HUD Policy for Information Technology Strategic Planning

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DOCUMENT CHANGE HISTORY

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Draft 1.0	02 07 2011	All	Initial Draft Version 1.0
Draft 1.1	02 22 2011	All	Version 1.1
Final	07 14 2011	All	Final
Revision 2	03 21 2019	All	This update was to align with the revised draft ITM Framework dated September 2018.
2.1	12 27 2019	All	This update incorporates proposed changes given during the clearance process.

The Department of Housing and Urban Development
Policy for Information Technology Strategic Planning

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Introduction

Under the direction of the Chief Information Officer (CIO), the Office of Chief Information Officer (OCIO) provides support to the Department of Housing and Urban Development (HUD) in terms of Information Technology (IT) systems and services needed to ensure that HUD's employees have the information they need when and where they need it so that they can make effective and informed decisions and actions.

The OCIO must develop and deploy a strategic planning capability that effectively aligns HUD's IT investments with Departmental mission, strategies, and priorities using the most appropriate and cost-effective technologies and techniques available. The elements of this policy are based on the Office of Management and Budget (OMB Circular A-130), GPRA Modernization Act 2010, Government Accountability Office (GAO) guidance and incorporate practices and standards from the National Institute of Standards and Technology (NIST), the Project Management Institute (PMI), and other industry IT management groups.

This strategic capability will bring HUD's IT decisions in line with HUD's enterprise strategic management process, as well as with other business, project, and program models.

Effective IT strategic planning will produce IT strategic plans with three critical characteristics:

- **The plan will be clear and actionable.** IT management and practitioners at all levels must be able to use the elements of the plan as a guide to aligning their everyday IT decisions and actions with the overall strategies of the Department.

- **The plan will be resilient and adaptable.** Mechanisms will be defined in IT strategic planning procedures and guidelines to ensure that the plan can adapt to changes in HUD's external and internal environments without a complete loss of forward momentum.

- **The plan will be measurable. IT strategic planning goals and strategies must be quantifiable**. The OCIO is committed to implementing the data collection mechanisms required for gathering the data and measurements needed to determine how effectively and efficiently strategies have been achieved.

Purpose

This IT Strategic Planning policy serves as the authority for establishing IT strategic planning requirements, objectives, procedures, guidelines, and standards to guide effective IT strategic planning and implementation.

This policy promotes effective and efficient processes for developing, reviewing, and implementing an IT strategic plan for HUD that will align overall HUD mission, goals, and objectives with day-to-day IT decisions and actions.

Specifically, this policy establishes IT strategic planning as a critical component of the overall IT Management (ITM) Framework, which guides the management, implementation, and monitoring of IT investments for HUD[1].

Rescission

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

Applicability

This policy applies to all HUD employees and contractors who use and work with HUD's IT portfolio, investments, and projects. This policy does not, however, apply to those IT projects related to Ginnie Mae's secondary mortgage activities[2].

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

HUD OCIO will develop, manage, and implement an IT strategic plan that aligns HUD's mission, strategies, and priorities with IT investments and operations. This policy requires that:

- HUD will create and execute an IT strategic plan that encompasses a longer-term vision and strategy for IT at HUD over a three- to five-year period. Components of the IT strategy include a description of the alignment of IT goals and objectives with HUD mission, strategies, and priorities.
- HUD will create and execute an IT action plan that outlines more tactical actions and timelines in support of IT goals and objectives over a one-to three-year time frame. The Implementation action plan will serve as the basis for quarterly assessments that measure progress towards HUD's IT strategic goals and objectives. The Implementation Action Plan denotes specific actions required to achieve HUD's IT objectives, including the responsible parties, timelines, resources, and risk mitigation plans.

