



ORACLE

# AutoUpgrade 2.0

## Virtual Classroom Series



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## ROY SWONGER

Vice President

Database Upgrade, Utilities & Patching

royfswonger

@royfswonger





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**MIKE DIETRICH**

Distinguished Product Manager  
Database Upgrade and Migrations

 [mikedietrich](#)

 [@mikedietrichde](#)

 <https://mikedietrichde.com>



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**DANIEL OVERBY HANSEN**

Senior Principal Product Manager  
Cloud Migrations

 dohdatabase

 @dohdatabase

 <https://dohdatabase.com>



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**RODRIGO JORGE**

Senior Principal Product Manager  
Database Patching and Upgrade

 [rodrigoaraujorge](#)

 [@rodrigojorgedb](#)

 <https://dbarj.com.br/en>

# Webinar | Get The Slides

<https://MikeDietrichDE.com/slides>





Episode 2

[AutoUpgrade to Oracle Database 19c](#)

115 minutes – Feb 20, 2021



Episode 3

[Performance Stability, Tips and Tricks and Underscores](#)

120 minutes – Mar 4, 2021



Episode 4

[Migration to Oracle Multitenant](#)

120 minutes – Mar 16, 2021



Episode 5

[Migration Strategies – Insights, Tips and Secrets](#)

120 minutes – Mar 25, 2021



Episode 6

[Move to the Cloud – Not only for techies](#)

115 minutes – Apr 8, 2021



Episode 7

[Cool Features – Not only for DBAs](#)

110 minutes – Jan 14, 2021



Episode 8

[Database Upgrade Internals – and so much more](#)

110 minutes – Feb 11, 2021



Episode 9

[Performance Testing Using the Oracle Cloud for Upgrades and Migrations](#)

90 minutes – May 19, 2021



\*NEW\* Episode 10

[How Low Can You Go? Minimal Downtime Upgrade Strategies](#)

100 minutes – Oct 26, 2021



## Recorded Web Seminars

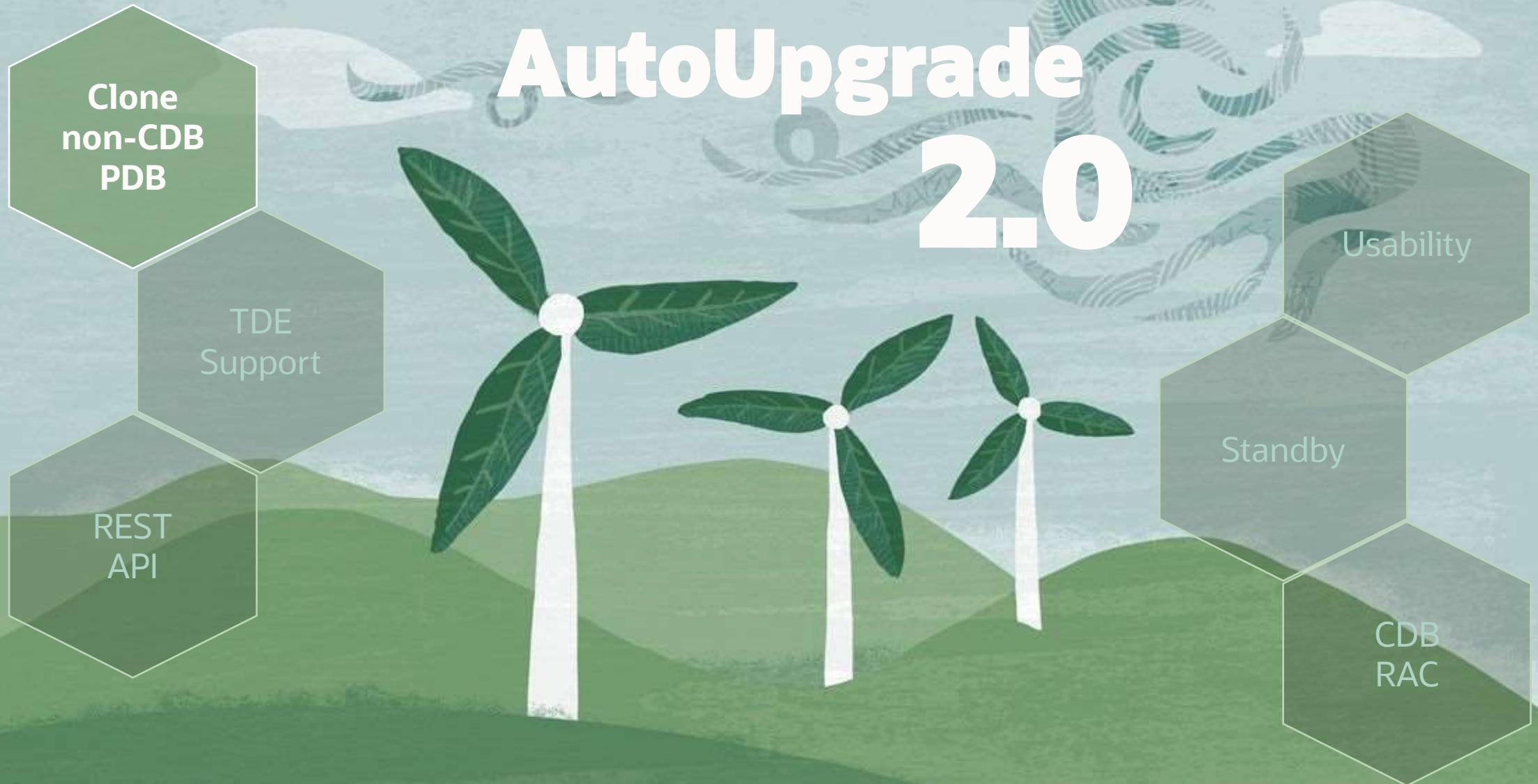
<https://MikeDietrichDE.com/videos>





Always use the latest version of [AutoUpgrade](#)

# AutoUpgrade 2.0



# Refreshable Clone | Concept

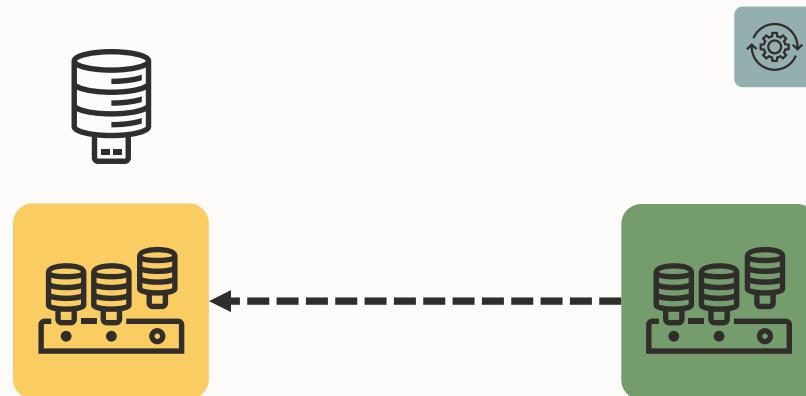
Create refreshable clone PDB

Refresh at will or automatic

Disconnect at will

Upgrade

Open



Pro tip: Works from  
Oracle Database 12.2

## Clone Upgrade | Overview

AutoUpgrade supports refreshable clone upgrades across servers

- **PDB Upgrade**
  - Clone and upgrade
- **non-CDB Migration**
  - Clone and upgrade a non-CDB into a PDB



You determine the point of synchronization



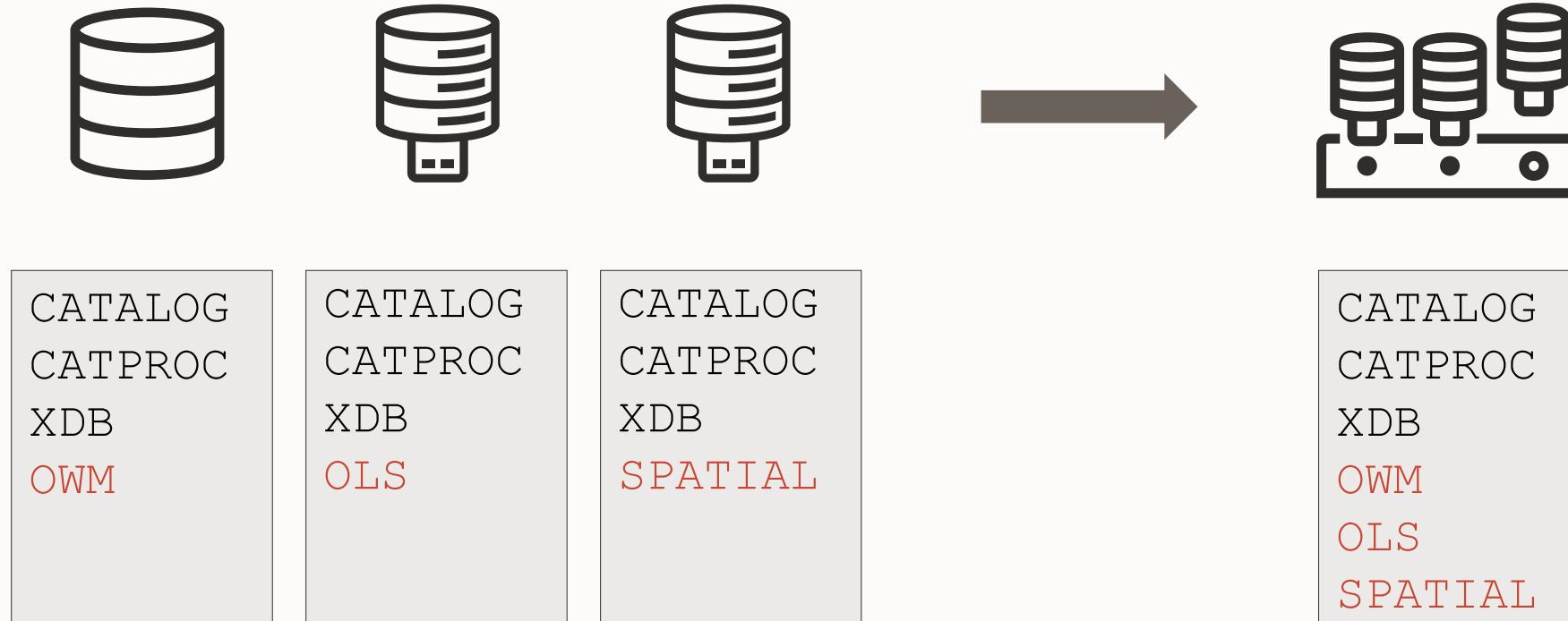
Parallel file copy is added automatically  
Degree is adjusted according to resources available



Copy happens over SQL\*Net  
Optionally, use SQL\*Net Encryption

## Target CDB | Components

Target CDB\$ROOT must contain a *superset* of non-CDBs and PDBs

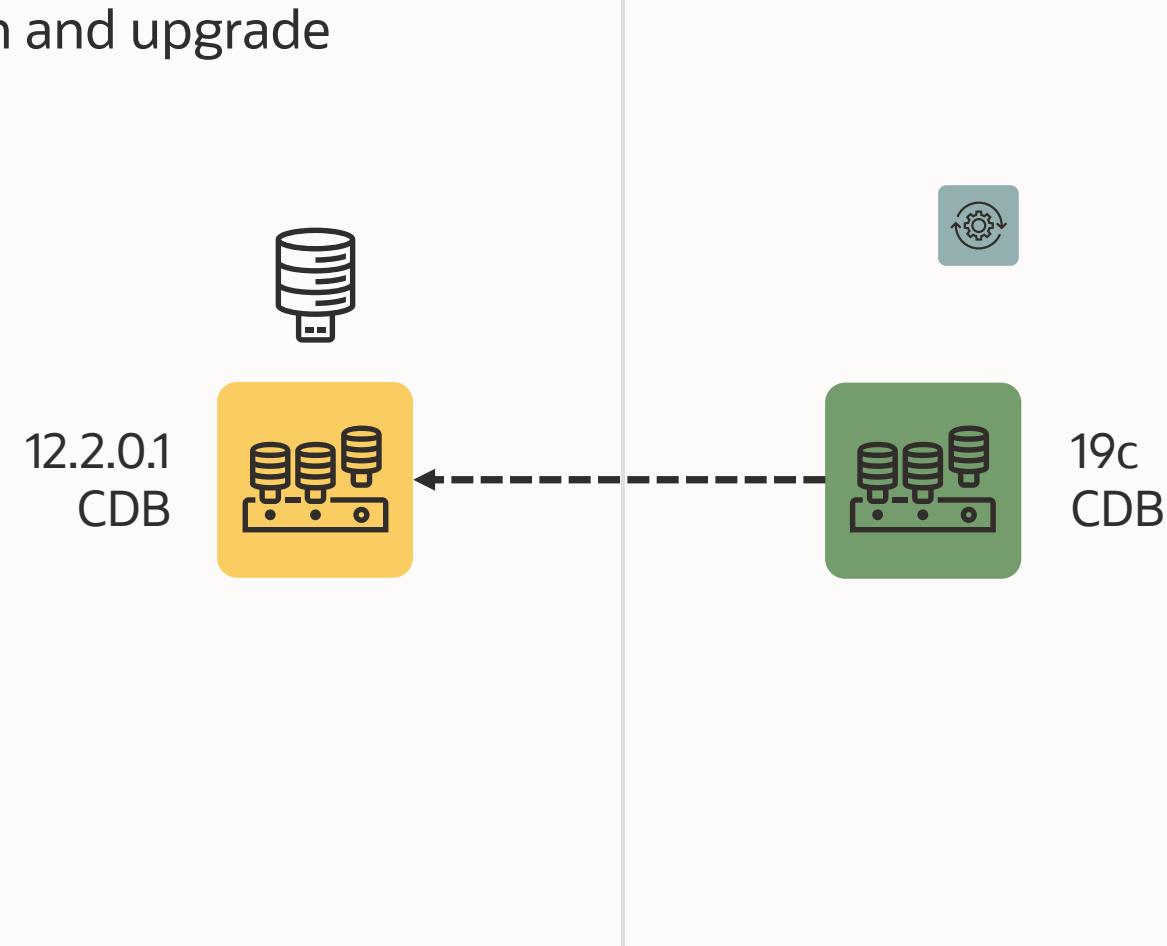




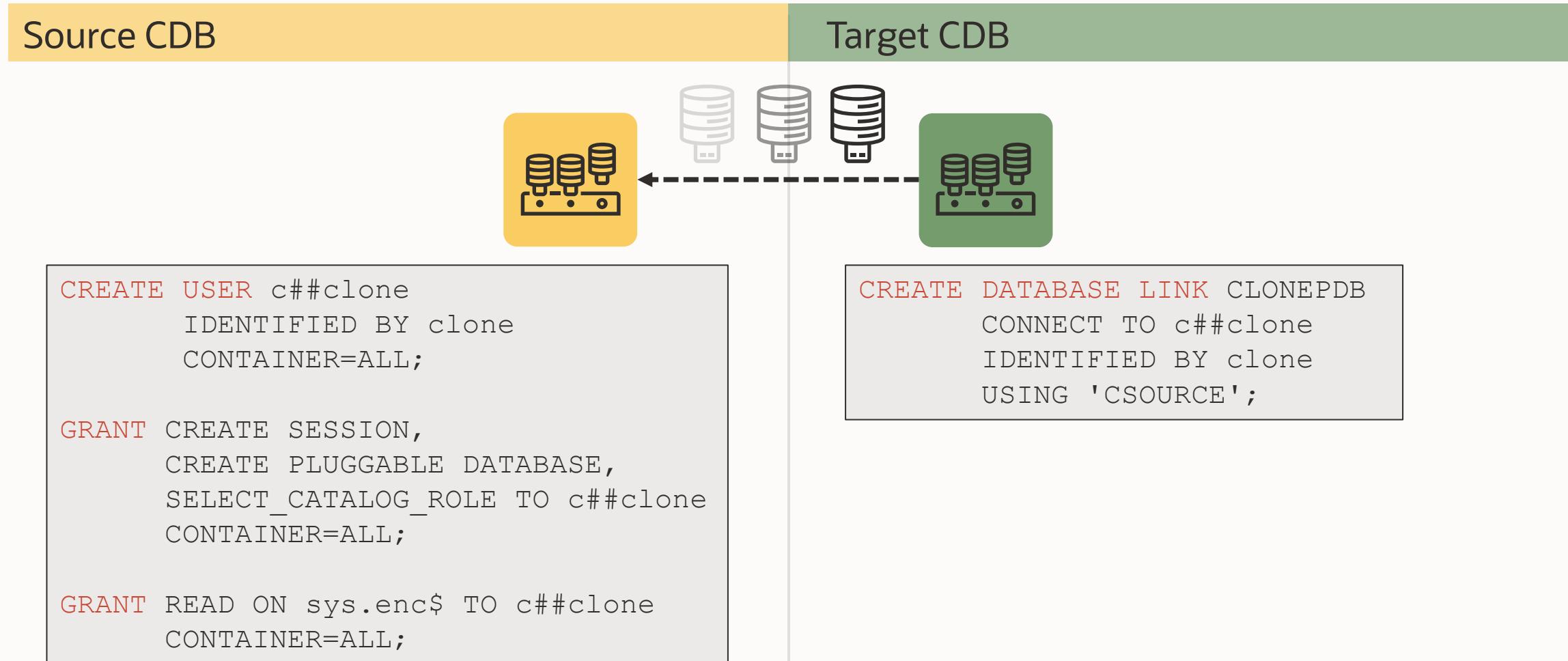
Target CDB\$ROOT must be a **component** superset

# PDB Upgrade | Concept

Unplug a PDB, plugin and upgrade



# PDB Upgrade | Preparation

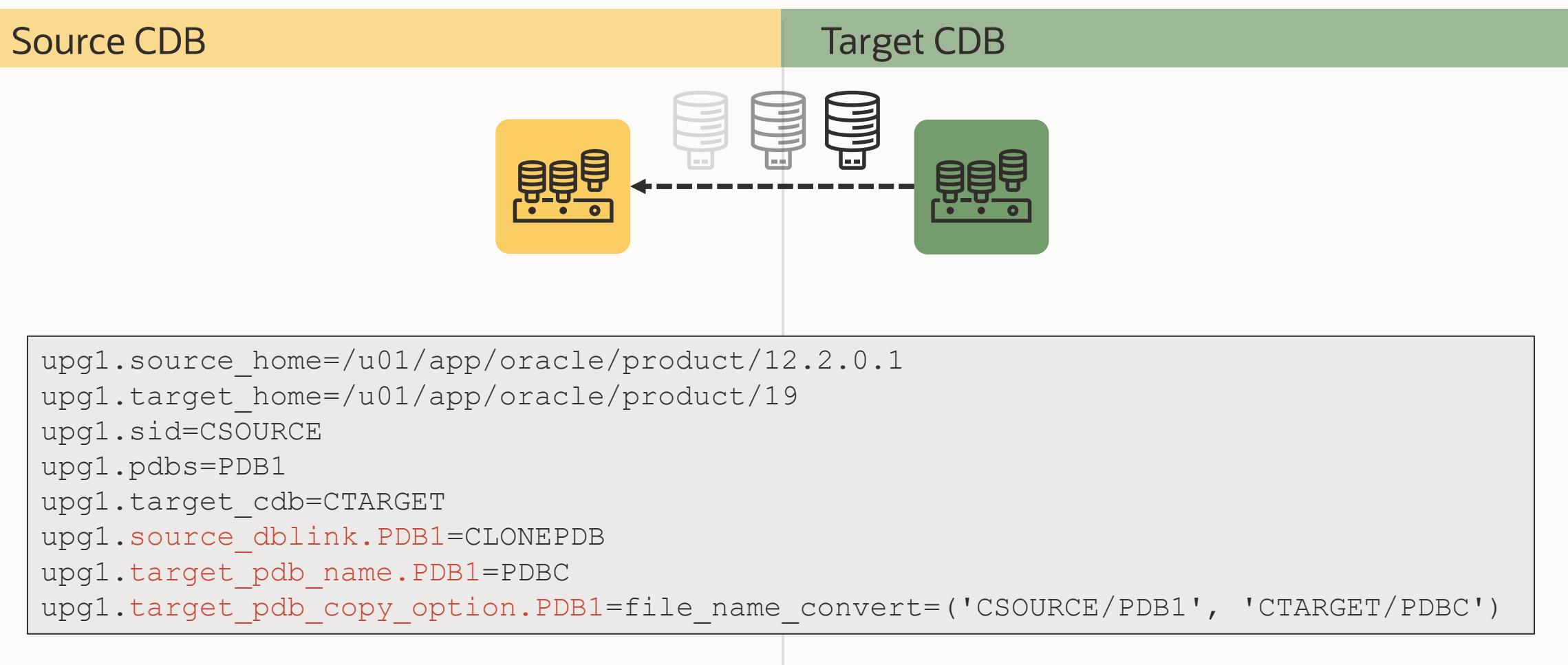




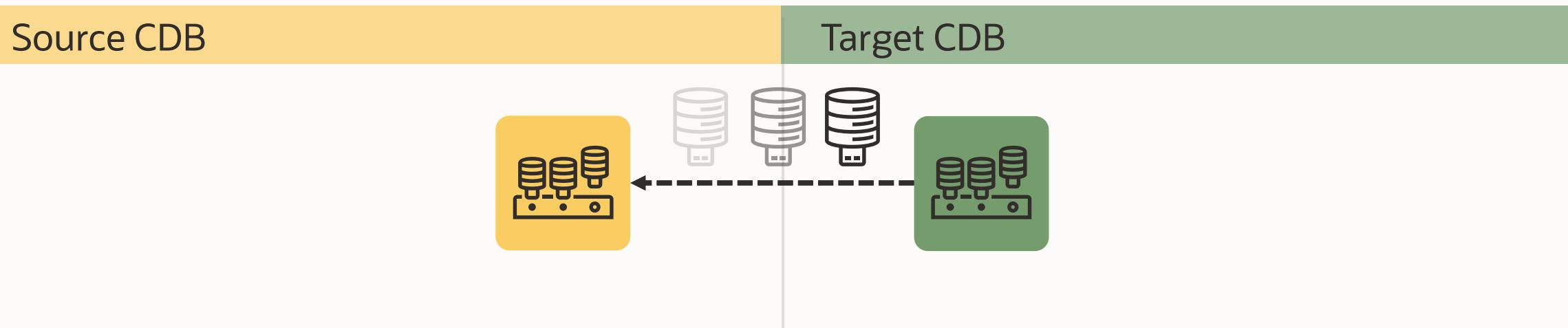
Run fixups before initiating the clone operation

```
java -jar autoupgrade.jar -config PDB1.cfg -mode fixups
```

