



# **Which upgrade method should I use?**

ONTAP 9

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# Which upgrade method should I use?

## Which upgrade method should I use?

The method you use to upgrade — nondisruptive or disruptive, automated or manual — depends upon your configuration. If available, the automated nondisruptive upgrade (ANDU) using System Manager is the preferred method.

### Nondisruptive upgrades

Nondisruptive upgrades take advantage of ONTAP's high-availability (HA) failover technology to ensure that clusters continue to serve data during the upgrade. There are two types of nondisruptive upgrade processes.

- **Batch updates**

In a batch update, the cluster is divided into several batches, each of which contains multiple HA pairs. In the first batch, half of the nodes are upgraded, followed by their HA partners. The process is then repeated sequentially for the remaining batches.

- **Rolling updates**

In a rolling update, a node is taken offline and upgraded while its partner takes over its storage. When the node upgrade is complete, the partner node gives control back to the original owning node and the process is repeated, this time on the partner node. Each additional HA pair is upgraded in sequence until all HA pairs are running the target release.

**Note:** The term *rolling upgrade* is frequently used in the software industry for software upgrades that don't cause disruptions in service and hence is often synonymous with "nondisruptive upgrade". In ONTAP 9 upgrades, a *rolling update* is one of the processes that can be used for nondisruptive upgrades.

Nondisruptive upgrades can be performed using an *automated* or *manual* method.

- **Automated nondisruptive upgrade (ANDU)**

- When an administrator initiates an ANDU, ONTAP automatically installs the target ONTAP image on each node, validates the cluster components to ensure that the cluster can be upgraded nondisruptively, and then executes a batch or rolling update in the background.
  - Batch updates are the default for clusters of 8 nodes or more.
  - Rolling updates are the default for clusters with fewer than 8 nodes. Rolling updates can also be selected explicitly for clusters with 8 nodes or more.
- An ANDU can be executed using System Manager or the ONTAP command line interface (CLI). If available for your configuration, ANDU using System Manager is the recommended method of upgrade.

- **Manual nondisruptive upgrade**

- An administrator must manually confirm upgrade readiness of the cluster components on each node, then manually perform rolling update process steps in the foreground.
- Manual nondisruptive upgrades are executed using the ONTAP CLI.
- You should only use a manual method if ANDU is not supported for your configuration.

### Disruptive upgrades

In a disruptive upgrade, storage failover is disabled for each HA pair, and then each node is rebooted one at a time. Disruptive upgrades can be performed more quickly than nondisruptive upgrades, and require fewer steps to complete. However, you should not perform a disruptive upgrade unless you can take the cluster offline for the duration of the upgrade. If you are operating in a SAN environment, you should be prepared to

shut down or suspend all SAN clients before performing a disruptive upgrade. Disruptive upgrades are performed using the ONTAP CLI.

## Methods for non-MetroCluster configurations

Clusters with 2 or more nodes can use any of the following upgrade methods, which are listed in order of recommended usage.

- [Automated nondisruptive using System Manager](#)
- [Automated nondisruptive using the CLI](#)
- [Manual nondisruptive using the CLI](#)
- [Manual disruptive using the CLI](#)

Single node clusters must use one of disruptive methods, although the automated method is recommended.

- [Automated disruptive using the CLI](#)
- [Manual disruptive using the CLI](#)

## Methods for MetroCluster configurations

The upgrade methods available for each configuration are listed in order of recommended usage.

| ONTAP version  | Number of nodes   | Upgrade method   |
|----------------|-------------------|--|
| 9.3 or later   | 2,4               | <ul style="list-style-type: none"><li>• <a href="#">Automated nondisruptive using System Manager</a></li><li>• <a href="#">Automated nondisruptive using the CLI</a></li><li>• <a href="#">Manual disruptive using the CLI</a></li></ul> |
| 9.3 or later   | 8                 | <ul style="list-style-type: none"><li>• <a href="#">Automated nondisruptive using the CLI</a></li><li>• <a href="#">Manual nondisruptive using the CLI</a></li><li>• <a href="#">Manual disruptive using the CLI</a></li></ul>           |
| 9.2 or earlier | 2                 | <ul style="list-style-type: none"><li>• <a href="#">Manual nondisruptive (for 2-node clusters) using the CLI</a></li><li>• <a href="#">Manual disruptive using the CLI</a></li></ul>   |
| 9.2 or earlier | 4, 8              | <ul style="list-style-type: none"><li>• <a href="#">Manual nondisruptive using the CLI</a></li><li>• <a href="#">Manual disruptive using the CLI</a></li></ul>   |
| 9.0 or later   | 4, 8 (patch only) | <a href="#">Automated nondisruptive using System Manager</a>   |

| ONTAP version  | Number of nodes      | Upgrade method   |
|----------------|----------------------|--|
| 9.2 or earlier | 2, 4, 8 (patch only) | <a href="#">Automated nondisruptive using System Manager</a> |

## Automated nondisruptive update using System Manager

You can nondisruptively update the version of ONTAP on your cluster using System Manager.

The update process checks your hardware platform and configuration to verify that your system is supported by the ONTAP version to which you are upgrading. ONTAP automatically shifts workloads during an upgrade between clusters so you can continue serving data.

This procedure updates your system to the specified version of ONTAP. It is assumed that your hardware platform and configuration is supported for the target release.

Beginning with ONTAP 9.10.1, if you have a cluster with 8 or more nodes you can select to have them updated one HA pair at a time. This allows you, if needed, to correct upgrade issues on the first HA pair before moving to subsequent pairs.



If issues are encountered during your automated upgrade, you can view EMS messages and details in System Manager: Click **Events & Jobs > Events**.

### Steps

1. If you want to download the software image to an HTTP or FTP server on your network, copy the software image from the NetApp support site to the directory on the HTTP or FTP server from which the image will be served.

If you want to download the software image to a local folder, then click the software image on the NetApp support site, select **Save As**, and then choose the local folder to place the image.

2. Depending on the ONTAP version that you are running, perform one of the following steps:

| ONTAP version           | Steps   |
|-------------------------|---|
| ONTAP 9.8 or later      | Click <b>Cluster &gt; Overview</b> .                  |
| ONTAP 9.5, 9.6, and 9.7 | Click <b>Configuration &gt; Cluster &gt; Update</b> . |
| ONTAP 9.4 or earlier    | Click <b>Configuration &gt; Cluster Update</b> .      |

3. In the right corner of the Overview pane, click .
4. Click **ONTAP Update**.
5. In the Cluster Update tab, add a new image or select an available image.

| If you want to...  | Then...   |
|--|---|
| Add a new software image from the local client<br><br><b>Note:</b> You should have already downloaded the image to the local client.<br><br><a href="#">Download and install the ONTAP software images</a> | a. Under Available Software Images, click <b>Add from Local</b> .<br><br>b. Browse to the location you saved the software image, select the image, and then click <b>Open</b> .<br><br>The software image uploads after you click <b>Open</b> .   |
| Add a new software image from the NetApp Support Site  | a. Click <b>Add from Server</b> .<br><br>b. In the Add a New Software Image dialog box, enter the URL of the HTTP server or FTP server on which you have saved the image that was downloaded from the NetApp Support Site.<br><br>For anonymous FTP, you must specify the URL in the <a href="#">ftp://anonymous@ftpserver</a> format.<br><br>c. Click <b>Add</b> . |
| Select an available image  | Choose one of the listed images.  |

- Click **Validate** to run the pre-update validation checks to verify whether the cluster is ready for an update.

The validation operation checks the cluster components to validate that the update can be completed nondisruptively, and then displays any errors or warnings. It also displays any required remedial action that you must perform before updating the software.



You must perform all of the required remedial actions for the errors before proceeding with the update. Although you can ignore the remedial actions for the warnings, the best practice is to perform all of the remedial actions before proceeding with the update.

- Click **Next**.
- Click **Update**.

Validation is performed again.

- When the validation is complete, a table displays any errors and warnings, along with any required remedial actions to be taken before proceeding.
- If the validation is completed with warnings, you can choose to select **Update with warnings**.



If you prefer to have your nodes updated one HA pair at a time instead of a batch update of all the HA pairs in your cluster, select **Update one HA pair at a time**. This option is only available in ONTAP 9.10.1 or later for clusters of eight or more nodes.

When the validation is complete and the update is in progress, the update might be paused because of errors. You can click the error message to view the details, and then perform the remedial actions before resuming the update.

After the update is completed successfully, the node reboots, and you are redirected to the System Manager login page. If the node takes a long time to reboot, you must refresh your browser.

