



The Department of Housing and Urban Development

Software Configuration Management Policy

HUD Handbook 3252.1 REV 2

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Table of Contents

CHAPTER 1. BACKGROUND	4
1-1 Software Configuration Management Background	4
CHAPTER 2. SOFTWARE CONFIGURATION MANAGEMENT PURPOSE AND SCOPE	5
2-1 Purpose.....	5
2-2 Scope	5
CHAPTER 3. SOFTWARE CONFIGURATION MANAGEMENT POLICY.....	6
3-1 Components.....	7
3-2 HUD Software Configuration Management Policies.....	7
3-3 Waiver Requests.....	9
CHAPTER 4. ROLES AND RESPONSIBILITIES.....	12
4-1 HUD SA-CMM® Enterprise Initiative	12
4-2 Roles and Responsibilities	12
CHAPTER 5. APPENDIX 1. ACRONYMS	15
CHAPTER 6. APPENDIX 2. RELATED DOCUMENTATION	17
CHAPTER 7. APPENDIX 2. FORMS REQUIRED BY THIS HANDBOOK	18
7-1 SCM Waiver Request Form	18
7-2 Configuration Management (CM) Plan Template.....	20

CHAPTER 1. BACKGROUND

1-1 Software Configuration Management Background

In order to better create and operate programs that are fully responsive to the Department of Housing and Urban Development's (HUD) needs, while also reflecting the standards of quality that the American public deserves and requires, HUD is transforming itself through Management Reform. Process Innovation and Improvement are key elements of this reform. HUD is tasked by legislation such as the Clinger-Cohen Act, the Government Paperwork Reduction Act (PRA), and the Government Performance and Results Act (GPRA), by organizations like the Office of Management and Budget (OMB) and the General Accountability Office (GAO), and internally by HUD 2020 to renovate inefficient processes, eliminate redundancy, improve data quality, and validate that HUD is actively meeting the needs of its stakeholders.

The Electronic Industries Alliance (EIA), EIA 649 standard has been issued as the government and industry guidelines for Configuration Management (CM). It states that CM is a management process for establishing and maintaining consistency of a product's performance, functional and physical attributes with respect to its requirements, design and operational information throughout its life.

In software engineering, software configuration management (SCM or S/W CM)¹ is the task of tracking and controlling changes in the software, which is part of the larger cross-disciplinary field of configuration management.² SCM practices include revision control and the establishment of baselines. The term "SCM" also includes the source configuration management process and software change management.³ However, "configuration" is generally understood to cover changes typically made by a system administrator.

Accordingly, the Department's Software Configuration Management process will allow the Office of the Chief Information Officer (OCIO) to verify that the current configuration identification has been placed under formal internal controls, will verify that all digital design data have been updated and that all digital design files and models have been captured and inducted into Product Data Management system vaults.

¹ 828-2012 IEEE Standard for Configuration Management in Systems and Software Engineering. 2012. doi:10.1109/IEEESTD.2012.6170935. ISBN 978-0-7381-7232-3.

² Aiello, R. (2010). Configuration Management Best Practices: Practical Methods that Work in the Real World (1st ed.). Addison-Wesley. ISBN 0-321-68586-5.

³ Babich, W.A. (1986). Software Configuration Management, Coordination for Team Productivity. 1st edition. Boston: Addison-Wesley

CHAPTER 2. SOFTWARE CONFIGURATION MANAGEMENT PURPOSE AND SCOPE

2-1 Purpose

The purpose of Software Configuration Management (SCM) is to track and control changes in the software and to establish and maintain the integrity of the products of software projects throughout the project's software life cycle.

The goal of the CM program at HUD is to establish and maintain consistency of systems and a product's performance, functional, and physical attributes with its requirements, design, and operational information throughout its life.^{4,5} The CM process is widely used to manage changes throughout the system life cycle of complex systems. The CM process is also used with IT service management as defined by the IT Infrastructure Library (ITIL), and with other domain models, to improve the management of HUD's computer software and improve computer software delivery through the implementation of standard computer software policies.

There are two major thrusts in the HUD SCM initiative. First, is to instill discipline in the migration of software through the system development and production phases of the life cycle. Second, is to provide a means of cataloging the history of application software systems, and to be able to retreat to a prior version in the event that should become necessary.

