



ORACLE

Upgrade Internals

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-
-  [dohdatabase](#)
 -  [@dohdatabase.com](#)
 -  <https://dohdatabase.com>

The Basics



Oracle home

Binaries



Database

Data dictionary



Binaries and data dictionary
release must match



Oracle Database 19c



Data dictionary 19c



Oracle AI Database 26ai



Data dictionary 26ai



Database Upgrade Guide

☒ This Book ☐ This Release

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Oracle Database

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3 Upgrading to the New Oracle Database 10g Release

This chapter guides you through the process of upgrading a database to the new Oracle Database 10g release. This chapter covers the following topics:

- [System Considerations and Requirements](#)
- [Install the Release 10.2 Oracle Software](#)
- [Install the Latest Available Patch Set Release and Any Required Patches](#)

9. Set the system to spool results to a log file for later verification of success:

```
SQL> SP00L upgrade.log
```

10. Run `catupgrd.sql`:

```
SQL> @catupgrd.sql
```

The `catupgrd.sql` script determines which upgrade scripts need to be run and then runs each necessary script. You must run the script in the new release 10.2 environment.

The upgrade script creates and alters certain data dictionary tables. It also upgrades or installs the following database components in the new release 10.2 database:

- Oracle Database Catalog Views
- Oracle Database Packages and Types
- JServer JAVA Virtual Machine

dbua
dbupgrade

↳ catctl

↳ @catupgrd.sql

↳ @@catupstr.sql
@@catalog.sql
@@cdstrt.sql
@@cdfixed.sql
...
@catshutdown.sql

~~dbua~~

~~dbupgrade~~

java -jar autoupgrade.jar -config UPGR23.cfg -mode deploy

↳ catctl

↳ @catupgrd.sql

↳ @@catupstr.sql
@@catalog.sql
@@cdstrt.sql
@@cdfixed.sql
...
@catshutdown.sql

catupgrd.sql Overview

Initialize

- i-script / c-script

RDBMS upgrade

- catalog/catproc
- a-script

Components

- javavm,dv,ols,sdo,...

Finalizing

- bootstrap upgrade

```
$ ll $ORACLE_HOME/rdbms/admin
```

```
-rw-r-----. 1 oracle oinstall 46693 Feb 10 2025 a19.sql  
-rw-r-----. 1 oracle oinstall 11261 Nov 10 2022 a20.sql  
-rw-r-----. 1 oracle oinstall 113582 Jul 4 06:47 a21.sql  
  
-rw-r-----. 1 oracle oinstall 106648 Feb 27 2025 c19.sql  
-rw-r-----. 1 oracle oinstall 70597 Oct 18 2024 c20.sql  
-rw-r-----. 1 oracle oinstall 406297 Jul 10 06:42 c21.sql  
  
-rw-r-----. 1 oracle oinstall 3933 Jul 20 2020 i19.sql  
-rw-r-----. 1 oracle oinstall 3712 Nov 23 2022 i20.sql  
-rw-r-----. 1 oracle oinstall 13877 Oct 9 2024 i21.sql
```

```
$ ll $ORACLE_HOME/rdbms/admin
```

```
-rw-r-----. 1 oracle oinstall 46693 Feb 10 2025 a19.sql  
-rw-r-----. 1 oracle oinstall 11261 Nov 10 2022 a20.sql  
-rw-r-----. 1 oracle oinstall 113582 Jul 4 06:47 a21.sql  
  
-rw-r-----. 1 oracle oinstall 106648 Feb 27 2025 c19.sql  
-rw-r-----. 1 oracle oinstall 70597 Oct 18 2024 c20.sql  
-rw-r-----. 1 oracle oinstall 406297 Jul 10 06:42 c21.sql  
  
-rw-r-----. 1 oracle oinstall 3933 Jul 20 2020 i19.sql  
-rw-r-----. 1 oracle oinstall 3712 Nov 23 2022 i20.sql  
-rw-r-----. 1 oracle oinstall 13877 Oct 9 2024 i21.sql
```

```
$ vi i19.sql
```

(output truncated)

```
Rem =====  
Rem Bug 28618619: Add new col to lob$ and lobfrag$, with values  
Rem           4000 for enable and 0 for disable storage in row  
Rem =====
```

```
alter table lob$ add maxinl number;  
update lob$ set maxinl =  
                case when bitand(property, 2) != 0 then 4000 else 0 end;  
commit;  
alter table lob$ modify maxinl not null;  
  
alter table lobfrag$ add maxinl number;  
update lobfrag$ set maxinl =  
                case when bitand(fragpro, 2) != 0 then 4000 else 0 end;  
commit;  
alter table lobfrag$ modify maxinl not null;
```



Upgrading from Oracle Database 19c to Oracle AI Database 26ai:

- 20,000 **CREATE OR REPLACE**
- 7,000 **CREATE ...**
- 1,500 **ALTER TABLE**
- 300 **ALTER TYPE**
- 7,000 **ALTER SESSION**
- ... and many more statements

Parallel Upgrade

```
$ vi catupgrd.sql
```

```
Rem  
Rem Initial checks and RDBMS upgrade scripts  
Rem  
@@catupstr.sql
```

```
Rem  
Rem Execute upgrade and catalog session script  
Rem  
@@catupses.sql      --CATFILE -SES  
@@catalogses.sql    --CATFILE -SESS  
@@catalogses.sql    --CATFILE -SESS
```

```
Rem  
Rem Run catalog with some multiprocess phases  
Rem  
@@catalog.sql       --CATFILE -X
```

```
Rem  
Rem Execute catproc session script  
Rem  
@@catprocses.sql    --CATFILE -SESE -SESS
```

```
Rem  
Rem Run catproc with some multiprocess phases  
Rem  
@@catproc.sql       --CATFILE -X
```

```
Rem
Rem Initial checks and RDBMS upgrade scripts
Rem
@@catupstr.sql

Rem
Rem Execute upgrade and catalog session script
Rem
@@catupses.sql      --CATFILE -SES
@@catalogses.sql    --CATFILE -SESS
@@catalogses.sql    --CATFILE -SESS
```

```
Rem
Rem Run catalog with some multiprocess phases
Rem
@@catalog.sql      --CATFILE -X
```

```
Rem
Rem Execute catproc session script
Rem
@@catprocses.sql  --CATFILE -SESE -SESS
```

```
Rem
Rem Run catproc with some multiprocess phases
Rem
@@catproc.sql     --CATFILE -X
```

```
Rem
Rem Initial checks and RDBMS upgrade scripts
Rem
@@catupstr.sql
```

```
Rem
Rem Execute upgrade and catalog session script
Rem
@@catupses.sql      --CATFILE -SES
@@catalogses.sql    --CATFILE -SESS
@@catalogses.sql    --CATFILE -SESS
```

```
Rem
Rem Run catalog with some multiprocess phases
Rem
@@catalog.sql       --CATFILE -X
```

```
Rem
Rem Execute catproc session script
Rem
@@catprocses.sql    --CATFILE -SESE -SESS
```

```
Rem
Rem Run catproc with some multiprocess phases
Rem
@@catproc.sql       --CATFILE -X
```

```
Rem
Rem Initial checks and RDBMS upgrade scripts
Rem
@@catupstr.sql

Rem
Rem Execute upgrade and catalog session script
Rem
@@catupses.sql    --CATFILE -SES
@@catalogses.sql  --CATFILE -SESS
@@catalogses.sql  --CATFILE -SESS

Rem
Rem Run catalog with some multiprocess phases
Rem
@@catalog.sql     --CATFILE -X

Rem
Rem Execute catproc session script
Rem
@@catprocses.sql  --CATFILE -SESE -SESS

Rem
Rem Run catproc with some multiprocess phases
Rem
@@catproc.sql     --CATFILE -X
```

```
--CATCTL -S -D "Catalog Core SQL"
```

Initial scripts single process

```
@@cdstrt.sql
```

```
@@cdfixed.sql
```

```
@@catcdbviews.sql
```

```
@@catblock.sql
```

```
@@cdcore.sql
```

```
--CATCTL -R
```

```
--CATCTL -M -D "Catalog Tables and Views"
```

```
@@cdpls.sql
```

```
@@cdsqlddl.sql
```

```
@@cdmanage.sql
```

```
@@cdtxnspc.sql
```

```
@@cdenv.sql
```

```
@@cdrac.sql
```

```
@@cdsec.sql
```

```
@@cdobj.sql
```

```
@@cdjava.sql
```

```
@@cdpart.sql
```

```
@@cdrep.sql
```

```
@@cdaw.sql
```

```
@@cdsumgmt.sql
```

```
@@cdtools.sql
```

```
@@cdexttab.sql
```

```
@@cddm.sql
```

```
@@cdclst.sql
```

--CATCTL -S -D "Catalog Core SQL" Initial scripts single process

@@cdstrt.sql

@@cdfixed.sql

@@catcdbviews.sql

@@catblock.sql

@@cdcore.sql

--CATCTL -R

--CATCTL -M -D "Catalog Tables and Views"

@@cdplsqli.sql

@@cdsqlddl.sql

@@cdmanage.sql

@@cdtxnspc.sql

@@cdenv.sql

@@cdrac.sql

@@cdsec.sql

@@cdobj.sql

@@cdjava.sql

@@cdpart.sql

@@cdrep.sql

@@cdaw.sql

@@cdsumgmt.sql

@@cdtools.sql

@@cdexttab.sql

@@cddm.sql

@@cdclst.sql

--CATCTL -S -D "Catalog Core SQL" Initial scripts single process

@@cdstrt.sql

@@cdfixed.sql

@@catcdbviews.sql

@@catblock.sql

@@cdcore.sql

--CATCTL -R

--CATCTL -M -D "Catalog Tables and Views"