# PDB Upgrade | AutoUpgrade

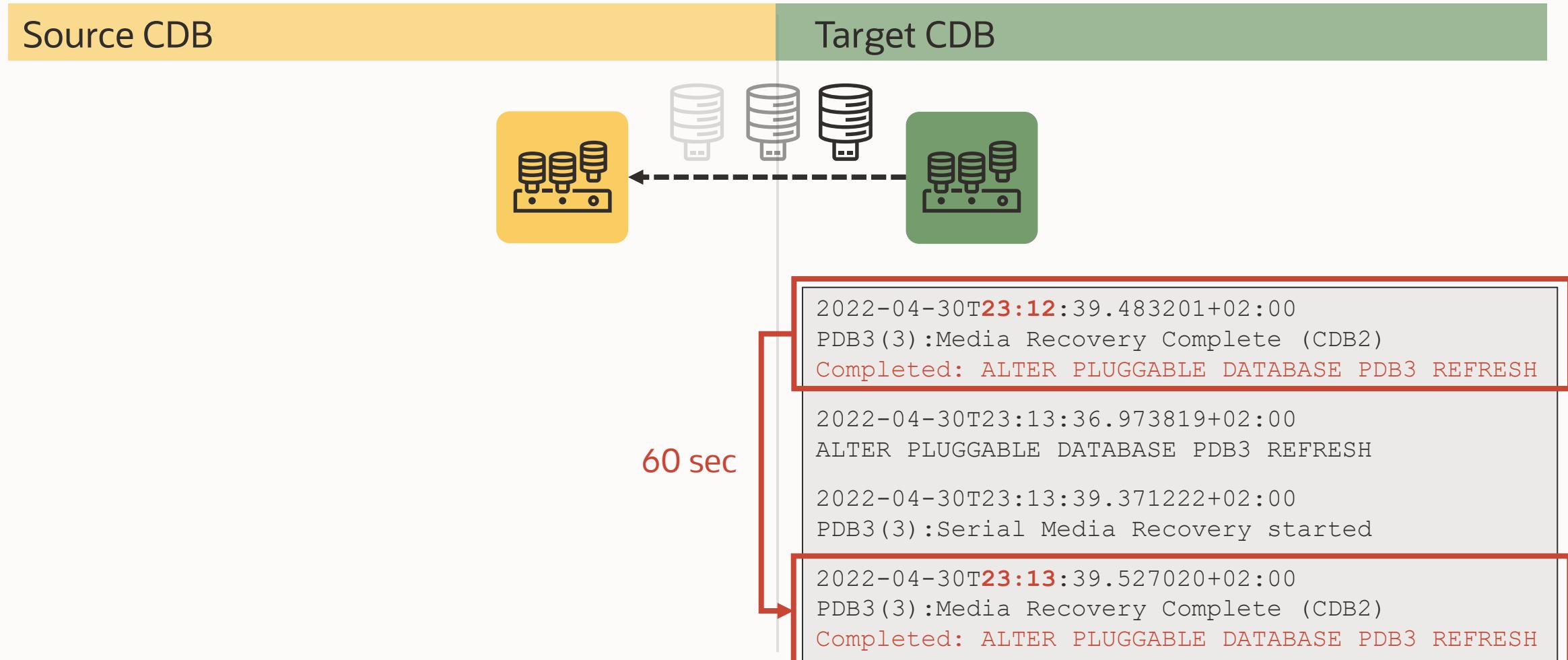


# PDB Upgrade Refresh | AutoUpgrade



```
upg1.source_home=/u01/app/oracle/product/12.2.0.1
upg1.target_home=/u01/app/oracle/product/19
upg1.sid=CSOURCE
upg1.pdb= PDB1
upg1.target_cdb=CTARGET
upg1.source_dblink.PDB1=CLONEPDB 60
upg1.target_pdb_name.PDB1= PDBC
upg1.target_pdb_copy_option.PDB1=file_name_convert('CSOURCE/PDB1', 'CTARGET/PDBC')
upg1.start_time=+1h30m
```

## PDB Upgrade Refresh | alert.log





AutoUpgrade issues a final refresh of the PDB right before the upgrade starts

# PDB Upgrade Refresh | Demo



The screenshot shows the Oracle Database Upgrade Assistant interface. The title bar reads "SOURCE - Oracle 12.1.0.1 PDB". The tabs at the top are "File", "Edit", "View", "Search", "Terminal", "Tabs", and "Help". The "SOURCE" tab is selected, showing the path "SOURCE - Oracle 12.2.0.1". The "TARGET" tab is also visible, showing "TARGET - alert.log". The main area contains the following SQL code:

```
CREATE USER c##borg IDENTIFIED BY borg CONTAINER=ALL;
GRANT CREATE SESSION, CREATE PLUGGABLE DATABASE, SELECT_CATALOG_ROLE TO c##borg CONTAINER=ALL;
GRANT READ ON sys.ENC$ TO c##borg CONTAINER=ALL;
ALTER SYSTEM SET local_listener='(ADDRESS = (PROTOCOL=TCP)(HOST=hol)(PORT=1521))';
ALTER SYSTEM REGISTER;
```

[Watch on YouTube](#)

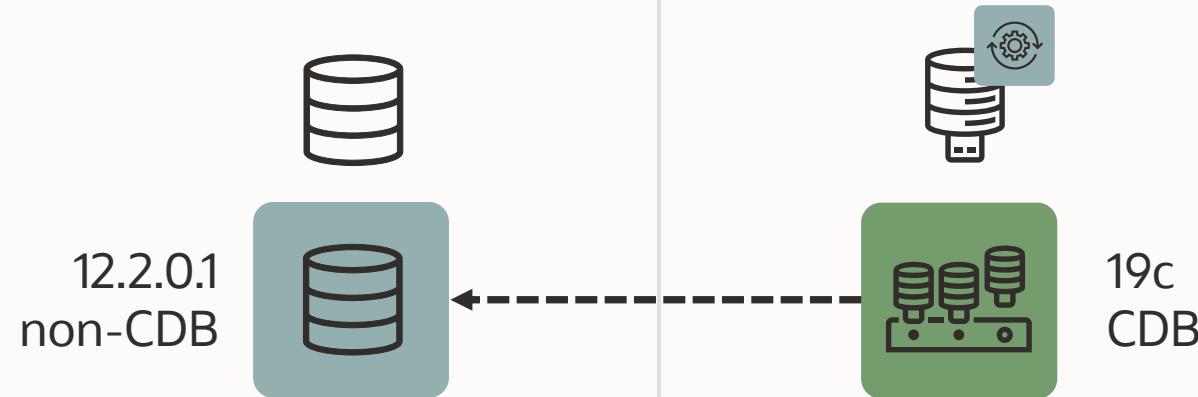


The source PDB stays intact to allow rollback

# Non-CDB Migration | Concept

Migrate a non-CDB into a PDB

- Preupgrade
- Clone
- Upgrade
- Non-CDB to PDB



# Non-CDB Migration | Preparation

Source non-CDB

Target CDB



```
CREATE USER clone  
    IDENTIFIED BY clone;  
  
GRANT CREATE SESSION,  
    CREATE PLUGGABLE DATABASE,  
    SELECT_CATALOG_ROLE TO clone;  
  
GRANT READ ON sys.ENC$ TO clone;
```

```
CREATE DATABASE LINK CLONENONCDB  
    CONNECT TO clone  
    IDENTIFIED BY clone  
    USING 'NONCDB';
```

# Non-CDB Migration | AutoUpgrade

Source non-CDB

Target CDB



```
upg1.source_home=/u01/app/oracle/product/12.2.0.1
upg1.target_home=/u01/app/oracle/product/19
upg1.sid=NONCDB
upg1.target_cdb=CTARGET
upg1.source_dblink.NONCDB=CLONENONCDB
upg1.target_pdb_name.NONCDB=PDBNONCDB
upg1.target_pdb_copy_option.NONCDB=file_name_convert('NONCDB', 'CTARGET/PDBNONCDB')
```

# Non-CDB Migration Refresh | AutoUpgrade

Source non-CDB

Target CDB



```
upg1.source_home=/u01/app/oracle/product/12.2.0.1
upg1.target_home=/u01/app/oracle/product/19
upg1.sid=NONCDB
upg1.target_cdb=CTARGET
upg1.source_dblink.NONCDB=CLONENONCDB 300
upg1.target_pdb_name.NONCDB=PDBNONCDB
upg1.target_pdb_copy_option.NONCDB=file_name_convert('NONCDB', 'CTARGET/PDBNONCDB')
upg1.start_time=+45m
```



The source non-CDB stays intact to allow rollback

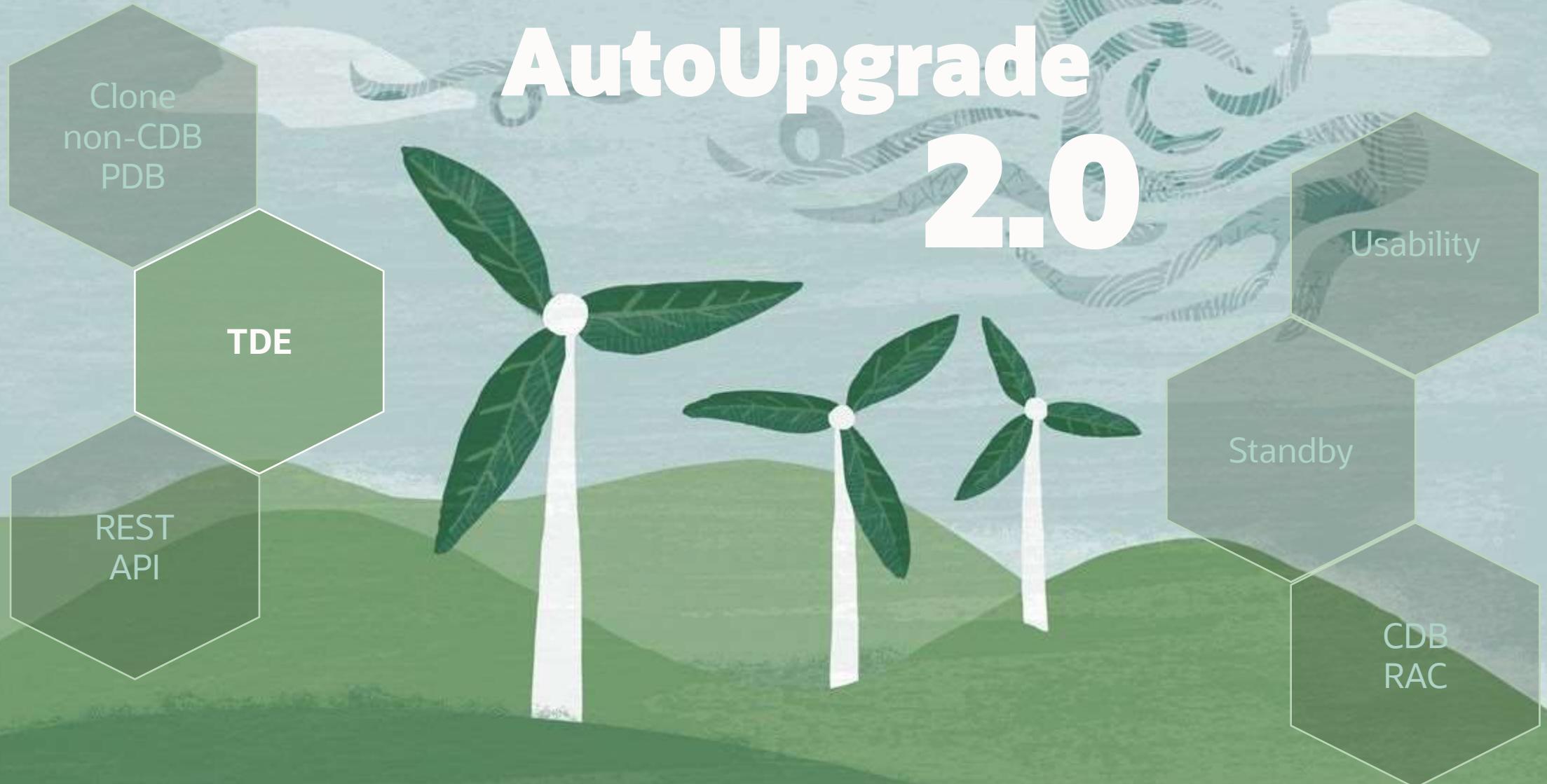


Once the clone operations are completed, you can remove the clone user and the database link



Be **VERY** aware when you have a **standby** database

# AutoUpgrade 2.0



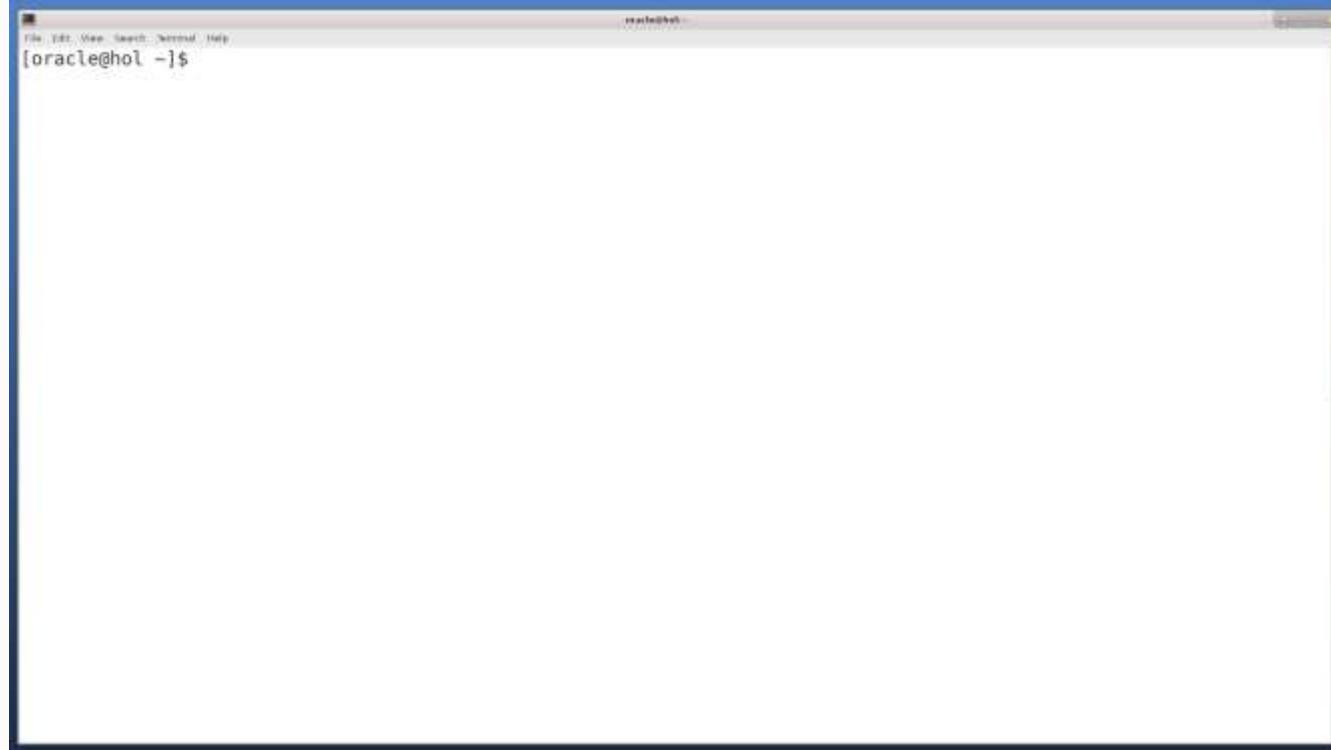


Previously AutoUpgrade had no way of storing sensitive information such as keystore passwords



Now, AutoUpgrade has its own keystore

# TDE | Demo - Upgrading encrypted PDB



[Watch on YouTube](#)



## AutoUpgrade fully supports Transparent Data Encryption

- Isolated keystore mode coming in a later version

## TDE | Keystore

- New config file parameter: `global.keystore`
- Governs directory of AutoUpgrade keystore
- Password protected software keystore
- Optionally, an auto-open keystore

## TDE | Keystore

```
$ cat DB12.cfg

global.keystore=/etc/oracle keystores/autoupgrade/DB12
...

$ ls -l /etc/oracle keystores/autoupgrade/DB12
-rw-----. 1 oracle dba 720 Mar 28 14:56 ewallet.p12
```

## TDE | Keystore

AutoUpgrade keystore contains

- Database TDE keystore passwords (user-supplied)
- Passphrases or transport secrets (auto-generated)

## TDE | Keystore

```
$ java -jar autoupgrade.jar -config DB12.cfg -load_password
```

```
TDE> add DB12
```

```
Enter your secret/Password:
```

```
Re-enter your secret/Password:
```

## TDE | Keystore

In the TDE console, the following commands are available:

- add
- delete
- list
- save
- help
- exit



A password protects the AutoUpgrade keystore, unless you also create an auto-login keystore

## TDE | Keystore

```
$ java -jar autoupgrade.jar -config DB12.cfg -load_password
```

```
TDE> save
```

```
Convert the keystore to auto-login [YES|NO] ?
```

```
$ ls -l /etc/oracle/keystores/autoupgrade/DB12
```

```
-rw-----. 1 oracle dba 765 Mar 28 14:56 cwallet.sso
```

```
-rw-----. 1 oracle dba 720 Mar 28 14:56 ewallet.p12
```



Protect the AutoUpgrade keystore  
like you protect any other keystore

- Apply restrictive file system permissions
- Audit access
- Back it up

## TDE | Upgrade Non-CDB or CDB

To upgrade an encrypted non-CDB or entire CDB

- An auto-login TDE keystore must be present

```
SQL> -- LOCAL_AUTOLOGIN is also usable
SQL> select wallet_type from v$encryption_wallet;
```

```
AUTOLOGIN
```

