



Stage 1. Prepare for upgrade

Upgrade controllers

NetApp

February 22, 2024

Table of Contents

- Stage 1. Prepare for upgrade 1
 - Overview 1
 - Determine whether the controller has aggregates on internal disk drives 1
 - Prepare the nodes for upgrade 5
 - Manage authentication keys using the Onboard Key Manager 22
 - Quiesce the SnapMirror relationships 22
 - Prepare for netboot 22

Stage 1. Prepare for upgrade

Overview

During Stage 1, if required, you confirm that internal disk drives do not contain root aggregates or data aggregates, prepare the nodes for the upgrade, and run a series of prechecks. You might also need to rekey disks for Storage Encryption and prepare to netboot the new controllers.

Steps

1. [Determine whether the controller has aggregates on internal disk drives](#)
2. [Prepare the nodes for upgrade](#)
3. [Manage authentication keys using the Onboard Key Manager](#)
4. [Quiesce the SnapMirror relationships](#)
5. [Prepare for netboot](#)

Determine whether the controller has aggregates on internal disk drives

If you are upgrading controllers with internal disk drives, you need to complete several commands and examine their output to confirm that none of the internal disk drives contains root aggregates or data aggregates.

About this task

If you are not upgrading controllers with aggregates on internal disk drives, skip this section and go to the section [Prepare the nodes for upgrade](#).

Steps

1. Enter the nodeshell, once for each of the original nodes.

```
system node run -node node_name
```

2. Display the internal drives:

```
sysconfig -av
```

The system displays detailed information about the node's configuration, including storage, as seen in the partial output shown in the following example:

```

node> sysconfig -av
slot 0: SAS Host Adapter 0a (PMC-Sierra PM8001 rev. C, SAS, UP)
      Firmware rev: 01.11.06.00
      Base WWN: 5:00a098:0008a3b:b0
      Phy State: [0] Enabled, 6.0 Gb/s
                  [1] Enabled, 6.0 Gb/s
                  [2] Enabled, 6.0 Gb/s
                  [3] Enabled, 6.0 Gb/s
      ID Vendor Model FW Size
00.0 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.1 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.2 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.3 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.4 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.5 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.6 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.7 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.8 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.9 : NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.10: NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
00.11: NETAPP X306_HMARK02TSSM NA04 1695.4GB (3907029168
512B/sect)
...

```

3. Examine the storage output of the `sysconfig -av` command to identify the internal disk drives, and then record the information.

Internal drives have "00." at the beginning of their ID. The "00." indicates an internal disk shelf, and the number after the decimal point indicates the individual disk drive.

4. Enter the following command on both controllers:

```
aggr status -r
```

The system displays the aggregate status of the node, as shown in the partial output in the following example:

```

node> aggr status -r
Aggregate aggr2 (online, raid_dp, parity uninit'd!) (block checksums)
Plex /aggr2/plex0 (online, normal, active)
RAID group /aggr2/plex0/rg0 (normal, block checksums)

RAID Disk Device      HA SHELF BAY CHAN Pool Type RPM  Used (MB/blks)
Phys (MB/blks)
-----
-----
dparity    0a.00.1    0a   0   1  SA:B  0   BSAS 7200 1695466/3472315904
1695759/3472914816
parity     0a.00.3    0a   0   3  SA:B  0   BSAS 7200 1695466/3472315904
1695759/3472914816
data       0a.00.9    0a   0   9  SA:B  0   BSAS 7200 1695466/3472315904
1695759/3472914816
...

```



The device used to create the aggregate might not be a physical disk but might be a partition.

5. Examine the output of the `aggr status -r` command to identify the aggregates using internal disk drives, and then record the information.

In the example in the previous step, "aggr2" uses internal drives, as indicated by the shelf ID of "0".

6. Enter the following command on both controllers:

```
aggr status -y
```

The system displays information about the volumes on the aggregate, as shown in the partial output in the following example:

```

node> aggr status -v
...
aggr2  online  raid_dp, aggr  nosnap=off, raidtype=raid_dp,
raidsize=14,
        64-bit                raid_lost_write=on,
ignore_inconsistent=off,
        rlw_on                snapmirrored=off, resyncsnaptime=60,
                                fs_size_fixed=off,
lost_write_protect=on,
                                ha_policy=cfo, hybrid_enabled=off,
percent_snapshot_space=0%,
                                free_space_realloc=off, raid_cv=on,
thorough_scrub=off
        Volumes: vol6, vol5, vol14
...
aggr0  online  raid_dp, aggr  root, diskroot, nosnap=off,
raidtype=raid_dp,
        64-bit                raidsize=14, raid_lost_write=on,
ignore_inconsistent=off,
        rlw_on                snapmirrored=off, resyncsnaptime=60,
fs_size_fixed=off,
                                lost_write_protect=on, ha_policy=cfo,
hybrid_enabled=off,
                                percent_snapshot_space=0%,
free_space_realloc=off, raid_cv=on
        Volumes: vol0

