



DEPARTMENT OF THE NAVY  
BUREAU OF NAVAL PERSONNEL  
5720 INTEGRITY DRIVE  
MILLINGTON, TN 38055-0000

BUPERSINST 5230.7  
BUPERS-07  
9 SEP 2010

BUPERS INSTRUCTION 5230.7

From: Chief of Naval Personnel

Subj: INFORMATION TECHNOLOGY SYSTEMS MAINTENANCE, FUNCTIONAL  
DEGRADATION, OUTAGE, AND URGENT SITUATION  
POLICY AND REPORTING PROCEDURES

Ref: (a) DoD 5200.7-R of Jan 97  
(b) BUPERS CIO ltr 5200 of 13 Jan 2010

Encl: (1) Scheduled Outage Report Template  
(2) Functional Degradation, Dependency Outage, or  
Unscheduled Outage Report Template  
(3) After-Action, Root Cause Analysis Report Template  
(4) Urgent Situation Report Template

1. Purpose. To establish policy and reporting requirements to be followed in response to maintenance, functional degradation, outages, and urgent situations for Bureau of Naval Personnel (BUPERS) Information Technology (IT) systems. This instruction specifies the guidelines for reporting.

2. Cancellation. BUPERSINST 5230.6.

3. Discussion. IT systems and supporting infrastructure are critical components of the Navy's operational environment. Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education) (DCNO (MPTE)) (N1), Human Resource (HR) and financial systems are integral to all DCNO (MPTE) (N1) business processes and are analogous to tactical systems; similar to Command, Control, Communications, Computers, and Intelligence (C4) systems. DCNO (MPTE) (N1) is dependent on these systems to deliver vital HR services that have a direct impact on fleet readiness. Therefore, IT systems must be managed and reported with the same rigor as other Navy tactical systems.

4. Policy. Timely notification of situations that potentially degrade, impair, or interrupt the delivery of vital HR services is necessary to effectively support Navy Business and War

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fighting domains. All BUPERS IT system maintenance, functional degradations, outages, and urgent situations will be reported by support activities per this instruction.

a. Definitions

(1) BUPERS IT System. A BUPERS IT System is any system registered in the Department of Defense (DoD) IT Portfolio Repository, Navy (DITPR-DON) that is functionally managed by BUPERS personnel, regardless of budget submitting office (BSO), mission assurance category (MAC), designated mission criticality, or physical location.

(2) Scheduled Maintenance (SM). SM is a preplanned maintenance event reported to the BUPERS, Information Management Office, Maintenance Coordinator (IMO MC) (BUPERS-07) no later than the 15<sup>th</sup> of each month preceding the SM.

**Note:** For calculation purposes, SM is the amount of time in hours that the system is planned to be unavailable to the customer that is recognized before the 15<sup>th</sup> of the preceding month.

(3) Actual Maintenance (AM). AM time is the actual amount of maintenance performed during the reported SM period.

**Note:** For calculation purposes, AM is the amount of time in hours that the system was actually down in the SM preplanned maintenance window. If the maintenance time exceeds the reported SM, this time will be recorded as an unscheduled outage (UO).

(4) Scheduled Outage (SO). SO is a planned outage that is reported after the 15<sup>th</sup> of the preceding month, but before the actual maintenance takes place. SOs will be reported at least 3 business days in advance of the date of the outage when possible. This lead time will provide system users advance notice to take appropriate action to minimize the impact of the outage to the business.

**Note:** For calculation purposes, a SO is the planned time in hours that the system is unavailable to the customer, but is recognized after the 15<sup>th</sup> of the preceding month. SO time only occurs during the advertised time available (AdTA).

(5) Actual Outage (AO). AO time is the actual amount of maintenance performed during the reported SO period.

**Note:** For calculation purposes, AO time is the actual amount of time in hours that the system was actually down in the SO preplanned maintenance window. If the outage time exceeds the reported scheduled outage, this time will be recorded as a UO.

