



**The Department of Housing and Urban
Development
Policy for Information Technology
Governance**

HUD Handbook 3415.1 REV2.1

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Introduction

This policy applies department-wide, and includes organizations conducting business for and on behalf of the Department through contractual relationships. HUD officials shall apply this policy to all Federal employees, contractor personnel, interns, and other non-governmental employees. All organizations collecting or maintaining information or using or operating information systems on behalf of the Department are also subject to the stipulations of this policy.

This policy also applies to all HUD IT projects throughout their entire life cycles, regardless of funding source, whether owned or operated by HUD or operated on behalf of HUD, with the notable exception of those IT projects related to Ginnie Mae's secondary mortgage activitiesⁱ.

This policy shall be applied in conjunction with the other HUD IT Framework policies.

Purpose

This policy serves as the department-wide authority pertaining to the governance structure for Information Technology (IT) management investments and operations. The IT governance structure is a set of processes, standards, roles and responsibilities that facilitate decision-making around IT investments, stakeholder relationships, project life cycle management and other important IT operational areasⁱⁱ.

This policy promotes effective, efficient, timely, and informed decision-making concerning the Department of Housing and Urban Development's (HUD) IT investments and operations. Specifically, this policy establishes the IT governance structure and its associated procedures, roles, and responsibilities, as a critical component of the overall IT Management (ITM) Framework, which guides the management, implementation, and monitoring of IT investments for HUD.

Background

Under the direction of the Chief Information Officer (CIO), the Office of Chief Information Officer (OCIO) provides the information technology systems and services needed to ensure that HUD's employees have the data needed to make effective and informed decisions. HUD's ITM Framework integrates Federal IT mandates and directives into a seamless system of management, focused on providing transparency, accountability, and responsibility throughout the HUD IT management process. The ITM Framework is the overarching structure of policies, procedures, standards, and guidelines that regulate the management of these assets.

Rescission

This is an update of this policy. It overrides any conflicting policies that were published prior to its issuance.

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Applicability

This policy applies to all Federal employees, contractor personnel, interns, and other non-governmental employees who use and work with HUD's IT portfolio, investments, and projects. This policy does not, however, apply to those IT projects related to Ginnie Mae's secondary mortgage activitiesⁱⁱⁱ.

Effective Implementation Date

This policy is effective immediately upon date of approval.

This policy will not be implemented in any recognized bargaining unit until the union has been provided notice of the proposed changes and given an opportunity to fully exercise its representational rights.

Policy

All HUD activities that involve planning, acquisition, management, and use of IT capital assets must be governed in accordance with the HUD IT Governance Plan. This policy requires:

1. The HUD IT portfolio to be managed in accordance with established HUD governance structures, processes, and mandates.
2. Investments to establish quantitative and qualitative estimates of the business value that will be realized from the investment. Progress against these estimates will be measured regularly and reported through the IT governance structure.

This policy is part of a set of integrated policies defined by HUD's ITM Framework^{iv} and all IT investments will follow these policies. This policy provides specific requirements pertaining to governance bodies, roles and responsibilities, schedules, and processes and integrates with these other ITM Framework policies. Elements of this policy are based on the Office of Management and Budget (OMB) and Government Accountability Office (GAO) guidance and best practices.

Overview of the HUD IT Governance Structure

This policy establishes the IT governance structure portrayed in Figure 1. The structure empowers business areas to influence IT strategic priorities and ensure that all portfolio activities align with mission area needs. This process requires significant business area participation in the activities of the IT governance bodies. Each of these governance bodies will have charters specifying their purpose, authority, membership, roles, responsibilities, and operating procedures.

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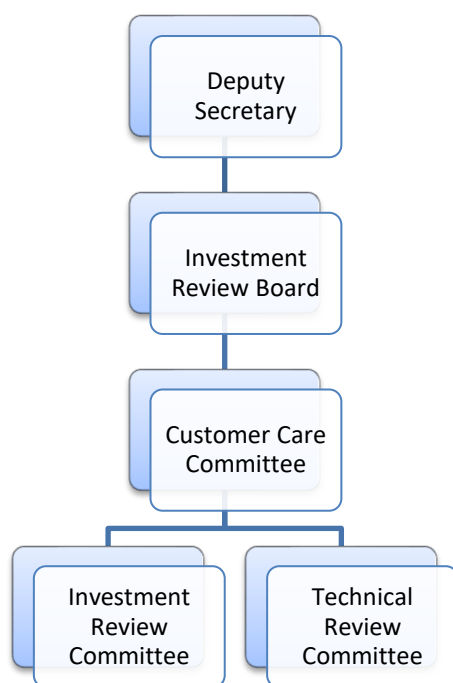


Figure 1 - HUD's IT Governance Structure

The **Investment Review Board** (IRB) consists of the Department of Housing and Urban Development's senior leadership and is the highest decision-making authority for HUD IT Investment decisions within the Department. The IRB oversees the development and implementation of HUD's overall strategic IT priorities, oversees the development of IT policies, reviews and approves IT budget requests, and provides senior leadership for the Department.

