



HUD Policy for Information Technology Strategic Planning

Handbook 3425.1

Version 1.1

July 2011



Version History

Version Number	Implemented By	Revision Date	Approved By	Approval Date	Description of Change
Draft 1.0	Chris Niedermayer	February 7, 2011			Initial Draft
Draft 1.1	Chris Niedermayer	April 22, 2011			OCIO Updates
Final	Jerry E. Williams	July 14, 2011	Jerry E. Williams	July 14, 2011	Final



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1. Purpose

This Information Technology (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 the Department of Housing and Urban Development (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 HUD¹.

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

2. Background

Under the direction of the Chief Information Officer (CIO), the Office of Chief Information Officer (OCIO) provides support to HUD in terms of 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 HUD ITM Framework integrates these Federal IT mandates and directives into a seamless system of management focused on providing transparency, accountability, and responsibility throughout the entire IT management process. The ITM Framework provides:

- The control required to optimize each dollar spent on IT and to comply with the range of Federal legislative mandates that have been enacted to improve IT resource management
- The accountability to ensure traceability and responsibility for each dollar spent on IT
- The resiliency needed to respond to rapid and dramatic changes in HUD's environment and missions

IT strategic planning is a critical component of the ITM Framework (Figure 1).

¹ The ITM Framework materials are posted on HUD's intranet at this URL:
<http://hudatwork.hud.gov/po/i/itm/index.cfm>.



Components of IT Management Framework

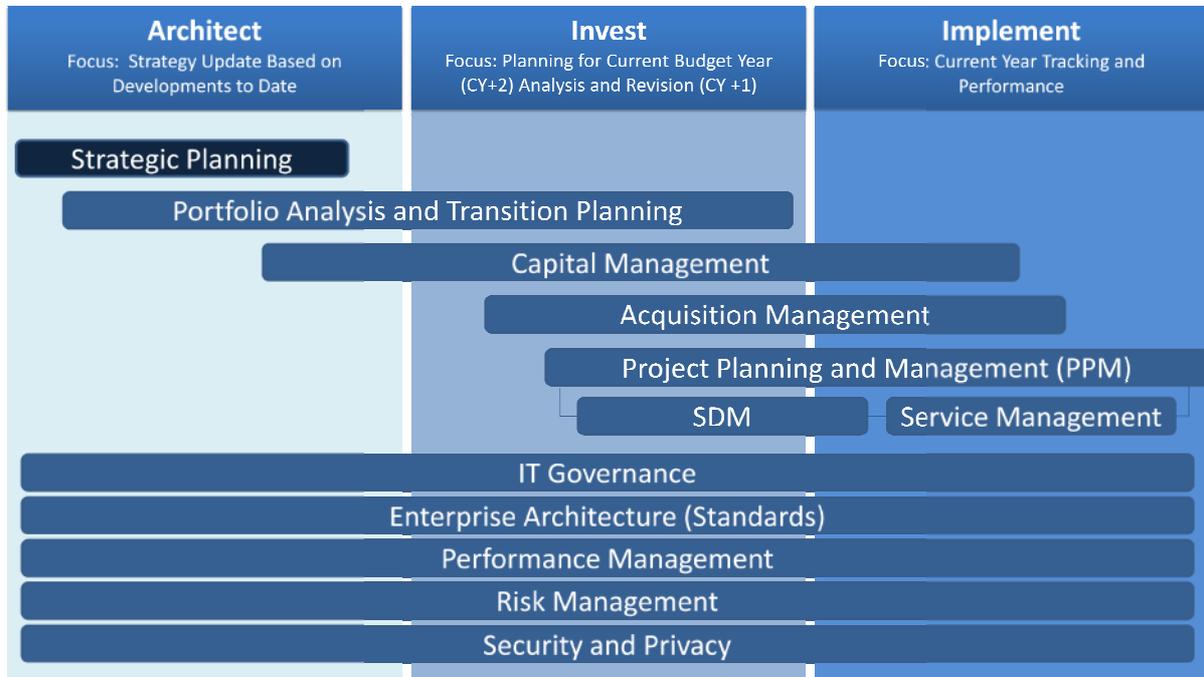


Figure 1 - IT Strategic Planning as a Component of the IT Management Framework

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. 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.



3. Scope

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 activities².

4. 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:

1. 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.

The elements of this policy are based on the Office of Management and Budget (OMB) and Government Accountability Office (GAO) guidance, and incorporate practices and standards from the National Institute of Standards and Technology, the Project Management Institute (PMI), and other industry IT management groups.

5. 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, economical, 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's Performance Assessment Review Tool (PART) scores the existing enterprise architecture (EA) baselines and should be leveraged during this process.

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 business people at executive levels in the organizations in facilitated sessions to produce an IT-focused vision and mission that support the strategic plan of the Department. Briefing

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.



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 goals 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 achieving 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.

6. Responsibilities

HUD Senior Executives:

- Endorse the Department’s strategic plans and goals

The Office of the Chief Information Officer:

- Conducts an annual review of the IT Strategic Plan and update it as required
- Publishes and distributes the IT Strategic Plan internally and externally
- Communicates the plan and its core elements to stakeholders
- Ensures that the goals and strategies of the IT Strategic Plan are incorporated in the other components of the ITM Framework
- Convenes a quarterly meeting with business stakeholders to assess HUD’s progress against the IT Implementation Action Plan

Executive IT Investment Owners:

- Align IT Investments with HUD strategic and annual performance plans



7. Effective Date/Implementation

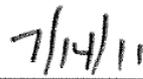
This policy is effective immediately upon date of approval.

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.

8. Approved



Jerry Williams, Chief Information Officer



Date