@@cdp1sql.sql

@@cdsqlddl.sql

@@cdmanage.sql

@@cdtxnspc.sql

@@cdenv.sql

@@cdrac.sql

@@cdsec.sql

@@cdobj.sql

@@cdjava.sql

@@cdpart.sql

@@cdrep.sql

@@cdaw.sql

@@cdsumgmt.sql

@@cdtools.sql

@@cdexttab.sql

@@cddm.sql

@@cdclst.sql

```
$ grep "jloaiza" catalog.sql
```

```
Rem      jloaiza      06/20/94 - fix all_tables  
Rem      jloaiza      06/16/94 - add disable dml locks  
Rem      jloaiza      05/23/94 - add new fixed views  
Rem      jloaiza      10/28/92 - add v$db_object_cache and v$open_cursor
```

```
Rem
Rem Run catproc with some multiprocess phases
Rem
@@catproc.sql      --CATFILE -X
```

```
--CATCTL -R
--CATCTL -S -D "Final RDBMS scripts"
Rem
Rem Final RDBMS upgrade scripts
Rem
@@catupprc.sql
```

```
Rem
Rem Upgrade components with some multiprocess phases
Rem
@@cmpupgrd.sql     --CATFILE -X -SESE
```

```
--CATCTL -S -D "Final Upgrade scripts"
Rem
Rem Final upgrade scripts
Rem
@@catupend.sql
```

```
--CATCTL -M -D "Upgrading Java and non-Java"  
Rem  
Rem Java upgrade (JAVAVM, XML, CATJAVA)  
Rem  
@@cmpupjav.sql
```

```
Rem  
Rem non-Java dependent upgrades (include XDB and Dependent since all  
Rem single process while Java components being upgraded in other single  
Rem process):  
Rem APS, AMD, OLS, DV, CONTEXT, XDB, OWM, MGW, RAC  
Rem  
@@cmpupnjv.sql
```

```
--CATCTL -R  
--CATCTL -S  
Rem  
Rem Extracted grants/revokes of bootstrap tables for component scripts  
Rem These are run serially as to not run into timeout/deadlocking issues  
Rem  
@@cmpupprv.sql
```

```
--CATCTL -R -D "Upgrading XDB"  
Rem  
Rem Oracle XDB (uses catctl directly)  
Rem  
--CATCTL -CP XDB -X
```

```
--CATCTL -M -D "Upgrading Java and non-Java"  
Rem  
Rem Java upgrade (JAVAVM, XML, CATJAVA)  
Rem  
@@cmpupjav.sql
```

```
Rem  
Rem non-Java dependent upgrades (include XDB and Dependent since all  
Rem single process while Java components being upgraded in other single  
Rem process):  
Rem APS, AMD, OLS, DV, CONTEXT, XDB, OWM, MGW, RAC  
Rem  
@@cmpupnjbv.sql
```

```
--CATCTL -R  
--CATCTL -S  
Rem  
Rem Extracted grants/revokes of bootstrap tables for component scripts  
Rem These are run serially as to not run into timeout/deadlocking issues  
Rem  
@@cmpupprv.sql
```

```
--CATCTL -R -D "Upgrading XDB"  
Rem  
Rem Oracle XDB (uses catctl directly)  
Rem  
--CATCTL -CP XDB -X
```

```
$ pwd  
/u02/app/oracle/autoupgrade/runs/LONGHORN1/LONGHORN1/101/dbupgrade  
  
$ vi autoupgrade*cdbroot.log
```

Phases [0-106] Start Time:[2025_08_22 18:00:46]
Container Lists Inclusion:[CDB\$ROOT] Exclusion:[NONE]

***** Executing Change Scripts *****
Serial Phase #:0 [CDB\$ROOT] Files:1 Time: 51s
***** Catalog Core SQL *****
Serial Phase #:1 [CDB\$ROOT] Files:5 Time: 40s
Restart Phase #:2 [CDB\$ROOT] Files:1 Time: 0s
***** Catalog Tables and Views *****
Parallel Phase #:3 [CDB\$ROOT] Files:21 Time: 18s
Restart Phase #:4 [CDB\$ROOT] Files:1 Time: 0s
***** Catalog Final Scripts *****
Serial Phase #:5 [CDB\$ROOT] Files:7 Time: 12s
***** Catproc Start *****
Serial Phase #:6 [CDB\$ROOT] Files:1 Time: 9s
***** Catproc Types *****
Serial Phase #:7 [CDB\$ROOT] Files:2 Time: 9s
Restart Phase #:8 [CDB\$ROOT] Files:1 Time: 0s

(output truncated)

*** End PDB Application Upgrade Post-Shutdown **
Serial Phase #:104 [CDB\$ROOT] Files:2 Time: 101s
Serial Phase #:105 [CDB\$ROOT] Files:1 Time: 0s
Serial Phase #:106 [CDB\$ROOT] Files:1 Time: 24s
Serial Phase #:106 [CDB\$ROOT] Files:1 Time: 24s

Phases [0-106] Start Time:[2025_08_22 18:00:46]
Container Lists Inclusion:[CDB\$ROOT] Exclusion:[NONE]

***** Executing Change Scripts *****

Serial Phase #:0 [CDB\$ROOT] Files:1 Time: 51s

***** Catalog Core SQL *****

Serial Phase #:1 [CDB\$ROOT] Files:5 Time: 40s

Restart Phase #:2 [CDB\$ROOT] Files:1 Time: 0s

***** Catalog Tables and Views *****

Parallel Phase #:3 [CDB\$ROOT] Files:21

Restart Phase #:4 [CDB\$ROOT] Files:1

***** Catalog Final Scripts *****

Serial Phase #:5 [CDB\$ROOT] Files:7

***** Catproc Start *****

Serial Phase #:6 [CDB\$ROOT] Files:1

***** Catproc Types *****

Serial Phase #:7 [CDB\$ROOT] Files:2

Restart Phase #:8 [CDB\$ROOT] Files:1

(output truncated)

*** End PDB Application Upgrade Post-Shutdown

Serial Phase #:104 [CDB\$ROOT] Files:2

Serial Phase #:105 [CDB\$ROOT] Files:1

Serial Phase #:106 [CDB\$ROOT] Files:1

Serial Phase #:106 [CDB\$ROOT] Files:1

--CATCTL -S -D "Catalog Core SQL" Initial scripts single process

@cdctrl.sql

@cdfixed.sql

@catcdbviews.sql

@catblock.sql

@cdcore.sql

--CATCTL -R

--CATCTL -M -D "Catalog Tables and Views"

@cdplsql.sql

@cdsqlddl.sql

@cdmanage.sql

@cdtxnspc.sql

@cdenv.sql

@cdrac.sql

@cdsec.sql

@cdobj.sql

@cdjava.sql

```
-----
Phases [0-106]          Start Time:[2025_08_22 18:00:46]
Container Lists Inclusion:[CDB$ROOT] Exclusion:[NONE]
-----
```

```
***** Executing Change Scripts *****
```

```
Serial Phase #:0 [CDB$ROOT] Files:1 Time: 51s
```

```
***** Catalog Core SQL *****
```

```
Serial Phase #:1 [CDB$ROOT] Files:5 Time: 40s
```

```
Restart Phase #:2 [CDB$ROOT] Files:1 Time: 0s
```

```
***** Catalog Tables and Views *****
```

```
Parallel Phase #:3 [CDB$ROOT] Files:21
```

```
Restart Phase #:4 [CDB$ROOT] Files:1
```

```
***** Catalog Final Scripts *****
```

```
Serial Phase #:5 [CDB$ROOT] Files:7
```

```
***** Catproc Start *****
```

```
Serial Phase #:6 [CDB$ROOT] Files:1
```

```
***** Catproc Types *****
```

```
Serial Phase #:7 [CDB$ROOT] Files:2
```

```
Restart Phase #:8 [CDB$ROOT] Files:1
```

```
Serial Phase #:9 [CDB$ROOT] Files:1
```

```
Serial Phase #:10 [CDB$ROOT] Files:1
```

```
Serial Phase #:11 [CDB$ROOT] Files:1
```

```
Serial Phase #:12 [CDB$ROOT] Files:1
```

```
Serial Phase #:13 [CDB$ROOT] Files:1
```

```
Serial Phase #:14 [CDB$ROOT] Files:1
```

```
Serial Phase #:15 [CDB$ROOT] Files:1
```

```
Serial Phase #:16 [CDB$ROOT] Files:1
```

```
Serial Phase #:17 [CDB$ROOT] Files:1
```

```
Serial Phase #:18 [CDB$ROOT] Files:1
```

```
Serial Phase #:19 [CDB$ROOT] Files:1
```

```
Serial Phase #:20 [CDB$ROOT] Files:1
```

