



# ***Customer Care Committee Charter***

***Version 3.0***

***August 2016***

## 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
1.0	Chris Niedermayer	July 29, 2011			Updated to incorporate comments from internal review
1.0	Chris Niedermayer	July 29, 2011	CCC Membership	August 2, 2011	No changes; approved as proposed
2.0	Weems	August 8, 2013			Updated based on OCRPM Working Sessions on Governance
3.0	F. Gaither/J. Cohen	August 3, 2016			Updated to reflect most recent concepts of operations

## Contents

1.	Purpose.....	1
2.	Authority .....	1
3.	Membership .....	2
4.	HUD Governance Overview.....	2
5.	Definition of Key Terms.....	3
6.	Roles and Responsibilities .....	4
	6.1 EOC Responsibilities .....	4
	6.2 Overview of CCC Responsibilities .....	5
	6.3 Aligns IT Portfolio to the HUD’s Strategic Direction .....	6
	6.4 Oversee and Manage Investments.....	6
	<b>Managing Enterprise Risk .....</b>	<b>7</b>
	6.5 Oversee and Manage Projects.....	7
	6.6 Provide Budget Recommendations .....	8
7.	Operating Procedures .....	8
	7.1 Frequency and Agenda .....	8
	7.2 Inputs for CCC Meetings .....	9
	7.3 Preparing for CCC Meetings .....	9
	7.4 Quorum Criteria and Voting Procedures.....	9
	7.5 Outputs from CCC Meetings.....	10



## 1. Purpose

The Customer Care Committee (CCC) supports the Executive Operations Council (EOC) by developing policies, and providing oversight for all of the Department of Housing and Urban Development's (HUD's) information technology (IT) investments. The CCC's overall purpose is to enable and enhance delivery of HUD's mission through the use of technology by improving HUD's enterprise architecture and infrastructure services. The CCC's objectives include the following:

- Ensuring that HUD's IT investments and projects are aligned with the HUD strategic plan, policies and standards, and industry best practices
- Supporting mission requirements while minimizing risks
- Complying with enterprise architecture goals
- Demonstrating a positive return on allocated financial or staff resources
- Addressing performance gaps

The CCC's activities satisfy the risk management requirements of the Clinger-Cohen Act, and take into account advice and guidance from the Chief Information Officer's (CIO) Council, Chief Financial Officer's (CFO) Council, Government Accountability Office (GAO), Office of Management and Budget (OMB), and other government-wide advisory bodies that address capital planning and IT investment management.

The CCC is an oversight body that makes recommendations and implements actions to ensure that the direction and policies of the EOC are operationalized. To meet this responsibility, the CCC is supported by the Technical Review Subcommittee (TRC) and the Investment Review Subcommittee (IRC) in providing oversight of HUD's IT projects and investments. Together the IRC and TRC ensure that issues are thoroughly vetted, analyzed, and recommendations are developed before items are placed on the CCC's agenda.

## 2. Authority

The CCC is established to comply with the Clinger-Cohen Act (PL 104-106 at 40 USC, Chapter 25) and other federal authorities, and functions under the provisions of the Office of Management and Budget (OMB) Circular A-130, revised. Functional oversight of the CCC is provided by the Secretary and Deputy Secretary of Housing and Urban Development through the EOC. The CCC has the authority and responsibility to oversee Information Technology at HUD and make recommendations to executive leadership on matters that may impact the entire organization or individual business missions. It may also establish working groups to support its roles and responsibilities, and provides direct oversight of any designated working groups.



