Upgrading to IBM Notes and Domino 10.x

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Email feedback to kendra.bowker@pnp-hcl.com or john.paganetti@pnp-hcl.com
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Chapter 1 Introducing Notes and Domino 10

IBM Notes and Domino 10 introduce many new features for administrators, users, and developers alike. This guide will help you deploy this release so that you can take advantage of them. But first, read about what’s new.

What’s new for administrators?
Domino includes the following new features. The links below take you to descriptions of each in the Domino documentation.

- **Automatic Notes client updates** (10.0.1)
- **MarvelClient Essentials IBM Notes management solution** (10.0.1)
- **New SSL cipher configuration** (10.0.1)
- **Publishing statistics to external services**
- **Features that save you time**
  - Dynamic indexing of high-usage views
  - Symmetrical clusters
  - Improved streaming cluster replication during server restarts
  - New way to synchronize database replicas
  - Detect delays in database replication within a cluster
  - Full-text search resiliency
  - Document deletion logging
  - Automatic dead mail processing
- **Security features**
  - SAML federated identity provider configuration enhancements
  - Maintaining ID file synchronization with the vault
  - Whitelist Active Content Filter
- **Apache Tika conversion filter used for attachment searches**
- **ODS 53 supports larger databases and folders**
- **ODS 52 is the default ODS level**
- **Improvements to Web Site rule documents for HTTP response headers**
- **New features to push to Notes clients**
  - Scheduled messages
  - Set limits for sending mail
  - Pushing a custom color theme to Notes clients
  - Pushing icalendar refresh interval, pushing new calendars
- **Component packages that are upgraded in Release 10**
What’s new for users?

Notes includes the following new features. The links below take you to descriptions of each in the Notes documentation.

- **New workspace look**
- **Custom color themes**
- **Application user interface enhancements**
- **Touch screen on Windows Tablet**
- **Collapsible left navigator**
- **Quick contacts**
- **More accurate results when searching attachments**
- **Updated import and export file types**
- **Images in web tables look better when copied**
- **Some preferences now enabled by default**
- **New mail features**
  - By Sender mail view
  - Schedule when messages are delivered
  - Keep multiple forwarded messages separate
  - Second signature for replying and forwarding
  - Delegate can archive with Editor access
  - Improved send mail errors and warnings
  - Larger Junk Mail Senders list
  - STARTTLS support for Notes client SMTP connections
  - Upgrade more mail file folders at one time
- **New calendar features**
  - Allow meeting attendees to invite others
  - Delegate calendar but not Contacts
  - Apply Sender Colors to meetings
  - Add calendar categories and assign colors at the same time
  - Copy Into New - Calendar Entry copies online meeting details
  - Improved calendar interoperability with Outlook
  - Calendar overlay improvements
  - Team calendar
What’s new for developers?
The following features are new for developers.

Domino AppDev Pack
The AppDev Pack adds Node.js support to IBM Domino beginning with version 10.0.1. The AppDev Pack is released quarterly and is available as a separate download from Passport Advantage. It includes three related components:

- A server-side component called Proton. An administrator installs and configures Proton on one or more Domino servers.
- A Node.js module called domino-db. A developer adds this module to a Node.js application. The domino-db module uses Proton to perform bulk operations on documents in a server database.
- A Node.js based service called IAM (Identity and Access Management). An administrator can deploy it aside Domino to enable remote applications to access Domino resources through RESTful APIs with standard OAuth2.0 authorization flows.

For more information, see the AppDev Pack documentation.

New LotusScript and Java classes
The following new LotusScript and Java classes are available. The following links take you to descriptions of each in the Domino Designer documentation.

LotusScript
- [NotesHTTPRequest](#) to support HTTP requests to web servers
- [NotesJSONArray](#), [NotesJSONElement](#), [NotesJSONNavigator](#), and [NotesJSONObject](#) to support consumption of JSON
- [NotesDominoQuery](#)

Java
- [DominoQuery](#)

1 Used to compile, tune, and run Domino Query Language (DQL) queries. DQL is a facility that runs in Domino core and allows for a terse shorthand syntax for finding documents according to a wide variety of complexity of terms. It leverages existing design elements without the need to write detailed code to access them. In addition to being available with LotusScript and Java, the domino-db module of Node.js provided with the AppDev Pack uses DQL to select target documents for most operations.
## What’s been removed?

The following components are no long part of Notes and Domino 10.

<table>
<thead>
<tr>
<th>Component</th>
<th>Additional information</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Open Social components</td>
<td></td>
</tr>
<tr>
<td>RSS feed reader</td>
<td></td>
</tr>
<tr>
<td>Domino Offline Services (DOLS)</td>
<td></td>
</tr>
<tr>
<td>IBM® HTTP Server (IHS)</td>
<td>IBM HTTP Server (IHS) has been removed as an install option for Domino on Windows and is no longer supported as a tightly integrated HTTP replacement for Domino HTTP on the same machine. With the native implementation of Transport Layer Security (TLS 1.2) on all platforms and a broad set of protocols (HTTP/HTTPS, LDAP/LDAPS, SMTP, IMAP, POP3, DIIOP, iSpy), the IBM HTTP Server functionality is no longer needed with Domino. As with any HTTP proxy, customers who purchase IHS, can install and configure per IBM HTTP Server documentation.</td>
</tr>
<tr>
<td>Older IBM Lotus® file types for import and export</td>
<td>Lotus 1-2-3 file type is no longer available, by default, for view import or export. Lotus 1-2-3, Lotus PIC, Lotus WordPro, Symphony®® Document, Symphony Presentation, and Symphony Spreadsheet file types are no longer available, by default, for document import or export. Use the notes.ini setting IncludeOldFileTypes=1 on clients if you want to enable these file type options again.</td>
</tr>
<tr>
<td>The IBM iNotes® ActiveX installer</td>
<td>The IBM iNotes ActiveX installer is no longer provided with Domino for iNotes. As of Internet Explorer 11, standard users can install ActiveX controls themselves and administrator access is no longer required.</td>
</tr>
<tr>
<td>KeyView conversion filters for attachment indexing.</td>
<td>The Domino server and Notes standard client use Apache Tika 1.18 open source conversion filters to extract text for full-text searches of attachments. Tika replaces the KeyView conversion filter used in previous releases.</td>
</tr>
</tbody>
</table>
Chapter 2 Planning the Domino 10 server deployment

Time spent doing a thorough evaluation of your environment prior to upgrading is time well spent. Capturing baselines of your existing server infrastructure allows you to compare how the upgraded environment is performing.