(6) Functional Degradation (FD). FD is when a BUPERS IT system service is available but degraded in a way that impacts customer ability to conduct normal business operations. The degradation can either be internal or external to the system. Examples would be network latency issues (external) or a partial loss of functionality due to a system software bug (internal).

**Note:** For calculation purposes, a FD is the amount of time in hours that the system experienced a degradation in service during the AdTA.

(7) Dependency Outage (DO). DO is a type of unexpected outage when a BUPERS IT system service to supported customers is interrupted or unavailable due to an issue that is attributable to an external system or service.

**Note:** For calculation purposes, a DO is the amount of time in hours that the system is not available to the customer during the AdTA due to its dependency on the availability of another system or service.

(8) Unscheduled Outage (UO). UO is a type of unexpected outage when a BUPERS IT system service to supported customers is interrupted or unavailable due to an issue that is attributable to the system.

**Note:** For calculation purposes, a UO is the unplanned amount of time in hours that the system is unavailable to the customer during the AdTA due to a problem that is attributable to the system itself, not to its dependency on the availability of another system or service.

(9) Urgent Situation. An urgent situation occurs when a degradation or outage of a BUPERS IT system is imminent due to

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an unexpected or unplanned factor. Notification will provide system users advanced notice in order to complete an orderly transition to a manual business process.

(10) Advertised Time Available (AdTA). AdTA is the total time in hours that the system was advertised to be available to the customer during the reporting period.

**Note:** AdTA is calculated at the beginning of the reporting period by subtracting the SM time from total number of hours in the reporting period.

(11) Actual Time Available (AcTA). AcTA is the total time in hours that the system was actually available to the customer during the reporting period.

**Note:** AcTA is calculated at the end of the reporting period by subtracting the SM, SO, UO, and DO time from total number of hours in the reporting period.

(12) Advertised Percent Available (AdPA). AdPA is the percentage that the system was advertised to be available to the customer during the reporting period.

**Note:** AdPA is calculated at the beginning of the reporting period by dividing the system's AdTA by the total number of hours in the reporting period.

(13) Actual Percent Available (AcPA). AcPA is the percentage that the system was actually available to the customer during the reporting period.

**Note:** AcPA is calculated at the end of the reporting period by dividing the system's AcTA by the total number of hours in the reporting period.

(14) Availability. Availability represents the actual percentage of time that the system was available to the customer during the AdTA.

**Note:** Availability is calculated by dividing the system's AcTA by the AdTA (actual time/advertised time). Maximum is 100 percent.

b. Reporting Requirements. Reports containing specific information on the availability of BUPERS IT systems may contain information exempt from being released to the public per reference (a), paragraph AP3.2.1.1.4.; therefore, all reports shall be labeled "FOR OFFICIAL USE ONLY (FOUO)" and e-mails containing these reports shall be encrypted when practical. (Two examples when encryption may not be practical are when using a hand-held device without a common access card sled or when making reports via a personal e-mail account due to a catastrophic failure of the IT environment).

(1) SM. SM will be reported to the BUPERS, IMO MC by the System Service Provider (SSP) or the System's Functional PM on or before the 15<sup>th</sup> of each month preceding the SM. No specific format is required; however, reported SM must have the day and time window in Eastern Standard Time for each maintenance event, as well as the purpose of the SM (e.g., batch processing, security updates, testing, etc.). SM that can be derived from a set maintenance schedule must still be verified. Negative reports are required.

(2) SO. SO will be reported to BUPERS, IMO MC by the SSP or the System's Functional PM at least 3 business days in advance of the date of the outage when possible using the report format provided in enclosure (1).