### 3. Membership

The CCC is composed of the following members:

- Chief Information Officer (Chair)
- Chief Procurement Officer
- Chief Operating Officer
- General Counsel
- Chief Administrative Officer
- Chief Financial Officer
- Chief Information Officer
- Public and Indian Housing
- Housing
- Public Affairs
- Strategic Planning and Management
- Fair Housing and Equal Opportunity
- Community Planning and Development
- Chief Human Capital Officer
- Policy Development and Research
- Lead Hazard Control and Healthy Homes
- Field Policy and Management
- Government National Mortgage Association
- Equal Employment Opportunity
- Chief Technology Officer (Non-Voting)
- Chief Enterprise Architect (Non-Voting)
- Deputy CIO, Customer Relationship and Performance Management (Executive Secretary, Non-Voting Member)
- Customer Relationship Coordinators (Non-Voting members; attend based on the segment and relevant issues on the agenda)

Designated alternates may represent the members listed above. The names of alternates must be submitted to the CCC chair prior to participating in meetings. Alternates must have substantive decision-making authority within their business or support area, allowing them to vote on all matters presented to the CCC and to be fully informed on the CCC's previous, ongoing, and planned activities.

### 4. HUD Governance Overview

HUD's IT governance structure empowers business areas to influence strategic priorities for IT enterprise and business support services, and ensures that IT investments align with mission area needs. The governance process instills the principles of transparency, engagement, and collaboration in the management of the Department's IT assets and services. Significant business area participation in the

activities of the governance bodies ensures both enterprise service and business stakeholder frames-of-reference.





The EOC comprises the Department’s senior leadership. The EOC recommends and determines HUD’s strategic priorities, policies, and budgets, including for investments in Information Technology services. It provides programmatic and planning oversight to all enterprise management councils, including the CCC. With respect to Information Technology governance, the EOC replaces the previously-chartered Executive Investment Board (EIB). The EOC was formed to align the governance processes over Information Technology and other enterprise activities under one senior level Board. The EOC has substantially the same membership and IT oversight functions as the EIB.

The CCC has formed two sub-committees, which perform analyses and other responsibilities delegated to them, and make recommendations to the CCC. These are the Investment Review Sub-Committee (IRC) and the Technical Review Sub-Committee (TRC). The TRC primarily focuses on overseeing the operations of specific IT projects, while the IRC primarily focuses on oversight of HUD’s entire IT investments portfolio.

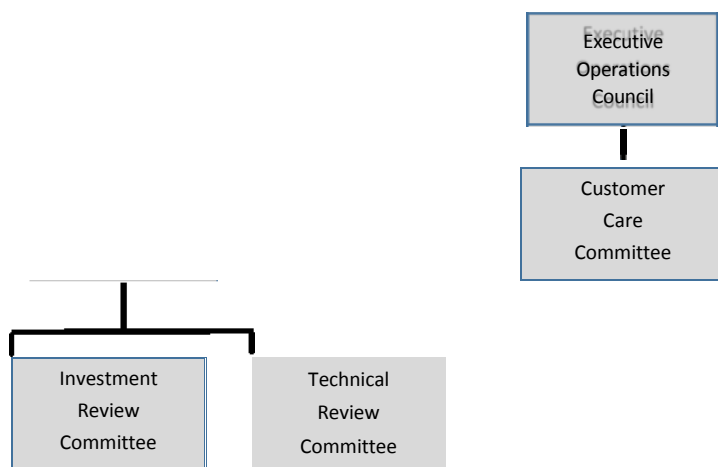


Figure 1. HUD’s Governance Structure

## 5. Definition of Key Terms

The following are the key terms related to the management of information technology assets and services that are used in this charter.

**Portfolio** – HUD’s IT portfolio comprises all investments, both operational and in development. Key oversight activities at this level include the following:

- Environmental scanning for new industry and federal government developments
- Development of enterprise architecture transition strategies
- Portfolio performance measurement
- Approval of the HUD’s IT budget



**Investment** – IT Investments are groups of projects, systems, and 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 enterprise architecture or strategic priorities. Key oversight activities at this level include the identification, sponsorship, and selection of investments, and the monitoring of investment performance.

**Business Segment** – Within a portfolio, investments are classified within business segments, which are organized according to HUD’s Enterprise Architecture or relevant strategic priorities. The Segment Sponsor, who is a senior HUD executive and has business responsibility for functions within the segment. Additionally, the sponsor is also responsible for overseeing investments within that segment.