You do **not** need an AutoUpgrade keystore

# TDE | Upgrade Non-CDB or CDB

## Workaround

- If database has issues finding the right keystore, you can override TNS\_ADMIN location in config file:

```
upg1.source_tns_admin_dir=/u01/app/oracle/admin/DB12/tns_admin
upg1.target_tns_admin_dir=/u01/app/oracle/admin/DB12/tns_admin
```



Defining keystore location in *sqlnet.ora*  
is deprecated in Oracle Database 19c



Use `WALLET_ROOT` parameter to define  
keystore location and use new TDE functionality

## TDE | Upgrade Non-CDB or CDB

Use AutoUpgrade to switch to keystore configuration using `WALLET_ROOT`

Create text file with new initialization parameters:

```
$ cat /tmp/au-pfile-tde.txt
WALLET_ROOT='/etc/oracle/keystores/$ORACLE_SID'
TDE_CONFIGURATION='KEYSTORE_CONFIGURATION=FILE'
```

## TDE | Upgrade Non-CDB or CDB

Instruct AutoUpgrade to add parameters during and after upgrade:

```
upg1.add_during_upgrade_pfile=/tmp/au-pfile-tde.txt  
upg1.add_after_upgrade_pfile=/tmp/au-pfile-tde.txt
```

AutoUpgrade automatically copies keystore from previous location  
into location defined by `WALLET_ROOT`

Pro tip: Get more details in [blog post](#)

## TDE | Upgrade Encrypted Non-CDB and Convert

To upgrade an encrypted non-CDB and afterwards convert it to a PDB:

Create config file

```
global.autoapg_log_dir=/u01/app/oracle/cfgtoollogs/autougrade
global.keystore=/u01/app/oracle/admin/autougrade/keystore

upgl.log_dir=/u01/app/oracle/cfgtoollogs/autougrade/DB12
upgl.source_home=/u01/app/oracle/product/12.2.0.1
upgl.target_home=/u01/app/oracle/product/19
upgl.sid=DB12
upgl.target_cdb=CDB2
```

# TDE | Upgrade Encrypted Non-CDB and Convert

Analyze the non-CDB for upgrade readiness

```
$ java -jar autoupgrade.jar -config DB12.cfg -mode analyze
```

Summary report will show which keystore passwords are needed:

## REQUIRED ACTIONS

---

1. Perform the specified action ...

ORACLE\_SID

Action Required

---

DB12

Add TDE password

CDB2

Add TDE password

# TDE | Upgrade Encrypted Non-CDB and Convert

Start TDE console to load passwords

```
$ java -jar autoupgrade.jar -config DB12.cfg -load_password
```

Add database keystore passwords

```
TDE> add DB12
```

```
TDE> add CDB2
```

Start upgrade

```
$ java -jar autoupgrade.jar -config DB12.cfg -mode deploy
```

# TDE | Upgrade Encrypted PDB

To upgrade an encrypted PDB using unplug-plug:

Create config file

```
global.autoapg_log_dir=/u01/app/oracle/cfgtoollogs/autougrade
global.keystore=/u01/app/oracle/admin/autougrade/keystore

upg1.log_dir=/u01/app/oracle/cfgtoollogs/autougrade/PDB1
upg1.source_home=/u01/app/oracle/product/12.2.0.1
upg1.target_home=/u01/app/oracle/product/19
upg1.sid=CDB1
upg1.target_cdb=CDB2
upg1.pdb= PDB1
```

# TDE | Upgrade Encrypted PDB

Analyze the PDB for upgrade readiness

```
$ java -jar autoupgrade.jar -config PDB1.cfg -mode analyze
```

Summary report will show which keystore passwords are needed:

## REQUIRED ACTIONS

---

1. Perform the specified action ...

ORACLE\_SID

Action Required

CDB1

Add TDE password

CDB2

Add TDE password

## TDE | Upgrade Encrypted PDB

Start TDE console to load passwords

```
$ java -jar autoupgrade.jar -config PDB1.cfg -load_password
```

Add database keystore passwords

```
TDE> add CDB1
```

```
TDE> add CDB2
```

Start upgrade

```
$ java -jar autoupgrade.jar -config PDB1.cfg -mode deploy
```



AutoUpgrade also supports  
converting an encrypted non-CDB to PDB

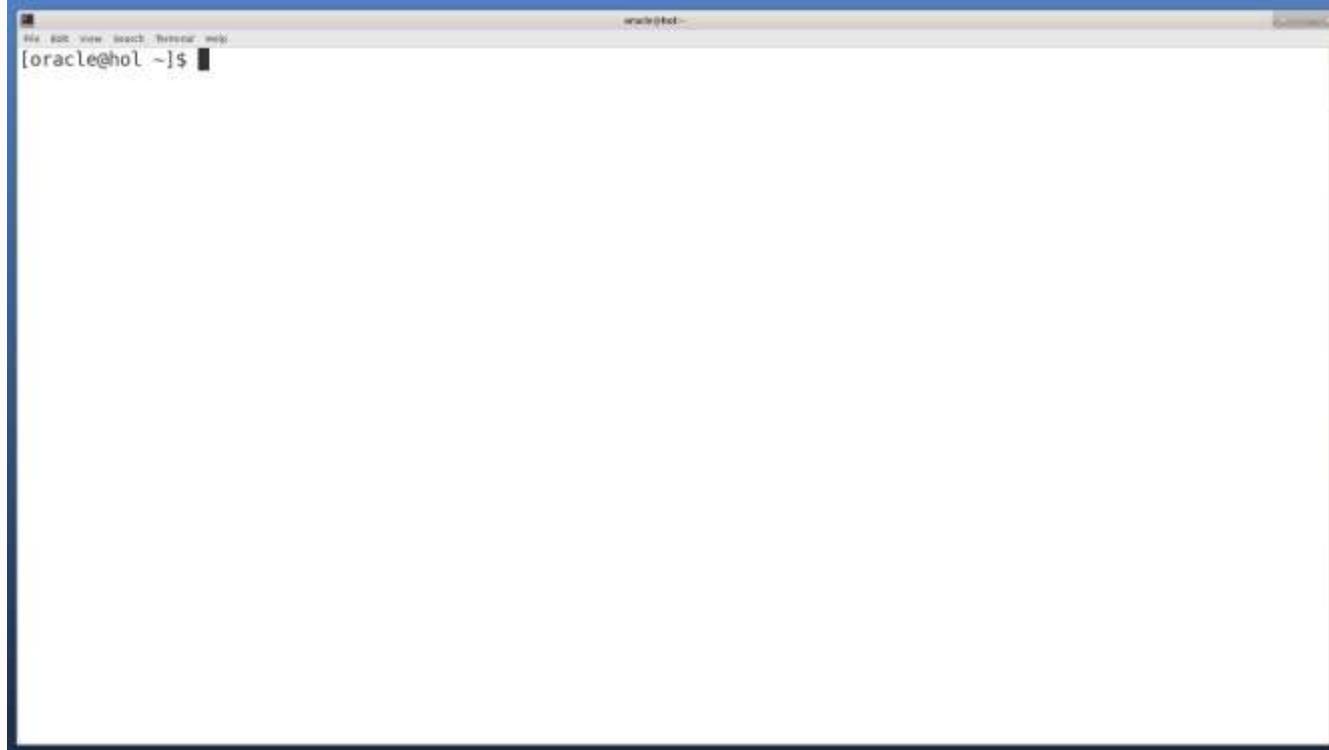


## AutoUpgrade is compatible with Secure External Password Store

- Supported from Oracle Database 12.2

Pro tip: Get more details in [blog post](#)

# TDE | Demo - Upgrading and converting to PDB

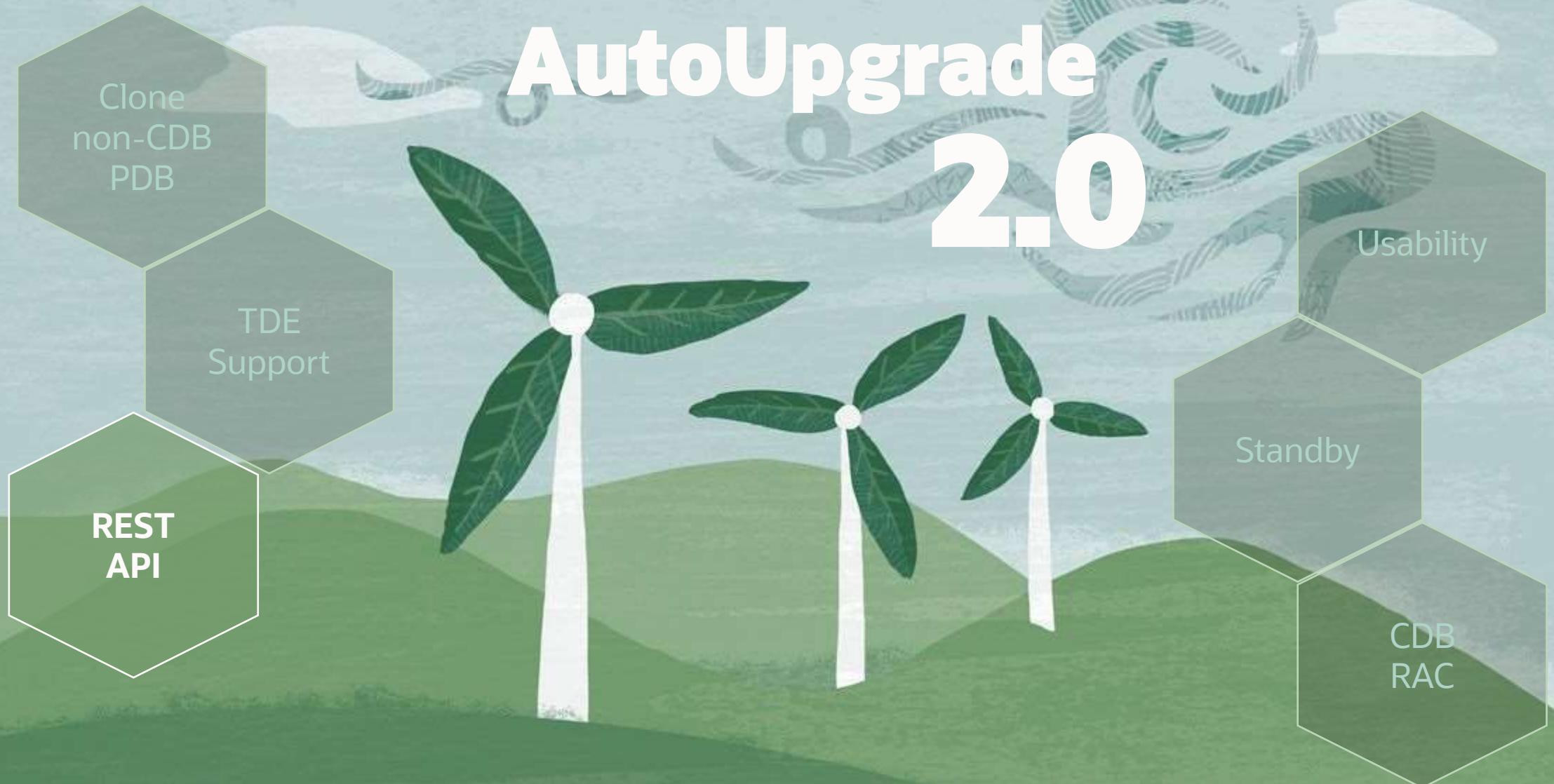


[Watch on YouTube](#)

## TDE | Additional Information

- [Blog post series](#)
- [Configuring an External Store for a Keystore Password](#)

# AutoUpgrade 2.0



## REST API | Why use it?

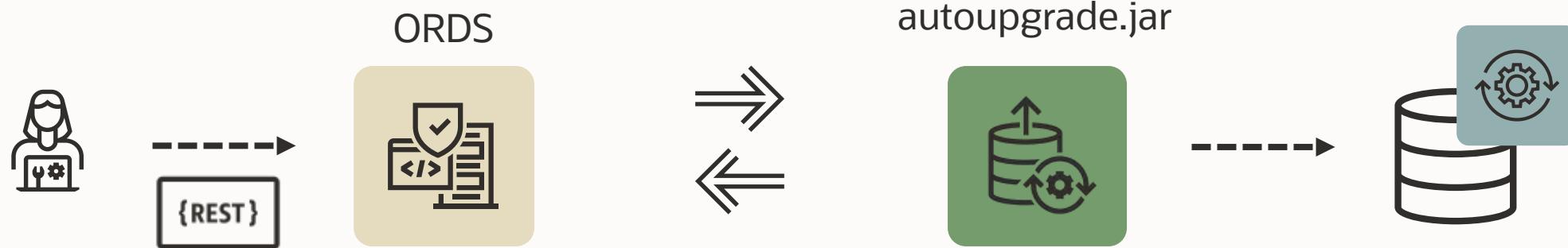
- Well-known API
- Flexibility
- Simplicity
- Upgrade-on-demand



HTTPS

# REST API | How it works

AutoUpgrade uses ORDS to handle the Java calls



Requirement:

- Oracle REST Data Services (ORDS) 22.1.0 or later

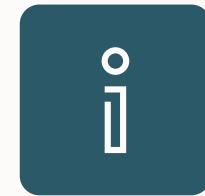
## REST API | Enable

```
$ #Enable the AutoUpgrade API
$ java -jar ords.war set-property autoupgrade.api.enabled true

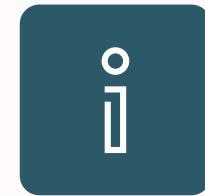
$ #Set the location of AutoUpgrade log files
$ java -jar ords.war set-property autoupgrade.api.loglocation /u01/autoupgrade_logs

$ #Which AutoUpgrade.jar to use
$ java -jar ords.war set-property autoupgrade.api.aulocation /u01/autoupgrade.jar

$ #Which Java to use
$ java -jar ords.war set-property autoupgrade.api.jvmlocation /bin/java
```



Always use a separate instance of ORDS  
for AutoUpgrade APIs



Always protect the REST APIs endpoints  
with a firewall

# REST API | Demo - Install



[Watch on YouTube](#)

## Config File

```
global.autoapg_log_dir=/home/oracle/logs
upg1.source_home=/u01/app/product/11
upg1.target_home=/u01/app/product/19
upg1.sid=UPGR
upg1.log_dir=/home/oracle/logs
upg1.restoration=no
```

## JSON for REST API

```
{
  "global": {
    "autoapg_log_dir": "/home/oracle/logs"
  },
  "jobs": [
    {
      "source_home": "/u01/app/product/11",
      "target_home": "/u01/app/product/19",
      "sid": "UPGR",
      "log_dir": "/home/oracle/logs",
      "restoration": "no"
    }
  ]
}
```

### Config File

```
global.autoapg_log_dir=/home/oracle/logs
upg1.source_home=/u01/app/product/11
upg1.target_home=/u01/app/product/19
upg1.sid=UPGR
upg1.log_dir=/home/oracle/logs
upg1.restoration=no
```

### JSON for REST API

```
{
  "global": {
    "autoapg_log_dir": "/home/oracle/logs"
  },
  "jobs": [
    {
      "source_home": "/u01/app/product/11",
      "target_home": "/u01/app/product/19",
      "sid": "UPGR",
      "log_dir": "/home/oracle/logs",
      "restoration": "no"
    }
  ]
}
```

### Config File

```
global.autoapg_log_dir=/home/oracle/logs
upg1.source_home=/u01/app/product/11
upg1.target_home=/u01/app/product/19
upg1.sid=UPGR
upg1.log_dir=/home/oracle/logs
upg1.restoration=no
```

### JSON for REST API

```
{
  "global": {
    "autoapg_log_dir": "/home/oracle/logs"
  },
  "jobs": [
    {
      "source_home": "/u01/app/product/11",
      "target_home": "/u01/app/product/19",
      "sid": "UPGR",
      "log_dir": "/home/oracle/logs",
      "restoration": "no"
    }
  ]
}
```

### Config File

```
global.autoapg_log_dir=/home/oracle/logs
upg1.source_home=/u01/app/product/11
upg1.target_home=/u01/app/product/19
upg1.sid=UPGR
upg1.log_dir=/home/oracle/logs
upg1.restoration=no
```

### JSON for REST API

```
{
  "global": {
    "autoapg_log_dir": "/home/oracle/logs"
  },
  "jobs": [
    {
      "source_home": "/u01/app/product/11",
      "target_home": "/u01/app/product/19",
      "sid": "UPGR",
      "log_dir": "/home/oracle/logs",
      "restoration": "no"
    }
  ]
}
```

## Config File

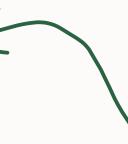
```
global.autoapg_log_dir=/home/oracle/logs
upg1.source_home=/u01/app/product/11
upg1.target_home=/u01/app/product/19
upg1.sid=UPGR
upg1.log_dir=/home/oracle/logs
upg1.restoration=no
```

## JSON for REST API

```
{
  "global": {
    "autoapg_log_dir": "/home/oracle/logs"
  },
  "jobs": [
    {
      "source_home": "/u01/app/product/11",
      "target_home": "/u01/app/product/19",
      "sid": "UPGR",
      "log_dir": "/home/oracle/logs",
      "restoration": "no"
    }
  ]
}
```

## REST API | Methods

### Methods available in the REST API

- **task** (GET / POST) 
- **tasks** (GET)
- **status** (GET)
- **progress** (GET)
- **console** (GET)
- **log** (GET)

Only API with POST method

Pro tip: Read more about [REST APIs](#)

# REST API | Create a New AutoUpgrade Task

```
$ curl -k --data-binary "@UPGR.json" -X POST --header "Content-Type:application/json"  
'https://localhost:8443/ords/autoupgrade/task?mode=analyze'
```

{  
 "taskid": "job\_2022\_04\_27\_05\_17\_24\_146\_0",  
 "status": "submitted",  
 "message": "",  
 "link": "https://localhost:8443/ords/autoupgrade/task?taskid=job\_2022\_04\_27\_05.17.24.146\_0",  
 "config": {  
 "global": {  
 "ignore\_certificate\_verification": true,  
 "method": "POST",  
 "url": "https://localhost:8443/ords/autoupgrade/task?taskid=job\_2022\_04\_27\_05.17.24.146\_0"  
 }  
 }  
}

*Ignore certificate verification of the endpoint API*

*Endpoint API URL*

*Input file type*

```
$ java -jar autoupgrade.jar -config UPGR.cfg -mode analyze
```

```
  "source_home": "/u01/app/oracle/product/11.2.0.4",  
  "target_home": "/u01/app/oracle/product/19",  
  "sid": "UPGR",  
  "log_dir": "/home/oracle/logs",  
  "restoration": "no"  
}  
]  
}
```

## REST API | List all Tasks

```
$ curl -k https://localhost:8443/ords/autoupgrade/tasks
```

```
{  
    "total_tasks": 1,  
    "tasks": [  
        {  
            "mode": "analyze",  
            "taskid": "job_2022_04_27_05.17.24.146_0",  
            "config": {  
                "jobs": [  
                    {  
                        "source_home": "/u01/app/oracle/product/11.2.0.4",  
                        "sid": "UPGR"  
                    }  
                ]  
            },  
            "link": "https://localhost:8443/ords/autoupgrade/task?taskid=job_2022_04_27_05.17.24.146_0"  
        }  
    ]  
}
```



Task Identifier

## REST API | Get Specific Task

```
$ curl -k 'https://localhost:8443/ords/autoupgrade/task?taskid=job_2022_04_27_05.17.24.146_0'
```

```
{  
  "taskid": "job_2022_04_27_05.17.24.146_0",  
  "status": "finished",  
  "message": "",  
  "link": "https://localhost:8443/ords/autoupgrade/task?taskid=job_2022_04_27_05.17.24.146_0",  
  "config": {  
    "global": {  
      "autoupg_log_dir": "/home/oracle/logs"  
    },  
    "jobs": [ Task Status  
      {  
        "source_home": "/u01/app/oracle/product/11.2.0.4",  
        "target_home": "/u01/app/oracle/product/19",  
        "sid": "UPGR",  
        "log_dir": "/home/oracle/logs",  
        "restoration": "no"  
      }  
    ]  
  }  
}
```

