Technical Review Sub-Committee Charter

Version 1.1

May 2011

Version History

Version Number	Implemented By	Revision Date	Approved By	Approval Date	Description of Change
1.0	Chris Niedermayer	December 20, 2010			Final Version 1.0
1.1	Chris Niedermayer	May 10, 2011			Updates to style and quality control review

Contents

1. Purpose

The Technical Review Sub-Committee (TRC) shall monitor the Department of Housing and Urban Development's (HUD's) information technology (IT) projects and infrastructure services, and provide analysis to the Chief Information Officer (CIO) and Customer Care Committee (CCC). It shall act as a control gate in the Project Planning and Management (PPM) Life Cycle to ensure that necessary deliverables are produced. Its members shall act as technical, project, and architecture subject matter experts (SMEs) for the other IT governance bodies on an as-needed basis.

For larger projects, the TRC shall evaluate each proposed project's alignment with HUD's enterprise and segment architecture and provide recommendations for action to the CCC. For smaller projects, the TRC may be authorized by the CCC to finalize conclusions on segment architecture alignment. The TRC shall also play a role in project termination. It shall either implement the Executive Investment Boards (EIB) and CCC's recommendations for large projects, or, should it be delegated the authority, come to its own determination on the best course of action regarding smaller projects.

The TRC shall hold standing scheduled weekly meetings for the review of projects, as needed. If there are no agenda items for a specific week, the TRC shall not be obligated to meet and the TRC's secretary shall notify its members. This schedule may also be adjusted as necessary in order to account for requests from the CIO and the CCC.

2. Authority

The TRC is established under the authority of the *Clinger-Cohen Act (PL 104-106 at 40 USC, Chapter 25)*, and functions under the provisions of the *Office of Management and Budget (OMB) Circular A-130*, *revised*. Functional oversight of the TRC is provided by the CIO, the CCC, and the EIB.

The TRC has the authority to establish working groups to support its roles and responsibilities. The TRC shall dissolve, amend, or otherwise revise the Charter of any designated working groups under its authority. The TRC shall provide direct oversight of designated working groups.

3. Membership

The TRC shall be composed of members representing key technical stakeholders within the OCIO. Membership of the TRC shall include the following:

- Chief Technology Officer (TRC chair; votes in the event of tie)
- Chief Architect
- Chief Information Security Officer (CISO)
- Chief Privacy Officer
- Director, Network Administration
- Director, Office of Systems Integration and Efficiency (OSIE)
- Investment Review Sub-Committee (IRC) Chair (Non-Voting)

Designated alternates may stand-in for the positions listed above. These alternates shall be previously approved by the TRC's chair. Additionally, they shall have substantive decision making authority within their respective area, allowing them to vote on all matters presented to the TRC, and be fully informed on the TRC's previous, ongoing, and planned activities.

The TRC shall encourage additional participants, such as architects, project managers, security experts, budget analysts, business process owners, OCIO technical experts, and other relevant SMEs to attend TRC meetings as non-voting members.

4. Definitions of Key Terms

The table below contains key terms used throughout this Charter.

- **IT Portfolio –** HUD's IT portfolio comprises all IT investments, both existing and in development. The HUD portfolio is the enterprise wide view of the history and future of HUD IT investments. Key IT management 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.

- **IT Investment –** IT investments are groups of activities and acquisitions 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 identification, sponsorship, preparation, planning, and selection of IT investments within the context of the HUD transition strategy, development of investment business cases, update and maintenance of IT investment documentation, and the monitoring of investment performance.

- **IT Project –** Projects are temporary endeavors that make up investments. Projects cover a range of types, including new development, operations and maintenance, service delivery, and organizational strengthening. Projects are managed according to the HUD Project Planning and Management (PPM) Life Cycle.