(output truncated)

```
*** End PDB Application Upgrade Post-Shutdown
```

```
Serial Phase #:104 [CDB$ROOT] Files:2
```

```
Serial Phase #:105 [CDB$ROOT] Files:1
```

```
Serial Phase #:106 [CDB$ROOT] Files:1
```

```
Serial Phase #:106 [CDB$ROOT] Files:1
```

```
--CATCTL -S -D "Catalog Core SQL" Initial scripts single process
@@cdstrt.sql
@@cdfixed.sql
@@catcdbviews.sql
@@catblock.sql
@@cdcore.sql

--CATCTL -R
--CATCTL -M -D "Catalog Tables and Views"
@@cdplsql.sql
@@cdsqlddl.sql
@@cdmanage.sql
@@cdtxnspc.sql
@@cdenv.sql
@@cdrac.sql
@@cdsec.sql
@@cdobj.sql
@@cdjava.sql
```

```
-----
Phases [0-106]          Start Time:[2025_08_22 18:00:46]
Container Lists Inclusion:[CDB$ROOT] Exclusion:[NONE]
-----
```

```
***** Executing Change Scripts *****
```

```
Serial Phase #:0 [CDB$ROOT] Files:1 Time: 51s
```

```
***** Catalog Core SQL *****
```

```
Serial Phase #:1 [CDB$ROOT] Files:5 Time: 40s
```

```
Restart Phase #:2 [CDB$ROOT] Files:1 Time: 0s
```

```
***** Catalog Tables and Views *****
```

```
Parallel Phase #:3 [CDB$ROOT] Files:21
```

```
Restart Phase #:4 [CDB$ROOT] Files:1
```

```
***** Catalog Final Scripts *****
```

```
Serial Phase #:5 [CDB$ROOT] Files:7
```

```
***** Catproc Start *****
```

```
Serial Phase #:6 [CDB$ROOT] Files:1
```

```
***** Catproc Types *****
```

```
Serial Phase #:7 [CDB$ROOT] Files:2
```

```
Restart Phase #:8 [CDB$ROOT] Files:1
```

```
(output truncated)
```

```
*** End PDB Application Upgrade Post-Shutdown
```

```
Serial Phase #:104 [CDB$ROOT] Files:2
```

```
Serial Phase #:105 [CDB$ROOT] Files:1
```

```
Serial Phase #:106 [CDB$ROOT] Files:1
```

```
Serial Phase #:106 [CDB$ROOT] Files:1
```

```
--CATCTL -S -D "Catalog Core SQL" Initial scripts single process
```

```
@@cdstrt.sql
@@cdfixed.sql
@@catcdbviews.sql
@@catblock.sql
@@cdcore.sql
```

```
--CATCTL -R
```

```
--CATCTL -M -D "Catalog Tables and Views"
```

```
@@cdplsql.sql
@@cdsqlddl.sql
@@cdmanage.sql
@@cdtxnspec.sql
@@cdenv.sql
@@cdrac.sql
@@cdsec.sql
@@cdobj.sql
@@cdjava.sql
```

```
Time: 24s
```



For parallel upgrade, AutoUpgrade

- Uses 8 threads for CDB\$ROOT
- Uses 2 threads per PDB
- Upgrades $\text{CPU_COUNT} / 2$ PDBs concurrently

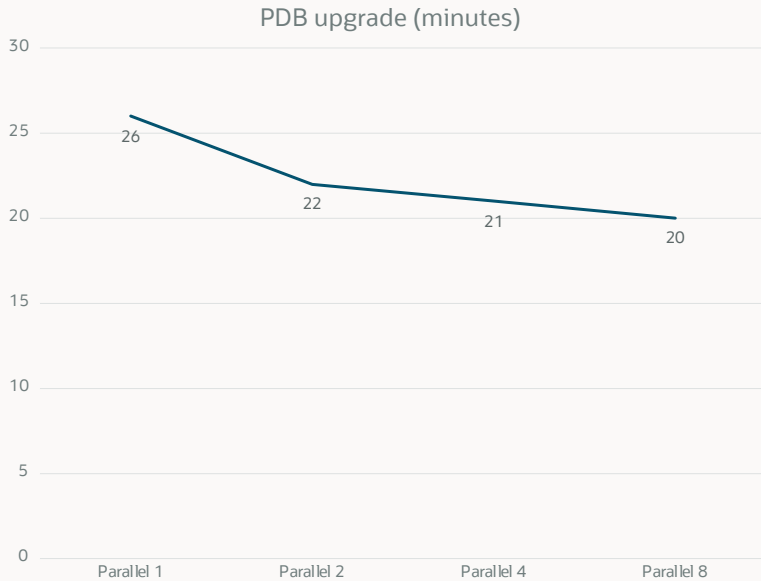


For parallel upgrade, AutoUpgrade

- Uses 8 threads for CDB\$ROOT
- Uses 2 threads per PDB
 - Overridable with `upg1.catctl_options=-N <value>`
- Upgrades `CPU_COUNT / 2` PDBs concurrently
 - Overridable with `upg1.catctl_options=-n <value>`



More threads leads to
more contention





Scale by upgrading
more PDBs concurrently

Upgrade Details



You must **startup upgrade** to upgrade a database

- Enables restricted session

```
ALTER SYSTEM SET "_SYSTEM_TRIG_ENABLED" = FALSE
                "_UNDO_AUTOTUNE"         = FALSE
                AQ_TM_PROCESSES           = 0
                DB_SECUREFILE              = PERMITTED
                ENABLE_DDL_LOGGING         = FALSE
                PLSQL_WARNINGS             = 'DISABLE:ALL'
                RECYCLEBIN                  = OFF
                RESOURCE_MANAGER_PLAN      = ''
                UNDO_RETENTION              = 900
```

```
SQL> startup upgrade
```

```
ORACLE instance started.
```

```
Total System Global Area 1002435912 bytes
```

```
Fixed Size                  8947016 bytes
```

```
Variable Size              272629760 bytes
```

```
Database Buffers          713031680 bytes
```

```
Redo Buffers               7827456 bytes
```

```
Database mounted.
```

```
Database opened.
```

```
SQL> create table t1 (c1 number);
```

```
Table created.
```

```
SQL> create table t1 (c1 number);
```

```
Table created.
```

```
SQL> create table t1 (c1 number);
```

```
Table created.
```



A restart is the only way
out of *upgrade* mode



AutoUpgrade recompiles invalid objects at the end

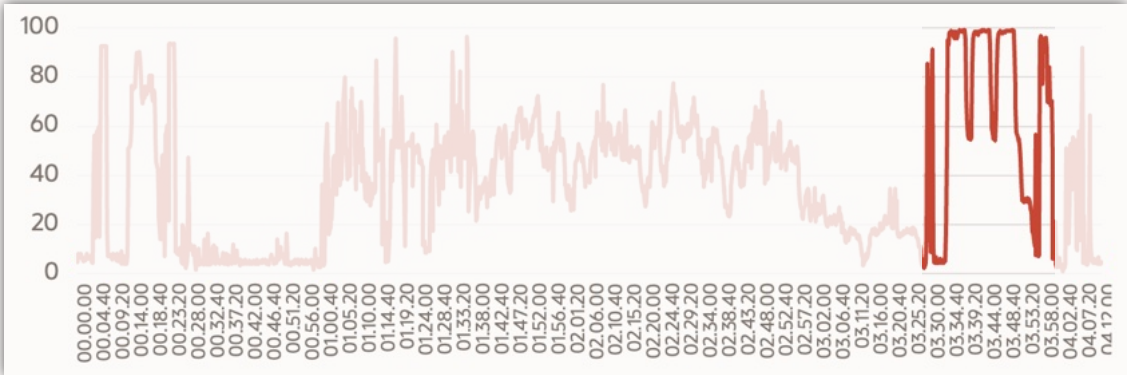
- Only those owned by Oracle-maintained schemas

@?/rdbms/admin/utlrp

@?/rdbms/admin/utlprp

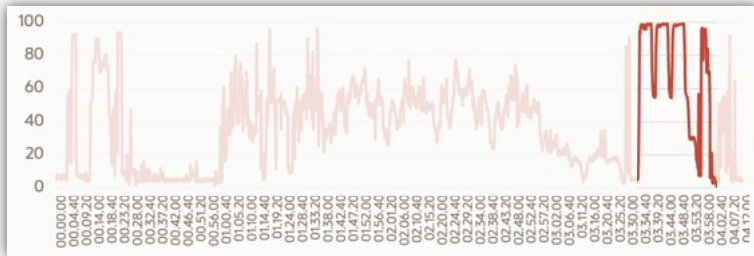
@?/rdbms/admin/utlprpom.sql <n>

Recompilation



Recompilation

- Uses the scheduler (DBMS_SCHEDULER) to parallelize
- Lowering JOB_QUEUE_PROCESSES might limit the recompilation
- Very CPU intensive



Bootstrapping

STARTUP MOUNT

ALTER SESSION SET EVENTS '10046 TRACE NAME CONTEXT FOREVER, LEVEL 12';