Task Identifier

## REST API | Get console output for Job

```
$ curl -k 'https://localhost:8443/ords/autoupgrade/console?taskid=job_2022_04_27_05.17.24.146_0'
```

```
AutoUpgrade is not fully tested on OpenJDK 64-Bit Server VM, Oracle recommends to use Java HotSpot(TM)  
AutoUpgrade 22.2.220324 launched with default internal options
```

```
Processing config file ...
```

```
+-----+  
| Starting AutoUpgrade execution |  
+-----+
```

```
1 Non-CDB(s) will be analyzed
```

```
Job 100 database upgr
```

```
Job 100 completed
```

```
----- Final Summary -----
```

```
Number of databases [ 1 ]
```

```
Jobs finished [1]
```

```
Jobs failed [0]
```

```
Please check the summary report at:
```

```
/u01/AU_REST/autoupgrade_logs/job_2022_04_27_05.17.24.146_0/cfgtoollogs/upgrade/auto/status/status.html
```

```
/u01/AU_REST/autoupgrade_logs/job_2022_04_27_05.17.24.146_0/cfgtoollogs/upgrade/auto/status/status.log
```

## REST API | Resubmit in deploy mode

```
$ curl -k -X POST 'https://localhost:8443/ords/autoupgrade/task?taskid=job_2022_04_27_05.17.24.146_0&mode=deploy'
```

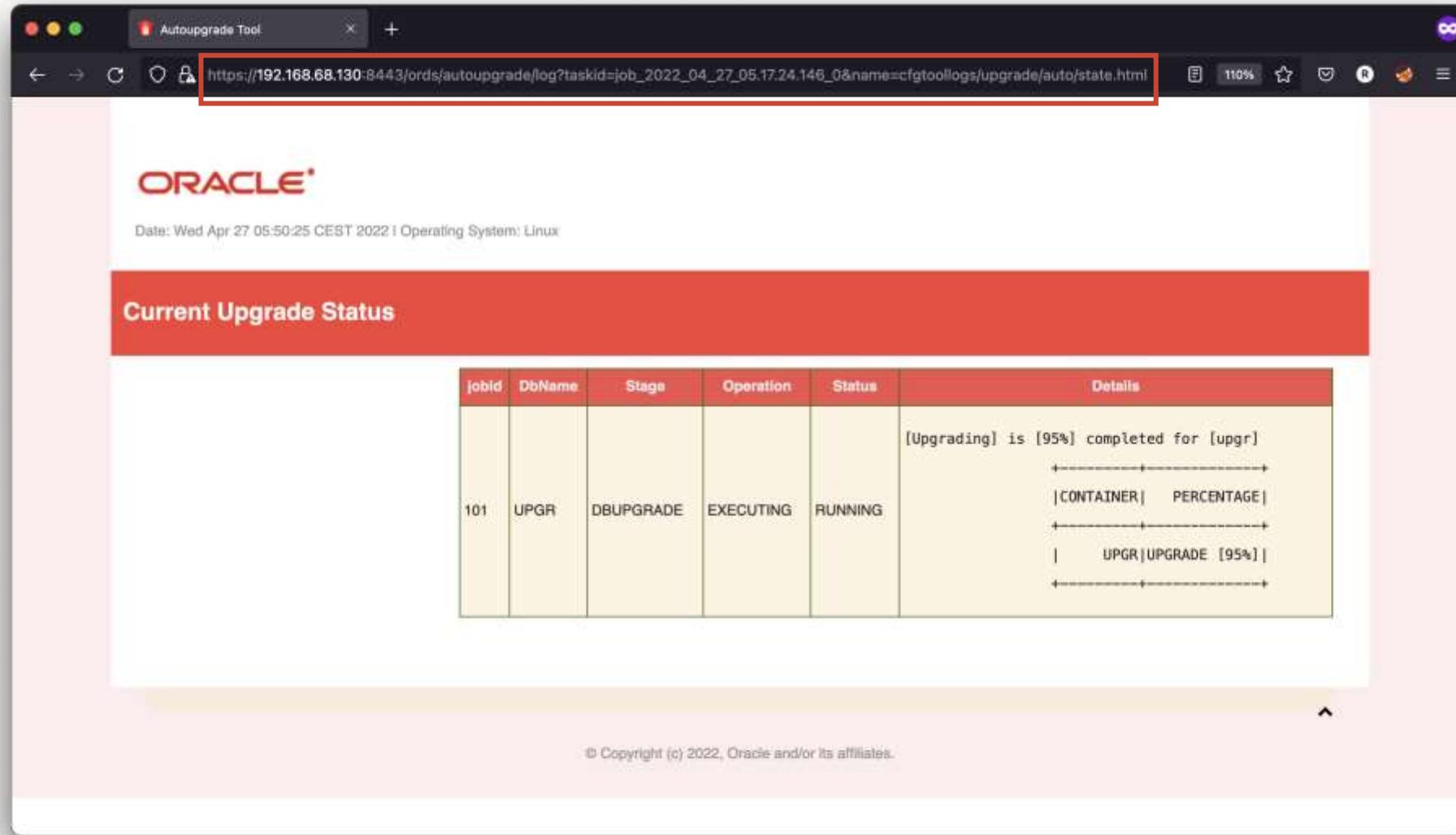
```
{  
  "taskid": "job_2022_04_27_05.17.24.146_0",  
  "status": "submitted",  
  "message": "",  
  "link": "https://localhost:8443/ords/autoupgrade/task?taskid=job_2022_04_27_05.17.24.146_0",  
  "config": {  
    "global": {  
      "autoupg_log_dir": "/home/oracle/logs"  
    },  
    "jobs": [  
      {  
        "source_home": "/u01/app/oracle/product/11.2.0.4",  
        "target_home": "/u01/app/oracle/product/19",  
        "sid": "UPGR",  
        "log_dir": "/home/oracle/logs",  
        "restoration": "no"  
      }  
    ]  
  }  
}
```

## REST API | List all files created by task

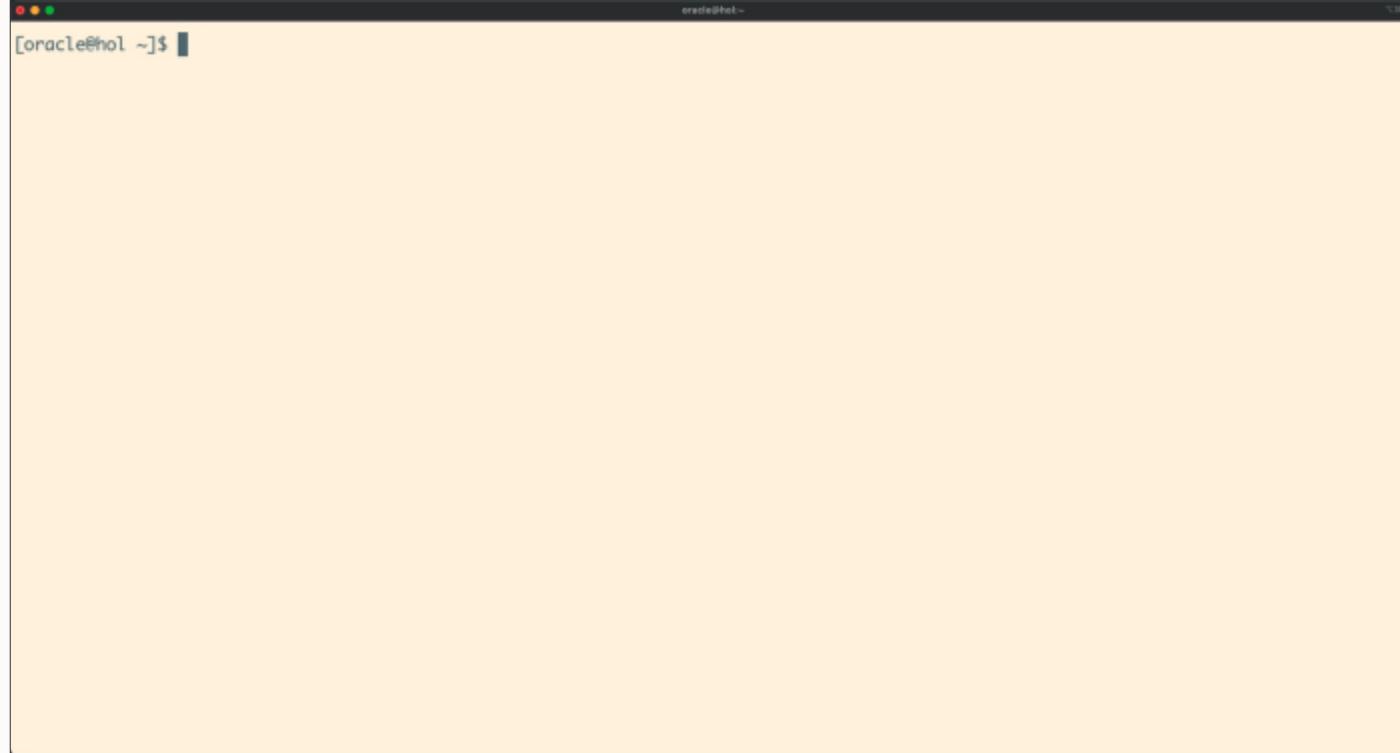
```
$ curl -k 'https://localhost:8443/ords/autoupgrade/log?taskid=job_2022_04_27_05.17.24.146_0'
```

```
{
  "logs": [
    ...,
    {
      "filename": "cfgtoollogs/upgrade/auto/status/status.html",
      "link": "https://localhost:8443/ords/autoupgrade/log?taskid=job_2022_04_27_05.17.24.146_0&name=cfgtoollogs/upgrade/auto/status/status.html"
    },
    {
      "filename": "cfgtoollogs/upgrade/auto/status/status.log",
      "link": "https://localhost:8443/ords/autoupgrade/log?taskid=job_2022_04_27_05.17.24.146_0&name=cfgtoollogs/upgrade/auto/status/status.log"
    },
    {
      "filename": "cfgtoollogs/upgrade/auto/status/progress.json",
      "link": "https://localhost:8443/ords/autoupgrade/log?taskid=job_2022_04_27_05.17.24.146_0&name=cfgtoollogs/upgrade/auto/status/progress.json"
    }
  ]
}
```

# REST API | State.html



# REST API | Demo - Upgrade

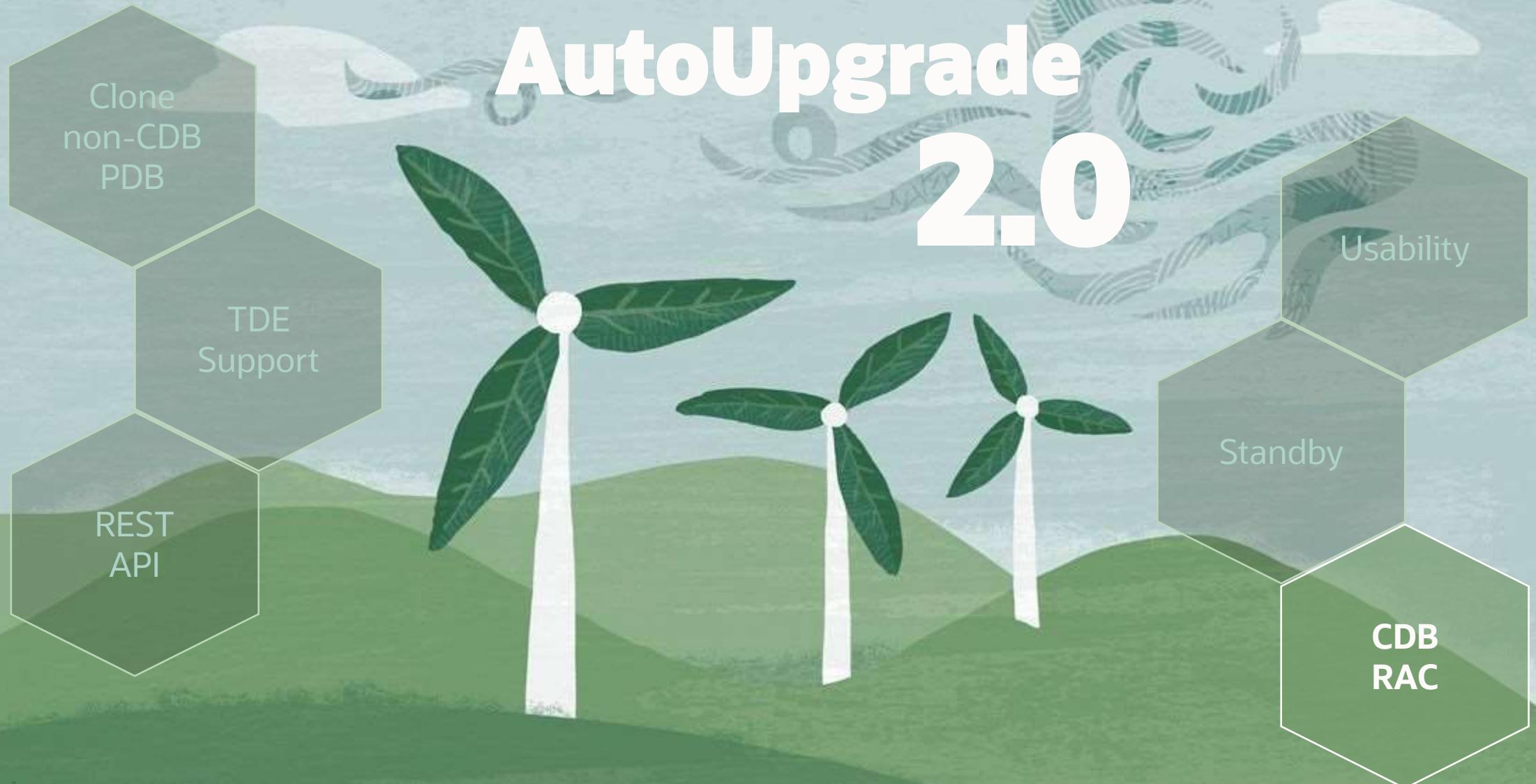


[Watch on YouTube](#)

## REST API | More details

- [Official Documentation](#)
- [Blog post](#)

# AutoUpgrade 2.0



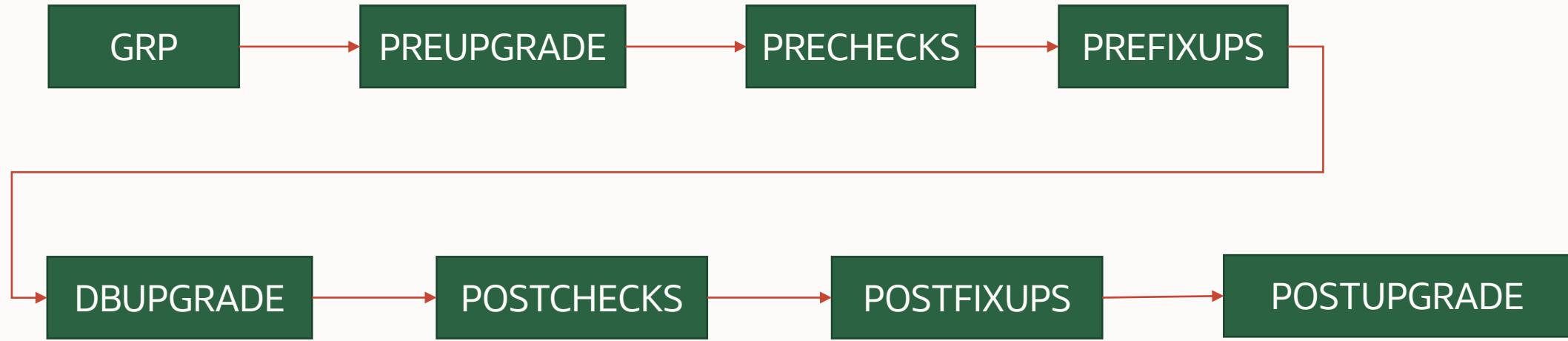


Proactive Fixups result in  
faster upgrades of CDBs with many PDBs

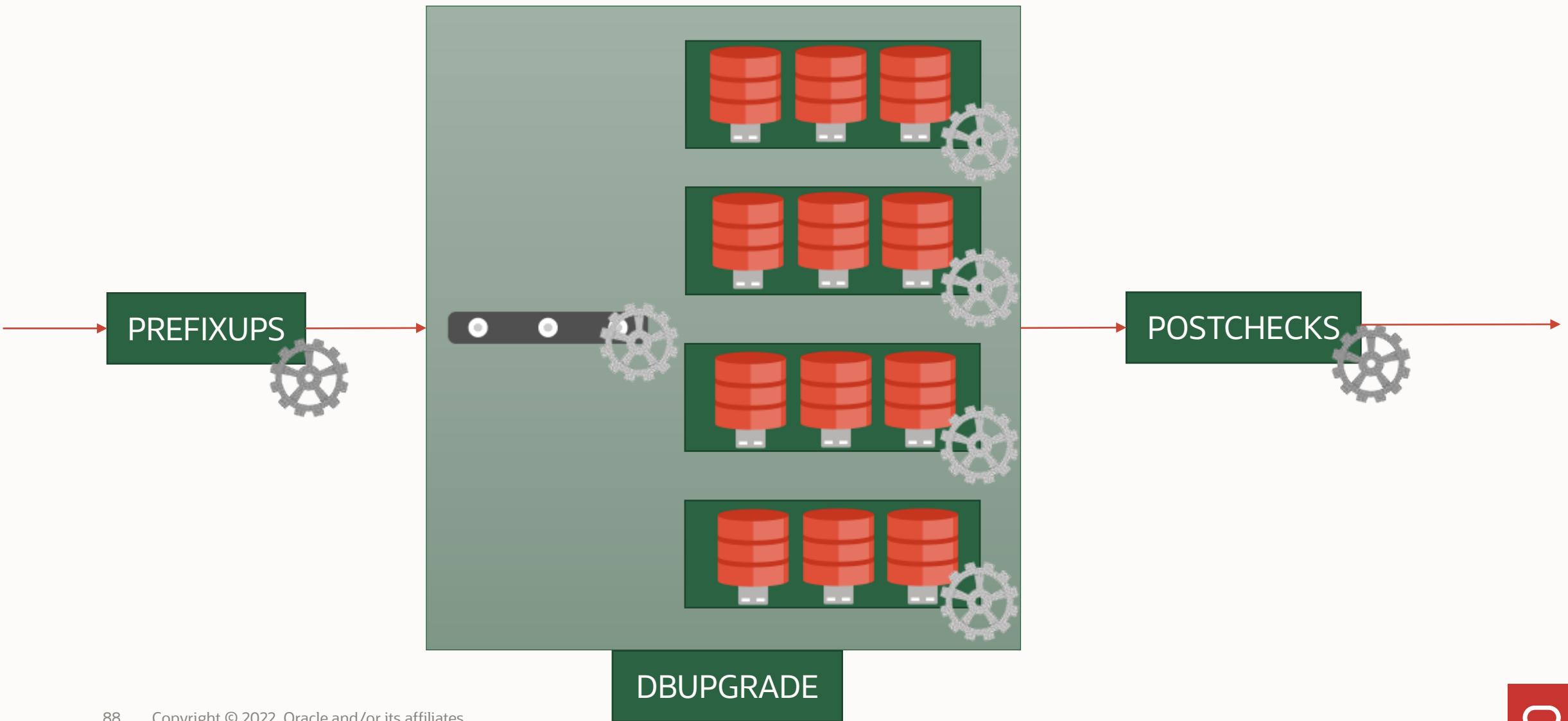
## Proactive Fixups | **What is it?**

- Performance feature
- Changes only the order of the tasks of AutoUpgrade workflow
- Isolates errors in PDBs
- Valid for CDB upgrades only

