



**The U.S. Department of Housing and
Urban Development (HUD)
OCIO IT Management Framework Policy**

HUD Handbook 3400.1 REV2

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The Department of Housing and Urban Development
OCIO IT Management Framework Policy

HUD Handbook 3400.01 Rev 2

DOCUMENT CHANGE HISTORY

| Issue | Date | Pages Affected | Description |
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| Original | April 25, 2011 | All | Initial Version |
| Revision 2 | August 7, 2018 | All | Update of the framework and its components to reflect changes and enhancements in IT management disciplines and lessons learned from their use by OCIO. |

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1. Introduction

The Federal government has been evolving in the management of information technology (IT) capital assets in its agencies. The Information Technology Management (ITM) Framework will give the Department of Housing and Urban Development (HUD) the ability to stay informed and keep up with this evolution. The continuous stream of congressional mandates and executive orders concerning IT management is to provide more efficient and effective IT support to the agency mission. A list of applicable Federal mandates is provided in Section 9 – Authorities and References.

The HUD ITM Framework integrates Federal mandates and directives into a seamless management system that is focused on providing transparency, accountability, and responsibility throughout the entire IT investment life cycle.

2. Purpose

This document establishes HUD's policy for the management of IT through the ITM Framework. The ITM Framework integrates a variety of related IT management methods, mandates, and practices into a full investment management life cycle approach. The essential components of the ITM Framework are defined through a suite of supporting policies, processes, standards, guidelines, and roles and responsibilities. The framework and its components will be continuously updated to reflect changes in IT management disciplines and lessons learned from their use by HUD organizations.

The ITM Framework is based on the Architect – Investment - Implement approach. The ITM Framework addresses the organizational structures, policies, processes, roles and responsibilities, and guidelines for HUD's adherence to Federal IT management mandates and directives for the effective management of the IT capital investments in HUD's IT portfolio. All HUD IT investments follow the ITM Framework. The HUD ITM Framework employs a three-level view (portfolio, investment and project) of HUD IT management responsibilities.

The ITM Framework documentation describes the mechanisms through which decisions about HUD's IT portfolio, investments, and projects are made, and through which the investments and projects are executed, managed, and measured. As such, the ITM Framework represents an integrated management process for the planning, selection, control, and management of HUD's IT portfolio and is focused on achieving desired outcomes in support of HUD's mission, goals, and strategic objectives.

3. Rescission

This ITM Framework Policy revision supersedes all previously issued ITM Framework Policy.

4. Applicability

This policy applies to all HUD employees and contractors who use and work with HUD's IT portfolio, investments, and projects. This policy does not apply to those IT projects related to Ginnie Mae's secondary mortgage activities.¹ Ginnie Mae is a self-sustaining profitable and wholly-owned government corporation located within HUD.

¹Title III, Sec 309 of the National Housing Act exempts all systems that are leased, owned, or operated for or on behalf of Ginnie Mae.

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5. Effective Implementation Date

This policy is effective immediately upon date of approval and clearance.

6. Policy

This policy mandates the use of the ITM Framework as the foundation for the overall management of HUD's IT portfolio, investments, and projects following the tenets of strategic planning, enterprise architecture, capital planning, security and privacy management, project planning and management, risk and performance management, and acquisition management. The elements of the ITM Framework are based on Office of Management and Budget (OMB) and Government Accountability Office (GAO) guidance and best practices. This policy requires that:

1. All HUD activities that involve planning, acquisition, management, and use of IT capital assets be conducted in accordance with the ITM Framework; and
2. All HUD IT stakeholders manage their IT assets in accordance with the ITM Framework.

7. Roles and Responsibilities

7.1 Chief Information Officer (CIO)

The CIO is responsible for:

- Maintaining, updating, and continuously improving the HUD ITM Framework and the policies, procedures, standards, and guidelines required for effective IT management based on HUD and other Federal experiences and the best practices of the IT industry.
- Providing IT stakeholders with the training, implementation aids, and other support required to enable them to use the ITM Framework effectively.

7.2 Executive IT Investment Owners

Executive investment owners shall:

- Align IT Investments with HUD strategic and annual performance plans.
- Structure IT investments to advance the target state of the HUD IT architecture to the maximum extent possible.
- Adhere to HUD's security and privacy standards and policies.
- Include costs to ensure that the security and privacy of the information is being actively and attentively managed.
- Structure IT projects and related contracted support requests into segments with narrow scope and brief duration (6-9 months).
- Use the PPM Life Cycle to plan and execute projects.
- Provide risk management plans that anticipate risks to the program and lay out potential mitigation strategies.

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- Establish quantitative and qualitative estimates of the business value that will be realized from the investment and all supporting projects.
- Measure and report progress against the quantitative and qualitative estimates of the business value at defined intervals for investments and projects.

8. Definitions

8.1 Enterprise Architecture (EA)

EA is required by Clinger-Cohen Act of 1996 as a tool to strategically approach planning and managing IT investments. It consolidates HUD's architecture efforts by establishing overarching architectural guidance. All HUD IT investments must be consistent with the HUD EA.