### Resuming an upgrade (using System Manager) after an error in the automated upgrade process

If an automated upgrade pauses because of an error, you can resolve the error and resume the automated upgrade, or you can cancel the automated upgrade and complete the process manually. If you choose to continue the automated upgrade, do not perform any of the upgrade steps manually.

1. Depending on the ONTAP version that you are running, perform one of the following steps:
  - ONTAP 9.8 or later: Click **Cluster** > **Overview**
  - ONTAP 9.5, 9.6, or 9.7: Click **Configuration** > **Cluster** > **Update**.
  - ONTAP 9.4 or earlier: Click **Configuration** > **Cluster Update**.

Then in the right corner of the Overview pane, click the three blue vertical dots, and **ONTAP Update**.

2. Continue the automated update or cancel it and continue manually.

| If you want to...                                 | Then...               |
|---|-----------------------|
| Resume the automated update                       | Click <b>Resume</b> . |
| Cancel the automated update and continue manually | Click <b>Cancel</b> . |

### Video: Upgrades made easy

Take a look at the simplified ONTAP upgrade capabilities of System Manager in ONTAP 9.8.

## ONTAP Upgrades Made Easy

Get the transformative features you've paid for!

### Tech Clip

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## Automated nondisruptive ONTAP upgrade using the CLI

You can use the command line interface (CLI) to verify that the cluster can be upgraded nondisruptively, install the target ONTAP image on each node, and then execute an upgrade in the background.

After you upgrade, you should verify your cluster version, cluster health, and storage health.



If you are using a MetroCluster FC configuration, you also need to verify that the cluster is enabled for automatic unplanned switchover.

If you do not plan to monitor the progress of the upgrade process, it is a good practice to [request EMS notifications of errors that might require manual intervention](#).

### Before you begin

- You should launch Active IQ Digital Advisor.

The Upgrade Advisor component of Active IQ Digital Advisor helps you plan for a successful upgrade.

Data-driven insights and recommendations from Active IQ Digital Advisor are provided to all NetApp customers with an active **SupportEdge** contract (features vary by product and support tier).

- You must have met the upgrade preparation requirements.
- For each HA pair, each node should have one or more ports on the same broadcast domain.

When a set of nodes is upgraded during a batch upgrade, the LIFs are migrated to the HA partner nodes. If the partners do not have any ports in the same broadcast domain, then the LIF migration fails.

- If you are upgrading from ONTAP 9.3 to 9.7, you must have obtained the software image for 9.5 and 9.7.



- If you are upgrading from ONTAP 9.5 to 9.9.1, you must have obtained the software image for 9.7 and 9.9.1.

### About this task

The `cluster image validate` command checks the cluster components to validate that the upgrade can be completed nondisruptively, and then it provides the status of each check and any required action you must take before performing the software upgrade.



Modifying the setting of the storage failover `modify-auto-giveback` command option before the start of an automatic nondisruptive upgrade (ANDU) has no impact on the upgrade process. The ANDU process ignores any preset value to this option during the takeover/giveback required for the update. For example, setting `-autogiveback` to `false` prior to beginning ANDU does not interrupt the automatic upgrade before giveback.

1. Delete the previous ONTAP software package:

```
cluster image package delete -version previous_ONTAP_Version
```

2. Download the target ONTAP software package:

```
cluster image package get -url location
```



If you are upgrading from ONTAP 9.3 to 9.7, download the software package for ONTAP 9.5, and then use the same command to download the software package for 9.7. If you are upgrading from ONTAP 9.5 to 9.9.1, download the software package for ONTAP 9.7, and then use the same command to download the software package for 9.9.1.

```
cluster1::> cluster image package get -url
http://www.example.com/software/9.7/image.tgz
```

```
Package download completed.
Package processing completed.
```

3. Verify that the software package is available in the cluster package repository:

```
cluster image package show-repository
```

```
cluster1::> cluster image package show-repository
Package Version  Package Build Time
-----
9.7              MM/DD/YYYY 10:32:15
```

4. Verify that the cluster is ready to be upgraded nondisruptively:

```
cluster image validate -version package_version_number
```

- If you are upgrading a two-node or four-node MetroCluster configuration, you must run this command on both clusters before proceeding.

- If you are upgrading from ONTAP 9.3 to 9.7, use the 9.7 package for verification. You do not need to validate the 9.5 package separately.
- If you are upgrading from ONTAP 9.5 to 9.9.1, use the 9.9.1 package for verification. You do not need to validate the 9.7 package separately.

```
cluster1::> cluster image validate -version 9.7
```

WARNING: There are additional manual upgrade validation checks that must be performed after these automated validation checks have completed...

5. Monitor the progress of the validation:

```
cluster image show-update-progress
```

6. Complete all required actions identified by the validation.

7. Generate a software upgrade estimate:

```
cluster image update -version package_version_number -estimate-only
```

The software upgrade estimate displays details about each component to be updated, and the estimated duration of the upgrade.

8. Perform the software upgrade:

```
cluster image update -version package_version_number
```

- If you are upgrading from ONTAP 9.3 to 9.7, use the 9.7 package\_version\_number in the above command.
- If you are upgrading from ONTAP 9.5 to 9.9.1, use the 9.9.1 package\_version\_number in the above command.
- For any MetroCluster configuration, except a 2-node MetroCluster system, the ONTAP upgrade process starts simultaneously on the HA pairs at both sites (the local site and the disaster recovery site) after the user initiates and provides confirmation on the command line. For a 2-node MetroCluster system, the update is started first on the disaster recovery site, that is, the site where the upgrade is not initiated. After the update is fully completed on the disaster recovery site, the upgrade begins on the local site.
- If the cluster consists of 2 to 6 nodes, a rolling upgrade is performed. If the cluster consists of 8 or more nodes, a batch upgrade is performed by default. If desired, you can use the `-force-rolling` parameter to specify a rolling upgrade instead.
- After completing each takeover and giveback, the upgrade waits for 8 minutes to enable client applications to recover from the pause in I/O that occurs during the takeover and giveback. If your environment requires more or less time for client stabilization, you can use the `-stabilize-minutes` parameter to specify a different amount of stabilization time.

```

cluster1::> cluster image update -version 9.7

Starting validation for this update. Please wait..

It can take several minutes to complete validation...

WARNING: There are additional manual upgrade validation checks...

Pre-update Check      Status      Error-Action
-----
...
20 entries were displayed

Would you like to proceed with update ? {y|n}: y
Starting update...

cluster-1::>

```

#### 9. Display the cluster update progress:

```
cluster image show-update-progress
```



If you are upgrading a 4-node or 8-node MetroCluster configuration, the `cluster image show-update-progress` command only displays the progress for the node on which you run the command. You must run the command on each node to see individual node progress.

#### 10. Verify that the upgrade was completed successfully on each node.

```

cluster1::> cluster image show-update-progress

Update Phase      Status      Estimated      Elapsed
-----
Pre-update checks  completed   00:10:00       00:02:07
Data ONTAP updates completed   01:31:00       01:39:00
Post-update checks completed   00:10:00       00:02:00
3 entries were displayed.

Updated nodes: node0, node1.

cluster1::>

```

#### 11. Trigger an AutoSupport notification:

```
autosupport invoke -node * -type all -message "Finishing_NDU"
```

If your cluster is not configured to send AutoSupport messages, a copy of the notification is saved locally.

12. Verify that the cluster is enabled for automatic unplanned switchover:



This procedure is performed only for MetroCluster FC configurations. If you are using a MetroCluster IP configuration, skip this procedure.

a. Check whether automatic unplanned switchover is enabled:

```
metrocluster show
```

If automatic unplanned switchover is enabled, the following statement appears in the command output:

```
AUSO Failure Domain      auso-on-cluster-disaster
```

b. If the statement does not appear in the output, enable automatic unplanned switchover:

```
metrocluster modify -auto-switchover-failure-domain auso-on-cluster-disaster
```

c. Verify that automatic unplanned switchover has been enabled by repeating Step 1.

## Resuming an upgrade (using the CLI) after an error in the automated upgrade process

If an automated upgrade pauses because of an error, you can resolve the error and resume the automated upgrade, or you can cancel the automated upgrade and complete the process manually. If you choose to continue the automated upgrade, do not perform any of the upgrade steps manually.

### About this task

If you want to manually complete the upgrade, use the `cluster image cancel-update` command to cancel the automated process and proceed manually. If you want to continue the automated upgrade, complete the following steps.