2-2 Scope

HUD shall perform life cycle configuration management of its information technology programs, assets, and investments. Configuration management practices shall support related agency initiatives and policies, which include information system security, software license management, and asset management where appropriate.

The expected outcome of the SCM Policies is to provide oversight to the SCM process and provide an automated toolset for application software development and maintenance personnel.

This ensures that standard practices are identified, ensures compatibility of implementation at HUD, and improves HUD's ability to share resources across multiple projects.

⁴ "MIL-HDBK-61A, ""Military Handbook: Configuration Management Guidance". Department of Defense. 7 February 2001. Archived from the original on 20 March 2012. Retrieved 24 March 2012.

⁵ "ANSI/EIA-649B, ""National Consensus Standard for Configuration Management". TechAmerica. 1 April 2011. Archived from the original on 1 August 2012. Retrieved 24 March 2012

CHAPTER 3. SOFTWARE CONFIGURATION MANAGEMENT POLICY

The purpose of the Software Configuration Management (SCM) Policies at HUD is to establish and maintain the integrity of software work products throughout the project's software life cycle.

HUD enterprise-wide configuration management policy consists of a multi-layered structure - policy, process, and procedures, with each layer providing an increased level of detail. This structure provides high-level configuration management requirements and the detail of how these requirements are to be implemented. Policy, plans, process, and procedures shall be followed unless specifically designated as optional or discretionary.

Configuration management shall apply to all HUD IT systems, programs, investments, and assets captured in the Enterprise Architecture. The level of application shall include systems, subsystems, components, and related descriptive documentation. Configuration management of HUD systems shall be in compliance with all Agency security requirements.

Configuration management control begins with baselining of requirements documentation and ends with decommissioning of equipment or termination of services.

Configuration management shall be applied to hardware, software, firmware, documentation, interfaces, standards, test and support equipment, IT facility space, spares, training and courseware, and manuals. The Configuration Control Management Board (CCMB) shall ensure that documentation associated with approved changes to investments and approved solutions is updated to reflect the appropriate baseline.

HUD's configuration management shall include planning and management, configuration identification, change management, status accounting, configuration verification and audit, and information/data management. HUD's lines of business, staff offices, service organizations, service areas, and other solution providers shall evaluate, select, and tailor specific configuration management activities and develop the processes necessary to perform configuration management in their specific production environment.

The goals of SCM are generally:

- Configuration identification - Identifying configurations, configuration items, and baselines.
- Configuration control - Implementing a controlled change process. This is usually achieved by setting up a change control board whose primary function is to approve or reject all change requests that are sent against any baseline.
- Configuration status accounting - Recording and reporting all the necessary information on the status of the development process.

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- Configuration auditing - Ensuring that configurations contain all their intended parts and are sound with respect to their specifying documents, including requirements, architectural specifications, and user manuals.
 - Build management - Managing the process and tools used for builds.
 - Process management - Ensuring adherence to the organization's development process.
 - Environment management - Managing the software and hardware that hosts the system.
 - Teamwork - Facilitate team interactions related to the process.
 - Defect tracking - Making sure every defect has traceability back to the source.

3-1 Components

SCM involves identifying the configuration of the software (i.e., selected software work products and their descriptions) at given points in time, systematically controlling changes to the configuration through the use of version control and check-in/check-out processes and maintaining the integrity and traceability of the configuration throughout the software life cycle. The work products placed under SCM include the software products that are delivered to the customer (e.g., the Software Development Methodology (SDM) documentation and the software code) and the items that are identified with or required to create these software products (e.g., the compiler).

With the introduction of cloud computing, the purposes of SCM tools have become merged in some cases. The SCM tools themselves have become virtual appliances that can be instantiated as virtual machines and saved with state and version. The tools can model and manage cloud-based virtual resources, including virtual appliances, storage units, and software bundles. The roles and responsibilities of the actors have become merged as well with developers now being able to dynamically instantiate virtual servers and related resources.⁶

3-2 HUD Software Configuration Management Policies

Configuration Management Policies are established, maintained, and approved by the CCMB. Subordinate CM panel when authorized by the CCMB, will operate under the authority delegated by the CCMB.

Each of HUD's software projects will abide by the same policies and implement the guidance of this policy. The following are HUD's configuration policies.