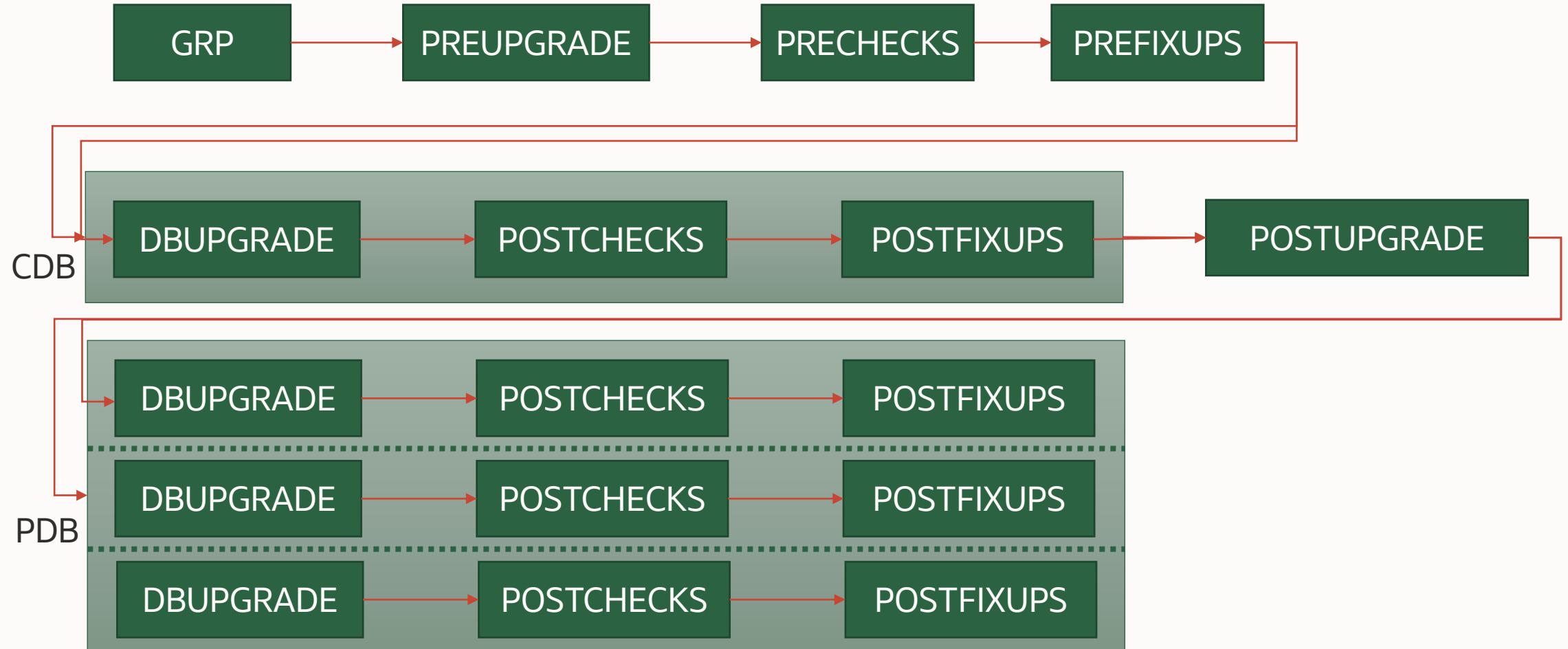
## Proactive Fixups | Classic Flow



## Proactive Fixups | Classic Flow

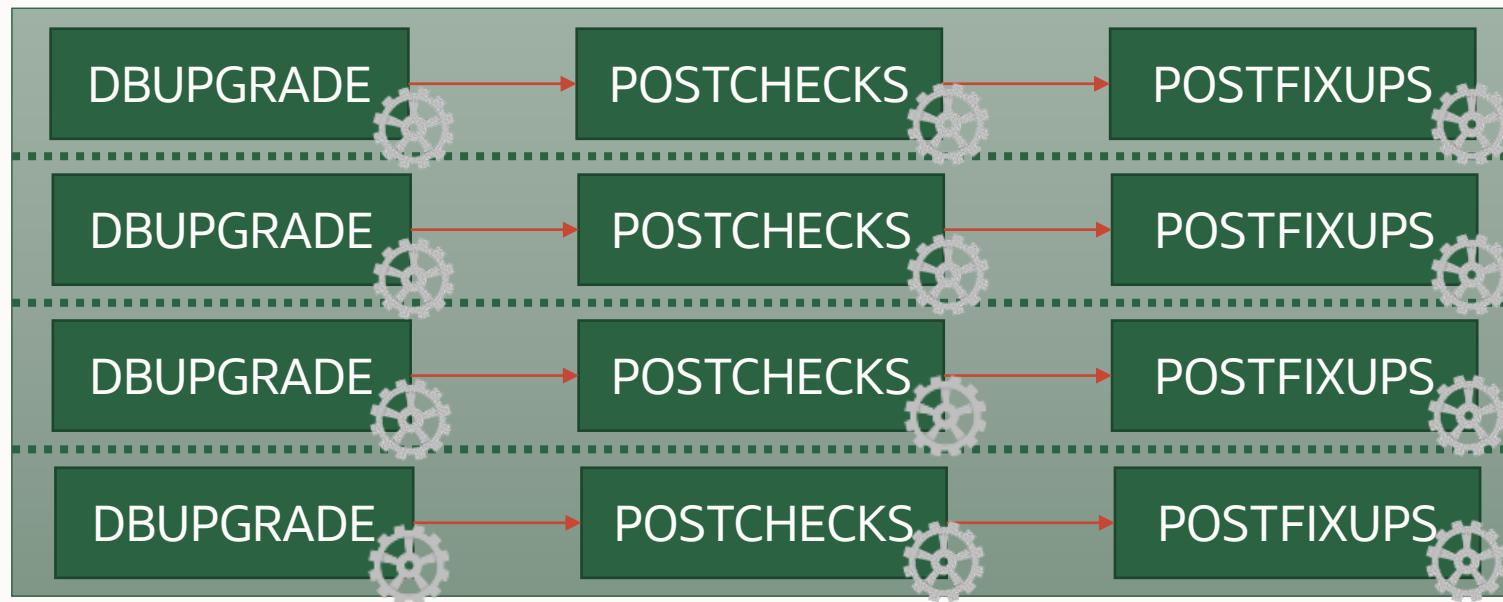


## Proactive Fixups | New Flow



# Proactive Fixups | New Flow

## PDBSUPG STAGE



# Proactive Fixups | New Flow

## PDBSUPG STAGE

Stage-Progress Per Container

Database	Stage	Progress
PDB\$SEED	DBUPGRADE	91 %
PDB01	POSTFIXUPS	0 %
PDB02	DBUPGRADE	20 %
PDB03	POSTFIXUPS	25 %
PDB04	POSTFIXUPS	75 %
PDB05	POSTFIXUPS	10 %
PDB06	DBUPGRADE	6 %
PDB07	DBUPGRADE	91 %
PDB08	DBUPGRADE	91 %
PDB09	DBUPGRADE	91 %

## Proactive Fixups | Gain

4 PDBs + ROOT | 4 Cores

### Default

INFO	PREUPGRADE	<1 min
INFO	PRECHECKS	1 min
INFO	PREFIXUPS	8 min
INFO	DRAIN	<1 min
INFO	DBUPGRADE	143 min
INFO	POSTCHECKS	2 min
INFO	POSTFIXUPS	34 min
INFO	POSTUPGRADE	1 min

**TOTAL 179 min**

### Proactive Fixups

INFO	PREUPGRADE	<1 min
INFO	PRECHECKS	1 min
INFO	PREFIXUPS	7 min
INFO	DRAIN	<1 min
INFO	DBUPGRADE	130 min
INFO	POSTCHECKS	<1 min
INFO	POSTFIXUPS	<1 min
INFO	POSTUPGRADE	1 min

**TOTAL 130 min**

## Proactive Fixups | Gain

16 PDBs + ROOT | 8 Cores | Defaults

### Default

INFO	PREUPGRADE	<1 min
INFO	PRECHECKS	<1 min
INFO	PREFIXUPS	<1 min
INFO	DRAIN	2 min
INFO	DBUPGRADE	210 min
INFO	POSTCHECKS	3 min
INFO	POSTFIXUPS	46 min
INFO	POSTUPGRADE	<1 min

**TOTAL 259 min**

### Proactive Fixups

INFO	PREUPGRADE	<1 min
INFO	PRECHECKS	<1 min
INFO	PREFIXUPS	14 min
INFO	DRAIN	2 min
INFO	DBUPGRADE	195 min
INFO	POSTCHECKS	<1 min
INFO	POSTFIXUPS	<1 min
INFO	POSTUPGRADE	1 min

**TOTAL 195 min**



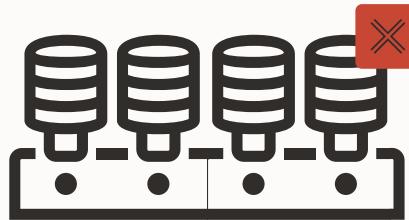
The more PDBs, the greater the benefit



Proactive Fixups isolates each PDB  
Errors in a PDB does not affect others

# Proactive Fixups | Isolation

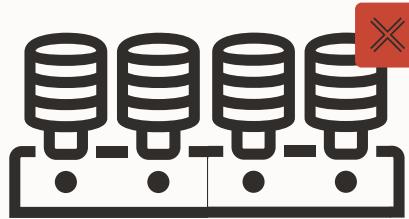
## DEFAULT



Error in a PDB upgrade:

- Entire job halts
- Job can't complete

## PROACTIVE FIXUPS



Error in a PDB upgrade:

- Other upgrades continue
- Job completes

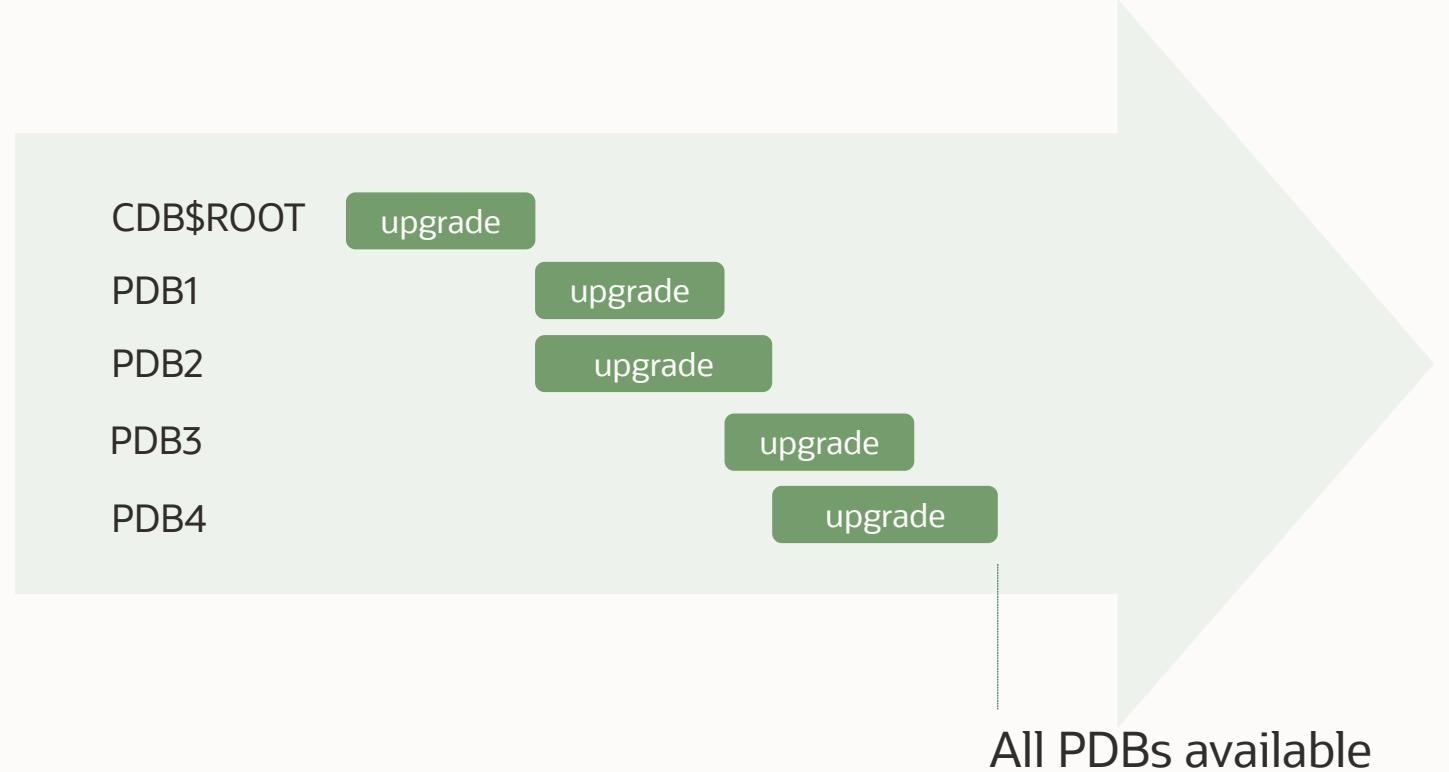


Restore point protects on CDB level only  
Only entire CDB can be flashed back

# Proactive Fixups | Availability

## DEFAULT

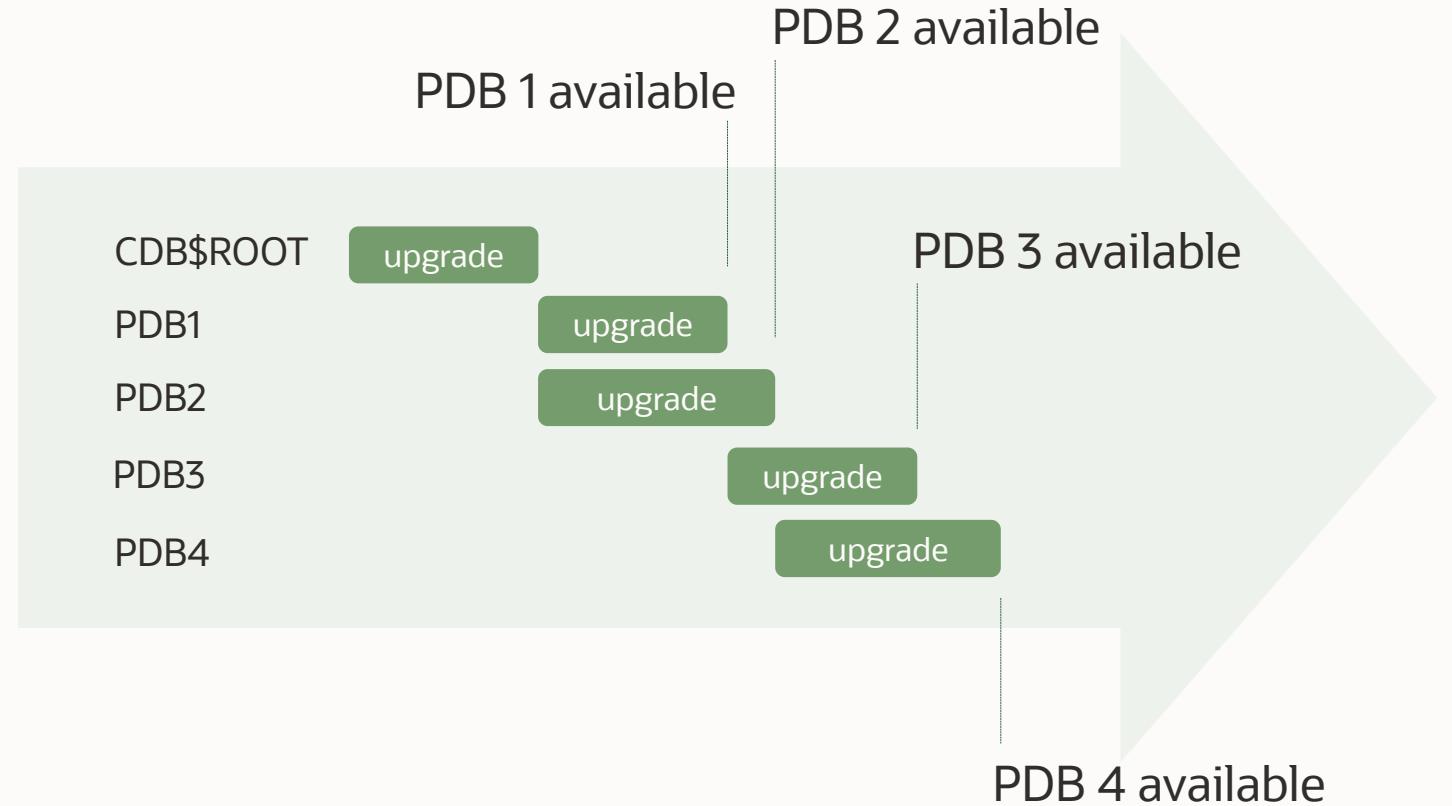
make\_pubs\_available=false



# Proactive Fixups | Availability

**IMMEDIATELY  
AVAILABLE**

`make_pdbs_available=true`



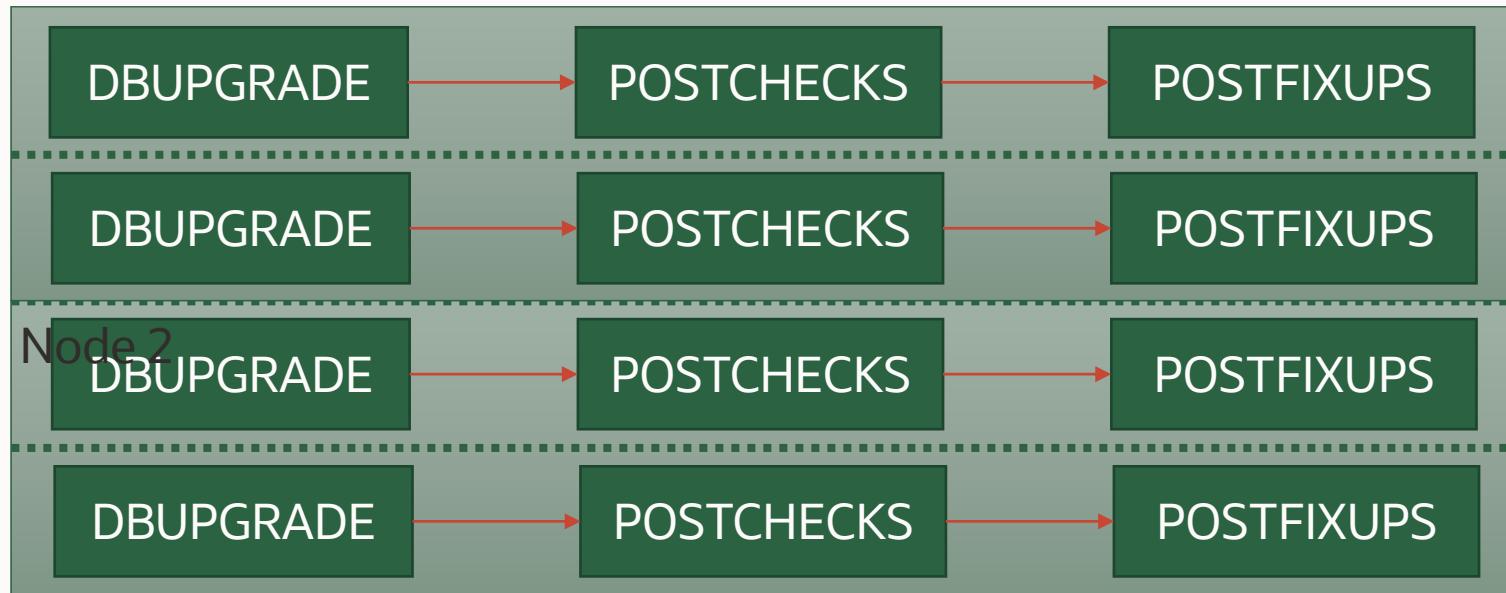


Distributed upgrade uses all nodes in a cluster resulting in faster upgrades of CDBs