5. Roles and Responsibilities

The following table outlines the roles and responsibilities of all members of the TRC:

Sub-Committee Roles	Responsibilities
Chair (Chief Technology Officer)	- Schedules TRC meetings - Approves agenda for TRC - Presides over TRC meetings - Presides over TRC working groups - Provides direction to TRC - Ensures a quorum is present in order to have a meeting - Distributes meeting material to TRC members - Serves as senior advisor to the CIO and CCC - Votes in event of a tie - Presents recommendations to CIO and CCC

Sub-Committee Roles	Responsibilities
Voting Members	• Support prioritized investments • Define and prioritize HUD's segment architectures • Review and support the *Enterprise Transition Plan* (*ETP*) • Support other governance bodies as necessary • Manage HUD's service, data, and technical reference models • Identify standards updates • Review standards updates • Conduct standards reviews • Recommend architectural changes to the CCC and EIB • Align projects to technical layers • Conduct PPM control gate reviews • Apply governance oversight criteria • Act as funding authority • Lead change and configuration management
Integrated Project Teams (IPTs)/ Representatives*	• Coordinate with TRC chair to schedule a project review • Submit required project outputs to TRC at least two weeks prior to review date • Brief the TRC on outputs required as part of HUD's PPM Life Cycle

Table 1 – TRC Roles and Responsibilities

* IPT responsibilities are further described in HUD's *Information Technology Management Framework Roles and Responsibilities* document.

5.1 Support the Enterprise Transition Plan

5.1.1 Support Prioritized Investments

The TRC shall provide direct support to the CCC and IRC in the management and oversight of prioritized investments based on the EIB's recommendations and criteria. This may be limited to architecture and other technical analysis.

5.1.2 Define and Prioritize HUD's Segment Architectures

The TRC shall review and prioritize the segment architectures proposed by the enterprise architecture (EA) team based on HUD's mission and strategic goals.

5.1.3 Review and Support the Enterprise Transition Plan

The TRC shall review the current and target EA and update the *ETP*. The proposed *ETP* shall be present to the TRC members for review and support. The TRC shall ensure that the *ETP* aligns with HUD's mission and strategic goals and present their recommendation to the CCC.

5.1.4 Support Other Governance Bodies as Necessary

The TRC shall provide other support, particularly related to technical and architecture analysis, as needed to HUD's other governance bodies in regards investment performance monitoring and analysis. This should include the collection, production, and maintenance of documentation that shall be presented to the CCC or EIB.

5.2 Manage HUD's Architecture and Technical Standards

5.2.1 Manage HUD's Service, Data, and Technical Reference Models

The TRC shall be responsible for the management of HUD's *Service Reference Model*, *Data Reference Model*, and *Technical Reference Model (TRM)*. This shall include reviewing new technologies and adapting the TRM to include any such technology. The TRC shall also be responsible for HUD's solution development methodology (SDM) and associated components.

5.2.2 Identify Standards Updates

The TRC shall work with its supporting groups (EA, capital management, security, privacy, infrastructure, and operations) to ensure that HUDS's technical standards remain current. When standards updates are identified, these supporting groups, in coordination with their TRC representative, shall send the update request to the TRC chair. Included in this communication should be the suggested new technical standard, any existing standard(s) that shall be affected or replaced by this change, any actions required as a result of this change, and a justification of the need for this new standard. The TRC chair shall distribute these requests to the TRC members for review and add this item to the agenda of the TRC meeting scheduled for the following week.

5.2.3 Review Standards Updates

The TRC members shall review the proposed standards updates and coordinate this review with any necessary personnel from their respective teams. As a result of this review, each TRC member should be prepared to represent the position of his or her team with respect to the proposed standard update.

5.2.4 Conduct Standards Reviews

The TRC chair shall facilitate the discussion about the requested update and upon completion, shall facilitate a vote to approve the adoption of the proposed standard.

5.2.5 Recommend Architectural Changes to the CCC and EIB

As HUD's needs and priorities shift over time, the TRC shall be responsible for ensuring that each investment's architecture remains in alignment with the Department's strategic goals. The EIB shall be responsible for establishing strategic alignment criteria that the CCC, TRC, and IRC shall use in analyzing work products within their scope of review. Any investments that do not meet these criteria shall be reviewed by the TRC, which shall provide any necessary recommendations or courses of actions to the CCC by working in conjunction with the IRC.

5.3 Oversee and Manage Projects

5.3.1 Align Projects to Technical Layers

The TRC shall have the primary responsibility of ensuring alignment between a project and the relevant technical layers, including business, data security, and performance models. In collaboration with the IRC, the TRC shall make a determination which investment a project aligns with, and forward this recommendation to the CCC for validation.