⁶ Berczuk, Appleton; (2003). Software Configuration Management Patterns: Effective Teamwork, Practical Integration (1st ed.). Addison-Wesley. ISBN 0-201-74117-2.

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

Each Configuration Project Shall:

- A. Plan software Configuration Management activities for all of HUD's software products (i.e. SDM documentation, code, libraries, compiler, etc.)
- B. If directed by the CCMB, prepare an SCM plan for each software project, according to the documented procedure for managing the configuration to the software, review it annually, and update it when changes occur. The plan shall comply with the HUD SDM Software Configuration Plan template (please refer to Chapter 7). All software projects with a total life cycle cost of greater than 5 million dollars shall prepare an SCM plan.
- C. If not directed by the CCMB, to prepare a program/project SCM plan, implement the procedures outlined in the Enterprise Configuration Management Plan (ECMP). All software projects with a total life cycle cost of less than 5 million dollars shall be reviewed by the CCMB on an individual case basis to determine the need to prepare an SCM plan.
- D. All software products shall use a documented and approved SCM plan as the basis for performing the SCM activities.
- E. Identify, control, and make available selected software work products.
- F. Control changes to identified software work products, as approved by the CCMB.
- G. Inform affected groups and individuals of the status and content of software baselines.
- H. When delegated the authority by the CCMB, establish a subordinate CM board will have the authority for managing the project's software baselines (i.e., program-level Software Configuration Control Board). Guidelines for the program-level boards are provided in the SCM Procedures document at HUD website
<http://hudatwork.hud.gov/HUD/cio/po/i/it/security/cmb/cmbprocedures>
- I. Appoint a person to be responsible for coordinating and implementing SCM for the project.
- J. Provide adequate resources and funding for performing SCM activities.
- K. Train members of the software development group and other software-related groups to perform their SCM activities.
- L. Train members of the SCM group in the objectives, procedures, and methods for performing their SCM activities.
- M. Identify the software work products to be placed under configuration management.
- N. Place all HUD's software development and production work products under an approved SCM tool enforcing version control and check-in/check-out controls.
- O. Initiate, record, review, approve, and track change requests and problem reports for all configuration items/units according to a documented procedure.
- P. Control changes to baselines according to the SCM Procedures (please refer to Chapter 7).

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

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- Q. Create products from the software baseline library and control their release according to the SCM Procedures (please refer to Chapter 7).
 - R. Record the status of configuration items/units according to the SCM Procedures (please refer to Chapter 7).
 - S. Develop standard reports documenting the SCM activities and the contents of the software baseline and make them available to affected groups and individuals.
 - T. Conduct software baseline audits to verify that what is built is what is delivered and to ensure that changes made to a baseline comply with the configuration status reports.
 - U. Make and use measurements to determine the status of the SCM activities.
 - V. Review the SCM activities with the CCMB upon request.
 - W. Provide SCM status and activity information with senior management as appropriate to ensure awareness and in a manner that aligns with the criticality of the system (i.e. daily, weekly, monthly, quarterly, etc)
 - X. Review the SCM activities with the project manager on both a periodic and event-driven basis.
 - Y. Have the SCM group periodically audit software baselines to verify that they conform to the documentation that defines them, and to ensure that changes made to a baseline comply with the configuration status reports.
 - Z. Conduct reviews or audits by the software quality assurance group on the activities and work products for SCM and reports the results.
 - AA. Comply with HUD Project Planning and Management (PPM) Life Cycle V2.0⁷, and the SCM operational procedures for the following items:
 - 1. Names of the Configuration Baseline documents by PPM phase
 - 2. Use of Uniform Labeling Conventions for all configuration Artifacts
 - 3. Use of a hierarchy promotion model for all milestones in a development cycle
 - 4. Use of a uniform project database structure for storing checked-in code
 - 5. Use of a Structured Release process for various types of releases:

Unscheduled as well as scheduled releases of different efforts, such as Complex, Moderate, Simple, Maintenance, or Emergency.

3-3 Waiver Requests

- A. Deviations and Waivers

⁷ Project Planning and Management (PPM) Life Cycle V2.0 provides practical approaches to optimize innovation, minimize schedule and budget risk, and better plan and execute projects.

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

Deviations and the handling of deviations such as Commercial-Off-The-Shelf (COTS) systems require submitting waivers to exclude them from compliance with the SCM program. The waiver approval authority is the CCMB.