```



Based on the output in [Step 4](#) and Step 6, aggr2 uses three internal drives—"0a.00.1", "0a.00.3", and "0a.00.9"—and the volumes on "aggr2" are "vol6", "vol5", and "vol14". Also, in the output of Step 6, the readout for "aggr0" contains the word "root" at the beginning of the information for the aggregate. That indicates that it contains a root volume.

- Examine the output of the `aggr status -v` command to identify the volumes belonging to any aggregates that are on an internal drive and whether any of those volumes contain a root volume.
- Exit the nodeshell by entering the following command on each controller:

```
exit
```

- Take one of the following actions:

If the controllers....	Then...
Do not contain any aggregates on internal disk drives	Continue with this procedure.

If the controllers....	Then...
Contain aggregates but no volumes on the internal disk drives	<p>Continue with this procedure.</p> <div>  <p>Before you continue, you must place the aggregates offline, and then destroy the aggregates on the internal disk drives. Refer to References to link to the <i>Disk and aggregate management with the CLI</i> content for information about managing aggregates.</p> </div>
Contain non-root volumes on the internal drives	<p>Continue with this procedure.</p> <div>  <p>Before you continue, you must move the volumes to an external disk shelf, place the aggregates offline, and then destroy the aggregates on the internal disk drives. Refer to References to link to the <i>Disk and aggregate management with the CLI</i> content for information about moving volumes.</p> </div>
Contain root volumes on the internal drives	<p>Do not continue with this procedure.</p> <p>You can upgrade the controllers by referring to References to link to the <i>NetApp Support Site</i> and using the procedure <i>Upgrading the controller hardware on a pair of nodes running clustered Data ONTAP by moving volumes</i>.</p>
Contain non-root volumes on the internal drives and you cannot move the volumes to external storage	<p>Do not continue with this procedure.</p> <p>You can upgrade the controllers by using the procedure <i>Upgrading the controller hardware on a pair of nodes running clustered Data ONTAP by moving volumes</i>. Refer to References to link to the <i>NetApp Support Site</i> where you can access this procedure.</p>

Prepare the nodes for upgrade

Before you can replace the original nodes, you must confirm that they are in an HA pair, have no missing or failed disks, can access each other's storage, and do not own data LIFs assigned to the other nodes in the cluster. You also must collect information about the original nodes and, if the cluster is in a SAN environment, confirm that all the nodes in the cluster are in quorum.

Steps

1. Confirm that each of the original nodes has enough resources to adequately support the workload of both nodes during takeover mode.

Refer to [References](#) to link to *High Availability management* and follow the *Best practices for HA pairs* section. Neither of the original nodes should be running at more than 50 percent utilization; if a node is running at less than 50 percent utilization, it can handle the loads for both nodes during the controller upgrade.

2. Complete the following substeps to create a performance baseline for the original nodes:

- a. Make sure that the diagnostic user account is unlocked.



The diagnostic user account is intended only for low-level diagnostic purposes and should be used only with guidance from technical support.

For information about unlocking the user accounts, refer to [References](#) to link to the *System Administration Reference*.

- b. Refer to [References](#) to link to the *NetApp Support Site* and download the Performance and Statistics Collector (Perfstat Converged).

The Perfstat Converged tool lets you establish a performance baseline for comparison after the upgrade.

- c. Create a performance baseline, following the instructions on the NetApp Support Site.

3. Refer to [References](#) to link to the *NetApp Support Site* and open a support case on the NetApp Support Site.

You can use the case to report any issues that might arise during the upgrade.

4. Verify that NVMEM or NVRAM batteries of node3 and node4 are charged, and charge them if they are not.

You must physically check node3 and node4 to see if the NVMEM or NVRAM batteries are charged. For information about the LEDs for the model of node3 and node4, refer to [References](#) to link to the *Hardware Universe*.