The TRC shall identify any necessary changes and forward its recommendations to the CCC.

5.3.2 Conduct PPM Control Gate Reviews

The TRC shall monitor and oversee HUD's smallest projects in order to reduce the number of projects that are directly overseen by the CCC. For all IT projects, the TRC shall be responsible for conducting PPM control gate reviews at each phase to ensure all necessary project artifacts are produced. Additionally, the TRC shall review the project for alignment with technical architecture prior to committing OCIO resources.

5.3.3 Apply Governance Oversight Criteria

The TRC shall review the necessary level of oversight for a project based on financial, exposure, and interoperability criteria created by the CCC and validated by the EIB. This responsibility shall include the identification of any project that is being divided into multiple smaller projects to manage the level of scrutiny or review received.

5.3.4 Act as Funding Authority

The TRC may have funding authority within an authorized budget as delegated from the CCC, for HUD's smallest projects including change and configuration management. The TRC shall determine whether or not to fund a project or configuration changes based upon established priorities and EA.

5.4 Lead Change and Configuration Management

The TRC shall ensure that all changes are assessed, approved, implemented, and reviewed in a controlled, end-to-end manner. The TRC shall ensure that standardized methods and procedures are used for efficient and prompt handling of all changes to enterprise services and projects. This shall minimize the impact of change-related incidents upon service quality, and consequently improve the day-to-day operations of the organization. The TRC shall provide oversight to both operational (ITIL-ITSM) *change request*s and to project (PMBOK) *change requests*. Change and configuration management assessments may lead to changes in architectural and technical standards; however these should be considered independent functions. *Change requests* not meeting established target architecture or technical standards shall be denied until the target architecture or technical standards are changed.

The IT infrastructure library (ITIL) is the set of concepts and practices that guide IT service management at HUD. These practices are also expressed in the ISO 2000 standard. The TRC shall provide direct oversight for all change and configuration management decisions by providing final approval for any changes to enterprise services.

Projects under planning and development may make change requests. These requests shall be made directly to the TRC by the IPT chairs. Any proposed change request shall require the TRC to re-evaluate the stage gate affected.

5.5 Coordinate with IRC, CCC, and EIB

The TRC shall coordinate all architecture, strategic assessment, and project activities with the IRC and CCC chairs. In addition, the IRC, CCC, or EIB may task the TRC with ad-hoc technical tasks.

6. Operating Procedures

6.1 Frequency and Agenda

The TRC shall hold standing weekly meetings for the review of projects, as needed, to support the CCC. The TRC chair should work with the TRC to schedule meetings and inform the members of the agenda. Any member may request a meeting by contacting the TRC chair.

Agenda items should address (but are not limited to) one or more of the following topics:

- Enterprise transition planning
- Architecture and technical standards updates
- Project management oversight (control gate review, performance review, alignment with HUD's strategic goals)
- Change and configuration management
- Ad-hoc requests

IPT chairs, OCIO division leads, or other governing bodies should contact the TRC chair to request to be scheduled onto a TRC agenda. The requestor should identify the topic to be addressed, provide a brief description of the topic, and objective of the discussion (decision, informational or update). This should be done at least three weeks in advance of the desired date, to ensure any potential scheduling conflicts are addressed. The TRC chair shall notify the requestor once the review has been scheduled and confirm the time, location, and participants for the review. Read-ahead materials (inputs) shall be required for most proposed topics.

Working group operating practices should be guided by their respective procedures.

6.2 Inputs for TRC Meetings

Inputs (read-ahead materials) shall be determined based on the topic or type of review being conducted. Inputs should be of sufficient detail to provide TRC members the information needed to make a decision if required. A soft copy of the input should be submitted to the TRC chair at least two weeks (10 working days) in advance of the scheduled review date. Failure to provide read-ahead materials timely may result in the topic being rescheduled. The TRC chair shall then distribute these materials, along with the proposed meeting agenda, to the TRC members for review.

Potential Inputs should include, but are not limited to:

- **Enterprise Transition Plan and IT Strategic Assessment –** EA shall provide the current architecture, target architecture, and *ETP* to the TRC for review. The TRC shall annually prepare and submits an *IT strategic assessment* to the IRC and CCC for consideration in establishing annual direction.