(3) FD, DO, or UO. Initial notification of a FD, DO, or UO will be reported to BUPERS, IMO MC by the SSP or the System's Functional PM within 30 minutes of the outage, or as soon as practical, after knowledge of the degradation using the report format provided in enclosure (2). Status updates will be provided to BUPERS, IMO MC every 4 hours, when practical, until the problem is resolved. Upon completion of corrective actions, the SSP or Functional PM will submit a final report. The SSP or Functional PM will also submit an After-Action, Root Cause Analysis Report (AAR) to Deputy Chief of Naval Personnel (DEP CHNAVPERS) via BUPERS, IMO MC no later than 5 working days after the date of restoral, using the After-Action, Root Cause Analysis Report format provided in enclosure (3).

(4) Urgent Situation. The SSP or Functional PM will report an urgent situation to BUPERS, IMO MC within 1 hour of identification of the imminent, degradation or unexpected outage, using the report format provided in enclosure (4). All other

reporting requirements for degradations/outages will apply to urgent situations once the system is taken off line (i.e., an initial degradation/outage report will be required).

5. Action

a. BUPERS, IMO MC will serve as the focal point for monitoring outages and providing updates to DEP CHNAVPERS. Specifically, BUPERS, IMO MC will track IT system maintenance and availability and monitor the reporting on all BUPERS IT systems. BUPERS, IMO MC will forward all degradation/outage reports received from SSPs/PMs to DEP CHNAVPERS. BUPERS, IMO MC is required to submit the following additional reports to DEP CHNAVPERS:

(1) BUPERS IT System Monthly Scheduled Maintenance Report. This report will include a comprehensive SM plan of all BUPERS IT systems. BUPERS, IMO MC will provide this monthly report to DEP CHNAVPERS no later than the 20<sup>th</sup> of the preceding month. This report will highlight any system that lacks reporting information, verification, or data validation.

(2) BUPERS IT System Monthly Availability Report. This report will include all validated maintenance, degradation, and outage information for the preceding month for all BUPERS IT systems. BUPERS, IMO MC will provide this monthly report to DEP CHNAVPERS no later than the 7<sup>th</sup> of the following month. This report will highlight any system that lacks reporting information, verification, or data validation.

(3) BUPERS IT System Quarterly Availability Report. This report will include all information reported in the monthly availability report plus a minimum of the following:

(a) A table that provides a 3-month summary for all tracked metrics for each BUPERS IT system (SM, SO, AM, AO, FD, DO, UO, AdTA, AcTA, AdPA, AcPA, and Availability).

(b) A table that provides a list of all systems that did not provide 100 percent availability.

(c) A table that provides a list of all systems that experienced a FD, DO, or UO.

(d) Tables that provide each of the above by functional line of business.

(e) A table that highlights systems lacking reporting information, verification, data validation, and the submittal of timely outage notifications and AARs.

**Note:** This report will be submitted to DEP CHNAVPERS on or before the 15<sup>th</sup> of the month following the end of the reporting period.

b. Functional PM. The overall responsibility for compliance with this instruction for a BUPERS IT system rests on the designated Functional PM of that system. (The current Functional PM designation letter, reference (b), is available at <http://www.npc.navy.mil/AboutUs/BUPERS/InformationManagement/> (log in is required to access link)). Functional PMs shall coordinate with the SSP and BUPERS, IMO MC to ensure DEP CHNAVPERS is kept informed of all BUPERS systems status. The Functional PM will coordinate with the SSP to generate and provide to BUPERS, IMO MC information required for the completion of the BUPERS IT System Monthly Scheduled Maintenance Report, the BUPERS IT System Monthly Availability Report, and the BUPERS IT System Quarterly Availability Report.

c. SSP. The SSP will coordinate with the system Functional PMs and BUPERS, IMO MC to ensure DEP CHNAVPERS is kept informed of all BUPERS systems status. The SSP will ensure adequate resources are available to properly maintain BUPERS IT systems, report outages, and complete necessary corrective actions in response to urgent situations and UOs in a timely manner. This includes allocation of additional work hours, hardware/software costs, travel, and or other resources required to return the system to the optimal operational state. The SSP will coordinate with the Functional PM to generate and provide to BUPERS, IMO MC the information required for the completion of the BUPERS IT System Monthly Scheduled Maintenance Report, the BUPERS IT System Monthly Availability Report, and the BUPERS IT System Quarterly Availability Report.