ALTER DATABASE OPEN;

```
grep -i "CREATE TABLE" FTEX_ora_328857.trc | cut -c1-100
```

```

create table bootstrap$ ( line#          number not null,   obj#          number not null,   sql_text
CREATE TABLE TAB$( "OBJ#" NUMBER NOT NULL, "DATAOBJ#" NUMBER, "TS#" NUMBER NOT NULL, "FILE#" NUMBER NOT
CREATE TABLE CLUS$( "OBJ#" NUMBER NOT NULL, "DATAOBJ#" NUMBER, "TS#" NUMBER NOT NULL, "FILE#" NUMBER NOT
CREATE TABLE FET$( "TS#" NUMBER NOT NULL, "FILE#" NUMBER NOT NULL, "BLOCK#" NUMBER NOT NULL, "LENGTH" NU
CREATE TABLE UET$( "SEGFILE#" NUMBER NOT NULL, "SEGBLOCK#" NUMBER NOT NULL, "EXT#" NUMBER NOT NULL, "TS#"
CREATE TABLE SEG$( "FILE#" NUMBER NOT NULL, "BLOCK#" NUMBER NOT NULL, "TYPE#" NUMBER NOT NULL, "TS#" NUM
CREATE TABLE UNDO$( "US#" NUMBER NOT NULL, "NAME" VARCHAR2(30) NOT NULL, "USER#" NUMBER NOT NULL, "FILE#"
CREATE TABLE TS$( "TS#" NUMBER NOT NULL, "NAME" VARCHAR2(30) NOT NULL, "OWNER#" NUMBER NOT NULL, "ONLINE
CREATE TABLE FILE$( "FILE#" NUMBER NOT NULL, "STATUS$" NUMBER NOT NULL, "BLOCKS" NUMBER NOT NULL, "TS#"
CREATE TABLE OBJ$( "OBJ#" NUMBER NOT NULL, "DATAOBJ#" NUMBER, "OWNER#" NUMBER NOT NULL, "NAME" VARCHAR2(
CREATE TABLE IND$( "OBJ#" NUMBER NOT NULL, "DATAOBJ#" NUMBER, "TS#" NUMBER NOT NULL, "FILE#" NUMBER NOT
CREATE TABLE ICOL$( "OBJ#" NUMBER NOT NULL, "BO#" NUMBER NOT NULL, "COL#" NUMBER NOT NULL, "POS#" NUMBER
CREATE TABLE COL$( "OBJ#" NUMBER NOT NULL, "COL#" NUMBER NOT NULL, "SEGCOL#" NUMBER NOT NULL, "SEGCOLLEN
CREATE TABLE USER$( "USER#" NUMBER NOT NULL, "NAME" VARCHAR2(128) NOT NULL, "TYPE#" NUMBER NOT NULL, "PA
CREATE TABLE PROXY_DATA$( "CLIENT#" NUMBER NOT NULL, "PROXY#" NUMBER NOT NULL, "CREDENTIAL_TYPE#" NUMBE
CREATE TABLE PROXY_ROLE_DATA$( "CLIENT#" NUMBER NOT NULL, "PROXY#" NUMBER NOT NULL, "ROLE#" NUMBER NOT
CREATE TABLE CON$( "OWNER#" NUMBER NOT NULL, "NAME" VARCHAR2(128) NOT NULL, "CON#" NUMBER NOT NULL, "SPA
CREATE TABLE CDEF$( "CON#" NUMBER NOT NULL, "OBJ#" NUMBER NOT NULL, "COLS" NUMBER, "TYPE#" NUMBER NOT NU
CREATE TABLE CCOL$( "CON#" NUMBER NOT NULL, "OBJ#" NUMBER NOT NULL, "COL#" NUMBER NOT NULL, "POS#" NUMBE

```

```

create table bootstrap$ ( line#          number not null,   obj#          number not null,   sql_text
CREATE TABLE TAB$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"TS#" NUMBER NOT NULL,"FILE#" NUMBER NOT
CREATE TABLE CLU$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"TS#" NUMBER NOT NULL,"FILE#" NUMBER NOT
CREATE TABLE FET$("TS#" NUMBER NOT NULL,"FILE#" NUMBER NOT NULL,"BLOCK#" NUMBER NOT NULL,"LENGTH" NU
CREATE TABLE UET$("SEGFILE#" NUMBER NOT NULL,"SEGBLOCK#" NUMBER NOT NULL,"EXT#" NUMBER NOT NULL,"TS#
CREATE TABLE SEG$("FILE#" NUMBER NOT NULL,"BLOCK#" NUMBER NOT NULL,"TYPE#" NUMBER NOT NULL,"TS#" NUM
CREATE TABLE UNDO$("US#" NUMBER NOT NULL,"NAME" VARCHAR2(30) NOT NULL,"USER#" NUMBER NOT NULL,"FILE#
CREATE TABLE TS$("TS#" NUMBER NOT NULL,"NAME" VARCHAR2(30) NOT NULL,"OWNER#" NUMBER NOT NULL,"ONLINE
CREATE TABLE FILE$("FILE#" NUMBER NOT NULL,"STATUS$" NUMBER NOT NULL,"BLOCKS" NUMBER NOT NULL,"TS#"
CREATE TABLE OBJ$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"OWNER#" NUMBER NOT NULL,"NAME" VARCHAR2(
CREATE TABLE IND$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"TS#" NUMBER NOT NULL,"FILE#" NUMBER NOT
CREATE TABLE ICOL$("OBJ#" NUMBER NOT NULL,"BO#" NUMBER NOT NULL,"COL#" NUMBER NOT NULL,"POS#" NUMBER
CREATE TABLE COL$("OBJ#" NUMBER NOT NULL,"COL#" NUMBER NOT NULL,"SEGCOL#" NUMBER NOT NULL,"SEGCOLLEN
CREATE TABLE USER$("USER#" NUMBER NOT NULL,"NAME" VARCHAR2(128) NOT NULL,"TYPE#" NUMBER NOT NULL,"PA
CREATE TABLE PROXY_DATA$("CLIENT#" NUMBER NOT NULL,"PROXY#" NUMBER NOT NULL,"CREDENTIAL_TYPE#" NUMBE
CREATE TABLE PROXY_ROLE_DATA$("CLIENT#" NUMBER NOT NULL,"PROXY#" NUMBER NOT NULL,"ROLE#" NUMBER NOT
CREATE TABLE CON$("OWNER#" NUMBER NOT NULL,"NAME" VARCHAR2(128) NOT NULL,"CON#" NUMBER NOT NULL,"SPA
CREATE TABLE CDEF$("CON#" NUMBER NOT NULL,"OBJ#" NUMBER NOT NULL,"COLS" NUMBER,"TYPE#" NUMBER NOT NU
CREATE TABLE CCOL$("CON#" NUMBER NOT NULL,"OBJ#" NUMBER NOT NULL,"COL#" NUMBER NOT NULL,"POS#" NUMBE

```



Bootstrap tables are a core part of the data dictionary

- `OBJECT_ID` below 56

```
SQL> select obj#, sql_text from bootstrap$ order by 1;
```

OBJ#

SQL_TEXT

```
0 CREATE ROLLBACK SEGMENT SYSTEM STORAGE ( INITIAL 112K NEXT 56K MINEXTENTS 1 MAX ...
2 CREATE CLUSTER C_OBJ#("OBJ#" NUMBER) PCTFREE 5 PCTUSED 40 INITRANS 2 MAXTRANS 25 ...
3 CREATE INDEX I_OBJ# ON CLUSTER C_OBJ# PCTFREE 10 INITRANS 2 MAXTRANS 255 STORAGE ...
4 CREATE TABLE TAB$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"TS#" NUMBER NOT NULL ...
5 CREATE TABLE CLU$("OBJ#" NUMBER NOT NULL,"DATAOBJ#" NUMBER,"TS#" NUMBER NOT NULL ...
6 CREATE CLUSTER C_TS#("TS#" NUMBER) PCTFREE 10 PCTUSED 40 INITRANS 2 MAXTRANS 255 ...
7 CREATE INDEX I_TS# ON CLUSTER C_TS# PCTFREE 10 INITRANS 2 MAXTRANS 255 STORAGE ( ...
8 CREATE CLUSTER C_FILE#_BLOCK#("TS#" NUMBER,"SEGFILE#" NUMBER,"SEGBLOCK#" NUMBER) ...
9 CREATE INDEX I_FILE#_BLOCK# ON CLUSTER C_FILE#_BLOCK# PCTFREE 10 INITRANS 2 MAXT ...
10 CREATE CLUSTER C_USER#("USER#" NUMBER) PCTFREE 10 PCTUSED 40 INITRANS 2 MAXTRANS ...
11 CREATE INDEX I_USER# ON CLUSTER C_USER# PCTFREE 10 INITRANS 2 MAXTRANS 255 STORA ...
12 CREATE TABLE FET$("TS#" NUMBER NOT NULL,"FILE#" NUMBER NOT NULL,"BLOCK#" NUMBER ...
13 CREATE TABLE UET$("SEGFILE#" NUMBER NOT NULL,"SEGBLOCK#" NUMBER NOT NULL,"EXT#" ...
14 CREATE TABLE SEG$("FILE#" NUMBER NOT NULL,"BLOCK#" NUMBER NOT NULL,"TYPE#" NUMBE ...
15 CREATE TABLE UNDO$("US#" NUMBER NOT NULL,"NAME" VARCHAR2(30) NOT NULL,"USER#" NU ...
16 CREATE TABLE TS$("TS#" NUMBER NOT NULL,"NAME" VARCHAR2(30) NOT NULL,"OWNER#" NUM ...
17 CREATE TABLE FILE$("FILE#" NUMBER NOT NULL,"STATUS$" NUMBER NOT NULL,"BLOCKS" NU ...
```

```
CREATE CLUSTER C_OBJ#("OBJ#" NUMBER)
PCTFREE 5 PCTUSED 40 INITRANS 2 MAXTRANS 255
STORAGE (
    INITIAL 136K NEXT 200K
    MINEXTENTS 1 MAXEXTENTS 2147483645
    PCTINCREASE 0
    OBJNO 2
    EXTENTS (FILE 1 BLOCK 144)
) SIZE 800
```

```
SQL> alter table registry$sqlpatch add(daniel number);
```

Table altered.

```
SQL> alter table registry$sqlpatch add(daniel number);
```

```
Table altered.
```

```
SQL> alter table tab$ add(daniel number);  
alter table tab$ add(daniel number)
```

```
*
```

```
ERROR at line 1:
```

```
ORA-00701: object necessary for warmstarting database cannot be altered
```