### Steps

1. View the upgrade error:

```
cluster image show-update-progress
```

2. Resolve the error.

3. Resume the update:

```
cluster image resume-update
```

### Related information

[Launch Active IQ](#)

[Active IQ documentation](#)

# Automated disruptive using the CLI (single-node cluster only)

Beginning with ONTAP 9.2, you can perform an automated update of a single-node cluster. Because single-node clusters lack redundancy, updates are always disruptive.

- You must have satisfied upgrade preparation requirements.
  1. Delete the previous ONTAP software package: `cluster image package delete -version previous_package_version`
  2. Download the target ONTAP software package: `cluster image package get -url location`

```
cluster1::> cluster image package get -url
http://www.example.com/software/9.7/image.tgz

Package download completed.
Package processing completed.
```

3. Verify that the software package is available in the cluster package repository: `cluster image package show-repository`

```
cluster1::> cluster image package show-repository
Package Version  Package Build Time
-----
9.7              M/DD/YYYY 10:32:15
```

4. Verify that the cluster is ready to be upgraded: `cluster image validate -version package_version_number`

```
cluster1::> cluster image validate -version 9.7

WARNING: There are additional manual upgrade validation checks that
must be performed after these automated validation checks have
completed...
```

5. Monitor the progress of the validation: `cluster image show-update-progress`
6. Complete all required actions identified by the validation.
7. Optionally, generate a software upgrade estimate: `cluster image update -version package_version_number -estimate-only`

The software upgrade estimate displays details about each component to be updated, and the estimated duration of the upgrade.

8. Perform the software upgrade: `cluster image update -version package_version_number`



If an issue is encountered, the update pauses and prompts you to take corrective action. You can use the cluster image `show-update-progress` command to view details about any issues and the progress of the update. After correcting the issue, you can resume the update by using the cluster image `resume-update` command.

9. Display the cluster update progress: `cluster image show-update-progress`

The node is rebooted as part of the update and cannot be accessed while rebooting.

10. Trigger a notification: `autosupport invoke -node * -type all -message "Finishing_Upgrade"`

If your cluster is not configured to send messages, a copy of the notification is saved locally.

## Manual nondisruptive using the CLI

### Manual nondisruptive upgrade using the CLI (non-MetroCluster systems)

To upgrade a cluster of two or more nodes using the manual nondisruptive method, you must initiate a failover operation on each node in an HA pair, update the “failed” node, initiate giveback, and then repeat the process for each HA pair in the cluster.

You must have satisfied upgrade preparation requirements.

1. Update the first node in an HA pair

You upgrade the first node in an HA pair by initiating a takeover by the node’s partner. The partner serves the node’s data while the first node is upgraded.

2. Update the second node in an HA pair

After upgrading or downgrading the first node in an HA pair, you upgrade its partner by initiating a takeover on it. The first node serves the partner’s data while the partner node is upgraded.

3. Repeat these steps for each additional HA pair.

You should complete post-upgrade tasks.

### Updating the first node in an HA pair

You can update the first node in an HA pair by initiating a takeover by the node’s partner. The partner serves the node’s data while the first node is upgraded.

If you are performing a major upgrade, the first node to be upgraded must be the same node on which you configured the data LIFs for external connectivity and installed the first ONTAP image.

After upgrading the first node, you should upgrade the partner node as quickly as possible. Do not allow the two nodes to remain in a state of version mismatch longer than necessary.

1. Update the first node in the cluster by invoking an AutoSupport message: `autosupport invoke -node * -type all -message "Starting_NDU"`

This AutoSupport notification includes a record of the system status just prior to update. It saves useful troubleshooting information in case there is a problem with the update process.

If the cluster is not configured to send AutoSupport messages, a copy of the notification is saved locally.

2. Set the privilege level to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

3. Set the new ONTAP software image to be the default image: `system image modify {-node nodenameA -iscurrent false} -isdefault true`

The system image modify command uses an extended query to change the new ONTAP software image (which is installed as the alternate image) to the default image for the node.

4. Monitor the progress of the update: `system node upgrade-revert show`
5. Verify that the new ONTAP software image is set as the default image: `system image show`

In the following example, image2 is the new ONTAP version and is set as the default image on node0:

```
cluster1::*> system image show
```

| Node  | Image  | Is Default | Is Current | Version | Install Date    |
|-------|--------|------------|------------|---------|-----------------|
| ----- |        |            |            |         |                 |
| node0 | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | true       | false      | Y.Y.Y   | MM/DD/YYYY TIME |
| node1 | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

6. Disable automatic giveback on the partner node if it is enabled: `storage failover modify -node nodenameB -auto-giveback false`

If the cluster is a two-node cluster, a message is displayed warning you that disabling automatic giveback prevents the management cluster services from going online in the event of an alternating-failure scenario. Enter **y** to continue.

7. Verify that automatic giveback is disabled for node's partner: `storage failover show -node nodenameB -fields auto-giveback`

```
cluster1::> storage failover show -node node1 -fields auto-giveback
```

| node  | auto-giveback |
|-------|---------------|
| ----- |               |
| node1 | false         |

1 entry was displayed.

8. Run the following command twice to determine whether the node to be updated is currently serving any clients `system node run -node nodenameA -command uptime`

The uptime command displays the total number of operations that the node has performed for NFS, SMB, FC, and iSCSI clients since the node was last booted. For each protocol, you must run the command twice to determine whether the operation counts are increasing. If they are increasing, the node is currently serving clients for that protocol. If they are not increasing, the node is not currently serving clients for that protocol.

**NOTE:** You should make a note of each protocol that has increasing client operations so that after the node is updated, you can verify that client traffic has resumed.

The following example shows a node with NFS, SMB, FC, and iSCSI operations. However, the node is currently serving only NFS and iSCSI clients.

```
cluster1::> system node run -node node0 -command uptime
2:58pm up 7 days, 19:16 800000260 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32810 iSCSI ops

cluster1::> system node run -node node0 -command uptime
2:58pm up 7 days, 19:17 800001573 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32815 iSCSI ops
```

9. Migrate all of the data LIFs away from the node: `network interface migrate-all -node nodenameA`
10. Verify any LIFs that you migrated: `network interface show`

For more information about parameters you can use to verify LIF status, see the `network interface show` man page.

The following example shows that node0's data LIFs migrated successfully. For each LIF, the fields included in this example enable you to verify the LIF's home node and port, the current node and port to which the LIF migrated, and the LIF's operational and administrative status.

```
cluster1::> network interface show -data-protocol nfs|cifs -role data
-home-node node0 -fields home-node,curr-node,curr-port,home-port,status-
admin,status-oper
vserver lif      home-node home-port curr-node curr-port status-oper
status-admin
-----
vs0      data001 node0      e0a      node1     e0a      up        up
vs0      data002 node0      e0b      node1     e0b      up        up
vs0      data003 node0      e0b      node1     e0b      up        up
vs0      data004 node0      e0a      node1     e0a      up        up
4 entries were displayed.
```



11. Initiate a takeover: `storage failover takeover -ofnode nodenameA`

Do not specify the `-option immediate` parameter, because a normal takeover is required for the node that is being taken over to boot onto the new software image. If you did not manually migrate the LIFs away from the node, they automatically migrate to the node's HA partner to ensure that there are no service disruptions.

The first node boots up to the Waiting for giveback state.

**NOTE:** If AutoSupport is enabled, an AutoSupport message is sent indicating that the node is out of cluster quorum. You can ignore this notification and proceed with the update.

12. Verify that the takeover is successful: `storage failover show`

You might see error messages indicating version mismatch and mailbox format problems. This is expected behavior and it represents a temporary state in a major nondisruptive upgrade and is not harmful.

The following example shows that the takeover was successful. Node `node0` is in the Waiting for giveback state, and its partner is in the In takeover state.

```
cluster1::> storage failover show
```

| Node  | Partner | Takeover<br>Possible | State Description                      |
|-------|---------|----------------------|--|
| node0 | node1   | -                    | Waiting for giveback (HA<br>mailboxes) |
| node1 | node0   | false                | In takeover                            |

2 entries were displayed.

13. Wait at least eight minutes for the following conditions to take effect:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in an I/O operation that occurs during takeover.

The recovery time is client specific and might take longer than eight minutes, depending on the characteristics of the client applications.

14. Return the aggregates to the first node: `storage failover giveback -ofnode nodenameA`

The giveback first returns the root aggregate to the partner node and then, after that node has finished booting, returns the non-root aggregates and any LIFs that were set to automatically revert. The newly booted node begins to serve data to clients from each aggregate as soon as the aggregate is returned.