Evaluate and monitor your existing environment

Evaluate
As a starting point, do a thorough investigation of the state of your current environment. Use tools to capture data about the following aspects:

- Server infrastructure (including baseline stats, performance, etc)
- Clients / workstations
- Applications
- 3rd party Products

Document pre-existing conditions and problems:

- Try to resolve outstanding issues and problems prior to upgrading.
- No matter how tenuous the link, an upgrade can be held responsible for any problem whether old or new.

Document things you want or need to address while you have the opportunity, focus, and resources available:

- There is always cleanup that can be done ahead of time

Monitor
Monitoring your current environment is a critical part of any upgrade, even an upgrade to a point release. The goal is to understand the cost of running the current environment and to predict a problem before it happens in the new environment. Monitoring is particularly important when you are moving users and/or consolidating servers

1. Capture the available raw data from the servers:
   - Operating system capacity and performance metrics
   - CPU, memory (usage, paging), disk (usage, I/O rates, performance), network
   - Domino server specific statistics
   - Other components (for example, SAN switches and disk metrics)

2. Interpret/analyze the data and create baselines for your current environment:
   - What are the typical operating parameters for your servers?
   - What is the data telling you about your environment?

3. Monitor your user baselines.

4. Create daily/weekly/monthly reports based on your baselines.

5. Create a remediation process to address results that exceed baselines.
Evaluate operating system and hardware requirements for R10

System requirements

Evaluate system requirements. (See Chapter 6). Then, ask these questions:

Should a hardware refresh be included...
- because it has to be?
- because it is time for an update?
  - Is the current platform still supported?
  - Does the current platform fit the strategic needs?
  - Do you need more or different storage?
  - Can you or should you consolidate?
  - Do workstations need upgrades?
  - What is the support position of each vendor of third-party products?

For links to system requirements, see System requirements in Chapter 6.

Are you moving from a 32-bit operating system to a 64-bit operating system?

If so, the following things will happen:

- All existing full text indexes will be discarded and rebuilt
- On Windows, all existing views currently built will be discarded and rebuilt

Because of the two items mentioned above, if the updall process is used during upgrading it will take much longer to run so you should plan for it. This is a one-time occurrence.

See the following link(s) for additional information:

Technote #1296452 - FAQ: 64-bit version of Domino
Technote #1506430 - Steps to upgrade a 32-bit Domino server to 64-bit server on Windows platform

Evaluate coexistence of features across versions

Notes Auto Update

Notes Auto Update is introduced in Domino 10.0.1 and Notes 10.0.1. This service can be used to automate upgrades of Notes clients, starting with release 10.0.1. For example, it can be used to upgrade a 10.0.1 client to 10.0.1 Fix Pack 1. Only Domino 10.0.1 servers can function as the AUT servers that push out client updates. For more information, see the Domino 10.0.1 documentation.

New ODS level: ODS 53

ODS 53, the R10 ODS level, allows for larger databases and folders. The database size limit has increased from 64 GB to 256 GB. For information on upgrading databases to ODS 53, for example through the notes.ini setting Create_R10_Databases=1, see the topic ODS 53 supports larger databases and folders in the Domino documentation.
After you upgrade a database on a Domino 10 server to ODS 53:

- Up to 64 GB of database data can replicate to a target replica on any version of a Domino server or Notes client. To replicate more than 64 GB of data, the target replica must be on a Domino 10 server or Notes 10 client and be upgraded to ODS 53.
- Folders in the database that are within the size limit of the previous release can replicate to a target replica on any version of a Domino server or Notes client. If a folder in the database exceeds the previous-release size limit, its entire contents can replicate only with a replica upgraded to ODS 53 on a Domino 10 server or Notes 10 client.
- A Notes 9 client can open the database without issue only if the database and folder sizes are within the Notes 9 size limits.

Scheduled messages
Administrators can allow users to schedule when their messages are delivered. Domino 9.x servers do not recognize scheduled message requests and route the messages immediately. Before you enable scheduled mail for users, make sure that any mail servers that handle their scheduled messages run Domino 10. If you use clustered servers, ensure that they all run Domino 10. For more information, see the Domino 10.0.1 documentation.

Clustered Servers
Upgrading servers in a cluster at different times is supported, so that you can have a mixed R9 and R10 server cluster during the coexistence period of your project. Note the following in a mixed environment:

- The symmetrical cluster feature, designed to keeps Notes databases identical across servers in a cluster, can include 9.x servers to simplify the migration to Domino 10. However, 9.x servers cannot act as donors (sources for missing or damaged copies of databases), which limits the functionality of the feature during the migration.
- Cluster replication does not restrict the replication of design elements. The Domino directory 10 design (pubnames.ntf) is backward compatible with Notes and Domino 9. However other databases may cause issues on earlier Domino servers and Notes clients. To keep design elements for databases at the same version as their server, keep Domino 9 servers in a separate cluster from Domino 10 servers.

Additional resources
See Release interoperability information in Chapter 6.

Plan IBM Traveler upgrades
If upgrading a Domino server that runs Traveler, keep the following points mind:

- If you plan to upgrade Domino and Traveler at the same time, upgrade Domino first.
- You can install and run Traveler on any version of Domino that Traveler supports. Best practice is to use the latest maintenance level of the Domino version you choose.
- If you upgrade the Domino server major version you must re-run the IBM Traveler install to ensure proper binary files are installed. For example, if running IBM Traveler 10.0 on Domino 9.0.1 and you upgrade to Domino 10.0, re-run the IBM Traveler 10.0 installer.
Plan whether to upgrade Domino on an existing machine or move to a new one

As part of the Domino server upgrade, you have a good opportunity to make some other changes to your Domino infrastructure. There are some choices you need to make at this point, such as if you want to upgrade an existing server or install a new server with a new identity, or install a new server and inherit identities. Here are some things to consider at this point in the process:

Will this be an upgrade or a new installation? After defining your server requirements, you should determine if servers should...