To be considered for a waiver, a system must fall within these categories:

1. SCM Alternative Tools, where HUD standard CM tools either cannot be used or do not provide the best SCM solution thus requiring CM alternative Tools.
2. Commercial-Off-The-Shelf (COTS)⁸ software forms the basis of the system.
3. Government Off-The-Shelf (GOTS)⁹ software forms the basis of the system.
4. The system has no funds available for support yet remains in production. SCM waivers for the unfenced system will be terminated if funding becomes available for system support. If inadequate funding becomes available to provide both system support in response to an urgent requirement and SCM, a new or revised waiver must be submitted and approved.
5. The system has been deactivated and removed from production.

If the system is reactivated it must be brought into compliance with applicable HUD SCM policies at that time.

B. Commercial Off the Shelf (COTS) Acquired Software/ Government GOTS Acquired Software

1. Requirements for Software Vendors

Current documentation, matching the revision and release number of the software, will be provided with new and re-engineered software. Documentation is to include installation procedures and user documentation. The number of copies of documentation delivered will conform to contractual specifications.

2. Change Approval

The addition of a new system/support software package or an upgrade of an existing package will be approved via the CCMB change control process.

⁸ Commercial off-the-shelf or commercially available off-the-shelf (COTS), including Open Sourced Software products, are packaged solutions which are then adapted to satisfy the needs of the purchasing organization, rather than the commissioning of custom-made, or bespoke, solutions.

⁹ Government off-the-shelf (GOTS) is a term for software and hardware government products that are ready to use, and which were created and are owned by a government agency. Typically, GOTS are developed by the technical staff of the government agency for which it is created. It is sometimes developed by an external entity, but with funding and specification from the agency. Because agencies can directly control all aspects of GOTS products, these are sometimes preferred for government purposes.

3. Release Requests

The requestor shall prepare formal release requests before the software is placed into production. A release request is prepared using the Request for Technology Change (RTC) system. The RTC system will reference the plans and procedures to be utilized and the associated CCMB change package number.

4. Testing

All new or modified systems/support software packages will undergo system-level testing before they are placed in Production. When available, standard test procedures developed for the package are to be used. Testing will be performed in a test environment that is logically isolated from the production environment. The system's software or client-server staff will perform initial testing. The HUD system Test team will perform final testing when applicable.

5. Other SCM Tools

Systems that utilize COOL: GEN, LINC, Mapper, CA-Panvalet, Peoplesoft or other SCM tools will be evaluated on a case-by-case basis.

C. Waiver Template

Requests for configuration waivers must be submitted to the TRC using the Waiver Template identified in Chapter 7, SCM Waiver Request Form. This form is also available on the TRC website (<http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/def/trc/about>)

CHAPTER 4. ROLES AND RESPONSIBILITIES

4-1 HUD SA-CMM® Enterprise Initiative

In December 2001, the Office of Chief Information Officer (OCIO), initiated the HUD Software Acquisition Capability Maturity Model (SA-CMM®) Enterprise Initiative to address the review of the management issues at HUD by GAO and to implement the recommendations identified by GAO in their report submitted September 14, 2001. The goal of the HUD SA-CMM® Enterprise Initiative is to apply sound software acquisition principles and practices, as well as continuous improvement disciplines, to the software acquisition process. The SA-CMM® shall serve as a blueprint for software process improvement and shall help HUD focus on the areas it must address in order to advance to the next level of maturity. The SA-CMM® shall build an understanding of the software acquisition process at HUD by describing the practices that contribute to a level of Process Maturity.

4-2 Roles and Responsibilities

The Office of the Chief Technology Officer (OCTO): The OCTO is responsible for developing SCM policies according to Carnegie Mellon University's Systems Engineering Institute (SEI) Capability Maturity Model (CMM) principles and assist HUD in implementing policies that will result in all systems development projects adhering to the same SCM practices.

OCTO is responsible for the development and maintenance of the HUD configuration management program. Additionally:

- OCTO reviews HUD's technology reference model to determine which platforms need baseline configurations; works with the CISO to determine which type of baseline configuration would work best in the HUD environment, enterprise or vendor-specific; negotiates and consults with IT Operations to ensure baseline configurations meet HUD's operational needs; works with vendors to obtain baseline configuration documents; reviews such documents for adherence and compliance with federal standards, completeness, understandability, and ability to implement.
- OCTO also works with Enterprise Architecture to prepare baseline configuration packages for CCMB review and approval; and publication of the approved/accepted materials to the HUD Technical Reference Model (TRM) intranet page.
- OCTO is responsible for coordinating the development and refinement of HUD Software Configuration Management standards and procedures; evaluating the assigned SCM environment, including but not limited to the software migration processors and the standards and procedures used to perform SCM.