15. Verify that all aggregates have been returned: `storage failover show-giveback`

If the Giveback Status field indicates that there are no aggregates to give back, then all aggregates have been returned. If the giveback is vetoed, the command displays the giveback progress and which subsystem vetoed the giveback.

16. If any aggregates have not been returned, perform the following steps:

- a. Review the veto workaround to determine whether you want to address the “veto” condition or override the veto.

#### High-availability configuration

- b. If necessary, address the “veto” condition described in the error message, ensuring that any identified operations are terminated gracefully.
- c. Rerun the storage failover giveback command.

If you decided to override the “veto” condition, set the `-override-vetoes` parameter to true.

17. Wait at least eight minutes for the following conditions to take effect:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in an I/O operation that occurs during giveback.

The recovery time is client specific and might take longer than eight minutes, depending on the characteristics of the client applications.

18. Verify that the update was completed successfully for the node:

- a. Go to the advanced privilege level: `set -privilege advanced`
- b. Verify that update status is complete for the node: `system node upgrade-revert show -node nodenameA`

The status should be listed as complete.

If the status is not complete, contact technical support.

- c. Return to the admin privilege level: `set -privilege admin`

19. Verify that the node’s ports are up: `network port show -node nodenameA`

You must run this command on a node that is upgraded to the higher version of ONTAP 9.

The following example shows that all of the node’s ports are up:

```
cluster1::> network port show -node node0
```

|        |       |         |           |        |       | Speed |
|--------|-------|---------|-----------|--------|-------|-------|
| (Mbps) |       |         |           |        |       |       |
| Node   | Port  | IPspace | Broadcast | Domain | Link  | MTU   |
| -----  | ----- | -----   | -----     | -----  | ----- | ----- |
| node0  |       |         |           |        |       |       |
|        | e0M   | Default | -         |        | up    | 1500  |
|        | e0a   | Default | -         |        | up    | 1500  |
|        | e0b   | Default | -         |        | up    | 1500  |
|        | e1a   | Cluster | Cluster   |        | up    | 9000  |
|        | e1b   | Cluster | Cluster   |        | up    | 9000  |

5 entries were displayed.

20. Revert the LIFs back to the node: `network interface revert *`

This command returns the LIFs that were migrated away from the node.

```
cluster1::> network interface revert *
8 entries were acted on.
```

21. Verify that the node's data LIFs successfully reverted back to the node, and that they are up: `network interface show`

The following example shows that all of the data LIFs hosted by the node have successfully reverted back to the node, and that their operational status is up:

```
cluster1::> network interface show
```

|            | Logical   | Status     | Network        | Current |       |
|------------|-----------|------------|----------------|---------|-------|
| Current Is |           |            |                |         |       |
| Vserver    | Interface | Admin/Oper | Address/Mask   | Node    | Port  |
| Home       |           |            |                |         |       |
| -----      | -----     | -----      | -----          | -----   | ----- |
| -----      | -----     | -----      | -----          | -----   | ----- |
| vs0        |           |            |                |         |       |
|            | data001   | up/up      | 192.0.2.120/24 | node0   | e0a   |
| true       |           |            |                |         |       |
|            | data002   | up/up      | 192.0.2.121/24 | node0   | e0b   |
| true       |           |            |                |         |       |
|            | data003   | up/up      | 192.0.2.122/24 | node0   | e0b   |
| true       |           |            |                |         |       |
|            | data004   | up/up      | 192.0.2.123/24 | node0   | e0a   |
| true       |           |            |                |         |       |

```
4 entries were displayed.
```

22. If you previously determined that this node serves clients, verify that the node is providing service for each protocol that it was previously serving: `system node run -node nodenameA -command uptime`

The operation counts reset to zero during the update.

The following example shows that the updated node has resumed serving its NFS and iSCSI clients:

```
cluster1::> system node run -node node0 -command uptime
3:15pm up 0 days, 0:16 129 NFS ops, 0 CIFS ops, 0 HTTP ops, 0 FCP
ops, 2 iSCSI ops
```

23. Reenable automatic giveback on the partner node if it was previously disabled: `storage failover modify -node nodenameB -auto-giveback true`

You should proceed to update the node's HA partner as quickly as possible. If you must suspend the update process for any reason, both nodes in the HA pair should be running the same ONTAP version.

## Updating the partner node in an HA pair

After updating the first node in an HA pair, you update its partner by initiating a takeover on it. The first node serves the partner's data while the partner node is upgraded.

1. Set the privilege level to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

2. Set the new ONTAP software image to be the default image: `system image modify {-node nodenameB -iscurrent false} -isdefault true`

The `system image modify` command uses an extended query to change the new ONTAP software image (which is installed as the alternate image) to be the default image for the node.

3. Monitor the progress of the update: `system node upgrade-revert show`
4. Verify that the new ONTAP software image is set as the default image: `system image show`

In the following example, `image2` is the new version of ONTAP and is set as the default image on the node:

```
cluster1::*> system image show
```

| Node  | Image  | Is Default | Is Current | Version | Install Date    |
|-------|--------|------------|------------|---------|-----------------|
| ----- |        |            |            |         |                 |
| node0 |        |            |            |         |                 |
|       | image1 | false      | false      | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | true       | true       | Y.Y.Y   | MM/DD/YYYY TIME |
| node1 |        |            |            |         |                 |
|       | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | true       | false      | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

5. Disable automatic giveback on the partner node if it is enabled: `storage failover modify -node nodenameA -auto-giveback false`

If the cluster is a two-node cluster, a message is displayed warning you that disabling automatic giveback prevents the management cluster services from going online in the event of an alternating-failure scenario. Enter **y** to continue.

6. Verify that automatic giveback is disabled for the partner node: `storage failover show -node nodenameA -fields auto-giveback`

```
cluster1::> storage failover show -node node0 -fields auto-giveback
node      auto-giveback
-----
node0     false
1 entry was displayed.
```

7. Run the following command twice to determine whether the node to be updated is currently serving any clients: `system node run -node nodenameB -command uptime`

The `uptime` command displays the total number of operations that the node has performed for NFS, SMB, FC, and iSCSI clients since the node was last booted. For each protocol, you must run the command twice to determine whether the operation counts are increasing. If they are increasing, the node is currently serving clients for that protocol. If they are not increasing, the node is not currently serving clients for that protocol.

**NOTE:** You should make a note of each protocol that has increasing client operations so that after the node is updated, you can verify that client traffic has resumed.

The following example shows a node with NFS, SMB, FC, and iSCSI operations. However, the node is currently serving only NFS and iSCSI clients.

```
cluster1::> system node run -node node1 -command uptime
2:58pm up 7 days, 19:16 800000260 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32810 iSCSI ops

cluster1::> system node run -node node1 -command uptime
2:58pm up 7 days, 19:17 800001573 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32815 iSCSI ops
```

8. Migrate all of the data LIFs away from the node: `network interface migrate-all -node nodenameB`
9. Verify the status of any LIFs that you migrated: `network interface show`

For more information about parameters you can use to verify LIF status, see the `network interface show` man page.

The following example shows that node1's data LIFs migrated successfully. For each LIF, the fields included in this example enable you to verify the LIF's home node and port, the current node and port to which the LIF migrated, and the LIF's operational and administrative status.

```
cluster1::> network interface show -data-protocol nfs|cifs -role data
-home-node node1 -fields home-node,curr-node,curr-port,home-port,status-
admin,status-oper
vserver lif      home-node home-port curr-node curr-port status-oper
status-admin
-----
vs0      data001 node1      e0a      node0      e0a      up      up
vs0      data002 node1      e0b      node0      e0b      up      up
vs0      data003 node1      e0b      node0      e0b      up      up
vs0      data004 node1      e0a      node0      e0a      up      up
4 entries were displayed.
```

10. Initiate a takeover: `storage failover takeover -ofnode nodenameB -option allow-version-mismatch`

Do not specify the `-option immediate` parameter, because a normal takeover is required for the node that is being taken over to boot onto the new software image. If you did not manually migrate the LIFs away from the node, they automatically migrate to the node's HA partner so that there are no service disruptions.

The node that is taken over boots up to the Waiting for giveback state.

**NOTE:** If AutoSupport is enabled, an AutoSupport message is sent indicating that the node is out of cluster quorum. You can ignore this notification and proceed with the update.

11. Verify that the takeover was successful: `storage failover show`

The following example shows that the takeover was successful. Node node1 is in the Waiting for giveback state, and its partner is in the In takeover state.

```
cluster1::> storage failover show
Node      Partner      Takeover
Possible State Description
-----
node0      node1      -      In takeover
node1      node0      false   Waiting for giveback (HA
mailboxes)
2 entries were displayed.
```

12. Wait at least eight minutes for the following conditions to take effect:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in I/O that occurs during takeover.