• be upgraded in place?
• be replaced with new servers?
• be some combination of these approaches?
  o Should new servers inherit existing identities or have new ones?
  o Consider what impacts there could be on the client configuration.

There are a range of options depending on the answers to those questions above. For all options, the upgrade process and configuration testing needs to be done in a test environment first.

Option 1 - Upgrade the existing Domino server

This is the easiest approach. This is an "in place" software upgrade of an existing server

• The server identity remains the same
• No change of underlying hardware or operating system
• If clustered...
  • upgrade one server at a time in the cluster
  • remember that ACLs and replication settings do not prevent designs from propagating in a cluster

Option 2 - Move existing Domino server to new hardware

Note: Upgrading hardware and Domino at the same time is not recommended. You should upgrade the hardware before or after the Domino upgrade, but not at the same time unless you have no other choice. Upgrading them separately makes it much easier to troubleshoot when problems arise, isolating the issue to the hardware upgrade versus the Domino upgrade.

The server identity remains the same, but will be moved to a new machine:

• Bring down the current server.
• Move all data to the new hardware to the same position (same file locations and directory structure) as the old hardware.
  o Domino program directory
o Domino data directory
o Domino transactional logs

Note: If you are changing file locations and directory structure during this move, refer to the wiki article: Changing directory locations when moving a Domino server to new hardware for more information.

- Rerun install of the current version of the Domino server and point to all of the same file locations to mirror your previous configurations.
- Once you start the copy of data to the new hardware, you should never bring up the server on the old machine.
- Before bringing up the server for the first time, switch the server host and network identities to that of the old server.
- Run this configuration for a few days to make sure everything runs correctly. If so, then you can safely upgrade this Domino server

Option 3 - Install new Domino servers (Inherit identities)

- Build new server independently.
- Create a new temporary server identity.
- Permits change of underlying hardware and operating system.
- Permits testing of the configured state before cut-over.
- Create replicas on temporary server and keep in synch with server to be replaced via replication.
- At desired time, switch server host, network and Domino server identities. The change is transparent to clients.
- If clustered...
  o repeat process for each server
  o do not add temporary Domino server into cluster

Option 4 – Install new Domino server (New identity)

- Build a new server independently.
- Create a new server identity.
- Permits change of underlying hardware and operating system
- Permits testing of the configured state before cut-over
- For mail users, requires some migration of users and client configurations from existing to new server.
- Permits monitoring as you ramp up users to verify that you don't overload the "new" server.
- For applications, requires migration of applications to new server and redirection from old server.
- If clustered...
  o create new servers and new cluster
  o migrate users and client configurations to distribute users across the members
  o migrate applications to the new cluster
Create a server test environment
If you do not have a test environment, it is highly recommended that you create one. You will want to incorporate all the decisions that you have made up to this point and create a test environment that is representative of your current and target platforms, including hardware and software resources. Creating this environment is very important if you want to do any kind of performance or capacity planning.

For your basic test environment:

- Install Domino 10.0.1.
- Create copies of applications.
- Use test IDs and access applications just as you would in production.
- Customization work is done during testing. Get access to all the templates and applications from your test server and customize them as needed.

Pilot the upgrade in the production environment
Pilot the upgrade in the production environment, considering the following as you do:

- Document EVERYTHING during your pilot upgrade. For example, record in detail the operations, commands, the hours required to perform the upgrade, and any error messages you encounter.
- Imaging: Because some testing should focus on sets of steps that are to be executed, imaging saves time by enabling you to reset your environment to a known position. For example, VMWare with its snapshot capability can be a useful tool for this purpose. If VMWare is not ideal for your specific platform, implementing a robust backup and restore program is another way to achieve this.
- Determine the feedback needed from pilot users and determine success criteria.
- Choose pilot groups carefully. Start with immediate IT staff, then add lowest risk user populations. Grow the pilot population over time, adopting new audiences. Target diverse roles: technical, power user, assistants, application users.
- Perform the upgrades necessary for the pilot. Start with Administration servers, Hubs and SMTP Gateways with no users. Begin your pilot with one Domino mail server. Once working properly, continue to add/upgrade more mail servers.
- Run a steady state environment for a defined pilot duration.
- Review and update procedures after pilot feedback.
- Leverage clustering. If there are any issues during upgrading, your users can fail back over to the "down-level" server.
Upgrade to release 8.5.x first if the current Domino version is older

If you have a Domino version that is earlier than 8.5.x, you need to decide whether to first upgrade to 8.5.x before upgrading to 10.

**Note:** IBM only certifies upgrading from Domino 8.5.x or greater to 10. Domino 8.5.x has reached End-of-Support. If you have this or an earlier version, you need to upgrade as soon as possible. To keep track of supported versions, visit the Software Support Lifecycle page.

You may want to do your own certification of a direct upgrade from a current, pre-8.5.x Domino version to Domino 10.x in your test environment and/or initially on the first production Domino server. Then, make your decision based on your results.

Here are the steps to do an interim upgrade of pre-Domino 8.5.x server to 8.5.x, if you decide to go that route:

1. Make backup copies of all files, include transactional logs if appropriate.
2. Install the 8.5.3 FP6 server.
3. Enable DEBUG.OUTFILE= in the notes.ini file to capture console output. For more information on using the debug_outfile parameter, see technote # 1181562: Using Debug_OUTfile on a Domino server
4. If time permits, run fixup against all databases, validating their integrity and repairing if necessary: (n)fixup -f -j -v

**Note:**
- f Exhaustive fixup, all documents are checked.
- j Include transaction-logged databases if you have transaction logging enabled. Without this option, fixup does not repair logged databases.
- v Exclude database views (faster) Also, all views will be rebuilt later during the 10.x upgrade anyway. You can use indirect files (.IND) to run multiple fixup processes concurrently to complete in a more timely manner.

For more information on how to create and run indirect files refer to the wiki article: Using indirect files to run maintenance tasks

Check the DEBUG_OUTFILE for any errors, possibly indicating data corruption. Query the IBM Support site and/or work with IBM Support to get them resolved.