SQL> startup

ORA-01092: ORACLE instance terminated. Disconnection forced

ORA-00704: bootstrap process failure

ORA-39700: database must be opened with UPGRADE option

Process ID: 22211

Session ID: 1125 Serial number: 3

Diagnosing Upgrades

```
$ pwd
```

```
/u02/app/oracle/autoupgrade/runs/FIREBALL1/FIREBALL1/101
```

```
$ ll
```

```
total 23936
```

```
-rw-r----- 1 oracle oinstall 24279072 Aug 22 13:41 autoupgrade_20250822.log
-rw-r----- 1 oracle oinstall 110170 Aug 22 13:41 autoupgrade_20250822_user.log
-rw-r----- 1 oracle oinstall 20655 Aug 22 13:30 autoupgrade_err.log
drwxr-x--- 2 oracle oinstall 32768 Aug 22 13:04 dbupgrade
drwxr-x--- 2 oracle oinstall 4096 Aug 22 11:33 drain
drwxr-x--- 2 oracle oinstall 4096 Aug 22 13:04 postchecks
drwxr-x--- 2 oracle oinstall 12288 Aug 22 13:30 postfixups
drwxr-x--- 2 oracle oinstall 4096 Aug 22 13:31 postupgrade
drwxr-x--- 2 oracle oinstall 4096 Aug 22 11:29 prechecks
drwxr-x--- 2 oracle oinstall 12288 Aug 22 11:29 prefixups
drwxr-x--- 2 oracle oinstall 4096 Aug 22 11:20 preupgrade
drwxr-x--- 2 oracle oinstall 4096 Aug 22 13:41 sysupdates
drwxr-x--- 2 oracle oinstall 4096 Aug 22 13:04 upgstat
```

```
$ pwd
/u02/app/oracle/autoupgrade/runs/FIREBALL1/FIREBALL1/101/dbupgrade
```

```
$ grep -h "Grand Total" autoupgrade* | sort
```

```
Grand Total Time: 1456s
Grand Total Time: 1690s [PDB017]
Grand Total Time: 1691s [PDB007]
Grand Total Time: 1702s [PDB028]
Grand Total Time: 1703s [PDB019]
```

```
...
```

```
Grand Total Time: 2157s [PDB006]
Grand Total Time: 2161s [PDB008]
Grand Total Time: 2168s [PDB005]
Grand Total Time: 2180s [PDB003]
Grand Total Time: 2182s [PDB029]
```

```
$ grep -ih "Elapsed" catupgrd*pdb029*.log | sort
```

```
...
```

```
Elapsed: 00:01:06.01
```

```
Elapsed: 00:01:37.71
```

```
Elapsed: 00:01:47.52
```

```
Elapsed: 00:02:36.98
```

```
Elapsed: 00:09:59.70
```

```
$ grep -i "00:09:59.70" -B5 catupgrd*pdb0290.log
```

```
11:32:26 SQL>
```

```
11:32:26 SQL> EXECUTE xdk_drop_package;
```

PL/SQL procedure successfully completed.

```
Elapsed: 00:09:59.70
```

Bug 32004389 : XDK_DROP_PACKAGE CAN BE MORE EFFICIENT

 Bug Attributes

Type	E - Enhancement	Fixed in Product Version	
Severity	2 - Very desirable feature	Product Version	12.1
Status	15 - Enhancement Req. Internal (Oracle) Review	Platform	226 - Linux x86-64
Created	Oct 12, 2020	Platform Version	RED HAT ENTERPRISE LINUX 4
Updated	Oct 12, 2020	Base Bug	N/A
Database Version	12.1	Affects Platforms	Generic
Product Source	Oracle	Knowledge, Patches, Service Requests and Bugs related to this bug	





You can't use AWR while upgrading

- Or, can you?

```
SQL> select status from v$instance;
```

```
STATUS
```

```
-----
```

```
OPEN MIGRATE
```

```
SQL> select status from v$instance;
```

```
STATUS
```

```
-----  
OPEN MIGRATE
```

```
SQL> exec dbms_workload_repository.create_snapshot();  
BEGIN dbms_workload_repository.create_snapshot(); END;
```

```
*
```

```
ERROR at line 1:
```

```
ORA-13516: AWR Operation failed: CATPROC not valid
```

```
ORA-06512: at "SYS.DBMS_WORKLOAD_REPOSITORY", line 99
```

```
ORA-06512: at "SYS.DBMS_WORKLOAD_REPOSITORY", line 145
```

```
ORA-06512: at line 1
```

```
Help: https://docs.oracle.com/error-help/db/ora-13516/
```

--After upgrading CDB\$ROOT and while PDBs are upgrading,
--you can use AWR in the root container

```
SQL> alter session set container=CDB$ROOT;
```

```
SQL> select status from v$instance;
```

```
STATUS
```

```
-----
```

```
OPEN
```

```
SQL> exec dbms_workload_repository.create_snapshot();
```

PL/SQL procedure successfully completed.

```
$ pwd
/u02/app/oracle/autoupgrade/runs/DB08221/DB08221/101/upgstat
```

```
$ ll
total 144
-rw-r----- 1 oracle oinstall 65575 Aug 24 08:20 fullpdirs.txt
-rw-r----- 1 oracle oinstall 49978 Aug 24 08:20 nonpdb_catproc.txt
-rw-r----- 1 oracle oinstall 21428 Aug 24 08:20 nonpdb_upg.txt
```

AUStats Database Upgrade Report

Database Name : DB0822
Instance Name : DB08221
Upgrade from : 19.28.0.0.0 to 23.9.0.25.07
Snapshots : 42-62

Note: This report displays selective data from internal Oracle views for database upgrades via AutoUpgrade. For a full Oracle statistics report, use AWR (Automatic Workload Repository).

Begin Snap ID		End Snap ID		Elapsed Time	
-----		-----		-----	
42		62		66 mins	
Begin Snap ID		Begin Time			Description
-----		-----			-----
42	2025-Aug-24	07:13:28	+00:00	PDBS_START	
End Snap ID		End Time			Description
-----		-----			-----
62	2025-Aug-24	08:19:41	+00:00	PDBS_END	



#4 Top 20 Foreground Events

- Ordered by Total Wait Time, Waits

Event	Waits	Total Wait Time (sec)	Avg Wait (ms)	% DB Wait Time	Class
Disk file operations I/O	20,968,536	7,622.0	0.36	11.0	User I/O
library cache lock	26,145	4,959.8	189.70	7.2	Concurre
latch: shared pool	518,161	2,127.7	4.11	3.1	Concurre
library cache: mutex X	180,079	436.2	2.42	.6	Concurre
cell list of blocks physical r	240,920	338.1	1.40	.5	User I/O
cell single block physical rea	65,887	319.3	4.85	.5	User I/O
latch free	1,457,213	287.4	0.20	.4	Other
cell multiblock physical read	132,588	279.5	2.11	.4	User I/O
library cache: bucket mutex X	37,309	191.3	5.13	.3	Concurre
Free private memory to OS	415,968	114.2	0.27	.2	Other
DBWR range invalidation sync	827	74.0	89.50	.1	Configur
online DDL delay	31	60.0	1935.54	.1	Other
row cache lock	15,504	58.2	3.75	.1	Concurre
Allocate CGA memory from OS	2,589,636	50.0	0.02	.1	Other
cursor: pin S wait on X	4,352	48.5	11.15	.1	Concurre
ASM IO for non-blocking poll	1,269,052	46.2	0.04	.1	User I/O

#4 Top 20 Foreground Events

- Ordered by Total Wait Time, Waits

Event	Waits	Total Wait Time (sec)	Avg Wait (ms)	% DB Wait Time	Class
Disk file operations I/O	20,968,536	7,622.0	0.36	11.0	User I/O
library cache lock	26,145	4,959.8	189.70	7.2	Concurre
latch: shared pool	518,161	2,127.7	4.11	3.1	Concurre
library cache: mutex X	180,079	436.2	2.42	.6	Concurre
cell list of blocks physical r	240,920	338.1	1.40	.5	User I/O
cell single block physical rea	65,887	319.3	4.85	.5	User I/O
latch free	1,457,213	287.4	0.20	.4	Other
cell multiblock physical read	132,588	279.5	2.11	.4	User I/O
library cache: bucket mutex X	37,309	191.3	5.13	.3	Concurre
Free private memory to OS	415,968	114.2	0.27	.2	Other
DBWR range invalidation sync	827	74.0	89.50	.1	Configur
online DDL delay	31	60.0	1935.54	.1	Other
row cache lock	15,504	58.2	3.75	.1	Concurre
Allocate CGA memory from OS	2,589,636	50.0	0.02	.1	Other
cursor: pin S wait on X	4,352	48.5	11.15	.1	Concurre
ASM IO for non-blocking poll	1,269,052	46.2	0.04	.1	User I/O

#5. Background Wait Events

Event	Waits	Total Wait Time (s)	Avg Wait Time (ms)
AQPC idle	773	3,987	5,158.37
log file parallel write	2,584,727	123	.05
Streams AQ: load balancer id	316	116	367.73
flashback log file write	118,767	115	.97
db file parallel write	209,083	68	.32
db file async I/O submit	361,607	67	.18
log file sequential read	14,937	28	1.85
latch: shared pool	2,132	21	9.73
oracle thread bootstrap	371	10	27.03
latch free	3,957	9	2.24
ASM file metadata operation	24,151	9	.36
ASM IO for non-blocking poll	189,219	7	.04
latch: MGA shared context la	28	7	265.10
LGWR wait for redo copy	259,860	5	.02
LGWR worker group ordering	8,105	4	.53
resmgr:internal state change	26	3	100.09
KSV master wait	7,368	2	.33
os thread creation	632	2	3.50