The recovery time is client-specific and might take longer than eight minutes, depending on the characteristics of the client applications.

13. Return the aggregates to the partner node: `storage failover giveback -ofnode nodenameB`

The giveback operation first returns the root aggregate to the partner node and then, after that node has finished booting, returns the non-root aggregates and any LIFs that were set to automatically revert. The newly booted node begins to serve data to clients from each aggregate as soon as the aggregate is returned.

14. Verify that all aggregates are returned: `storage failover show-giveback`

If the Giveback Status field indicates that there are no aggregates to give back, then all aggregates are returned. If the giveback is vetoed, the command displays the giveback progress and which subsystem vetoed the giveback operation.

15. If any aggregates are not returned, perform the following steps:

- a. Review the veto workaround to determine whether you want to address the “veto” condition or override the veto.

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- b. If necessary, address the “veto” condition described in the error message, ensuring that any identified operations are terminated gracefully.
- c. Rerun the storage failover giveback command.

If you decided to override the “veto” condition, set the `-override-vetoes` parameter to true.

16. Wait at least eight minutes for the following conditions to take effect:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in an I/O operation that occurs during giveback.

The recovery time is client specific and might take longer than eight minutes, depending on the characteristics of the client applications.

17. Verify that the update was completed successfully for the node:

- a. Go to the advanced privilege level: `set -privilege advanced`
- b. Verify that update status is complete for the node: `system node upgrade-revert show -node nodenameB`

The status should be listed as complete.

If the status is not complete, from the node, run the `system node upgrade-revert upgrade` command. If the command does not complete the update, contact technical support.

- c. Return to the admin privilege level: `set -privilege admin`

18. Verify that the node's ports are up: `network port show -node nodenameB`

You must run this command on a node that has been upgraded to ONTAP 9.4.

The following example shows that all of the node's data ports are up:

```
cluster1::> network port show -node node1
```

|        |       |         |                  |       |       | Speed      |
|--------|-------|---------|------------------|-------|-------|------------|
| (Mbps) |       |         |                  |       |       |            |
| Node   | Port  | IPspace | Broadcast Domain | Link  | MTU   | Admin/Oper |
| -----  | ----- | -----   | -----            | ----- | ----- |            |
| node1  |       |         |                  |       |       |            |
|        | e0M   | Default | -                | up    | 1500  | auto/100   |
|        | e0a   | Default | -                | up    | 1500  | auto/1000  |
|        | e0b   | Default | -                | up    | 1500  | auto/1000  |
|        | e1a   | Cluster | Cluster          | up    | 9000  | auto/10000 |
|        | e1b   | Cluster | Cluster          | up    | 9000  | auto/10000 |

5 entries were displayed.

19. Revert the LIFs back to the node: `network interface revert *`

This command returns the LIFs that were migrated away from the node.

```
cluster1::> network interface revert *
8 entries were acted on.
```

20. Verify that the node's data LIFs successfully reverted back to the node, and that they are up: `network interface show`

The following example shows that all of the data LIFs hosted by the node is successfully reverted back to the node, and that their operational status is up:

```
cluster1::> network interface show
```

|            | Logical   | Status     | Network        | Current |       |
|------------|-----------|------------|----------------|---------|-------|
| Current Is |           |            |                |         |       |
| Vserver    | Interface | Admin/Oper | Address/Mask   | Node    | Port  |
| Home       |           |            |                |         |       |
| -----      | -----     | -----      | -----          | -----   | ----- |
| vs0        |           |            |                |         |       |
|            | data001   | up/up      | 192.0.2.120/24 | node1   | e0a   |
| true       |           |            |                |         |       |
|            | data002   | up/up      | 192.0.2.121/24 | node1   | e0b   |
| true       |           |            |                |         |       |
|            | data003   | up/up      | 192.0.2.122/24 | node1   | e0b   |
| true       |           |            |                |         |       |
|            | data004   | up/up      | 192.0.2.123/24 | node1   | e0a   |
| true       |           |            |                |         |       |

4 entries were displayed.



21. If you previously determined that this node serves clients, verify that the node is providing service for each protocol that it was previously serving: `system node run -node nodenameB -command uptime`

The operation counts reset to zero during the update.

The following example shows that the updated node has resumed serving its NFS and iSCSI clients:

```
cluster1::> system node run -node node1 -command uptime
  3:15pm up  0 days, 0:16 129 NFS ops, 0 CIFS ops, 0 HTTP ops, 0 FCP
ops, 2 iSCSI ops
```

22. If this was the last node in the cluster to be updated, trigger an AutoSupport notification: `autosupport invoke -node * -type all -message "Finishing_NDU"`

This AutoSupport notification includes a record of the system status just prior to update. It saves useful troubleshooting information in case there is a problem with the update process.

If the cluster is not configured to send AutoSupport messages, a copy of the notification is saved locally.

23. Confirm that the new ONTAP software is running on both nodes of the HA pair: `system node image show`

In the following example, image2 is the updated version of ONTAP and is the default version on both nodes:

```
cluster1::*> system node image show
```

| Node  | Image  | Is Default | Is Current | Version | Install Date    |
|-------|--------|------------|------------|---------|-----------------|
| node0 |        |            |            |         |                 |
|       | image1 | false      | false      | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | true       | true       | Y.Y.Y   | MM/DD/YYYY TIME |
| node1 |        |            |            |         |                 |
|       | image1 | false      | false      | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | true       | true       | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

24. Reenable automatic giveback on the partner node if it was previously disabled: `storage failover modify -node nodenameA -auto-giveback true`
25. Verify that the cluster is in quorum and that services are running by using the `cluster show` and `cluster ring show` (advanced privilege level) commands.

You must perform this step before upgrading any additional HA pairs.

26. Return to the admin privilege level: `set -privilege admin`

Upgrade any additional HA pairs.

## MetroCluster configurations

### Manual nondisruptive upgrade of a four- or eight-node MetroCluster configuration using the CLI

The manual update procedure for upgrading or downgrading a four- or eight-node MetroCluster configuration involves preparing for the update, updating the DR pairs in each of the one or two DR groups simultaneously, and performing some post-update tasks.

- This task applies to the following configurations:
  - Four-node MetroCluster FC or IP configurations running ONTAP 9.2 or earlier
  - Eight-node MetroCluster FC configurations, regardless of ONTAP version
- If you have a two-node MetroCluster configuration, do not use this procedure.
- The following tasks refer to the old and new versions of ONTAP.
  - When upgrading, the old version is a previous version of ONTAP, with a lower version number than the new version of ONTAP.
  - When downgrading, the old version is a later version of ONTAP, with a higher version number than the new version of ONTAP.
- This task uses the following high-level workflow:



### Differences when updating software on an eight-node or four-node MetroCluster configuration

The MetroCluster software update process differs, depending on whether there are eight or four nodes in the MetroCluster configuration.

A MetroCluster configuration consists of one or two DR groups. Each DR group consists of two HA pairs, one HA pair at each MetroCluster cluster. An eight-node MetroCluster includes two DR groups:



The MetroCluster software update procedure involves upgrading or downgrading one DR group at a time.

For four-node MetroCluster configurations:

1. Update DR Group One:
  - a. Update node\_A\_1 and node\_B\_1.
  - b. Update node\_A\_2 and node\_B\_2.

For eight-node MetroCluster configurations, you perform the DR group update procedure twice:

1. Update DR Group One:
  - a. Update node\_A\_1 and node\_B\_1.
  - b. Update node\_A\_2 and node\_B\_2.
2. Update DR Group Two:
  - a. Update node\_A\_3 and node\_B\_3.
  - b. Update node\_A\_4 and node\_B\_4.

### Preparing to update a MetroCluster DR group

Before you actually update the software on the nodes, you must identify the DR relationships among the nodes, send an AutoSupport message that you are initiating an update, and confirm the ONTAP version running on each node.

You must have [downloaded and installed the software images](#).

This task must be repeated on each DR group. If the MetroCluster configuration consists of eight nodes, there are two DR groups. Thereby, this task must be repeated on each DR group.