Attention Do not try to clear the NVRAM contents. If there is a need to clear the contents of NVRAM, contact NetApp technical support.

5. Check the version of ONTAP on node3 and node4.

The new nodes must have the same version of ONTAP 9.x installed on them that is installed on the original nodes. If the new nodes have a different version of ONTAP installed, you must netboot the new controllers after you install them. For instructions on how to upgrade ONTAP, refer to [References](#) to link to *Upgrade ONTAP*.

Information about the version of ONTAP on node3 and node4 should be included in the shipping boxes. The ONTAP version is displayed when the node boots up or you can boot the node to maintenance mode and run the command:

```
version
```

6. Check whether you have two or four cluster LIFs on node1 and node2:

```
network interface show -role cluster
```

The system displays any cluster LIFs, as shown in the following example:


```
cluster::> network interface show -role cluster
```

Vserver	Logical Interface	Status Admin/Oper	Network Address/Mask	Current Node	Current Port	Is Home
node1						
	clus1	up/up	172.17.177.2/24	node1	e0c	true
	clus2	up/up	172.17.177.6/24	node1	e0e	true
node2						
	clus1	up/up	172.17.177.3/24	node2	e0c	true
	clus2	up/up	172.17.177.7/24	node2	e0e	true

7. If you have two or four cluster LIFs on node1 or node2, make sure that you can ping both cluster LIFs across all the available paths by completing the following substeps:

a. Enter the advanced privilege level:

```
set -privilege advanced
```

The system displays the following message:

```
Warning: These advanced commands are potentially dangerous; use them
only when directed to do so by NetApp personnel.
Do you wish to continue? (y or n):
```

b. Enter y.

c. Ping the nodes and test the connectivity:

```
cluster ping-cluster -node node_name
```

The system displays a message similar to the following example:

```

cluster::*> cluster ping-cluster -node node1
Host is node1
Getting addresses from network interface table...
Local = 10.254.231.102 10.254.91.42
Remote = 10.254.42.25 10.254.16.228
Ping status:
...
Basic connectivity succeeds on 4 path(s) Basic connectivity fails on
0 path(s)
.....
Detected 1500 byte MTU on 4 path(s):
Local 10.254.231.102 to Remote 10.254.16.228
Local 10.254.231.102 to Remote 10.254.42.25
Local 10.254.91.42 to Remote 10.254.16.228
Local 10.254.91.42 to Remote 10.254.42.25
Larger than PMTU communication succeeds on 4 path(s)
RPC status:
2 paths up, 0 paths down (tcp check)
2 paths up, 0 paths down (udp check)

```

If the node uses two cluster ports, you should see that it is able to communicate on four paths, as shown in the example.

d. Return to the administrative level privilege:

```
set -privilege admin
```

8. Confirm that node1 and node2 are in an HA pair and verify that the nodes are connected to each other, and that takeover is possible:

```
storage failover show
```

The following example shows the output when the nodes are connected to each other and takeover is possible:

```

cluster::> storage failover show

```

Node	Partner	Takeover Possible	State Description
node1	node2	true	Connected to node2
node2	node1	true	Connected to node1

Neither node should be in partial giveback. The following example shows that node1 is in partial giveback:

```
cluster::> storage failover show
```

Node	Partner	Takeover Possible	State Description
node1	node2	true	Connected to node2, Partial giveback
node2	node1	true	Connected to node1

If either node is in partial giveback, use the `storage failover giveback` command to perform the giveback, and then use the `storage failover show-giveback` command to make sure that no aggregates still need to be given back. For detailed information about the commands, refer to [References](#) to link to *High Availability management*.

9. Confirm that neither node1 nor node2 owns the aggregates for which it is the current owner (but not the home owner):

```
storage aggregate show -nodes node_name -is-home false -fields owner-name,  
home-name, state
```

If neither node1 nor node2 owns aggregates for which it is the current owner (but not the home owner), the system will return a message similar to the following example:

```
cluster::> storage aggregate show -node node2 -is-home false -fields  
owner-name, homename, state  
There are no entries matching your query.
```

The following example shows the output of the command for a node named node2 that is the home owner, but not the current owner, of four aggregates:

```
cluster::> storage aggregate show -node node2 -is-home false  
-fields owner-name, home-name, state
```

aggregate	home-name	owner-name	state
aggr1	node1	node2	online
aggr2	node1	node2	online
aggr3	node1	node2	online
aggr4	node1	node2	online

4 entries were displayed.