OCIO Responsibilities

Under this policy, the Office of the Chief Information Officer will:
- Engage with stakeholders in an annual review and update of the IT Strategic Plan

- Publish and distribute the IT Strategic Plan internally and externally

- Communicate the plan and its core elements to stakeholders

- Ensure that the goals and strategies of the IT Strategic Plan are

incorporated in the other components of the ITM Framework

- Convene a quarterly meeting with business stakeholders to assess HUD's progress against the IT Implementation Action Plan

- Work with IT investment owners (these owners are identified in our annual OMB IT Portfolio submission) to align IT Investments with HUD strategic and annual performance plans

Overview of the HUD IT Strategic Planning Process

HUD's IT strategic planning process consists of six steps: 1) Conduct an environmental scan; 2) Define vision, mission, and values; 3) Define goals, objectives, and measures; 4) Develop/update the plan; 5) Implement the plan; and 6) Assess performance.

Step 1: Conduct an environmental scan. The environmental scan assesses the current HUD IT infrastructure and business environments from three primary perspectives: processes, technologies, and people. The scan identifies internal and external drivers through strengths, weaknesses, opportunities, and threats (swot) and political, economic, social, and technological (pest) analyses. A stakeholder analysis is conducted to identify stakeholders' needs, processes, preferences, attitudes, values, and concerns. The stakeholder analysis can include an organizational readiness assessment, which gauges the ability of HUD to manage and embrace change. HUD uses a variety of tools to perform its environmental scans to ensure a comprehensive view of factors necessary for security and governance are obtained. These tools include products from Archer, SailPoint, Nessus and Splunk.

Step 2: Define vision, mission, and values. In this step, appropriate stakeholders are identified based on leadership roles within HUD and invited to take part in visioning sessions. At this point in the process, it is key to involve executives from the programs in facilitated sessions to produce an IT-focused vision and mission that support the strategic plan of the Department.

Briefing materials that include results of the environmental scan are packaged for stakeholder review prior to the session. The output of this step will be viewed as the strategic themes of the IT strategy.

Step 3: Define goals, objectives, and measures. Once HUD's IT vision and mission are approved through appropriate channels, stakeholders are selected to participate in defining goals and objectives. HUD then conducts a set of facilitated sessions to arrive at agreed-upon goals.

Participants of the goal's sessions assign "goal owners" to lead the definition of objectives for each goal. Subsequently, the goal owners convene with additional subject matter experts to assist in defining meaningful objectives, as appropriate. Performance

measures, driven by the high-level performance requirements contained in IT goals, are developed in conjunction with the objectives. Once the objectives have been defined for each goal, the full work group reassembles to validate the final sets of objectives. The output of this step can be viewed as the imperatives of the strategy.

Step 4: Develop/update strategic plan. Once the goals and objectives have been approved through appropriate channels, the vision, mission, goals, and objectives of the Department are documented within the IT Strategic Plan. The plan also addresses current IT initiatives that are supporting the strategy.

Step 5: Implement plan. After approval of the IT Strategic Plan, the Implementation Action Plan is developed to provide a framework for implementing the strategy. Actions are tactical and the implementation plan requires development of milestones, schedule constraints, and resource constraints for each action. During this step, second-level performance measures (which can include the identified milestones) associated with specific actions are also developed. The output of this step will be viewed as the parameters within which the IT strategy should be executed.

Step 6: Assess Performance. It is imperative to regularly assess performance against the Implementation Action Plan. HUD performs quarterly reviews of the plan and annual reviews to address plan progress against the IT strategy. The results of the reviews determine the degree to which HUD is to achieve its strategy. The results can also determine critical business or IT drivers that warrant the development of new goals, objectives, actions, or milestones. It is through the evaluation process that HUD determines when a significant revision to the IT Strategic Plan is needed.

End Notes

[1] The ITM Framework: Revision Draft September 2018

[2] 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.

Definitions

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

Strategic planning is a comprehensive and systematic management tool designed to help organizations assess the current environment, anticipate and respond appropriately to changes in the environment, envision the future, increase effectiveness, develop commitment to the organization's mission and achieve consensus on strategies and objectives for achieving that mission.

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.

Authorities and References

Office of Management and Budget (OMB Circular A-130)
GPRA Modernization Act 2010

Appendices

None.

Glossary

Chief Information Officer (CIO)
Office of Chief Information Officer (OCIO)
Information Technology (IT)
Government Accountability Office (GAO)
National Institute of Standards and Technology (NIST)
Project Management Institute (PMI)
IT Management (ITM)