The examples provided in this task use the names shown in the following illustration to identify the clusters and nodes:



1. Identify the DR pairs in the configuration: `metrocluster node show -fields dr-partner`

```
cluster_A::> metrocluster node show -fields dr-partner
(metrocluster node show)
dr-group-id cluster      node          dr-partner
-----
1            cluster_A   node_A_1     node_B_1
1            cluster_A   node_A_2     node_B_2
1            cluster_B   node_B_1     node_A_1
1            cluster_B   node_B_2     node_A_2
4 entries were displayed.

cluster_A::>
```

2. Set the privilege level from admin to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

3. Confirm the ONTAP version running on each node:

- a. Confirm the version on cluster\_A: `system image show`

```
cluster_A::*> system image show
```

| Node     | Image  | Is Default | Is Current | Version | Install Date    |
|----------|--------|------------|------------|---------|-----------------|
| node_A_1 |        |            |            |         |                 |
|          | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |
| node_A_2 |        |            |            |         |                 |
|          | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_A::>
```

- b. Confirm the version on cluster\_B: `system image show`

```
cluster_B::*> system image show
```

| Node     | Image  | Is Default | Is Current | Version | Install Date    |
|----------|--------|------------|------------|---------|-----------------|
| node_B_1 |        |            |            |         |                 |
|          | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |
| node_B_2 |        |            |            |         |                 |
|          | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_B::>
```

4. Trigger an AutoSupport notification: `autosupport invoke -node * -type all -message "Starting_NDU"`

This AutoSupport notification includes a record of the system status before the update. It saves useful troubleshooting information if there is a problem with the update process.

If your cluster is not configured to send AutoSupport messages, then a copy of the notification is saved locally.

5. For each node in the first set, set the target ONTAP software image to be the default image: `system image modify {-node nodename -iscurrent false} -isdefault true`

This command uses an extended query to change the target software image, which is installed as the alternate image, to be the default image for the node.

6. Verify that the target ONTAP software image is set as the default image:

- a. Verify the images on cluster\_A: `system image show`

In the following example, image2 is the new ONTAP version and is set as the default image on each of the nodes in the first set:

```
cluster_A::*> system image show
```

| Node     | Image  | Is Default | Is Current | Version | Install Date    |
|----------|--------|------------|------------|---------|-----------------|
| node_A_1 | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true       | false      | Y.Y.Y   | MM/DD/YYYY TIME |
| node_A_2 | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true       | false      | Y.Y.Y   | MM/DD/YYYY TIME |

2 entries were displayed.

- b. Verify the images on cluster\_B: `system image show`

The following example shows that the target version is set as the default image on each of the nodes in the first set:

```
cluster_B::*> system image show
```

| Node     | Image  | Is Default | Is Current | Version | Install Date    |
|----------|--------|------------|------------|---------|-----------------|
| node_A_1 | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true       | false      | Y.Y.Y   | MM/YY/YYYY TIME |
| node_A_2 | image1 | false      | true       | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true       | false      | Y.Y.Y   | MM/DD/YYYY TIME |

2 entries were displayed.

7. Determine whether the nodes to be upgraded are currently serving any clients twice for each node: `system node run -node target-node -command uptime`

The uptime command displays the total number of operations that the node has performed for NFS, CIFS, FC, and iSCSI clients since the node was last booted. For each protocol, you need to run the command twice to determine whether the operation counts are increasing. If they are increasing, the node is currently serving clients for that protocol. If they are not increasing, the node is not currently serving clients for that protocol.

**NOTE:** You should make a note of each protocol that has increasing client operations so that after the node is upgraded, you can verify that client traffic has resumed.

This example shows a node with NFS, CIFS, FC, and iSCSI operations. However, the node is currently serving only NFS and iSCSI clients.

```
cluster_x::> system node run -node node0 -command uptime
2:58pm up 7 days, 19:16 800000260 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32810 iSCSI ops

cluster_x::> system node run -node node0 -command uptime
2:58pm up 7 days, 19:17 800001573 NFS ops, 1017333 CIFS ops, 0 HTTP
ops, 40395 FCP ops, 32815 iSCSI ops
```

#### Updating the first DR pair in a MetroCluster DR group

You must perform a takeover and giveback of the nodes in the correct order to make the new version of ONTAP the current version of the node.

All nodes must be running the old version of ONTAP.

In this task, node\_A\_1 and node\_B\_1 are updated.

If you have updated the ONTAP software on the first DR group, and are now updating the second DR group in an eight-node MetroCluster configuration, in this task you would be updating node\_A\_3 and node\_B\_3.

1. If MetroCluster Tiebreaker software is enabled, disabled it.
2. For each node in the HA pair, disable automatic giveback: `storage failover modify -node target-node -auto-giveback false`

This command must be repeated for each node in the HA pair.

3. Verify that automatic giveback is disabled: `storage failover show -fields auto-giveback`

This example shows that automatic giveback has been disabled on both nodes:

```
cluster_x::> storage failover show -fields auto-giveback
node      auto-giveback
-----
node_x_1  false
node_x_2  false
2 entries were displayed.
```



4. Ensure that I/O is not exceeding ~50% for each controller. Ensure that CPU utilization is not exceeding ~50% per controller.
5. Initiate a takeover of the target node on cluster\_A:

Do not specify the `-option immediate` parameter, because a normal takeover is required for the nodes that are being taken over to boot onto the new software image.

- a. Take over the DR partner on cluster\_A (node\_A\_1): `storage failover takeover -ofnode node_A_1`

The node boots up to the "Waiting for giveback" state.



If AutoSupport is enabled, then an AutoSupport message is sent indicating that the nodes are out of cluster quorum. You can ignore this notification and proceed with the upgrade.

- b. Verify that the takeover is successful: `storage failover show`

The following example shows that the takeover is successful. Node\_A\_1 is in the "Waiting for giveback" state and node\_A\_2 is in the "In takeover" state.

```
cluster1::> storage failover show
```

| Node     | Partner  | Takeover<br>Possible | State Description                   |
|----------|----------|----------------------|-------------------------------------|
| node_A_1 | node_A_2 | -                    | Waiting for giveback (HA mailboxes) |
| node_A_2 | node_A_1 | false                | In takeover                         |

2 entries were displayed.

6. Take over the DR partner on cluster\_B (node\_B\_1):

Do not specify the `-option immediate` parameter, because a normal takeover is required for the nodes that are being taken over to boot onto the new software image.

- a. Take over node\_B\_1: `storage failover takeover -ofnode node_B_1`

The node boots up to the "Waiting for giveback" state.



If AutoSupport is enabled, then an AutoSupport message is sent indicating that the nodes are out of cluster quorum. You can ignore this notification and proceed with the upgrade.

- b. Verify that the takeover is successful: `storage failover show`

The following example shows that the takeover is successful. Node\_B\_1 is in the "Waiting for giveback" state and node\_B\_2 is in the "In takeover" state.

```
cluster1::> storage failover show
```

| Node     | Partner  | Takeover<br>Possible | State Description                   |
|----------|----------|----------------------|-------------------------------------|
| node_B_1 | node_B_2 | -                    | Waiting for giveback (HA mailboxes) |
| node_B_2 | node_B_1 | false                | In takeover                         |

2 entries were displayed.

7. Wait at least eight minutes to ensure the following conditions:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in I/O that occurs during takeover.

The recovery time is client-specific and might take longer than eight minutes depending on the characteristics of the client applications.

8. Return the aggregates to the target nodes:

After upgrading MetroCluster IP configurations to ONTAP 9.5 or later, the aggregates will be in a degraded state for a short period before resynchronizing and returning to a mirrored state.

- Give back the aggregates to the DR partner on cluster\_A: `storage failover giveback -ofnode node_A_1`
- Give back the aggregates to the DR partner on cluster\_B: `storage failover giveback -ofnode node_B_1`

The giveback operation first returns the root aggregate to the node and then, after the node has finished booting, returns the non-root aggregates.

9. Verify that all aggregates have been returned by issuing the following command on both clusters: `storage failover show-giveback`

If the Giveback Status field indicates that there are no aggregates to give back, then all aggregates have been returned. If the giveback is vetoed, the command displays the giveback progress and which subsystem vetoed the giveback.

10. If any aggregates have not been returned, do the following:

- Review the veto workaround to determine whether you want to address the “veto” condition or override the veto.
- If necessary, address the “veto” condition described in the error message, ensuring that any identified operations are terminated gracefully.
- Reenter the storage failover giveback command.

If you decided to override the “veto” condition, set the `-override-vetoes` parameter to true.

11. Wait at least eight minutes to ensure the following conditions:

- Client multipathing (if deployed) is stabilized.

- Clients are recovered from the pause in I/O that occurs during giveback.

The recovery time is client-specific and might take longer than eight minutes depending on the characteristics of the client applications.