#8 Wait Event Histogram for Top 20 Foreground Events

Event	Foreground Waits	Total Waits	----- % of Waits -----			
			<1ms	1 to <32ms	32 to <1024ms	>= 1024ms
-----	-----	-----	-----	-----	-----	-----
Disk file operations I/O	20,968,536	20981704	97.45	2.46	.09	.00
library cache lock	26,145	26211	4.65	61.25	31.08	3.02
latch: shared pool	518,161	520308	70.62	26.97	2.41	.00
library cache: mutex X	180,079	180242	80.36	19.51	.13	.00
cell list of blocks physic	240,920	241951	89.49	10.06	.45	.00
cell single block physical	65,887	65886	60.97	37.49	1.54	.00
latch free	1,457,213	1461626	97.60	2.40	.00	.00
cell multiblock physical r	132,588	133264	84.26	15.20	.54	.00
library cache: bucket mute	37,309	37345	54.06	45.66	.28	.00
Free private memory to OS	415,968	415995	98.17	1.82	.01	.00
DBWR range invalidation sy	827	829	1.45	49.46	49.10	.00
online DDL delay	31	31	3.23	.00	.00	96.77
row cache lock	15,504	15539	42.29	57.30	.40	.01
Allocate CGA memory from O	2,589,636	2611823	100.00	.00	.00	.00
cursor: pin S wait on X	4,352	4553	8.41	87.44	4.13	.02
ASM IO for non-blocking po	1,269,052	1458394	99.90	.10	.00	.00

```
SQL> select table_name from dba_tables where table_name like 'UPD$%' and owner='SYS';
```

```
TABLE_NAME
```

```
-----  
UPD$_TOP_FG_EVENTS  
UPD$_EVENT_HISTOGRAM  
UPD$_OSSTAT  
UPD$_PARAMETER  
UPD$_SESSION_EVENT  
UPD$_SESSTAT  
UPD$_SESS_TIME_MODEL  
UPD$_SNAPSHOT  
UPD$_SYSSTAT  
UPD$_SYSTEM_EVENT  
UPD$_SYS_TIME_MODEL  
UPD$_THREAD
```

```
12 rows selected.
```



An upgrade is always resumable and restartable

- All scripts are idempotent, including `catalog.sql` and `catproc.sql`

```
INSERT INTO sys.registry$upg_resume(version,phaseno,errorcnt,starttime,endtime)  
VALUES ('23.0.0.0.0', 57,-1, sysdate, sysdate);
```

...

```
UPDATE sys.registry$upg_resume SET endtime=sysdate WHERE phaseno=57;
```

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

```
Previous execution found loading latest data
```

```
Total jobs recovered: 1
```

```
+-----+
```

```
| Starting AutoUpgrade execution |
```

```
+-----+
```

```
Type 'help' to list console commands
```

```
upg>
```

```
upg> resume -job 100 -catctl_options=-p 0
```

Replay Upgrade



The New Kid on the Block

--The database automatically starts an upgrade
--when you plug in a lower-release PDB

```
SQL> alter pluggable database pdb1 open;
```

Pluggable database altered.

Elapsed: 00:06:01.95

```
SQL> select property_name, property_value  
       from   database_properties  
       where  property_name like '%OPEN%';
```

PROPERTY_NAME	PROPERTY_VALUE

CONVERT_NONCDB_ON_OPEN	true
UPGRADE_PDB_ON_OPEN	true

Classic Upgrade

Phase 1

Phase 2

Phase 3

Phase 4

Phase 5

Phase 6

Phase 7

Phase 8

...

Phase nnn

Classic Upgrade

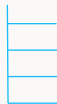
Phase 1

Phase 2

Phase 3

Phase 4

Phase 5



- @a2300932.sql
- @a2300933.sql
- @a23009xx.sql
- @c2300000.sql

Phase 6

Phase 7

Phase 8

...

Phase *nnn*

Classic Upgrade

@a2300932.sql

```
VARIABLE initfile VARCHAR2(32)
COLUMN :initfile NEW_VALUE init_file NOPRINT;

Rem =====
Rem SQLJTYPE
Rem =====

BEGIN
  IF sys.dbms_registry.is_loaded('JAVAVM',sys.dbms_registry.release_version) = 1 THEN
    :initfile := 'initsjty.sql';
  ELSE
    :initfile := 'nothing.sql';
  END IF;
END;
/
SELECT :initfile FROM DUAL;
@@&init_file
```

Classic Upgrade

@@&init_file

```
.  
. [more PL/SQL code]  
. .  
CREATE TABLE SYS.T1 ...  
CREATE INDEX SYS.T1I1 ...  
. .  
[more PL/SQL code]  
. .
```

Comparison

Classic

Phase 1
Phase 2
Phase 3
Phase 4
Phase 5
Phase 6
Phase 7
Phase 8
...
Phase *nnn*

Replay

DROP INDEX SYSTEM.IDX\$FLOW ...
CREATE OR REPLACE ...
ALTER TYPE ...
CREATE FUNCTION ...
CREATE TABLE SYS.T1 ...
CREATE INDEX SYS.T1I1 ...
DROP INDEX MDSYS.IDX\$IK ...
DROP TABLE MDSYS.TBL\$TT ...
CREATE OR REPLACE ...
ALTER TYPE ...
GRANT SELECT ON ...
CREATE VIEW ...

```
select sqlstmt from pdb_sync$;
```

```
ALTER SESSION SET "_oracle_script_counter"=7
alter pluggable database application app$cdb$pdonly$ncdbtopdb begin install '1.0.upgmode'
alter session set "_enable_view_pdb"=false
alter session set NLS_LENGTH_SEMANTICS=BYTE
INSERT INTO sys.utl_recomp_skip_list select obj# from obj$ where BITAND(flags, 4194304)=0 ...
create or replace view sys.cdb$common_root_objects sharing=object as
select u.name owner, o.name object_name, o.type# object_type, o.namespace nsp,
       o.subname object_subname, o.signature object_sig,
       decode(bitand(o.flags, (65536+131072+4294967296)),
              4294967296+65536, 'EDL', 131072, 'DL', 'MDL') sharing
from sys.obj$ o, sys.user$ u
where o.owner#=u.user# and bitand(o.flags, (65536+131072+4294967296)) <> 0
and bitand(o.flags,0)=0
```

(output truncated)

Classic

- Triggered by AutoUpgrade
- Runs `catalog.sql` / `catproc.sql`
- Many **CREATE OR REPLACE** statements for objects that didn't change
- Customizable
- Used by AutoUpgrade

Replay

- Triggered by **OPEN** command
- Runs the captured statements
- Only statements that actually do some change
- Automated

Classic

Stages

SETUP	<1 min
PREUPGRADE	<1 min
PRECHECKS	<1 min
PREFIXUPS	<1 min
DRAIN	<1 min
DBUPGRADE	19 min
DISPATCH	<1 min
UNPLUGWORK	<1 min
POSTCHECKS	<1 min
POSTFIXUPS	10 min
POSTUPGRADE	<1 min
SYSUPDATES	<1 min

Replay

Stages

SETUP	<1 min
PREUPGRADE	<1 min
PRECHECKS	<1 min
PREFIXUPS	<1 min
DRAIN	<1 min
DBUPGRADE	17 min
DISPATCH	<1 min
UNPLUGWORK	<1 min
POSTCHECKS	<1 min
POSTFIXUPS	10 min
POSTUPGRADE	<1 min
SYSUPDATES	<1 min



Replay upgrade doesn't handle pre- and post-upgrade tasks

- You must run these manually
- Or use Replay Upgrade through AutoUpgrade

```
SQL> alter pluggable database pdb1 open;  
alter pluggable database pdb1 open  
*
```

ERROR at line 1:

ORA-60510: encountered an error during Replay Upgrade

If Replay Upgrade fails

- Check for errors:
 - `SELECT * FROM dba_replay_upgrade_errors`
 - `SELECT * FROM dba_app_errors`
 - `SELECT * FROM dba_applications WHERE app_name='APP$CDB$CATALOG';`
 - Check alert log
 - Trace files
- Revert to classic upgrade
 - Use AutoUpgrade (`upg1.replay=no`)

--To disable replay upgrade
ALTER DATABASE UPGRADE SYNC OFF;

--Or
ALTER DATABASE PROPERTY SET UPGRADE_PDB_ON_OPEN='false';

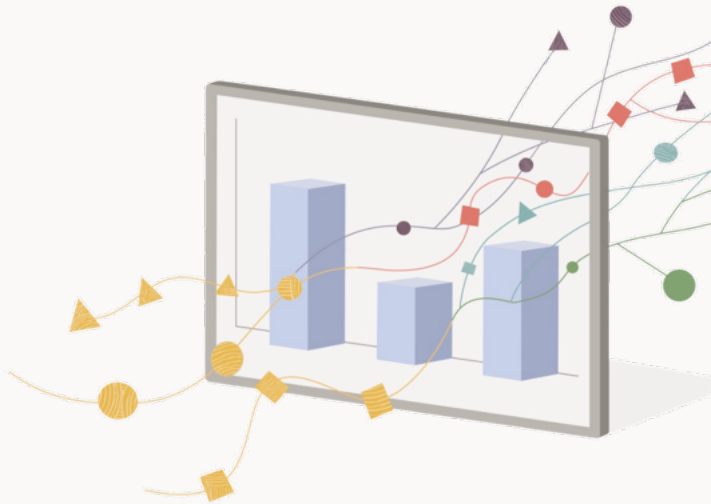
--To disable convert on open
ALTER DATABASE PROPERTY SET CONVERT_NONCDB_ON_OPEN='false';

Distributed Upgrades

Faster upgrades on Oracle RAC Database

41%

faster



If you are upgrading a cluster database ...