5. If you decide to run the Domino server at release 8.5.x before upgrading to release 10 add the following steps:
   a) Run the updall process against all databases on the Domino server:
   (n)updall
   You can use indirect files (.IND) to run multiple updall processes concurrently to complete in a more timely manner.
   b) Start the 8.5.x Domino server
Prepare your production environment before you upgrade

Before upgrading to 10.x, perform these steps:

1. Normalize your environment. Resolve any major issues or crash/hang conditions before you upgrade. Don't assume the upgrade will fix these issues, unless documented.

2. Investigate the compatibility of vendor-supplied applications and companion products with Domino 10.x.

3. Make backup copies of all files, include transactional logs if appropriate.

4. Enable DEBUG_OUTFILE= in the notes.ini file to capture console output. For more information on using the debug_outfile parameter, see technote # 1181562: Using Debug_Outfile on a Domino server

5. If time permits, run fixup against all database validating their integrity and repairing if necessary.

   (n)fixup -f -j -v

**Note:**
- -f Exhaustive fixup, all documents are checked.
- -j Include transaction-logged databases if you have transaction logging enabled. Without this option, fixup does not repair logged databases.
- -v Exclude database views (faster) Also, all views will be rebuilt later during the 8.5.x upgrade anyway.

You can use indirect files (.IND) to run multiple fixup processes concurrently to complete in a more timely manner. For more information on how to create and run indirect files refer to the wiki article: Using indirect files to run maintenance tasks

Check DEBUG_OUTFILE for any errors possibly indicating data corruption. Query Knowledge Base and/or work with Support to get them resolved

**Note:** If you don't have time to run fixup on all databases, at a minimum, run fixup on your system databases.

6. Verify all system databases have inheritance turned on:

   - NAMES.NSF (StdR4PublicAddressBook)
   - LOG.NSF (StdNotesLog)
   - EVENTS4.NSF (StdR4Events)
   - ADMIN4.NSF (StdR4AdminRequests)

   This is so the Design task can be utilized to refresh the system database designs with the Domino server down. If you skip this, later you may need to manually replace the design of some system databases using the Domino Administrator client.

Plan your deployment sequence

The following picture and the information that follows describes the classic deployment sequence. This sequence does not account for organizational, demographic, or other constraints in your environment. Use this information as a guiding principle while taking other factors of your business into account.
Steps 1-3, highlighted in yellow, need to occur regardless of the overall strategy and sequence of server/client upgrades.

If you decide to upgrade the design of the Domino directory in your domain in step 2 before upgrading any Domino servers to 10.x, you must first get a copy of the Domino directory template (PUBNAMES.NTF). Install Domino 10.x on a test server and retrieve the template from there and copy to your admin client.

**Important Note:** The Domino directory design has changes in Domino 10.x. Changes include View design updates in the following views: ($Certifiers), ($Servers), (trustCertLkup), Policies\Accounts, Server\Licenses, People, Policies\Settings. Please test any custom applications, agents, scripts, tools, automated processes, etc., that run against the Domino directory and ensure they run successfully.

Another option is to upgrade the design of the directory along with other system database designs when you upgrade the administration server of the Domino directory.

**Important Note:** Some customers, especially enterprise customers with thousands of users in their Domino directory, may want to control the flow of the new Domino directory design out into the domain. For more information, see [Control the flow of the Domino directory design](#) in Chapter 4.

Steps 4-5, highlighted in red, can be achieved in various ways. The picture depicts all non-user facing servers upgraded before those that users access. In larger organizations, it may make more sense to
upgrade all servers in a location before moving to the next location in which case some infrastructure and some user-accessed servers will be upgraded at the same time.

Most Domino upgrades are relatively straightforward and cause minimal disruption to your production environment. However, you are strongly encouraged to plan the order and pace of Hub and Mail Server upgrades. Planning these steps wisely can minimize risk of service problems, while still maintaining your upgrade schedule. When upgrading software, many enterprises follow the principle of stepwise upgrade. The basic idea is to at each step of the process, preserve the opportunity to back off to the previous step, until you are confident in the current step.

IBM recommends choosing a single, or small number of servers for the first step of the process. The server(s) should be chosen based on a tradeoff between being representative of your production environment but also involving less business risk, if possible. This allows you to ensure configuration and tuning of the upgraded environment is optimal for the broader deployment. Criteria for success should be set for this and each subsequent step. It is recommended that one of the criteria be delta change in key parameters you monitor routinely, but especially these parameters should include CPU, virtual memory usage, and storage operations (reads and writes). Compare CPU, virtual memory and storage operations for a period of several days before and after upgrade and investigate significant differences unaccounted for by component changes in the upgrade. enterprises with passive (fail over) servers should consider deploying one of these as a first step to further reduce risk.

Subsequent steps should be small enough (for example involve the appropriate level of change, say the number of servers) to enable back out to the previous step, if necessary, at least in the earlier stages of a deployment. Again, providing an opportunity for additional optimizations for your specific environment. As more servers are upgraded, and confidence increases, enterprises usually increase the rate of change and size of particular steps.

IBM also recommends wise use of any failover architecture you may have implemented to reduce risk during upgrades. Some enterprises, for example, delay upgrading both pairs in two-way clusters until all of one side is upgraded. If a problem occurs with an upgraded server, failover to a clustermate is a possibility with high probability of success. Consider upgrade of the Active side of Active/Passive pairs first. This enables deployment on production loads, while preserving failover opportunity. Larger enterprises also do well to consider a production failover test to validate previous hardware sizing assumptions for clustermates. Failover test criteria should also include monitoring.

Steps 6-9 are important steps to take advantage of the new features in Notes and Domino 10. Depending on the size of your Notes client base, communication needed, training required, etc. these steps are often carried out months after the server upgrades. This allows time for production testing before rolling out to hundreds or thousands of users.

The 10.x ODS level, ODS 53, supports larger databases and folders and better performance and stability. Upgrading to ODS 53 is strongly recommended.
Chapter 3 Upgrading applications

Start planning and testing application upgrades at the outset of your Domino 10 upgrade planning.

