



# **What should I verify before I upgrade without Upgrade Advisor?**

**ONTAP 9**

NetApp  
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# What should I verify before I upgrade without Upgrade Advisor?

## What to verify before upgrading

If you don't use [Active IQ](#) Upgrade Advisor to plan your upgrade, you should verify your cluster upgrade limits and your cluster activity before you upgrade.

## Verify cluster upgrade limits

If you don't use [Active IQ](#) Upgrade Advisor, you need to verify that your cluster does not exceed the platform system limits. SAN also has limits that you should verify in addition to the platform system limits.

1. Verify that the cluster does not exceed the system limits for your platform.

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2. If your cluster is configured for SAN, verify that it does not exceed the configuration limits for FC, FCoE, and iSCSI.

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3. Determine the CPU and disk utilization: `node run -node node_name -command sysstat -c 10 -x 3`

You should monitor CPU and disk utilization for 30 seconds. The values in the **CPU** and **Disk Util** columns should not exceed 50% for all 10 measurements reported. No additional load should be added to the cluster until the upgrade is complete. NOTE: CPU and disk utilization can vary at different times in your environment. Therefore, it is best to check your CPU and disk utilization during the timeframe of your anticipated upgrade window.

## Verify current cluster activity

If you don't use [Active IQ](#) Upgrade Advisor, before upgrading, you should manually verify that no jobs are running and that any CIFS sessions that are not continuously available are terminated.

### Verify that no jobs are running

Before upgrading the ONTAP software, you must verify the status of cluster jobs. If any aggregate, volume, NDMP (dump or restore), or Snapshot jobs (such as create, delete, move, modify, replicate, and mount jobs) are running or queued, you must allow the jobs to finish successfully or stop the queued entries.

1. Review the list of any running or queued aggregate, volume, or Snapshot jobs: `job show`

```
cluster1::> job show
```

Job ID	Name	Owning Vserver	Node	State
8629	Vol Reaper	cluster1	-	Queued
	Description: Vol Reaper Job			
8630	Certificate Expiry Check	cluster1	-	Queued
	Description: Certificate Expiry Check			
.				
.				
.				

2. If there are any running jobs, allow them to finish successfully.
3. Delete any of the queued aggregate, volume, or Snapshot copy jobs: `job delete -id job_id`

```
cluster1::> job delete -id 8629
```

4. Verify that no aggregate, volume, or Snapshot jobs are running or queued: `job show`

In this example, all running and queued jobs have been deleted:

```
cluster1::> job show
```

Job ID	Name	Owning Vserver	Node	State
9944	SnapMirrorDaemon_7_2147484678	cluster1	node1	Dormant
	Description: Snapmirror Daemon for 7_2147484678			
18377	SnapMirror Service Job	cluster1	node0	Dormant
	Description: SnapMirror Service Job			
2 entries were displayed				

## Identifying active CIFS sessions that should be terminated

Before upgrading the ONTAP software, you should identify and gracefully terminate any CIFS sessions that are not continuously available.

Continuously available CIFS shares, which are accessed by Hyper-V or Microsoft SQL Server clients using the SMB 3.0 protocol, do not need to be terminated before upgrading.

1. Identify any established CIFS sessions that are not continuously available: `vserver cifs session show -continuously-available Yes -instance`

This command displays detailed information about any CIFS sessions that have no continuous availability. You should terminate them before proceeding with the ONTAP upgrade.

```
cluster1::> vserver cifs session show -continuously-available Yes
-instance
```

```

                Node: node1
                Vserver: vs1
                Session ID: 1
                Connection ID: 4160072788
Incoming Data LIF IP Address: 198.51.100.5
                Workstation IP address: 203.0.113.20
                Authentication Mechanism: NTLMv2
                Windows User: CIFS\user1
                UNIX User: nobody
                Open Shares: 1
                Open Files: 2
                Open Other: 0
                Connected Time: 8m 39s
                Idle Time: 7m 45s
                Protocol Version: SMB2_1
                Continuously Available: No
1 entry was displayed.
```

2. If necessary, identify the files that are open for each CIFS session that you identified: `vserver cifs session file show -session-id session_ID`

```
cluster1::> vserver cifs session file show -session-id 1
```

```
Node:      node1
Vserver:   vs1
Connection: 4160072788
Session:    1
File      File      Open Hosting
Continuously
ID        Type      Mode Volume      Share      Available
-----
-----
1         Regular    rw  vol10      homedirshare    No
Path: \TestDocument.docx
2         Regular    rw  vol10      homedirshare    No
Path: \file1.txt
2 entries were displayed.
```

## How firmware is updated during the ONTAP upgrade

Because upgrading ONTAP includes upgrading your firmware, you do not need to update firmware manually. When you perform an ONTAP upgrade, the firmware for your cluster included with the ONTAP upgrade package is copied to each node's boot device, and the new firmware is installed automatically.

Firmware for the following components is updated automatically if the version in your cluster is older than the firmware that is bundled with the ONTAP upgrade package:

- System and diagnostics:
  - BIOS
  - Flash Cache
  - Service Processor (SP)
- Disk
- Disk shelf

If desired, you can also update firmware manually in between ONTAP upgrades.

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