... you must manually separate the database instance from the cluster. Set the **CLUSTER_DATABASE initialization parameter to false.**

Regular RAC Database Upgrade



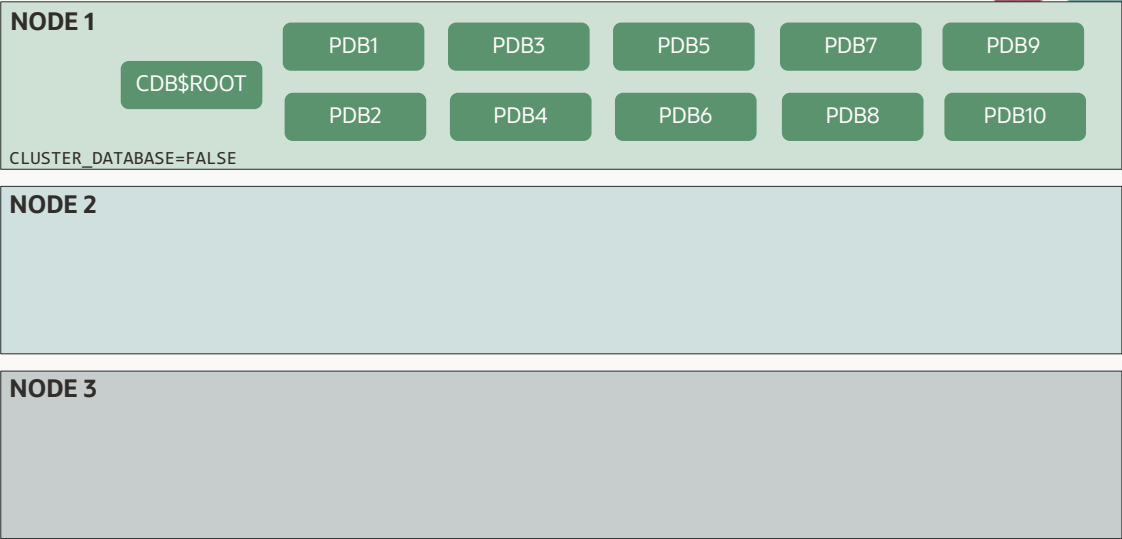
- `CLUSTER_DATABASE = FALSE`
- Upgrade root and all PDBs
- One instance active
- All other nodes are **idle**

Distributed Upgrade

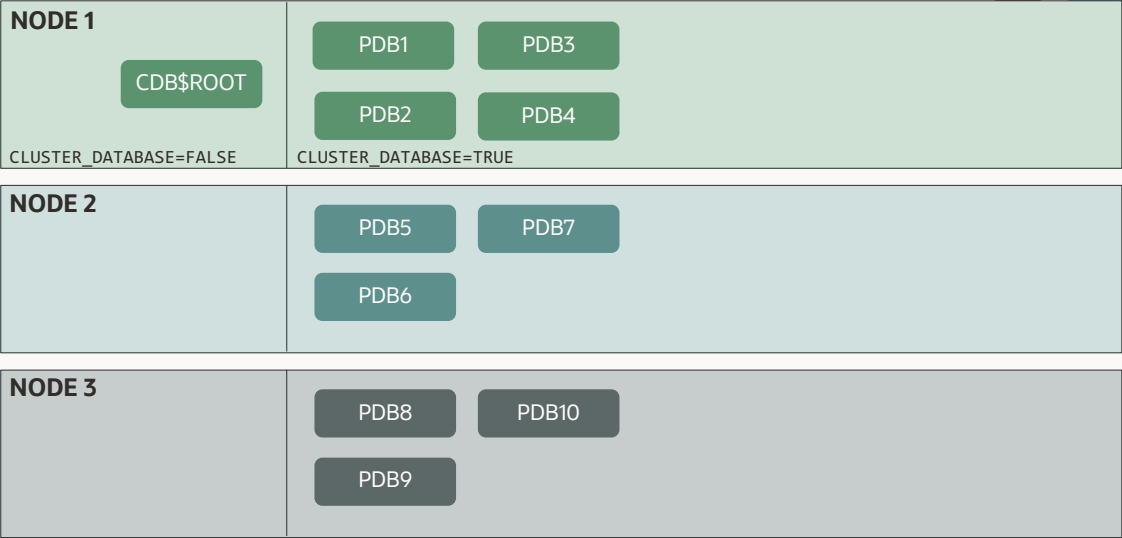


- `CLUSTER_DATABASE = FALSE`
- Upgrade root only
- `CLUSTER_DATABASE = TRUE`
- Upgrade all PDBs
- All instances **active**

Distributed Upgrade



Distributed Upgrade



```
cat RACDB.cfg
```

```
global.autoupg_log_dir=/u01/app/oracle/autoupgrade
```

```
upg1.source_home=/u01/app/oracle/product/19
```

```
upg1.target_home=/u01/app/oracle/product/23
```

```
upg1.sid=RACDB
```

```
upg1.tune_setting=distributed_upgrade=true
```

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

```
cat RACDB.cffg
```

```
global.autoupgrade_log_dir=/u01/app/oracle/autoupgrade
```

```
upg1.source_home=/u01/app/oracle/product/19
```

```
upg1.target_home=/u01/app/oracle/product/23
```

```
upg1.sid=RACDB
```

```
upg1.tune_setting=distributed_upgrade=true
```

```
java -jar autoupgrade.jar -config RACDB.cffg -mode deploy
```

```
batch1.source_home=/u01/app/oracle/product/19
```

```
batch1.target_home=/u01/app/oracle/product/23
```

```
batch1.sid=RACDB1
```

```
batch1.upgrade_node=NODE1
```

```
batch1.pdbs=PDB1,PDB2,PDB3,PDB4
```

```
batch2.source_home=/u01/app/oracle/product/19
```

```
batch2.target_home=/u01/app/oracle/product/23
```

```
batch2.sid=RACDB2
```

```
batch2.upgrade_node=NODE2
```

```
batch2.pdbs=PDB5,PDB6,PDB7
```

```
batch3.source_home=/u01/app/oracle/product/19
```

```
batch3.target_home=/u01/app/oracle/product/23
```

```
batch3.sid=RACDB3
```

```
batch3.upgrade_node=NODE3
```

```
batch3.pdbs=PDB8,PDB9,PDB10
```

```
cat RACDB.cffg
```

```
global.autoupg_log_dir=/u01/app/oracle/autoupgrade  
upg1.source_home=/u01/app/oracle/product/19  
upg1.target_home=/u01/app/oracle/product/23  
upg1.sid=RACDB  
upg1.tune_setting=distributed_upgrade=true
```

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

```
batch1.source_home=/u01/app/oracle/product/19  
batch1.target_home=/u01/app/oracle/product/23  
batch1.sid=RACDB1
```

```
batch1.upgrade_node=NODE1
```

```
batch1.pdbs=PDB1,PDB2,PDB3,PDB4
```

```
batch2.source_home=/u01/app/oracle/product/19
```

```
batch2.target_home=/u01/app/oracle/product/23
```

```
batch2.sid=RACDB2
```

```
batch2.upgrade_node=NODE2
```

```
batch2.pdbs=PDB5,PDB6,PDB7
```

```
batch3.source_home=/u01/app/oracle/product/19
```

```
batch3.target_home=/u01/app/oracle/product/23
```

```
batch3.sid=RACDB3
```

```
batch3.upgrade_node=NODE3
```

```
batch3.pdbs=PDB8,PDB9,PDB10
```

```
cat RACDB.cffg
```

```
global.autoupg_log_dir=/u01/app/oracle/autoupgrade  
upg1.source_home=/u01/app/oracle/product/19  
upg1.target_home=/u01/app/oracle/product/23  
upg1.sid=RACDB  
upg1.tune_setting=distributed_upgrade=true
```

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

```
batch1.source_home=/u01/app/oracle/product/19  
batch1.target_home=/u01/app/oracle/product/23  
batch1.sid=RACDB1  
batch1.upgrade_node=NODE1
```

batch1.pdbbs=PDB1,PDB2,PDB3,PDB4

```
batch2.source_home=/u01/app/oracle/product/19  
batch2.target_home=/u01/app/oracle/product/23  
batch2.sid=RACDB2  
batch2.upgrade_node=NODE2
```

batch2.pdbbs=PDB5,PDB6,PDB7

```
batch3.source_home=/u01/app/oracle/product/19  
batch3.target_home=/u01/app/oracle/product/23  
batch3.sid=RACDB3  
batch3.upgrade_node=NODE3
```

batch3.pdbbs=PDB8,PDB9,PDB10

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



Node 1 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

Node 2 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

Node 3 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

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



Node 1 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

Node 2 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

Node 3 `java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower`

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



```
Node 1      java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower
```

```
Node 2      java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower
```

```
Node 3      java -jar autoupgrade.jar -config mod.conf -mode upgrade -follower
```

```
upg> status -job 101
```

+-----+-----+-----+-----+			
Database	Stage	Progress	Node
+-----+-----+-----+-----+			
PDB\$SEED	DBUPGRADE	10 %	dragon-dbvui1
PDB001	DBUPGRADE	6 %	dragon-dbvui2
PDB002	DBUPGRADE	10 %	dragon-dbvui1
PDB003	DBUPGRADE	6 %	dragon-dbvui2
(output truncated)			
PDB027	DBUPGRADE	6 %	dragon-dbvui2
PDB028	DBUPGRADE	10 %	dragon-dbvui1
PDB029	DBUPGRADE	6 %	dragon-dbvui2
PDB030	DBUPGRADE	10 %	dragon-dbvui1
+-----+-----+-----+-----+			

Control the number of nodes used, default 2

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

Downgrade



Just In Case...