Consider using ApplicationInsights if your organization is entitled to it under IBM Software Subscription and Support (S&S). ApplicationInsights is an offering from panagenda that allows you to get a detailed analysis of your application landscape in IBM Domino. For more information, see Q&A about panagenda ApplicationInsights and the offering for entitled IBM customers.

Create an inventory of applications.

Creating an inventory of your applications allows you to get an understanding of your application landscape as input for requirements and architectural discussions. It also gives you an opportunity to clean up your application environment.

As you create the inventory, identify the following information:

- The current user population: executives, managers, entire organization, small groups of people.
- Nature of the applications: template-based, custom, back-end integration and connectivity, level of complexity.
- Any current issues. After an upgrade, it is important to know if the upgrade caused an issue in an application or if the issue existed prior.

Follow best practices for application upgrades

- If there are current application issues, decide if any need to be fixed before the upgrade, and if so, plan for the resources needed to do so. Concentrate your efforts on issues that are simple and easy to fix.
- Notify users in advance and provide training on any application changes.
- Upgrade applications that are based on standard templates.
- Change the design of applications to incorporate new Notes & Domino 10.x features, if appropriate.

Testing application upgrades

Test an upgrade of a sampling of applications

Include in your upgrade testing:

- Mission-critical applications that are based on different designs
- Applications used by executives
- Complex or custom applications that include:
  - back-end integration
  - reliance on third-party software
  - undocumented functions and features
  - extensions or add-in tasks using nsf_hooks, ext_mgr, and home-grown APIs
  - use recompile all (LotusScript) to check for LotusScript issues
- Sample of applications that use a common or standard template
Leverage tools to assist with your testing

Get the Domino 10.0.x specific rule sets for the tools you're using.
Good at pointing out the most prevalent areas that could result in problems
Use the results in prioritization effort

Documents the results

Document the results of testing and convey them to the application developers.

Resolve issues

Resolve issues found based on your priorities and testing results:

- Decide which application problems to fix before deploying to production.
- Create a small team to address problems that arise after deploying to production.
- Put applications into the pilot test environment for acceptance testing.
- On successful testing, archive copies of new templates.
Chapter 4 Deploying Domino 10 servers

Depending on the size of your organization and the number of Domino servers involved, an organization upgrade schedule may range from a few hours to a few months. An organization with a small number of users and a handful of Domino servers can easily be upgraded in a single day and even in a matter of hours. However, an enterprise with hundreds of thousands of users in multiple domains on hundreds of Domino servers located throughout the world will implement an upgrade plan that spans several months. Fortunately, one of the great strengths of Notes & Domino is that it maintains a very strong interoperability story between releases that makes this all possible.

The number of ways to perform a Notes and Domino upgrade is almost limitless. This document will cover only a few of these ways and hopefully give administrators several ideas they may decide to incorporate in their own upgrade plans. This chapter discusses best practices for upgrading small and medium businesses as well as how large enterprises may go about it.

It is always highly recommended, as time permits within your organization, to keep as close to the most current release of Notes and Domino. Keeping up with maintenance releases (MRs) and Fix Packs (FPs) for each major release as they become available is also recommended.

Review your deployment planning
Before upgrading servers as described in this chapter, it is VERY important that you read and follow the steps in Chapter 2 Planning the Domino 10 Server Deployment. There is a lot of prerequisite information covered there that positions you for success during this phase of the deployment.

If you have already followed the steps in chapter 2, you should feel pretty comfortable at this point because you have tested the upgrade in a test environment and you have completed an upgrade pilot. The following things cannot be stressed enough:

- Make backups of all files (ID files, notes.ini files, system databases, applications, etc.) and validate the integrity of the backups if you have not done this already.

- Although it can be time consuming, performing maintenance on your databases before or during the upgrade process is very important. Repairing any database corruption before you upgrade is the best way to avoid big headaches later. Ideally, you run at least fixup -j and possibly compact -c on ALL of your databases when instructed to. If you don't have the time to do that, you should try to run the maintenance tasks on at least your system databases. You can use indirect files to save time in this process.

- To have the least end-user impact, upgrade your environment during off-hours or over a weekend.
Domino maintenance tasks
Here are tips for performing Domino database maintenance during the upgrade.

Running Domino maintenance tasks when the server is shut down
The upgrade sections in this chapter include steps for running some Domino maintenance tasks while the server is down. Here is information on how to do that.

UNIX: "Running compact, fixup, and updall on AIX, Linux, and Solaris when a Domino server is down" (#1303727)

IBM i (AS400): "How to run Fixup, Compact, or other command while the Domino iSeries server is down" (#1102349)

Windows: To run Domino maintenance tasks while the server is shut down (offline), add the letter "n" to the beginning of the Domino server command (required when Domino is shut down, Windows platforms only).
1. Open a command window (Start -> Run -> type "cmd" -> click Enter).
2. Navigate to the file system folder where the Domino server is installed (same directory where nserv.exe is located).
3. From that path, type the Domino server command in the command window, adding the letter "n" before the name of the Domino server task. For example:
   x:\IBM\Domino\nfixup.exe names.nsf -f -j -v
   x:\IBM\Domino\ncompact.exe names.nsf -c
   x:\IBM\Domino\nupdall.exe admin4.nsf -R
   x:\IBM\Domino\nupdall.exe admin4.nsf -X

Use indirect files to save time running maintenance tasks
To save time, you can use multiple indirect files to run the same maintenance task multiple times concurrently. Fixup, compact, updall, design and the convert tasks all support using indirect files. Additionally, you can create batch/scripts that run several maintenance tasks serially against different indirect files to help complete them more quickly.

Wiki article: Using indirect files to run maintenance tasks

Upgrading small and medium business environments
Small and medium businesses (SMBs) are generally defined as ones having 10,000 users or less and 50 servers or less.
**SMB deployment sequence**

The recommended deployment sequence for this type of environment is:

1. Upgrade the Notes clients that administrators will use to edit and operate on the Domino directory.
2. Upgrade the administration server of the Domino directory.
3. Allow the new Domino directory design to replicate freely to the other servers.
4. Upgrade hub servers.
5. Upgrade Resource and Reservations (R&R) servers.
6. Upgrade Domino mail servers.
7. Upgrade SMTP servers.
8. Upgrade application and web servers.
10. Upgrade the general population to Notes 10.x.
11. Replace design of mail files with MAIL10.NTF

**Upgrading Domino servers**

1. Make sure the Domino server to be upgraded is shut down “cleanly” (no errors or hangs).

If the Domino server does not shut down cleanly:

a) Run nsd -kill.

b) With the Domino server down, run a Domino maintenance task against a non-existent database name. This step flushes the transactional logs to disk and essentially simulate a clean Domino server shutdown.