- Applies to RAC only
- Requires Proactive Fixups

# Distributed Upgrade | Concept

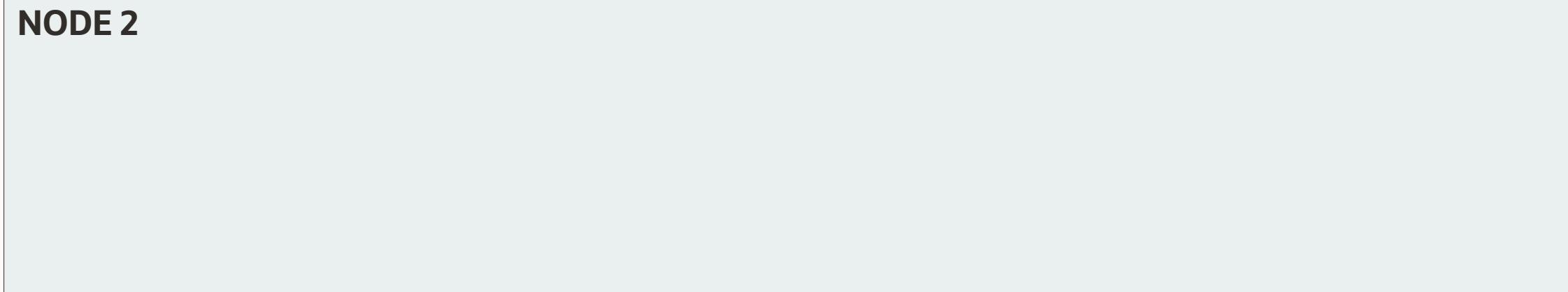
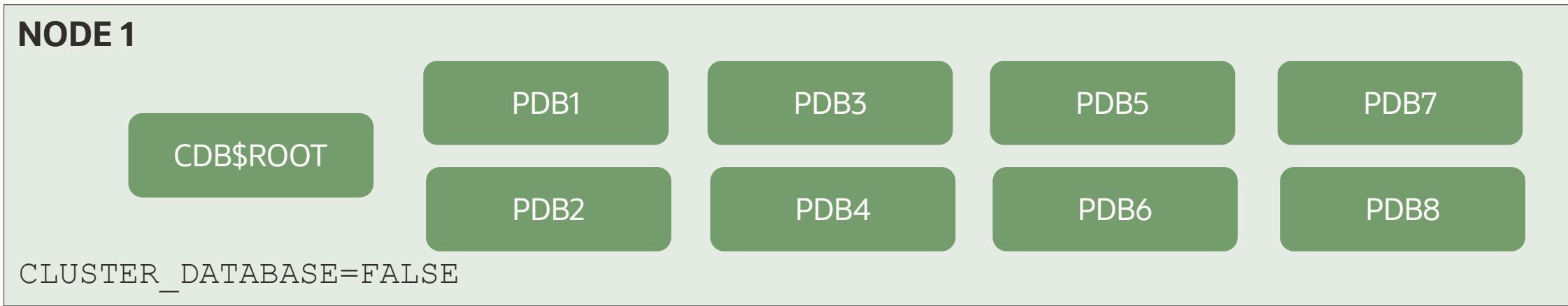
Node 1



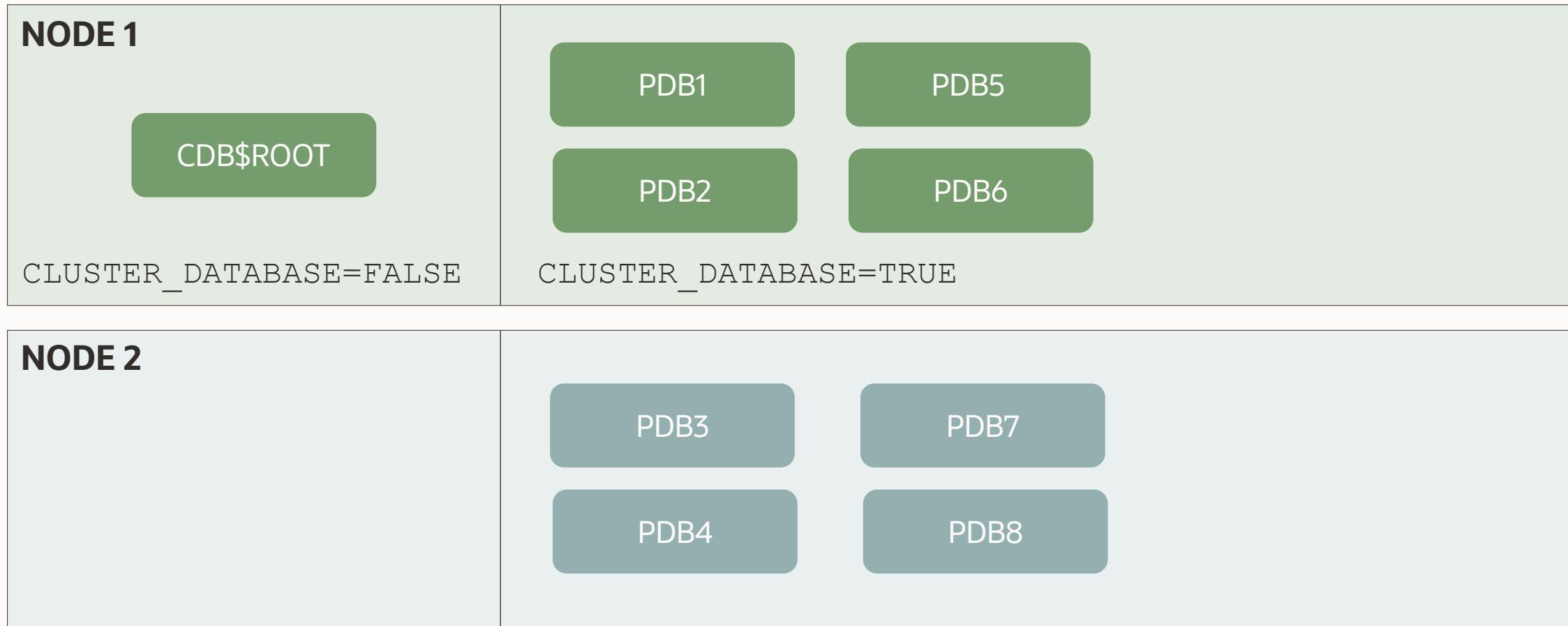
## Distributed Upgrade | What is it?

- Performance feature
- Valid for CDB upgrades on RAC only
- First, CDB\$ROOT upgrades on local node  
`CLUSTER_DATABASE=FALSE`
- Then, leverage resources on all nodes to upgrade PDBs  
`CLUSTER_DATABASE=TRUE`

# Distributed Upgrade | Before



# Distributed Upgrade | After



# Distributed Upgrade | Console Message

## Stage-Progress Per Container

Database	Stage	Progress	Node
PDB\$SEED	DBUPGRADE	91 %	au1
PDB01	POSTFIXUPS	0 %	au1
PDB03	POSTFIXUPS	0 %	au1
PDB04	POSTFIXUPS	0 %	au1
PDB05	POSTFIXUPS	0 %	au1
PDB02	DBUPGRADE	91 %	au2
PDB06	DBUPGRADE	91 %	au2
PDB07	DBUPGRADE	91 %	au2
PDB08	DBUPGRADE	91 %	au2
PDB09	DBUPGRADE	91 %	au2

## Distributed Upgrade | Use

To enable distributed upgrade:

```
$ cat RACDB.cfg

global.autoapg_log_dir=/u01/app/oracle/cfgtoollogs/autoupgrade
upg1.log_dir=/u01/app/oracle/cfgtoollogs/autoupgrade/ RACDB
upg1.source_home=/u01/app/oracle/product/12.2.0.1
upg1.target_home=/u01/app/oracle/product/19
upg1.sid= RACDB
upg1.tune_setting=proactive_fixups=true,distributed_upgrade=true

$ java -jar autoupgrade.jar -config RACDB.cfg -mode deploy
```

# Distributed Upgrade | Use

## Under the hood

1. **AutoUpgrade creates a special config file**
2. **AutoUpgrade spawns itself on all nodes**

```
global.autoapg_log_dir=/u01/app/oracle/cfgtoollogs/...
# Databases section
# Database Batch 1
batch1.sid=RACDB1
batch1.source_home=/u01/app/oracle/product/12.2.0.1
batch1.target_home=/u01/app/oracle/product/19
batch1.upgrade_node=boston1
batch1.pdbs=PDB$SEED, PDB01, PDB03, PDB04, PDB05
batch1.tune_setting=DISTRIBUTED_UPGRADE=true, ...
# Database Batch 2
batch2.sid=RACDB2
batch2.source_home=/u01/app/oracle/product/12.2.0.1
batch2.target_home=/u01/app/oracle/product/19
batch2.upgrade_node=boston2
batch2.pdbs=PDB02, PDB06, PDB07, PDB08, PDB09
batch2.tune_setting=DISTRIBUTED_UPGRADE=true, ...
```

# Distributed Upgrade | Use

## Under the hood

1. AutoUpgrade creates a special config file
2. **AutoUpgrade spawns itself on all nodes**

### Node 1

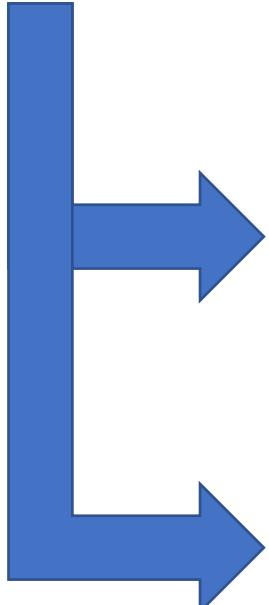
```
$ java -jar autoupgrade.jar -config mod.conf \
      -mode upgrade -noconsole -follower
```

### Node 2

```
$ java -jar autoupgrade.jar -config mod.conf \
      -mode upgrade -noconsole -follower
```

# Distributed Upgrade | Architecture

```
$ java -jar autoupgrade.jar -config DB.conf -mode deploy
```



Node 1:

```
$ java -jar autoupgrade.jar -config mod.conf -mode upgrade -noconsole -follower
```

Node 2:

```
$ java -jar autoupgrade.jar -config mod.conf -mode upgrade -noconsole -follower
```

# Distributed Upgrade | Architecture

## Custom config file for 1 CDB + 10 PDBs upgrade

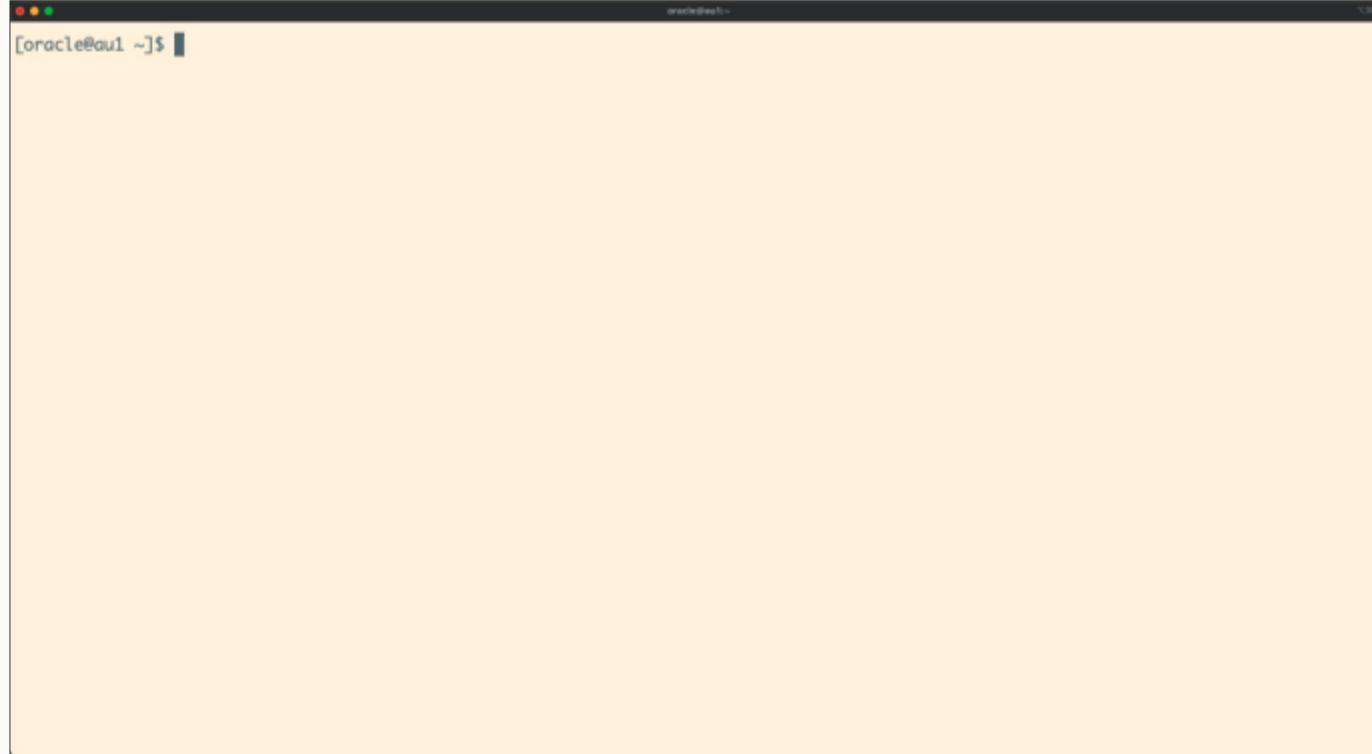
```
global.autoapg_log_dir=/u01/app/oracle/cfgtoollogs/autoupgrade/CDB12_iad1d7/au_logs
# Databases section
# Database Batch 1
batch1.sid=CDB121
batch1.source_home=/u01/app/oracle/product/12.2.0.1/dbhome_1
batch1.target_home=/u01/app/oracle/product/19/dbhome_2
batch1.upgrade_node=au1
batch1.pdb= PDB$SEED, PDB01, PDB03, PDB04, PDB05
batch1.tune_setting=DISTRIBUTED_UPGRADE=true, PROACTIVE_FIXUPS=true
# Database Batch 2
batch2.sid=CDB122
batch2.source_home=/u01/app/oracle/product/12.2.0.1/dbhome_1
batch2.target_home=/u01/app/oracle/product/19/dbhome_2
batch2.upgrade_node=au2
batch2.pdb= PDB02, PDB06, PDB07, PDB08, PDB09
batch2.tune_setting=DISTRIBUTED_UPGRADE=true, PROACTIVE_FIXUPS=true
```

Uses ORACLE\_BASE

Node 1 (au1) receives 5 PDBs

Node 2 (au2) also receives another 5 PDBs

# Distributed Upgrade | Demo

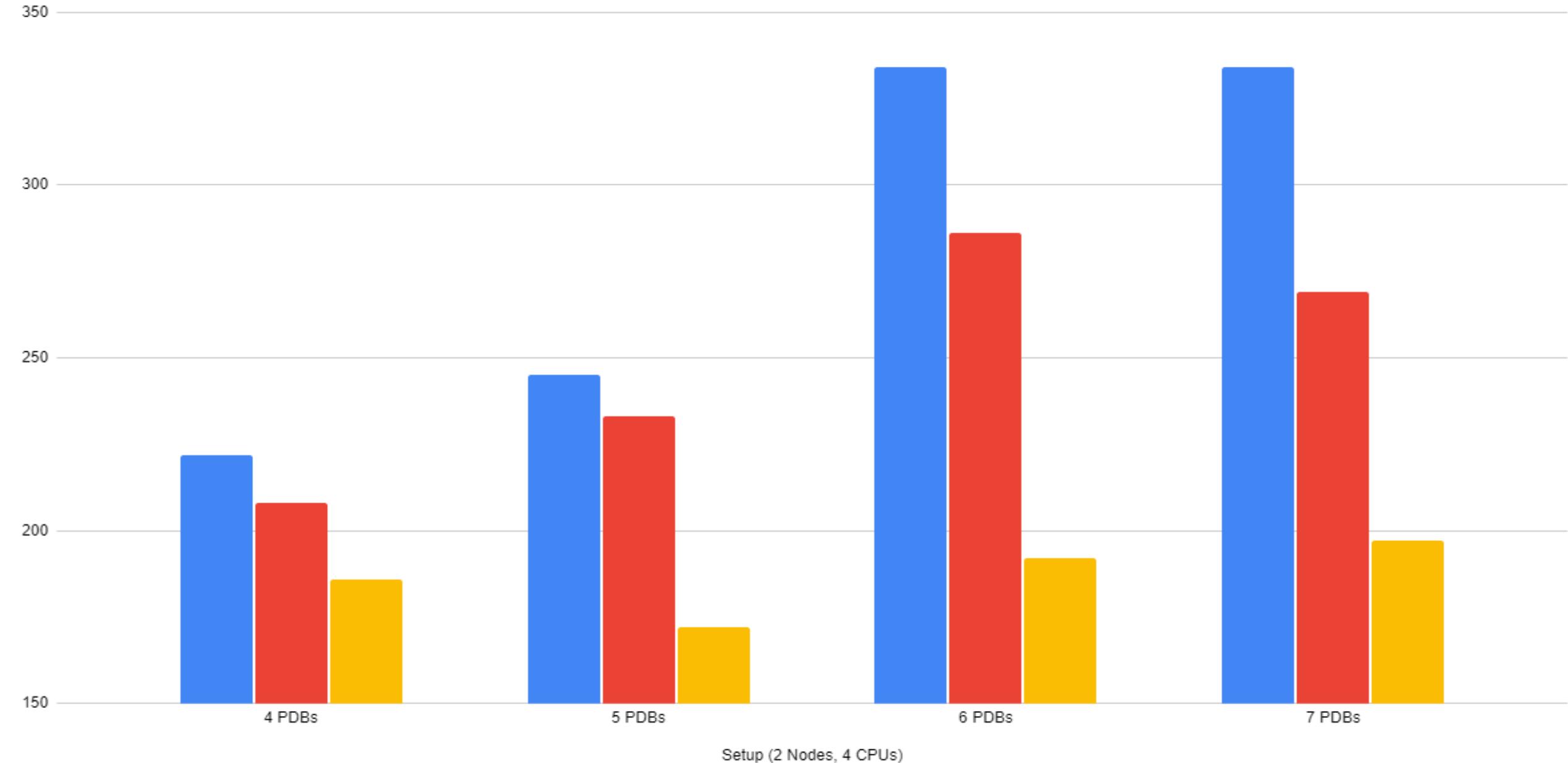


[Watch on YouTube](#)

## SP, PFX and PFX+DDUP (less is better)

SP PFX PFX+DDUP

SP – Standard RAC Upgrade  
PFX – Proactive Fixups  
DDBUP – Distributed DB Upgrade





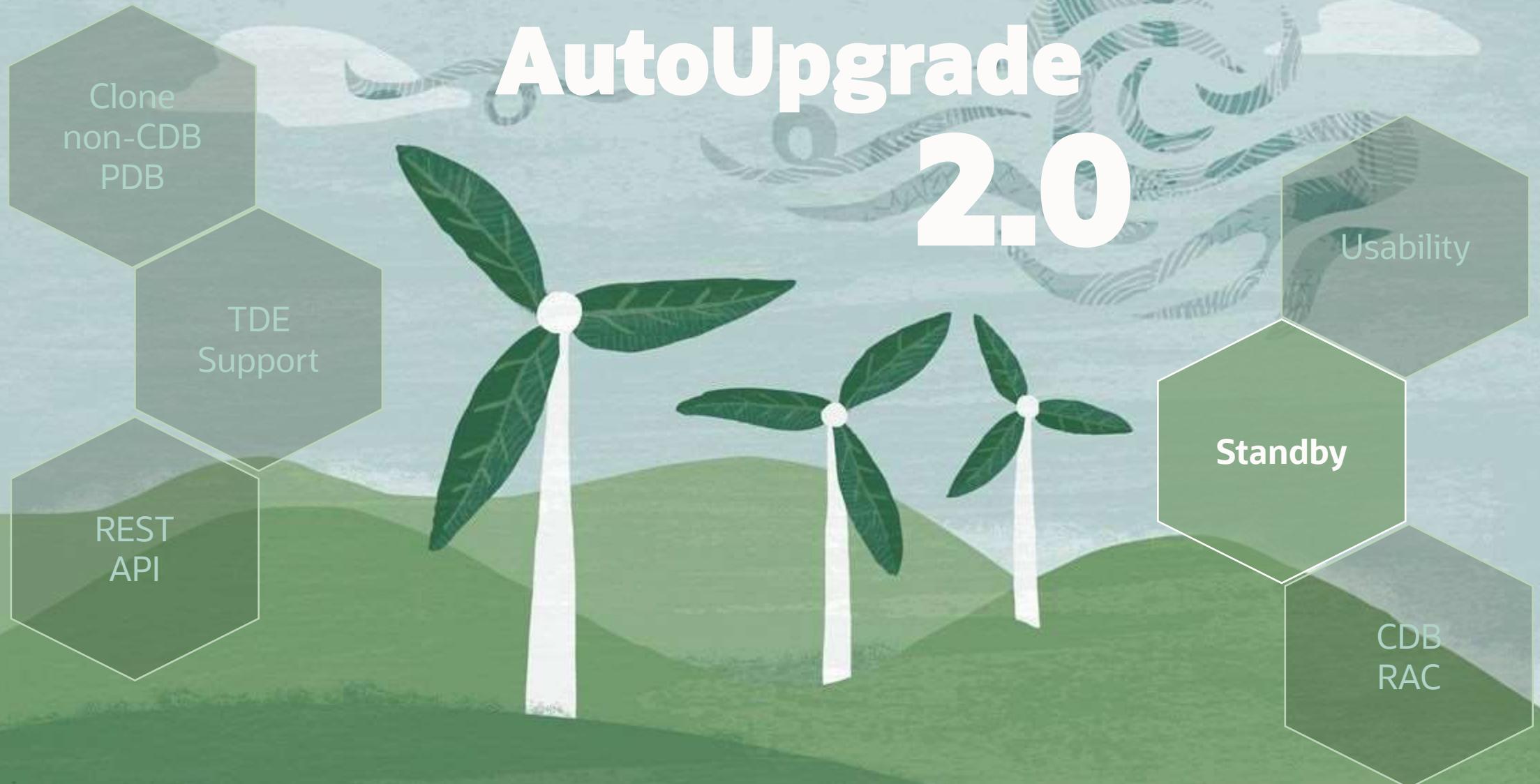
By default, AutoUpgrade uses two nodes



You can control how many nodes are being used

```
upg1.tune_setting=distributed_upgrade=true,active_nodes_limit=n
```