8.2 Information Technology (IT)

Any services or equipment, or interconnected system(s) or subsystem(s) of equipment, that are used in the automatic acquisition, storage, analysis, evaluation, manipulation, management, movement, control, display, switching, interchange, transmission, or reception of data or information by the agency.

8.3 Information Technology (IT) Governance

IT governance encompasses the structures, policies, procedures, standards, and guidelines that guide IT management decision making within the Department. Governance includes the roles and responsibilities of various HUD IT governance boards.

8.4 Information Technology (IT) Investment

The IT investments are groups of activities that focus on achieving an interrelated set of organizational goals and objectives in support of HUD's mission and in accordance with the direction set by HUD's target architecture. Key activities at this level include the following:

- Identification, sponsorship, preparation, planning, and selection of IT investments;
- Development of investment business cases;
- Updating and maintenance of IT investment documentation; and
- Monitoring of investment performance over the investment life cycle.

8.5 Information Technology Management (ITM) Framework

The Information Technology Management (ITM) Framework is a holistic set of policies, procedures, standards, and guidelines that enables the Office of the Chief Information Officer (OCIO) to deliver HUD programs, services, and management processes by providing high-quality information technology solutions and services.

The ITM Framework is a repeatable process that standardizes and institutionalizes processes for planning and managing investments. The ITM Framework encompasses three stages: Architect – Invest – Implement, with supporting data elements. These processes are based on the Office of Management and Budget's Performance Improvement Life Cycle that addresses the flow of investments from strategic planning and architecture review through investment planning to project implementation and measurement.

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8.6 Portfolio

HUD’s IT portfolio comprises all IT investments, both operational and in development. Key ITM activities at this level are environmental scanning for new industry and Federal government developments, continuous technical and program-focused portfolio analysis, the development of transition strategies to move HUD from the current state to the target state, and the compilation and submission of the HUD IT budget.

8.7 Project

Projects are temporary endeavors that make up investments. Projects cover a range of project types, including new development, operations and maintenance, service delivery, and organizational strengthening. Projects are managed per the HUD PPM Life Cycle.

8.8 Project Planning and Management (PPM)

The PPM provides practical approaches to optimize innovation, minimize schedule and budget risk, and better plan and execute projects. PPM V2.0 incorporates many principles from the Project Management Body of Knowledge (PMBOK®), a best practices project management methodology which presents a set of standard terminology and guidelines for managing projects.

9. Authorities and References

| Directive | Summary |
|------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Clinger Cohen Act | The Clinger Cohen Act requires agencies to align IT resource planning to support their strategic missions; to implement a capital planning and investment control process that links to budget formulation and execution; and rethinking and restructuring the way they do their work before investing in information systems. |
| Government Performance and Results Act of 1993 | Chapter 3 of title 5, United States Code, Section 306 (a) ...the head of each agency shall submit to the Director of the Office of Management and Budget and to the Congress a strategic plan for program activities. Such plan shall contain-(1) outlining its mission (2) long term goals and objective for the major functions and operations of the agency; (3) description of how to achieve these goals and objectives, including a description of the operational processes, skills and technology, and the human capital, information and other resources required to meet those goals and objectives. |
| OMB Circular A-11 | Provides overview of the budget process and detailed instruction for the IT Portfolio Summary and the IT Major Investment Business Cases in the Capital Planning Guidance contained in Section 55. . Mandates that all major IT investments must align with the Federal Enterprise Architecture (FEA). Directs agencies to use the FEA Performance Reference Model. The Capital Planning guidance also contains the Capital Programming Guide. |
| OMB Circular A-123 | Mandates that each agency will design management structures that ensure accountability for results and cost effectiveness. Supplemented by OMB Memoranda. |

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| Directive | Summary |
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| OMB Circular No. A-130 | Mandates that agencies must plan in an integrated manner for managing information throughout its life cycle. Further mandates that agencies integrate planning for information systems with plans for resource allocation and use, including budgeting, acquisition and the use of information technology. Directs agencies to establish a capital planning and investment control process that links mission needs, information and information technology in an effective and efficient manner. The process will guide both strategic and operational IRM, IT planning, and the Enterprise Architecture by integrating the agency's IRM plans, strategic and performance plans. |
| OMB Memorandum M-04-19, Information Technology (IT) Project Management (PM) Qualification Guidance | Identifies IT investment systems requiring qualified Project Managers and requirements for certification of Project Managers. |
| OMB Memorandum, M-05-23, Improving Information Technology(IT) Project Planning and Execution | Identifies steps agencies must take for all new major IT investments, ongoing major IT developmental investments, and high-risk IT investments to better ensure improved execution and performance as well as to promote more effective oversight. |
| GAO IT Investment Management Maturity Framework | This GAO maturity framework serves as the guide for IT investment management process improvement throughout the Federal government. |

10. Acronyms

| Term | Definition |
|------|------------------------------------------------|
| CFO | Chief Financial Officer |
| CIO | Chief Information Officer |
| EA | Enterprise Architecture |
| GAO | Government Accountability Office |
| HUD | US Department of Housing and Urban Development |
| IT | Information Technology |
| ITM | Information Technology Management |
| OCIO | Office of the Chief Information Officer |
| OMB | Office of Management and Budget |
| PM | Project Management |
| PPM | Project Planning and Management |