Here is an example:

```
c:\domino> nfixup.exe fred.nsf
```

*Restart Analysis (117 MB)*: 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

*Recovery Manager*: Recovery being performed for DB d:\notefile\mail.box

*Recovery Manager*: Recovery being performed for DB d:\notefile\names.nsf

*Recovery Manager*: Recovery being performed for DB d:\notefile\log.nsf

*Restart Replay (116 MB)*: 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

04/22/2018 04:33:03 PM *Recovery Manager*: Restart Recovery complete.

(3/2 databases needed full/partial recovery)
2. Install Domino 10.

3. Copy customized templates into place.

4. Run the design task to refresh the design of system databases.

   **Note:** Ensure that inheritance is enabled on the system databases. See [Preparing your production environment before you upgrade](#) in Chapter 2 for more information.

5. Run the updall task to rebuild views with design or collation changes.

   **Note:** Use [indirect files](#) to save time.

6. Restart the Domino server.

7. Repeat the steps for the next server to be upgraded.

**Upgrading enterprise environments**

An enterprise business is generally defined as one having more than 10,000 users and more than 50 servers. It can easily take many weeks or even months to upgrade all servers while end-users are anxious to use the new 10 interface as soon as possible.

**Important information about design changes to the Domino directory**

Two critical views, ($USERS) and ($SERVERACCESS), are used when a Notes client or a Domino server attempts to authenticate with a Domino server. The design upgrade causes these views to be rebuilt from scratch when first opened. If a Domino server is running when the views are being rebuilt, all authentication attempts to that server are blocked. Users attempting to access a Domino server in this state can experience significant delays or hangs. Domino clustering is also unavailable during view rebuilding. However, if the views are rebuilt with the Domino server down, the Notes client can take advantage of Domino clustering and fail over.
Rebuilding of the ($USERS) and ($SERVERACCESS) views takes longer in enterprise environments due to the many more users in the Domino directory, especially if the Domino server is running and the view rebuilds are competing for cycles. Therefore, it is important to allow the new Domino directory design to replicate out during off-hours and/or on the weekend so that the views can be rebuilt with limited end-user impact. Or, you can control the flow of the new Domino directory design within the domain and only upgrade to the new Domino directory design as you upgrade each individual Domino server and assure all critical views are rebuilt prior to restarting the newly upgraded Domino server.

Rebuilding ($Users) and ($Server Access) and even upgrading to a new ODS can be time consuming for a very large Domino directory. Therefore it is not uncommon in an enterprise to do all this work once on the directory of the first server upgraded. Then, copy the updated directory on each subsequent server being upgraded after installation of Domino 10.x.

**Control the flow of the Domino directory design**

As with almost everything in Notes and Domino, there are several ways to control the flow of the Domino directory design. Here a couple of ways:

**Enterprise deployment sequence #1**

1. Remove all instances of the Domino directory template (PUNAMES.NTF) from your domain(s).

2. Upgrade the Notes clients that administrators will use to edit and operate on the Domino directory

3. Prohibit Domino directory Design elements from replicating to Domino servers:
   - From the Domino directory choose **File -> Replication -> Options for this Application.**
   - Select the Advanced Tab.
   - In the "Receive these elements from other replicas" section, uncheck "Design elements."
   **Note:** After you upgrade a Domino server, be sure to allow (check) Design elements to be received for the replica of the Domino directory on this server.


5. Upgrade hub servers.

6. Upgrade Resource and Reservations (R&R) servers.

7. Upgrade Domino mail servers.

8. Upgrade SMTP servers.

9. Upgrade application and web servers.

10. Upgrade third-party and companion product servers.

11. Upgrade the general population to Notes 10.x.

12. Replace design of mail files with MAIL10.NTF.
Enterprise Deployment Sequence #2

1. Remove all instances of the Domino directory template (PUBNAMES.NTF) from your domain(s).

2. Configure the Domino directory ACL so that a new design can only flow in the following direction:
   
   Administration Server of Domino directory -> Hub Servers -> Spoke Servers.
   
   This ensures there is no backflow of Domino directory changes as you upgrade first spoke servers, then hub servers, then the administration server of the Domino directory.

3. Upgrade the Notes clients that administrators will use to edit and operate on the Domino directory.

4. Upgrade SMTP servers.

5. Upgrade Domino mail servers.

6. Upgrade Resource and Reservations (R&R) servers.

7. Upgrade the general population to Notes 10.x.

8. Replace design of mail files with MAIL10.NTF.

9. Upgrade application and web servers.

10. Upgrade third-party and companion product servers.

11. Upgrade hub servers.

12. Upgrade the administration server of the Domino directory.

Upgrading the first Domino server in an enterprise

1. Make sure the Domino server to be upgraded is shut down cleanly (no errors or hangs).

If the Domino server does not shut down cleanly:

a) Run nsd -kill to clean up.

b) While the Domino server is down, run a Domino maintenance task against a non-existent database name which will flush the transactional logs to disk and essentially simulate a clean Domino server shutdown.
Here is an example:

c:\domino> nfixup.exe fred.nsf

Restart Analysis (117 MB): 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

Recovery Manager: Recovery being performed for DB d:\notefile\mail.box

Recovery Manager: Recovery being performed for DB d:\notefile\names.nsf

Recovery Manager: Recovery being performed for DB d:\notefile\log.nsf

Restart Replay (116 MB): 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

04/22/2018 04:33:03 PM Recovery Manager: Restart Recovery complete. (3/2 databases needed full/partial recovery)

04/22/2018 04:33:07 PM Informational, rebuild view needed - collection object was deleted (reading d:\notefile\names.nsf view note Title:'($Servers)')

04/22/2018 04:33:08 PM Informational, rebuilding view - container integrity lost (reading d:\notefile\names.nsf view note Title:'($Servers)')

04/22/2018 04:33:08 PM Informational, rebuild view needed - collection object was deleted (reading d:\notefile\names.nsf view note Title:'($Servers)')

04/22/2018 04:33:10 PM Database Fixup: Started

04/22/2018 04:33:10 PM Database Fixup: The pathname 'd:\notefile\fred' was not found: File does not exist

04/22/2018 04:33:10 PM Database Fixup: Shutdown

2. Install Domino 10.x

3. Copy customized templates into place.

4. Run the design task to refresh the design of system databases

   **Note:** Ensure that inheritance is enabled on the system databases. See [Preparing your production environment before you upgrade](#) in Chapter 2 for more information.