6. Applicability. This instruction applies to all activities involved with the functional or technical management of BUPERS IT Systems as defined in this instruction.

7. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV M-5210.1 of November 2007.

8. Point of Contact. BUPERS, Information Management Office, Maintenance Coordinator (IMO MC) (BUPERS-07); all correspondence routed to e-mail address BUPERS\_IMOMC@navy.mil.

9. Reports. Reporting requirements contained in this instruction are exempt from reports control per SECNAV M-5214.1 of December 2005.



D. P. QUINN  
Rear Admiral, U.S. Navy  
Deputy Chief of Naval Operations

Distribution List:  
Electronic only, via BUPERS Web site  
<http://www.npc.navy.mil/>

### SCHEDULED OUTAGE REPORT TEMPLATE

The Functional PMs are ultimately responsible for the submittal of an SO report to BUPERS, IMO MC. Per this instruction, an SO is defined as a planned outage that is reported after the 15<sup>th</sup> of the preceding month, but before the actual maintenance takes place. SOs will be reported at least 3 business days in advance of the date of the outage when possible. This lead time will provide system users advance notice to take appropriate action to minimize the impact of the outage to the business.

Digitally Sign and Encrypt message when practical.

Send to BUPERS\_IMOMC@navy.mil

CC any relevant personnel in management or the user community.

Put "(FOUO) Scheduled Outage" in the subject line; do not put the system name or acronym in the subject line.

Include system acronym in the message body.

Include multiple outage windows if necessary.

Ensure times are EST or EDT.

Describe the details surrounding the outage.

Describe the impact the outage will have on the business.

POC information needs to be someone that can answer questions regarding the outage.

(FOUO) Scheduled Outage - Message (Plain Text)

File Edit View Insert Format Tools Actions Help Adobe PDF

Send Attach as Adobe PDF Snagit Window

This message has not been sent.

To... BUPERS IMOMC

Cc... [Other relevant addresses]

Subject: (FOUO) Scheduled Outage

FOR OFFICIAL USE ONLY (FOUO)

SCHEDULED OUTAGE NOTIFICATION for:  
[System Acronym]

DATE/TIME OF OUTAGE: YYYYMMDD HHMM EST/EDT  
DATE/TIME OF RESTORAL: YYYYMMDD HHMM EST/EDT  
ESTIMATED DURATION: [# of hours]

DOWNTIME DESCRIPTION/CAUSE:

IMPACT/SYSTEMS AND USERS AFFECTED:

OTHER:

POINT OF CONTACT INFORMATION:  
NAME:  
PHONE:  
E-MAIL:

FOR OFFICIAL USE ONLY (FOUO)

**FUNCTIONAL DEGRADATION, DEPENDENCY OUTAGE,  
OR UNSCHEDULED OUTAGE REPORT TEMPLATE**

The Functional PMs are ultimately responsible for the timely submittal of a FD, DO, or UO Report to the BUPERS IMO MC. A FD is when a BUPERS IT system service is available but degraded in a way that impacts customer ability to conduct normal business operations (due to an internal or external factor); a DO is a type of unexpected outage when a BUPERS IT system service to supported customers is interrupted or unavailable due to an issue that is attributable to an external system or service; and a UO is a type of unexpected outage when a BUPERS IT system service to supported customers is interrupted or unavailable due to an issue that is attributable to the system (an internal factor).

Digitally Sign and Encrypt message when practical.

Send to BUPERS\_IMOMC@navy.mil.

Cc any relevant personnel in management or the user community.