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

The Infrastructure and Operations Office (IOO): IOO is responsible for the IT infrastructure (e.g., general support systems) that provides shared services across HUD; for ensuring that HUD's IT infrastructure is operated consistent with HUD's information security program including ensuring that IT assets have established, approved or accepted baseline configuration settings. In addition, IOO directs the knowledge experts, administrators, and developers in the use and refinement of the assigned SCM toolset; assisting in the training and problem resolution for the developer community; coordinating and directing the SCM User Group specific to the SCM toolset; acting as a specific SCM Administrator, guiding and performing software migrations.

Chief Information Security Officer (CISO): The CISO directs the management of HUD's Security configuration management (SECCM) program as it relates to Information Technology (IT) security; leads the decision making to establish an enterprise security baseline configuration; reviews baseline configuration packages and provides formal input into the acceptance of vendor-specific baselines.

Enterprise Architecture (EA): HUD's Enterprise Architecture (EA) is a business-driven plan that describes the desired current and end-state for HUD's performance, business, application and services, technology, data, and security architectures. HUD's architecture consists of a set of interrelated "reference models" which offer a framework for describing different elements of the architecture.

Technical Review Subcommittee (TRC): The TRC is the governance body that has authority over The Technical Reference Model (TRM), which organizes and identifies HUD's technology standards, including baseline configuration standards. The TRC is also responsible for the gate reviews mandated by HUD's Project Planning and Management (PPM) Life Cycle v2.0 which 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®), the best practices project management methodology which presents a set of standard terminology and guidelines for managing projects. Additional information on the TRC is available on HUD@Work OCIO website (<http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/def/trc/trc>).

Configuration Change Management Board (CCMB): The CCMB is the governing body for approval of HUD Technology Standards including baseline configuration standards. Additional information on the CCMB is available on HUD@Work OCIO website (<http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/def/CCMB/ccmb>).

Office of Customer Relationship and Performance Management (OCRPM) – Within the OCRPM is the Enterprise Program Management Division (EPMD). EPMD, is responsible for implementing maintenance changes and improvement in software products as directed, approved and coordinated by CCMB and the HUD SCM Manager; performing software migrations from the

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

development stage to the final production stage on the target platform; providing developer training in the use of the SCM toolset; providing problem resolution to the developer community; evaluating the SCM toolset and recommending refinements to the HUD Configuration Manager; recommending and implementing HUD SCM standards and procedures as directed by the HUD Configuration Manager.

Information System Security Officer (ISSO): The ISSO is responsible for working with the IT PM and system team to ensure all proposed changes to the configuration baseline are analyzed and tested to determine their security implications. This includes ensuring all proposed configuration changes are analyzed prior to implementation to determine if the proposed change has security implications, ensuring accurate system documentation and configuration logs are maintained to reflect current and prior configuration baselines, ensuring current, baseline configuration of the system and an inventory of its components are developed, documented, and maintained, and ensuring security settings of information systems are set to the most restrictive mode consistent with operational requirements and OCIO security guidelines.

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

CHAPTER 5. APPENDIX 1. ACRONYMS

The following is a list of acronyms/abbreviations and their definitions that are used in this document.

Acronym/Abbreviation	Definition
CCMB	Configuration Control Management Board
CISO	Chief Information Security Officer
CM	Configuration Management
CMM	Capability Maturity Model
COTS	Commercial Off the Shelf
EA	Enterprise Architecture
ECMP	Enterprise Configuration Management Plan
GAO	Government Accountability Office
GOTS	Government Off-The-Shelf
GPRA	Government Performance and Results Act
HUD	U.S. Department of Housing and Urban Development
IAS	Inventory of Automated Systems
IG	Inspector General
IOO	Infrastructure and Operations Office
IT	Information Technology
ITIL	IT Infrastructure Library
OCIO	Office of the Chief Information Officer
OCRPM	Office of Customer Relations and Performance Management
OCTO	Office of the Chief Technology Officer
OMB	Office of Management and Budget
OSS	Open Source Software
PPM	Project Planning and Management (PPM) Life Cycle
PRA	Government Paperwork Reduction Act
RTC	Request for Technology Change
SA-CMM	Software Acquisition Capability Maturity Model
SCM	Software Configuration Management