10. Take one of the following actions:

If the command in Step 9 ...	Then...
Had blank output	Skip Step 11 and go to Step 12 .

If the command in Step 9...	Then...
Had output	Go to Step 11 .

11. If either node1 or node2 owns aggregates for which it is the current owner but not the home owner, complete the following substeps:

- a. Return the aggregates currently owned by the partner node to the home owner node:

```
storage failover giveback -ofnode home_node_name
```

- b. Verify that neither node1 nor node2 still owns aggregates for which it is the current owner (but not the home owner):

```
storage aggregate show -nodes node_name -is-home false -fields owner-name,
home-name, state
```

The following example shows the output of the command when a node is both the current owner and home owner of aggregates:

```
cluster::> storage aggregate show -nodes node1
-is-home true -fields owner-name,home-name,state
```

aggregate	home-name	owner-name	state
aggr1	node1	node1	online
aggr2	node1	node1	online
aggr3	node1	node1	online
aggr4	node1	node1	online

4 entries were displayed.

12. Confirm that node1 and node2 can access each other's storage and verify that no disks are missing:

```
storage failover show -fields local-missing-disks,partner-missing-disks
```

The following example shows the output when no disks are missing:

```
cluster::> storage failover show -fields local-missing-disks,partner-
missing-disks
```

node	local-missing-disks	partner-missing-disks
node1	None	None
node2	None	None

If any disks are missing, refer to [References](#) to link to *Disk and aggregate management with the CLI*, *Logical storage management with the CLI*, and *High Availability management* to configure storage for the

HA pair.

13. Confirm that node1 and node2 are healthy and eligible to participate in the cluster:

```
cluster show
```

The following example shows the output when both nodes are eligible and healthy:

```
cluster::> cluster show
```

Node	Health	Eligibility
node1	true	true
node2	true	true

14. Set the privilege level to advanced:

```
set -privilege advanced
```

15. Confirm that node1 and node2 are running the same ONTAP release:

```
system node image show -node node1,node2 -iscurrent true
```

The following example shows the output of the command:

```
cluster::*> system node image show -node node1,node2 -iscurrent true
```

Node	Image	Is Default	Is Current	Version	Install Date
node1	image1	true	true	9.1	2/7/2017 20:22:06
node2	image1	true	true	9.1	2/7/2017 20:20:48

2 entries were displayed.

16. Verify that neither node1 nor node2 owns any data LIFs that belong to other nodes in the cluster and check the `Current Node` and `Is Home` columns in the output:

```
network interface show -role data -is-home false -curr-node node_name
```

The following example shows the output when node1 has no LIFs that are home-owned by other nodes in the cluster:

```
cluster::> network interface show -role data -is-home false -curr-node
node1
There are no entries matching your query.
```

The following example shows the output when node1 owns data LIFs home-owned by the other node:

```
cluster::> network interface show -role data -is-home false -curr-node
node1
```

Current Is	Logical	Status	Network	Current	
Vserver	Interface	Admin/Oper	Address/Mask	Node	Port
Home					
-----	-----	-----	-----	-----	
vs0					
	data1	up/up	172.18.103.137/24	node1	e0d
false					
	data2	up/up	172.18.103.143/24	node1	e0f
false					

2 entries were displayed.

- If the output in [Step 15](#) shows that either node1 or node2 owns any data LIFs home-owned by other nodes in the cluster, migrate the data LIFs away from node1 or node2:

```
network interface revert -vserver * -lif *
```

For detailed information about the `network interface revert` command, refer to [References](#) to link to the *ONTAP 9 Commands: Manual Page Reference*.

- Check whether node1 or node2 owns any failed disks:

```
storage disk show -nodelist node1,node2 -broken
```

If any of the disks have failed, remove them, following instructions in the *Disk and aggregate management with the CLI*. (Refer to [References](#) to link to *Disk and aggregate management with the CLI*.)

- Collect information about node1 and node2 by completing the following substeps and recording the output of each command:



- You will use this information later in the procedure.
- If you have a system with more than two cluster ports per node, such as an FAS8080 or an AFF8080 system, before you start the upgrade, you must migrate and re-home the cluster LIFs to two cluster ports per node. If you perform the controller upgrade with more than two cluster ports per node, cluster LIFs might be missing on the new controller after the upgrade.

- a. Record the model, system ID, and serial number of both nodes:

```
system node show -node node1,node2 -instance
```



You will use the information to reassign disks and decommission the original nodes.