5. Run the updall task to rebuild views with design or collation changes.

   **Note:** Use [indirect files](#) to save time.

6. Copy the Domino directory and full-text Index where they can later be copied to the next Domino server being upgrade.
7. Restart the Domino server
8. Proceed to Upgrading the next Domino server.

Upgrading the next Domino servers in an enterprise
1. Make sure the Domino server to be upgraded is shut down cleanly (no errors or hangs).
2. Install Domino 10.x
3. Copy customized templates into place.
4. Copy the Domino directory and full-text index, if enabled, saved from the "Administration Server" upgrade.
5. Run the updall task to rebuild views with design or collation changes.

Note: Use indirect files to save time.
6. Restart the Domino server.
7. Repeat to upgrade the next Domino server.

Enabling new features
For information on new features, see Chapter 1. Before enabling new features, review the topic Evaluate coexistence of features across versions in Chapter 2.
Chapter 5 Deploying Notes 10 clients

System requirements
See System requirements in Chapter 6.

Before you being the upgrade
Before you upgrade, take the opportunity to do some client cleanup and maintenance so that you can begin on the right foot with Notes 10.

Automate and standardize
- Relocate client code on the desktop. If data is in a non-standard location, consider moving it to the recommended location for multi-user installs. For users who frequently change machines, consider a roaming user deployment.
- Set or reset mail quotas.
- Update configuration settings.
- Enforce consistency using policies. For example, use consistent install choices, bookmarks, preferences, certification schemes, hierarchies, etc.
- Improve load balancing of users across your environment.

Clean, tighten, and fix
- Remove unneeded applications from desktops.
- Remove notes.ini settings that are no longer required.
- Remove hard-coded server IP addresses from address books.
- Fix any issues with your current deployment.
- Run maintenance on local system databases.
- Defragment user workstations.

Overall upgrade order
The following upgrade order is supported:

1. Domino servers
2. Notes clients
3. Application templates
Notes client install best practices

Follow these install best practices.

Multi-User installs

Multi-user installs are ideal for most Notes users. The exception is users who use Domino Designer or Domino Administrator, which are available for single-user installs only.

A multi-user install provides the following benefits:

- Leverages operating system multi-user profiles.
- Leverages user-independent settings.
- Allows administrators to lock-down control of installed programs by installing in read-only directories.
- Allows multiple Notes users to share a computer while keeping their work stored securely in separate personal data directories.

To switch from single-user to multi-user, see the following topic: Upgrading from Notes single user to Notes multi-user in the Domino documentation.

Standard client installation

Use the standard client rather than the basic client unless hardware is inadequate. If you need to use the basic client, install the standard client but launch the basic client. To launch the basic client, add the setting UseBasicNotes=1 to the client notes.ini file or configure the installer to use the "-sa" or "-basic" switch in the shortcut.

Roaming users

Enable Notes users to roam so that settings and key Notes files (names.nsf, notes.ini, bookmarks, desktop, journal) stay synchronized across multiple clients. For more information, see the following topics in the Domino documentation:

Roadmap for registering and configuring Notes roaming users

Considerations for changing roaming user status

ID vault

If you don’t already, store Notes IDs in an ID vault. An ID vault makes recovery of damaged ID files easy and enables administrators to reset passwords when users forget them. For more information, see the Notes ID vault section of the Domino documentation.

Standardized notes.ini settings

Standardizing notes.ini settings across clients is recommended when possible by deploying the settings through policies. An exception is settings that are needed as part of launching Notes: these you can specify through a custom installer.

For more information, see the following topics in the Domino documentation:
Assigning Notes.INI settings through user policies

Creating a customized add-on installer

Replicate notes.ini settings via roaming user functionality
Enable Roaming User functionality to push notes.ini settings replicated after an upgrade. Doing this will allow you to delete user notes.ini settings locally and then all roaming functionality to restore them upon next launch.

Uninstalling before upgrading

Uninstalling a prior version of Notes before upgrading is not required. However, you might want to do so for the following reasons:

- To remove files no longer needed.
- To standardize settings and configuration.

“Low touch” installation and setup

Customize Notes installation and setup so that users aren’t required to input information into the install and setup panels (other than passwords). This practice streamlines and standardizes the upgrade across your environment. The following topics in the Domino documentation provides information on options for custom installs:

- **Setting up Notes installation using scriptable setup**
- **Using Notes Smart Upgrade**
- **Notes Auto Update** (Available for upgrading from Notes 10.0.1 or later version).
- **Automating a customized or default Notes deployment using silent install**

Steps to deploy Notes 10.x clients

Phase 1: Plan the deployment

- Set realistic goals about how long deploying Notes 10.x will take.
- Take an inventory the applications that must be tested with the new version of Notes. Factor in time to test the applications and to respond to any issues.
- Develop a plan to carefully pilot the client. Collect feedback from the pilot to help create a realistic deployment roll-out plan.
- Develop a plan for training and communicating upgrade information to end-users. Goal is to ensure you have user acceptance and that they are prepared for new client.
- Develop a training and support plan for help desk staff.
- Review system requirements
- Review what maintenance releases are scheduled near your planned deployment time.
- Plan to follow the recommended upgrade order: servers first, clients second, templates third.
Phase 2: Download and customize the install kit

For information on the install customization features described here, see the topic Customizing Notes installation in the Domino documentation.