**Project** - Projects are temporary endeavors within an investment that will in some way improve the outcomes of the investment. IT Projects are managed according to the HUD Project Planning and Management life cycle, and cover a range of types, including the following:

- Custom development or commercial/government off-the-shelf (COTS, GOTS) software
- Software, platform or infrastructure as a service (SaaS, PaaS, IaaS)
- Modifications, enhancements, or de-commissioning of an existing system
- Improved Service delivery
- Organizational strengthening

**System** - a discrete set of information resources organized for the collection, processing, maintenance, transmission, and dissemination of information, in accordance with defined procedures.

## 6. Roles and Responsibilities

### 6.1 EOC Responsibilities

The CCC supports the EOC’s oversight of HUD’s IT investments and services. Under the direction of the Deputy Secretary, the EOC’s major IT related responsibilities involve setting and communicating strategic goals and priorities for IT services, and performs the following functions:

Define HUD’s Priorities – The EOC approves HUD’s target enterprise architecture and the Enterprise Roadmap to help define HUD’s IT and business driven priorities. It reviews HUD’s enterprise and mission needs annually to identify any investment performance gaps, and sets priorities for mitigating discrepancies.

Approve Annual Investment Criteria - The EOC approves strategic alignment and investment criteria used to rank new investments or make changes to current investments, based on their ability to bring





value to HUD. It also approves termination criteria established for underperforming investments to guide decisions to terminate an investment or to attempt to re-establish its performance within acceptable limits.

Oversees the Investment Portfolio -The EOC oversees the entire IT portfolio for both its performance, and its continued alignment with HUD's strategic goals. The Segment Sponsor(s) and/or the CCC bring significant performance variances on investments to the EOC's attention. The EOC considers portfolio and investment risk as a critical factor in decisions regarding strategic direction, enterprise architecture, the mix of investments in the portfolio, and managing investments.

Provide Budget Recommendations - Based on the direction and timing in OMB's annual budget formulation guidance, the EIB will make recommendations to the Deputy Secretary on IT budget requests.

The EOC decides whether to hold a formal meeting or handle a specific topic by e-mail, on a case by case basis. When the EOC is requested to evaluate or significantly modify an investment, it will receive recommendations with supporting documentation. This may include alternative courses of action.

## 6.2 Overview of CCC Responsibilities

The CCC provides regular oversight of HUD's IT activities in support of the EOC, as described in the following table, which outlines the roles and responsibilities of CCC members:

Customer Care Committee Roles	Responsibilities
<b>Chair (CIO)</b>	<ul style="list-style-type: none"><li>• Preside over CCC meetings</li><li>• Schedule meeting agendas and disseminate agendas prior to meeting.</li><li>• Act as senior IT advisor to the EOC</li><li>• Review recommendations from the TRC and IRC for consideration and presentation to the CCC</li><li>• Approve relevant materials and presents recommendations to the EOC for review</li></ul>
<b>Members</b>	<ul style="list-style-type: none"><li>• Recommend investment selection and oversight criteria to the EOC</li><li>• Prioritize investments based on EOC Criteria</li><li>• Support the EOC in approving HUD's IT portfolio</li><li>• Align IT Investments with the Department's Strategic Plan and Target Architecture</li><li>• Monitor IT portfolio and apply performance management and escalation criteria</li><li>• Recommend any changes to investments to the EOC</li><li>• Recommend executive owners for newly created investments and segments</li><li>• Recommend investment suspension or termination</li><li>• Recommend project oversight criteria to the EOC</li></ul>



	<ul style="list-style-type: none"><li>• Make funding decisions as delegated by the EOC</li><li>• Implement any other IT related priorities set by EOC</li></ul>
<b>Executive Secretary</b>	<ul style="list-style-type: none"><li>• Disseminate all meeting documentation to CCC Members</li><li>• Record and maintain CCC meeting minutes</li><li>• Ensure action items are captured in the minutes and tracked to completion</li><li>• Develop executive briefings of CCC recommendations for the EOC</li><li>• Disseminate all CCC decisions to the IRC and TRC for implementation</li></ul>

Table 1 – CCC Roles and Responsibilities

## 6.3 Aligns IT Portfolio to the HUD’s Strategic Direction

### Recommend Investment Selection Criteria to the EOC

The CCC recommends strategic alignment criteria to the EOC for identifying and selecting investments based on their ability to address existing performance gaps and bring value to HUD. The CCC reviews the ranking and prioritization of potential and existing investments based on the criteria. It adheres to the EOC perspective to emphasize the needs of the entire enterprise in setting priorities.