- b. Enter the following command on both node1 and node2 and record information about the shelves, number of disks in each shelf, flash storage details, memory, NVRAM, and network cards from the output:

```
run -node node_name sysconfig
```



You can use the information to identify parts or accessories that you might want to transfer to node3 or node4. If you do not know if the nodes are V-Series systems or have FlexArray Virtualization software, you can learn that also from the output.

- c. Enter the following command on both node1 and node2 and record the aggregates that are online on both nodes:

```
storage aggregate show -node node_name -state online
```



You can use this information and the information in the following substep to verify that the aggregates and volumes remain online throughout the procedure, except for the brief period when they are offline during relocation.

- d. Enter the following command on both node1 and node2 and record the volumes that are offline on both nodes:

```
volume show -node node_name -state offline
```



After the upgrade, you will run the command again and compare the output with the output in this step to see if any other volumes have gone offline.

20. Enter the following commands to see if any interface groups or VLANs are configured on node1 or node2:

```
network port ifgrp show
```

```
network port vlan show
```

Make note of whether interface groups or VLANs are configured on node1 or node2; you need that information in the next step and later in the procedure.

21. Complete the following substeps on both node1 and node2 to confirm that physical ports can be mapped correctly later in the procedure:

- a. Enter the following command to see if there are failover groups on the node other than `clusterwide`:

```
network interface failover-groups show
```

Failover groups are sets of network ports present on the system. Because upgrading the controller hardware can change the location of physical ports, failover groups can be inadvertently changed during the upgrade.

The system displays failover groups on the node, as shown in the following example:

```
cluster::> network interface failover-groups show
```

Vserver	Group	Targets
Cluster	Cluster	node1:e0a, node1:e0b node2:e0a, node2:e0b
fg_6210_e0c	Default	node1:e0c, node1:e0d node1:e0e, node2:e0c node2:e0d, node2:e0e

2 entries were displayed.

- b. If there are failover groups present other than `clusterwide`, record the failover group names and the ports that belong to the failover groups.
- c. Enter the following command to see if there are any VLANs configured on the node:

```
network port vlan show -node node_name
```

VLANs are configured over physical ports. If the physical ports change, then the VLANs will need to be re-created later in the procedure.

The system displays VLANs configured on the node, as shown in the following example:

```
cluster::> network port vlan show
```

Node	VLAN Name	Port	VLAN ID	MAC Address
node1	e1b-70	e1b	70	00:15:17:76:7b:69

- d. If there are VLANs configured on the node, take note of each network port and VLAN ID pairing.

22. Take one of the following actions:

If interface groups or VLANs are...	Then...
On node1 or node2	Complete Step 23 and Step 24 .
Not on node1 or node2	Go to Step 24 .

23. If you do not know if node1 and node2 are in a SAN or non-SAN environment, enter the following command and examine its output:

```
network interface show -vserver vservice_name -data-protocol iscsi|fc
```


If neither iSCSI nor FC is configured for the SVM, the command will display a message similar to the following example:

```
cluster::> network interface show -vserver Vserver8970 -data-protocol
iscsi|fc
There are no entries matching your query.
```

You can confirm that the node is in a NAS environment by using the `network interface show` command with the `-data-protocol nfs|cifs` parameters.

If either iSCSI or FC is configured for the SVM, the command will display a message similar to the following example:

```
cluster::> network interface show -vserver vs1 -data-protocol iscsi|fc
```

Vserver	Logical Interface	Status Admin/Oper	Network Address/Mask	Current Node	Current Port	Is Home
vs1	vs1_lif1	up/down	172.17.176.20/24	node1	0d	true

24. Verify that all the nodes in the cluster are in quorum by completing the following substeps:

a. Enter the advanced privilege level:

```
set -privilege advanced
```

The system displays the following message:

```
Warning: These advanced commands are potentially dangerous; use them
only when directed to do so by NetApp personnel.
Do you wish to continue? (y or n):
```

b. Enter `y`.

c. Verify the cluster service state in the kernel, once for each node:

```
cluster kernel-service show
```

The system displays a message similar to the following example:

```
cluster::*> cluster kernel-service show
```

Master Node	Cluster Node	Quorum Status	Availability Status	Operational Status
node1	node1	in-quorum	true	operational
	node2	in-quorum	true	operational

```
2 entries were displayed.
```

Nodes in a cluster are in quorum when a simple majority of nodes are healthy and can communicate with each other. For more information, refer to [References](#) to link to the *System Administration Reference*.

d. Return to the administrative privilege level:

```
set -privilege admin
```

25. Take one of the following actions:

If the cluster...	Then...
Has SAN configured	Go to Step 26 .
Does not have SAN configured	Go to Step 29 .