- **Proposals for New/Updates to Architecture and Technical Standards –** The proposal shall include the suggested changes to the IT architecture (enterprise, service reference model, data reference model, technical reference model, and segment), new technical standard, any existing standard(s) that shall be affected or replaced by this change, any actions that shall be required as a result of this change, and a justification of the need for this new standard.

- **IT Project Control Gate Reviews** – The IT project control gate reviews shall include a review of any PPM artifacts and/or the project performance dashboard.

- **Change/Configuration Management Requests –** The TRC shall evaluate and approve change and configuration management. The TRC may request working groups to provide summary documentation of their respective actions to meet TRC oversight responsibilities.

- **Ad-Hoc Requests –** HUD's other decision-making bodies such as the CCC, may request the TRC review and provide technical guidance on a particular topic.

6.3 Preparing for TRC Meetings

Once the inputs are received, TRC members shall review all artifacts and coordinate with the appropriate resource(s) from their respective teams to ensure they are fully aware of any concerns or issues regarding the projects, standards, changes, or architecture. Through these discussions and reviews, each TRC member should be prepared to represent the position of their team with respect to the agenda item being reviewed.

The TRC meeting should not be a forum to review the artifacts. The meeting shall serve as place to discuss the materials and make decisions.

6.4 Conducting TRC Meetings

Enterprise Transition Planning and IT Strategic Assessment
On an annual basis, the EA team shall present their recommendations for the *ETP*. The TRC shall prepare and provide to the IRC an *IT strategic assessment* that shall include the *ETP* recommendations, emerging technology drivers and new requirements, recommendations for continuance of projects or new projects based on performance, *Federal Information Security Act (FISMA)* needs, and suggested changes to the investment select criteria. A key input from the TRC shall be the status and needs of the underlying IT infrastructure required to support mission applications and systems.

The TRC shall receive all necessary artifacts to conduct the review a minimum of two weeks prior to the scheduled review date. Each member shall complete a thorough analysis prior to the scheduled TRC meeting. During the meeting, the TRC chair shall facilitate a discussion on the proposed enterprise transition plan and allow all members to express their comments, issues, and concerns.

Upon the completion of the discussion a recommendation shall be made to the CCC on whether the *ETP* should be approved as is or modified. The TRC shall communicate their recommendations in a summary document and provide the supporting documentation as reference material.

Architecture and Technical Standards Updates
Within the Federal Enterprise Architecture (FEA) Framework, the TRC shall be the approval authority for the service reference model, data reference model, technical reference model for HUD. This includes technical aspects of the Federal Segment Architecture Methodology (FSAM). The performance reference model (PRM) and business reference model (BRM) components are roles of the IRC. These components shall represent the business aspects of the architecture.

The TRC and IRC shall both play important roles in defining HUD's target architecture and the pathway to achieve success. The IRC shall define the performance and business expectations while the TRC shall provide the most efficient and economical solutions. It is expected that the architecture and list of

technical standards shall continue to evolve as HUD's requirements dictate and as new and beneficial technologies are identified that can help HUD achieve its mission. New or changes to technical architecture shall be coordinated with the IRC to ensure they support the performance and business reference architecture.

The TRC members shall receive and review all proposed standards updates or architecture changes prior to the scheduled TRC meeting. Each member shall coordinate this review with any necessary personnel from their respective teams and assemble a list of comments, questions, or concerns and shall be prepared to represent the position of their team.

At the meeting, the TRC chair shall facilitate a discussion on the proposed changes or additions to the architecture or technical standards and allow all members to express their comments, issues, and concerns.

Upon the completion of the discussion a decision shall be made to approve, approve with conditions, or reject the change to the architecture or technical standards.

Project Management Oversight

The TRC shall conduct technical reviews for each of the projects as they move through their respective PPM Life Cycles and approve advancement to the next PPM phase. The TRC members shall receive and review all control gates and performance monitoring artifacts prior to the scheduled TRC meeting. Each member shall coordinate this review with any necessary personnel from their respective teams and assemble a list of comments, questions, or concerns and shall be prepared to represent the position of their team.