12. Set the privilege level from admin to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

13. Confirm the version on cluster\_A: `system image show`

The following example shows that System image2 should be the default and current version on node\_A\_1:

```
cluster_A::*> system image show
```

| Node     | Image  | Is<br>Default | Is<br>Current | Version | Install<br>Date |
|----------|--------|---------------|---------------|---------|-----------------|
| -----    |        |               |               |         |                 |
| node_A_1 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |
| node_A_2 |        |               |               |         |                 |
|          | image1 | false         | true          | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | false         | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_A::>
```

14. Confirm the version on cluster\_B: `system image show`

The following example shows that System image2 (ONTAP 9.0.0) is the default and current version on node\_A\_1:

```
cluster_A::*> system image show
```

| Node     | Image  | Is<br>Default | Is<br>Current | Version | Install<br>Date |
|----------|--------|---------------|---------------|---------|-----------------|
| -----    |        |               |               |         |                 |
| node_B_1 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |
| node_B_2 |        |               |               |         |                 |
|          | image1 | false         | true          | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | false         | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_A::>
```

## Updating the second DR pair in a MetroCluster DR group

You must perform a takeover and giveback of the node in the correct order to make the new version of ONTAP the current version of the node.

You should have upgraded the first DR pair (node\_A\_1 and node\_B\_1).

In this task, node\_A\_2 and node\_B\_2 are updated.

If you have updated the ONTAP software on the first DR group, and are now updating the second DR group in an eight-node MetroCluster configuration, in this task you are updating node\_A\_4 and node\_B\_4.

### 1. Initiate a takeover of the target node on cluster\_A:

Do not specify the `-option immediate` parameter, because a normal takeover is required for the nodes that are being taken over to boot onto the new software image.

#### a. Take over the DR partner on cluster\_A:

```
storage failover takeover -ofnode node_A_2 -option allow-version-mismatch
```



The `allow-version-mismatch` option is not required for upgrades from ONTAP 9.0 to ONTAP 9.1 or for any patch upgrades.

The node boots up to the "Waiting for giveback" state.

If AutoSupport is enabled, then an AutoSupport message is sent indicating that the nodes are out of cluster quorum. You can ignore this notification and proceed with the upgrade.

#### b. Verify that the takeover is successful: `storage failover show`

The following example shows that the takeover is successful. Node\_A\_2 is in the "Waiting for giveback" state and node\_A\_1 is in the "In takeover" state.

```
cluster1::> storage failover show
```

| Node     | Partner  | Takeover<br>Possible | State Description                      |
|----------|----------|----------------------|--|
| node_A_1 | node_A_2 | false                | In takeover                            |
| node_A_2 | node_A_1 | -                    | Waiting for giveback (HA<br>mailboxes) |

2 entries were displayed.

### 2. Initiate a takeover of the target node on cluster\_B:

Do not specify the `-option immediate` parameter, because a normal takeover is required for the nodes that are being taken over to boot onto the new software image.

#### a. Take over the DR partner on cluster\_B (node\_B\_2):

| If you are upgrading from...  | Enter this command...   |
|-------------------------------|---|
| ONTAP 9.2 or ONTAP 9.1        | <code>storage failover takeover -ofnode node_B_2</code>   |
| ONTAP 9.0 or Data ONTAP 8.3.x | <code>storage failover takeover -ofnode node_B_2 -option allow-version-mismatch</code><br><b>NOTE:</b> The <code>allow-version-mismatch</code> option is not required for upgrades from ONTAP 9.0 to ONTAP 9.1 or for any patch upgrades. |

The node boots up to the "Waiting for giveback" state.

+

**NOTE:** If AutoSupport is enabled, an AutoSupport message is sent indicating that the nodes are out of cluster quorum. You can safely ignore this notification and proceed with the upgrade.

- a. Verify that the takeover is successful: `storage failover show`

The following example shows that the takeover is successful. Node\_B\_2 is in the "Waiting for giveback" state and node\_B\_1 is in the "In takeover" state.

```
cluster1::> storage failover show
```

| Node     | Partner  | Takeover<br>Possible | State Description                   |
|----------|----------|----------------------|-------------------------------------|
| node_B_1 | node_B_2 | false                | In takeover                         |
| node_B_2 | node_B_1 | -                    | Waiting for giveback (HA mailboxes) |

2 entries were displayed.

1. Wait at least eight minutes to ensure the following conditions:

- Client multipathing (if deployed) is stabilized.
- Clients are recovered from the pause in I/O that occurs during takeover.

The recovery time is client-specific and might take longer than eight minutes depending on the characteristics of the client applications.

2. Return the aggregates to the target nodes:

After upgrading MetroCluster IP configurations to ONTAP 9.5, the aggregates will be in a degraded state for a short period before resynchronizing and returning to a mirrored state.

- b. Give back the aggregates to the DR partner on cluster\_A: `storage failover giveback -ofnode node_A_2`

- c. Give back the aggregates to the DR partner on cluster\_B: `storage failover giveback -ofnode node_B_2`

The giveback operation first returns the root aggregate to the node and then, after the node has finished booting, returns the non-root aggregates.

1. Verify that all aggregates have been returned by issuing the following command on both clusters:  
`storage failover show-giveback`

If the Giveback Status field indicates that there are no aggregates to give back, then all aggregates have been returned. If the giveback is vetoed, the command displays the giveback progress and which subsystem vetoed the giveback.

2. If any aggregates have not been returned, do the following:
- d. Review the veto workaround to determine whether you want to address the “veto” condition or override the veto.
- e. If necessary, address the “veto” condition described in the error message, ensuring that any identified operations are terminated gracefully.
- f. Reenter the storage failover giveback command.

If you decided to override the “veto” condition, set the `-override-vetoes` parameter to true.

. Wait at least eight minutes to ensure the following conditions:

**Client multipathing (if deployed) is stabilized.**

Clients are recovered from the pause in I/O that occurs during giveback.

+

The recovery time is client-specific and might take longer than eight minutes depending on the characteristics of the client applications.

1. Set the privilege level from admin to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (`*>`) appears.

2. Confirm the version on cluster\_A: `system image show`

The following example shows that System image2 (target ONTAP image) is the default and current version on node\_A\_2:

```
cluster_B::*> system image show
```

| Node     | Image  | Is<br>Default | Is<br>Current | Version | Install<br>Date |
|----------|--------|---------------|---------------|---------|-----------------|
| -----    |        |               |               |         |                 |
| node_A_1 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |
| node_A_2 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_A::>
```

### 3. Confirm the version on cluster\_B: system image show

The following example shows that System image2 (target ONTAP image) is the default and current version on node\_B\_2:

```
cluster_B::*> system image show
```

| Node     | Image  | Is<br>Default | Is<br>Current | Version | Install<br>Date |
|----------|--------|---------------|---------------|---------|-----------------|
| -----    |        |               |               |         |                 |
| node_B_1 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |
| node_B_2 |        |               |               |         |                 |
|          | image1 | false         | false         | X.X.X   | MM/DD/YYYY TIME |
|          | image2 | true          | true          | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

```
cluster_A::>
```

### 4. For each node in the HA pair, enable automatic giveback: storage failover modify -node target-node -auto-giveback true

This command must be repeated for each node in the HA pair.

### 5. Verify that automatic giveback is enabled: storage failover show -fields auto-giveback

This example shows that automatic giveback has been enabled on both nodes:

```
cluster_x::> storage failover show -fields auto-giveback
node      auto-giveback
-----
node_x_1  true
node_x_2  true
2 entries were displayed.
```

## Manual nondisruptive upgrade of a two-node MetroCluster configuration in ONTAP 9.2 or earlier using the CLI

You can upgrade ONTAP nondisruptively for a two-node MetroCluster configuration. This method has several steps: initiating a negotiated switchover, updating the cluster at the “failed” site, initiating switchover, and then repeating the process on the cluster at the other site.

This procedure is for two-node MetroCluster configurations running ONTAP 9.2 or earlier only.

+

Do not use this procedure if you have a four-node MetroCluster configuration.

+

If you have a two-node MetroCluster configuration running ONTAP 9.3 or later, perform an [automated nondisruptive upgrade using System Manager](#).

1. Set the privilege level to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

2. On the cluster to be upgraded, install the new ONTAP software image as the default: `system node image update -package package_location -setdefault true -replace-package true`

```
cluster_B::*> system node image update -package
http://www.example.com/NewImage.tgz -setdefault true -replace-package
true
```

3. Verify that the target software image is set as the default image: `system node image show`

The following example shows that NewImage is set as the default image:



```
cluster_B::*> system node image show
```

| Node     | Image    | Is<br>Default | Is<br>Current | Version | Install<br>Date |
|----------|----------|---------------|---------------|---------|-----------------|
| -----    |          |               |               |         |                 |
| node_B_1 |          |               |               |         |                 |
|          | OldImage | false         | true          | X.X.X   | MM/DD/YYYY TIME |
|          | NewImage | true          | false         | Y.Y.Y   | MM/DD/YYYY TIME |

2 entries were displayed.

4. If the target software image is not set as the default image, then change it: `system image modify {-node * -iscurrent false} -isdefault true`
5. Verify that all cluster SVMs are in a health state: `metrocluster vserver show`
6. On the cluster that is not being updated, initiate a negotiated switchover: `metrocluster switchover`

The operation can take several minutes. You can use the `metrocluster operation show` command to verify that the switchover is completed.

In the following example, a negotiated switchover is performed on the remote cluster ("cluster\_A"). This causes the local cluster ("cluster\_B") to halt so that you can update it.