26. Verify that there are SAN LIFs on node1 and node2 for each SVM that has either SAN iSCSI or FC service enabled by entering the following command and examining its output:

```
network interface show -data-protocol iscsi|fc -home-node node_name
```

The command displays SAN LIF information for node1 and node2. The following examples show the status in the Status Admin/Oper column as up/up, indicating that SAN iSCSI and FC service are enabled:

```
cluster::> network interface show -data-protocol iscsi|fc
          Logical      Status      Network      Current
Current Is
Vserver   Interface  Admin/Oper Address/Mask      Node
Port      Home
-----
-----
a_vs_iscsi data1      up/up      10.228.32.190/21  node1      e0a
true
          data2      up/up      10.228.32.192/21  node2      e0a
true

b_vs_fcp   data1      up/up      20:09:00:a0:98:19:9f:b0 node1      0c
true
          data2      up/up      20:0a:00:a0:98:19:9f:b0 node2      0c
true

c_vs_iscsi_fcp data1      up/up      20:0d:00:a0:98:19:9f:b0 node2      0c
true
          data2      up/up      20:0e:00:a0:98:19:9f:b0 node2      0c
true
          data3      up/up      10.228.34.190/21  node2      e0b
true
          data4      up/up      10.228.34.192/21  node2      e0b
true
```

Alternatively, you can view more detailed LIF information by entering the following command:

```
network interface show -instance -data-protocol iscsi|fc
```

27. Capture the default configuration of any FC ports on the original nodes by entering the following command and recording the output for your systems:

```
ucadmin show
```

The command displays information about all FC ports in the cluster, as shown in the following example:

```
cluster::> ucadmin show
```

Node	Adapter	Current Mode	Current Type	Pending Mode	Pending Type	Admin Status
node1	0a	fc	initiator	-	-	online
node1	0b	fc	initiator	-	-	online
node1	0c	fc	initiator	-	-	online
node1	0d	fc	initiator	-	-	online
node2	0a	fc	initiator	-	-	online
node2	0b	fc	initiator	-	-	online
node2	0c	fc	initiator	-	-	online
node2	0d	fc	initiator	-	-	online

8 entries were displayed.

You can use the information after the upgrade to set the configuration of FC ports on the new nodes.

28. If you are upgrading a V-Series system or a system with FlexArray Virtualization software, capture information about the topology of the original nodes by entering the following command and recording the output:

```
storage array config show -switch
```

The system displays topology information, as show in the following example:

```
cluster::> storage array config show -switch
```

Node	Grp	Cnt	Array Name	Array Target	Port	Switch	Port	Switch	Port
node1	0	50	I_1818FASTT_1	205700a0b84772da		vgbr6510a	5		
			vgbr6510s164:3	0d					
			vgbr6510s164:4	2b					
			vgbr6510s163:1	0c					
node2	0	50	I_1818FASTT_1	205700a0b84772da		vgbr6510a	5		
			vgbr6510s164:1	0d					
			vgbr6510s164:2	2b					
			vgbr6510s163:3	0c					
			vgbr6510s163:4	2a					

7 entries were displayed.

29. Complete the following substeps:

a. Enter the following command on one of the original nodes and record the output:

```
service-processor show -node * -instance
```

The system displays detailed information about the SP on both nodes.

b. Confirm that the SP status is online.

c. Confirm that the SP network is configured.

d. Record the IP address and other information about the SP.

You might want to reuse the network parameters of the remote management devices, in this case the SPs, from the original system for the SPs on the new nodes.

For detailed information about the SP, refer to [References](#) to link to the *System Administration Reference* and the *ONTAP 9 Commands: Manual Page Reference*.

30. If you want the new nodes to have the same licensed functionality as the original nodes, enter the following command to see the cluster licenses on the original system:

```
system license show -owner *
```

The following example shows the site licenses for cluster1:

```
system license show -owner *
Serial Number: 1-80-000013
Owner: cluster1
```

Package	Type	Description	Expiration
Base	site	Cluster Base License	-
NFS	site	NFS License	-
CIFS	site	CIFS License	-
SnapMirror	site	SnapMirror License	-
FlexClone	site	FlexClone License	-
SnapVault	site	SnapVault License	-

6 entries were displayed.