Put "(FOUO) Functional Degradation or Dependency Outage or Unscheduled Outage" in the subject line; do not put the system name or acronym in the subject line.

Include system acronym in the message body.

Ensure time is in EST or EDT.

Describe the details surrounding the event; include estimated time to restoral.

Describe the impact the degradation/outage will have on the business.

POC information needs to be someone that can be contacted at any time to answer questions regarding the degradation/outage.

The screenshot shows an email client window titled "(FOUO) [Outage or Degradation Type] Message (Pt. ...)". The window includes a menu bar (File, Edit, View, Insert, Format, Tools, Actions, Help, Adobe PDF) and a toolbar with icons for Send, Attach as Adobe PDF, and other functions. Below the toolbar, there is a "Snagit" window and a "Window" dropdown menu. The main content area displays a message template with the following fields and text:

This message has not been sent.

To...  BUPERS IMOMC

Cc... [Other relevant addresses]

Subject: (FOUO) [Outage or Degradation Type]

FOR OFFICIAL USE ONLY (FOUO)

[Outage or Degradation Type] NOTIFICATION for:  
[System Acronym]

DATE/TIME OF OCCURRENCE: YYYYMMDD HHMM EST/EDT

DESCRIPTION/CAUSE:

IMPACT/SYSTEMS AND USERS AFFECTED:

OTHER:

POINT OF CONTACT INFORMATION:  
NAME:  
PHONE:  
E-MAIL:

FOR OFFICIAL USE ONLY (FOUO)

**AFTER-ACTION, ROOT CAUSE ANALYSIS REPORT TEMPLATE**

The Functional PMs are ultimately responsible for the timely submittal of the After-Action, Root Cause Analysis Report. This report must be submitted to DEP CHNAVPERS via BUPERS, IMO MC no later than 5 working days after the date of restoration.

FOR OFFICIAL USE ONLY (FOUO)

DD Month YYYY

From: [System Name] Functional Program Manager  
To: Deputy Chief of Naval Personnel  
Via: BUPERS, Information Management Office, Maintenance Coordinator (BUPERS-07)  
Cc: (Other relevant personnel in the management or user community)

Subj: AFTER ACTION REPORT/ROOT CAUSE ANALYSIS

1. Executive Summary. Provide an executive summary of the incident to include what happened, factors contributing to the failure, corrective action, lessons learned, and plan to mitigate the probability/impact of future occurrences.
2. Incident Synopsis. Describe the incident in detail, including exact times if known, and resulting consequences.
3. Incident Analysis. Describe the methods used during the investigation - team interviews, timelines, fault tree analysis, etc. Include information about equipment, environment, management controls, process, and personnel as applicable.
4. Findings. Describe the findings from the analysis performed.
5. Corrective Action Taken. Describe the corrective action taken to resolve the problem.
6. Lessons Learned. Use this section to highlight lessons learned and best practices that can be implemented to prevent the same problem from recurring in the future.
7. Action Plan. Attach a plan of action and milestones as applicable detailing what, who, and when recommended changes will be implemented.
8. Appendices. Provide supporting information as required.

FOR OFFICIAL USE ONLY (FOUO)

**URGENT SITUATION REPORT TEMPLATE**

The Functional PMs are ultimately responsible for the timely submittal of an urgent situation report to BUPERS, IMO MC. An urgent situation occurs when a degradation or outage of a BUPERS IT system is imminent due to an unexpected or unplanned factor.

Digitally Sign and Encrypt message when practical.

Send to BUPERS\_IMOMC@navy.mil.

Cc any relevant personnel in management or the user community.

Put "(FOUO) Urgent Situation" in the subject line; do not put the system name or acronym in the subject line.

Describe the details surrounding the event; include estimated time of the beginning of the degradation/outage and the estimated time of restoral.

Describe the impact the degradation/outage will have on the business.

POC information needs to be someone that can be contacted to answer questions regarding the event.

