SQL Server identifies indexes that would help a query's performance

The recommendation is included in the query plan

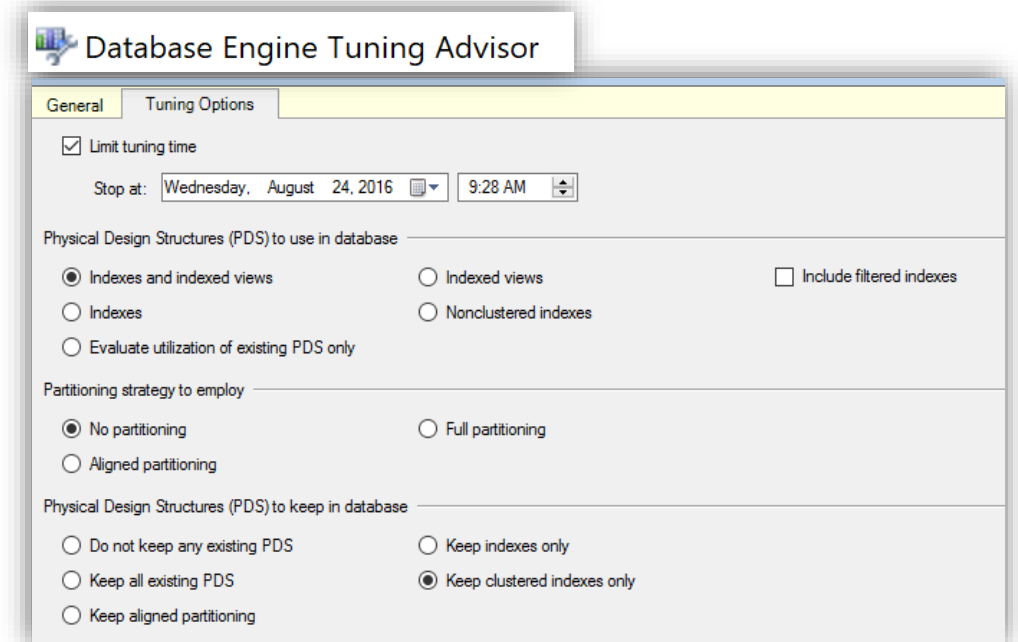
The cost savings are aggregated in DMVs to help identify the most beneficial indexes



# Choosing Indexes

Following sources can help you choosing indexes

- Missing Index recommendations
- `sys.dm_db_index_usage_stats`
- Database Tuning Advisor



# Demonstration

## Analyzing Index Usage

Show how index usage patterns can help identify index and query improvements.





# Index Maintenance

- Identifying and removing physical index fragmentation



Questions?



# Knowledge Check

Which DMV/DMF are used to monitor index usage?

Does it make sense to add all SQL Server missing recommendations?

When Managed Lock Priority should be used?