**The Department of Housing and Urban Development
Software Configuration Management Policy**

HUD Handbook 3252.1 Rev 2

SDM	System Development Methodology
SEI	(Carnegie-Mellon University) Systems Engineering Institute
SW-CMM	Software Development Capability Maturity Model
TRC	Technical Review Subcommittee
TRM	Technical Reference Model

CHAPTER 6. APPENDIX 2. RELATED DOCUMENTATION

Related Documentation

- IT Security Policy Handbook 2400.25 (current revision)
https://www.hud.gov/program_offices/administration/hudclips/handbooks/cio/2400.25
- IT Infrastructure Library (ITIL)
<http://hudatwork.hud.gov/HUD/cio/po/i/itil/index>
- HUD Test Center information
<http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/bld/testcenter>
- IAS Registration and Update Procedure
<http://hudatwork.hud.gov/HUD/cio/po/i/it/wkline/ias>
- HUD Automated Release Tracking System (HARTS) Procedures
http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/bld/testcenter/harts/harts_main_pg
http://hudatwork.hud.gov/HUD/cio/doc/hartsmanualnew_40013.pdf
<http://intraportal.hud.gov/Harts>
- Project Managers Guide to the TRC
<http://hudatwork.hud.gov/HUD/cio/po/i/it/sd/devlife/def/trc/pmguide>
- IAS Deactivation Procedures
http://hudatwork.hud.gov/HUD/cio/doc/IAS_guide101916
- Configuration Management Plan (CMP) template
<http://hudatwork.hud.gov/HUD/cio/doc/ConfigMgtPlan1a>
- Software Configuration Management Support Information and Questionnaires (Operational)
http://hudatwork.hud.gov/HUD/cio/po/i/it/security/cmb/survey_quest
- Software Configuration Management Procedures (Operational)
<http://hudatwork.hud.gov/HUD/cio/po/i/it/security/cmb/cmbprocedures>

CHAPTER 7. APPENDIX 2. FORMS REQUIRED BY THIS HANDBOOK

7-1 SCM Waiver Request Form



SCM Implementation Waiver Request

Identify System:

System Name:

System Acronym:

SYSID:

Identify Platform:

Hitachi: Unisys: LAN/Web/Client-Server: Lotus Notes: Cloud:

Identify the reason for the waiver request:

1. System Retiring? No Yes If Yes, Retirement Date:
2. System Replaced? No Yes If Yes, Replacement System Name:
3. Technical Support/Budget Available: No Yes
4. Utilizes another CM Tool: No Yes If Yes, identify CM tool:
5. COTS applications: No Yes If Yes, please answer the following:
 - Does the COTS application run on any HUD platform? No Yes

If NO, identify the application's platform and location:

- Does HUD have ownership of the code? No Yes
- Does the application run under any CM tool? No Yes
- Has the COTS package been customized for HUD; e.g., new functionality added?

(Do not include installation customization.) No Yes

If YES, explain:

6. Other (please explain)

IT PM/ System Project Leader Sign Off:

Signature: _____

The Department of Housing and Urban Development
Software Configuration Management Policy

HUD Handbook 3252.1 Rev 2

Name: _____ Date: _____

Program Area Sign Off (if applicable):

Signature: _____

Name: _____ Date: _____

System Sponsor Sign Off (if applicable):

Signature: _____

Name: _____ Date: _____

CM Manager Recommendation (if applicable): **Approve:** **Disapprove:**

CM Manager Sign Off:

Signature: _____

Name: _____ Date: _____

CCMB Decision: **Approve:** **Disapprove:**

CCMB Chairman Sign Off:

Signature: _____

Name: _____ Date: _____

Comments:

7-2 Configuration Management (CM) Plan Template

This template is accessible at:

<http://hudatwork.hud.gov/HUD/cio/doc/ConfigMgtPlan1a>

NOTE: For instructions on using this template, please see Notes to Author/Template Instructions within the template.

Accessibility: This template has been tested and is best accessible with JAWS 11.0 or higher.