The **Customer Care Committee** (CCC) is comprised of HUD executives from all relevant HUD offices that manage HUD's IT investments and perform oversight of all projects. The CCC's responsibilities include ensuring that investments and projects align with the Department's strategic plan, reviewing and submitting investment recommendations to the CIO, and coordinating with the Investment Review Sub-Committee and Technical Review Sub-Committee on investments and project management.

The **Investment Review Committee** (IRC) is composed of HUD personnel from relevant program areas who focus on investment management oversight. Its responsibilities include reviewing business cases to ensure their alignment with the Department's strategic goals and participating in the annual IT budget formulation process as representatives of their *respective* investment executives and business units.

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The **Technical Review Committee** (TRC) is comprised of key personnel from within the Office of the Chief Information Officer (OCIO) with responsibilities for various aspects of ITM Framework implementation. It focuses on project oversight and technical architecture, and its responsibilities include ensuring that each segment architecture remains in alignment with the Department’s strategic goals, monitoring all of HUD’s IT projects, and providing analysis to the IRC, CCC, and CIO as needed. The TRC acts as a control gate in the Project Planning and Management (PPM) Life Cycle to ensure that necessary artifacts are produced, and projects are healthy enough to proceed.

The IT governance bodies described above are guided by the ITM Framework and its “Architect, Invest, Implement” approach to investment management.

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Roles and Responsibilities

HUD SENIOR EXECUTIVES:

- Approve and monitor HUD’s IT portfolio through the Department’s budgeting process
- Ensure HUD’s IT portfolio aligns with its mission and business area needs and with the Department’s strategic goals
- Approve target architecture and enterprise transition plans

THE OFFICE OF THE CHIEF INFORMATION OFFICER:

- Maintains and evolves the HUD IT Governance Plan — the policies, procedures, standards, and guidelines required for effective IT management — based on HUD and other Federal experience and the best practices of the IT industry
- Approves and issues the IT governance charters for the CCC, IRC, TRC, and sends to Principal staff in memo format^v

EXECUTIVE IT INVESTMENT OWNERS:

- 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
- Structure IT projects and related contracted support requests into segments with narrow scope and brief duration (six–nine months)
- Provide risk management plans that anticipate risks to the program and lay out potential mitigation responses
- 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

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Definitions

Office of Chief Information Officer (OCIO): The mission of the OCIO is to enable delivery of HUD programs, services, and management processes by providing high- quality information technology (IT) solutions and services.

Information technology (IT) investment means an expenditure of information technology resources to address mission delivery and management support. This may include a project or projects for the development, modernization, enhancement, or maintenance of a single information technology asset or group of information technology assets with related functionality, and the subsequent operation of those assets in a production environment. These investments should have a defined life cycle with start and end dates, with the end date representing the end of the currently estimated useful life of the investment, consistent with the investment's most current alternatives analysis if applicable.

Project Planning and Management (PPM) Life Cycle 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.

Authorities and References

None.

Appendices

None.

Glossary

Information Technology (IT)
Department of Housing and Urban Development (HUD)
IT Management (ITM)
Chief Information Officer (CIO)
Office of Chief Information Officer (OCIO)
Office of Management and Budget (OMB)
Government Accountability Office (GAO)
Customer Care Committee (CCC)
Investment Review Committee (IRC)
Technical Review Committee (TRC)
Project Planning and Management (PPM)

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

ⁱⁱ Note that HUD distinguishes between the IT governance “structure” and the IT governance “framework.” The governance structure is the set of processes, procedures, roles, and responsibilities that direct decision-making concerning IT investments and operations. The framework is the integrated set of policies, procedures, standards, and guidelines that make up HUD’s ITM Framework.

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

^{iv} The ITM Framework Policy is posted on HUD’s intranet at this URL:
<https://www.hud.gov/sites/dfiles/OCHCO/documents/34001CIOH.pdf>.

^v Charters will also be made available on OCIO’s internal website.