# AutoUpgrade 2.0





**Default for defer\_standby\_log\_shipping  
changed from YES to NO**



By default, AutoUpgrade no longer change your redo transport configuration during upgrade

- Redo log transport is no longer deferred



Redo is applied on standby databases continuously during upgrade

- Complies with MAA recommendations

## Data Guard | Comparison

### BEFORE

defer\_standby\_log\_shipping=yes

Maximum protection

Upgrade team recommendation

Redo log transport deferred

Redo apply stopped

Protected by disconnected standby and guaranteed restore point

### AFTER

defer\_standby\_log\_shipping=no

Minimum downtime

MAA recommendation

Redo log transport enabled

Redo apply active

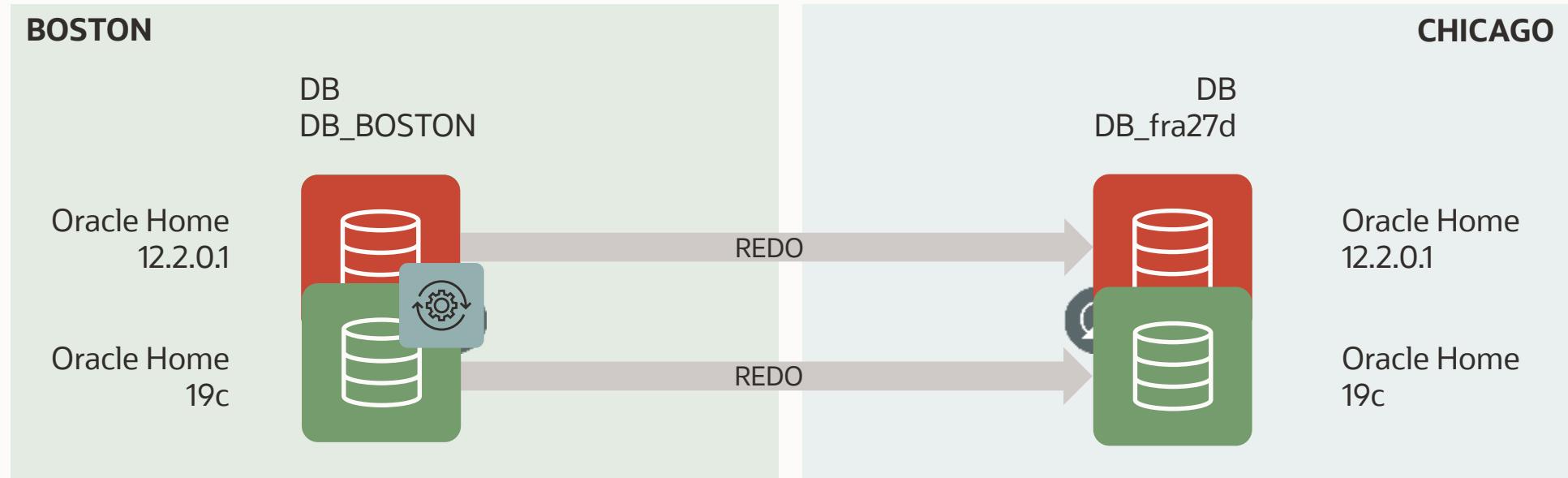
Protected by guaranteed restore point

**DEFAULT**



When upgrading to Oracle Database 19c  
keep Data Guard broker running

# Data Guard | Concept



```
$ java -jar autoupgrade.jar ... -mode deploy
```

- Restore point
- Start in new Oracle Home
- Upgrade

```
$ srvctl stop database -d $ORACLE_UNQNAME
```

```
$ #switch to new Oracle Home  
$ srvctl upgrade database -d $ORACLE_UNQNAME  
$ srvctl start database -d $ORACLE_UNQNAME \  
-startoption mount
```

# Data Guard | Demo

```
[oracle@boston ~]$
```

[Watch on YouTube](#)

# Data Guard | Deferring Log Transport

A word of advice:

If `defer_standby_log_shipping=yes`,  
all remote log archive destinations are deferred



A log archive destination can be used for:

- Standby databases
- GoldenGate downstream capture
- Per PDB Data Guard
- ZDLRA real-time redo transport



When a CDB with Data Guard receives a new PDB,  
special attention is needed



PDB data files must be in exact same location on primary and standby database, otherwise, MRP process will crash

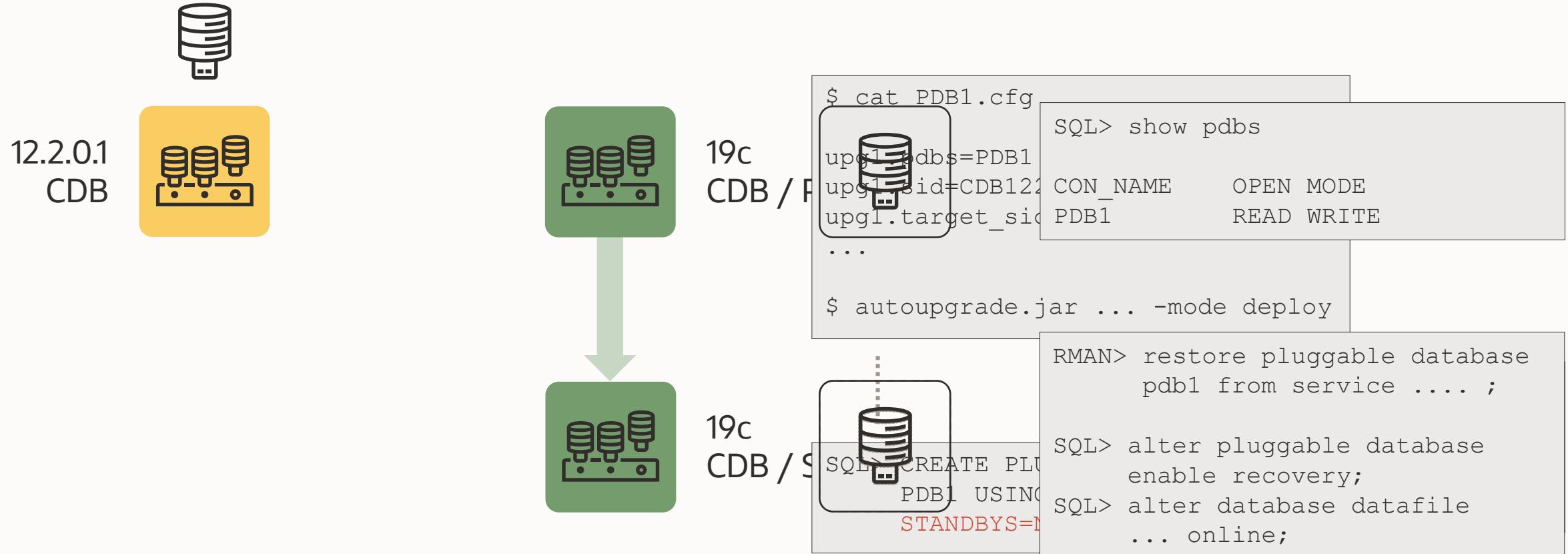


New AutoUpgrade config file parameter  
manage\_standbys\_clause **defaults to NONE**



AutoUpgrade will create PDBs using  
STANDBYS=NONE clause

# Data Guard | Plug-in on standby



## Data Guard | Plug-in on standby

For:

- Non-CDB to PDB conversion
- Unplug-plug upgrade



PDB is available on primary database only

- For a period, PDB is not protected by Data Guard
- Restore and recover data files to standby database
- [Making Use Deferred PDB Recovery and the STANDBYS=NONE Feature with Oracle Multitenant \(Doc ID 1916648.1\)](#)



You can re-use the PDB data files on the standby database, but special attention is needed

- Use AutoUpgrade config file parameter `manage_standbys_clause=all`

## Data Guard | Re-use data files

To re-use data files and keep standby database intact

- Including making PDB available on standby database immediately

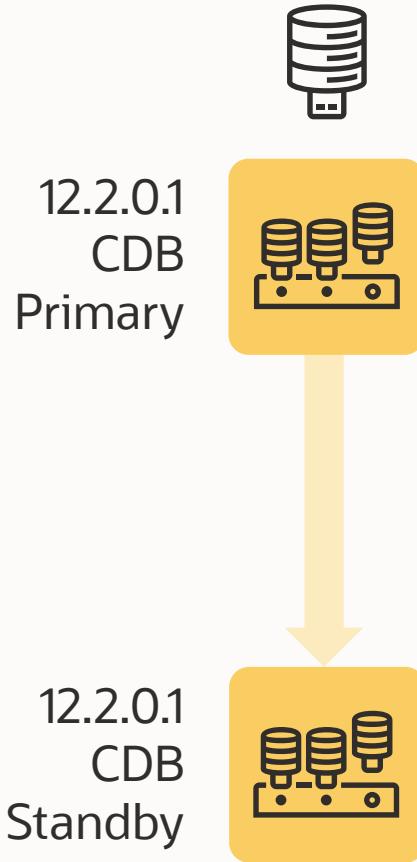
Special care is required

- Data files on standby database must be in exact same location as on primary database

For ASM and OMF:

- [Reusing the Source Standby Database Files When Plugging a non-CDB as a PDB into the Primary Database of a Data Guard Configuration \(Doc ID 2273304.1\)](#)

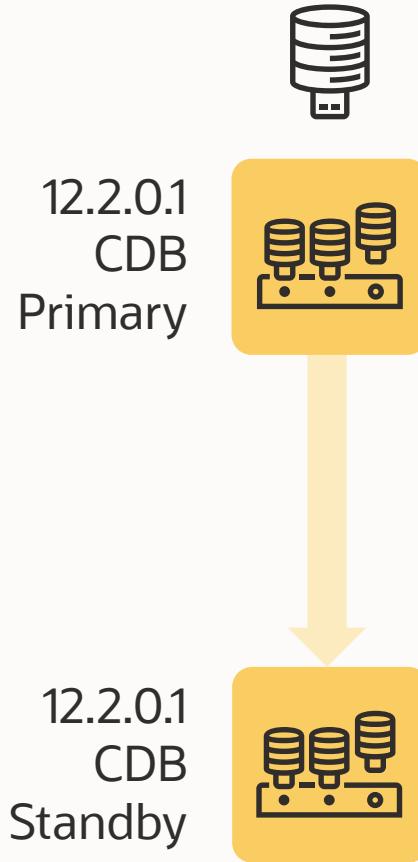
# Data Guard | Re-use data files



```
SQL> select name from v$datafile where con_id=3;  
  
NAME  
-----  
+DATA/DB_BOSTON/DD934E8207292138E053E801000A8351/DATAFILE/system.269.1103046537  
+DATA/DB_BOSTON/DD934E8207292138E053E801000A8351/DATAFILE/sysaux.270.1103046537  
+DATA/DB_BOSTON/DD934E8207292138E053E801000A8351/DATAFILE/undotbs1.268.1103046537  
+DATA/DB_BOSTON/DD934E8207292138E053E801000A8351/DATAFILE/users.273.1103046827
```

```
SQL> select name from v$datafile where con_id=3;  
  
NAME  
-----  
+DATA/DB_FRA27D/DD934E8207292138E053E801000A8351/DATAFILE/system.265.1103050007  
+DATA/DB_FRA27D/DD934E8207292138E053E801000A8351/DATAFILE/sysaux.266.1103050007  
+DATA/DB_FRA27D/DD934E8207292138E053E801000A8351/DATAFILE/undotbs1.267.1103050009  
+DATA/DB_FRA27D/DD934E8207292138E053E801000A8351/DATAFILE/users.269.1103050009
```

# Data Guard | Re-use data files



The manifest file contains

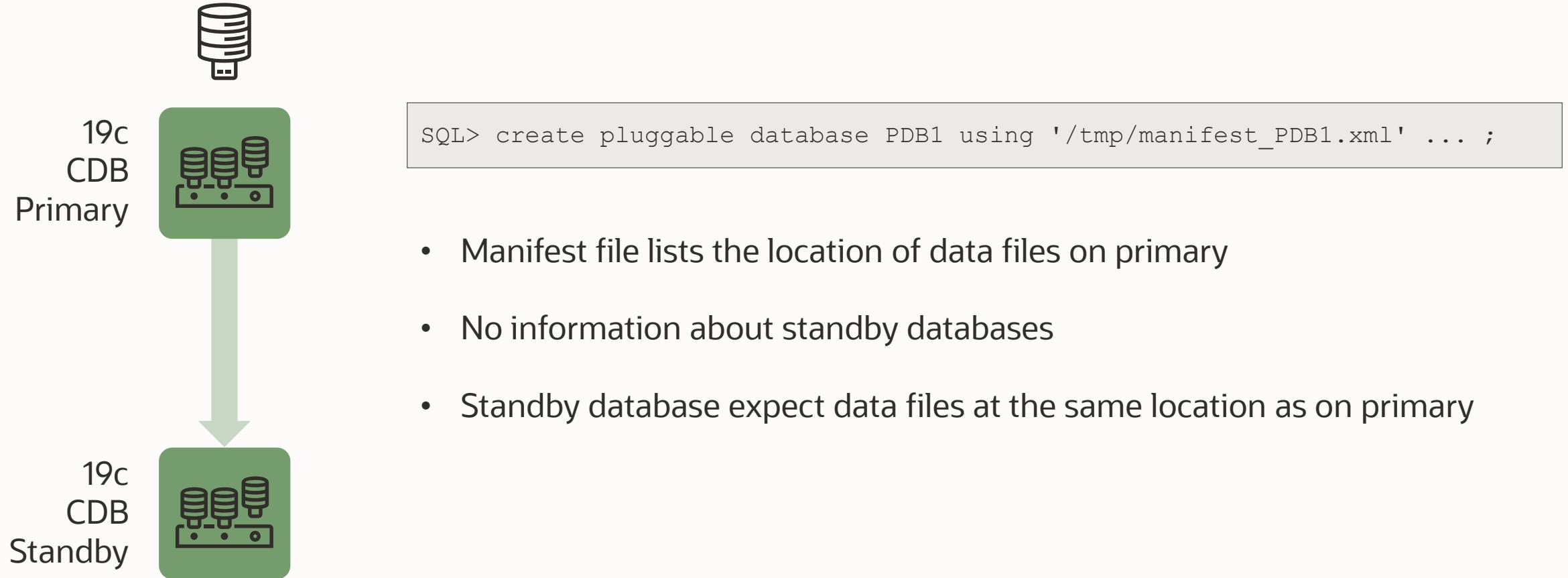
SQL

File path on primary database only

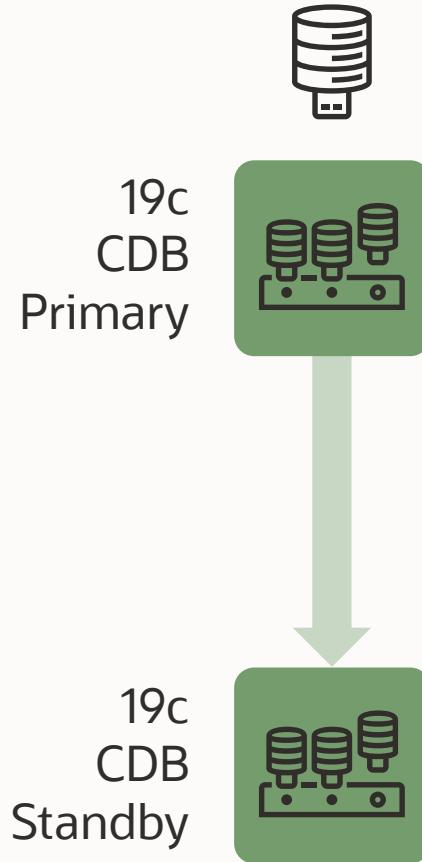
- Not standby database

```
<?xml version="1.0" encoding="UTF-8"?>
<PDB>
  <xmlversion>1</xmlversion>
  <pdbname>PDB1</pdbname>
  ...
  <guid>DDB49CFEFD8ED4FCE053E801000A078C</guid>
  ...
  <tablespace>
    <name>USERS</name>
    ...
    <file>
      <path>+DATA/DB_BOSTON/DD934E8207292138E053E801000A8351/DATAFILE/users.273.1
103046827</path>
```

# Data Guard | Re-use data files



# Data Guard | Re-use data files



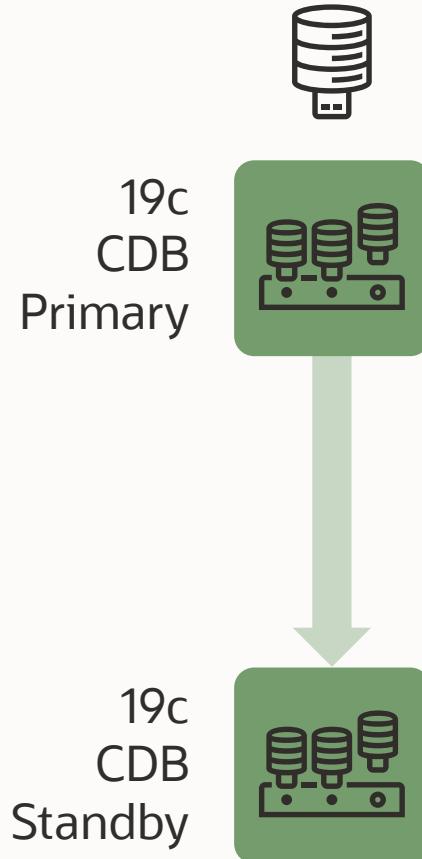
I will just move the files in ASM!

```
ASMCMD> cp users.269.1103050009 +DATA/DB_BOSTON/.../users.273.1103046827

ASMCMD-8016: copy source '+DATA/DB_FRA27D/.../users.269.1103050009' and
target '+DATA/DB_BOSTON/.../users.273.1103046827' failed
ORA-15056: additional error message
ORA-15046: ASM file name 'users.273.1103046827' is not in single-file
creation form
ORA-06512: at "SYS.X$DBMS_DISKGROUP", line 617
ORA-06512: at line 3 (DBD ERROR: OCISqlExecute)
```

Only a database can produce files with ASM/OMF data file names

# Data Guard | Re-use data files



ASM **alias** to the rescue!

