



# How do I plan my upgrade?

## ONTAP 9

NetApp  
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# How to plan your upgrade

You should use Upgrade Advisor, one of the services provided in NetApp [Active IQ](#) to plan your upgrade. Without Upgrade Advisor, you need to perform additional manual checks before upgrading.

## Plan your upgrade with Upgrade Advisor

The Upgrade Advisor service in [Active IQ Digital Advisor](#) provides intelligence that helps you plan your upgrade and minimizes uncertainty and risk.

Active IQ identifies issues in your environment that can be resolved by upgrading to a newer version of ONTAP. The Upgrade Advisor service helps you plan for a successful upgrade and provides a report of issues you might need to be aware of in the ONTAP version you're upgrading to.



An active SupportEdge contract is required for Active IQ.

1. [Launch Active IQ](#)
2. Review the Active IQ health summary to help assess the health of your cluster.
3. Review the recommended upgrade path and generate your upgrade plan.

### Related information

[SupportEdge Services](#)

## Plan your upgrade without Upgrade Advisor

It is a best practice to use Upgrade Advisor in [Active IQ](#) to plan your upgrade. If you do not have an active [SupportEdge](#) contract for Active IQ, you should perform the necessary pre-upgrade checks and create your own upgrade plan.

### How long will my upgrade take?

You should plan for at least 30 minutes to complete preparatory steps, 60 minutes to upgrade each HA pair, and at least 30 minutes to complete post-upgrade steps.



If you are using NetApp Encryption with an external key management server and the Key Management Interoperability Protocol (KMIP), you should expect the upgrade for each HA pair to be longer than one hour.

Our upgrade duration guidelines are based on typical configurations and workloads. You can use these guidelines to estimate the time it will take to perform a nondisruptive upgrade in your environment. However, the actual duration of your upgrade process will depend on your individual environment and the number of nodes.

### Resources to read before you upgrade

If you don't use [Active IQ](#) Upgrade Advisor, you need to review a number of NetApp

resources before upgrading your ONTAP software. These resources will help you understand issues you must resolve, new system behavior in the target release, and confirm hardware support.

1. Review the *Release Notes* for the target release.

#### [ONTAP 9 Release Notes](#)

The “Important cautions” section describes potential issues that you should be aware of before upgrading to the new release. The “New and changed features” and “Known problems and limitations” sections describe new system behavior after upgrading to the new release.

2. Confirm that your hardware platform is supported in the target release.

#### [NetApp Hardware Universe](#)

3. Confirm that your cluster and management switches are supported in the target release.

Your NX-OS (cluster network switches), IOS (management network switches), and reference configuration file (RCF) software versions must be compatible with the version of ONTAP to which you are upgrading.

#### [NetApp Interoperability Matrix Tool](#)

4. If your cluster and management switches do not have the minimum software versions for the target ONTAP release, upgrade to supported software versions.

#### [NetApp Downloads: Cisco Ethernet Switch](#)

#### [NetApp Downloads: NetApp Ethernet Switch](#)

5. If your cluster is configured for SAN, confirm that the SAN configuration is fully supported.

All SAN components—including the target ONTAP software version, host OS and patches, required Host Utilities software, multipathing software, and adapter drivers and firmware—should be supported.

#### [NetApp Interoperability Matrix Tool](#)

6. If you are transitioning from 7-Mode using the 7-Mode Transition Tool, confirm that the tool supports transition to the ONTAP version to which you are upgrading.

All the projects in the tool must be in the completed or aborted state before you upgrade the 7-Mode Transition Tool that supports the ONTAP version to which you are upgrading.

#### [7-Mode Transition Tool installation and administration](#)

## **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.

[NetApp Hardware Universe](#)

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

[NetApp Hardware Universe](#)

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. Delete any running or queued aggregate, volume, or Snapshot copy jobs: `job delete -id job_id`

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

3. 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.
```

## Related information

[Considerations for session-oriented protocols](#)

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