The TRC chair shall facilitate the TRC PPM phase gate review meetings in accordance with the established meeting agenda. For each scheduled project review, the IT and business project manager shall present, or coordinate the presentation of materials to the TRC, highlighting any technical risks or issues of which the TRC should be made aware as well as the proposed mitigation plan, if applicable. As stated above, the review should not be a reading of the materials but rather, the review participants should conduct these reviews prior to the presentation and come prepared with any questions and comments for discussion at the review. Decisions shall generally focus on whether the projects are approved to pass control gates, approved with conditions, or rejected. Depending on the size of the project these decisions shall come in the form of recommendations to the CCC or a final decision. The TRC shall communicate their recommendations to the CCC in a summary document and provide the supporting documentation as reference material.

Change/Configuration Management Requests

Change/configuration management shall receive TRC oversight. The TRC shall provide oversight to both operational (ITIL-ITSM) requests and to project (PMBOK) change requests.

ITIL-ITSM requests are those requests that affect day-to-day on-going operations, are known to be technically aligned to target architectures, and adhere to established procedures, standards, and guidelines. Such requests shall be acted upon by IT operations. Requests not aligned to target architectures or not adhering to established procedures, standards, and guidelines including requests for new services or products shall require TRC review and action. Project (PMBOK) change requests shall be assessed initially by the TRC.

The TRC members shall receive and review project change requests prior to the scheduled TRC meeting. Each member shall coordinate this review with any necessary personnel from their respective teams and

assemble a list of comments, questions, or concerns and shall be prepared to represent the position of his or her team.

The TRC chair shall facilitate the change request review in accordance with the established meeting agenda. For each scheduled review, the IPT chair shall present, or coordinate the presentation of the request to the TRC, highlighting any technical risks or issues of which the TRC should be made aware as well as the proposed mitigation plan, if applicable. As stated above, the review should not be intended to be a reading of the materials but rather, the review participants should conduct these reviews prior to the presentation and come prepared with any questions and comments for discussion at the review.

Ad-Hoc Requests

HUD's other decision-making bodies such as the CCC, may request the TRC to review and provide technical guidance on a particular topic. The TRC members shall review the submitted topic and coordinate this review with any necessary personnel from their respective teams. As a result of this review, each TRC member should be prepared to represent the position of his or her team with respect to the topic at hand.

6.5 Quorum[1] Criteria and Voting Procedures

The TRC's rulings and decisions shall only be enforceable or actionable if the majority of its participants, or alternates, are present during its meetings. When this quorum is not reached, members may continue deliberation, but substantive voting decisions may not be made. At the earliest convenience, another TRC meeting shall be scheduled where at least the majority of its members are able to attend.

The TRC chair shall facilitate a vote for any decision made by the TRC. The final TRC decision (or recommendation) shall be based on majority vote of the quorum. Any TRC member, including the CTO as chair of the TRC, may provide a dissenting opinion for CIO consideration in decision records.

6.6 Outputs from TRC Meetings

All meetings shall be documented to establish an official record of TRC activities. The TRC chair shall be responsible for distributing (or delegating the distribution of) all meeting documentation and the development of meeting minutes and/or decision memoranda.

Potential outputs should include, but are not limited to:

- Recommendations for the *ETP*
- New technical standards and architectural changes
- Project control gate decisions and recommendations
- Change/configuration management approvals and recommendations

6.7 Communicating TRC Decisions and Recommendations

Once the TRC meeting concludes, the minutes and resulting project decisions shall be documented by the TRC secretary. These decisions shall be distributed by the TRC chair to all of the meeting attendees,

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[1] A quorum is the minimum number of a deliberate body necessary to conduct the business of that group. A TRC quorum consists of a simple majority of its members.

TRC members, project representative(s) who participated in the TRC presentation, and all other stakeholders. In addition, the TRC chair shall communicate the results of any TRC decisions to the:

- CIO
- CCC's *chair*
- IRC's *chair*
- Office of the Chief Financial Officer (if project funding is to be de-obligated)

All recommendations to the CCC shall be communicated in the form of a summary document with the supporting documentation as reference material. Depending on the recommendations made by the TRC, the TRC chair shall make him or herself available to participate in any resulting meetings requested by the CIO or the CCC.