- On standby, create aliases for the primary data files

```
ASMCMD> alter diskgroup data add alias '...' for '...' ;
```

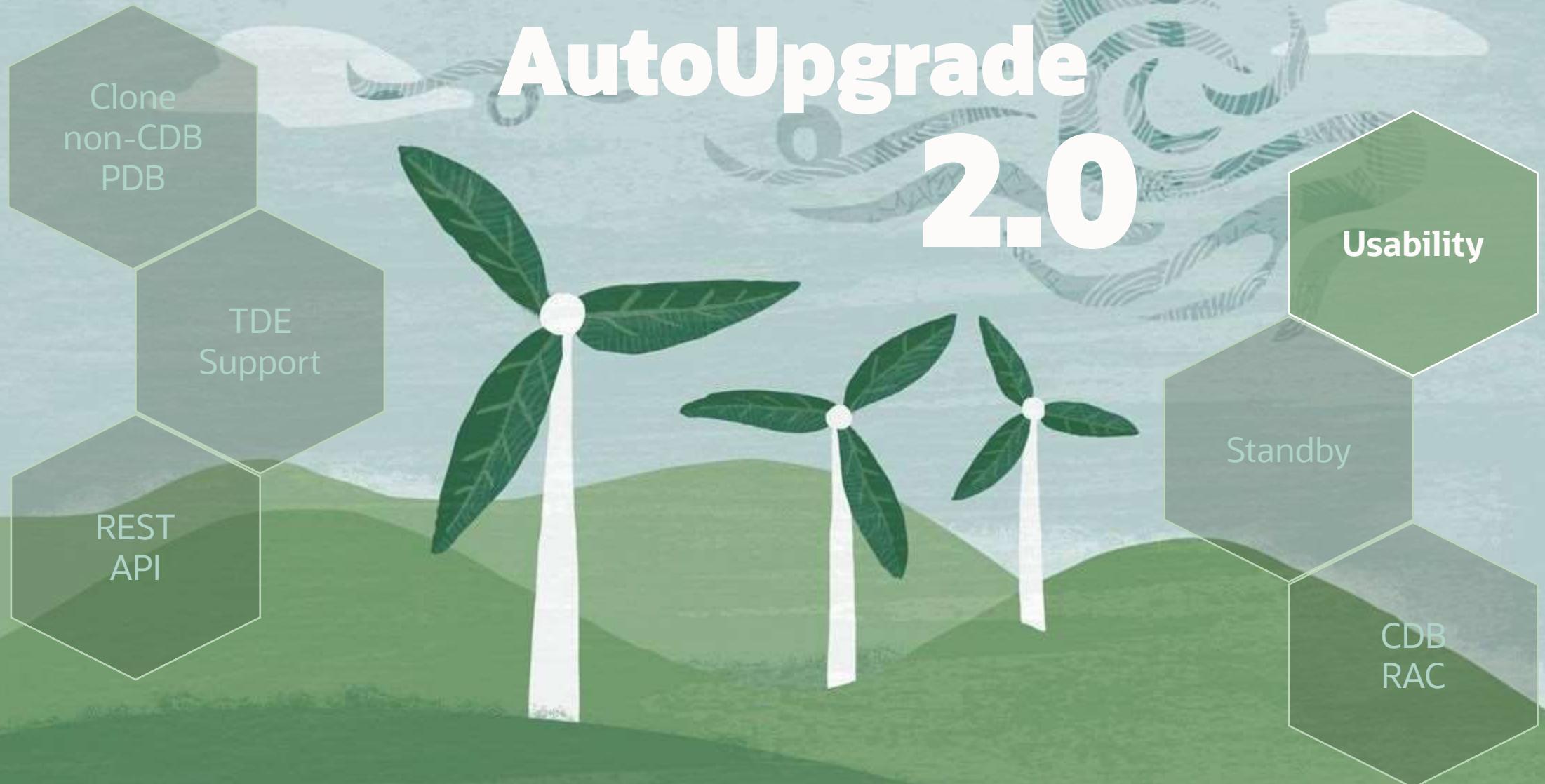
- Plug in PDB, standby will find aliases and find the real file locations  
From alert log

```
Recovery scanning directory +DATA/DB_BOSTON/... for any matching files
Deleted Oracle managed file +DATA/DB_BOSTON/...
Successfully added datafile 37 to media recovery
Datafile #37: +DATA/DB_FRA27D/.../DATAFILE/users.269.1103050009'
```



Don't jeopardize your Data Guard!  
Test the procedure and  
verify your environment afterwards

# AutoUpgrade 2.0





## New console commands

## Usability | Console commands

Repeat `lsj` or `status` command every  $n$  second

```
upg> lsj -a 10
+-----+-----+-----+-----+-----+-----+
| Job# | DB_NAME |      STAGE | OPERATION |  STATUS | START_TIME | UPDATED |      MESSAGE |
+-----+-----+-----+-----+-----+-----+
| 100 | DB12 | DBUPGRADE | EXECUTING | RUNNING | 19:58:50 | 70s ago | 21%Upgraded |
+-----+-----+-----+-----+-----+-----+
Total jobs 1
```

The command `lsj` is running every 10 seconds. PRESS ENTER TO EXIT

Pro tip: Repeat interval (`-a`) can be from 7 to 1200 seconds

## Usability | Console commands

/ repeats the last command

```
upg> lsj
+-----+-----+-----+-----+-----+-----+
| Job# | DB_NAME | STAGE | OPERATION | STATUS | START_TIME | UPDATED | MESSAGE |
+-----+-----+-----+-----+-----+-----+
| 100 | DB12 | DBUPGRADE | EXECUTING | RUNNING | 19:58:50 | 63s ago | 26%Upgraded |
+-----+-----+-----+-----+-----+-----+
Total jobs 1

upg> /
+-----+-----+-----+-----+-----+-----+
| Job# | DB_NAME | STAGE | OPERATION | STATUS | START_TIME | UPDATED | MESSAGE |
+-----+-----+-----+-----+-----+-----+
| 100 | DB12 | DBUPGRADE | EXECUTING | RUNNING | 19:58:50 | 64s ago | 26%Upgraded |
+-----+-----+-----+-----+-----+-----+
Total jobs 1
```

## Usability | Console commands

`h` or `hist` shows the last commands, use `/n` to run the command

```
upg> h
0  -> lsj -a 10
1  -> lsj
2  -> status -job 100 -a 10
3  -> tasks
4  -> help
upg> /1
+-----+-----+-----+-----+-----+-----+
| Job# | DB_NAME |      STAGE | OPERATION |  STATUS | START_TIME | UPDATED |      MESSAGE |
+-----+-----+-----+-----+-----+-----+
| 100 | DB12 | DBUPGRADE | EXECUTING | RUNNING | 19:58:50 | 87s ago | 39%Upgraded |
+-----+-----+-----+-----+-----+-----+
Total jobs 1
```

## Usability | Console commands

status -config displays information about the current job

```
upg> status -config

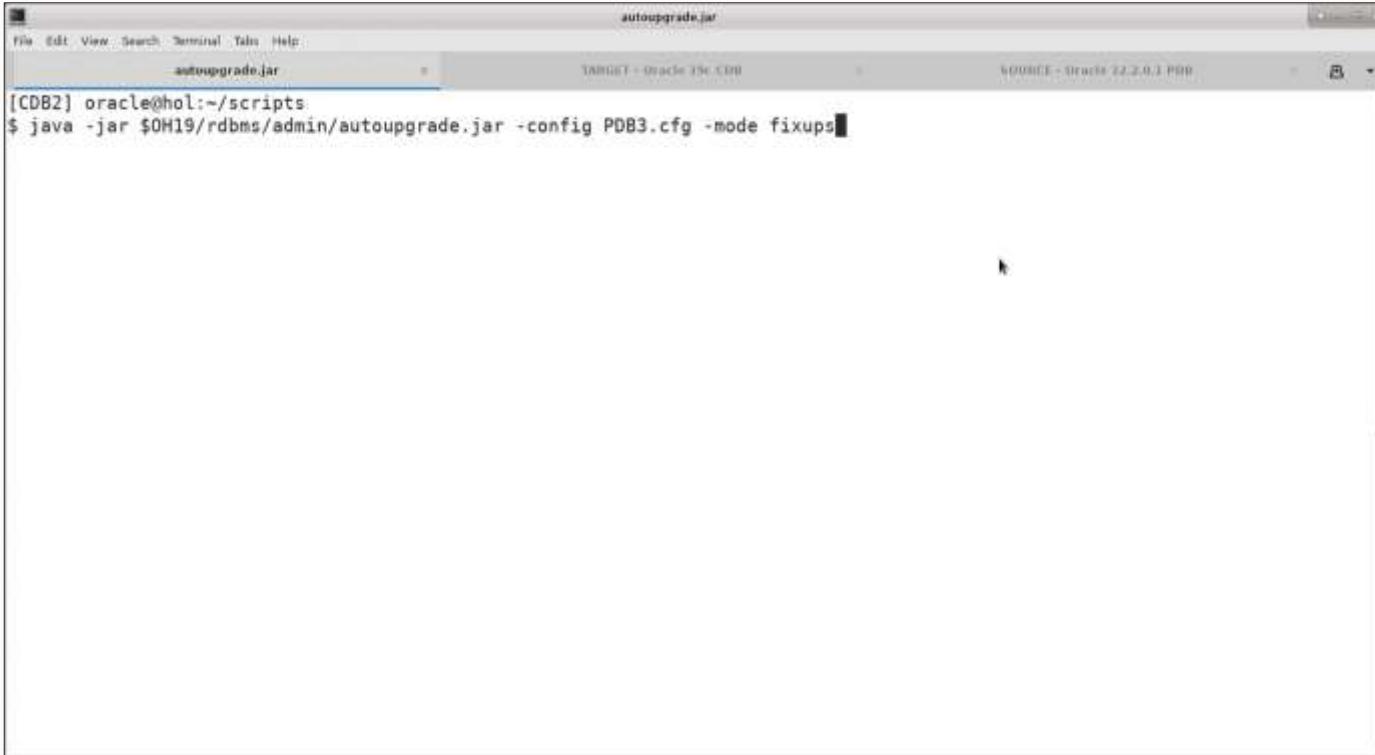
Config

  Oracle SID          [DB12]
  Source Home         [/u01/app/oracle/product/12.2.0.1]
  Target Home         [/u01/app/oracle/product/19]
  Is RU Apply        [false]
  is CDB              [false]
  CPU Count           [4]
  Threads p/core     [2]
  Target CDB          [N/A]
  Custom Env          [N/A]
  DB Type             [STANDALONE]
  Tune Settings       [N/A]
```

System Parameters

DB_UPGRADE_FATAL_ERRORS	[ORA-00600,ORA-07445]
SYSTEM_CHECKS_ORACLE_HOME_REQ_SPACE	[6g]
HEARTBEAT_HEARTBEAT_SLEEP	[1]

# Usability | Demo - 1



The screenshot shows a terminal window titled "autoupgrade.jar" with the following command line:

```
[CDB2] oracle@hol:~/scripts
$ java -jar $ORACLE_HOME/rdbms/admin/autoupgrade.jar -config PDB3.cfg -mode fixups
```

[Watch on YouTube](#)

## Usability | Console commands

`fxlist` displays the fixups

```
upg> fxlist -job 100
...
PostFixUps of Job 100

Database DB12
+-----+-----+-----+
|       FixUp Name| Severity| Run Fix?|
+-----+-----+-----+
| OLD_TIME_ZONES_EXIST | WARNING | YES |
| POST_DICTIONARY | RECOMMEND | YES |
| POST_UTLRP | RECOMMEND | YES |
| TIMESTAMP_MISMATCH | WARNING | YES |
+-----+-----+-----+
```

## Usability | Console commands

Change fixup execution using fxlist (yes, no, skip)

```
upg> fxlist -job 100 -c DB12 alter OLD_TIME_ZONES_EXIST run no
```

```
...
```

```
PostFixUps of Job 100
```

```
Database DB12
```

FixUp Name	Severity	Run Fix?
OLD_TIME_ZONES_EXIST	WARNING	NO
POST_DICTIONARY	RECOMMEND	YES
POST_UTLRP	RECOMMEND	YES
TIMESTAMP_MISMATCH	WARNING	YES

# Usability | Demo - 2



[Watch on YouTube](#)



Multitenant: Restrict resources consumed  
during recompilation phase (`utl_rp`)

## Usability | Recompilation

During multitenant upgrades AutoUpgrade:

- Recompiles in many PDBs at the same time ( $\text{CPU\_COUNT}/3$ )
- Recompilation in a PDB runs with three threads
- Recompilation is **very CPU intensive**

## Usability | Recompilation

```
$ sar -u 10 10
```

	CPU	%user	%nice	%system	%iowait	%steal	%idle
01:08:34 PM	all	95.09	0.00	2.18	0.01	0.00	2.72
01:08:44 PM	all	96.62	0.00	2.14	0.01	0.00	1.23
01:08:54 PM	all	96.75	0.00	2.30	0.03	0.00	0.92
01:09:04 PM	all	96.31	0.00	3.14	0.00	0.00	0.55
01:09:14 PM	all	95.72	0.03	4.07	0.00	0.00	0.18
01:09:24 PM	all	97.84	0.00	1.87	0.00	0.00	0.28
01:09:34 PM	all	97.12	0.00	2.06	0.01	0.00	0.81
01:09:44 PM	all	95.67	0.00	1.85	0.01	0.00	2.47
01:09:54 PM	all	95.39	0.00	2.95	0.01	0.00	1.65
01:10:04 PM	all	95.23	0.00	2.46	0.00	0.00	2.31
Average:	all	96.17	0.00	2.50	0.01	0.00	1.31



Very nice when there is  
only one database on the host



Potential problem when there are more databases on the host

## Usability | Recompilation

Two new *tune settings* to control recompilation

- `utlrp_pdb_in_parallel`
- `utlrp_threads_per_pdb`

Example:

```
upgl.tune_setting=utlrp_pdb_in_parallel=3,utlrp_threads_per_pdb=4
```

AutoUpgrade will recompile:

- Three PDBs at a time
- Use four threads per PDB

CPU consumption will use a maximum of 12 cores

Pro tip: Non-CDB and CDB\$ROOT  
recompile with eight threads



Fast Deploy reduces downtime

## Usability | Fast Deploy



Analyze



Analyze



Fixups

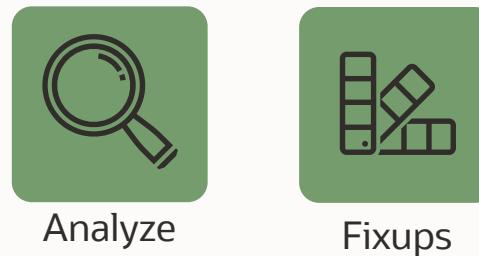


Upgrade

```
$ java -jar autoupgrade.jar -mode analyze
```

```
$ java -jar autoupgrade.jar -mode deploy
```

## Usability | Fast Deploy



```
$ java -jar autoupgrade.jar -mode analyze
$ java -jar autoupgrade.jar -mode fixups

$ java -jar autoupgrade.jar -mode upgrade
```

## Usability | Fast Deploy



Between fixups and downtime there is a risk that new, undetected issues are introduced

Pro tip: [Blog post](#) with more details

# AutoUpgrade 2.0

# AutoUpgrade | Latest version

## ★ AutoUpgrade Tool (Doc ID 2485457.1)

### In this Document

[Main Content](#)

[\*\*Description\*\*](#)

[\*\*Download\*\*](#)

[\*\*Target Versions Supported\*\*](#)

[\*\*Installation\*\*](#)

[\*\*AutoUpgrade documentation\*\*](#)

[\*\*Known limitations\*\*](#)

[\*\*AutoUpgrade 22c Release: New Features/Enhancements\*\*](#)

[References](#)

### APPLIES TO:

### Download

The most recent version of AutoUpgrade can be downloaded via this link [version 20220324](#).



Episode 2

[AutoUpgrade to Oracle Database 19c](#)

115 minutes – Feb 20, 2021



Episode 3

[Performance Stability, Tips and Tricks and Underscores](#)

120 minutes – Mar 4, 2021



Episode 4

[Migration to Oracle Multitenant](#)

120 minutes – Mar 16, 2021



Episode 5

[Migration Strategies – Insights, Tips and Secrets](#)

120 minutes – Mar 25, 2021



Episode 6

[Move to the Cloud – Not only for techies](#)

115 minutes – Apr 8, 2021



Episode 7

[Cool Features – Not only for DBAs](#)

110 minutes – Jan 14, 2021



Episode 8

[Database Upgrade Internals – and so much more](#)

110 minutes – Feb 11, 2021



Episode 9

[Performance Testing Using the Oracle Cloud for Upgrades and Migrations](#)

90 minutes – May 19, 2021



\*NEW\* Episode 10

[How Low Can You Go? Minimal Downtime Upgrade Strategies](#)

100 minutes – Oct 26, 2021

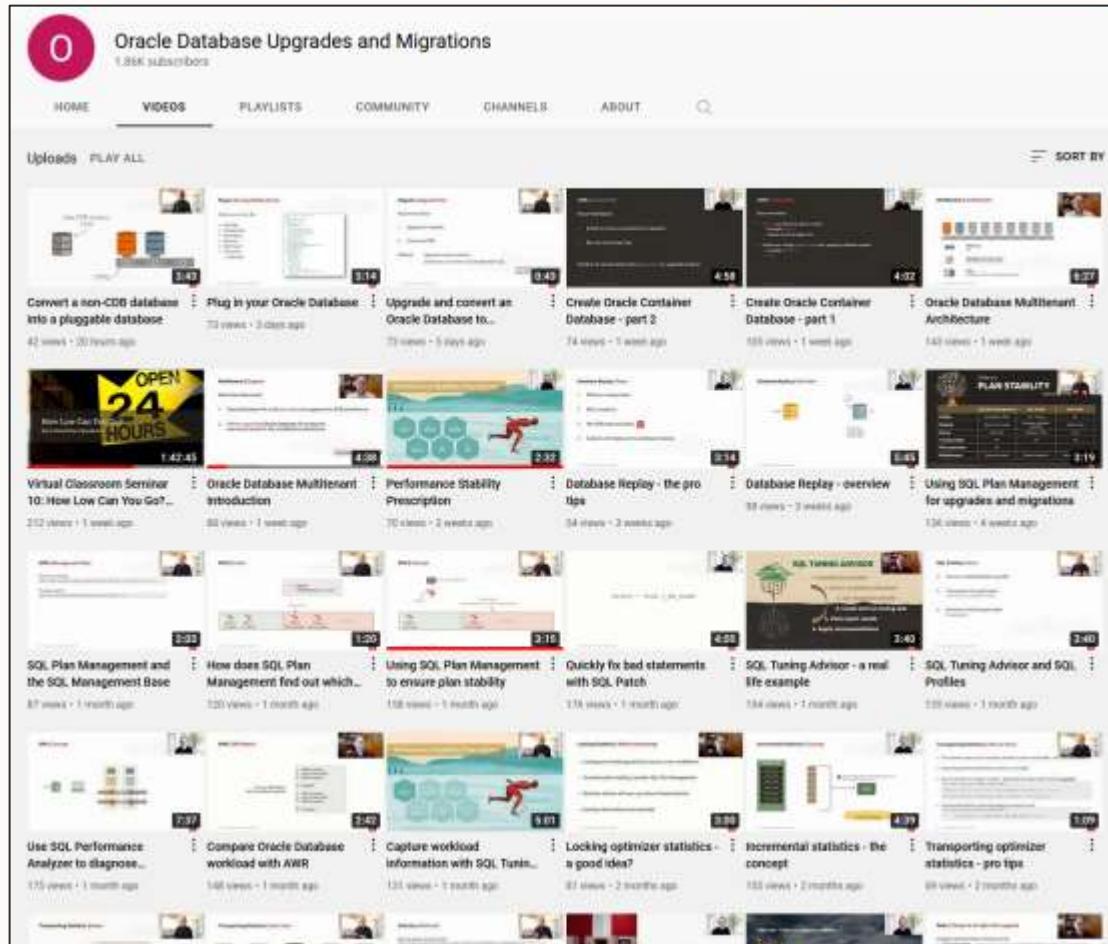


## Recorded Web Seminars

<https://MikeDietrichDE.com/videos>



# YouTube | Oracle Database Upgrades and Migrations



[Link](#)

- 100+ videos
- New videos every week
- No marketing
- No buzzword
- All tech



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**DATA PUMP**  
Best of Features and Use Cases  
November/December 2022

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