### Recommend Investment Oversight Criteria to the EOC

The CCC recommends a set of investment oversight criteria to the EOC. The criteria are utilized by the IRC to determine what level of governance oversight an investment should receive.

### Align Investments with the Department’s Strategic Plan

The CCC ensures that HUD’s IT investments closely align with the Department’s strategic plan, alerting the EOC if any significant investments are out of alignment. This also includes the review and validation of analysis from the TRC and IRC regarding where a project best fits in the investment portfolio. The CCC also gives preliminary approval to enterprise roadmaps and modernization plans that enable HUD to more effectively implement its strategic priorities

## 6.4 Oversee and Manage Investments

### Monitor IT Investments

The CCC is responsible for the review and oversight of HUD’s entire IT portfolio. It actively monitors the performance of HUD’s IT investments and resolves most of HUD’s IT investment issues. The CCC elevates to the attention of the EOC any performance gaps that pose a significant risk to the Department, along with recommendations for alternative courses of action. The CCC is informed of TechStat reviews of



projects that are conducted by the CIO. Should an investment experience sustained variances in cost or performance, the CCC will inform the EOC, and then carry out the necessary course of action.

### **Recommend Changes to Investments**

The CCC recommends changes in IT investments to the EOC. These changes may include the creation of new investments, the modification of existing investments, or the elimination of old or underperforming investments. Upon EOC validation, the CCC is responsible for ensuring that any approved change closes performance gaps and continually aligns with HUD's strategic goals and enterprise architecture.

### **Align Investments to Business segments**

The CCC is responsible for annually approving the alignment of all existing and new investments to business segments. When a new investment is created, the CCC selects one of its voting members as that investment's executive sponsor. The selection is based on the member's relevant knowledge and experience, and the investment's functionality, effect on business and support areas, and other relevant criteria that the CCC deems appropriate.

### **Managing Enterprise Risk**

The CCC will consider portfolio and investment risk as a critical factor in decisions regarding strategic direction, enterprise architecture, the mix of investments in the portfolio, and managing investments. When appropriate, written decision documentation should include how risk was considered in arriving at the decision.

## **6.5 Oversee and Manage Projects**

### **Recommend Project Oversight Criteria to the EOC**

The CCC is responsible for creating a set of criteria utilized by the TRC to determine what level of governance oversight a project should receive. These criteria are validated by the EOC before being used by the TRC.

### **Funding Decisions**

For the largest or most sensitive projects, the CCC reviews, scores, and provides recommendations to the EOC regarding allocations of funds and resources to a project. For other projects, the EOC may delegate full funding authority to the CCC.

### **Performance Management and Escalation Criteria**

The CCC oversees larger projects from concept development through operation and eventual decommissioning. When appropriate, the CCC may choose to delegate its authority to the TRC.



The CCC focuses its oversight attention on projects that experience a continued (i.e., through three consecutive months) 10% or greater unfavorable deviation from expected cost, schedule, or performance. The CCC recommends corrective action to the EOC based on previously developed project oversight and termination criteria.

Should a project continue to experience sustained variances in cost, schedule, or performance, the CCC is responsible for implementing the EOC's recommendations. Or, if authorized, taking direct responsibility for either terminating a project or bringing its performance back within acceptable limits. With smaller projects, the CCC may choose to delegate this authority to the TRC.