- Download the multi-user Notes client kit for your required language. Notes Standard clients are pre-packaged in English, French, German, and Japanese. Multilingual User Interface (MUI) packs are required to prepare clients in other languages.

- Customize which features to install, add, or remove.
  - Edit the install manifest to control which features are available and what the user sees on the installation panel.
  - If notes.ini settings must be run before the user initially launches Notes, you can configure a transform file to accomplish this. Otherwise, rely on recommended best practices for standardized notes.ini settings described earlier.
  - Remove default components not used by your company. For example, if your company is not integrating Connections or Sametime with the Notes client, remove those components from the install kit.
  - Add custom plug-ins used by your company. If your company integrates custom plug-ins with the Notes client, add the plug-ins to install kit.
  - For more information,
  - Set run-time settings for notes.ini, Domino policies, and plugin_customization.ini.
  - Whenever possible, use Domino policies to manage notes.ini settings

- Configure Notes "Scriptable Setup"
  - Use a "Scriptable Setup" (or Setup Response file) to limit user intervention during both the install and the initial setup of Notes. During the install, the wizard displays only the panels that users need to set up the Notes client.

- Pre-populate cross certificates in deploy.nsf
  - You can prevent users from having to respond to cross-certificate prompts by pre-populating the deploy.nsf with admin-generated cross certificates.
  - Admin-generated certificates are copied to userss address books at first launch.

Phase 3: Build and test the deployment package

- Use a "push" tool to automate the deployment.
- Consider uninstalling earlier clients for a reportedly smoother experience and the added benefit of being able to change the location of install directories.
- Code scripting to shut down client if not already shut down and also reboot the machine before starting the install.
- Use verbose install logging for the pilot.
- Run maintenance on local databases & defragment machine.
Phase 4: Pilot the upgraded client

- Determine pilot length & ideal participants.
  - At minimum, you should allow a month for customer feedback but preferably longer if possible.
  - At least 100 users distributed 80% in main site, 20% in remote site, preferably not all IT users.
  - Target diverse roles such as technical, power user, assistants, specific application users; consider a separate pilot for Notes Citrix users.
- Determine feedback required from pilot users and success criteria.
  - Look for user feedback on issues with the new release.
  - Make sure to check Release Notes for known issues, etc.
  - Use pilot experience to estimate support cost to final rollout.
- Collect ADC fault statistics before and after the pilot and compare the statistics. For more information, see Setting up automatic diagnostic data collection on clients.
- Certify that custom apps work with new release.

Phase 5: Roll out the deployment

- Plan the roll-out based on bandwidth.
  - Consider how many desktops must be upgraded and plan your roll-out based on network bandwidth as well as your IT support capabilities.
  - In case of low WAN bandwidth, consider alternatives such as LAN storage devices or Smart Upgrade Govenor
- Provide the support plan to help desk staff.
  - Use the feedback and lessons learned during the pilot to determine how much deskside support may be needed.
- Monitor the deployment.
  - Throughout the deployment, monitor the progress by using the tracking features of the tool in use.
  - Considering using Marvel Client Essentials to help monitor the deployment. For more information, see the technote MarvelClient Essentials IBM Notes management solution.
- Push out initial policy settings.
  - Configure hierarchical policy settings document to control the desktop configuration. The settings are detected automatically at first client launch.
- Update mail templates
  - After the server and client have been upgraded, then upgrade mail templates.
- Update folder designs
  - The mail file folder design is not automatically updated with a template change. You must use a Desktop policy to update the folder design.
  - Prior to updating the folder design, have users empty their Trash folders.

Phase 6: Manage the desktop

- Apply the latest Fix Pack.
• Use Policies to manage desktops.
• If necessary, modify desktops by re-running the Installer in Modify mode.
• Use the Add-On Installer toolkit to build installers for 3rd-party apps.
• As needed, deploy new widgets via the Widget Catalog.

**Maintaining Notes clients**

**Upgrade to the latest maintenance release and fix pack**

Upgrading Notes to the latest maintenance release and fix pack is a better choice than applying hotfixes:

• Maintenance releases and fix packs are maintenance deliverables for Notes and Domino that are planned, scheduled, well-tested, and manageable.
• Hotfixes have the following disadvantages:
  o Limited customer eligibility.
  o Intended for only the most critical issues.
  o Extensive testing by customers in their environments is required as they are minimally tested by HCL/IBM.

For more information, see these resources:

• [Index of Maintenance Releases, Fix Packs, and additional fixes for IBM Notes, Domino, & iNotes](#)
• [Notes/Domino Fix List (by release)](#)
• [Differences between Notes/Domino Maintenance Releases, Feature Packs, Fix Packs & Upgrade Packs](#)
Chapter 6 Upgrade resources

System requirements
For requirements, see the following links:

Domino 10.0.1 system requirements
Notes 10.0.1 system requirements
Domino Designer and Administrator 10.0.1 system requirements
IBM Client Application Access (ICAA) 2.0.1 system requirements
IBM Mail support for Microsoft Outlook system requirements
Cross-release index of system requirements for Notes, Domino, Domino Administrator, Domino Designer & Notes Traveler

Release interoperability information
Combinations of Domino and Notes versions supported in a Release 10 environment
Requirements for new features in IBM Notes 10
Differences between Notes/Domino Maintenance Releases, Feature Packs, Fix Packs & Upgrade Packs
Software Support Lifecycle

Download information
How to download IBM Notes 10.0.1 from Passport Advantage
How to download IBM Domino 10.0.1 from Passport Advantage
How to download IBM XWork Server 10.0.1 from Passport Advantage
Download Options for Notes & Domino 10.0.1 Fix Packs
Notes/Domino 10.0.1 Group 1 Language Kits Slipstream

Known issues
Notes 10.0.1 known issues
Domino 10.0.1 known issues

Fix list
Fixes by release
Product documentation

Domino 10.0.1
Notes 10.0.1
iNotes 10.0.1
Designer 10.0.1
AppDev Pack
Traveler 10.0.1
IBM mail support for Microsoft Outlook (administrator)
IBM mail support for Microsoft Outlook (end-user)
IBM client application access (ICAA 2.0.1)