A downgraded data dictionary
is different, but **compatible**

- A downgraded database is not identical to the pre-upgraded database

```
SQL> select count(*) from dba_tables where owner='SYS';
```

```
COUNT_BEFORE
```

```
-----
```

```
1549
```

```
COUNT_AFTER
```

```
-----
```

```
1805
```

Downgrade

1

Actions in 26ai Oracle home

- Apply latest Release Update
- Open in downgrade mode
- Execute `catdwgrd.sql`
 - Rolls back one-off patches
 - Prepares for old release

2

Actions in 19c Oracle home

- Apply latest Release Update
- Open in upgrade mode
- Execute `catrelod.sql`
 - Invalidates all PL/SQL
 - Executes catalog/catproc
 - Reloads all components
 - Gather stats on bootstrap tables
- Open in normal mode
- Recompile all PL/SQL
- Gather dictionary/fixed objects stats

```
$ grep -i "truncate *table" catdwgrd0.log
...
11:56:38 SQL> truncate table wri$_optstat_tab_model;
11:56:38    3          execute immediate 'truncate table hcs_av_fact_column$';
11:56:38 SQL> Rem truncate table to store service conflicts stats persistently
11:56:38 SQL> truncate table svcobj_conflict$;
11:56:38 SQL> truncate table data_guard_site$;
11:56:38 SQL> truncate table dgpdb_site$;
11:56:39    4          execute immediate 'truncate table hcs_tbl$';
11:56:39 SQL> truncate table rsrc_cnt_history$;
```

```
$ grep -i "truncate *table" catdwgrd0.log
...
11:56:38 SQL> truncate table wri$_optstat_tab_model;
11:56:38      3          execute immediate 'truncate table hcs_av_fact_column$';
11:56:38 SQL> Rem truncate table to store service conflicts stats persistently
11:56:38 SQL> truncate table svcobj_conflict$;
11:56:38 SQL> truncate table data_guard_site$;
11:56:38 SQL> truncate table dgpdb_site$;
11:56:39      4          execute immediate 'truncate table hcs_tbl$';
11:56:39 SQL> truncate table rsrc_cnt_history$;
```

```
$ grep -i "truncate *table" catdwgrd0.log | wc -l
```

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SQL> desc pdb_sync\$

Name	Null?	Type
SCNWRP	NOT NULL	NUMBER
SCNBAS	NOT NULL	NUMBER
CTIME	NOT NULL	DATE
SQLSTMT		VARCHAR2(4000)
NAME	NOT NULL	VARCHAR2(128)
AUXNAME1		VARCHAR2(128)
AUXNAME2		VARCHAR2(128)
OPCODE	NOT NULL	NUMBER
FLAGS		NUMBER
LONGSQLTXT		CLOB
REPLAY#	NOT NULL	NUMBER
CREATION#		NUMBER
SPARE3		VARCHAR2(128)
SPARE4		VARCHAR2(128)
SPARE5		VARCHAR2(4000)
SPARE6		NUMBER
SPARE7		NUMBER
SPARE8		NUMBER
SQLID		VARCHAR2(13)
APPID#		NUMBER
VER#		NUMBER
PATCH#		NUMBER
APP_STATUS		NUMBER
SESSSERIAL#		NUMBER

SQL> desc pdb_sync\$

Name	Null?	Type
SCNWRP	NOT NULL	NUMBER
SCNBAS	NOT NULL	NUMBER
CTIME	NOT NULL	DATE
SQLSTMT		VARCHAR2(4000)
NAME	NOT NULL	VARCHAR2(128)
AUXNAME1		VARCHAR2(128)
AUXNAME2		VARCHAR2(128)
OPCODE	NOT NULL	NUMBER
FLAGS		NUMBER
LONGSQLTXT		CLOB
REPLAY#	NOT NULL	NUMBER
CREATION#		NUMBER
SPARE3		VARCHAR2(128)
SPARE4		VARCHAR2(128)
SPARE5		VARCHAR2(4000)
SPARE6		NUMBER
SPARE7		NUMBER
SPARE8		NUMBER
SQLID		VARCHAR2(13)
APPID#		NUMBER
VER#		NUMBER
PATCH#		NUMBER
APP_STATUS		NUMBER
SESSSERIAL#		NUMBER
OWNER		VARCHAR2(128)
OBJNAME		VARCHAR2(128)
EDNAME		VARCHAR2(128)
NAMESPACE		NUMBER
SIGNATURE		RAW(16 BYTE)
MODULE		VARCHAR2(64)
ACTION		VARCHAR2(64)

SQL> desc REGISTRY\$LOG

Name	Null?	Type
CID		VARCHAR2(30)
NAMESPACE		VARCHAR2(30)
OPERATION	NOT NULL	NUMBER
OPTIME		TIMESTAMP(6)
ERRMSG		VARCHAR2(1000)

SQL> desc REGISTRY\$LOG

Name	Null?	Type
CID		VARCHAR2(30)
NAMESPACE		VARCHAR2(30)
OPERATION	NOT NULL	NUMBER
OPTIME		TIMESTAMP(6) WITH TIME ZONE
ERRMSG		VARCHAR2(1000)

Downgrade, Guidelines

- Generally, dropping is avoided
- Some types of statistics are marked stale
- Complete rebuild of certain components, such as Data Pump



Don't change COMPATIBLE if you want the option of downgrading



You can downgrade days, months, or even years after upgrading

- No data loss

Wrapping Up



The final words



Use ORAdiff to learn about data dictionary differences

- oradiff.oracle.com



How can I make my upgrades faster?

Things that

Matter a lot

- Number of components
- Dictionary size
- Dictionary complexity
- Some feature/version combinations

Things that

Matter a lot

- Number of components
- Dictionary size
- Dictionary complexity
- Some feature/version combinations

Matter a little

- CPU speed
- I/O capabilities
- Memory
- SGA/PGA

Things that

Matter a lot

- Number of components
- Dictionary size
- Dictionary complexity
- Some feature/version combinations

Matter a little

- CPU speed
- I/O capabilities
- Memory
- SGA/PGA

Don't matter

(usually)

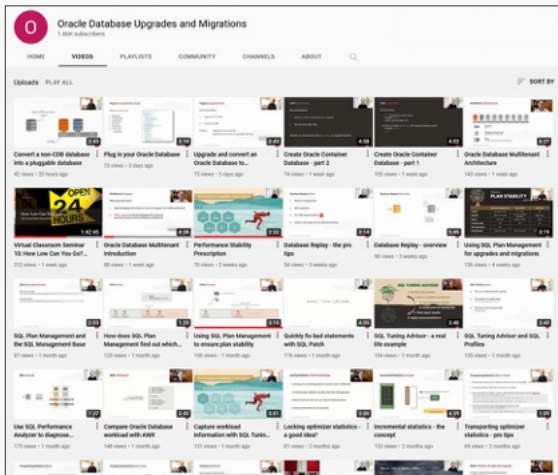
- Physical size
- Amount of user data



Unplug-plug upgrades are faster than upgrading an entire CDB

- Consider your rollback options
- Use refreshable clone PDBs

YouTube | Oracle Database Upgrades and Migrations



<https://www.youtube.com/@upgradenow>

- 300+ videos
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Virtual Classroom Seminars

Episode 16

(replaces Episode 1 from Feb 2021)

[Oracle Database Release and Patching Strategy for 19c and 23c](#)

115 minutes – May 10, 2023



Episode 17

[From SR to Patch – Insights into the Oracle Database Development process](#)

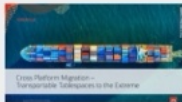
55 minutes – June 22, 2023



Episode 18

[Cross Platform Migration – Transportable Tablespaces to the Extreme](#)

145 min – February 22, 2024



Episode 19

[Move to Oracle Database 23ai – Everything you need to know about Multitenant PART 1](#)

145 min – May 16, 2024



Episode 20

[Move to Oracle Database 23ai – Everything you need to know about Multitenant PART 2](#)

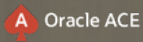
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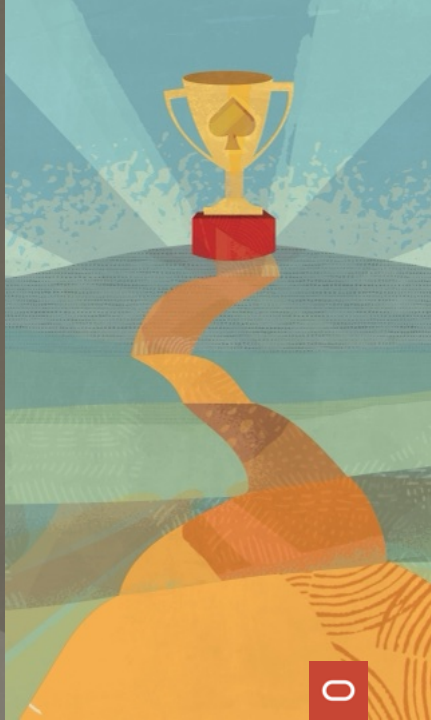
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References

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- [Upgrading Oracle Database Releases Using Replay Upgrade](#)