## 6.6 Provide Budget Recommendations

Following the direction and timing in OMB's annual budget formulation guidance, the CCC will make recommendations on IT budget requests in conjunction with the CIO and the CFO. The IT budget hearing is a special meeting to discuss the IT requirements presented by each Segment Sponsor. The budget hearing includes the Segment Sponsor's justification or rationale for each IT budget request. With this input from the CCC, the EOC then makes management recommendations to the Deputy Secretary for budget submission to OMB, and after OMB Passback, to Congress.

## 7. Operating Procedures

### 7.1 Frequency and Agenda

The CCC schedules standing monthly meetings to address portfolio and investment issues. Additional meetings may be scheduled as needed. Annually, at the beginning of the fiscal year, the CCC provides input into the annual calendar of activities developed by the IRC. The CCC Executive Secretary schedules meetings and informs the Members of the agenda. The CCC Executive Secretary solicits topics and provides an agenda to CCC members at least three days prior to the meeting. Any member may request a meeting by contacting the chairperson.

Governing body chairpersons, members, and others will contact the CCC Executive Secretary to request to be scheduled onto a CCC agenda. The requestor should identify the topic to be addressed, and provide a brief description of the topic and objective of the discussion (decision, informational or update). This should be provided as far in advance as possible, but at least one week in advance of the desired date, to ensure any potential scheduling conflicts are addressed. The CCC Executive Secretary will notify the requestor once the review has been scheduled, confirm the time, location, and participants for the review. Read-ahead materials (inputs) will be required for most proposed topics.



## 7.2 Inputs for CCC Meetings

Any inputs (read-ahead-material) submitted to CCC members in support of agenda items must be appropriately summarized with recommendations for executive level discussion and decision making. The CCC meeting is not a forum for preliminary analysis. Thorough analysis is to be performed by the IRC and TRC prior to the CCC meeting and submitted as executive briefings with recommendations. Inputs will be determined based on the topic or type of review being conducted. Written materials will not be required if the topic is for open discussion.

A soft copy of the input materials should be submitted to the CCC Executive Secretary at least three working days in advance of the scheduled meeting whenever possible. Failure to provide read-ahead materials in time may result in the topic being rescheduled. The CCC Executive Secretary will then distribute these materials, along with the proposed meeting agenda, to the CCC members for review.

## 7.3 Preparing for CCC Meetings

Once the inputs are received, CCC members must review all documents and coordinate with the appropriate resource(s) from their respective team to ensure they are fully aware of any concerns or issues regarding the topic. Through these discussions and reviews, each CCC member should be prepared to represent the position of their team with respect to the agenda item being reviewed. The CCC meeting is not a forum to review the documents. The meeting serves as a place to discuss the materials and make decisions.

## 7.4 Quorum Criteria and Voting Procedures

Designated members are expected to attend scheduled CCC meetings. Members should notify the chairperson of their inability to attend a scheduled meeting in advance of the meeting. Members may designate an alternate by informing the chairperson prior to the meeting. Alternates must have full representation and voting rights of the member, and knowledge of the agenda topics to serve as an alternate.

The CCC's rulings and decisions will only be enforceable or actionable if the majority of its members, 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 CCC meeting will be scheduled where at least the majority of its members are able to attend or votes will be taken electronically.

The chairperson will facilitate a vote for any decision made by the CCC. The final CCC decision (or recommendation) will be based on a majority vote of the quorum. All voting members and the Chair are eligible to vote.



## 7.5 Outputs from CCC Meetings

Minutes and decisions will be documented by the CCC Executive Secretary and will be distributed by the CCC Executive Secretary to all of the meeting attendees and CCC members. The CCC Executive Secretary will communicate the results of any CCC decisions, as applicable, to the EOC, IRC and TRC, if applicable.

All recommendations for the EOC must be communicated in the form of a summary document with the supporting documentation as reference material. Depending on the recommendations made by the CCC, the CCC Chair will participate in any resulting meetings requested by the EOC.

Minutes, decisions, and recommendations of the CCC will be retained by the CCC Executive Secretary in a repository that is accessible to the EOC, CCC, IRC, and TRC members.