31. Obtain new license keys for the new nodes at the *NetApp Support Site*. Refer to [References](#) to link to *NetApp Support Site*.

If the site does not have the license keys you need, contact your NetApp sales representative.

32. Check whether the original system has AutoSupport enabled by entering the following command on each node and examining its output:

```
system node autosupport show -node node1,node2
```

The command output shows whether AutoSupport is enabled, as shown in the following example:

```
cluster::> system node autosupport show -node node1,node2
```

Node	State	From	To	Mail Hosts
node1	enable	Postmaster	admin@netapp.com	mailhost
node2	enable	Postmaster	-	mailhost

2 entries were displayed.

33. Take one of the following actions:

If the original system...	Then...
Has AutoSupport enabled...	Go to Step 34 .

If the original system...	Then...
Does not have AutoSupport enabled...	<p>Enable AutoSupport by following the instructions in the <i>System Administration Reference</i>. (Refer to References to link to the <i>System Administration Reference</i>.)</p> <p>Note: AutoSupport is enabled by default when you configure your storage system for the first time. Although you can disable AutoSupport at any time, you should leave it enabled. Enabling AutoSupport can significantly help identify problems and solutions should a problem occur on your storage system.</p>

34. Verify that AutoSupport is configured with the correct mailhost details and recipient e-mail IDs by entering the following command on both of the original nodes and examining the output:

```
system node autosupport show -node node_name -instance
```

For detailed information about AutoSupport, refer to [References](#) to link to the *System Administration Reference* and the *ONTAP 9 Commands: Manual Page Reference*.

35. Send an AutoSupport message to NetApp for node1 by entering the following command:

```
system node autosupport invoke -node node1 -type all -message "Upgrading node1 from platform_old to platform_new"
```



Do not send an AutoSupport message to NetApp for node2 at this point; you do so later in the procedure.

36. Verify that the AutoSupport message was sent by entering the following command and examining its output:

```
system node autosupport show -node node1 -instance
```

The fields `Last Subject Sent:` and `Last Time Sent:` contain the message title of the last message sent and the time the message was sent.

37. If your system uses self-encrypting drives, see the Knowledge Base article [How to tell if a drive is FIPS certified](#) to determine the type of self-encrypting drives that are in use on the HA pair that you are upgrading. ONTAP software supports two types of self-encrypting drives:

- FIPS-certified NetApp Storage Encryption (NSE) SAS or NVMe drives
- Non-FIPS self-encrypting NVMe drives (SED)



You cannot mix FIPS drives with other types of drives on the same node or HA pair.

You can mix SEDs with non-encrypting drives on the same node or HA pair.

[Learn more about supported self-encrypting drives.](#)

Manage authentication keys using the Onboard Key Manager

You can use the Onboard Key Manager (OKM) to manage authentication keys. If you have the OKM set up, you must record the passphrase and backup material before beginning the upgrade.

Steps

1. Record the cluster-wide passphrase.

This is the passphrase that was entered when the OKM was configured or updated using the CLI or REST API.

2. Back up the key-manager information by running the `security key-manager onboard show-backup` command.

Quiesce the SnapMirror relationships

Before you netboot the system, you must confirm that all the SnapMirror relationships are quiesced. When a SnapMirror relationship is quiesced, it remains quiesced across reboots and failovers.

Steps

1. Verify the SnapMirror relationship status on the destination cluster:

```
snapmirror show
```



If the status is `Transferring`, you must abort those transfers:
`snapmirror abort -destination-vserver vservice name`

The abort fails if the SnapMirror relationship is not in the `Transferring` state.

2. Quiesce all relationships between the cluster:

```
snapmirror quiesce -destination-vserver *
```

Prepare for netboot

After you physically rack node3 and node4 later in the procedure, you might need to netboot them. The term *netboot* means you are booting from an ONTAP image stored on a remote server. When preparing for netboot, you must put a copy of the ONTAP 9 boot image onto a web server that the system can access.

Before you begin

- Verify that you can access a HTTP server with the system.
- Refer to [References](#) to link to the *NetApp Support Site* and download the necessary system files for your platform and the correct version of ONTAP.


About this task

You must netboot the new controllers if they do not have the same version of ONTAP 9 installed on them that is installed on the original controllers. After you install each new controller, you boot the system from the ONTAP 9 image stored on the web server. You can then download the correct files to the boot media device for subsequent system boots.