```
cluster_A::> metrocluster switchover
```

Warning: negotiated switchover is about to start. It will stop all the data

Vservers on cluster "cluster\_B" and automatically re-start them on cluster "cluster\_A". It will finally gracefully shutdown cluster "cluster\_B".

Do you want to continue? {y|n}: y

7. Verify that all cluster SVMs are in a health state: `metrocluster vserver show`
8. Resynchronize the data aggregates on the "surviving" cluster: `metrocluster heal -phase aggregates`

After upgrading MetroCluster IP configurations to ONTAP 9.5 or later, the aggregates will be in a degraded state for a short period before resynchronizing and returning to a mirrored state.

```
cluster_A::> metrocluster heal -phase aggregates
[Job 130] Job succeeded: Heal Aggregates is successful.
```

9. Verify that the healing operation was completed successfully: `metrocluster operation show`

```
cluster_A::> metrocluster operation show
Operation: heal-aggregates
State: successful
Start Time: MM/DD/YYYY TIME
End Time: MM/DD/YYYY TIME
Errors: -
```

10. Resynchronize the root aggregates on the “surviving” cluster: `metrocluster heal -phase root-aggregates`

```
cluster_A::> metrocluster heal -phase root-aggregates
[Job 131] Job succeeded: Heal Root Aggregates is successful.
```

11. Verify that the healing operation was completed successfully: `metrocluster operation show`

```
cluster_A::> metrocluster operation show
Operation: heal-root-aggregates
State: successful
Start Time: MM/DD/YYYY TIME
End Time: MM/DD/YYYY TIME
Errors: -
```

12. On the halted cluster, boot the node from the LOADER prompt: `boot_ontap`
13. Wait for the boot process to finish, and then verify that all cluster SVMs are in a health state: `metrocluster vservers show`
14. Perform a switchback from the “surviving” cluster: `metrocluster switchback`
15. Verify that the switchback was completed successfully: `metrocluster operation show`

```
cluster_A::> metrocluster operation show
Operation: switchback
State: successful
Start Time: MM/DD/YYYY TIME
End Time: MM/DD/YYYY TIME
Errors: -
```

16. Verify that all cluster SVMs are in a health state: `metrocluster vservers show`
17. Repeat all previous steps on the other cluster.
18. Verify that the MetroCluster configuration is healthy:
- a. Check the configuration: `metrocluster check run`

```
cluster_A::> metrocluster check run
```

```
Last Checked On: MM/DD/YYYY TIME
```

| Component          | Result |
|--------------------|--------|
| nodes              | ok     |
| lifs               | ok     |
| config-replication | ok     |
| aggregates         | ok     |

```
4 entries were displayed.
```

Command completed. Use the "metrocluster check show -instance" command or sub-commands in "metrocluster check" directory for detailed results.

To check if the nodes are ready to do a switchover or switchback operation, run "metrocluster switchover -simulate" or "metrocluster switchback -simulate", respectively.

- b. If you want to view more detailed results, use the metrocluster check run command: metrocluster check aggregate show metrocluster check config-replication show metrocluster check lif show` metrocluster check node show
- c. Set the privilege level to advanced: set -privilege advanced
- d. Simulate the switchover operation: metrocluster switchover -simulate
- e. Review the results of the switchover simulation: metrocluster operation show

```
cluster_A::*> metrocluster operation show
```

```
Operation: switchover
```

```
State: successful
```

```
Start time: MM/DD/YYYY TIME
```

```
End time: MM/DD/YYYY TIME
```

```
Errors: -
```

- f. Return to the admin privilege level: set -privilege admin
- g. Repeat these substeps on the other cluster.

You should perform any post-upgrade tasks.

#### Related information

[MetroCluster Disaster recovery](#)

## Manual disruptive upgrade using the CLI

If you can take your cluster offline to upgrade to a new ONTAP release, then you can use the disruptive upgrade method. This method has several steps: disabling storage failover

for each HA pair, rebooting each node in the cluster, and then reenabling storage failover.

- You must have satisfied preparation requirements.

In particular, you must download and install the software image using the procedure [for manual upgrades](#).

- If you are operating in a SAN environment, all SAN clients must be shut down or suspended until the upgrade is complete.

If SAN clients are not shut down or suspended prior to a disruptive upgrade , then the client file systems and applications suffer errors that might require manual recovery after the upgrade is completed.

In a disruptive upgrade, downtime is required because storage failover is disabled for each HA pair, and each node is updated. When storage failover is disabled, each node behaves as a single-node cluster; that is, system services associated with the node are interrupted for as long as it takes the system to reboot.

1. Set the privilege level from admin to advanced, entering **y** when prompted to continue: `set -privilege advanced`

The advanced prompt (**\*>**) appears.

2. Set the new ONTAP software image to be the default image: `system image modify {-node * -iscurrent false} -isdefault true`

This command uses an extended query to change the target ONTAP software image (which is installed as the alternate image) to be the default image for each node.

3. Verify that the new ONTAP software image is set as the default image: `system image show`

In the following example, image 2 is the new ONTAP version and is set as the default image on both nodes:

```
cluster1::*> system image show
Node      Image      Is      Is      Version  Install
-----  -
node0
  image1  false     true    X.X.X    MM/DD/YYYY TIME
  image2  true      false   Y.Y.Y    MM/DD/YYYY TIME
node1
  image1  false     true    X.X.X    MM/DD/YYYY TIME
  image2  true      false   Y.Y.Y    MM/DD/YYYY TIME
4 entries were displayed.
```

4. Perform either one of the following steps:

| If the cluster consists of... | Do this...                 |
|-------------------------------|----------------------------|
| One node                      | Continue to the next step. |

| If the cluster consists of... | Do this...   |
|-------------------------------|--|
| Two nodes                     | <p>a. Disable cluster high availability: <code>cluster ha modify -configured false</code></p> <p>Enter <code>y</code> to continue when prompted.</p> <p>b. Disable storage failover for the HA pair: <code>storage failover modify -node * -enabled false</code></p> |
| More than two nodes           | <p>Disable storage failover for each HA pair in the cluster: <code>storage failover modify -node * -enabled false</code></p>   |

5. Reboot a node in the cluster: `system node reboot -node nodename -ignore-quorum-warnings`



Do not reboot more than one node at a time.

The node boots the new ONTAP image. The ONTAP login prompt appears, indicating that the reboot process is complete.

6. After the node or set of nodes has rebooted with the new ONTAP image, confirm that the new software is running: `system node image show`

In the following example, image1 is the new ONTAP version and is set as the current version on node0:

```
cluster1::*> system node image show
```

| Node  | Image  | Is Default | Is Current | Version | Install Date    |
|-------|--------|------------|------------|---------|-----------------|
| node0 | image1 | true       | true       | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | false      | false      | Y.Y.Y   | MM/DD/YYYY TIME |
| node1 | image1 | true       | false      | X.X.X   | MM/DD/YYYY TIME |
|       | image2 | false      | true       | Y.Y.Y   | MM/DD/YYYY TIME |

4 entries were displayed.

7. Verify that the upgrade is completed successfully:
  - a. Set the privilege level to advanced: `set -privilege advanced`
  - b. Verify that the upgrade status is complete for each node: `system node upgrade-revert show -node nodename`

The status should be listed as complete.

If the status is not complete, [contact NetApp Support](#) immediately.

c. Return to the admin privilege level: `set -privilege admin`

8. Repeat Steps 2 through 7 for each additional node.

9. If the cluster consists of two or more nodes, enable storage failover for each HA pair in the cluster:

`storage failover modify -node * -enabled true`

10. If the cluster consists of only two nodes, enable cluster high availability: `cluster ha modify`

`-configured true`

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