However, you do not need to netboot the controllers if the same version of ONTAP 9 is installed on them that is installed on the original controllers. If so, you can skip this section and proceed to [Stage 3: Install and boot node3](#).

Steps

- 1. Access the NetApp Support Site to download the files used for performing the netboot of the system.
- 2. Download the appropriate ONTAP software from the software download section of the NetApp Support Site and store the <ontap_version>_image.tgz file on a web-accessible directory.
- 3. Change to the web-accessible directory and verify that the files you need are available.

For...	Then...
FAS/AFF8000 series systems	<div>Extract the contents of the <ontap_version>_image.tgz file to the target directory:</div> <div><pre>tar -zxvf <ontap_version>_image.tgz</pre></div> <div><div></div><div>If you are extracting the contents on Windows, use 7-Zip or WinRAR to extract the netboot image.</div></div> <div>Your directory listing should contain a netboot folder with a kernel file:</div> <div><pre>netboot/kernel</pre></div>
All other systems	<div>Your directory listing should contain the following file:</div> <div><pre><ontap_version>_image.tgz</pre></div> <div>NOTE: You do not need to extract the contents of the <ontap_version>_image.tgz file.</div>

You will use information in the directories in [Stage 3](#).

Copyright information

Copyright © 2024 NetApp, Inc. All Rights Reserved. Printed in the U.S. No part of this document covered by copyright may be reproduced in any form or by any means—graphic, electronic, or mechanical, including photocopying, recording, taping, or storage in an electronic retrieval system—without prior written permission of the copyright owner.

Software derived from copyrighted NetApp material is subject to the following license and disclaimer:

THIS SOFTWARE IS PROVIDED BY NETAPP “AS IS” AND WITHOUT ANY EXPRESS OR IMPLIED WARRANTIES, INCLUDING, BUT NOT LIMITED TO, THE IMPLIED WARRANTIES OF MERCHANTABILITY AND FITNESS FOR A PARTICULAR PURPOSE, WHICH ARE HEREBY DISCLAIMED. IN NO EVENT SHALL NETAPP BE LIABLE FOR ANY DIRECT, INDIRECT, INCIDENTAL, SPECIAL, EXEMPLARY, OR CONSEQUENTIAL DAMAGES (INCLUDING, BUT NOT LIMITED TO, PROCUREMENT OF SUBSTITUTE GOODS OR SERVICES; LOSS OF USE, DATA, OR PROFITS; OR BUSINESS INTERRUPTION) HOWEVER CAUSED AND ON ANY THEORY OF LIABILITY, WHETHER IN CONTRACT, STRICT LIABILITY, OR TORT (INCLUDING NEGLIGENCE OR OTHERWISE) ARISING IN ANY WAY OUT OF THE USE OF THIS SOFTWARE, EVEN IF ADVISED OF THE POSSIBILITY OF SUCH DAMAGE.

NetApp reserves the right to change any products described herein at any time, and without notice. NetApp assumes no responsibility or liability arising from the use of products described herein, except as expressly agreed to in writing by NetApp. The use or purchase of this product does not convey a license under any patent rights, trademark rights, or any other intellectual property rights of NetApp.

The product described in this manual may be protected by one or more U.S. patents, foreign patents, or pending applications.

LIMITED RIGHTS LEGEND: Use, duplication, or disclosure by the government is subject to restrictions as set forth in subparagraph (b)(3) of the Rights in Technical Data -Noncommercial Items at DFARS 252.227-7013 (FEB 2014) and FAR 52.227-19 (DEC 2007).

Data contained herein pertains to a commercial product and/or commercial service (as defined in FAR 2.101) and is proprietary to NetApp, Inc. All NetApp technical data and computer software provided under this Agreement is commercial in nature and developed solely at private expense. The U.S. Government has a non-exclusive, non-transferrable, nonsublicensable, worldwide, limited irrevocable license to use the Data only in connection with and in support of the U.S. Government contract under which the Data was delivered. Except as provided herein, the Data may not be used, disclosed, reproduced, modified, performed, or displayed without the prior written approval of NetApp, Inc. United States Government license rights for the Department of Defense are limited to those rights identified in DFARS clause 252.227-7015(b) (FEB 2014).

Trademark information

NETAPP, the NETAPP logo, and the marks listed at <http://www.netapp.com/TM> are trademarks of NetApp, Inc. Other company and product names may be trademarks of their respective owners.